

# **Juvenile Probation Administrators' Desktop Guide**

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**Douglas W. Thomas  
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Editors**

**Chapters submitted by members  
of the Juvenile Probation  
Officer Initiative Working Group**

**Pittsburgh, Pennsylvania**

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The Office of Juvenile Justice and Delinquency Prevention is a component of the Office of Justice Programs, which also includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, and the Office for Victims of Crime.

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This *Juvenile Probation Administrators' Desktop Guide* is one of several products of the Juvenile Probation Officer Initiative (JPOI) designed to advance juvenile probation practices in the U.S. The JPOI is a component of OJJDP's Technical Assistance to the Juvenile Court Project conducted by the National Center for Juvenile Justice. This *Desktop Guide* follows other JPOI products, including the *Desktop Guide to Good Juvenile Probation Practice*, the *Fundamental Skills Training Curriculum for Juvenile Probation Officers*, the *Workhorse Bulletin*, the *Tricks of the Trade* series, *The State of Juvenile Probation 1992: Results of a Nationwide Survey*, and the results of the *Contemporary Challenges Facing Juvenile Probation Forum*.

The JPOI has been guided, from the beginning, by a working group of dedicated juvenile probation professionals from across the country. While the JPOI working group is not a membership organization, it is comprised of members of three national organizations that represent juvenile probation and others who are committed to working together to improve the condition and the status of the juvenile probation profession. The partner membership organizations represented by the JPOI include the National Council of Juvenile and Family Court Judges (NCJFCJ), the National Juvenile Court Services Association (NJCSA) and the American Probation and Parole Association (APPA). Each of these organizations has resolved to support the juvenile probation field and its dedicated professionals as well as the goals and activities of the JPOI.

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### *Dedication*

This Desktop Guide is dedicated to juvenile probation leaders, managers and administrators doing the good work of juvenile justice for their communities and to those juvenile probation officers who aspire to lead, manage, and administer juvenile probation agencies.

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## Foreword

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*Paint a true picture of juvenile probation, and your future will be secure.* This challenge has been repeatedly issued during the past four decades, but has remained unanswered. The need for a clear, compelling vision of juvenile probation has always been needed, but the need has become urgent in recent years. Juvenile probation officers did not and do not fit easily and comfortably within any other professional development group. While they share some common interests with adult probation, they probably share more common interests with juvenile detention officers and juvenile court judges, but they are also commonly found attending training sessions with child psychiatrists, psychologists, child protection workers, police officers, and educators, among others.

Prior to the dawn of the decade of the sixties, if you possessed a strong commitment to helping children grow up to be socially responsible adults, had a Bachelor's degree in the Humanities, the desire and academic qualifications required to be admitted to graduate school in psychology or social work (there were no schools of Juvenile or Criminal Justice or Corrections Administration back then), you could probably get an entry-level job as a juvenile probation officer. If you could complete the requirements for a Master's degree, you could plan on a satisfying and successful career as a juvenile probation administrator.

But all of that began to change rapidly during the sixties when the youth of this country unshackled themselves from the "arbitrary assertion of authority" by the "establishment," and legal reformers moved to lock in these new freedoms by enfranchising youth with all of the rights possessed by adults—at least in situations where they were charged with law violations. This combination of events signaled a rapid escalation in the volume and seriousness of youth crime, which has not yet abated.

Though it was apparent that the rules of the game for youth had changed, juvenile probation was slow to accept the new rules. To juvenile probation officers, the new rules seemed to favor form over substance and reward the players for playing the game efficiently, always emphasizing "performance measures," such as "timely case handling," "effective case screening," and

"proportional sanctions." Understanding the origins of behavior and developing effective individualized strategies for children and families were no longer valued. Surveillance, once a word used derisively by juvenile probation officers, usually when referring to the "empty adult probation process," was now being ordered by juvenile court judges. Accountability, once thought to be a strategy with more relevance for errant public officials than juvenile offenders, and public safety, once the language of armed guardians of the peace, were rapidly becoming staples of the juvenile probation officer's daily regimen. But these changes seemed to be coming from fiats from *without* rather than from revelations from *within* the profession. So the going was slow.

With this publication comes the promise of more coherence in the evolution of juvenile probation but, more important, a stronger exposition of the rationale for the changes that are occurring, as well as those that appear to be required in the near future.

This publication provides a valuable, conceptual template for administering juvenile probation. As such, it provides administrators and aspiring administrators with a useful benchmark for charting their course.

Did I find a Rembrandt or maybe a Monet in reviewing this document? Perhaps! But art is a matter of personal taste. I did re-acquaint myself with some old friends like Bob Kelgord and David Steenson, and made through their writings some new acquaintances, such as Kathy Welch and John Buggy.

Doug Thomas and Pat Torbet are to be commended for a job well done, for their own writing, selection of authors, and especially their determination to shape this work as a dynamic, ever-growing work-in-progress.

Respectfully Submitted,



Hunter Hurst III

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# Introduction

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Juvenile probation administration is a broad ranging combination of theory and practice designed to promote effective probation work and establish a harmonious working relationship between juvenile probation bureaucracies and the communities they serve. Consistent and effective administrative practices in juvenile probation agencies are, in fact, critical to achieving excellence in juvenile probation services. Unfortunately, building an effective administrative capacity is too often overlooked or completely ignored in planning, developing, and implementing juvenile probation programs.

There are many reasons for this oversight. Not the least of these reasons is the fact that juvenile probation agencies, like many public sector agencies, enjoy a monopoly on the goods and services they provide. Accordingly, they have not traditionally been subject to the full impact of the forces of the market or competition. As a result, juvenile probation agencies have traditionally had the luxury of not having to worry inordinately about outcomes. Rather, juvenile probation agencies tend to emphasize “process” over results.

The traditional fact of the matter is that juvenile probation agencies have been allowed to “muddle through” as best they can. This situation has not, heretofore, taxed the administrative and management abilities of juvenile probation administrators and managers. However, as young offenders have become more sophisticated, serious, and violent and as the public has increased its expectations regarding official responses to delinquency and youth crime, probation agencies have been increasingly required to:

- make a measurable difference in the lives of delinquent offenders;
- improve the relationship between the juvenile probation agency and the community it serves;
- provide interventions and programming for juvenile offenders that address the needs of the full range of offenders while assuring community protection;
- build multi-agency and community partnerships to promote prevention, early intervention, and sanctions for delinquent offenders; and
- provide equal access to services (Thomas, 1995).

The new fact of the matter is that the days of “muddling through” are over. To meet modern day challenges facing the juvenile probation profession, juvenile probation agencies must pay increased attention to effective administrative and management practices. Today’s juvenile probation administrator must be able to apply modern management and administration skills to juvenile probation operations in order to:

- respond to rapid changes in the external social and political environment as well as to fundamental changes within the juvenile justice system;
- identify or develop successful, cost-effective programs for delinquent offenders on probation; and
- establish realistic performance-based measures for juvenile probation, including appropriate workloads targeted to achieve desired outcomes.

To achieve these objectives, juvenile probation agencies must: 1) enhance management and administration skills at all levels of their organizations; 2) establish appropriate workloads for juvenile probation employees, including appropriate performance measures for all levels of juvenile probation; and 3) develop and implement effective management information systems designed specifically for juvenile probation (Thomas, 1995).

Unfortunately, juvenile probation agencies, like many public sector endeavors do not have a long tradition of creating excellence in administration. They tend to promote good, experienced probation officers to management and administrative positions in spite of the fact that the skills are not interchangeable. These promotions are rarely accompanied by adequate preparation or by adequate re-training for the new positions.

The purpose of the *Juvenile Probation Administrators’ Desktop Guide* is to provide a first step toward achieving excellence in juvenile probation administration. This *Administrators’ Desktop Guide* represents a response to a long-standing and widely recognized gap in the resources required for achieving excellence in juvenile probation

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services—information and technical assistance materials designed to improve administrative and management capacities in juvenile probation agencies. The *Administrators' Desktop Guide* is designed to serve as a reader and a reference guide for juvenile probation administrators, managers and policy makers at all levels of the juvenile probation organization. It is meant for those who are currently managing or administering juvenile probation agencies and for those who aspire to do so.

While the *Juvenile Probation Administrators' Desktop Guide* addresses a good range of critical issues involved in the administration of a juvenile probation agency, it is not intended to be the definitive work in juvenile probation administration. Indeed, each of the subjects included herein has been the subject of numerous books, courses, training, and studies.

Furthermore, while we have tried to be thorough in the list of topics discussed, we have by no means been exhaustive—many topics relevant to the administration and management of juvenile probation services can be added to the chapters included in this document. In fact, it is our intention to maintain the *Administrators' Desktop Guide* as a dynamic document, making additions as time goes on and as the need or resources warrant. It is our hope that readers of the *Desktop Guide* will be inspired to make their own contributions.

Because we wanted the *Administrators' Desktop Guide* to be a *field-generated* document, we have relied on the contributions of experienced public sector managers and administrators. The chapters, then, reflect the perspectives and the writing styles of the authors. What we may have sacrificed in terms of consistency across chapters, we hope to make up for in authenticity—real-world public sector administrators discussing administrative issues in real-world terms.

## Preview of Chapters

Chapters were selected to represent the “basics” of public administrative practices—planning and development, organizations, budgeting, managing personnel, developing policies and procedures, information management, evaluation, leadership, and management. In addition to the “basics,” we included chapters on other critical issues, including the use of volunteers in probation and effective practices in public information and media

relations. To provide a context for our discussions, we included a chapter on the characteristics, breadth, and scope of juvenile probation.

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) Bulletin *Juvenile Probation: The Workhorse of the Juvenile Justice System*, by Patricia Torbet, Senior Research Associate, NCJJ, is re-printed here to provide a concise description of the scope and nature of juvenile probation work. It is based on research conducted by the National Center for Juvenile Justice, and addresses a wide range of issues regarding juvenile probation in the United States including: the nature of juvenile probation, the organization of juvenile probation departments, what juvenile probation officers earn, the number of juvenile probation officers in the country, the volume of cases placed on probation, the size of juvenile probation officer's caseloads, the characteristics of probation cases, and the current challenges facing probation.

In *Principles of Public Administration*, Douglas Thomas, Research Associate, National Center for Juvenile Justice, presents a discussion of the basic principles of public administration, contrasts public administration with business administration, and applies the principles of public administration to juvenile probation. This chapter provides a brief history of public administration from the late 19th century desire to cleanly separate *politics* from *administration*, to the era of the *principles of public administration*, to the mid-20th century recognition that politics and public administration may be inseparable, to current notions of re-inventing government in an *entrepreneurial* mode. This chapter also addresses the age-old question—“Why can't you run juvenile probation like a business?”

In *Organization Matters*, Douglas Thomas argues that, indeed, organization does matter because: 1) the study of organizations provides clues as to the means by which people are arranged into social units to achieve goals and objectives; 2) juvenile probation is not a solitary endeavor, rather, it is a multi-faceted endeavor that relies on a complex web of individual and organizational relationships; and 3) juvenile probation is complex and important work that requires a solid organizational foundation and a solid understanding of the technology of organizations. The chapter addresses early organizational theory, evolving notions of how organizations work, and the organization and administration of juvenile probation.

A discussion on *Leadership and Management in the Role of Juvenile Probation Administrator* is presented by Dr. Larry A. Pace, Louisiana State University, Shreveport Campus and the Hon. David Matlock, Juvenile Court Judge for Cado Parish, Louisiana. In this chapter, the authors review the functions traditionally ascribed to managers and leaders and relate these functions to the role of the juvenile probation administrator. They argue that, to be most effective, the juvenile probation administrator must blend and perform the roles of both leader and manager. The selection includes a number of practical suggestions for implementing effective management and leadership functions.

In *Managing Change Through Strategic Planning*, David Steenson, a Juvenile Probation Officer for the Hennepin County (Minneapolis), MN Juvenile Probation Department and Douglas Thomas argue that taking the time today to plan for tomorrow can pay big dividends to juvenile probation administrators. Planning involves the orderly, systemic, and continuous process of anticipating future events and using those forecasts for current decision making. While there are two basic forms of planning—strategic and operational, this article focuses on strategic planning. The purpose of strategic planning is to determine and reveal organizational purpose through long-term objectives, action programs, and resource allocation priorities. Strategic planning is presented from the context of an outcomes-driven development model and requires visioning, analysis of both external and internal factors, development of an organizational mission, identification of goals and objectives, and development of action plans.

A discussion of *Budgeting* is provided by David Baker, County Administrator for San Joaquin County, California. This chapter covers an essential and universally common activity for administrators—the budget process. It includes a discussion of what budgets are, outlines the budget practice, characterizes the budget environment, introduces the primary types of budgets used in government, and suggests several approaches to cutback budget management. It also includes an example of the budget of the San Joaquin Juvenile Probation Department.

The topic of *Personnel Management, Policies, Functions and Planning* is presented by Trish Huarte-Pechan, Manager of Personnel and Employee Relations for San Joaquin County, California. Her article, representing personnel issues of mid- to large-size counties, covers a number of critical topics and issues, including classification and job analysis, recruitment, testing and

selection, protected classes and non-discrimination, compensation, fair labor standards acts, public sector bargaining, performance evaluations, and disciplinary actions.

In her essay on *The Management of Human Resources*, Kathy Welch cites the likes of Abraham Lincoln, Norman Schwarzkopf, and Goethe as she ponders the leap from juvenile probation officer to juvenile probation administrator. She argues that to manage others (some of whom were recently peers) requires a new vision. The vision must expand from the needs of individual probationers to those of a large, complex organization. It must also include the qualities of integrity, leadership, teamwork, motivation and accomplishment of agency goals, both short- and long-term.

Tips for *Developing a Policies and Procedures Manual* are provided by John Buggy, Director of Systems Development for the Philadelphia Juvenile Court. Mr. Buggy argues that a hallmark of a well organized probation agency is an operations manual that is regularly consulted by staff to provide guidance in doing their work effectively. Operations manuals provide many benefits to the juvenile probation agency—a useful management tool, an important staff training resource, a handy reference document, a repository of information, and an organizational archive. Mr. Buggy carefully describes the critical steps for developing a policies and procedures manual ranging from the selection of a project coordinator and project team to the collection of existing documents to writing procedures and disseminating the manual.

The subject of *Automated Information Systems in Juvenile Probation* is covered by Patricia Torbet. Ms. Torbet describes the functional components of a good information system that meets the operational, management, and research needs of the juvenile probation department. In addition, the chapter describes design characteristics of information systems that meet the needs of staff and managers at all levels of the organization, and that address issues of organizational efficiency, effectiveness and performance. The chapter also provides a primer on databases and a brief discussion of integrated juvenile justice information systems.

Douglas Thomas in *Volunteers in Juvenile Probation Services* reminds us that volunteers have been important to providing juvenile probation services since the very inception of the juvenile court. Volunteers provide a

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number of advantages to juvenile probation agencies, including reductions in the workload of paid juvenile court staff, increased visibility and status of the juvenile court in the community, specialized expertise that may otherwise be unavailable, enhanced ability to provide one-to-one contacts with probationers, and enhanced or diverse services. This chapter covers a number of critical topics including roles for volunteers in juvenile probation, hints for avoiding obstacles to implementing volunteer programs, administrative responsibilities associated with implementing volunteer programs, and descriptions of three approaches to volunteers in probation.

Robert Kelgord, retired Chief Probation Officer of Sacramento, California describes several approaches to improving *Public Information and Media Relations for Juvenile Probation*. Mr. Kelgord describes several ingredients required for an effective, yet inexpensive public information and media relations program, including a speaker's bureau, informational pamphlets, facility tours, advertising using billboards and posters, radio and television broadcasts, awards dinners and luncheons, annual reports, press releases, public service announcements, articles in professional journals, and maintaining good relationships with media personnel.

## References

Douglas, Thomas. *Results of the JPOI Contemporary Challenges Forum*. Pittsburgh, PA: National Center for Juvenile Justice, 1995.

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## Chapter 1:

# Juvenile Probation: The Workhorse of the Juvenile Justice System\*

by

Patricia McFall Torbet

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In 1993 nearly 1.5 million delinquency cases were handled by juvenile courts. Virtually every one of those cases had contact with a probation officer at some point. Probation departments screened most of those cases to determine how they should be processed, made detention decisions on some of them, prepared investigation reports on most of them, provided supervision to over a half million of them, and delivered aftercare services to many of the juveniles released from institutions. Since 1929, when the first *Juvenile Court Statistics* report was published using 1927 data, probation has been the overwhelming dispositional choice of juvenile and family court judges. In 1993, 56 percent of all cases adjudicated for a delinquency offense received probation as the most severe disposition, compared with 28 percent that were placed in some type of residential facility, 12 percent that were given some other disposition (e.g., fines, restitution, or community service), and 4 percent that were dismissed with no further sanctions.

Over the past several years, the National Center for Juvenile Justice (NCJJ) has produced reports, parts of which describe the profession of probation or the youth on probation (see References). This information is compiled here to present the most comprehensive picture of juvenile probation activity in the Nation.

Generally, juvenile probation officers are college-educated white males, 30–49 years old, with 5–10 years of experience in the field. Typically the officers earn \$20,000–\$39,000 per year and receive standard benefits packages, but not necessarily annual salary increases. The average caseload is 41 juveniles. Although probation officers have some arrest powers, they do not normally carry weapons.

Some of the typical problems juvenile probation officers face are a lack of resources, not enough staff, and too many cases. Although they chose this line of work “to help kids,” their greatest sources of frustration are an

inability to impact the lives of youth, the attitudes of probationers and their families, and difficulties in identifying successes.

## The Profession

### What Is Juvenile Probation?

Juvenile probation is the oldest and most widely used vehicle through which a range of court-ordered services is rendered. Probation may be used at the “front end” of the juvenile justice system for first-time, low-risk offenders or at the “back end” as an alternative to institutional confinement for more serious offenders. In some cases probation may be voluntary, in which the youth agrees to comply with a period of informal probation in lieu of formal adjudication. More often, once adjudicated and formally ordered to a term of probation, the juvenile must submit to the probation conditions established by the court.

The official duties of juvenile probation professionals vary from State to State and can even differ between jurisdictions within a single State. Nonetheless, a basic set of juvenile probation functions includes: intake screening of cases referred to juvenile and family courts, predisposition or presentence investigation of juveniles, and court-ordered supervision of juvenile offenders.

Not all probation departments execute all three of these functions independently. For example, in some jurisdictions the prosecutor shares the intake responsibility with the probation officer, and in other jurisdictions the prosecutor has sole responsibility for the intake process. Similarly, probation responsibilities are not always limited to intake, investigation, and supervision. Some departments also provide aftercare for youth released from institutions; others may administer detention or manage local residential facilities or special programs.

## How Are Probation Departments Organized?

Probation services are administered by the local juvenile court or by the State administrative office of courts in 23 States and the District of Columbia. In another 14 States, probation administration is a combination of structures, usually with services administered by the juvenile court in urban counties and by a State executive system of probation in smaller counties. In 10 States probation is administered statewide through an executive branch department. In three States, the county executive administers probation (Table 1).

While juvenile probation services continue to be predominantly organized under the judiciary, recent legislative activity has primarily transferred these services from the local juvenile court to a State court judicial department. The transfer of juvenile probation services to State judicial administration is consistent with the emerging pattern of State funding of courts.

## How Many Juvenile Probation Officers Are There in the Country?

There are an estimated 18,000 juvenile probation professionals impacting the lives of juveniles in the United

States. Eighty-five percent of these professionals are involved in the delivery of basic intake, investigation, and supervision services at the line officer level; the remaining 15 percent are involved in the administration of probation offices or the management of probation staff.

**Table 1:  
Probation Supervision Tends To Be Administered by  
Local Juvenile Courts or by a State Executive Branch Agency**

State Administration		Local Administration	
Judicial Branch	Executive Branch	Judicial Branch	Executive Branch
Connecticut	Alaska	Alabama	<b>California</b>
Hawaii	<b>Arkansas</b>	Arizona	<b>Idaho</b>
Iowa	Delaware	<b>Arkansas</b>	<b>Minnesota</b>
<b>Kentucky</b>	Florida	<b>California</b>	<b>Mississippi</b>
Nebraska	<b>Georgia</b>	Colorado	New York
North Carolina	<b>Idaho</b>	District of Columbia	Oregon
<b>North Dakota</b>	<b>Kentucky</b>	<b>Georgia</b>	<b>Washington</b>
South Dakota	<b>Louisiana</b>		<b>Wisconsin</b>
Utah	Maine	Illinois	
	Maryland	Indiana	
	<b>Minnesota</b>	Kansas	
	<b>Mississippi</b>	<b>Kentucky</b>	
	New Hampshire	<b>Louisiana</b>	
	New Mexico	Massachusetts	
	<b>North Dakota</b>	Michigan	
	<b>Oklahoma</b>	<b>Minnesota</b>	
	Rhode Island	Missouri	
	South Carolina	Montana	
	<b>Tennessee</b>	Nevada	
	Vermont	New Jersey	
	<b>Virginia</b>	Ohio	
	<b>West Virginia</b>	<b>Oklahoma</b>	
	<b>Wyoming</b>	Pennsylvania	
		<b>Tennessee</b>	
		Texas	
		<b>Virginia</b>	
		<b>Washington</b>	
		<b>Wisconsin</b>	
		<b>Wyoming</b>	

Note: Bolded States indicate that probation is provided by a combination of agencies. Often larger, urban counties operate local probation departments, while the State administers probation in smaller counties.  
Source: Hurst, H., IV and Torbet, P. (1993). *Organization and Administration of Juvenile Services: Probation, Aftercare, and State Institutions for Delinquent Youth*. In Snyder, H. and Sickmund, M. (1995). *Juvenile Offenders and Victims: A National Report*.

## The Workhorse of the Juvenile Justice System

**Table 2:  
Probation Officers Report Differences in  
Their Actual and Optimal Caseloads**

Caseload	Urban	Suburban	Rural
<b>Overall</b>			
Current	47	40	30
Optimal	35	35	25

### How Large Are Probation Officers' Caseloads?

Survey results of those officers who reported an active field supervision caseload indicate that the size of caseloads within departments ranged between 2 to more than 200 cases, with a typical (median) active caseload of 41. The optimal caseload suggested by respondents was 30 cases (Table 2).

A comparison of caseloads across geographic areas (urban, suburban, and rural) revealed substantial differences. The median caseload for urban officers was greater than the median caseload for suburban officers, which, in turn, was greater than the median caseload for

**Table 3:  
There Are Major Differences in the Number of Probation Officers in Urban Jurisdictions**

City	1990 Census Population 10–Upper Age	Upper Age	Officers Reported 1993–1994	Duties				Officers/ 10,000 Youth 10–Upper Age
				I = Intake	V = Investigation	S = Supervision	A = Aftercare	
New York, NY	536,300	15	175	I	V	S		3
Chicago, IL	469,000	16	318	I	V	S		7
Houston, TX	288,300	16	208	I	V	S		7
Detroit, MI	212,100	16	100	I	V	S		5
Los Angeles, CA	943,500	17	404	I	V	S		4
Orange, CA	242,000	17	148	I	V	S		6
Phoenix, AZ	225,400	17	275	I	V	S	D	12
Miami, FL	201,900	17	191	I	V	S	A	10
Philadelphia, PA	158,800	17	190	I	V	S	A	12
Cleveland, OH	142,500	17	105	I	V	S		7
Seattle, WA	137,100	17	95	I	V	S		7
Oakland, CA	120,500	17	120	I	V	S		10
Memphis, TN	95,600	17	65	I	V	S	A	7
Cincinnati, OH	92,200	17	34		V	S		4
Minneapolis, MN	91,700	17	82	I	V	S	A	9
Fairfax, VA	88,100	17	95	I	V	S	A	11
Newark, NJ	83,000	17	38			S		5
Baltimore, MD	70,500	17	142	I	V	S	A	20
Oklahoma City, OK	64,600	17	25	I	V	S		4

Note: "Officers Reported 1993–1994" count includes local juvenile probation administrators, supervisors, line staff, and special program staff (e.g., community service and drug and alcohol program officers).

Source: Hurst, H., IV and Vereb, P. (1995). Special Analysis of the Juvenile Probation Officer Initiative Database.

rural officers. Similarly, urban and suburban juvenile probation officers reported a higher optimal caseload than rural officers. Rural officers are more likely than their urban or suburban counterparts to carry a mixed caseload of both adult and juvenile cases.

### How Do Urban Counties Compare in Terms of Department Size?

Table 3 presents manpower rates for several urban jurisdictions. All have specialized juvenile probation departments; therefore, mixed caseloads of adults and juveniles are not an issue.

At first glance it appears that New York is understaffed relative to Chicago. However, the upper age of juvenile court jurisdiction in New York is 15; it is 16 in Illinois. Even though rate calculations control for upper age differences, older juveniles generate more delinquency referrals than younger juveniles. While 16-year-olds constitute about 14 percent of the population aged 10–16 nationwide, they account for more than 25 percent of delinquency referrals to courts in jurisdictions with an upper age of 16. The exclusion of 16-year-olds from juvenile jurisdiction has a dramatic effect on the need for juvenile probation staff.

In addition to mixed caseloads and upper age differences, other variables that impact department or caseload size include the range of functions performed by juvenile probation, the range of juvenile behaviors prohibited by law, and the number of crimes excluded from juvenile court jurisdiction. Moreover, the extent to which laws are enforced and crimes are cleared with an arrest varies between jurisdictions, as does the involvement of prosecutors and the use of diversion or informal handling.

### How Much Do Juvenile Probation Officers Earn?

Over three-quarters of all survey respondents earned less than \$40,000

per year. More than half (53 percent) of line staff earned less than \$30,000 per year, but 13 percent earned \$40,000 per year or more. Nearly 30 percent of the administrators earned more than \$49,999 per year. Very few line staff reported earning salaries higher than that.

Only 28 percent of the respondents indicated that they routinely received annual salary increases; 30 percent replied that they received none; and 42 percent indicated that it varied whether they received increases. Of those that did receive annual salary increases, 50 percent received increases of less than 4 percent annually, 47 percent received increases of 4–6 percent, and fewer than 3 percent received increases in excess of 6 percent.

### Youth on Probation

#### What Is the Volume of Cases Placed on Probation?

In 1993, 35 percent (520,600) of all formally and informally handled delinquency cases disposed by juvenile courts resulted in probation. Probation was the most severe disposition in over half (56 percent) of *adjudicated* delinquency cases, with annual proportions remaining constant for the 5-year period 1989–1993.

The 1.5 million delinquency cases handled by juvenile courts in 1993 represented a 23-percent increase from 1989. Similarly, the number of juvenile cases placed on probation (either formally or informally) increased 21 percent, from 428,500 in 1989 to 520,600 in 1993. The

**Table 4:  
Probation Caseloads Are Growing**

Offense	Number of Adjudicated Cases Placed on Formal Probation		Percent Change
	1989	1993	
Delinquency	216,900	254,800	17%
Person	37,200	53,900	45
Property	126,300	136,600	8
Drugs	17,600	17,500	0
Public Order	35,900	46,800	30

Note: Detail may not add to totals because of rounding. "Percent Change" calculations are based on unrounded numbers.

Source: Butts, J., et al. (1995). *Juvenile Court Statistics 1993*. NCJ 159535.

**Table 5:  
Offenses Against Other  
Persons Make Up a Growing  
Proportion of Probation Officers'  
Caseloads**

Offense	1989	1993
Person	17%	21%
Property	58	54
Drugs	8	7
Public Order	17	18
Total	100%	100%

Cases  
Resulting  
in Formal

Probation:           216,900   254,800

Note: Detail may not total 100 percent because of rounding.

Source: Butts, J., et al. (1995). *Juvenile Court Statistics 1993*. NCJ 159535.

growth in probation caseloads was directly related to the general growth in referrals to juvenile courts. The likelihood of a probation disposition did not change, because judges did not increase the rate at which they used probation as a disposition. During this same period, the number of *adjudicated* cases placed on *formal* probation increased 17 percent, from 216,900 to 254,800, and the number of cases involving a person offense (homicide, rape, robbery, assault, kidnaping, etc.) resulting in formal probation increased 45 percent (Table 4).

### What Is the Profile of Cases Placed on Probation?

Most cases (54 percent) placed on formal probation in 1993 involved youth adjudicated for property offenses; 21 percent involved person offenses; 18 percent involved public order offenses; and 7 percent involved drug law violations (Table 5). Even though most of the cases placed on probation are for property offenses (because most cases seen by juvenile courts are property cases), the offense profile of cases placed on formal probation changed slightly between 1989 and 1993, with an increase in the proportion of cases involving person offenses. Probation caseload changes reflected overall delinquency caseload changes in terms of growth and offense profile—the

majority of cases processed by juvenile courts remained property offenses, but the court also experienced an increase in cases involving person offenses. To the extent that probation is a mirror of what juvenile courts are facing, it is not surprising that probation officers are finding more violent youth on their caseloads. Moreover, while there has not been a change in judicial use of probation as a disposition, the increase in violent youth on probation may very well be a result of a lack of secure beds for these offenders. Probation is the only alternative.

### Challenges to Probation

The field of probation is staffed by dedicated individuals who believe that young persons who break the law can change their behavior in favor of law-abiding activities. Probation departments cannot, however, limit their intake of probationers like private providers or State training schools, which routinely operate over capacity and often have caps on admissions. In that sense, probation is the “catch basin” of the juvenile justice system and is being confronted with increasing and, as indicated below, more dangerous caseloads.

In fact, one of the biggest issues facing the field of juvenile probation is on-the-job safety. There is a growing perception that the work of juvenile probation is increasingly dangerous. Almost one-third of the survey respondents reported that they had been assaulted on the job at some point in their careers. When asked whether, during the course of their duties, they were ever concerned about personal safety, 42 percent of the respondents reported that they were usually or always concerned.

Balancing juvenile probation officers’ safety and the safety of the public with probationers’ needs is a major challenge. Many departments have developed creative and successful intensive supervision and school-based programs that target special populations of probationers; however, there is increased pressure to do much more community-based programming.

Indeed, in the face of rising caseloads, fixed resources, public demand for more accountability, and serious safety concerns, the mission of probation will need to evolve even further to respond not only to juvenile offenders but also to the community.

An emerging issue for probation departments seeking some reasoned relief from juvenile justice policies that shift between just deserts and treatment philosophies is

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whether to embrace a paradigm that encompasses yet another philosophy. The “balanced approach” and “restorative justice” concepts evoke new ways of looking not only at the delivery of probation services, but also the continuum of services available to respond to juvenile offenders in the community. The balanced approach (see Maloney, Romig, and Armstrong, 1988) espouses the potential value in any case of applying, to some degree, an entire set of principles—community protection, accountability, competency development, and/or treatment—along with individualized assessment. Restorative justice (see Umbreit, 1989) promotes maximum involvement of the victim, offender, and community in the justice process. These two concepts have been combined into the “balanced and restorative justice” model, which suggests that justice is best served when the community, victim, and youth receive balanced attention, and all gain tangible benefits from their interactions with the juvenile justice system. Future bulletins will address these issues in an attempt to support juvenile justice professionals on the front lines in finding new solutions to emerging problems. An upcoming OJJDP Program Summary will highlight the American Probation and Parole Association’s program for early identification of and appropriate intervention for drug-involved youth.

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\* Indicates documents available from the Juvenile Justice Clearinghouse, 800-638-8736; all others available from NCJJ.

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## Chapter 2:

# Principles of Public Administration

by

Douglas W. Thomas

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### Public administration and juvenile probation

Effective administration is critical to success in any organization. Juvenile probation agencies are organizations that operate in an extremely complex system—the juvenile justice system—and in an extremely turbulent political and social environment. Success in juvenile probation programs, therefore, depends on the effective administration of those programs. Unfortunately, building an effective administrative capacity is too often overlooked or completely ignored in planning, developing, and implementing juvenile probation programs.

Unlike the private sector, public sector organizations do not have a lengthy tradition of developing a capacity for good administration. Juvenile court agencies are not an exception to the rule. The traditional path towards administration in juvenile probation agencies rarely involves specialized training or education in the administrative sciences. In fact, the traditional key ingredients to being promoted to administrative positions in most human services agencies, including juvenile probation, are length of time within an organization and the ability to perform well at the line level.

Unfortunately, there is little common ground between good juvenile probation practices and good administrative skills. A common result of this situation is that juvenile probation agencies promote good probation officers to positions of management without any assurance that they have the knowledge, skill, or experience to manage complex organizations. Sometimes, this works out. More often, however, probation departments are left with an administrator muddling through as best he or she can without training and without guidance.

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To understand the basic principles of juvenile probation administration one must first come to grips with the context in which juvenile probation departments are administered. The study and practice of administration is often divided between *business administration* on one hand and *public administration* on the other hand. Understanding this distinction is critical to understanding the administration of juvenile probation agencies for juvenile probation administration is rooted firmly on the side of public administration.

### What is public administration?

Simply stated, public administration is the study and practice of public bureaucracy. More specifically, public administration is a broad-ranging and complex combination of theory and practice designed to promote a greater understanding of government and its relationship with the society it governs. The theory and practice of public administration should also serve to encourage public policies to be more responsive to social needs while instituting managerial practices on the part of the public bureaucracies that are effective, efficient, and increasingly responsive to the needs of the consumers of public policy, the citizens (Henry, 1975).

Traditionally, the study and practice of public administrative practice has rested on three primary conceptual pillars: 1) organizational behavior and the behavior of people in public organizations; 2) the technology of management; and 3) the public interest as it relates to individual and ethical choice and public affairs (Baily, 1968).

The behavior of organizations and people has traditionally been described in terms of the bureaucracy and how people relate to bureaucratic structures. The technology of management involves an array of arts, sciences, and skills designed to achieve the objectives of

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the organization, including planning, organizing, budgeting, and management of human resources. The inclusion of the public interest introduces politics into public administration—public sector entities exist, in theory at least, to carry out the will of the people.

How does public administration differ from the political and the administrative sciences, its two closest conceptual cousins? Unlike political science which has to do with citizens or government, the emphasis in public administration is on bureaucratic structure and behavior. Unlike the pure administrative sciences which are more likely to emphasize *profit* as the bottom-line outcome, the study and practice of public administration places a heavy emphasis on the *public interest* in decision making structures and administrative behavior (Henry, 1975).

#### Public administration - the early years

The study of public administration is a comparatively new discipline, dating from the publication of an article by Woodrow Wilson in the *Political Science Quarterly* in 1887. In that seminal article, Wilson observed that it was “getting harder to *run* a constitution than to frame one,” and argued that public administration is a field worth studying. However, Wilson remained ambivalent about what public administration really was and failed to “amplify what the study of administration actually entails, and what the proper relationship should be between the administrative and the political realms and whether or not administrative study could ever become an abstract science akin to the natural sciences” (Stilman, 1973).

Since Wilson’s article appeared in 1887, scholars and practitioners of public administration have wrestled with the essential dichotomy between politics and administration. In fact, the dynamic tension between politics and administration has remained the essence of the various models of public administration articulated by scholars and practitioners in the more than 100 years since the concept of public administration was first introduced. Public administration during the first quarter of the twentieth century was dominated by the notion that government consisted of two mutually exclusive functions, *politics* involved the policies or expressions of the state will while *administration* involved the execution of those policies (Goodnow, 1900).

The distinction between politics and administration was nicely summarized in the popular turn-of-the-century statement that “there is no Republican way to build a road,” meaning that both Republicans and Democrats would be beholden to the administrative specifications of engineers for laying asphalt. However, this view point was, at best, naive because there was indeed a:

Republican way to decide whether the road needed building, a Republican way to choose the location for the road, a Republican way to purchase the land, a Republican way to displace the people living in the road’s way, and most certainly a Republican way to let contracts for the road. There was also, and is, a Democratic way, a Socialist way, a Liberal way, and even an Anarchist way to make these “administrative” decisions as well (Henry, 1975).

In spite of this seemingly obvious observation, public administration in the first quarter of the twentieth century was dominated by the following “truths”: 1) politics should not intrude on administration; 2) management lends itself to scientific study; 3) public administration is capable of becoming a “value free” science in its own right; and 4) the exclusive mission of administration is economy and efficiency (Waldo, 1968).

The fanciful, but common, perception among early scholars and practitioners of public administration that their discipline should be value-free and empirical led to the emergence of the notion that public administration consisted of certain scientific principles that could be identified, articulated, and perfected. If the principles of public administration could be accurately identified, then these principles could be employed effectively in a variety of settings regardless of the culture, function, environment, mission, or institutional framework of the organization. That is to say, an individual carefully trained in the administrative sciences could, theoretically, be equally effective administering juvenile probation operations or the sanitation department.

The era of *principles of public administration* reached its zenith in the late 1930s with the publication of Luther Gulick and Lyndall Urwick’s *Papers on the Science of Administration*:

It is the general thesis of this paper that there are principles which can be arrived at inductively from the study of human organization which should govern arrangements for human association of any kind. These principles can be studied as a technical question,

irrespective of the purpose of the enterprise, the personnel comprising it, or any constitutional, political or social theory underlying its creation (Gulick and Urwick, 1937).

Gulick and Urwick identified seven basic principles of administration: 1) **P**lanning; 2) **O**rganizing; 3) **S**taffing; 4) **D**irecting; 5) **C**oordinating; 6) **R**eporting; and 7) **B**udgeting. The identification of these seven basic principles gave practitioners and scholars of administration more than just a foundation for practice and empirical research, they also introduced the unfortunate acronym POSDCORB (note highlighted letters in list above).

While these principles continue to shape the direction of public administration (some of the major chapters of this desktop guide, for example, fit into the POSDCORB paradigm), they also came under immediate challenge from scholars of public administration on two fronts: 1) the continued objection that politics and administration are not, and cannot be, mutually exclusive; and 2) attempts to demonstrate the fact that the “principles” of administration could not withstand logical or empirical objections. And so the debate continued.

### Public administration - the post W.W.II years

From the 1950s to the 1970s the debate regarding public administration continued to address the essential politics / administration dichotomy. It also revolved around determining the proper place of the discipline. Is public administration legitimately in the domain of political science from whence it came? Or, is public administration better situated within the realm of the administrative sciences (i.e., organization theory, management science). Whether one argues that public administration is the province of political science or administrative science, one conclusion is clear: public administration loses its identity, its “uniqueness,” within the parameters of a larger discipline (Henry, 1975).

Further confusing the study of public administration is the increasingly blurred distinction between what is “private” and what is “public.” It has always been a difficult task to determine, with any degree of finality, the distinction between public affairs and private affairs. Where does the public interest end and private interest begin? This tension is marvelously illustrated in *The Fifties*, David Halberstam’s book about the 1950s. In a chapter devoted to the industrial explosion that characterized this decade, Halberstam described the relationship between big business and big government:

If there was a symbol of America’s industrial might in those years, it was General Motors, a company so powerful that to call it merely a corporation seemed woefully inadequate. It was the largest, richest corporation in the world and would, in the coming decade become the first corporation in the history of mankind to gross a billion dollars....General Motors dominated the market so completely that when one of its top executives, Charlie “Engine” Wilson, left GM to become Eisenhower’s defense secretary, he was widely quoted as saying what was good for General Motors was good for the country. That is probably what he *thought*, but what he actually *said* was: “We at General Motors have always thought that what was good for the country was good for General Motors as well (Halberstam, 1993).

A more timely example (and more to the point of this document) of the blurred distinction between the public and the private arenas is provided in an article in the Pittsburgh Post-Gazette describing efforts of the Mayor of Pittsburgh to spend \$200,000 of foundation-donated money to combat youth gang violence in Pittsburgh. The money was donated to the city by a dozen local foundations for the purpose of developing long-term solutions to youth crime problems, including creating jobs and recreational and social opportunities in an effort to turn youths away from gangs. However, city administration officials were keen to spend the money on summer jobs for the youths rather than on longer-range planning, as the foundations intended (Barnes, 1994).

The question, then, is how does a public entity (the city government) spend funds donated from private sources (foundations) on a public issue (youth gang involvement) that is not within the standard administrative domain of city government? City governments are better suited to spending budgeted amounts of taxpayers money on concrete issues that are critical to the efficient operation of the city (e.g., roads, sewer and water systems, law enforcement). However, the public administration dilemma is painfully clear in Pittsburgh’s struggle with responding to a critical public policy issue (fear of youth violence) with an ambiguous policy mandate (foundation money as opposed to taxpayers money) and without the available administration, knowledge, skills, or technology to effectively address the issue. The solution in Pittsburgh, not surprisingly, was to table the initiative indefinitely.

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## Public administration at the end of the 20th century—re-inventing government in an entrepreneurial age

The last quarter of the 20th century has witnessed widespread disillusionment with government at all levels and public sector endeavors. Since the mid-1970s a debate over the health, vitality, and indeed, the very viability of government as we know it has raged across the political spectrum. The perceived inability of government at the national, state, and local level to address the real concerns of citizens across the Nation, resulted in public opinion ranging from apathy to open rebellion.

David Osborne and Ted Gaebler describe traditional governments as “the kind that developed during the industrial era, with their sluggish centralized bureaucracies, their preoccupation with rules and regulations, and their hierarchical chains of command.” These governments are widely perceived as “bloated, wasteful, ineffective, too slow to change with the times” (Osborne and Gaebler, 1993).

Osborne and Gaebler suggest that because the old bureaucratic paradigm of government is not adequately meeting the needs of citizens, government is being re-invented, particularly at the local level. Following the lead of private sector reform efforts, government entities across the country are experimenting with revolutionary changes in how the business of government is conducted, including efforts to increase competitiveness through: 1) decentralization of authority; 2) flattening organizational hierarchies; 3) increasing the emphasis on the quality of goods and services; 4) becoming more flexible; 5) increasing innovation; and 6) paying closer attention to constituents or “customers.”

These are all characteristics of an *entrepreneurial* approach to government. Strictly speaking, *entrepreneurs* are those who constantly strive to use resources in new ways to maximize productivity and effectiveness. An *entrepreneurial* model of government, then, is one in which public sector institutions constantly and habitually use their resources in new ways to heighten both efficiency and effectiveness. Entrepreneurial institutions seek opportunities (as opposed to avoiding risks), encourage innovation and flexibility, are in-tune to both the external and internal environments in which they operate, have a vision of what they are and where they are going, have clearly articulated goals, and measurable objectives.

Osborne and Gaebler (1993) identified the following 10 fundamental principles of entrepreneurial government operations:

- n They promote competition within the organization and among service providers and contractors.
- n They empower citizens by taking control out of the bureaucracy and placing it in the community.
- n They measure performance in terms of outcomes.
- n They are mission-oriented and driven by clearly articulated goals and objectives.
- n They define clients (or the public) as customers, and offer choices.
- n They are proactive, they identify and prevent problems before they occur.
- n They emphasize earning money or generating resources as opposed to simply exhausting budgets.
- n They decentralize authority and embrace self-initiative and participatory management.
- n They prefer *market* mechanisms to bureaucratic mechanisms.
- n They serve as *catalysts* to mobilize public, private, and community resources to address public issues.

### *Entrepreneurial Justice*

While criminal and juvenile justice systems tend to be large, monolithic, rule-bound bureaucracies, there are some recent examples of the application of the entrepreneurial model to justice programs. When this occurs, justice agencies provide the public with: 1) some level of control over public safety (e.g., victim - offender reconciliation); 2) a range of interventions (e.g., mediation, restitution, community service, teen courts); 3) mission driven court systems (e.g., the “balanced approach”); 4) a system that takes advantage of competition as opposed to bureaucratic monopolies; and 5) a system that ties funding to outcomes (Osborne and Gaebler, 1993).

Community Oriented Policing (C.O.P.) represents one example of the entrepreneurial model applied to the administration of justice. The basic idea behind community oriented policing is to take public safety and make it a *community* responsibility, as opposed to the sole responsibility of the police. Community oriented policing adds an element to traditional policing. In addition to law

enforcement and investigations, police become *community resource catalysts*—they draw together community resources, provide non-traditional services, back-up, and training (Osborne and Gaebler, 1993).

The Community Intensive Supervision Program (CISP) run by the Allegheny County (Pittsburgh, PA) Juvenile Court, demonstrates the entrepreneurial spirit in juvenile justice. CISP functions as an alternative to institutionalization for repeat juvenile offenders. CISP staff include juvenile probation officers and community monitors who are recruited from the community in which they work and from which youth participating in the CISP programs live. CISP offers a full range of programming, daily structure, and positive role model and behavioral alternatives. In addition to staffing the CISP program with individuals that live in the community, CISP emphasizes indigenous service providers and partnerships with the full range of resources available to the CISP centers within the community they reside, including community-oriented policing, the schools, grass-roots development corporations, local businesses, and drug and alcohol treatment providers.

**Juvenile Probation Administration**

Juvenile probation administration is a broad-ranging and complex combination of theory and practice designed to promote a greater understanding of juvenile probation organizations and their relationships with the communities they serve. The theory and practice of juvenile probation administration should also serve to enhance the essential mission of juvenile probation as stated in the *Desktop Guide to Good Juvenile Probation Practice*:

to assist young people to avoid delinquent behavior and to grow into mature adults and to do so without endangering the community (Torbet, et al., 1991).

**“Why can’t you run juvenile probation like a business?”**

A common question posed by both students of public administration and public administrators with a great deal of experience is “Why can’t we run the business of the public like a private business.” This is very often a comforting notion for people trying to come to grips with the intricacies of running a complex organization in the public domain. It is particularly alluring given the virtual monopoly that public entities have on the services provided or goods produced. It seems logical, at first blush, that given the lack of competition and a presumably unambiguous mandate for action, public agencies should be able to apply the principles of good business practice and effectively carry out the business of the people.

The problem is, however, that there is a basic and fundamental difference between the business of the people and the business of business—government exists to serve the people while business exists to make profits. Other critical differences between private sector enterprises and public sector enterprises are summarized below.

**Private sector enterprises are characterized by....**

- n profit motive
- n money from customers
- n competition
- n outcome orientation
- n desire to please customers
- n risk - taking behavior
- n closed decision making process
- n reliance on market efficiencies
- n a bottom line of profits

**Public sector enterprises are characterized by....**

- n desire to get re-elected
- n money from tax payers
- n monopolies
- n process orientation
- n desire to please interest groups
- n risk - avoiding behavior
- n open decision making process
- n mandate to serve equally
- n a bottom line of public good

Source: Osborne and Gaebler, 1993.

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To achieve this essential mission, juvenile probation administrators must be skilled at implementing the traditional basic principles of organizational administration (i.e., planning, organizing, staffing, directing, coordinating, reporting, and budgeting). Probation administrators must also, however, be sensitive to the social and political context in which probation organizations operate. The *Desktop Guide* provides clear markers for successfully navigating that environment. Good probation services, and hence the effective administration of juvenile probation services, requires that those services are based on:

- n **A strong sustained commitment to people:** Juvenile probation officers operating at the highest level should have a strong sustained commitment to people and to providing individualized treatment. Juvenile probation officers learn about probationers from many sources including family members, employers, teachers, and the police. Juvenile probation administrators should be prepared to support and enhance community-based and individually-oriented services.
- n **Family involvement:** Effective juvenile probation officers make great efforts to involve the juvenile's family members in the interventions and programs for those on probation. They work with the family to gather information about the youth, to address issues within the family that may contribute to delinquent behavior, and to enlist the families help in implementing interventions or treatment programs. Juvenile probation administrators should support and enhance opportunities to involve families at all stages of probation.
- n **Involvement with community agencies:** Good juvenile probation officers make extensive use of community agencies in the supervision of juveniles on probation. Partner agencies may include the police, mental health, and schools. This requires a willingness on the part of juvenile probation administrators to establish and maintain collaborative relationships with a broad range of community agencies.
- n **Informal community involvement:** The development of community strength and harmony is essential to good juvenile probation practices. Juvenile probation programs can facilitate the development of greater community harmony by helping to solve problems that are not directly related to juvenile probation, supporting graffiti removal programs, for example. Effective juvenile probation administrators will create opportunities to know, understand, and be an active participant in a wide range of community initiatives.

n **Opportunistic supervision:** Effective probation programs for juveniles include an *opportunistic* quality. That is to say, effective juvenile probation interventions often take advantage of unforeseen opportunities that were not originally planned. For example, involving the youth with a mentor when a positive adult role model arrives on the scene and expresses interest in the youth. This, of course, requires flexibility and vision on the part of the probation agency as well as confidence and judgment on the part of the probation officer (Torbet, et al., 1991).

Clearly, effective administration of juvenile probation departments requires that juvenile probation administrators have the skills and knowledge to effectively negotiate the complex tensions between the *technology* of juvenile probation administration and the turbulent *political environment* in which administrative decisions are made. Effective juvenile probation administration practices should facilitate the development of juvenile justice policies that are responsive to community needs while instituting managerial practices that are effective, efficient, and increasingly responsive to the needs of the direct consumers of juvenile justice policy, the community, the youths on probation, and the victims of juvenile offenses.

## Summary

In this chapter, it was argued that success in juvenile probation is dependent upon the good and effective administration of probation programs. It was further argued that juvenile probation agencies, in general, do not have a long tradition of developing staff to be effective managers and administrators. More often than not, probation agencies promote good juvenile probation officers to positions of management and administration, usually with no specialized training or preparation in either management or administration. The purpose of this chapter was to present a discussion of the basic principles of public administration, contrast public and private (or business) administration, and apply principles of public administration to juvenile probation.

Historically, the study and practice of public administration has been characterized by an essential conflict between the political content of administration (i.e., the body politic as “customer”) and the technical content of public administration (i.e., *PODSCORB*). In recent years a new paradigm of government, an *entrepreneurial* model, has caused many scholars and practitioners of public administration to approach the work of the public sector from a different perspective—less bureaucratic, more experimental, less turf oriented, oriented more toward valued outcomes as opposed to traditional processes.

The critical distinction between public administration and business administration lies directly in the “bottom-line,” or ultimate goal, for each discipline. For business administration, the bottom-line is *profit*. Private sector enterprises earn money from customers, subject to market forces and competition, strive to please customers, embrace risk-taking, and are characterized by a closed decision-making processes. For public administration, the bottom-line is the *public good*. Public sector endeavors receive funding from taxpayers, are monopolistic enterprises, lack competition for their services, strive to please interest groups, avoid risk, and are mandated to serve all people equally.

Juvenile probation administration is a broad-ranging and complex combination of theory and practice designed to negotiate the complex tensions between the *technology* of operating a juvenile probation agency and the turbulent *political environment* in which probation agencies operate. Effective juvenile probation administration facilitates the development of juvenile justice policies that are responsive to the needs of citizens while instituting effective and efficient managerial and organizational practices.

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## Chapter 3:

# Organization Matters

by

Douglas W. Thomas

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### Organization and Juvenile Probation

When one thinks of juvenile probation, one usually thinks of one or more of the disciplines associated with the profession—social work, law enforcement, criminal justice, the judiciary, sociology, perhaps even the administration of justice. However, very few people think in terms of the *organization* of juvenile probation. Perhaps it is just as well that people do not focus on something as esoteric as the organization when contemplating the work of juvenile probation. After all, it is the work of people addressing the needs of youth and the communities they live in that is the essence of juvenile probation.

Still, organization matters. The study of organizations is one of the critical components of the “continuous search for the most effective means by which people can be organized into social units in order to achieve the goals of their companies, their governments, or themselves” (Shafritz and Ott, 1987). Organization matters because juvenile probation is not a solitary endeavor, it is a multifaceted profession that relies on complex organizational relationships, both within and without the juvenile probation agency. Organization matters because the mission of juvenile probation is both grand and daunting and solid organization and structure is required to achieve such a mission.

The role of the organization has been recognized in other grand and daunting endeavors of the twentieth century:

“What was once said of the first atomic bomb is now said of the first U.S. voyage to the moon: It was as much an achievement of organization as it was of engineering and science” (Shafritz and Ott, 1987).

Likewise, the achievements of juvenile probation have been as much achievements of organization as they have been individuals or individual disciplines. Similarly, the failures of juvenile probation are likely to be failures of organization as well as failures of individuals. How often has it been said about a youth on probation that “the system let him down” or “that one fell through the cracks?” These are lamentations against the system and the organization, not against individuals or disciplines. Organization does, indeed, matter and to be effective, juvenile probation administrators must have an understanding of organizational theory and practice.

### Organizations and Organizational Theory

An organization is a social unit with some particular purpose. Organizations are “open systems” that are influenced by and have an impact on the social environment in which they operate. The basic elements of organizations have remained relatively constant throughout history. Generally, organizations are characterized by:

- n Purpose: Organizations exist to achieve some purpose. Sometimes the purpose is clear (e.g., to run the railroad on time) sometimes the purpose is not so clearly defined (e.g., to serve the community).
- n Participants: Organizations are comprised of people. Organizations are social entities and subject to the needs, whims, and dynamics of people participating in a social endeavor.
- n Resources: Organizations must acquire and allocate resources to meet their goals. Resources include people, time, money, raw materials, knowledge and skills.

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- n Structure: To accomplish goals, organizations require a structure to divide and coordinate activities. Effective organizations can be highly structured, bureaucratic, and hierarchical (e.g., the military), they can also be relatively unstructured, flat, informal (e.g., farming cooperatives).
- n Leadership: Organizations rely on certain members to lead or manage others. Leadership can take many forms, ranging from hierarchical and autocratic to charismatic.

### Early Organizational Theory

Early organizational theory envisioned organizations as machines, using people, capital, and technology as the working parts. The first theories about organizations were thus concerned primarily with organizational structure and efficiency. The goal was to develop the most *efficient organizational machine*—that is, get the most productivity with the least resistance. According to classical organizational theory: 1) organizations exist strictly to accomplish production-related and economic goals; 2) there is one best way to organize for production; 3) that one best way can be found through systematic, scientific inquiry; 4) when the one best way is identified, production can be maximized through specialization and division of labor; and 5) people and organizations act in accordance with rational and predictable economic principles and, hence, can be controlled.

Frederick Taylor (*circa* 1916), was known as the father of the *scientific management* movement and is perhaps the best known of the classical theorists. He pioneered the development of time in motion studies and premised his work on the notion that there is “one best way” for an organization to do work. In Taylor’s view, factory workers would be a great deal more effective if their work was designed scientifically. Taylor’s scientific management sought to increase output by employing the fastest, most efficient, and least fatiguing production methods.

Other early organizational theorists included Adam Smith (*circa* 1776) and Charles Babbage (*circa* 1832), who pondered the division of labor; Henri Fayol (*circa* 1916), who articulated general principles of management; Luther Gulick and Lyndall Urwick (*circa* 1937) who identified several principles of managing organizations (Planning, Organizing, Directing, Coordinating, Reporting, and Budgeting - PODSCORB); and Max Weber (*circa* 1946),

who studied and wrote of *bureaucratic* organizations.

### Evolving Theory of Organizations - The Human Side of Organizations

The early theories of organizational behavior largely ignored the “human side” of organizations and emphasized directing, motivating, and controlling the actions of workers. Over the years, however, students and practitioners of organizational behavior began to understand that, to be effective, organizations must pay attention to the needs of organizational participants (i.e., workers, managers, partners, and consumers of services). These needs include: 1) physiological (i.e., rest, shelter, exercise); 2) safety (i.e., protection against danger, threats, deprivation); 3) social (i.e., association, belonging, acceptance); 4) ego (i.e., self-esteem, status); and 5) self-fulfillment (i.e., the need to realize one’s own potential).

Douglas McGregor’s (*circa* 1956) “Theory X” and “Theory Y” provided a convenient summary of the differences between the classical view of organizations and a more modern, broader view of organizational behavior. Theory “X” represents the conventional view, characterized by control and restricting human behavior to meet predetermined organizational goals. Theory “Y” represents a process primarily of creating opportunities, releasing potential, removing obstacles, encouraging growth, and providing guidance. The basic distinction between the competing schools of thought is *management by control* (X) as opposed to *management by objectives* (Y) (McGregor, 1987).

### Juvenile Probation Organizations

Juvenile probation agencies exhibit all of the classic characteristics of organizations. All juvenile probation departments have a stated purpose, although, sometimes the purpose of the juvenile probation agency is not always as clear as one might imagine. In fact, the long standing tension between law enforcement (“Tail ‘em, nail ‘em, and jail ‘em.”) and social work (“If I turn around just one child, then all my efforts will have been worth it.”) is pervasive among many probation agencies.

Juvenile probation organizations are usually quite complex with a whole host of direct participants, including juvenile court judges, administrative staff, supervisors, line officers, clerical staff, and specialists. They also include a host of participants who are not directly related to the organization per se, but critical to the operation, including delinquent youth and their families, extended family

members, social service partners and other service contractors.

Juvenile probation agencies are public entities and even “privatized” juvenile probation agencies rely on public funds for their resources. In addition to the standard organizational resources (e.g., public funding, physical plant, office supplies, human resources), juvenile probation agencies also have at their disposal a wide-range of non-traditional community-based resources (e.g., volunteers, grass roots community agencies, recreational assets, extended families).

Juvenile probation agencies tend to be bureaucratic, marginally hierarchical, and moderately structured. Juvenile probation officers are likely to have to answer to at least one juvenile court judge, a juvenile probation administrator, and a supervisor. However, with the exception of formal paper work or court appearance requirements, they are also likely to have a great deal of discretion in organizing their daily tasks (e.g., scheduling interviews, completing reports, conducting home visits, making contacts with probationers). They are also likely to have a fairly significant degree of discretion in the recommendations that they make to their supervisors or their judges regarding the disposition of cases.

To be effective, juvenile probation administrators should have, at the very least, a working knowledge of organizations and how they operate. Probation administrators should be knowledgeable of the structure, technology, and functions of organizations in complex society. At a minimum, probation administrators should be familiar with the basics of running organizations—managing people and events, planning, budgeting, coordinating efforts, and interacting with external agencies, groups, and individuals.

Effective probation administrators must also be familiar with the human side of the enterprise. Juvenile probation departments are not factories and probation officers are not widget makers. The technology of juvenile probation services is the technology of human interaction. Accordingly, juvenile probation administrators must be sensitive to the needs of both workers and “clients.” They must be skilled motivators and exhibit leadership qualities. Effective juvenile probation administrators will help articulate clear goals and objectives for the organization and empower juvenile probation staff to direct their behavior toward achieving those common goals and objectives.

Because juvenile probation is, at its core, a public endeavor, effective juvenile probation administrators will be in tune to the public, or political, side of the

<b>Theory “X” - Conventional View of Management by Control</b>	<b>Theory “Y” - A New View of Management by Objectives</b>
<ul style="list-style-type: none"> <li>■ Management is responsible for organizing the elements of productive enterprise in the interest of economic ends.</li> <li>■ People by nature are indolent, interested in working as little as possible, lacking in ambition, dislike responsibility and prefer to be led.</li> <li>■ With respect to people, organizations must direct their efforts, motivate them, control their actions and modify their behavior to fit the needs of the organization.</li> <li>■ Without active intervention by management, people would be passive, even resistant, to organizational needs. They must, therefore, be persuaded, rewarded, punished, controlled, or directed.</li> </ul>	<ul style="list-style-type: none"> <li>■ Management is responsible for organizing the elements of productive enterprise in the interest of economic ends.</li> <li>■ People are not by nature passive or resistant to organizational needs. They have become so as a result of experience in organizations.</li> <li>■ With respect to people, it is the responsibility of management to make it possible for people to recognize and develop their capacity for responsible, goal-directed behavior.</li> <li>■ The essential task of management is to arrange organizational conditions and methods of operation so that people can achieve their own goals <i>best</i> by directing <i>their own</i> efforts toward organizational objectives.</li> </ul>

Source: McGregor, 1987.

process protections. There are also issues regarding control over interventions—should juvenile courts operate their own interventions or should they monitor the work of contractors?

organizational environment. This requires some degree of public relations savvy—the ability to handle the media, comport with county or state administrators or state legislators, and meet with community groups or representatives to find a common ground between the needs of the community and the parameters of juvenile probation services. It also requires the ability to work cooperatively with other local agencies—mental health, law enforcement, schools, service providers, the social services.

However, to be effective, juvenile probation administrators must master more than the technological, human, and political aspects of juvenile probation agencies. They must also learn to negotiate the treacherous territory between the influence of the judicial branch of government and the control of the executive branch of government.

#### The Judicial / Administrative Dichotomy in Juvenile Probation Administration

The history of the juvenile court in America is that of a “child-saving” reform to keep children from facing the rigors and penalties of adult prosecution. Traditionally, this reform was predicated upon individualized treatment under the authority, jurisdiction, and supervision of the juvenile court. As the juvenile court developed, it became heavily involved in providing counseling, social casework, emergency shelter, medical attention, and other informal ameliorative adjustments. These activities, however, were not in the traditional realm of the courts but were instead activities usually performed by social welfare and administrative agencies within the executive branch of government.

The curious position of some juvenile probation agencies as judicially administered organizations but executing tasks that are traditionally conducted by executive branch agencies raises a number of important challenges for juvenile probation administrators (see Hall, et al., 1981 and Pettibone, et al., 1981). For example, it is conceivable that a youth can be petitioned, defended, prosecuted, adjudicated, and supervised by a single judge and the staff working for him. This raises constitutional issues regarding separation of powers between the judicial and executive branches of government. There are issues related to basic philosophy and fundamental fairness. For example, how does one strike a workable balance between the concept of *parens patriae* and the concept of due

Management issues specifically relating to the structure and function of juvenile court services include: What are the advantages and disadvantages associated with judicial administration of juvenile court services? What are the advantages and disadvantages of executive administration? This is a particularly thorny dilemma for juvenile probation administrators. Even when there is no ambiguity over the formal structure of the juvenile court services (e.g., strong judicial control of the administration of juvenile court services), a probation administrator may be caught between two competing value systems. For example, an administrator may find himself advocating a position that appeals to his sense of administrative efficiency (say, for example, community-based programming for serious juvenile offenders) when the judge has another policy option that appeals to her sense of justice or to political realities (long-term, secure incarceration for serious juvenile offenders).

As one might expect there has been a healthy debate over the years regarding the appropriate organizational placement of juvenile court services, including probation. On the one hand are the traditionalists who believe the juvenile court should remain the arbiter of services in the “best interests of the child” (Arthur, 1981). The traditionalists argue that judicial administration of juvenile court services has several advantages, including: 1) it makes it possible for judges to enforce their own philosophies and policies consistently throughout the juvenile court services; 2) it allows judges to maintain a staff in whom they have confidence and trust; 3) enforcement of clear due process requirements allows the juvenile court to assure that juvenile court services meet the best interest of the child and the community; and 4) probation officers, as officers of the court apply their protective and helping service functions within a framework of accountability to the law and deference to the judge (Rubin, 1981).

Those who oppose judicial administration of juvenile court services usually argue that the inherent powers of the juvenile court’s doctrine was never meant to include social services (Foster, 1981). They are usually also concerned about issues of due process and separation of powers (Gilman, 1981). Some opponents are concerned that judicial administration puts the management of juvenile court services in the hands of professional and skilled jurists but amateur administrators. They are concerned that this may result in poorly administered juvenile court services and the reliance on parochial staff who may be political cronies of the judge and not juvenile services professionals.

In terms of leadership, juvenile probation agencies have traditionally been the exclusive domain of juvenile court judges. However, in modern times, there are several

**Highlights of Almost 3,500 Years of Organization Theory**

The study of organizations has a long and storied history. From the exodus of the tribes of Israel from Egypt almost 3,500 years ago to “reinventing government” in the 1990s, managers of complex enterprises have struggled with the characteristics, nature, and vicissitudes of the organization. Listed below are just a few of the entries in a comprehensive chronology of organization theory compiled by Shafritz and Ott (1987) in their book on “Classics of Organization Theory.”

**1491 B.C.:** During the exodus from Egypt, Moses is urged by his father-in-law, Jethro, to delegate hierarchical authority over the tribes of Israel.

**400 B.C.:** Socrates argues for the universality of management as an art unto itself.

**360 B.C.:** Aristotle asserts that the specific nature of executive powers and functions cannot be the same for all states, but must reflect their specific cultural environment.

**Circa 770:** Abu Yusaf, a Muslim scholar, explores the administration of essential Islamic government functions, including public financial policy, taxation, and criminal justice.

**1513:** Machiavelli urges the principle of the unity of command—“It is better to confide any expedition to a single man of ordinary ability, rather than to two, even though they are men of the highest merit, and both have equal ability.”

**1776:** Adam Smith discusses the optimal organization of a pin factory in what is to become the most famous and influential statement of the economic rationale of the factory system and the division of labor.

**1885:** Captain Henry Metcalfe, the manager of an army arsenal, asserts that there is a “science of administration,” and that it is based upon principles discoverable by diligent observation.

**1903:** Frederick Taylor publishes *Shop Management*. He publishes *The Principles of Scientific Management* eight years later in 1911.

**1916:** In France, Henri Fayol publishes *General and Industrial Management*, the first complete theory of management.

**1922:** Max Weber’s structural definition of bureaucracy is published. Using an “ideal type” approach, it extrapolates from real world examples core features of the bureaucratic organization.

**1924 - 1932:** The Hawthorne studies at the Hawthorne Works of the Western Electric Company in Chicago lead to new thinking about the relationships among work environment, human motivation, and productivity.

**1937:** Luther Gulick’s *Notes on the Theory of Organization* identifies functional elements of the work of an executive, summarized in the anagram PODSCORB.

**1943:** Abraham Maslow introduces his hierarchy of needs.

**1949:** Air Force Captain Edsel Murphy first states *Murphy’s Law*: “If anything can go wrong, it will.”

**1954:** Peter Drucker publishes *The Practice of Management*, popularizing the concept of management by objectives.

**1957:** Douglas M. McGregor publishes “The Human Side of Enterprise,” distills the contending traditional (authoritarian) and humanistic managerial philosophies into “Theory X” and “Theory Y.”

**1959:** Charles Linblom’s “The Science of Muddling Through” rejects the rational model of decision making in favor of incrementalism.

**1961:** Amatai Etzioni argues that organizational effectiveness is affected by the match between and organization’s goal structure and its compliance structure.

**1969:** Laurence J. Peter promulgates his principle that “in every hierarchy every employee tends to rise to his level of incompetence.”

**1973:** Jay Galbraith writes *Designing Complex Organizations*, articulates the systems / contingency view that the amount of information an organization needs is a function of the levels of uncertainty, interdependence of units and functions, and adaptation mechanisms.

**1982:** Organizational culture comes into vogue in general business literature with *In Search of Excellence* (Peters and Waterman), *Corporate Culture* (Deal and Kennedy), and *Business Week’s* cover on “Corporate Culture.”

**1989:** Rosabeth Moss Kantor describes how organizations can gain the advantages of smallness (flexibility) and size (staying power) at the same time in *When Giants Learn to Dance*.

**1993:** Osborne and Gaebler advocate “reinventing government” through entrepreneurial organizations.

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different models for administering juvenile probation functions (see Hurst, IV and Torbet, 1993). In 1993, juvenile probation agencies were still administered by the judiciary in 23 states and the District of Columbia. In 13 states, however, probation is administered through an executive branch department (e.g., corrections, social services, family and children's services, or youth services).

In 14 states, probation administration is shared between the judicial and executive branches. For example, probation services are often administered by urban juvenile and family courts who reserve the authority to appoint or supervise juvenile probation officers independent of a state system of probation that operates in smaller counties.

Moreover, in 19 states plus D.C. probation services are organized at the local level; in 17 states juvenile probation services are organized at the state level. In 14 states, services are organized both locally and statewide.

Advocates of local autonomy argue that locally administered programs are more innovative, more flexible, and less bureaucratic than state-wide programs. They also argue that local juvenile probation officers are able to establish more effective relationships with community-based service providers.

On the other hand, supporters of state-level administration argue that state-wide programs offer greater uniformity of services, are better able to provide leadership in developing innovative programs, and are better able to conduct research, program development, and evaluation efforts.

Regardless of the organizational or administrative structure of the juvenile probation agency (i.e., state vs local; judicial vs executive, or some combination), there are several immutable factors that affect the ability of juvenile probation departments to be effective, including: 1) the amount of funding available for the probation staff, support, services and interventions; 2) the quality of the personnel with which the agency is staffed; 3) the personal leadership of juvenile court judges and / or juvenile probation administrators in stimulating community interest and support; 4) the vision, beliefs, mission, goals and objectives of individual juvenile probation agencies; 5) local or state administrative policy decisions regarding juvenile justice issues (e.g., zero tolerance for probation violators); and 6) state juvenile code provisions impacting local practice.

Furthermore, no matter how probation services are organized or administered, there is some degree of tension between the juvenile court judge and the juvenile probation administrator. Certainly this is the case when juvenile probation is in the domain of the state or county executive branch. But, even if that administrator works directly for the judge, some level of dynamic tension is likely to occur because of naturally competing organizational needs (e.g., the politics of re-election on one hand versus the demand for cost-effectiveness on the other).

The important point for juvenile probation administrators is that effective administration depends upon creativity, flexibility, and diversity within a reasonably stable and adequately financed organizational context, regardless of the organizational configuration (Young, 1981: 502).

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## Chapter 4:

# Leadership and Management in the Role of Juvenile Probation Administrator

by

Dr. Larry A. Pace and Hon. David Matlock

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### Overview

Both leadership and management are important functions in the effective performance of the duties of the juvenile probation administrator. This chapter reviews the functions traditionally ascribed to managers and leaders and relates these functions to the role of the juvenile probation administrator. To be most effective, the juvenile probation administrator must blend and perform the roles of both leader and manager. The chapter concludes with a number of practical suggestions for implementing effective management and leadership functions.

### Contrasting Leadership and Management

A popular view holds that management is somehow less noble than leadership. This view is characterized by the following quote:

Let 's Get Rid of Management:

People don't want to be managed. They want to be led. Whoever heard of a world manager? World leader, yes. Educational leader. Political leader. Scout leader. Community leader. Labor leader. Business leader. They lead. They don't manage. The carrot always wins over the stick. Ask your horse. You can *lead* your horse to water, but you can't *manage* him to drink. If you want to manage somebody, manage yourself. Do that well and you'll be ready to stop managing. And start leading (Daft, 1994).

Many people think of leadership as a more emotional process than management. Leaders are frequently characterized by such terms as *charismatic*, *transformational*, and *inspiring*. Management, on the other hand, is typically seen as a rational process, more involved with the head than with the heart. Commonly-held views of leadership and management produce such contrasts as those shown in Table 1.

Such views are often strongly held. Some people even contend that leaders and managers are fundamentally different sorts of people, and that one must be either a leader or a manager, but could not be effective as both.

These views, however, may be more a reflection of peoples' implicit theories of leadership and management than they are of the reality of the work setting for the juvenile probation administrator, or for other public administrators, for that matter. As illustrated in Figure 1 some individuals lead without managing, while others manage without leading. The ideal approach, however, is a blended one combining functions of both leadership and management. To be most effective, the juvenile probation administrator must be *both* a leader *and* a manager.

### Views of Management

#### Definition and Functions of Management

Managers plan, organize, lead, and control organizational resources. The leadership function of management is the only one devoted exclusively to people. The managerial functions of planning, organizing, and controlling involve human resource issues and other important organizational resources such as time, money, equipment, space, and materials.

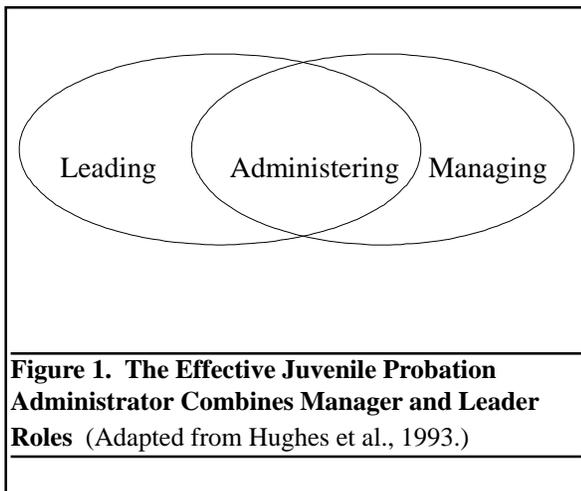
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**Table 1. Characteristics and Roles Typically Associated with Management and Leadership**

<u>Management</u>	<u>Leadership</u>
<ul style="list-style-type: none"> <li>■ Plans and budgets: Establishes detailed steps and timetables for achieving needed results; allocates necessary resources</li> <li>■ Organizes and staffs: Establishes structure for achieving plans, staffs, delegates authority for implementation, develops policies and procedures for guidance, creates monitoring systems</li> <li>■ Controls and solves problems: Monitors results against plans, and then plans and organizes to close gaps</li> <li>■ Produces a degree of predictability and order: Has the potential to produce key results expected by various stakeholders</li> <li>■ Efficiency: Doing things right</li> <li>■ Transactional</li> <li>■ Things</li> </ul>	<ul style="list-style-type: none"> <li>■ Establishes direction: Develops a vision and the strategies needed for its achievement</li> <li>■ Involves aligning people: Communicates direction by word and deed. Creates teams and coalitions that understand the vision and accept its validity</li> <li>■ Motivates and inspires: Energizes people to overcome major political, bureaucratic, and resource barriers to change by satisfying basic human needs</li> <li>■ Produces change, often to a dramatic degree: Has the potential to produce useful change, such as new programs or services desired by employees and "customers"</li> <li>■ Effectiveness: Doing the right things</li> <li>■ Transformational</li> <li>■ People</li> </ul>

(Sources: Adapted from Kotter, John P., 1990 and Locke, Edwin A. and Associates, 1991.)



**Figure 1. The Effective Juvenile Probation Administrator Combines Manager and Leader Roles** (Adapted from Hughes et al., 1993.)

The management function of the juvenile probation administrator involves such activities as planning, record keeping, budget management, audits, scheduling both people and facilities, and coordinating the activities of such diverse groups as judges, security guards, probation officers, secretaries, and often court reporters, bailiffs, clerks, detention staff, and maintenance personnel.

### Characteristics of Managerial Work

Henry Mintzberg in an empirical study of executives, found that managerial work is characterized by variety fragmentation, and brevity (Mintzberg, 1973). For instance, the managers observed by Mintzberg processed an average of thirty-six pieces of mail each day, attended eight meetings, and dealt with frequent interruptions and unscheduled activities. Although this study was conducted with business executives, such activities are also typical of the hectic work lives of today's juvenile probation administrators.

### Skills Required for Effective Management

- Managers need three kinds of skills to be successful:
- n technical skills,
  - n conceptual skills, and
  - n interpersonal skills.

These skills are important at all managerial levels. The required mix or relative emphasis of each type of skill, however, varies with the organizational level. For example, at the lowest level of supervision, technical and interpersonal skills are more important than conceptual skills. At the middle management level all three skills are of approximately equal importance. At the senior management level, conceptual skills are more important than technical skills, but interpersonal skills are still vitally

important (Katz, 1974).

Most public organizations promote on the basis of technical skills and length of service. Moreover, the path toward a management position can frequently be traversed without specialized training or education in basic management skills and practice.

Unfortunately, as was pointed out in the introductory chapter of this volume, there may not be much common ground between good juvenile probation practice and good managerial skills. The result is that many good line staff become mediocre managers. Managerial skills, however, can be learned. Becoming an effective manager requires a blend of formal learning and practice (Daft, 1994). In addition to their own needs to develop effective managerial skills, juvenile probation administrators should be aware of and supportive of the need for their subordinate managers to develop these skills as well.

## Views of Leadership

### Definition and Functions of Leadership

For our purposes, leadership can be defined as the art and practice of influencing others toward organizational goal attainment. Leadership requires 1) creating vision, direction and inspiration of followers to achieve the vision, 2) influencing (and being influenced by) followers, 3) developing and motivating followers, 4) coaching subordinates, and 5) resolving the conflict that is inherent in and inevitable to human interaction. Leadership could be:

- n *attempted*: one person tries to influence another,
- n *successful*: the attempt to influence another results in the desired behavior change (from the influencer's perspective), or
- n *effective*: the attempt to influence the other is successful in terms of desired behavioral change and the person influenced is more productive and satisfied as a result of the experience.

We obviously recommend *effective* leadership. "Successful" leadership can be achieved from a number of perspectives. For example, a juvenile probation administrator may have reward or coercive power over a probation officer or a secretary. But "effective" leadership demands that the practice of leadership rest on a positive, constructive relationship between the leader and the follower. An additional component (and goal) of effective leadership is the growth and development of the follower. Under effective leadership, over time, the follower will require

less and less direct supervision by the leader, while continuing to achieve improved results.

### Leadership and Power

Since we have defined leadership as the art and practice of human influence, leadership obviously involves the exercise of power. The sources of a leader's power may include:

- n **Legitimate Power**—Power that stems from one's position in the organization and the authority granted to that position.
- n **Reward Power**—Power that results from the leader's authority to reward others.
- n **Coercive Power**—Power that derives from the leader's ability to punish (or recommend punishment for) others.
- n **Expert Power**—Power resulting from the leader's special knowledge or skill regarding the tasks performed by followers.
- n **Referent Power**—Power stemming from the leader's personal characteristics that command followers' identification, respect, and admiration so they wish to emulate the leader (French, Jr. and Raven, 1960).

Studies of the uses and abuses of human power have shown that power may be used for good purposes, what might be called "institutionalized" or "socialized" power, and for selfish purposes, what could be termed "personalized power." To make effective use of the power that derives from personal characteristics, leaders should exhibit integrity, initiative, the desire to lead, effective communication skills, and emotional security (DuBrin, 1995). Leaders with a healthy self-regard, self-discipline, and high levels of self-awareness, while exhibiting selfless concern for the welfare of associates, are far less likely to abuse power and more likely to have real power to use.000

### Models of Leadership

Theories of leadership can generally be divided into the following categories: trait theories, behavioral theories, and situational theories. The *trait* approach to leadership was the first taken, and appears to correspond most closely with the generally-held views of most people. The *behavioral* approach was adopted when it became clear that no one pattern of traits could account for effective

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leadership. Rather than define the traits of effective leaders, the behavioral approach seeks to determine what effective leaders do. The *situational* approach extends the behavioral approach to the examination of the context in which leadership occurs, which might include the type of task, the characteristics of the followers, the degree of urgency in the situation, and so on. An emerging view of leadership is that of principle-centered leadership (Covey, 1991). In some ways, the *principle-centered* approach to leadership encompasses the others. In the following sections, we briefly summarize the major contributions of each theoretical approach to leadership as desired by Yukl (1989).

### *The Trait Approach*

Early theories of leadership attributed leadership effectiveness to such factors as tireless energy, keen intuition, foresight, and persuasive power. Hundreds of trait studies were conducted in the 1930s and 1940s to identify the ideal profile of leadership traits, but these studies were inconclusive. When administrative and technical skills were added to the list of “traits,” a clearer pattern emerged through the decades of the 1950s and 1960s. By the 1970s, it was clear that some skills and traits did correlate with leadership. These traits did not guarantee leadership success or effectiveness, but did increase the likelihood that a leader would be effective.

Stogdill’s review is perhaps the epitome of the trait approach. In his review, he identified the following traits and skills as being most frequently associated with successful leadership:

Adaptability, alertness, ambition and achievement-orientation, assertiveness, cooperativeness, decisiveness, dependability, dominance, energy, persistence, self-confidence, tolerance of stress, willingness to assume responsibility, intelligence, conceptual ability, creativity, diplomacy and tact, speaking fluency, knowledge of the task, organization, persuasiveness, and social skill (Stogdill, 1974).

### *The Behavioral Approach*

The 1940s, disenchantment with the trait approach had grown to the point that researchers were seeking alternative explanations for leadership effectiveness. Studies of leader

behaviors were conducted at Ohio State University, the University of Michigan, the University of Texas, and the University of Washington.

The studies identified two distinct clusters of leader behavior. One cluster had to do with the task at hand. This behavioral cluster was variously called initiating structure, job-centered leadership, concern with production, or task-oriented leadership. The second leadership behavior cluster had more to do with the people being led. This cluster was given such labels as consideration, employee-centered leadership, concern for people, and relations-oriented leadership.

It was not clear from these studies how these two behavioral clusters were related. Furthermore, it was unclear as to whether task- or relations-oriented leadership was more effective, or whether an approach blending the two was most effective. Finally, it was not clear whether a leader could effectively use both behavioral approaches, or was limited to a primary style. The inconclusiveness of these studies led to the situational or contingency approach.

### *The Situational Approach*

This approach recognizes the variety of leadership behaviors but also factors in the differences in situations. Research conducted by Fiedler, Hersey and Blanchard, and many others led to the conclusion that task-oriented leadership is more effective than relations-oriented leadership in some situations, while relations-oriented leadership is more effective in other situations. The situational approach has two subsets. One category assumes that leaders can easily adapt their style to the demands of the situation (see Hersey and Blanchard, 1988 and Vroom and Jago, 1988). The other subcategory asserts that leader behavior is largely immutable, and that the leader’s (or the organization’s) responsibility is to identify the situations in which his or her leadership style is most effective. This approach is best exemplified by the research of Fred Fiedler (1967).

### *Principle-Centered Leadership*

This approach recognizes the importance of traits such as integrity, honor, trustworthiness. The principle-centered approach also recognizes that leader behaviors may vary. Moreover, this approach assumes that situational variables such as the relationship between the leader and the follower affect the leadership process.

According to chief proponent Stephen Covey, principle-centered leadership occurs through the development of intrapersonal integrity, which leads to trustworthiness on the part of the leader. The leader can then establish effective interpersonal and organizational relationships that are based on principles.

The mechanics of implementation of the principle-centered leadership involve the creation of a “win-win” performance agreement between the leader and his or her followers. This agreement must be made and honored within the context of supportive structures and systems of the organization. Empowerment, which permits the individual to manage and evaluate his or her own performance, can only occur when the following conditions are met:

1. The leader and the follower develop the character traits of integrity, maturity, and the “abundance mentality.”
2. The leader and the follower develop the skills of communication, planning/organization, and problem-solving necessary to develop and honor win-win agreements.
3. The leader and the follower develop a win-win agreement covering the desired results of the follower’s work in alignment with both organizational and personal goals, the guidelines within which the work is to be performed, the resources available to accomplish the work, the accountability regarding performance standards, reporting guidelines, etc.; and the positive and negative consequences of the various possible work outcomes.
4. The leader allows the follower to supervise him- or herself within the context of the win-win agreement.
5. The organization develops and implements helpful structures and systems.
6. The employee is held accountable through a system of self-evaluation (Covey, 1991: 190-201).

### The Responsibilities of a Leader

The traits, behaviors, situational modifications, and principles of leaders are all important. Based on a combination of the trait, behavioral, situational, and principle-centered perspectives, we offer the following list of leaders’ responsibilities. Effective leaders must *envision* the direction and purpose of their organization, set an *example* of personal excellence, and *encourage*, *educate*, and *empower* their followers.

### Unique Aspects of Leadership in Public Administration

Management expert Peter Drucker states that although we cannot guarantee the success of public programs, we can almost assuredly make them fail. According to Drucker, if two or more of the following six “Deadly Sins” are followed simultaneously, the inevitable result will be failure:

1. Have lofty objectives rather than clear performance targets.
2. Try to do several things at once so that efforts are not concentrated on top priorities.
3. Tackle problems by throwing people at them rather than by asking, “What is the fewest number of people we need to accomplish this purpose?”
4. Do not experiment—decide on one way and do it on a grand scale.
5. Make sure you cannot learn from experience—do not feed back experience to expectations so that you can sort out strengths, weaknesses, limitations, and blind spots.
6. Do not abandon programs when objectives are met, when clientele changes, or when problems become less urgent (Drucker, 1980: 103-106).

Drucker claims that these “sins” are committed out of cowardice. A solid, objective attitude toward performance is risky and courageous. In other places, he points out that in public administration, the tensions are imposed from without (i.e., from politics) rather than from solid “business” decisions based on market realities. Although open to question, Drucker’s diagnosis of the failure of public agencies is widely held (see Shuman and Olufs, 1993).

Traditionally, business leaders have had a focus on market and customer considerations that led to a “profit motive” and a focus on “bottom-line performance.” The differences between private and public sector administration were often explained in these terms. The public agency was seen as a bureaucracy without an inherent improvement motive in contrast to a business enterprise with a survival-driven need to become and remain competitive through continual improvements and adaptations to changing conditions. In the current public sector environment, however, “market” and “customer” considerations are becoming more important.

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In the political arena of the mid-1990s, public agency leaders are being directed to run their agencies more like businesses with increased professionalism, higher accountability, and lowered costs. This is supposed to occur with no diminution of service levels. A key role for the juvenile probation court administrator is to instill in the juvenile agency a focus on quality of service and the “market” consideration of “customer satisfaction.”

In the public agency, leadership must provide the impetus for improvement and efficiency that naturally derives from a competition-based free-market economy. For the court agency, the stakeholders are many and varied, and their requirements often contradictory. The effective juvenile probation administrator must employ the concepts of quality improvement and pursuit of constituency satisfaction as ways to direct, inspire, and evaluate agency performance and personnel.

### **Practical Suggestions for Combining Leadership and Management**

Perhaps the most important advice we can offer is for the probation administrator to assess each situation carefully. He or she must ask whether the situation calls for leadership or management. For example, such routine tasks as scheduling staff or facilities, or developing and implementing budgets, call primarily for managerial skills. Other tasks, such as establishing a vision and inspiring staff to achieve that vision, call for leadership. In all cases, excellent communication skills, continuous improvement of operations, and a high degree of professionalism are essential. The following list provides suggestions for implementing effective management and leadership roles of the juvenile probation administrator.

1. Assess the requirements and desirable qualities of the people you supervise and desire to lead.
2. Fulfill those requirements and exhibit the same qualities in your own behavior to the extent practical. In other words, lead by example.
3. Communicate your expectations clearly. Establish a win-win agreement with subordinates covering desired results, the guidelines within which they must operate, the resources available, their accountability, and the positive and negative consequences of their performance.

4. Rely on systematic accountability. Evaluate subordinates' effectiveness in accomplishing their objectives. Allow the subordinate to evaluate his or her own effectiveness. Mutually determine the reasons for low and high effectiveness. Mutually develop a plan for improving low performance.
5. Hold personnel responsible for their own performance. Acknowledge excellence. Deliver the positive and negative consequences agreed to in step 3, above.
6. Listen. Encourage regular, systematic communication from subordinates to you as their leader. Solicit their input regarding their expectations of you, the resources they need, and their ideas for improvements.
7. Examine and refine goals, and encourage open and “safe” discussion and deliberate implementation of more effective means of accomplishing those goals.

### **Summary and Conclusions**

Leadership and management are both necessary for the effective performance of the role of juvenile probation administrator. The effective juvenile probation administrator must distinguish among and balance the various needs and demands of situations, subordinates, and stakeholders, choosing the most appropriate form of leadership or management in each case. A major responsibility for the juvenile probation administrator is to perform the blended role of leader and manager with the utmost of professionalism and integrity. Traditional “business” forces such as market-based competition and continuous improvement are now affecting the public sector. The juvenile probation administrator serves a key role in translating these forces into concerted action within the probation agency. A number of practical suggestions were offered for implementing effective management and leadership.

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## Chapter 5:

# Managing Change Through Strategic Planning

by

David Steenson and Douglas W. Thomas

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### Planning is one of the essential skills of effective administrative practices

A great deal of the administration of probation agencies is conducted in a *reactive* mode. At any given time of the day or year, probation administrators are likely to be operating in a crisis mode, reacting to any number of critical issues—high probation case rates, cut backs in funding and personnel, high profile cases, negative media coverage, criticisms from politicians. Rare is the juvenile probation administrator who feels that he or she has a firm handle on both the internal and external forces that can influence the work of the probation agency. Rare, too, is the juvenile probation administrator who had the time in the past to plan adequately for the present.

However, taking the time today to plan for tomorrow can pay big dividends to probation administrators, not the least of which is to decrease the chances of operating in a crisis mode. Generally speaking, planning involves the orderly, systemic and continuous process of anticipating future events and using those prognostications for current decision making. Planning is a process that helps organizations to:

- n prepare for a future that cannot be altered;
- n proactively change those components of the future that can be altered to the benefit of the organization;
- n change and improve the organization itself;
- n preserve and ensure organizational stability; and

n solve critical problems facing the organization (Hudzik, 1994).

There are two basic forms of planning - *strategic* and *operational*. *Strategic planning* is differentiated from *operational planning* in terms of time and the scope of effort. For example, strategic planning addresses the future in terms of the long-term (5 to 10 years) while operational planning addresses the near-term (current or subsequent fiscal year, the next quarter). Similarly, strategic planning addresses the broad-scope issues of the organization (e.g., organizational growth or change, system-wide issues, issues of values and beliefs) while operational planning addresses issues more narrow in scope (e.g., maintaining programs, individual projects or programs, budget issues). This chapter focuses on strategic planning.

### Strategic Planning: A Context for Managing Change

A strategy consists of a vision and a plan for achieving that vision. In the early 1960's President Kennedy offered a vision for the nation's space program—to land a man on the moon before the end of the decade. The National Aeronautics and Space Administration provided the plan for achieving that vision—the manned space flight program from Mercury to Gemini to Apollo.

The purpose of strategic planning is to determine and reveal organizational purpose through long-term objectives, action programs, and resource allocation priorities. Strategic planning allows organizations to achieve long-term sustainable advantages by responding properly to the opportunities and threats posed by the environment and the organization's strengths and weaknesses (Hudzik, 1996).

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Strategic planning is a process for managing change. The strategic planning process is an acknowledgment that change exists within and around an organization. The inevitability of change has critical impact on what the organization does and how it deploys its resources. Strategic planning is the organization's tool for managing the change process in an effective and intelligent manner and before the organization becomes consumed by the changes.

Frequently, the stated mission or intended outcomes of a probation organization are inconsistent with actual day-to-day activities and the deployment of available resources. Consider, for example, the probation agency whose mission and objectives speak glowingly of "rehabilitation" and "counseling" but whose staff and resources are primarily engaged in "enforcement" activities. Because there is obvious confusion between the stated *desires* of this organization and what it is actually *doing*, this probation agency will have difficulty in achieving either of its two stated goals, no matter how worthy.

On a more personal level, consider the probation client who states that he wants to graduate from high school but who rarely attends school. This young person is bound to fail to realize his goal. What he is *doing* (not attending school) is inconsistent, or not aligned with what he *wants*, his stated objective of graduation. Only when this probationer *aligns* what he is doing with what he wants will he be successful.

So too, organizations must *intentionally align* what they *do* with what they *want* in order to satisfy objectives and achieve the organization's mission. But intentionally aligning what the organization wants with what it does is not enough! The organization must also intentionally align: 1) what it *knows* and *believes* with; 2) what *it is doing* with; 3) what *it wants*.

The intentional alignment of what you do with what you want, know, and believe is at the heart of the "Outcomes-Driven Development Model" (ODDM) developed by John Champlin, Phoenix, AZ. ODDM is a comprehensive agency improvement process more commonly associated with educational reform. However, the principles of ODDM are applicable to strategic planning in a variety of organizations, including the probation department. ODDM has been characterized as a "gentle bulldozer" that clears obstacles to improving an agency and constructs a new form of organizational

arrangement and process capable of achieving the highest goals and outcomes.

Like ODDM, the strategic planning process is both evolutionary and revolutionary. It is evolutionary in that change is expected to be gradual and to come from within the organization. Four essential characteristics contribute to the evolutionary character of strategic planning efforts using ODDM: 1) it facilitates change by creating the appropriate conditions for seeking individual and organizational excellence; 2) it encourages collaboration by emphasizing compatibility and consensus in decision making; 3) it is belief driven, it relies on the identification and articulation of mutual beliefs within the organization; and 4) it is long-term and holistic. The strategic planning process provides, in essence, a master plan for improving all facets of the organization's operation (Alessi, 1991).

It is revolutionary in that it provides a forum for directly challenging entrenched paradigms. The strategic planning process establishes a safe procedure for expressing four potentially revolutionary concepts:

**We can be a better organization.** While the idea of change is often very threatening, the strategic planning process can help to ameliorate anxieties and provide a safe avenue for becoming a better organization.

**We must open all facets of the organization to scrutiny and change.** While there is a natural tendency in organizations to protect one's "turf," strategic planning requires that all facets of the organization must be open to analysis, assessment, and change.

**Positive change is based upon the best available knowledge.** Organizations do not operate in a vacuum. Failure to keep up with the best available knowledge will doom the organization to failure.

**Keep your "eyes on the prize."** An effective organization is one in which all of the key actors are committed to a common purpose. The strategic planning process helps to establish common goals and strategies.

## Strategic Planning Applied

Strategic planning is the method by which an organization systematically encounters the changing environment in which it operates. Strategic planning provides an interactive forum for thinking through and creating the best

possible future for an organization by: 1) expressing common values, purpose, and expectations; 2) establishing and maintaining standards of quality; 3) ensuring effective distribution of resources; and 4) guaranteeing optimal return on investments.

Strategic planning provides the dual benefits of involving key organizational stakeholders in creating their future and in clarifying the direction of the organization. Failure to plan strategically for the future increases the chances that organizations will remain ill-prepared to deal with the demands and circumstances of a rapidly changing environment. As a result, the vision, mission, purpose, and priorities of organizations may become muddled and they may be forced to *react to events* rather than anticipate events.

Strategic planning is a complex process that requires a substantial commitment of time and energy on the part of both the organization and key actors in the larger environment in which it operates. Strategic planning usually involves the following steps:

- n visioning
- n analyzing internal factors
- n identifying organizational beliefs
- n analyzing external factors
- n developing a mission
- n identifying strategies
- n articulating objectives
- n developing action plans

### The Stakeholders

Identifying and being responsive to stakeholders is a crucial ingredient to strategic planning. A stakeholder is “any person, group, or organization that can place a claim on an organization’s attention, resources, or output, or is affected by that output” (Hudzik, 1996). Stakeholders include interest groups, political bodies, other agencies, employees, media, taxpayers, suppliers, clients, and grass roots community organizations. To effectively respond to the needs and concerns of stakeholders, the strategic planning process requires: 1) identification of all stakeholders; 2) specification of the criteria used by stakeholders to assess performance (e.g., community safety); 3) assessment of the organization’s performance against stakeholder criteria; 4) consideration of the stakeholder’s

influence on the organization through demands for service or results and through support for the organization; and 5) determination of key stakeholders (i.e., those that are most important to the organization and why) (Hudzik, 1996).

### Vision

The actual process of strategic planning begins with a *vision*. The vision is the mental image of a possible and desirable future state of the organization. It reflects a state or condition that does not presently exist and may never exist, but ought to exist. The vision provides a conceptual bridge from the present to the future, it articulates what is important in terms of outcomes, relationships, and conduct (Singletary, 1992).

A vision for the organization may be broad, a bit obscure, even a vague notion. For example, the American Probation and Parole Association (APPA) has recently promulgated a vision for the profession that “represents the collective hopes and desires of over 2,000 community corrections practitioners:”

We see a fair, just, safe society where community partnerships are restoring hope by embracing a balance of prevention, intervention and advocacy (American Probation and Parole Association).

On the other hand, an organizational vision may be as precise and clearly stated as a goal. For example, the vision statement for the Florida Department of Corrections provides an image of where the department *will* go:

The Florida Department of Corrections envisions a leadership role in public safety including comprehensive institutional and community based sanctions, services, and programs. The Department will assume a strong advocacy role for public safety to meet the challenges facing Florida. The Department will forge working partnerships with local communities and public safety agencies to reduce the growth of the offender population and will strive for excellence with a highly trained, ethical, and dynamic workforce (Singletary, 1992).

The vision of the organization precedes and guides the mission of that organization. Whereas a mission statement outlines an organization’s purpose, a vision defines a future desired state of what an organization should be (D’Amico

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and Miceli, 1994).

### Identifying Beliefs

Organizational beliefs form the conceptual foundation, or the creed, of the organization. They are the deep and abiding convictions and basic tenets of the organization. The beliefs articulated in the strategic plan should be simple and concise statements that represent the *consensus* thinking of the organization. That is to say that, while there should be a strong feeling of agreement regarding the organizational beliefs, there does not necessarily need to be absolute unanimity regarding the belief statements.

For example, the administration and staff of the Allegheny County (Pittsburgh), Pennsylvania, Juvenile Court identified the following as their core beliefs:

- n The disposition of juvenile offenders should always take into account the best interests of public safety;
- n Juvenile offenders should be held accountable for the harm they cause to individuals as well as the community at large;
- n The primary objective of treatment is to improve and develop the juvenile offender's capacity and skills;
- n Community residents and organizations should be actively engaged by the court in a cooperative effort to seek solutions to juvenile crime;
- n Excellence in the quality of court services requires sensitivity to the racial, ethnic, and cultural diversity of the client population; and
- n Victims are an integral part of the justice system and should have their rights protected during all phases of the court's proceedings, including the right to be heard, notified, and restored (Strategic Plan Task Force, 1996).

### The Mission Statement

While the vision of the organization's future may be obscure (indeed, a certain level of obscurity may be a requirement of an effective vision statement), the mission of the organization must be substantive enough to provide clear direction for the organization. The mission identifies the purpose of the organization; it should state, or clearly

imply the purpose, function, clients, and role of the organization.

At their best, "agency mission statements in criminal justice set internal goals and priorities for staff and create a common standard for evaluating individual and agency effectiveness" (Bazemore, 1992). Effective mission statements are unambiguous regarding the basic purpose of the organization and provide a clear public image of the tasks, services, and outcomes of the agency. At their worst, mission statements offer either ornate prose or clumsy proclamations that misrepresent the philosophy and purpose of the organization and muddle the stated goals, objectives, and strategies. A bad mission statement can confuse the public about the agency's goals, create false or unattainable expectations, or disguise hidden agendas (Bazemore, 1992).

To be effective mission statements should:

- n be organization specific
- n be developed by a broadly and deeply inclusive and participatory process
- n be the centerpiece of the organization
- n be dynamic
- n inspire staff, and
- n form the basis of organizational accountability, both internally and externally (Markley, 1994).

The mission statement of the Allegheny County Juvenile Court's Probation Department, for example, was developed over the course of two and a half days by a Strategic Plan Task Group representing all facets of the organization—line staff, specialized staff, and administrative staff. It is based on the core beliefs listed above and serves as the point of departure for articulating the goals and objectives of the department. It is the *Mission* of the Allegheny County Juvenile Probation Department:

To reduce and prevent juvenile crime; promote and maintain safe communities; and improve the welfare of youth and families who are served by the court (Strategic Plan Task Force, 1996).

Similarly, the stated *Mission* of the Florida Department of Corrections provides a broad statement of the function, purpose, and scope of the Department's efforts:

The mission of the Florida Department of Corrections is to protect the public, provide a safe and humane

environment for staff and offenders, work in partnership with the community to provide programs and services to offenders, and supervise offenders at a level of security commensurate with the danger they represent (Singletary, 1992).

### “Reinventing Government: Mission-Driven Government”

David Osborne and Ted Gaebler, in *Reinventing Government*, cite General George S. Patton in extolling the advantages of mission driven government:

"Never tell people how to do things. Tell them what you want to achieve and they will surprise you with their ingenuity."

Osborne and Gaebler argue that mission-driven organizations, as opposed to traditional bureaucratic and rule-driven organizations, turn their employees loose to pursue the organization's mission with the most effective methods they can find with "obvious" advantages, such that mission-driven organizations:

- are more *efficient*. Many organizations would gladly trade less money for greater control.
- are more *effective*. They produce better results.
- are more *innovative*. They can avoid stifling rules and regulations.
- are more *flexible*. To take advantage of the unanticipated, organizations must have flexible rules and budgets.
- have *higher morale*. They offer better opportunity for individual input.

### Organizational Objectives

Organizational objectives are the formal expressions of the specific results which the organization intends to achieve. Effective objectives must be congruent with the stated mission, they must have broad organizational-wide implications and, where possible, they should challenge the organization to achieve greater goals. Organizational objectives must be stated in terms that: 1) define

measurable outcomes (e.g., time, money, increases or decreases in behavior); 2) demonstrate a relationship between the causal agent and the hoped for effect (e.g., probationers will remain offense free upon completion of probation requirements); and 3) provide sufficient observable indicators (reduced arrest rates, increased high school graduation rates). Finally, organizational objectives

### Strategies

Strategies are the broad statements that describe the means by which the organization will achieve its objectives. Strategies must be consistent with the organization's mission and to the objectives they seek to achieve. They should describe how best to deploy the resources of the organization for the purpose of meeting stated objectives.

Performance objectives should be clearly stated and have the following characteristics: 1) specific; 2) measurable; 3) attainable; 4) result oriented; and 5) time limited. The following are examples of objectives which demonstrate these characteristics:

- n By the end of the third quarter, start a new multi-purpose center for children and families which includes a library, class and play rooms, and recreational equipment.
- n Collect \$50,000 in traffic parking ticket fines by the end of the fiscal year by tracking delinquents using the Automated Collection system.
- n By March 15 provide part-time summer jobs to 200 community youth by planning and organizing work projects within the specified budget constraints.
- n Complete an average of 25 pre-sentencing reports per day with less than 10% returned for additional information or corrections.
- n Reduce employee turnover to 5 - 8 percent within two years (Hudzik, 1996).

Strategies, however, should be flexible. If the objective remains worthy and the strategies employed are not achieving the objective as hoped, it is far better to re-think the strategies than to reject the objective. In fact, trial and error is an acceptable method of achieving objectives, as long as the objective remains laudable.

state what the organization aspires to achieve, not projections of outcomes based on current practices.

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## Internal and External Analyses

Very often, forces beyond the control of individuals, or even the control of the organization, play a critical role in efforts to shape the direction of the organization. To help ameliorate the impact of these forces, it is helpful to conduct analyses of the external and internal forces that impact the organization.

External factors include those forces over which the organization has little or no control and include the following categories: social, political, economic, demographic, technological/scientific, and educational. External forces present both challenges and opportunities to the organization. By identifying external factors and assessing their probable impact, programs can be designed to exploit the opportunities (e.g., increased funding) or ameliorate the hardships (e.g., loss of prevention programs).

Internal forces include both strengths and weaknesses. Internal strengths are those characteristics and attributes which contribute to the agency's capacity to achieve its objectives and meet its mission. Examples of internal strengths may include a high level of funding, the availability of innovative and effective programming, and well trained and motivated staff. Internal weaknesses are the characteristics and attributes which limit the ability of the agency to meet its objectives and may include poor infrastructure, ill-defined agency mission, goals and objectives, and lack of adequate programmatic resources.

The analysis of both internal and external factors entails the following steps: 1) identify the specific factor; 2) make predictions regarding the impact of that factor; and 3) anticipate system impacts. Consider, for example, an analysis of a likely impact of an external social factor such as "family structure." Based on the available evidence, one might predict that the proportion of young, single parent families will increase. The increasing numbers of young, single parent families can, conceivably, result in the following sequence of events which impact juvenile court interventions:

- n a decrease in the supervision of adolescents,

resulting in...

- n an increased incidence of juvenile crime, resulting in...
- n greater demands for public safety, resulting in...
- n an increased emphasis on sanctions and a decreased emphasis on prevention.

## Action Plans

Action plans are the explicit step-by-step blueprints for realizing each strategy. Action plans provide a clear articulation of the *strategy-specific* objectives, activities, and level of effort required. They describe the action to be taken in terms of separately assignable projects. Action plans will describe *what* each task is, *who* is responsible for completing that task, *how* the task will be completed, *how much* effort is required in terms of time, money, and other resources, and *when* the task is to be completed. Effective action plans will also contain a measure of accountability. That is, they will include a description of expected measurable outcomes against which the effectiveness of the strategy can be measured.

For example, consider the efforts of a juvenile probation department to conduct a strategic planning process for "developing innovative community partnerships." After developing a vision for the agency, articulating a mission statement, analyzing external and internal factors, and identifying objectives and strategies, the strategic planning team must lay out an action plan for prioritizing staff resources and redesigning service delivery strategies. The action plan should clearly articulate job accountability and performance standards by: 1) defining the activity; 2) clearly articulating expected results; 3) stating minimum expectations; 4) establishing deadlines for completing tasks; 5) assigning responsibility for completion of tasks; and 6) listing special resources required to complete tasks. These requirements can be summarized in an action planning worksheet like the one below.

## External Planning Groups

Strategic planning is often conducted with the assistance of external planning groups. Because we are discussing a governmental planning process, the key participants in external planning groups should be high-level elected officials or their appointees who are responsible for the policies, procedures, practices,

Strategic Planning Worksheet		
Job Accountability and Performance Standards		
<b>Strategy:</b> Develop Innovative Community Partnerships		<b>Action Statement:</b> Focus the collective resources available to the community.
<b>Activity:</b> Develop a plan to enhance the community-based resource pool available to juvenile offenders.	<b>Expected Results:</b> Production of community resource guide, identification of community resource liaison to juvenile court, and establishment of procedures for linking youths with resources.	<b>Minimum Expectations:</b> <ul style="list-style-type: none"> <li>• Community resource guide completed by Jan. 1, 19__.</li> <li>• Community liaison established by Feb. 1, 19__.</li> <li>• Procedures completed and staff trained by March 1, 19__.</li> </ul>
<b>Beginning Date:</b> Nov. 1, 19__ <b>Projected Completion Date:</b> March 1, 19__ <b>Assigned To:</b> Kevin Miles		<b>Special resources or budgetary considerations:</b> None

programs, and resources of key agencies in the juvenile justice system and agencies or organizations that support the juvenile justice system. External planning groups should also include the participation of key members of the community, including parents, clergy, local service providers, and grass-roots community development agencies.

The Youth Crime Prevention Council (YCPC) of Allegheny County (Pittsburgh, Pennsylvania) provides an example of a community wide, multi-disciplinary planning and leadership group. The purpose of the YCPC is to reverse the mounting cycle of youth crime and violence in Allegheny County. It represents a collaboration of representatives from several disciplines, including juvenile justice, public safety, government, business, labor, education, religion, philanthropy, the social services, and individual community leaders. The YCPC was initiated at the behest of the Mayor of Pittsburgh, the Allegheny County Commissioners, and the U.S. Attorney's Office. Since its inception, the YCPC has successfully and continuously brought together key policy makers in Allegheny County and the City of Pittsburgh for the purpose of identifying factors contributing to the escalating juvenile crime rate and designing a unified response to those factors. The mission of the YCPC is clear—to involve a wide variety of players from both the public and private sectors and to create a comprehensive network of supports for children from the pre-natal and early childhood years through adulthood.

### Strategic Quality Planning and Management in Juvenile Probation Administration

During the past few years, a fundamental change in management philosophy has moved from corporate America to public sector organizations. The new management philosophy focuses on “quality management” and “continuous quality improvement.” These new management directions are direct descendants of *Total Quality Management (TQM)*, developed by W. Edwards Deming (1986). Principles of TQM were adapted for application in a court setting by the Connecticut Superior Court Operation's Quality Steering Committee and defined as:

A management philosophy and methodology that works together to produce a continuously improving organization (D'Amico, 1995).

There are several concepts that are central to TQM that are not common to public sector organizations. First, the notion that public agencies serve *customers* defined as anyone or any entity to whom the agency supplies goods or services. Second, the recognition that customers will define and measure quality in terms of their *needs* and *expectations*. Third, the idea that *quality*, defined as meeting the needs and expectations of customers, counts. Fourth, the notion that *all work is a process* in which the agency receives work-orders in the form of products and/or services from a supplier, adds value to it, and delivers the output to a customer. Fifth, the notion that *improving the quality of processes* will increase productivity and the quality of products and services. Sixth, the idea that

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processes can be *identified, measured, analyzed, understood, and improved*. And, seventh, the revolutionary idea that the *people know best* (D'Amico and Miceli, 1994).

### The role of strategic planning in TQM

TQM implies a systematic approach for continuously improving the organization. In order to assess that, in fact, the organization is actually improving, requires a clear image of what improvement means and what success looks like. That is precisely the function of strategic planning. Once the direction of the organization is determined, staff can mobilize the efforts of everyone in the organization toward the achievement of shared goals.

When applied in the context of *quality management*, strategic planning becomes strategic quality planning. To infuse *quality management* in the strategic planning process requires a slightly different approach to strategic planning. For example:

- n When developing vision/mission statements, consider:
  - Who are our customers (e.g., youth, community, individual citizens, victims)?
  - What are the needs and reasonable expectations of the customers?
  - Who are our suppliers of goods and services (e.g., police, schools, public and private service providers)?
  - What business are we in or should we be in (e.g., treatment, community protection)?
- n When developing goals and objectives, consider:
  - What do we need to do to meet the needs and reasonable expectation of customers?
  - Who in the organization is responsible for addressing the needs of specific customers?
  - How can we improve communication with suppliers?
  - Who should be responsible for communicating needs to suppliers?

- n When developing evaluation measures, consider:
  - What, specifically, must be accomplished and when?
  - How will we measure the success of our efforts?
  - What will be different?

### Summary

In this chapter, we discussed one of the basic skills of effective administration—planning. Specifically, we discussed *strategic planning*. Strategic planning provides a context for managing change in complex organizations operating in turbulent, or rapidly changing, environments. Simply stated, strategic planning is the careful, thorough, and systematic process of aligning what the organization wants, with what it does, with what it believes. Strategic planning involves a series of actions, including: visioning, identifying organizational beliefs, developing a mission for the organization, and articulating organizational objectives. In addition, strategic planning involves an analysis of both internal and external factors that may influence, both positively or negatively, the ability of the organization to achieve its objectives. Finally, strategic planning requires the careful articulation of strategies for achieving the objectives and precise action plans for executing those strategies.

As we end the first century of the juvenile court in America, it is a particularly appropriate time to take a strategic look at the administration of juvenile probation and start planning for the first years of the next century. The juvenile justice system itself is under unprecedented pressure to make fundamental changes with many ramifications for probation. The art and science of public administration is also experiencing a fundamental paradigm shift, moving from a traditional bureaucratic model of public organizations to an entrepreneurial model which also poses major challenges for juvenile probation agencies. Planning skills - both operational and strategic - will increasingly be necessary pre-requisites for juvenile probation administration.

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# Chapter 6:

# Budgeting

by

David L. Baker

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Budgeting is a universally common activity for administrators and a chief component of fiscal management. This chapter covers what budgets are, outlines the budget process, characterizes the budget environment, sketches the primary types of budgets used in government, and suggests approaches to cutback budget management.

## Budget

A budget is a plan expressed in quantitative (normally financial) terms. Organizations are not allocated resources arbitrarily. They are provided to carry out specific operations to achieve predetermined purposes or goals. These purposes, goals, or operations represent the plans of the organization.

One of the most important tools of management is the budget. It is the most widely used system for planning, coordinating, and controlling operations in an organization (Carlisle, 1976: 614-615).

Budgets provide a uniform plan. They reflect coordination of efforts and resource utilization. They offer a comprehensive means for integrating and comparing resource inputs and service or product outcomes.

Budgets challenge the organization's leadership to consider basic policies and set and communicate objectives. They lead:

- to periodic (agency) self analysis;
- to efficiency in the use of resources;
- to clarification of responsibilities within an organization; and
- to achievement of objectives through formalizing and implementing a strategy (Glueck, 1980: 477).

The resource allocation responsibilities of policy makers and management come to life through the budgeting process. As Aaron Wildavsky (1974: 2) explained, "The budget becomes a link between resources and human behavior to accomplish policy objectives. Budgeting is concerned with the translation of financial resources into human purposes. A series of goals with price tags attached."

## Budget Process

Budgeting is an annual cyclical process. It normally corresponds to a fiscal year. A fiscal year is any yearly accounting period without regard to its relationship to a calendar year (Axlerod, 1988: 335). The Federal fiscal year is from October 1 through September 30. The fiscal year for most states and local governments runs from July 1 through June 30.

Common milestones in this annual process include development of a proposed budget, policy maker hearings, and adoption of a final budget. Although there is a cycle that feeds into a fixed time period, commencement of the process may have begun many months prior to a new fiscal year. For example, Federal budget preparation can commence 20 to 24 months prior to a fiscal year. State budget processes vary from 6 to 12 months prior to a fiscal year. The budget process for counties and cities starts from 4 to 6 months before a new fiscal year.

The budget process takes place over a period of time and involves several sequential activities. Typically, the process begins with the issuance of some form of executive budget guidelines to organizational sub-units. For example, the County Administrator issues budget guidelines to County departments, like probation. Such guidelines would include information about:

- Leadership policy and managerial guidance on goals, trends, issues, priorities, and opportunities.

- n Resource and expense forecasting for the upcoming fiscal year.
- n Fiscal and accounting data necessary to incorporate into the process (e.g., salary and benefit rates, inflationary factors, etc.).
- n Budget development and submittal mechanics, including forms and procedures.
- n Responsibility identification (e.g. who is responsible for what?).
- n Process timetable.

Budget guidelines call organizational sub-units to prepare and justify their requested budgets. Sub-unit managers anticipate, analyze, and document financial requirements based on projected activity levels over a specified time period.

Budget preparation involves computing activity costs and revenues. On the one hand, it is intensely detailed with minute calculations to back up budget forms and summaries required by the guidelines. Accuracy and clarity of supporting work are valued and appreciated.

On the other hand, budget preparation is estimation work. The number of variables makes it too difficult to tie down every dollar. Ultimately, numbers submitted represent the preparer's best judgment on the fiscal aspects of a work program.

Budget justification is salesmanship. The budget preparer or manager aims to convince reviewers that prudent business judgments were employed to meet the sub-units' vision and associated objectives in coordination with the entire organization. Justification introduces the work program and activity level, summarizes assumptions and goals, recaps the analysis, and describes the benefits derived from the funds requested. It is an art form that strives not only to sell the beef, but also to capture the public sizzle arising from the programs funded.

At all levels of government the budget process includes budget reviews and hearings. Conducted by the chief executive and/or his staff under guidance, budget reviews cover all aspects of the submitted proposals. Numbers are checked for accuracy and assumptions considered for reasonableness. Current and planned activity and financial requirements are examined. Reviewers probe the justification, re-think goals, play devil's advocate on claimed benefits, examine hidden costs or revenues, and

consider organization-wide interaction and coordination issues.

The administrative culmination of the budget process is the publication of a proposed budget for public and policy maker review. Each jurisdiction produces its own variation of budget write-ups. However, the fundamental financial data elements are usually prescribed by law. The proposed budget serves as the focal point of budget hearings.

Budget hearings are required by law. Specific time frames vary by jurisdiction. However, dates for proposed budget and final budget adoption are set. The maximum length of the final budget hearings is often dictated.

Budget hearings are usually segmented with distinct sections. Typical categories follow:

- n Introductory/opening statements by policy makers (e.g., Governor, Board of Supervisors' Chairperson, etc.)
- n Overview of recommended budget and related issues by the Chief Executive officer (e.g., Legislative Analyst, County Administrator, etc.).
- n Individual budget and issue presentation by the chief executive officer and organizational managers.
- n Public testimony and, occasionally, public proposals for funding cuts and additions.
- n Funding requests and issues from community based organizations.
- n Policy maker (e.g., Legislator, County Commissioners, Board of Supervisors, etc.) queries and public deliberation.
- n Final policy determinations, guidance to the chief executive officer, and adoption of a budget.

Budget hearings require extensive preparation for budget preparers and reviewers. It offers the opportunity for budget preparers to publicly "sell" their services and budget reviewers to "shine" on the quality of analytical thought. It creates a forum for elective representatives to reflect the values, interests, and concerns of the electorate and translate them into plans and directives for the expenditure of public monies.

Once adopted by policy-makers, the chief executive officer and the organization's managers implement the budget. The budget serves as a fiscal control, planning, and management tool (Coe, 1989: 42). Ideally, budget execution reflects professionalism and ethical business practices. Total commitment by management is necessary to achieve budgeted objectives (Glueck, 1980: 644).

Budget monitoring and evaluation are continuously required throughout the fiscal year. Monthly sub-unit reviews should be conducted and comprehensive organizational reviews should occur quarterly with favorable and unfavorable trends reported to the policy makers. In these reviews “actual performances are compared to budgeted performance. If variances exist, they are analyzed and explained” (Glueck, 1980: 647).

The final phase of the budgeting process is the audit. From a managerial perspective, it represents a review of the operation of the agency, especially its financial transactions, to determine whether the agency has spent the money in accordance with the law, in the most efficient manner, and with desired results (McCurdy, 1977: 401).

From a technical accounting perspective, an audit represents:

A systematic collection of the sufficient, competent evidential matter needed to attest to the fairness of management’s assertions in the financial statements or to evaluate whether management has efficiently and effectively carried out its responsibilities. The auditor obtains this evidential matter through inspection, observation, inquiries and confirmations with third parties (Government Finance Officers Association, 1988: 154).

## Budget Environment

Four characteristics pervade the government budget environment and influence approaches and decisions:

- Government structures;
- Nature of resource providers;
- Political process; and
- Incrementalism.

*Government structures* are established to protect and serve citizens. American governmental structure is rooted in a checks and balance system designed to fragment control. This results in structural obstacles to achieving timely coordinated direction. These obstacles tend to compound through lack of continuity of government leadership because of elections. Lack of continuity discourages governments from establishing the very long—range goals and objectives which would promote the common good in the most cost-effective terms.

Additionally, government normally provides services that are either not profitable in the private sector or are

more efficiently provided through the function of economies of scale by the ability to spread costs across a broader population (Government Finance Officers Association, 1988: 4).

As a consequence, general private sector marketplace measures of efficiency and effectiveness are less useful evaluation tools within governmental structures. Budget decisions must be made on the basis of relative value (Lewis, 1987: 213). Accordingly, budgeting leans on cost-benefit analysis—a technique for defining the relative merits of alternative government programs over time (Hyman, 1983: 329).

*The nature of resource providers* (taxpayers) impacts the budget environment.

In the commercial sector there is a direct relationship between the goods or services provided by a company and the price paid by the customer. A different relationship exists for some government activities (e.g., basic government services such as public safety and education) supported primarily by tax revenues. Although an exchange relationship may exist at the aggregate level (i.e., the citizenry as a whole provides resources and the citizenry as a whole receives goods and services), the ability to identify an exchange relationship for a specific tax-supported transaction does not exist (Government Finance Officers Association, 1988: 4).

Taxpayers are “involuntary” resource providers. Some, given the option of paying for government services, may choose not to pay. The absence of the no-pay option affects government operations and the need to demonstrate accountability to these involuntary resource providers. Consequently, the economic rule of supply and demand becomes moot when services are not directly paid for by the service recipient and only one service provider exists.

*The political process* influences the context in which budgets are formulated, reviewed, and implemented. The public “speaks” through politicians to provide direction to government. Politicians are elected based on their views of how governments should operate. Pressure comes continually from elected officials to maximize services with minimal revenues. Occasionally, this pressure leads some officials in a politically sensitive environment to provide service levels to citizens that are not sustainable through recurring revenues.

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The political process sways priorities as the relative values of spending options are debated. The decision to add additional law enforcement versus a new branch library is made in an emotionally charged atmosphere with politicians responding to their perceptions of relative value through the eyes of the public.

*Incrementalism* affects budgeting and refers to the phenomenon that:

Every annual budget can be regarded as having two elements. First, the bulk of the amount requested is for the continuation of the previous year's activities at the same level, but with the dollar amount adjusted for inflation. This is the base. Second, a marginal amount of the total requested is for expansion of activities and expenditures. This is the increment (Fesler, 1980: 195).

Indeed, the common denominator of governmental budgets is incrementalism. A budget is not made from scratch each year. Rather than beginning from the ground up, most of last year's budget is accepted as proper, and budget reviewers focus their attention on new items, emerging problems, and required increases or decreases in the current level of funding. Historical comparisons are the mainstay of incremental budgeting (Pursley and Snortland, 1980: 530).

The chief tendency of incrementalism is that a prospective budget is sized by the context of the current year. The budget is never reviewed as a whole every year in the sense of reconsidering the value of all existing programs as compared to all possible alternatives (Wildavsky, 1974: 13). Instead, it is reviewed on the basis of changes to the current year with attention focused on a narrow range of increases and decreases from an existing base.

## Types of Budgets

Essentially, there are two types of budgets: an operating (revenue and expense) budget and a capital budget (Sweeny and Rachlin, 1981: 116). The capital budget reflects funding to acquire needed capital assets during a fiscal period or over several fiscal periods depending upon the nature of the planned expenditure. For example, funding for a new building (which may include site acquisition, engineering and architect plans and

specifications, construction, and furnishings) may span several fiscal years.

Under the designation of operating budgets there are many approaches and many more variations of such approaches. Outlines of the characteristics of the more common operating budgets follow:

### Zero-Based Budget

The key elements of zero-based budgeting include:

- n Identification of objectives;
- n Evaluation of alternative means of accomplishing each activity;
- n Evaluation of alternative funding levels (elimination, lower levels, current level, and increased levels);
- n Evaluation of work load and performance measures; and
- n Establishment of priorities (Sweeny and Rachlin, 1981: 644).

The foremost benefit of zero-based budgeting is that it recognizes budgeting as a management process involving decision-making that drives the organization. It does this through the use of decision packages. Decision packages describe an activity or function in terms of goals, its performance measures, its costs and benefits, and the consequences of not performing it and alternatives to it (Dimock et al., 1983: 379).

The term *zero-based* does not mean that everything is automatically *zeroed*. It calls for reevaluation of activities to determine if they should be eliminated, funded at a reduced level, maintained at the status quo, or increased.

Zero-based budgeting was popularized by former President Jimmy Carter. He installed it while governor of Georgia. However, the process was developed by industry, at Texas Instruments. While it is still employed in some private sector companies, governmental entities have not embraced it.

An argument can be made that some counties and cities use a modified zero-based budget. After establishing base budget allocations for mandated services and high priority discretionary services, principles of zero-based budgeting are employed to shift resources among programs and allocate new resources.

Zero-based budgeting has been labeled, "a good idea in theory....". However, it has proven in practice to be too

cumbersome, too time-consuming, too fraught with paperwork, and too easy for managers to manipulate (Osborne and Gaebler, 1992: 116). In most places, it has died of its own weight.

### Line Item Budget

The line item budget, or some close mutation, remains the prevailing budget approach of the majority of local governments (Nigro and Nigro, 1983: 231). A line item budget presents expenditures by type and sub types. For example, expenditures may be summarized as salaries, services and supplies, and equipment. Within such expenditure types, specific line items might include health insurance, postage, and a desk, respectively. This budgetary approach focuses on expenditure control (Klinger, 1983: 231).

The line item budget's overemphasis on expenditure control, if not countered by companion information on program outputs, misses the opportunity for organizational leaders to use the budget as an instrument of forward planning.

This most traditional form of governmental budgeting often creates several management problems:

- There is difficulty in translating line item data into long-term objectives and action plans.
- Key service outcome problems and decision areas are not highlighted.
- Alternatives and work loads are not identified.
- Trade-offs among long-term goals, programs, and operating needs are not clearly identified (Sweeney and Rachlin, 1981: 644).

Nonetheless, for simplistic expenditure control and budget monitoring, governmental agencies often resort to the line item budget.

### Program Budgeting (Planning, Programming, Budgeting)

Program budgeting refers to the planning, programming, and budgeting approach which came in vogue in the 1960s with the Federal government. William B. Iwaskow described it as:

....a management decision-making system that ties together strategic and long-range planning with conventional budgeting and supporting analysis so that an organization can most effectively assign resources to achieve its short- and long-range objectives. It

utilizes a planning and budgeting process in an output-oriented program format, which is oriented to its objectives to facilitate developing and evaluating alternatives (Sweeney and Rachlin, 1981: 697).

Program budgeting answers the question, "Does the money spent by the agency achieve the desired results?" First, the agency must define its objectives with detailed explanations of how each program contributes to the agency's objectives. This is followed by an analysis of alternative programs and costs. This aids in identifying high priority programs and considers long-range costs (Dressler, 1979: 452).

Program budgeting uses terms like function, activity, missions, objectives and programs to relate the purposes of spending in a much broader manner than the customary line item labels. A program budget describes what the agency is doing or accomplishes with funds expended (Vocino and Rubin, 1981: 245).

There are many differences between traditional line item budgets and program budgets. Central to those differences is that program budgeting requires that budgetary decisions emphasize output variables such as goals, objectives, purposes, and services. This is in contrast to the line item budget's emphasis on input variables such as salaries, supplies, and equipment.

While most state and local government budgets use a blend of line item detail with general program budget output variables, the strict formal use of program budgeting has faded. The approach involved too much paperwork and time. As Aaron Wildavsky (1987: 375) declared, "No one knows how to do program budgeting."

### Entrepreneurial Budgeting

In *Reinventing Government* entrepreneurial budgeting is offered as another approach to budgeting for results. Essentially, entrepreneurial budgeting is mission driven budgeting that targets outputs and outcomes as the primary focus (an output is a measure of the volume of something actually produced; an outcome is a measure of the quality) (Osborne and Gaebler, 1992: 161).

Entrepreneurial budgeting springs from the knowledge that in government the most important lever in the system that drives behavior—is the budget (Osborne and Gaebler, 1992: 161). This mission-driven (roughly a broader, more

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contemporary application of management by objective) budgeting approach finds its strength in empowering organizations to pursue their mission. Mission-driven budgets are described as:

- n Giving employees incentives to save money.
- n Freeing resources to test new ideas.
- n Allowing managers the autonomy to respond to changing circumstances.
- n Creating a predictable environment and simplifying the budget process.
- n Freeing policy makers to focus on the important issues (Osborne and Gaebler, 1992: 122-124).

The foundation of such a process is the creation of a mission statement that is clearly communicated throughout the organization. This approach steers policy makers away from line item budget thinking. It allows them to concentrate on setting policy about levels of service, units produced, and relative costs. This system has been used in several cities and some areas of state government.

The weakness of entrepreneurial budgeting is that elected policy makers are reluctant to become students of governance and thoroughly understand the principles involved in this approach. Such reluctance and unfamiliarity results in an unwillingness to empower managers to release their creativity in experimental ventures.

## **Cutback Budget Management**

Unfortunately, while budgeting is a common activity for administrators, cutback budget management has become all too common also. Increasing service demands challenge public agencies in tough economic times. The public wants more and doesn't *want* to pay for it. Public agencies are confronted with the need for cutback budget management.

While budget constraints create organizational stress, financial poverty also generates exciting chances for change. Cutback budget management can be used as an impetus to reevaluate the operation. Governmental agencies organize to accomplish specific activities within fixed parameters and resources. Once set, there is organizational inertia which impedes change. However, insufficient resources force, or inspire, organizations to reexamine opportunities to transform and innovate.

Financial difficulties motivate thoughtful business analysis and fine tuning of service activities and methods.

The following discussion contrasts the mechanical approach to budget reductions versus an opportunistic view of public service management.

From a budget analyst's perspective, budget cutting can become mechanical with a fairly routine menu of tactics to curb funding:

- n Cut all personnel increases (hold positions vacant; delayed hire; limit overtime).
- n Cut all equipment items (luxuries).
- n Look at previous budgets (e.g., items cut before).
- n Restrict travel/training expenditures
- n Cut repairs and renovations.
- n Study (rather than fund) as a means of deferring costs.
- n Cut operating costs by a fixed percent.
- n Avoid cutting safety and health areas where staff or public are involved.
- n Cut departments with bad management reputations.
- n Ask other knowledgeable sources.
- n Identify dubious items for management attention (Pursley and Snortland, 1980: 547).

From a line management and overall leadership perspective, more constructive options may be employed to deal with changing patterns of funding. The more common strategies are grouped into *five* broad categories and are summarized as follows:

- n *Establishing service priorities* focuses on making service priority decisions rather than balancing budgets through across-the-board cuts. In assessing the public view, it is obvious that there are multiple publics with conflicting views and varied levels of governmental knowledge and understanding. As resources diminish, the competition among those publics intensifies.

Given funding guidelines from policy makers and the chief executive officer, managers need to rank service priorities for reevaluation. Chief executive officers and managers realize they shoulder the brunt of public reaction to service cuts while policy makers assess their options.

- n *Reducing costs and/or service levels* points to cost containment and defining and selectively reducing service levels. Improved productivity becomes a

managerial necessity if essential service levels are to be protected. operations analysis and work simplification studies find increasing use.

In the service level reduction area, centralization of service delivery points, doing **less and** doing it slower, and actual public service hour decreases, are tools to contain costs. Incentives for cost-saving achievement and productivity improvements shape the organization's cutback climate.

- *Alternative service delivery options* involves rethinking the traditional modes of service delivery. Financial constraints lead to opportunities for more flexible and creative alternative service delivery options, such as contracts with public or private providers, inter-agency partnerships, or non-profit corporations.<sup>1</sup>
- *Personnel management options* recognize that most governmental operations are labor-intensive. Personnel policies and practices can be pivotal valuables in productivity-improvement and cost curtailment. Personnel management options include reorganizations, job restructuring, task streamlining, deployment of contemporary technology, improving morale, and training.
- *Public/private partnership* reflects the growing awareness of interdependency and ownership of community service issues between the public and private sectors. While advisory groups and commissions are familiar educational and informational resources for governance, specific time-limited issues may be addressed through public-private task forces.

## Concluding Comments

Mastery of budgeting is an essential skill for administrative success. Organizational performance and success is enhanced through understanding budgets, the budget process and environment, the principal budget types, and methods to approach budget reductions. This is a fertile area for further study to achieve organizational and career goals since it is frequently a factor in performance evaluation.

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<sup>1</sup> A detailed summary of 36 alternative service delivery options is provided in Osborne and Gaebler, (1992), Appendix A.

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## Chapter 7:

# Personnel Management, Policies, Functions and Planning

by

Trish Huarte-Pechan

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Juvenile probation administrators must operate within the context of the local agency's personnel rules in virtually all matters affecting interaction with applicants and employees. As a line department in a larger agency, a Probation Department may be in competition with other County departments for personnel services. Effective organizational planning requires close cooperation of the administrator with the personnel staff.

Most mid- to large-size counties have a central personnel organization responsible for the administration of the agency's personnel system. In smaller counties, the personnel function may be housed within another department. In some of the larger counties, line departments may have their own personnel staff who have been designated responsible for liaison with the central personnel agency. In any of these varied organizational choices, similar principles of effective personnel management will guide each county's personnel function.

Whether the county has a locally-administered civil service system or not, all counties operate under some form of merit system. In 1883, the Pendleton Act established the merit system of public personnel administration at the federal level. It was designed to eliminate the spoils concept as the criteria for recruiting and retaining public employees. The merit concept has been adopted, in some fashion, by state and local jurisdictions as the most effective means of ensuring efficient public service (Nigro and Lloyd, 1976: 5). Although differences in specific personnel rules may exist from jurisdiction to jurisdiction, the basic guiding merit principles affecting recruitment, classification and pay are the same.

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### Classification and Job Analysis

Public agencies, counties included, rely on a system of position classification as the basis for developing recruitment plans, examinations, and systems of pay. In essence, classification plans provide a framework for most personnel management activity. Public sector classification systems were first implemented in the early 1900's. They were rooted in the scientific management movement which was so influential at the time. In 1912 Chicago became the first jurisdiction to implement a position classification program and Illinois was the first state to do so in the same year (Shafritz, 1992: 1348). Generally, an agency's classification plan is developed by conducting thorough job analyses using one of a variety of job evaluation methods, grouping jobs into classes, identifying benchmark (representative sample) classes, and grouping these classes into interrelated series and hierarchies.

The four most common methods of job evaluation for public sector classification purposes are:

- n Whole-job ranking - jobs are ranked lowest to highest, focusing on the overall value of each job relative to others.
- n Job classification - a series of job classes are defined by qualitatively describing levels of skill, effort, and responsibility in a class specification; then jobs are fitted into the classes. (These first two methods do not rely on quantitative measures.)
- n Point systems - jobs are measured using factors that have been divided into several quantitative levels of difficulty; points are assigned to each difficulty level, and each of the factors is weighted. A single number is obtained for each position which represents the evaluated job content.

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- n Factor comparison - job-to-job comparisons are made taking into account several aspects of job difficulty, including intellectual requirements, skills, responsibilities, and working conditions. Factors are assigned weights, and each job is ranked on each factor (Pounian and Fuller, 1989: 379).

Job analysis and evaluation are essential to the development of a comprehensive classification plan. In a survey conducted by the federal Office of Personnel Management in 1977, only 20% of the states and 28% of the cities and counties reported that they did not conduct job analyses on a regular basis (Dresang, 1984: 130).

Because quantitative methods of job analysis and position classification tend to be costly to administer, most public agencies use a variation—the nonquantitative method of job analysis and position classification developed by Ismar Baruch, in his capacity as Director of the United States Civil Service Commission's Classification Division in the 1930s through the 1950s (Dresang, 1984: 140).

Baruch's process is one of collecting data, conducting a job analysis, applying a number of basic allocation factors for comparison and grouping jobs that share the same or similar characteristics as identified by these factors. Data collection usually includes review of written statements prepared by incumbents, interviews with incumbents and supervisory staff, review of departmental organization, and related information-gathering. Although agencies may add or delete certain factors, common allocation factors used by most counties are ones originally defined by Baruch in his early works. The classification plan currently in use at the federal level relies on the following nine factors:

1. Knowledge required by the position - the nature and extent of information or facts that the worker must understand to do acceptable work.
2. Supervisory controls - the nature and extent of direct or indirect controls exercised by the supervisor, the employee's responsibility, and the review of completed work.
3. Guidelines - the nature of the guidelines and the judgment needed to apply them.
4. Complexity - the nature and variety of tasks, processes, activities, etc., in the work performed, and the degree to which the employee must vary the work, discern interrelationships and deviations, or develop new techniques, criteria, or information.
5. Scope and effect - the purpose of the assignment and the effect of work products inside and outside the organization.
6. Personal contacts - face-to-face contacts and telephone and radio dialogue with persons not in the supervisory chain.
7. Purpose of contacts - the factual exchanges of information to situations involving significant or controversial issues and differing viewpoints, goals or objectives.
8. Physical demands - the physical characteristics and abilities and the physical exertion (e.g., climbing, lifting, pushing, etc.) placed on the employee by work assignments.
9. Work environment - the risks, discomforts, or unpleasantness that may be imposed upon employees by various physical surroundings or job situations (Shafritz, 1992: 148).

Each agency, in using its own variation of these factors, may also apply a different significance to each factor.

As a result of this type of job analysis, each juvenile probation position will be assigned to a classification. The classification may be unique to the probation department or generic to the county agency. For example, inexperienced workers may be classified as Deputy Probation Officer I and the journey-level job requiring a more experienced probation professional may be classified as Deputy Probation Officer II. The juvenile hall worker responsible for supervising groups of employees who have responsibility for the custody and care of detainees may be classified as a Supervising Youth Counselor or similar title. These classification types are unique to Probation. A more generic, agency-wide classification is likely to be found among office support staff. The clerical support staff job requiring typing of probation reports and correspondence, filing of documents and records, and answering phones is likely to be classified as a Typist Clerk or Office Assistant, a classification used in other county departments. Each of these classes is assigned to a series (for example Deputy Probation Officer I, II, and III), with classes in the series

distinguished from each other by application of the basic allocation factors.

Once positions are classified, candidates for positions in the same class must meet the same minimum qualifications and pass the same examination for entrance into the class. As employees, they will receive the same rates of pay and benefits; and their performances will be evaluated against similar standards for satisfactory performance. When juvenile probation workload or organizational changes require the addition of staff, the classification plan in place in the county will help identify the appropriate classification(s) of position(s) to be added, and the pay range and benefits already in place for the classification(s) will determine the budgetary increase necessary to fund the additional staff.

### Job Analysis and Class Specifications

The classification plan and process also results in the development of written class specifications. Specific formats for these documents may vary with each agency but, regardless of the data-collection method chosen, the result should be a description of each job, which specifies the following elements:

- n Why the job exists - its general function and primary objective, as well as important results that the employee must achieve to be considered a competent performer.
- n The job's nature and scope - the environment in which the work is done, its place in the organizational structure, its dependence on other jobs and functions, its major duties and responsibilities, and its basic challenges.
- n Key dimensions - include, for example, operating budgets, number of employees, number of cases handled per year, and number of client contacts.
- n Freedom to act - the nature and source of control that limits the incumbent's ability to make final decisions and take action (Pounian and Fuller, 1989: 378).

It is important to recognize that there may be a distinction between a job description and a class specification. As indicated earlier, several jobs are grouped into a class, and the class specification results from the analysis of several jobs. While the class specification is a good general summary of the range of

duties which may be performed by individuals assigned to the classification, it is not a thorough description of any single job. Supervising staff need to spend time with their subordinate employees explaining the specific set of tasks which make up the employees' individual jobs.

### Recruitment, Testing and Selection

Effective manpower planning is integral to effective organizational planning. Short- and long-range projections of the types and numbers of staff necessary to carry out the juvenile probation function will be made at the probation department level. It is essential for line departments like probation to communicate these staffing needs to personnel staff in a timely fashion so effective recruitment decisions can be made.

In most counties, individual department managers select employees from an applicant pool provided by the central personnel staff. In some instances, the personnel staff may use outside recruitment resources (joint-power agreements with other jurisdictions for personnel services, or consultants, for example) in developing the applicant pool. Although the recruitment style and process may vary, there are several similar merit principles, personnel management theories, and legal requirements (especially as they relate to discrimination) which will dictate some uniformity among counties and impose some time requirements. The process will generally entail a time-specific recruitment period during which applications are accepted for a class, some testing system designed to rank candidates, and a system for referring the candidates in rank order to line department managers for selection interviews.

Both the merit concept and effective recruitment demand that notice of the position vacancies be advertised in some fashion to a broad pool of qualified potential applicants. Probation staff can be influential in identifying publications, associations, and agencies which may be effective in reaching qualified potential applicants for probation positions, especially those which are specific to probation rather than generic to the county. Frequently, personnel staff will encourage personal contact by probation staff with potential applicants. The scope of advertising may be limited by personnel budget limitations; however, consultation between probation staff and personnel staff can result in a mutually agreeable plan for reaching qualified applicants.

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Although recruitments can be conducted on an open-ended basis, with applications accepted for an indefinite period of time, most public agency recruitments are time-limited, with requirements that applications be received by the personnel agency by a deadline date clearly announced in the recruitment flyer. Submitting an application by the filing deadline may be the first “test” for potential applicants.

The specific testing devices used for each recruitment will generally be determined by the personnel staff. Feedback from line departments like probation regarding the past effectiveness of specific recruitments can be invaluable in developing appropriate testing devices. Personnel staff are responsible for developing or purchasing exams which are both valid (accurately measure what they purport to measure) and reliable (consistently result in similar relative rankings of the same pool of test-takers) (Nigro and Lloyd, 1976: 166).

As described above, job analysis results in a class specification which includes a listing of knowledge, skills, and abilities necessary for satisfactory performance of duties in positions (jobs) assigned to the class. This listing will be central to the development of any test device used to screen applicants before hire. Tests may be any combination of written, oral, application screening, and/or application rating. If employees hired as a result of a specific testing process are successful performers on the job, the testing devices have been effective.

If probation managers believe these employees have not been successful on the job, the test may not be valid or the factors being tested may not be relevant to job success. In the first instance, personnel staff may need to revise the test devices; in the second, further job analysis may be necessary to determine appropriate knowledge, skills, and abilities relevant to the class. In either case, feedback from probation managers is important to the on-going effectiveness of testing devices.

Generally after all exams are scored, successful candidates are placed in rank order on an eligible list. Final selection decisions are made by department managers. Generally, local practices and rules will dictate the number of persons referred to the probation manager for interviews. Some civil service systems have the “rule of three” or the “rule of five,” which means that the top-ranked three or five candidates on the eligible list are referred for interview.

Some systems have “ranks” or “bands,” and the top three or five ranks or bands can be referred. In ranking or banding, the exam scoring system is designed so that several candidates will be grouped into one score. For example, the exam scoring may require that successful candidates receive only one of five possible scores. Each score equals a rank or band. All candidates in each of the top three bands (or five, depending on local rules and practices) can be referred for interview. In most systems, banding is limited to designated classifications. In agencies where there is not a civil services system, the general process is usually the same, although local rules may allow for additional flexibility in referrals.

Selection interviews are also “tests” and should follow standard practices and legal guidelines. Except for differences attributable to the different educational and experience backgrounds of the candidates, all candidates for the same position should be asked the same pre-determined questions. The questions must be job-related and may not touch on issues related to areas protected from discrimination by state and federal laws. Questions that imply that hiring decisions are being made for discriminatory reasons place the agency and the interviewer at great risk. To ensure compliance with current law, most counties offer training, informational brochures, and/or one-on-one guidance for managers in interviewing. It is extremely important that any probation staff involved in the selection process receive such information or training.

Most agencies require employees to complete a probationary period prior to gaining permanent status in the organization. The probationary period is essentially the final stage of the testing process. Employees who can not demonstrate successful performance of the job duties may be “released during probation” generally without appeal rights. Effective supervision and evaluation of employees during this probationary period will assure retention of successful employees and release of employees whose performance does not meet expectations.

## **Protected Classes and Non-Discrimination**

Recent controversy over affirmative action programs and policies has caused confusion among public agency employees regarding the rights of protected classes and the responsibilities of local government managers and employees. A variety of existing federal laws prohibits discrimination against various “protected” groups

specifically listed in the laws. Changes in affirmative action policies at the state and local level will have no impact on these civil rights laws and the responsibilities of local public agency managers for compliance.

Employers are required by federal law to select employees in a nondiscriminatory manner. This requirement applies to hiring, advertising, recruiting, making pre-employment inquiries, using testing devices, designing the use and content of application forms, and conducting personal interviews (Simmons, 1995).

The principle obligations imposed under federal law stem from Title VII of the Civil Rights Act of 1964 (Title VII), the Equal Pay Act of 1963, the Age Discrimination in Employment Act of 1967 (ADEA), the Rehabilitation Act of 1973, and, most recently, the Americans with Disabilities Act (ADA) of 1990 (Simmons, 1995: 5).

- n Title VII affords protection against discrimination based on race, color, religion, sex, pregnancy - related conditions, and national origin.
- n The Equal Pay Act mandates equal pay without regard to gender for equal work performed under similar working conditions on jobs requiring equal skill, effort and responsibility.
- n Section 504 of the Rehabilitation Act applies to employers that receive federal funds, and directs that they make reasonable accommodations to the known physical or mental handicaps of qualified individuals.
- n The ADEA protects persons between the ages of 40 and 69 inclusively from discrimination in employment.

The ADA expands the protections of persons with actual or perceived physical or mental disabilities, and applies to all employers with five or more employees. The Equal Employment Opportunity Commission (EEOC) is responsible for monitoring compliance with these laws (Simmons, 1995: 5).

Frequently, states enact legislation modeled after, or in addition to, federal legislation on the same subject. For example, California enacted the Fair Employment and Housing Act (FEHA) which, in addition to those areas covered by Title VII, affords protection against discrimination based on an individual's marital status, medical condition, age, or physical handicap. Consequently, California employers subject to Title VII and FEHA must satisfy the standards imposed by both laws (Simmons, 1995: 6). Generally, where different

obligations exist under state and federal law, employers are advised they may be held responsible for compliance with the strictest obligations.

The significance and enormity of the Title VII and its subsequent amendments and court interpretations deserve special notice for their impact on public agency personnel management. In 1964, Title VII only applied to private sector employers. In 1971, the Supreme Court ruled on the case of *Griggs v. Duke Power*, a case in which black employees sued because company qualification and testing requirements excluded them from employment in all but the most menial ones in the company's labor department (Nigro and Lloyd, 1976: 18). The Court held that employers covered by the act could be held liable for discrimination if they had an unbalanced, unrepresentative workforce and they used selection criteria that were not job-related (Dresang, 1984: 37).

In 1972 amendments to the act, Congress extended coverage to include state and local governments. Most counties began intense scrutiny of all their personnel processes to comply with the spirit and intent of Title VII. Classification reviews were necessary to ensure that job analysis resulted in minimum qualifications that were truly job-related and did not artificially exclude qualified candidates. Testing devices had to be validated, including selection interviews. Many of the current refinements in county personnel procedures resulted from the 1972 application of Title VII to local government. The personnel practices described in the *classification and recruitment* sections above follow accepted theories for effective personnel management, but they also serve to protect counties from allegations of discrimination.

The ADA also deserves specific reference for its impact on pre-employment processes. Its scope of prohibiting discrimination against physically and mentally disabled individuals includes requiring employers to make reasonable accommodation for such individuals (Simmons, 1995: 295). The ADA applies to all the advertising, application, and testing and screening processes referred to in Title VII above.

In addition, as of its effective date on July 26, 1992, employers were prohibited from conducting a medical examination or making pre-employment inquiries to determine whether an applicant has a disability or the nature or severity of the disability. Such examinations may only be conducted after applicants receive an offer of

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employment and before they commence their employment duties (Simmons, 1995: 89). Therefore, pre-employment physicals and *psychological* examinations may only be conducted after a conditional offer of employment has been made.

In addition, the standards for these examinations must be consistent with the ADA. This may mean the employer must make “reasonable accommodation” to the physical or mental limitations of a particular application or employee. Reasonable accommodation is defined to include the following:

- (i) making existing facilities used by employees readily accessible to and usable by individuals with disabilities; and
- (ii) job restructuring, part-time or modified work schedules, reassignment to a vacant position, acquisition or modification of equipment or devices, appropriate adjustment or modifications of examinations, training materials or policies, the provision of qualified readers or interpreter, and other similar accommodations for individuals with disabilities (Simmons, 1995: 312).

An employer need not make an accommodation that would impose an undue hardship on the operation of its business. However undue hardship is defined as causing the employer “significant difficulty or expense” (Simmons, 1995: 313). Public agencies must carefully scrutinize any physical or mental criteria for hiring in order to ensure compliance with the ADA.

## Compensation

Effective compensation programs require internal equity as well as external competitiveness (Pounian and Fuller, 1989: 375-6). In addition, flexibility is required to address specific agency needs related to recruitment and retention issues. Decisions regarding equity and competitiveness require job comparisons based on a thorough understanding of job content and requirements. As described earlier, job analysis and the classification plan are vital to establishing compensation levels.

In establishing the classification plan, the county has already made some decisions about internal equity. For example, the Deputy Probation Officer I is a lower level class than Deputy Probation Officer II which is lower than

Probation Division Chief. Obviously, lower level classes in a series are paid less than higher classes in the same series. In some counties there may even be a compensation policy or guideline that dictates a fixed percentage difference between types of classes in a series—for example, between entry and journey—level classes in the series or between workers and the first-line supervisory class in the series. There may also be relationships between series. It is generally true that the entry level class in a professional or technical series (such as Deputy Probation Officer) is paid higher than the supervising clerical classes. Or the probation business manager may be tied to some level in the probation management hierarchy.

Counties generally evaluate their external competitiveness by conducting surveys of benchmark classes in comparable organizations. As indicated earlier, benchmark classes are representative samples of classes common to similar organizations. All counties operate probation departments and all probation departments have entry- and journey-level probation officers. Therefore, Deputy Probation Officer I and II (or some similarly titled classes) are benchmark classes among counties. In the same fashion, journey-level clerical, maintenance, accounting, law enforcement, and staff analyst classes are benchmark classes for most counties.

The identification of comparison agencies for assessing external competitiveness may vary by county and by classification, depending on the local determination of the labor pool. Most counties have benchmark counties with which they compare: counties of similar geographical size, similar populations (size and diversity), type (e.g., rural versus urban), location (e.g., central versus southern California), and/or economic conditions (e.g., high unemployment). Once established, these benchmark comparison counties serve for consistent comparison of the classes which tend to be unique to counties. Some counties’ survey practices allow for the use of agencies other than counties as deemed appropriate.

For example, as the government entity responsible for probation functions, counties are the logical source of information on pay rates of probation officers. On the other hand, clerical and maintenance staff are likely to be hired by local private industry, and some counties may use local industry for comparison agencies for these classifications. Cities within the counties’ borders are also frequently used by some counties for comparison of benchmark classes.

Most counties use the average of the salaries paid in their designated comparison agencies as the measure of their external competitiveness. In most cases, this figure is used as a guide and not an absolute pay rate which must be met. Few counties have compensation policies or negotiated agreements that require a fixed relationship. Since external competitiveness is only one measure of pay effectiveness, fixed relationships to comparison averages could seriously distort internal equity and other measures of local need.

For example, a county experiencing high turnover among juvenile hall group supervisors may be paying a competitive salary as measured by the benchmark survey. However, high turnover can lead to high overtime and training costs. Depending on the reasons identified as the cause of the high turnover, it may make sense to the county's compensation managers to offer additional compensation as an incentive to stem the high turnover. Line departments are key sources of information to compensation management staff in identifying operational issues which may affect compensation.

Frequently, salary surveys address issues other than base compensation. Base compensation is the annual salary of an employee, while total compensation is the full monetary value provided to an employee, including base compensation plus the value of all benefits (Pounian and Fuller, 1989: 376). Counties are increasingly recognizing the need to include benefits in salary surveys. When one agency pays a portion of an employee's share of retirement contribution and another does not, the relative cost to the first agency to fund the employee's position is greater if salaries are the same. As county finances become even more constrained, compensation staff look for more sophisticated measures of competitiveness in making compensation recommendations to policy makers.

### **Fair Labor and Standards Act**

State and local governments are now subject to the provisions of the federal Fair Labor Standards Act (FLSA). The FLSA sets minimum wage, overtime pay, equal pay, recordkeeping, and child labor standards for covered employees. Workers who are not subject to the act include elected officials and their personal staffs, political appointees and legal advisors, bona fide volunteers, independent contractors, and prison laborers.

Other workers, though covered by the FLSA, may be excluded from the requirements of its overtime provision.

These are executive, administrative, and professional employees. These categories of employees are defined by the FLSA, not by local practice; therefore, agencies must be cautious in determining who is not subject to the overtime provisions of the FLSA. Under the overtime provisions of the FLSA, employees must be paid at least time-and-one-half for all hours worked in excess of forty during a workweek. Compensatory time may be paid instead of cash, but only if the employee agreed to it in advance of working the overtime. (The MOU may contain agreements regarding compensatory time and/or cash for overtime).

A workweek, as defined by FLSA, consists of seven consecutive 24-hour periods, which may begin at any particular time of day and any day of the week. Work periods for firefighters, police, and hospital personnel may vary from this requirement to 14 or 28-day periods. However, the variance would not apply to any probation department staff. Since most public agency employees are covered by the FLSA, the overtime provisions will apply to all except those who may be exempt only from the overtime provisions.

The FLSA exemption from overtime for executive, administrative, and professional employees requires both a "duties" and a "salary" test. The FLSA regulations define types of duties and responsibilities which must be present in a job for it to be exempt from overtime requirements. Generally these responsibilities require a significant amount of independent authority, decision-making responsibility, and policy setting authority. Each agency will have analyzed classes of positions and determined which positions fit the overtime exemptions. Department administrators must work closely with human resources staff in clarifying duties of positions in order for these determinations to be made.

Under FLSA regulations, it is possible for one position in a class to be exempt and another not, although few public agencies have the payroll recordkeeping resources to make those distinctions. In a case involving Deputy Probation Officers in San Diego, California, the courts determined that Deputy Probation Officers were not exempt from FLSA overtime requirements. However, this decision was based on the "salary" test, not the duties test. Therefore, each agency must determine whether a Deputy Probation Officer fits one of the categories of exemptions based on the specific duties, authority, and responsibilities assigned.

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The second test, the “salary” test is even more troublesome for public agencies. Some courts have found that “hourly” payments to these employees violate the salary basis test Ginsberg, et al., 1990: Tab 200, p. 34). Even hourly deductions from leave banks have come under scrutiny. Additional payment for overtime is considered a violation of the salary test; and disciplinary suspensions which reduce the salary of “exempt” employees may only be made for “infractions of safety rules of major significance” (Ginsberg, et al., 1990: Tab 200, p. 36). Even requiring exempt employees to keep careful track of their time may create a problem for public agencies in complying with the salary test. The balance between the requirement for public agencies to be accountable to the taxpayers and meeting the salary test requirements of the FLSA is an evolving issue. Each agency’s legal and human resources staff must provide updated information regarding developments in this area.

Flexible schedules must be designed in such a fashion as to comply with this law. Work schedules must begin and end in such a fashion that each week contains only forty hours. Careful documentation of workweek starting and ending times, as well as all hours worked by employees, is required.

Employees subject to the overtime provisions of the FLSA may not volunteer to work in the same or similar capacity for the same employer. Employees who voluntarily continue to work after their shift is over must be paid overtime. Once an employer allows the employee to work, or knows the employee is working, the employee must be properly compensated (Ginsberg, et al., 1990: Tab 400 p. 9). Managers must insure that overtime work they don’t want performed is not, in fact, being worked. A rule prohibiting unauthorized overtime will not suffice to avoid liability for overtime worked (Ginsberg, et al., 1990: Tab 400 p. 9).

## Public Sector Bargaining

Public sector labor relations began a relatively late start in state and local governments; it wasn’t until the 1950s that it was extended to municipal and state governments in any systematic way (Douglas, 1991: 208). Prior to 1968 it was generally believed that the First Amendment did not protect the right of public employees to organize labor unions; therefore, states were free to prohibit them.

However in 1968, a U. S. Court of Appeals held that regulations prohibiting public employees from organizing were unconstitutional. Subsequent court decisions shifted to a position allowing collective bargaining unless it was specifically outlawed, and governmental jurisdictions began establishing programs for labor relations and collective bargaining (Shafritz, 1992: 1348). In the last three decades, the only substantial growth in the American labor movement has been in the public sector, and it looks as though this trend will continue. Once adopted, public sector collective bargaining legislation becomes institutionalized and remains an integral component of human resources and public personnel systems.

The scope of bargaining in each state will depend on the state legislation establishing the right of public employees to bargain. It may vary from broad, in which the private sector standard is followed (virtually all facets of the terms and conditions of employment), to narrow, as contained in the federal sector, where salary and other forms of compensation are legislated and cannot be bargained (Douglas, 1984: 211).

Where some form of collective bargaining exists, employees are organized into bargaining units. Although some terms of employment may be applicable to employees across bargaining units, bargaining generally takes place on a unit-by-unit basis to address the specific issues of employees in each unit. Criteria typically considered in establishing units include the following:

1. a clear and identifiable community of interest among the employees (probation officers and clerical support staff are unlikely to be in the same unit);
2. effective dealings with the unit and efficient operations;
3. a history of representation;
4. the level of authority of the employees and the officials with whom they might bargain;
5. agreement between the parties; and
6. the convenience of the employer (Shafritz, 1992: 304).

Each agency will generally have a specific policy defining the criteria upon which unit decisions are made and procedures for modifying those unit determinations.

In many jurisdictions, public sector labor relations has been statutorily superimposed onto existing civil service

systems resulting in jurisdictional questions, functional overlap, and competition. While it is unlikely that civil service will disappear, in unionized jurisdictions the labor relations framework has emerged as the dominant force and has resulted in a reevaluation of the traditional civil service functions (Douglas, 1991: 210). For example, where civil service commissions may previously have had authority to recommend salaries, in many unionized agencies salary resolution is a negotiable topic.

The bargaining process generally requires the presence of employee stewards at the bargaining table. The policies and practices of each agency or the legislation establishing collective bargaining in each state will govern whether employees attend bargaining discussions on agency time. Most agencies have agreements allowing “reasonable” time for employee stewards to participate in bargaining. Department managers remain accountable for their employees and should monitor such attendance.

Bargaining agreements between public employers and employees are codified in a document identified as a Memorandum of Understanding (MOU). The MOU should contain all the pertinent information regarding employees’ rights and benefits; supervisory and management employees should use the document in their day-to-day interaction with their employees. Because the scope of bargaining in jurisdictions varies, there may be other documents (administrative manuals, ordinances, resolutions, policy directives) which govern employee relations. These documents should also be accessible for referral by all staff.

### Performance Evaluations

While most managers recognize the need to evaluate employee performance, few managers clearly understand the variety of valuable uses for evaluations. Some of these uses include the following:

- n *Human resource planning* should be based in part on an understanding of the strengths and weaknesses of the existing workforce.
- n *Examination validation* depends, in part, on data indicating how well current employees are performing.
- n *Probation and promotion* decisions are made on evaluation of current work performance.
- n *Merit pay increases* require performance

evaluations.

- n *Employee development* plans can be developed for each individual employee from information regarding evaluation of performance.
- n *Demotions and dismissals* must be supported by performance documentation.
- n *Layoff decisions*, although generally based on seniority, are frequently affected by records of employee performance (Douglas, 1991: 165).

The reluctance of public agency managers to use performance evaluations meaningfully might be based on their doubts about whether employee performance can be measured. Many government jobs require analysis and judgment, factors which seem to defy measurement. In efforts to establish performance evaluation systems, public agencies have experimented with a variety of systems including trait rating, forced-choice rating, essay style, critical incident technique, goal achievement, and employee ranking systems (Douglas, 1991: 168-172).

Trait rating attempts to evaluate employees according to traits and characteristics like disposition, honesty, and initiative. The problems with this method are that trait terms are nebulous and lend themselves to different interpretations; and trait evaluation systems are frequently not related to job performance.

Under forced-choice rating systems, supervisors must choose from a given list of descriptive terms to describe employees. For example, phrases such as “completes work on time” or “work frequently includes minor inaccuracies” might be included in the listing. The purpose of forced choice is to establish consistency and objectivity among various raters, and to identify standard patterns of behavior for which employees should be rewarded or sanctioned. The success of such a system depends on the adequacy of the list of forced choices.

Essay evaluations are open-ended and unstructured. The form allows for spontaneity but content is frequently not comparable from one evaluation to another. Agencies frequently combine the essay with forced choice items to provide a more comprehensive evaluation method.

Critical incident technique is based on the philosophy of scientific management that there is a single best way of accomplishing a task. From interviews with employees, the researcher determines what behaviors contributed to or

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detracted from successful achievement of a goal. The research then develops a list of “critical incidents” (or behaviors or tasks and how they are performed) against which an employee is evaluated. The weaknesses of this approach relate first to doubts whether there is truly a single best way to do a job; and second, the time-consuming nature of list development.

Management by objectives (MBO) lends itself to the goal achievement method of evaluation. The first step is to establish and clearly communicate goals for the agency as a whole and for individual employees, usually involving employees. Performance appraisals occur through periodic meetings where progress is reviewed, problems are discussed, and, if necessary goals modified. The use of this system in public agencies is hampered by the requirement that legislative bodies determine the agency goals and by the less flexible pay systems available to public managers.

Employee ranking systems order employees on a relative scale, from best to worst, with emphasis on making distinctions between employees. While such systems are useful when a limited number of employees can be given a merit pay increase, a training opportunity, or some other reward, they do not provide useful feedback to employees regarding performance strengths and weaknesses. Virtually no public agencies have found this system to be effective.

Given the myriad uses of effective performance evaluations, probation department managers should be encouraged to follow agency performance evaluation procedures scrupulously.

## **Effective Discipline**

Everyone has a favorite horror story regarding the inability to discipline public employees. Procedural safeguards for employees frequently seem to tie a supervisor’s hands in meting out effective discipline. Understanding the disciplinary process is key to successful discipline of employees.

The U.S. Supreme Court in two 1972 rulings established that certain types of public employment involved liberty and property interests protected by the Fourteenth Amendment to the Constitution, and employees in those positions could not be deprived of their jobs without due process (Douglas, 1991, 254). While the

language of individual agency charters, rules, ordinances, and other legislation may determine whether employees have a property interest in their jobs, it is generally accepted that following standard procedures for discipline is the best approach for agency managers to follow.

Reasons for discipline must be well thought out. The trend of the courts has been toward protecting the constitutional rights of public employees. Therefore, employee’s rights of free speech, freedom of association, privacy and other constitutionally protected rights must be carefully weighed against the requirements of public employment. For example, in a 5-4 decision, the Supreme Court held that the dismissal of a deputy county constable was unconstitutional in violation of her rights to freedom of speech when she was dismissed for her comment, “Shoot, if they go for him again, I hope they get him,” in response to hearing about the attempted assassination of President Reagan (Douglas, 1991: 291). Agency standards of behavior must be constitutional and clearly communicated to employees for discipline to be upheld.

Due process generally requires that an employee receive notice of any adverse action prior to its implementation, and that the employee have an opportunity for a hearing on the facts and, in some cases, the judgment leading to discipline. Individual states may establish specific rights for public employees. The U.S. Supreme Court has ruled that although there is no general constitutional right to a hearing, one might be required under any one of four instances:

1. Where the removal or nonrenewal was in retaliation for the exercise of constitutional rights such as freedom of speech or association;
2. Where the adverse action impaired the individual’s reputation;
3. Where a dismissal or nonrenewal placed stigma or other disability upon the employee that foreclosed his or her freedom to take advantage of other employment opportunities; or
4. Where one had a property right or interest in the position, as in the case of tenured or contracted public employees (Douglas, 1991: 305).

Since it is difficult to judge clearly when hearing rights are invoked, it may be wise to be generous in the application of such rights. Individual state and agency guidelines may be more specific.

In determining the appropriate type of discipline, supervisors should keep in mind the theory of “progressive discipline.” This concept implies that an employee being disciplined has been previously counseled or warned regarding the unacceptable conduct before formal discipline is invoked for that conduct. Dismissal should not be resorted to unless lesser forms of discipline have been unsuccessful in changing the unacceptable conduct, except in cases of extreme behavior.

In all instances, thorough documentation of the behavior and supervisory intervention is critical.

### Concluding Comments

Successful implementation of personnel policies is a critical factor in the success of Probation administrators. Individual agency variations of the above processes need to be clearly understood. Close cooperation with personnel staff will assist Probation administrators in achieving their departmental goals.

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## Chapter 8:

# The Management of Human Resources

by

Kathy Welch

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It is the mission of most juvenile probation departments across the nation to rehabilitate youthful offenders. Under the direction of their governing boards probation departments strive to provide counseling services, educational needs, promote family involvement, and protect the community. Departments attempt to address elements in society that contribute to delinquency. Some attempt to involve themselves in prevention work and research. All seek the assistance of solid community resources to aid in their fight against delinquency.

Everything points back to the concept of rehabilitation; to restore the delinquent to a non-delinquent lifestyle; to give the juvenile offender a sense of mission or values to redirect his life and to assist him in every way possible to internalize these behavior changes for himself. I am going to suggest that before this mission can be accomplished with probation departments, there is another rehabilitation process which should strongly be considered and studied. This other rehabilitation process is restoring of the juvenile probation staff itself. The type of counseling and social work done in juvenile probation settings is work or assistance that is not sought. Departments deal with a population of teenagers and parents who most of the time would just as soon never have been introduced to one another. Not only is this stressful for probation officers, but it is stressful for the management team.

In corporate America, it is not uncommon for it's executives to have completed college, perhaps with master-level degrees, and entered the work place at a management level. This is rarely true in careers within juvenile probation. Most management

personnel enter the field at the bottom and promote from within the system. Probation officers have degrees in social sciences, psychology, sociology, or criminal justice. Few have degrees in administration or management.

While many of us made great social workers and probation officers, the day we joined the ranks of management, we did not have a clue as to how to lead or manage. It is quite a jump from caseworker to manager. Often the training is on-the-job training, assisted by attending whatever management seminars may be available. As we have been supervised by others in the past we have opinions as to what works and what does not work. But when faced with a difficult management decision, sometimes we resort to what we have seen or heard. It is somewhat like saying I will never say to my child, what my parents said to me—until you have a child and you hear the words coming out of your mouth. It can be quite a challenge to move from supervising a caseload to supervising professionals who previously were our peers.

Different skills are required to manage. Different tools are needed to inspire, delegate, and hold staff accountable. The old carpenter's rule, "measure twice, cut once," (Covey, 1989: p. 99), can suddenly become mind boggling if we are insecure in this new role. Now others are looking to us for tools to assist in accomplishing deadlines for court work. What brick or concrete can be used to promote family involvement? What plumb line is our guide when community protection is the issue? What hammer or saw will get the job done and keep staff sane and mentally healthy? In the jumble of daily priorities, what is the manager's priority? No longer can we be concerned only about what it takes to get our work done, but what is best for everyone else.

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History and experience teach us that leadership and management are essential ingredients for the success of human activity. A group without leadership is a collection of different interests. The function of leadership is to motivate, persuade, force, inspire, and manipulate followers to a common goal. (Maccoby, 1988: p. 213).

In July 1863, President Abraham Lincoln delivered these few words at a place called Gettysburg:

“Four score and seven years ago our fathers brought forth on this continent, a new nation, conceived in liberty, and dedicated to the proposition that all men are created equal. Now we are engaged in a great civil war, testing whether that nation or any nation so conceived and so dedicated can long endure. We are met on a great battlefield of that war. We have come to dedicate a portion of that field, as a final resting place for those who have given their lives that that nation might live. It is all together fitting and proper that we should do this...” (Barton, 1933: p. 601).

President Lincoln had a vision. He had a mission—the preservation of the union. He was dedicated to the task of motivating, persuading, and inspiring his followers to join him in this mission. He was the president of the United States and he knew his job. The union had to be preserved if it was to survive. He somehow had to motivate people to rally around a shared vision, not his only, but a collective vision, if he was to be successful (Pritchett, 1995: p. 120)

The story is often repeated that President Lincoln prepared this address in a matter of minutes. He felt after it’s delivery that it had been a failure. Little could he see through time that the Gettysburg Address would become such a famous piece of history or that school children today are often still required to memorize it. One of the most remarkable things about the speech was what it did not say. So ingrained in Lincoln’s heart was his mission that he did not mention once the words North, South, or slaves. He would give no reason for division upon such a sad day. He did mention the word “nation” five times. President Lincoln had thought through who he was as president. His decisions were based on what was best for everyone.

“Where there is no vision, the people perish.” (Proverbs 29:18). What type of vision will exist for the department? Being promoted from probation officer to manager requires the process of coming to terms with this vision.

To have a vision and to be committed to it requires maturity. It requires growth on the part of the individual. Maturity may be defined as the balance between courage and consideration. If a person can express his feelings and convictions with courage, balanced with consideration for the feelings and convictions of another person, he is mature, particularly if the issues are very important to both parties (Covey, 1989: p. 217). This is exactly the situation managers face day in and day out with staff. No longer can we manage the caseload just our way. We must always think in terms of what is best for the “union.”

Working through the issues mentioned above can be a process. What kind of manager will evolve if serious thought is not given to our strengths and weaknesses? What will happen when hard decisions have to be made? Will compromise be an option? Will truth be the standard for the day or will the game of politics be played at the expense of what is best for the staff and the manager’s integrity?

Integrity should be a requirement for every manager. Many times a day the manager is faced with decisions which affect not only the clients, but the office as well. In setting structure and guidelines the manager is giving his word. If the guideline is broken how will staff be dealt with? Will consequences and rewards be the same for everyone? Will individuals be treated with respect and dignity or embarrassed and made to feel like fools? We learned as probation officers that we had to keep our word to our clients, the same is true with the staff we now hold accountable. As we make and keep commitments, even small ones, we begin to establish an inner integrity that gives us the awareness of self-control and the courage and strength to accept more of the responsibility for our own lives. By making and keeping promises to ourselves and others, little by little, our honor becomes greater than our moods (Covey, 1989: p. 92).

Something as simple as setting up a schedule for case reviews every week at a specific time can be stabilizing for the office, if the manager is in his place at that specific time. The staff will come to realize they can trust his word. If deadlines are set for court reports, they need to be enforced. This is part of the process of giving a word and letting the staff know that the word can be trusted.

Another resource often overlooked by probation departments in establishing solid management strategy is never forget the past. If we do not remember where we have come from we will probably repeat the same mistakes again. Lou Pritchett’s book, *Stop Paddling and Start*

*Rocking the Boat*, tells the story of what some large corporations do to remember the past and learn from it. Once a manager has retired, for the next three years he receives a plane ticket in the mail to join other retirees in a planning meeting. During these meetings the retirees participate in group discussions concerning their insights since retirement with the current management staff of the company (Pritchett, 1995: p. 2).

How do they see the job now? What could have been done differently? What blind spots did they not see? What changes would they suggest for the structure of the present company? The thoughts which come forth at these meetings have been very helpful and innovative. Retirees represent years of knowledge and experience. Being retired and no longer having a personal interest frees them to see the company and the work experience in a new light. Workable suggestions, stress-reducing ideals, and a host of plans come forth from combining the present with the past. We all know probation departments do not have the financial resources to provide plane tickets, but often retired staff or others who have left the department for other reasons live in the community. It could be a major source of innovative planning to attempt this strategy.

The wise manager will take time in thinking through his new responsibilities and how they will affect him, as well as staff. Seeing the big picture or enlarging your perspective, is a technique suggested by Stephen Covey, to “begin with the end in mind” (Covey, 1989: p. 97). Just as the retiree learns the career does come to an end one day, so must we be aware that it will end for us also. What do we want said when that point is reached in our careers? Were we known as managers of vision, maturity, and integrity, who made decisions out of a sense of direction and knowledge for the overall benefit of the department? Or were we seen as selfish and ambitious, only interested in building a reputation for ourselves? The management habits of today will most likely be what we are practicing tomorrow, if we do not make a commitment to change.

History has shown President Lincoln to be a president of integrity, dignity, and excellence. These qualities require work from within the manager. One must be committed to sorting through personal issues and placing oneself behind personal gain to do what is best for everyone. In a process such as this there are no quick answers or fixes.

However it has been said that “managing is not quite as complicated as brain surgery.” It simply is not that difficult if one understands the basic needs of human beings and the

basic rules of managing. All managers need to learn only four elementary skills: how to listen, how to learn, how to help, and how to lead (Pritchett 1995: p. 39). In June of 1983, General Norman Schwarzkopf agreed with this assessment of management skills. General Schwarzkopf had completed twenty-seven years of service in the United States Army and was assuming his first division command at Camp Swampy, Georgia.

Through his years of experience, training and education at West Point, he had developed a list of five goals for his leadership with the troops.

- n Goal Number One: Make sure the division was combat ready.
- n Goal Number Two: Take care of the soldiers.
- n Goal Number Three: Take care of the soldiers’ families.
- n Goal Number Four: Loyalty to one another is what motivates soldiers to fight.
- n Goal Number Five: There is a responsibility to teach subordinates to mentor through this style of leadership (Petre, 1993: p. 274).

It appears that General Schwarzkopf had an intuitive understanding of people. He had tapped into the truth that people tend to behave the way they are treated. If people are thought of as dogs they will behave like dogs. Think of them as losers and they will behave like losers. Think of them as winners and they will behave like winners (Pritchett, 1995: p. 64). The general knew for the troops to be successful, they had to know they had his respect. He did not own his troops, they were not his property. The general was part of the team, not standing apart from them, but working side-by-side together.

Managers must dedicate themselves to the tenet that people are the most important resource and set out to create a work environment that stimulates, nurtures, and challenges instead of one that inspects, audits, and controls (Pritchett, 1995: p. 119). If morale is bad normally an office has somehow divided itself into hostile cliques. The cliques have to be dissolved to form a whole group that believes in itself and its mission (Petre, 1993: p. 77). Some of the hostility could be from disappointment that probation work is not exactly what the officer thought it would be.

I mentioned earlier that most of us made good social workers and probation officers. We entered the field of

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juvenile justice because we are and were people helpers or people persons. Throughout many of our lives other people sought us out to help with their problems. We were good listeners. General Schwarzkopf's list above would have made good sense to us. We understood the need for people to feel safe and to have a sense of loyalty if they were to be productive in their roles. Being defined as a people helper gave us an identity. As we began our career, we had a sense of mission that we had much to share with this hurting population of teenagers and parents. The major difference that we experienced, however is that this population did not want our help. Rejection is very difficult for a people helper to experience. What had occurred personally in our lives and brought much fulfillment was not occurring professionally.

What is one to do? Perhaps for the first time in our lives we faced a group of people who did not want our help. At times they are convinced they need no help. The majority of clients on juvenile probation caseloads feel they are not responsible for their problems. It has always been some outside influence upon their lives that has caused the problems. As a result some juveniles act as victims, others as bullies.

Often these juveniles have been reared by parents who respond out of "their mood" rather than what is best for their child. They are parents who continually express excessive criticism, judgment, or irritability toward the child. They react to their children's behavior with impatience, nagging, and punitive responses, rather than responding in a consistent, logical manner. When children grow up in homes with these levels of stress, they feel that adults in general are against them (Kelley, 1996: p. 39). To work with a juvenile probation client from this environment takes time, caring, and going the extra mile. Staff must see that the juvenile's rejection of their efforts to provide supervision, counseling, and support are not to be taken personally. For the people person who is accustomed to acceptance, praise, and being positively stroked for their intuitive strengths, they must adjust their thinking.

The Number Two Goal in General Schwarzkopf's plan was to "take care of the soldiers." One way to accomplish this needed task is to educate the staff about their own temperaments. There are a number of excellent books, and personality and temperament profiles available today. The more staff can understand why they react to certain stressful situations with clients or even with other staff

members, the healthier the department will become. There is much wisdom in learning the strengths and weaknesses within different personalities and temperaments. The more we understand each other and why one probation officer handles a client's anger this way while another appears to handle it totally different will lead to the beginning of teamwork.

The concept of teamwork should never be underestimated in the field of juvenile justice. People persons need to have a sense of belonging and a belief that their goals are part of a larger picture. They need to have a voice in the things which affect them and to know they are making a valuable contribution. It is that need for comradeship. When workers are allowed to be themselves and to enjoy themselves on the job, to act like they do at home, everyone benefits. The good manager of a team is receptive to feedback from above, below, and laterally. Everyone has a respected say in the work environment which affects them so strongly, (Pritchett, 1995: p. 233). When one is a part of a team they make a greater commitment to perform at a higher standard.

For many years in a number of juvenile probation offices there was an atmosphere of being a family. Staff supported staff with the common goal of helping juveniles. We see this atmosphere changing today for several reasons. The juveniles we now deal with are increasingly becoming more violent and difficult to continue to see as children who need our help. Today more efforts must be made to secure violent offenders and to protect the staff in the process. Very few departments can still allow staff to travel alone or even go on home visits without going in teams. The family atmosphere has also been lost somewhat because our society has changed. Over half of the work force today comes from dual-career families, another twenty percent from families broken by death or divorce, only thirty percent comes from families where the father is the sole breadwinner (Maccoby, 1988: p. 177).

"Today a number of individuals were brought up in an environment of change. They learned to adapt to new people and situations and to trust their own abilities rather than parents or institutions. They value independence and they accept responsibility for themselves. At times their weakness is detachment, reluctance to commit themselves to the old lines of authority" (Maccoby, 1988: p. 167). The management literature calls them self-developers. This same literature informs us that what they want from management is freedom to express their views; respect as adults; authority to make decisions; open information; a

clear contract as to expectations; competent leadership and coaching so that they can develop their potential (Maccoby, 1988: p. 179). It appears the old traditions I grew up on in the '50s and '60s have almost disappeared. Management must not bury its head in the sand concerning changes, but find ways to address these changes.

Regardless of the changes to which we must adapt, some things remain the same. Rehabilitation is the key to reaching juveniles who have made bad choices with their behavior and rehabilitation is not a bad theme to keep in mind when looking for management tools. Whether it is the need for personal integrity or remembering General Schwarzkopf's five goals of leadership, remember to take care of ourselves and the staff. As we daily manage our juvenile probation departments, may we long remember the words of Goethe, "Things which matter most must never be at the mercy of things which matter least."

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## Chapter 9:

# Developing a Policies and Procedures Manual

by

John Buggy

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### Introduction

A critical and often overlooked ingredient of juvenile probation administration is the development and maintenance of the juvenile probation agency's written policies and procedures. Sound management practice requires explicit policies and clearly defined procedures and rules. In a department of only a few staff, a simple, well-organized, and timely file folder of memos, rules, and regulations may suffice. In a large probation agency, on the other hand, several manuals may be needed to contain all the policies and procedures for numerous agency divisions and activities.

Indeed, a hallmark of a well-organized probation agency is an operations manual that is regularly consulted by staff to provide guidance in doing their work correctly and effectively. However, not all juvenile probation agencies have the luxury of an effective operations manual. Some agencies may be small and informally administered. In some agencies, the probation administrator may recognize the need for and value of an operations manual, but be unable to commit the time, energy, and organizational resources to develop one. In other agencies, the administrator may be willing to devote the resources, but unsure about what to do. Unfortunately, there are precious few resources available to assist juvenile probation administrators in the planning, development, and production of operations manuals. Although some state authorities require an operations manual of local departments (e.g., Pennsylvania Juvenile Court Judges' Commission, 1995), few provide assistance in developing such a manual.

Furthermore, training and technical assistance in the development of an operations manual is not readily available. Given the multitude of serious

challenges facing juvenile probation these days, the topic of how to develop policies and procedures manuals rarely makes the agenda at professional conferences or other probation training programs.

The purpose of this chapter is to address that resource gap by providing some basic guidelines for the development of an operations manual for juvenile probation agencies.

### Benefits of Policies and Procedures Manuals

In spite of the time and effort required to develop effective operations manuals, the dividends the effort pays to the organization are high. A well designed policies and procedures manual provides many benefits to the juvenile probation organization (Bloom, 1983):

n **Management Tool:** The operations manual provides managers with the *blueprints* of the organization. It provides guidance for doing the work of the organization, and it provides documentation of how the work is intended to be done.

n **Training:** Good policy and procedural manuals are instrumental in providing training to employees, both new and veteran, regarding agency goals, objectives, functions, and activities.

n **Reference Document:** The manual provides a single, easily-accessible source of authoritative answers to questions about official procedures and policy positions.

n **Information Repository:** Operations manuals provide a central repository for often-scattered official documents for easy reference, review, and revision.

n **Organizational Archive:** A well-maintained and frequently up-dated manual provides a record of organizational changes over time in programs, priorities, and philosophy.

An up-to-date policies and procedures manual is a prerequisite for professional accreditation. Accreditation of juvenile and adult probation agencies by the Commission on Accreditation for Corrections, for example, requires a comprehensive manual of appropriate policies and procedures in numerous management and operations areas. The American Correctional Association advocates the utilization of a comprehensive, well-written manual as an indispensable management tool for promoting professionalism, efficiency, and consistency (American Correctional Association, 1981).

#### Distinguishing Policies from Procedures

The terms policy and procedure, while related, reflect different concepts (see Figure 1). A policy defines a course of action or a principle adopted and pursued by an agency, which guides or determines present and future decisions and actions of the agency. Policies are value-driven and tell why things ought to be done.

There are several types of agency policies. Operational policies deal with agency functions, strategic goals, and tactical objectives—for example, the graduated agency responses to non-compliance of a court order by a probationer. General agency policies, however, state official value positions taken on such issues as confidentiality or equal opportunity.

Procedures, on the other hand, tell how things are done; they prescribe the methods and actions for doing work. For example, while policy may dictate that a youth is detained upon referral, the procedures describe who is responsible for causing the youth to be detained and the actions that must be accomplished to complete the task.

A procedure is a detailed and sequential action to be executed to perform an operation, and includes an identification of the personnel responsible for the required steps. The underlying and often elusive operational system is made visible in the written procedure. Accordingly, a compilation of accurate statements of an organization's policies and procedures represents not just a rule book, but a blueprint of the agency's systems (Matthies, 1987).

**Figure 1: Policy / Procedure Comparisons**

<b>Policy</b>	<b>Procedure</b>
A plan for action by the organization	A description of the action
Reflects the overarching mission and goals of the organization	Reflects individual responsibility and activities for completing tasks
Statement of values	Statement of work
Addresses the “why” of the organization	Addresses the “how” of the organization

Agency policies and procedures are often related to professional standards—normative measures of the quality of organizations and their performance. Any agency policy or procedure should be measured against the applicable professional standard (American Correctional Association, 1994).

#### Developing the Manual

Several individuals and groups are critical to the development of policies and procedures: the probation administrator, the operations manual development coordinator, the operations manual development committee, and agency staff.

##### *The Juvenile Probation Administrator*

The responsibility for creating and maintaining a juvenile probation policy and procedures manual rests squarely in the domain of the agency administrator (American Correctional Association, 1983). The juvenile probation administrator authorizes, initiates, directs, and ultimately approves the development of policies and procedures. The degree to which the administrator demonstrates support for the development of an operations manual will determine, in large measure, the success or failure of the initiative.

Administrative support for efforts to develop policies and procedures is demonstrated in a number of ways: 1) the actual allocation of staff time and financial resources to the initiative; 2) the quality and status of the staff assigned to develop the manual; 3) the degree to which the administrator is a vocal advocate for the process; 4) the

administrator's publicly personal commitment of time to assist in the development of the manual; and 5) the administrator's prompt response to issues regarding policies, specific procedures, and other issues.

### *Manual Development Coordinator*

Because of the level of effort required to develop an operations manual, the juvenile probation administrator is often prudent to delegate the responsibility for assembling a manual to one or more staff persons. While this does not relieve the probation administrator of the responsibility for providing the authority, direction, and leadership to develop the manual, it allows her to shift the workload to a coordinator and the manual development committee.

The manual development coordinator is responsible for planning, developing, implementing, and successfully completing the policies and procedures manual. This person serves as the liaison to the administrator, the convener of committee meetings, the assignor of tasks, and the editor-in-chief of the manual.

The manual development coordinator should be a senior staff person or supervisor with expert knowledge of all aspects of the organization, good project implementation and management skills, and good writing skills. The manual development coordinator should be able to make the initiative a priority project and dedicate a healthy proportion of his or her time (30 - 50 % or more) to the initiative for the duration. The coordinator should have good rapport with staff at all levels, probation administration, and judges.

The coordinator should provide the administrator with estimates of the man-hours needed for the project and the financial expenditures projected for the work. An outside consultant may be needed to assist the coordinator, if internal expertise or staff resources are lacking.

### *The Manual Development Committee*

The manual development committee should be appointed by the juvenile probation administrator, preferably with input by the manual development coordinator. Committee members should include juvenile probation staff who collectively are knowledgeable in the various subsystems of the agency. The combined technical expertise of the members of the committee should be sufficient to identify the essential operational data needed and to know how to collect and to formulate agency policies and procedures.

The committee fulfills both advisory and task-oriented roles. They provide advice regarding the nature, scope, content, organization, and style of the manual. They are also responsible for researching policies and procedures, writing assigned sections of the manual, reviewing the work of others, and serving as an editorial board for the project.

An important component of the work of the committee involves collecting any existing agency documents that deal with policy and procedures. Every agency has memo material available that is germane to the task of creating a manual. Some may have older, virtually obsolete manuals or documents that may be reworked into manual sections. These and other organizational documents, such as mission statements, organizational charts, annual reports, enabling legislation, division reports, operational statements, etc., may help in determining the scope and the components of the manual.

### *Agency Staff*

The policies and procedures manual is a working document. It must be useful to the people for whom it was developed. Therefore, the probation agency staff are critical actors in the manual development process. Agency staff should be employed to identify specific tasks or "action cycles," describe common procedures, identify relevant policies and policy issues, review drafts of the document, and suggest methods for completing tasks.

Agency staff, because they are the ultimate "target audience," should also be expected to be good consumers of the product. That is, they should be expected to use the manual regularly and they should be encouraged to provide feedback regarding the utility and relevancy of the manual on a regular basis.

### *Planning the Operations Manual*

Before setting out to create a policies and procedures manual, it is important to take some time to reflect upon the scope of the project, the timetable for completing the project, and the need to revise long-standing policies.

Determining the scope of the juvenile probation operations manual is one of the first decisions to be made at the outset of a manual development project. In some agencies, the existing operations manual may be in relatively good shape and only needs to be updated.

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In other agencies, the existing manual may be woefully outdated and in need of a total overhaul. In one large probation agency, for example, the existing operations manual had remained unchanged for 14 years. In spite of a rather large folder of memos updating procedures, this manual, as one might imagine, had very little utility for administration, staff, and supervisors. In this case an agency-wide effort was required to renew and revise the manual.

In jurisdictions where juvenile probation services are a division of a larger agency, the operations manual might be a single section in a multi-divisional book. In some complex juvenile court structures there may be several operational manuals produced by the probation or court services office—one for a detention facility, another for intake, and another for supervision services.

Another important project management practice for developing a manual is to establish a reasonable timetable for the completion of the individual sections and of the entire manual. The composition and editing processes should not be rushed. Nor should the work be allowed to drag on interminably, or be placed on hold too long in order to address other agency issues. The coordinator has the responsibility to set deadlines and follow up on them, and should be able to count on the support of the probation agency administrator in motivating staff to complete work on schedule.

The review of current agency policy and procedure documents is likely to turn up some policy and procedure areas in need of revision and other areas where policy is needed but absent. The manual project, predictably, will necessitate the formulation of new policies to fill the gaps found in the research phase of the project. This may involve considerable work for the agency leadership. Some policy issues may have been avoided by agencies as controversial or problematic. The manual project may shine a spotlight on these areas.

### Contents of Policies and Procedures Manuals

When determining what, specifically, to include in the manual, the committee may want to consult a variety of sources, including:

n **The existing operations manual:** If an operations manual already exists, it may serve as an excellent initial point of reference. Many of the agency staff will be familiar with the format and content of the

existing manual. In addition, many of the policies and procedures will still be relevant, albeit in need of refreshment.

n **Operations manuals from other similar jurisdictions:** By reviewing other operations manuals, the committee may glean useful information regarding style, format, and substance. It is also possible to learn new and innovative strategies, approaches, or techniques that may be applied locally.

n **Professional standards:** Promulgators of standards will often identify specific policies and procedures in a number of functional areas. These areas may provide a useful guide to the content of the manual.

The American Correctional Association's standards for juvenile probation and aftercare services, for example, specify several areas, including:

- general administration;
- fiscal management;
- personnel relations;
- training and staff development;
- information management;
- case records; and
- relations with external agencies.

The ACA also requires policies and procedures for various juvenile case processes, such as intake, adjudication, disposition, investigation, assessment, placement, supervision, review, and discharge from probation (ACA, 1994).

Other areas worth considering include:

n the published standards for juvenile case processes established by the state oversight authority for juvenile probation agencies and services;

n the roles of probation officers in various court hearings and other probation activities;

n referral procedures from police and other agencies and transfer procedures to and from other jurisdictions, both interstate and intrastate;

n internal units and programs, such as detention alternatives, mental health assessment, and restitution programs; and

n referral procedures to facilities and other agencies providing services to delinquent youth.

An agency might decide to place its code of ethics in the manual, possibly in an appendix with other statements on professionalism and service. Personnel regulations, on the other hand, are usually promulgated systemwide and published separately. Thus, it is not necessary to reproduce them in the agency operations manual. A

reference in the manual to the personnel regulations document would be sufficient.

The written position classifications of juvenile probation staff are usually developed by the human resources department of the parent agency. It is not necessary to republish them in the manual. It is pertinent, however, to state the major functions of the different staff roles, such as probation officer, probation supervisor, staff specialists, support staff, etc. A short functional summary of the task activities pertaining to each probation classification is useful. This forms a backdrop for the description of the steps and individual responsibilities in procedures that require the collaboration of several staff actors.

It is also useful to outline the functions of the different probation units, both client service delivery units and staff support units. In larger agencies services can be very specialized, and specialized supervision units are common. These include intensive units, aftercare units, and programs for substance abusers, sex offenders, and mentally ill youth. Each of the specialized programs should be described, including information on referral procedures, target populations, and supervision standards. The processes of basic probation services in traditional general services units should also be covered in the manual sections.

### Writing the Manual

The manual committee must determine the sections to be included in the volume and then assign each section of the manual to a writer. The committee members should be expected to write many of the sections, although some sections may be assigned to others who have the expertise in the subject. The manual should be organized into main sections, or chapters, and each chapter should include individual sections. The committee must organize the flow of manual sections in a logical and functional way. A common approach is to follow the juvenile case processes from intake to final discharge, presenting policies and procedures for the individual functions in their places in the sequence.

A review of manuals produced by other probation departments may assist the committee. Likewise, manuals developed by other agencies in the administrative system of the juvenile probation department are potentially useful to the project. These may provide valuable guidance in format and terminology and in conceptualizing the

organizational environment.

The writers will, more than likely, require some training in the skill of manual writing. This form of composition has its own standards and rules (see Goldfarb, 1981; Matthies, 1987). Learning the techniques of writing procedural statements and following the statement format selected by the agency for the individual procedural statements will improve the final product.

### Organization of the Policies and Procedures Manual

The way the manual is organized can be a critical component of the success or failure of the initiative. Operations manuals should be organized so that they are logical, easy to use, reference, and cross-reference, and easy to revise as needed.

Each chapter in the manual should be numbered in sequence. For example, chapter 1 might be designated as the 100 Section, Court Intake. The individual sections within chapter 1 are then numbered in the 100 series, such as, Section 101, Referrals. The numbering system should be open-ended to allow the introduction of new sections indefinitely. A table of contents should be created to list the locations of all of the individual chapters and sections, after the manual is completed. The introductory part of the manual should state its purpose and intended uses.

Each individual section of the operations manual should begin with an identification page that specifies the name and number of the section and the chapter name. It also should give the date of the promulgation of the procedure and the number of pages in the section statement. These elements and others are usually placed in the headings and the footers of each statement section.

Other informational items sometimes found on the first page of a section in an operations manual include the name of the issuing authority and references to a statute, regulation, or standard that is the basis for the policy or procedure; statements about the purpose of the policy and the scope of the statement's applicability with respect to agency personnel; and a glossary of the key terms and the effective date for the implementation of the changes.

The American Correctional Association (1981) suggests that the heading of each manual section have separate block headings for the chapter, subject, section number, number of pages, related ACA standards, and the name of the probation department, but recognizes other

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formats for the section headings for agencies developing manuals as part of a project to attain accreditation. The ACA also recommends that the body of each individual manual statement contain six sections: the authority, the purpose, applicability, definitions, policy, and procedures.

### *Characteristics of Effective Operating Procedures*

While writing procedures in an operations manual is something less than writing great literature, creating effective procedures requires a certain amount of skill and practice. Effective procedures generally share five basic characteristics, they:

n **have immediate face value to those reading them.** Effective procedures are clearly recognizable as procedures. They are visually interesting to the reader. As such, written procedures are orderly, uncluttered and balance the page. Finally, they are organized and easily read consisting of short paragraphs, recognizable words, and clear language.

n **reflect the true substance of the work they describe.** This requires a title that clearly identifies what the procedure is about and reveals the actual purpose of the procedure. It also requires an adequate summary of the subject and an answer to all “how to” questions. In addition, effective procedures provide a logical, step-by-step action sequence.

n **provide guidance regarding the work they describe.** Effective procedures clearly identify appropriate action steps, coordinate the action, and secure cooperation among workers. They provide simple instructions and adequate information. They specify appropriate policies, forms, conditions, and required approval.

n **are clearly written:** Effective operating procedures consist of short, clear, declarative sentences. They use words that are familiar to the work place while avoiding *procedure-eze* and technical jargon.

*Procedure-eze* includes words that may be considered haughty (e.g., why say “ascertains” when you can say “finds out”). *Procedure-eze* also includes *imperial* language (e.g., shall, will). It may also include a whole range of esoteric, specialized technical jargon and acronyms that do not have wide usage (e.g., “The OCSL shall ascertain the optimal number of red flags that can be admitted prior to commencement of court proceedings.”).

n **establish an atmosphere conducive to accomplishing the work of the organization.** Effective

procedures are collegial, direct, crisp, courteous, and tactful. They are understandable to the people that do the work and written from the perspective of the user. They are organized in a way that allows people to find the information they need, when they need it. To do this, effective procedural statements must exclude “foreign matter” (e.g., superfluous information regarding policies, definitions, philosophy, and purpose of the task).

### The Playscript Method

A common format for procedure sections is the actor/action or *playscript* method (Matthies, 1961, 1987). The purpose of *playscript* is to assist the writers of procedures to: 1) organize information and processes; 2) omit superfluous information; 3) clearly assign responsibility for tasks; and 4) clearly describe appropriate actions in a logical sequence.

The *playscript* method is illustrated in Figure 2. The first part of the *playscript* includes information meant to describe the action cycle—subject, purpose, and relevant policies, standards or forms. The subject is simply a title for the discrete action cycle being described (e.g., “filing a petition,” or “transferring a case to a different jurisdiction”). The purpose statement is a simple (2 - 3 sentence) description of the specific purpose of the action cycle. For example, “The purpose of this procedure is to transfer jurisdiction of youth from our court to another court or agency.”

Because the use of forms is so prevalent in juvenile probation work, effective procedures will consistently identify the appropriate forms. Forms used in the procedure or function should be explained clearly, and a sample of a completed form can be included in the text or in an appendix to illustrate the correct way to process the form. A completed form can reduce the size of the needed explanatory text. The incorporation of forms into the manual, however, should be done judiciously to avoid making the manual overly large.

The statement of the procedure should follow the introductory descriptive section. Notice that the main body of the procedure is divided into two parts. On the left side, the actor—the person responsible for the task—is identified. On the right side, the action expected of the actor is outlined (see Figure 2).

The number of words on the left side of the page is limited to the number of actors involved in the actions described on the right side of the page (e.g., the probation

**Figure 2: The Playscript Method**

**Subject:** The title of the action cycle.

**Purpose:** A brief (2 to 3 sentence) statement of the purpose of the action cycle.

Responsibility	Action
Identify “who” is responsible to complete the action cycle.	Describe the action in a brief action sentence.
<b>Example:</b> Probation Officer	Accepts custody of youth by signing arrest papers.  Enters appropriate information in computer (lists information).

officer, the Judge, the intake officer). This results in a lot of white space on each page, which enables the reader to follow the text more easily (Goldfarb, 1981). This approach focuses attention on the essential actions and identifies the one responsible for each step.

**Commonly Used Procedural Action Words**

- |           |            |
|-----------|------------|
| • Sends   | • Shows    |
| • Issues  | • Prepares |
| • Obtains | • Decides  |
| • Records | • Requests |
| • Uses    | • Checks   |

In formulating the words to describe the action of the procedure one might analyze the procedure into two basic parts—the trigger and the result (Matthies, 1987). The result identifies the object of the procedure. The trigger is the action or sequence of actions that is designed to accomplish the result. Complex procedures involve multiple triggers and a chain of results.

The challenge to writers of procedures is to choose the right words to explain the processes clearly, concisely, and accurately, and to produce a volume that is readable for the intended users. Language, then, should be clear, crisp, action-oriented, and easily understood.

**Staff Input and Editorial Review**

The manual coordinator should review each section of the manual for completeness, accuracy, and clarity. Proofreading requires repeated reading to pick up flaws. Others on the committee or on staff should also read the first drafts of the submitted sections to offer suggestions for improvement. Agency administrators should also read all of the sections prior to submission of the final draft.

At several points during the manual development process, juvenile probation staff should have an opportunity to review and comment on the document. Juvenile probation staff are, after all, the intended users of the manual and are the ones who will be expected to complete the tasks described. They more than anyone know the work and how to most efficiently complete its steps. The involvement of the line staff can improve the quality of the work procedures and outcomes. Draft sections should be reviewed by the staff who perform the functions analyzed in the draft sections, and their input should be requested. The manual should be user-friendly, and the participation of line staff in the development process can help to achieve this.

An editor is needed for proofreading and amending the text, and also to rewrite the sections to fit the official format and style of the manual. This is a critical step in the publication process to ensure uniform style and readability. An outside consultant or technical adviser may be needed to finalize the manual text for publication, whether the publication is done internally or by a printing company.

When the committee completes its work, the final draft is submitted to the agency administrator for approval and official promulgation of the policies and procedure found in the manual. The agency head may need to submit the final version to the administrator of a parent agency. In this case it is useful to provide the administrator chapters of the manual as they are completed to avoid a substantial

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delay at the end of the project for the administrator to review the entire contents of the manual.

### Dissemination of the Operations Manual

After the final changes are completed, the manual is ready for dissemination to staff. Ideally, every staff member whose work is described in the manual would receive a copy of the manual or, at least, of the sections related to his or her job. At a bare minimum, a copy of the manual should be assigned to each operational unit in the agency for consultation by the staff. The purpose of the manual, after all, is to inform the staff of the requirements of their jobs.

Training staff in the operational policies and procedures of the new manual is essential. All probation staff should be trained in the policies and procedures relevant to their job responsibilities. The new procedures should be immediately implemented, and an effort to effectively implement the updated policies and procedures may be a reasonable final task for the manual committee. Monitoring ongoing staff performance is imperative to ensure that everyone is in compliance and that the changes are fully and permanently operationalized.

It is customary to issue operational manuals in three-ring binders to enable additional statements of policy and procedures to be inserted easily into the document. Revisions are made in the same way. Each section is numbered, and revisions involve replacing a previous section with a revised one. Chapters are separated by dividers with tabs, preferably color-coded, identifying the chapter by number and title. American Correctional Association (1981) recommends that each manual be numbered to keep track of copies. Thus, when an employee who has been issued a copy leaves the agency, the manual is to be returned to the coordinator for reuse. This is an economic consideration in departments where most staff are issued a copy of the manual.

Some agencies have eliminated publishing and distributing standard hard copies of the manual, replacing them with an automated version of the traditional binder manual. The text is kept in a computer and is accessible to staff on screen, on disk, or in a printed copy of the manual screens. When changes are made to the computerized text, a notice can be sent via E-mail to all staff in the department who are affected by the changes. Staff are directed to read the policy or procedure change and perhaps to print a copy

for future reference. The automated notice system is also capable of identifying those personnel who complied with the directive to access the computer screen recording the changes. Automation can substantially reduce the cost of making the manual accessible to staff.

### Maintaining a Policies and Procedures Manual

The completion of the manual is the start of the work of systematically managing agency policies and procedures. The coordinator of policy and procedures should be expected to maintain the manual by making changes to the text on an ongoing basis. Updating the manual sections is an essential administrative function. Even before the manual is disseminated to the staff, procedures need to be designed to provide for modification of the manual sections in different situations. Staff members should be informed during the training phase of the manual project of the method of providing feedback for manual revisions. It is likely that early staff feedback may reveal some undetected problem areas and result in some corrections in the manual.

The ACA recommends (1981) that agencies conduct a systematic annual review of the entire manual to make needed changes. This is a requirement for a probation agency to maintain accreditation. Changes to the manual should also be made on an ongoing basis as new policy and procedure decisions are made. New programs usually involve new operating procedures.

When a change is made to the manual, proper notice should be provided to all manual holders. The simplest method of making changes or adding a new section is to transmit to each manual holder a new or replacement section with instructions to remove and destroy any replaced material. The new manual section should be accompanied by an explanatory memo indicating the implementation date. In agencies where each employee is not assigned a copy of the manual, all affected staff members should be informed of the manual change through a written notice.

The successful maintenance of a probation operations manual requires a long-term commitment on the part of the leadership of the probation agency, especially the probation agency administrator.

### Summary

The purpose of this chapter is to provide a practical guide to developing a policies and procedures manual for

juvenile probation. A policies and procedures manual provides benefits to the juvenile probation agency as a management tool, a training document, a reference source, a repository of information, and an archive of the agency's history.

It is important to make a clear distinction between policies and procedures. Policies reflect the overarching authority, mission, goals and values of the organization. Policies address the "why" of the agency's activities. Procedures, on the other hand, provide a description of the activities of the agency; they are statements of work. Procedures address the "how" of the agency's activities.

Many individuals need to be involved in the operations manual development process: 1) the juvenile probation administrator has the authority and responsibility for creating the manual; 2) the manual development coordinator is delegated responsibility for planning, developing, and creating the manual; 3) the manual development committee serves in an advisory capacity and assists in the production of the manual; and 4) the probation staff provide input and feedback in the development of the operations manual.

The process for developing a policies and procedures manual is long, arduous and difficult. The basic steps to developing a policies and procedures manual include the following:

- n Assign a senior staff member to serve as manual development coordinator;
- n Determine breadth and scope of the project, establish time frame, and identify project committee and additional needed resources;
- n Collect existing documents (e.g., description of agency and its departments, agency mission, positions, old procedures, and existing policy memos);
- n Determine contents, format, style of operations manual;
- n Assign sections of the manual to be written to specific committee members;
- n Write procedures as assigned by the coordinator using agreed upon style and content format.
- n Disseminate final draft to probation staff and administration for review, comment, and revisions.
- n Approve manual and disseminate to staff.

The development and maintenance of a useful manual

is not an easy task, but the benefits are worth the costs in the final analysis.

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## Chapter 10:

# Automated Information Systems in Juvenile Probation

by

Patricia McFall Torbet

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Like the rest of the business world, juvenile probation administrators are faced with an information explosion. The question is not “Why automate?” but what and how to automate. Good administrators do not resist change; rather they embrace advances in computer technology in order to meet the increased demands for credible data and rapid communications. Probation officers on the front line assess needs, develop case plans, enforce the court’s orders, document client contacts and monitor/track client behavior and performance. Supervisors allocate staff based on workload demands. Chief probation officers prepare budgets based upon workload projections. Automation is the tool that allows people at all levels of an organization to manage their responsibilities. It allows individual management of probation cases, aggregate management of overall workloads, and the production of trending and statistical analysis reports.

A probation information system tracks delinquency cases from the original disposition hearing through the termination of probation. When it is linked with juvenile court intake data, a wealth of pre-dispositional information becomes available. In those departments that make filing decisions on police complaints, the system would capture data at the point of intake.

This chapter provides a framework for planning for automation or enhancing a current system. It can be used as a “check-list” for probation administrators who believe they currently have an adequate system. It has been largely adapted from “Design Principles for Juvenile Court Information Systems,” published by the National Center for Juvenile Justice (1991) as well as other published and unpublished Center reports.

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### **A good information system meets the operational, management and research needs of the department.**

Information system design should be viewed as an evolutionary process. It begins with a thorough understanding of the information required to support the operations of the probation department around individual case processing transactions. The design then identifies the information required to support decision making at all levels of management. The final phase of design evolution considers the department’s research needs. For discussion purposes the three goals will be treated separately. In reality, the distinctions are often blurred.

#### Operational Support

Activities at the department’s basic operational level revolve around case processing transactions related to the initiation, handling and monitoring of cases and include: initiating a case; establishing a case file; making an intake decision; assigning the case; compiling a social history; and tracking a juvenile’s progress as to the case plan.

Systems designed to meet operational needs support the core activities of line probation officers in the supervision of offenders and record detailed case-level data on specific decisions, events, or requirements as they occur.

At each point in the process, data are recorded so that they become immediately accessible to those with a need to know. The ultimate effectiveness of any probation information system depends on the quality and timeliness of data collected during case processing and tracking. These data provide the information base for all other management information and research functions. That means that as an officer makes decisions about a case, that information is entered into the computer via data entry

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screens set up for that particular function. This assures that most of the information to be captured for subsequent processing flows as a by-product of “doing the job” (i.e., completing a form or report) and should not require an additional step of entering data just for information system purposes. In addition, excessive coding of information should be bypassed by taking advantage of machine coding techniques that will automatically (and consistently) change words into numbers or codes.

Because juvenile probation departments perform so many different functions and since some are more “full service” than others, automated information systems should be designed as a series of modules or subfiles - each one built to respond to a particular function or operational need. The core structure must be the individual juvenile and the record of events connected to a referral. Emanating from this core are applications such as:

- n accounting for restitution payments;
- n documenting the date, time, and type of client contacts;
- n recording client progress;
- n conducting the risk and needs assessments;
- n notifying parties of hearing dates and times; and
- n tracking services.

These applications are dependent for content upon the availability of information on each juvenile or probation activity. Use of modules also makes maintenance and upgrading the information system easier.

### Management Support

If the information system supports operations, management information can be gleaned from operational data without imposing additional data entry requirements on line staff. Management activities focus on the efficiency and effectiveness of the operation and include:

- n analyzing the activities and performance of each probation unit;
- n monitoring workloads, caseloads, caseflow, and the provision of services;
- n identifying trends and changes in any of the above;
- n analyzing cost information; compiling reports for outside entities; and

- n planning future directions.

Management information examines the interrelationships between data elements or information system modules, makes comparisons over time and draws conclusions about what has happened or what may happen in the future. Instead of viewing a single event about an individual case, a system designed to support management has the capacity to summarize information in aggregate form across many cases or case events. Essentially managers need to know how many, what kind, how long, at what stage, how much time and effort, how effective, was the service delivered, and did the client comply with the order.

The abstract nature of management decisions causes considerable difficulty in designing an information system to support decision making. It is much easier to determine what information is required for capturing case processing events than it is to identify the information necessary for making management decisions now and in the future. Because all management information needs cannot be defined precisely at the time the system is designed, it is essential that the department understand the capabilities of an automated information system and design flexibility into the system for making modifications as needs become known.

### Research Support

The third phase of information system design supports the department’s research needs. As managers become more sophisticated at using the data, the distinction between management and research narrows. For example, one could label as research the department’s need to know if case plans are being implemented and with what effect. In fact, probation administrators need to make those decisions as managers, not researchers. For the purpose of this chapter, research is defined as that basic research which adds to the knowledge of the field. Examples include research on criminal careers and the impact of legislation—things that are beyond the routine operation and management of the department.

To support research activities, the department should develop a research database or extract files. A research database extracts and stores data concerning probation cases in a manner that allows statistical analysis. In addition, the research database maintains case information (without personal identifiers) on all closed cases. In this way, the department maintains the capacity to study its practice and outcome over time, and still meet the requirements for the destruction of individual case records.

### Databases: A Primer

Data in; information out. But what's in between? A database for storing the data and computer programs for managing, processing, and converting data to information. A database is any organized collection of information similar to the yellow pages or a recipe box (McFedries, 1994). Once the data are entered into the database, computer programs (coded instructions) provide ways to view or work with the data.

A database consists of files containing records with any number of fields. A field is a category of specific information. For example, a database of client information might have the following six fields (or data elements): name, address, city, state, zip code, phone number. A record is a single entry in the database. In the client database, a record would consist of a single juvenile's name, address, city, state, zip code, and phone number. A database is comprised of many records using the same fields of data.

The structure of a computer database allows flexibility in searching and sorting the information. Unlike the yellow pages where you can find clients only by their last name, a computer database lets you also find all the clients on a particular street or even display the information in a different order.

Various computer manufacturers have developed "systems" of programs designed to handle your database needs. D-Base, Access, Fox-Pro are examples of database management system software currently on the market. They offer systems that not

only store the information in a database, but also provide the means to manage (sort, search, extract, etc.) this information. (See appendix A for the pros/cons of purchasing these systems or developing your own.)

Relational databases are essential for information systems designed to support sophisticated query capabilities that require extensive collections of complex relationships. In a sophisticated information system, the relationships between records are critical and can be extremely confusing. Changes to the schema because of the requirement for new relationships brought about by management wanting a new report require a relational database structure. An important design consideration with respect to relational databases is the location and maintenance of all the codes (data elements) that drive the system. Codes should be placed in user accessible tables, not imbedded in the software. The software should reference the codes and use them as the edit base against which all entries are compared but the codes should be separate. Building them into the software considerably complicates changing them and provides system programmers full employment insurance. Imbedding the codes in the software makes the system very inflexible. Staff change, jurisdiction changes, criminal codes change, new disposition options emerge and old ones terminate. Effective systems must be able to easily flex with these changes and authorized department staff must be able to make the appropriate changes.

### Meeting everyone's needs

Probation departments must recognize that if the motivation for designing the information system is to collect information for management or research purposes only, the system will be far less useful than if its primary purpose is to serve the department's operational needs. The reason is obvious: data which are used to support daily operations are much more likely to be accurate and current than information requirements imposed from the top of an organization that have no real utility at the operational level. Stated another way, the ultimate effectiveness of any probation information system depends on two things: 1) the quality of data collected during the processing and tracking of a case; and 2) its utility for meeting the department's operational needs.

On the other hand, an information system designed to support only the department's operational needs falls far short of the goal of a good information system. An effective information system meets the needs of management while satisfying the daily operational needs of the department. A department which does not envision the management potential of the information stored in the system loses an incredible resource. Management decisions made on hunches or best guesses undermine the department's credibility. Only by increasing the use of management information will the operations of probation departments become more rational, more accountable, and more defensible.

One of the biggest obstacles departments face in designing a good information system is recognizing that

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different people within an organization have different information requirements. A good information system meets the information needs of managers at every level of the organization from the top administrator in charge of the department to the line officer in charge of a caseload.

Within a probation department, different levels of managers conduct discreet management activities. In turn, each type of activity or decision has its own information requirements. The information needed to support decisions made by a chief probation officer is different from the information needed by the line officer. As a general rule, management activity at the top of an organization is less concerned with individual cases and more concerned with process and organizational management. At the lower levels, day-to-day activity is directly related to the client.

One of the biggest challenges departments face during information system design is making sure that everyone gets what they need from the information system. Progress is most likely when people believe they have received what they need and when they recognize that people need different things. Once everyone's information needs are defined and agreed upon they must be communicated throughout the entire department. In this way, disparate information needs will be seen as legitimate rather than wasteful and redundant.

#### **Linking the police, prosecutors, court and probation department: A word about integrated juvenile justice information systems.**

The integration of information systems is one of the key issues that will structure information management and planning among juvenile justice system agencies into the next century. Proponents of integration promises improvements in the quality of decision making throughout the system as a result of better communication between key agencies. However, there are a number of critical issues surrounding the complex topic of integration and sharing of information within and between justice agencies. Policy, operational, and technical issues include legal and policy implications of integration, development of information exchange standards and protocols, security of information and system management. For further information see SEARCH. System Integration of County-Level Justice Information Systems. Washington, D.C.: Bureau of Justice Assistance, November 1996.

#### **Probation administrators and supervisors need information and reports that describe operations and address the efficiency and effectiveness of the organization.**

##### Managing the Efficiency of the Process and Describing the Cases

The information system should generate reports that can be used to manage the movement or flow of cases within a functional subsystem or unit (i.e., intake, detention, probation supervision, etc.) and describe the volume and characteristics of cases referred to the department. Probation administrators need this information to compile annual reports; allocate personnel and other resources in both the short-term and long-range; monitor, manage and control caseload; estimate costs; and forecast future activities. Examples of some of the output reports required to manage the probation process include:

- n new cases assigned/terminated this month
- n individual and aggregate case status reports from each unit so that managers can determine whether activities at the operational level have been scheduled and completed
- n workload information such as individual officer caseloads, number of intake decisions or predisposition reports completed, and time spent in various activities

##### Managing the Effectiveness of Probation

Beyond determining whether the process is efficient, probation departments must determine whether the process is effective (i.e., actual performance must be measured against planned performance). Effectiveness must be measured against some standard of performance. Without some standard of performance, it would be impossible to determine whether the information in the reports the information system generates is good or bad. Standards emanate from rules, policies, procedures, and legislative mandates and apply to individuals as well as the system as a whole. Management reports at this level determine whether the department is following its own rules.

Performance measurement requires that departments:

1. develop measurable standards for performance so that actual performance can be evaluated;
2. develop ways of measuring compliance;
3. determine whether the standard is being adhered to, i.e., monitor compliance; and
4. evaluate the effect of that compliance on the department.

The primary activity of the probation department is to develop and monitor case plans and supervise juveniles. To carry out these tasks line staff must have an efficient way of managing their caseloads. An automated system of case management would allow officers to identify, schedule, and verify compliance to the stipulations in the case plan/court order in terms of the following: community service, restitution, attendance at counseling sessions or special classes, officer contacts, etc. Risk and needs assessment instruments can also be automated and integrated into the case plan.

To measure compliance to the stipulation that a probation officer sees a client four times a week requires information to be collected on:

- n the probation officer ID
- n the case ID
- n type of contact
- n number (and length) of each type of contact.

To measure compliance to the standard that the juvenile participates in 10 hours of drug education classes a week requires information to be collected on:

- n the case ID
- n the type of activity
- n the amount of hours spent in each activity.

### Managing the Impact of Performance

This level of management activity assesses the impact of performance as measured by outcome. In order to be viewed as an accountable organization, the probation department must evaluate itself and its programs. The most common outcome measure is recidivism. Recidivism can be measured in a variety of ways: speed with which a youth recidivates (i.e., was there a longer period of time between offenses (arrests), volume of crime (i.e., was there

a reduction in the frequency of crimes), and severity of offense (i.e., was there a reduction in the seriousness of crimes). Recidivism can also be measured on a dimension of subsequent penetration into the system (i.e., arrest, referral, petition, adjudication, etc.).

Other outcome measures include improved behavior and attitudes (e.g., getting along with parents and teachers; improved school performance; and improved social, coping, and job skills). Performance can be measured by probation officer observations, grade and school attendance records, police reports, and behavior rating scales completed by the juvenile, teachers, and parents. Information should be collected in a structured, standardized way.

To measure impact, the information system must be able to examine multiple events, that is, a series of referrals to the department for a juvenile or juveniles over a period of time. This "career" information is perhaps the most difficult to plan for in the development of an information system. It will allow the department to develop profile data that answers such questions as:

- n is there a type of juvenile helped by particular services?
- n is there a type of juvenile who becomes an adult offender?
- n is there a type of juvenile who does not become a repeat offender?

The appendices to this chapter contain checklists and a brief paper on the advantages and disadvantages of various database constructions.

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## APPENDIX

### Checklists

#### **A good automated system should have the following fundamental capabilities:**

- 4 The ability to readily record, store and update information regarding juveniles referred to probation, complaints and petitions filed with the court, key case events and outcomes, hearings, legal status, detentions, placement, assigned officer, and interested parties.
- 4 Various search capabilities to identify previous and current actions by juvenile, case ID, and other related legal numbers (such as social security number, petition number, child protective services number, etc.).
- 4 Systematic auditing of data through on-line screen edits and various exception (quality assurance) reports.
- 4 Separate data entry and display screens. This will limit the ability of system users to add or modify existing data (accidentally or otherwise).
- 4 User-activated (menu-driven) report generation including a comprehensive series of aging reports, case listings, and statistical reports that facilitate effective caseload management, case flow, tracking, and department-wide planning. These pre-developed report programs should allow for some user flexibility with regard to various select and sort parameters (e.g., date range, types of cases and basis (department-wide, officer)).
- 4 Social history summary profiles should be available on all juveniles. This profile should include data pertaining to case demographics, family members (siblings, parents, and guardian), juvenile's current living arrangement, and historical data on all complaints, petitions, court hearings, detentions, placements, and legal status history.

#### **More sophisticated automated systems have additional system utilities and capabilities. These system enhancements expedite a wide range of tedious and time consuming activities and responsibilities. These relatively more advanced functionalities include:**

- 4 Automated assignment and tracking of cases to probation officers. This includes on-line reports and displays of total counts and listing of all juveniles currently on probation by program types (regular, intensive, etc.), probation officer, placement date and other key criteria. From these screen displays, the user should also be able to directly access all case information on a specific juvenile.  
  
Modules that can assist field officers in managing their caseloads by keeping track of contacts by type (e.g., home, office, phone, collateral, etc.); aggregating contacts into monthly, quarterly, and annual reports; and generating lists of juveniles that have not yet been contacted during a specific period, or when periodic progress reports are due on individual cases. Listing of caseload contacts by juvenile and officer sorted by time and contact type with contact comments should also be available.
- 4 Automated production of department documents (petitions, social histories) utilizing integrated word-processing and form production software. Integrated word-processing will also allow users to access system data to complete standardized sections of certain reports, including pre-disposition reports.
- 4 Electronic archiving and retrieval of important department and case documents. Routine correspondence should also be automatically generated through the system including victim notification and notifications informing juveniles and their families of meetings, appointments, etc.
- 4 Ad hoc report generation capabilities that permit database queries and searches by system users.
- 4 Electronic messaging that is available from each screen through use of a command key. This includes automatic generation of electronic messages to POs

### Advantages and Disadvantages of Developing and Maintaining Various Database Constructions

Rowen Poole  
Computer Programmer, NCJJ

#### Creating an information system using standard programming languages (FORTRAN, C, Pascal or COBOL)

##### Advantages:

- + The program(s) can be tailor-made to fit the specific needs of the environment.
- + The program(s) can be easily modified in the future to adapt to new and/or unforeseen needs at initial development.
- + Although initial design and implementation time may take much longer than that of a standard database (“shrink-wrapped”) package, it is almost a sure bet that the programming language used will be around longer than the specific version (and/or manufacturer) of the purchased software. Most programming languages have been around for years and are stable unto themselves. Even if new versions are released, most vendors go to extremes to insure that the new compilers are backward compatible with older language versions. This is especially true of languages referenced above.
- + In most cases it is far easier to find a computer programmer who knows one of the above programming languages than it is to find a programmer who knows a specific shrink-wrapped language implementation.
- + Executable code produced by a standard language is often times MUCH smaller than that produced by the shrink-wrapped product. The reason for this is that standard package implementation carries with it large libraries of data which may or may not be needed by your specific system. Most times you cannot pick and choose this. Standard programming languages can be written site-specific and hence avoid such problems.
- + In-house development usually means that the programming staff is also in-house as opposed to outside consultants. This typically means that the programming staff is much better acquainted with the design products and end product goals.
- + Oftentimes the technical staff that developed these systems are easily reached in the event of a problem.

##### Disadvantages:

- Incompatibility with standard database packages unless specifically designed to meet this criteria (a monumental effort by programming staff).
- Usually, but not always, these programs are designed for a specific system (e.g., Micro VAX, PC). This often means that even within the department using the system, the data may be usable only on one specific system.
- Design, development, and programming time are often far longer than with standard database systems.
- If the programmer leaves, it may be difficult to find another who knows the specifics of the system in order to upgrade it in the future. Programmers are notorious for NOT documenting what they did and how they did it.

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## **Developing an information system using a standard database management package (Access, D-Base, Fox Pro)**

### Advantages:

- + Manuals for this software are professionally done and usually clearly written.
- + Help is usually available via phone/e-mail for special problems.
- + Technical support is usually available to help assemble the pieces the way you want them.
- + Changes are usually fairly easy to make.
- + A staff person can typically be assigned to administer the system without a lot of training since most of packages are designed to run without the need to add specialized help
- + Special query capability is usually built into the database.
- + Upgrades are usually easily made by the one who administers the system which keeps the system technologically current.
- + Taking this route encourages a hands-on approach by department staff which vests them quickly in system success.
- + The costs and risks associated with experimentation are reduced which encourages progress.
- + Development costs are usually low and development doesn't take a lot of time.

### Disadvantages:

- Staff are required to take responsibility for system development and use and may not have the skills.
- One of the software firms providing one of your system pieces goes out of business.
- Use of different packages may create problems if they are not designed to work together or are incompatible with the operating system.
- Blame for failure cannot be shifted to outside consultants or data processing center.
- This option clashes with the philosophy of many county D.P. departments, who of course, have a big investment in mainframe systems and the technical expertise to run them.

## **Transferring a pre-existing probation information system software package**

### Advantages:

- + Use of existing software may allow for a speedier implementation.
- + Purchase or transfer of software reduces the amount of technical personnel and resources the department must employ.
- + Use of a vendor or consultant may allow the department "one-stop" service. That is software, hardware, training, and maintenance may be obtained from a single source.
- + The department may have the choice of a number of systems.
- + The track record of the potential system may be more readily gauged.
- + Update versions of the software may be more easily available.

### Disadvantages:

- The cost of purchasing software may be more than the cost of development.
- The transfer of software will probably require extensive modification from site to site before implementation.
- If a vendor is unreliable, understaffed or overextended, the quality of the product may be less than desired.
- The vendor may use a proprietary software (system or application language) that would make future enhancements difficult, expensive, or impossible.
- Support after purchase may be lacking, particularly if the vendor is not located in your area.



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## Chapter 11:

# Community Resource Development: Volunteers in Probation

by

Douglas W. Thomas

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Volunteers have been an important component to providing juvenile probation services since the very inception of the juvenile court. Indeed, in 1910 the very first *Report of the Juvenile Court of Marion County, Indiana* stated that the aid rendered by volunteers was the “very best feature of the work of the Court.” The Marion County juvenile court served the City of Indianapolis and was established in 1903 as Indiana’s first juvenile court. While Indiana law provided only for “the appointment of two probation officers who are paid officers of the Court,” it also provided for the “appointment of as many volunteer probation officers as may be needed who are willing to serve without pay.”

Up to this time more than five hundred persons have enrolled themselves as such volunteer aids to the Court. Clergymen, business men, professional men, and women have come to the assistance of the court as they were needed. Catholic priests, Jewish rabbis, ministers of about all other denominations, bankers, manufacturers, wholesale and retail merchants, lawyers, doctors, and teachers, and indeed, men from all the better classes of our citizenship, aided by more than one hundred broad-minded, charitable women, constitute this army of volunteers (Stubbs, 1910).

Today, at the opposite end of the century, other Indiana juvenile courts continue the volunteer tradition established by Indiana’s first juvenile court. For example, for Clark County Superior Court Number 1, which handles all of the juvenile delinquency referrals for Clark County, Indiana, “volunteers do make a difference” (Black, 1992).

With limited staff and funding available to the court, the task of re-directing the lives of delinquent children can prove overwhelming and without “the help of our dedicated volunteers the task would be nearly impossible.” Juvenile court volunteers in Clark County work closely with juvenile court staff in various prevention and diversion programs to help make a difference in the lives of court-involved youth. In Clark County, Indiana, volunteers are recognized as essential ingredients to making probation work just as they were 86 years ago in the State’s first juvenile court.

### Why Volunteers?

The experiences of two juvenile courts in Indiana operating on opposite ends of the twentieth century demonstrate two primary reasons for using volunteers in juvenile probation. Volunteers provide both needed manpower and positive indigenous role models for delinquent youth. In 1910, Judge Stubbs of Marion County, Indiana argued that volunteers gave him a probation work force in the hundreds while the law only provided for two paid positions. He also described the intangible benefits of volunteers:

Most of the children committed to the care of these officers never had a friend in all their little lives who was worthy to be called a friend. Under the kindly sympathetic supervision of a good man or woman they soon learn what it is to lead good lives, and hundreds of them get a start on the high road that leads to success and prosperity (Stubbs, 1910).

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In addition to increasing manpower and providing a valuable community resource, effective volunteer programs can dramatically improve the quality of juvenile justice by: 1) reducing the workload of paid court staff; 2) increasing the court's status in the community; 3) complimenting existing services provided by the court; 4) increasing the community's sense of responsibility for troubled youth; 5) assisting court staff to become more aware of community attitudes and values; and 6) providing specialized expertise that may normally be unavailable (Arthur D. Little, Inc. and National Center for State Courts, 1978). Volunteers in juvenile probation services may also:

- n **Offset budgetary constraints:** Allowing volunteers to handle and follow-up on diverted cases may free-up time from professional probation staff.
- n **Enhance or diversify services:** Volunteers may be trained to serve as liaisons between the juvenile court and victim services providers, thus allowing the juvenile court to more aggressively meet the needs of the victims of delinquency.
- n **Provide more individual (one-on-one) time:** Volunteer probation officers may be used to establish and maintain personal role model or mentoring relationships with youth on probation, something that is precluded by both the scope and nature of the professional probation officer.
- n **Increase public involvement and education:** Volunteers may serve in a liaison capacity between the juvenile court and schools or the police. They may also serve as neighborhood complaint officers, mediating complaints filed by community members against young people.
- n **Create a means of directing innovation and increasing flexibility:** Volunteers may represent agencies or organizations not usually associated with juvenile court, but with resources that can be used by delinquent youth (e.g., the Boy Scouts or 4-H) (Scott and Sontheimer, 1985).

#### Roles for volunteers in juvenile court organizations

Volunteers provide valuable services throughout the entire juvenile court operation—from intake to aftercare—and serve in a wide range of functions and activities, including: 1) parajudicial operations; 2) legal functions; 3) executive activities; 4) crisis intervention and diversion; 5) social services; and 6) supplemental services (see Arthur D. Little, Inc. and National Center for State Courts, 1978).

#### *Parajudicial operations*

Teen courts, for example, use volunteers to provide parajudicial services. Also called youth courts or peer courts, teen courts represent an alternative approach to juvenile justice in which minor delinquent offenders are held accountable for their actions through a sentence imposed by a jury of their peers. Teen courts simultaneously offer education and hands-on experience with the juvenile justice system to community youth who volunteer with the program (Godwin, 1986).

#### *Legal functions*

Juvenile courts may solicit the involvement of citizens who are members of the bar or have legal, investigative, or organizational skills to volunteer on a part-time or case-by-case basis. Guardian Ad Litem attorneys providing pro bono services to delinquent youth, or volunteer attorneys representing neglected or abused children are examples.

#### *Administrative activities*

Private citizens volunteer to assume certain oversight functions designed to scrutinize and report on the work of the juvenile court. Court advisory committees, specialized task forces, and victims services coordinator are examples.

#### *Crisis intervention and diversion*

Volunteers may perform functions which are beyond the normal capacity of court services or probation staff. For example, probation caseloads may preclude a thorough social investigation and volunteers may be used to fill in the gaps.

#### *Social services*

Volunteers may provide direct services designed to assist youth under court supervision to stay within the community. Big Brothers / Big Sisters programs, employment programs, youth mentoring, and cultural / recreational programs are examples.

#### *Court supplemental services*

Volunteers may also provide direct services or assistance to the operations of the juvenile court. For example, volunteers may serve as office receptionists, or nursery and day care providers. Or volunteers may provide art and vocational programs for youth on probation.

### Making or Breaking the Volunteer Program

There are several key obstacles to developing and implementing an effective volunteer program for juvenile probation. Staff resistance is often a chief obstacle. Staff resistance may be attributable to a wide variety of factors—uncertainty among staff regarding the need for or purpose of the volunteer program, insecurity among staff regarding their place in the organization, skepticism among staff regarding the ability of “civilians” or “amateurs” to do the business of professionals, and the natural tendency among staff to protect their turf.

Very often staff will not be trained adequately to work with volunteers. This may be a result of inadequate planning, poor assessment of agency needs, or poorly articulated expectations, goals, and objectives for the volunteer program. Similarly, inadequate training programs for volunteers may seriously reduce the effectiveness of the program.

Other obstacles to effective volunteer programs include the lack of understanding and commitment by top administration, low organizational commitment to the volunteer program, and inadequate or poor screening of volunteers.

However, there are also several characteristics of organizations that can improve the chances for success of volunteer programs. The high commitment of professional staff to the volunteer program, for example, will go a long way toward assuring success. Similarly, the chances of success increase with the degree to which the volunteer program is integrated with the “formal” agency structure and procedures. Volunteer programs predicated upon an open exchange of ideas, decisions based on mutual understanding, and clearly stated goals and objectives are more likely to succeed.

Other characteristics of successful volunteer programs include: 1) good planning; 2) a single, skilled administrator with authority to make decisions; 3) volunteers who are supervised by a staff person working with them directly; 4) well developed job descriptions for volunteers; 5) good training; and 6) clear expectations (Scott and Sontheimer, 1985).

Ultimately, community support is imperative. It is important to assure that the community can commit to and maintain volunteer programs—or lay the groundwork for community involvement through training and planning. To this end, volunteer programs should strive to reflect the cultural characteristics of the communities they are designed to serve.

### Administering the Juvenile Court Volunteer Program

Effective administration of juvenile court volunteer programs requires the same skills, dedication and attention to detail as the administration of any other critical component of the organization. It requires good management, effective planning, program development, human resource management, training, budgeting, and evaluation.

#### *Management*

The volunteer program should be managed by an individual in the organization with effective management skills and with the authority to make and implement plans and make decisions regarding the use of volunteers. Optimally, the volunteer program manager position should be a distinct position within the agency. If the agency cannot afford a full-time, paid manager of volunteers, the agency may: 1) include these responsibilities in an already existing position; or 2) create a part-time voluntary position. Either way, the duties, qualifications and expectations of the volunteer manager should be clearly stated and posted.

#### *Planning*

Good planning is essential to effective volunteer programs. The need for volunteer services must be carefully established. The purpose, goals and objectives of the volunteer program or programs must be clearly articulated. The volunteer resources available within the community must be assessed. Planning should be conducted by top juvenile court management with the participation and cooperation by members of the community. Planning efforts should consider and document agency needs, community characteristics, anticipated costs, proposed benefits, training needs, legal and statutory considerations, and characteristics of the organization and the external environment which will hinder or facilitate the establishment of a volunteer program.

#### *Programming*

Volunteer programs should be designed to meet the needs of the organization or delinquent youth that are not being met by professional staff. Volunteer services should be appropriate to the skill, training, and ability of volunteers and should compliment the services provided by professional staff. Volunteer services should be clearly differentiated from professional services and there should

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be no overlap of function (i.e., having volunteers and paid staff performing the same task). Professional staff should be actively involved in the development of volunteer service programs.

Volunteers who provide professional services with the local probation department should be required to be certified / licensed in their respective field and provide verification during the initial recruitment process.

### *Human resource management*

Volunteer recruitment should be conducted and coordinated through the volunteer manager's office, rather than identifying and retaining volunteers on a catch-as-catch-can process. All volunteer recruitment efforts should be in compliance with all appropriate Equal Opportunity laws and requirements. Every effort should be made to recruit volunteers who reflect the ethnic and cultural diversity of the communities served by the juvenile court.

Volunteer programs should have a clearly articulated volunteer application and screening process that includes an interview to be conducted by the volunteer coordinator or manager. Volunteers may be subjected to the same classification and screening requirements as paid employees, including a criminal records check. Similarly, volunteers may be held to the same standards and conditions for termination as paid employees. These standards and conditions must be made clear at the outset.

### *Orientation, training, and volunteer services manual*

All volunteers should receive a careful orientation of the juvenile court, including its mission, philosophy, functions, and programs. The orientation should clearly articulate the role played by volunteer programs in the larger organizational setting, including the relationship to agency objectives, the clients and their families, the volunteer services provided, and the rights and responsibilities of volunteers.

Volunteers should be carefully trained in the general policies and procedures of the organization, the tasks and expectations of the job for which they have volunteered, and any specialized skills training required to complete the job (e.g., entering data into the juvenile courts automated information system). Additional training should be provided to keep the volunteer informed of special needs

of the client population or any changes in the organization that affect the work of the volunteer. Certainly, if the volunteer changes jobs for any reason, he should receive training appropriate to that new job.

Each volunteer should receive a copy of the agency's volunteer manual. The volunteer manual should include a description of the agency, policies and procedures regarding volunteer activity; descriptions of specific volunteer activities; and any contracts, training schedules, or agreements specific to that volunteer's involvement with the agency.

### *Budget*

The budget line-items for the volunteer program should be included with the budgets of all the juvenile court's programs and should be as detailed and accurate as the others. The budget should represent the real costs of the volunteer program, including personnel, travel, training, equipment, telephone, rent, etc. If possible, it may prove useful to include an accurate dollar estimate of the benefits of the volunteer program in the budget narrative. This estimate may include savings on personnel costs, program costs, etc.

### *Record keeping and evaluation*

The volunteer manager / coordinator should maintain a careful record of all volunteer activities including costs, services provided, and a file for each volunteer. The volunteer's files should include the following information: initial application, list of assignments, time sheets, training completed, evaluations, awards and recognition, and letters or commendations.

The records maintained by the volunteer manager should be useful for evaluation purposes. The volunteer program or programs should be evaluated annually to determine the effectiveness of the program. The stated goals and objectives of the volunteer initiatives should serve as the basis for evaluations, hence they must be written in ways that are measurable (e.g., we will provide 400 hours of mentoring services). The evaluation report should contain an objective assessment of the degree to which objectives were reached and a subjective assessment of areas of strength and those areas that could be strengthened in the upcoming year.

In addition to an assessment of the degree to which the volunteer program met its stated objectives, the annual evaluation should contain a discussion of the stated

organizational needs and how they have changed over the course of the year. This discussion should include a recommendation regarding how volunteer services might be altered to meet shifting resource needs.

### Volunteers in Probation

There are many, many examples of probation agencies that have instituted volunteer programs. The programs listed below provide a sampling of the variety of volunteer programming available to probation departments.

#### Auxiliary Probation Service of the Juvenile Court of Memphis and Shelby County

The Auxiliary Probation Service (APS) was the first volunteer program of its kind in the nation when pioneered by Judge Kenneth Turner in 1964. The APS continues to perform the crucial service of supervising youth on probation for the Juvenile Court. In 1995, approximately 300 Auxiliary Probation Officers (APO's) contributed over 43,000 hours of personnel time to supervise 1,091 cases of youth assigned to probation. An additional 239 cases were supervised by the APS in 1995 under an alternative to probation initiative targeting unruly youth.

The mission of the Auxiliary Probation Service is four-fold. First, volunteers are expected to provide strict supervision of children who have been declared by the court to be unruly or delinquent. Second, volunteers offer themselves as role models for the youth. Third, volunteers are expected to help build and support the youth and his family so that they may lead a law-abiding life-style. Finally, volunteers encourage delinquent youth to be positive, productive, and hard working members of the community.

Auxiliary Probation Officers are appointed by the Juvenile Court Judge for an indefinite period of time. After completing all required training, they are commissioned officers of the Court and provide field supervision of and counseling to juveniles placed on supervised probation. Upon commission, APO's are expected to serve for a minimum of two years, work closely with the District Probation Chief to whom they are assigned, support the policies of the APS and the Court, and maintain at least a "satisfactory" rating on the District Chief's semi-annual APO evaluation.

The APO's provide all of the supervised probation services for the Juvenile Court of Memphis and Shelby

County. The primary purpose of supervised probation is to turn the youth from a lifestyle of unruly or delinquent behavior to a law abiding lifestyle.

APO's are expected to "use every means possible" to see that the youth obeys the rules of probation. APO's must supervise at least one case at all times. They are required to report all contacts with probationers to their Division Chiefs on a monthly basis using a standard Monthly Progress Report form. APO case supervision generally consists of one weekly visit to the probationer's home and three telephone contacts. APO's are also required to attend monthly in-service Division Meetings, special conferences, and training opportunities. They are also required to attend the Annual Volunteer Breakfast which constitutes the only tangible remuneration these volunteers receive.

#### Volunteer Services Department, Clark Superior Court No. 1, Clark County, Indiana

The purpose of the Volunteer Services Department is to provide diversionary programs for adolescents who are involved with the Court or with the probation department. The Clark Superior Court No. 1 Probation Department serves about 1,200 young people each year with a paid staff of three juvenile probation officers and one intensive probation officer. The volunteers and programs available through the Volunteer Services Department help to fill the gap and provide vital resources for the Court and the Probation Department. The Volunteer Services Department is managed by a Director of Volunteer Services and offers the following programs:

- n **Juvenile One-on-One.** This program provides an opportunity for youth on probation or informal adjustment to develop a positive one-to-one role model relationship with an adult Volunteer Probation Officer.
- n **School Liaison.** This program involves volunteers who are assigned to local middle and high schools for the academic school year. The Volunteer School Liaison's main objective is to counsel students who are in danger of being expelled for truancy.
- n **Tutor.** The Volunteer Tutor helps to build a young person's self esteem and confidence as they help them to strengthen their academic skills in basic subjects such as math, reading, and spelling. The Volunteer Tutor also teaches basic library skills and

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offers advice for improving study habits.

- n **Community Service Worksite Supervisor.** Probationers completing community service hours are often supervised by Volunteer Service Work Site Supervisors.
- n **Home Detention Officer.** Youth on home detention are often monitored by Volunteer Home Detention Officers. This person is responsible for making random telephone calls to assure that youth on home detention are, indeed, home.
- n **Neighborhood Complaint Officer.** Neighborhood Complaint Officers are teamed with a professional Hearing Officer to mediate complaints filed by community members against young people. Complaints heard are minor and would not require the immediate attention of the probation department.
- n **Camp K.I.T.E. (Kids-in-Touch Event).** Camp KITE is a structured camp for young girls twelve to seventeen years of age. Camp KITE is staffed entirely by volunteers and offers an opportunity for girls to get away from their immediate problems and participate in a program where they are cared for, nurtured, and where their self esteem is given a boost.
- n **Boy Scout Team #101.** This program is affiliated with the Boy Scouts of America and provides an opportunity for boys between the ages of fourteen and seventeen to learn valuable skills. The program teaches boys how to set goals and achieve them. It involves outdoor camps, activities, and monthly meetings.
- n **Explorer Post # 101.** This program is also is affiliated with the Boy Scouts of America and provides an opportunity for girls on probation between the ages of 14 and 17 to meet twice a month to set goals, plan activities and explore their future. Once admitted, girls are required to stay with the program until their probation or informal adjustment has been terminated.

Volunteer Program, Harris County (Houston), Texas  
Juvenile Probation Department

The Harris County Juvenile Probation Department is the fourth largest juvenile probation department in the country and has operated a volunteer program since the 1960s. In 1966 the Junior League of Houston, Inc. began providing arts and crafts and tutorial services for detained

youth. By 1994, 85 Junior League volunteers provided their skills, time and support to a wide range of programs and services, including individual counseling, intake counseling, educational / vocational counseling, parent education, tutoring and drug counseling. The value of these volunteer services has been estimated at almost \$50,000.

Another volunteer resource serving the Harris County Juvenile Court is Juvenile Court Volunteers, Inc., a United Way agency. This organization provides mentoring and recreational activities for youth referred to the juvenile probation department. Juvenile Court Volunteers also provide companionship to youth held in the detention center through visitation and by attending special events. In 1993, 207 Juvenile Court Volunteers donated 23,205 hours to the Harris County Juvenile Probation Department with an estimated dollar value of \$268,749.

Many other private citizens and church organizations are recruited as volunteers to the Harris County Probation Department. During a recent one-year period, individual volunteers contributed over 6,800 hours of their time to the youth and families involved with the Juvenile Courts in Harris County. All of these volunteer programs serve to integrate the community with the agency, thereby enabling the probation department to provide quality services and to re-direct the lives of many troubled youth.

## Summary

Volunteers have been an important part of juvenile probation services from the very beginning of the juvenile justice system in America. Traditionally, volunteers have increased the juvenile court's status in the community while reducing, rather substantially, the workload of paid court staff. Effective volunteer programs offer a range of additional benefits to juvenile probation agencies, including reduction of budgetary pressures, enhancement of existing services, increased one-on-one time with probationers, increased public involvement and awareness, and increased innovation and flexibility

Volunteers can also serve a wide range of roles for juvenile probation agencies, including parajudicial, legal, administrative, crisis intervention, social services, and supplemental services.

Success in administering effective volunteer programs depends on a high level of administrative and staff commitment to the program; integration of the volunteer program with formal agency programs and processes; an open

### Volunteer checklist

The checklist below provides a guide for asking the right questions regarding a volunteer program.

#### Determine need for volunteer program

- 1 Is there a resource crisis?
- 1 An economic need?
- 1 Some identifiable public concern?

#### Judicial attitude

- 1 Are the judges supportive, opposed, neutral?
- 1 What must be done to convince them that volunteers can meet the need?
- 1 Are the court services and probation staff supportive, opposed, neutral?
- 1 What must be done to convince them that volunteers can meet the need?

#### Recruitment

- 1 What are the sources of volunteers?
- 1 What are the means available to recruiting volunteers?
- 1 Are volunteers culturally representative of target population?

#### Training

- 1 What are the initial and ongoing training needs of volunteers?
- 1 Of the juvenile court staff?
- 1 Of the community?

### Staff support

- 1 What are the factors - both positive and negative - that will affect relationships between staff and volunteers?

### Tasks and responsibilities

- 1 What, specifically, do you expect volunteers to accomplish?
- 1 Are these expectations realistic?
- 1 Do they compliment (or confuse) expectations of staff?

### Volunteer / probationer relationship

- 1 What are your expectations regarding the relationship between the volunteers and youth on probation?
- 1 What are the minimum expectations?
- 1 What are the limitations?

### Funding

- 1 How will the volunteer program be funded?
- 1 What are the costs?
- 1 What are the savings, in dollar terms, to the organization?

### Public / media relations

- 1 How is the volunteer program presented to the community?

exchange of ideas; clearly stated mission, goals, and objectives; good planning; skilled, focused administration; and clear expectations.

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## Chapter 12:

# Public Information/ Media Relations

by

Robert E. Keldgord, M.S.

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### Introduction

Of all the segments of the justice system, probation appears to be unique in two respects. First, it appears to be the only element of the system which is indigenous to America. While the courts and the sheriff came to us from England, and parole came to us from France, probation is a product of the United States.

The other characteristic which, of all segments in the justice system, appears to be unique to probation is that, unlike the courts, the police, the prosecutors, and the jailers, probation's functions and responsibilities are not well understood by the public. The average citizen understands the role of a police officer, a judge, or a prosecutor but, more often than not, is ill-informed about probation.

As a result of the public's lack of understanding about probation's mission, probation departments are often provided with much less funding and community support than is the case of the other disciplines. A 1985 report by the Rand Corporation, based on an examination of probation in ten California counties, illustrates the situation—"California's total criminal justice expenditures have increased by 30 percent since 1975, but expenditures for probation actually declined by more than 10 percent" (Petersilia, et al., 1985).

Ironically, numerous studies and surveys have indicated that, when the public is made aware of the roles, responsibilities and results of community corrections programs, notably probation-operated programs, there is support for such programs.

At the same time, other studies reveal that probation departments have exhibited very little interest, and even less effort, in the development and implementation of public information programs, including media relations.

The purpose of this chapter, therefore, is to outline a public information/media relations program for juvenile probation administrators, to offer some examples, and to suggest some references and sources of consultation.

### The Public Information/Media Relations Program

An effective, yet inexpensive program should contain the following ingredients:

#### A Speaker's Bureau

A Speakers' Bureau appears to be the public information effort most commonly found in probation agencies. For example, when a survey was conducted of probation and parole agencies in California, 43 of the State's 59 probation departments and both of its parole agencies reported the existence of such a bureau. It was observed, however, that only six of the agencies operated a "formalized" bureau in which the agency actively solicited speaking engagements, while seventeen agencies operated a "formalized" bureau but did not solicit speaking engagements, and twenty-two agencies had no formalized, structured bureau, but rather responded to unsolicited requests for speakers in a rather haphazard fashion, usually assigning the task to some senior officer or an administrator.

Quite obviously, a formalized, structured approach is preferable, in that it creates within the agency a stable of trained, experienced speakers who are available to speak

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on a wide variety of subjects. Moreover, the formalized structure provides a mechanism for advertising speakers, compiling statistics (i.e., how many speakers appeared before how many citizens in a given year), and identifying subjects that may be sensitive and about which questions may be asked. A structured bureau also allows the department to send out confirmation letters and biographical sketches of speakers to those organizations who have made requests.

Those departments that solicit speaking engagements do so in a variety of ways. In at least two jurisdictions, it has been the practice for the department to send out annual letters to numerous organizations, such as service clubs, church groups, fraternal groups, business and professional groups, etc. The departments obtain the names and addresses from a list prepared annually by the local Chambers of Commerce. In one jurisdiction it was also the practice of the probation officers' labor union to send out follow-up letters to each group which had initially received a letter from the Chief Probation Officer.

In another jurisdiction, the solicitation of speaking engagements is accomplished at the county-level, and in conjunction with all departments of local government. For example, the county periodically sends out announcements regarding the availability of speakers from the Health Department, The Sheriff's Department, the Probation Department, etc.

In yet another jurisdiction, the Probation Department operated a weekly radio program for some three and a half years, and utilized the program to publicize both its Speakers' Bureau and its Volunteer Program.

Speakers' Bureaus afford an economical, demonstrated opportunity to present probation's programs before tens of thousands of citizens each year.

Among the numerous probation departments that have operated formalized, structured Speakers' Bureaus are the Alameda County (California) Probation Department, the Pima County (Arizona) Adult Probation Department, and the Sacramento County (California) Probation Department.

### Pamphlets

Pamphlets describing the work and accomplishments of the department are inexpensive to publish and, in fact, are sometimes published at no cost to the department. Clearly, they are a valuable adjunct to a Speakers' Bureau and can

also be distributed in conjunction with Career Days, at County Fair exhibits, and elsewhere.

The pamphlet should be printed on both sides of one sheet of paper which measures 8.5 inches by 11 inches, and should be folded into three sections, thus creating a document which is approximately 3.5 inches by 11 inches.

In some instances, the department may wish to publish a variety of pamphlets, each one addressing a specific function of the department. For example, one such pamphlet might describe the department's program for status offenders, another might describe its community service program, another might describe any institutions operated by the department, and yet another might speak to the department's youth gang program. In those agencies which serve large metropolitan areas, the use of numerous pamphlets is common.

### Tours of Facilities

In many jurisdictions, probation departments operate institutions—most commonly juvenile halls or detention centers. Probation agencies may also operate girls' schools, boys' ranches, day reporting centers, family reconciliation centers, etc.

Several jurisdictions conduct "open houses" at these facilities or make available, on a continuous basis, tours of the facilities, or do both. For example, in the aforementioned California survey, thirty-six agencies reported one or both of these approaches.

The "open houses" or tours can be promoted through the department's Speakers' Bureau, its pamphlets, or its radio broadcasts. However, some administrators object to this practice, and suggest that it is improper to expose juveniles in custody to such scrutiny, often comparing it with the display of animals at the zoo.

### Advertising by Billboards and Posters

Although uncommon, billboards and posters have been used successfully by some probation agencies—usually to solicit employment opportunities for probationers or to seek volunteers.

At one time, the Maricopa County (Phoenix) Adult Probation Department advertised for employment opportunities on a billboard adjacent to the Interstate Freeway. This sign was viewed daily by many thousand citizens.

The Los Angeles County and Sacramento County Probation Departments have experienced success with the use of transit posters—posters which are displayed either on the exterior or interior of public transportation vehicles.

In both Maricopa and Sacramento Counties, the advertising space was donated by the Transit Authority or by the billboard company and, in Sacramento County, the posters were purchased by a local Kiwanis Club. In Maricopa County, the only charge was for the artist who did the graphics design.

This public information opportunity is probably the most frequently overlooked while, at the same time, is among the most effective. For example, when interested citizens called the Sacramento County Probation Department to inquire about becoming volunteers, they were asked where and how they learned about the volunteer program. Did they hear about it on the Department's weekly radio broadcast, through the Speakers' Bureau, from pamphlets, or via transit advertising? Overwhelmingly, the posters which appeared in some 72 buses were identified as the motivation for the call.

### Radio Broadcasts (or Television)

Several California probation departments, including those in San Bernardino, Sacramento, and Tulare Counties, plus several state correctional agencies, and the Pima County (Arizona) Adult Probation Department have utilized radio series. There is no cost for the air time, as it is donated by broadcasting stations as part of their "public service" responsibility and in support of their periodic applications to the Federal Communications Commission for renewal of their licenses.

In essence, there are two approaches to radio programming. One approach, such as utilized in Arizona, was to tape a weekly program at the studios of the local Public Broadcasting Station, and then to distribute the tapes to some 15 local stations. Since the tapes were made at a non-commercial, non-competing station, the commercial stations readily accepted them and aired them. This Arizona series received the 1978 Public Education Award from the Western Corrections Association.

The other, more common approach, is to select one station—preferably that station which attracts the "shakers and movers" of the community—the listeners who are normally between 35-54 years of age. Once the station has been selected, the Station Manager should be

approached—preferably by the Chief Probation Officer. If the Station Manager will not agree to an interview, an appointment should be made with the station's Program Director or Public Service Director. If at all possible, a demonstration tape should be presented to the station—to demonstrate that the programs will be of broadcast quality.

Any probation administrator who wishes to establish a broadcast series should first conduct a survey within his own department to determine whether a staff person has previous broadcasting experience. If so, the task is much easier to accomplish and, unless the Chief happens to be an ex-broadcaster, this selected staff person should accompany the Chief in visits to broadcasting managers. As in all professions, broadcasters speak their own "jargon," and the use of such terminology, plus familiarity with broadcasting procedures, reassures the station manager.

Once established, the broadcast series can be utilized to promote volunteer recruitment, tours, employment opportunities for probationers, and any other aspect of the department's operations.

### Awards Dinners and Luncheons

The use of banquets is fairly widespread among probation departments, and provides several important opportunities:

- n to recognize volunteers and to recruit new volunteers;
- n to recognize service clubs and other civic organizations—the same organizations to which the Chief may later request to have pamphlets or posters printed; and
- n to recognize representatives of the local media. Such recognition results in greater media support for the department, in addition to generous media coverage of the function itself.

There is one word of caution. If there is a charge for the meal at such events, media personnel who cover the function must be provided with free meals—commonly known in broadcasting circles as "Annie Oakleys." It is also important that a special table be set aside and reserved for media folks and that, to the degree necessary, provisions be made for use of phones, microphones, and TV cameras.

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## The Annual Report

In some states, statute requires that the probation department publish an annual report which usually outlines the accomplishments of the department during the previous year. In other states, there is no such statutory mandate, but departments continue to publish and distribute annual reports as a public information vehicle.

The annual report should provide factual material and should be attractively presented, with charts and photos, and should always include a letter of transmittal signed by the chief.

Among the organizations to whom the annual report should be distributed are all major media outlets in the community—that is, all radio and TV stations and all newspapers, including weekly papers.

It is always wise to attach to the report a brief, well-written press release, which announces the release of the report and provides a brief, one page, annotated list of the report's highlights. Most of the time reporters will simply incorporate the press release into their material, rather than sift through a lengthy, statistics-laden document.

## Press Releases

The issuance of a press release is always appropriate when the probation department has a newsworthy event to announce. For example, releases can be utilized to announce award recipients, the commencement of a new program, the release of an annual report, etc. Press releases should never be issued, however, unless there is specific news value. Things that are considered to be newsworthy in one smaller community will be considered as “non news” in metropolitan areas, and will generate resentment among local journalists.

Moreover, care must be taken not to give advantage to one newspaper or TV station over another in selecting the timing of the release. For example, late afternoon releases tend to favor morning newspapers, but are detrimental to radio and TV stations and their 5 p.m. newscasts. In short, be careful of the deadlines of local newspapers and broadcasters.

The Chief Probation Officer should also make an educated guess as to the most effective days of the week on which to issue a release. Such releases should be avoided on weekends, when newspapers and broadcast stations operate with “skeleton” crews.

If the community has regularly scheduled events which generate substantial news coverage on specific days—such as City Council meetings, effort should be made not to issue a release on those days. Almost all communities, except for major markets such as Los Angeles, New York, Chicago, etc. traditionally have “slow” news days—days on which the probation department's release will be welcomed.

## Public Service Announcements

All broadcasting stations provide some degree of Public Service Announcements or “PSAs.” Such announcements can be an effective means of soliciting departmental volunteers or advertising tours of facilities, plus many other events.

PSAs should never exceed 20 seconds, and may be as short as 10 seconds. If the department's staff includes an experienced broadcaster who can write the PSA, that is an ideal situation, and that staff person should probably also be asked to “voice” the PSA. If there is no such person, representatives of the broadcasting station will usually accept the basic information, re-write it, and air it.

## Articles in Professional Journals

Such articles normally do not attract widespread interest within the general public. They do, however, serve to publicize the probation department within professional circles.

## Maintain an Ongoing Relationship with Media Personnel

This is the single, most important element in any public information/media relations effort. Probation administrators should make a habit of becoming acquainted with the media folks who cover local government, whether they be from electronic journalism or the print media. To the degree possible, probation administrators should develop a first name rapport with these folks, and should always be accessible to them. Eventually, the media representatives will learn to trust and respect probation department staff, and to appreciate the work of the department. There are, however, a few important caveats:

### *Never lie to a media person*

If you do not know the answer to their question, tell them so and volunteer to try to determine the answer and get back to them. If you are prohibited by statute, court order or professional ethics from giving them certain information (such as the name of a juvenile offender), simply tell them so.

### *Never provide any information "off the record"*

Any information given to the press during an interview is fair game! It is often possible, however, to persuade the press to delete certain information, especially if the department, and particularly the chief, has developed an "ongoing relationship" with press representatives.

### *Have a "story" on reserve*

On "slow" news days, when the newspaper reporter has several columns to fill and the broadcaster is faced with the most dreaded of all conditions in radio and television—namely "dead air," the probation department which has established an ongoing relationship with the press will start to receive calls from media folks who are "scratching" for a story. It is always wise to have such a "story" in reserve.

### *Avoid Controversy*

The media thrive on controversy and will sometimes seek to create a controversy where one does not exist. In some instances, the controversial issues must be met head-on, but in other cases they can be defused.

### *Avoid Jargon*

In working with the media, do not use professional jargon or multi-syllabic, "\$10 words." For example, a juvenile probation officer in California once described a minor by saying:

"The juvenile suffers from a severe strabismic affliction."

He meant "The kid is cross-eyed."

Another juvenile officer described the nature of a minor's problems by saying:

"He has a severe fixation in the narcissistic phase of his psycho-sexual maturation."

He meant: "He is self-centered."

Sometimes even media professionals use inappropriate

terminology. In his booklet, entitled "Elements of Effective Communication," media consultant Tip Kindel cites the late national sportscaster, Howard Cosell, as an example. Cosell once said:

"Members of an avian species of identical plumage tend to congregate"

He meant: "Birds of a feather flock together".

On another occasion, Cosell stated:

"It is fruitless to attempt to indoctrinate a superannuated canine with innovative maneuvers."

He meant: "You can't teach an old dog new tricks."

The rule is: Use everyday language and never use ten words if you can convey the same information in three.

### Carefully Select Media Vehicles

Sometimes certain public information vehicles are better suited to the occasion than are others. For example, a probation department that wishes to open a day reporting center in a suburb of a large city would be well-advised to concentrate on the small neighborhood newspapers that serve that area. On the other hand, a campaign to recruit volunteers should "blanket" the entire area.

An excellent guide to the various advantages and disadvantages of specific media vehicles may be found in several printed sources.

### Technical Assistance

Those probation departments that already have in place various segments of a public information/ media relations program are often willing to assist other departments. Private media consultants are available in most metropolitan areas. For the most part, these persons are either former reporters who have established a private practice or are current reporters who moonlight as media consultants. Very few of them have any experience in the justice system and virtually none is experienced in juvenile justice.

### Summary

Probation is a major component of the justice system, but its accomplishments often go unnoticed. As a result, the public has comparatively little information about

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probation, due largely to the fact that probation administrators have not implemented any significant public information/media relations program. Further, as a result of the public's ignorance about probation, the departments' budgets often suffer. Adherence to the guidelines outlined in this chapter, abetted by some appropriate technical assistance to "fill in" the details (e.g., how to write a press release, how to make a good television appearance, etc.), will permit probation departments to develop meaningful public education programs.

The importance of an effective public information/media relations program is not new. Some 140 years ago, Abraham Lincoln offered some advice, which remains valid today. He said:

"Public opinion is everything. With public sentiment, nothing can fail; without it, nothing can succeed."

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