DESIGNING AN EVALUATION
FOR THE YOUTH CUSTODY INSTITUTIONS
OF MANITOBA CORRECTIONS

By

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A Practicum Report
Submitted to the Faculty of Graduate Studies
in Partial Fulfillment of the Requirements
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DESIGNING AN EVALUATION FOR THE YOUTH

CUSTODY INSTITUTIONS OF MANITOBA CORRECTIONS

BY

WILLIAM A. SEDO

A practicum submitted to the Faculty of Graduate Studies of the University of Manitoba in partial fulfillment of the requirements of the degree of

MASTER OF SOCIAL WORK

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ABSTRACT

DESIGNING AN EVALUATION
FOR THE YOUTH CUSTODY INSTITUTIONS
OF MANITOBA CORRECTIONS

In 1989, Manitoba Corrections of the Department of Justice introduced a division wide evaluation strategy known as "operational reviews." These were to assess the effectiveness and efficiency of policy and procedures in all provincial correctional settings and assist correctional administrators in policy formulation, planning and decision making.

The practicum's primary objective was to plan for and develop a practical and useful operational review manual and process for the youth custody institutions in Manitoba. This was accomplished by: reviewing relevant literature and government publications, using a framework for planning evaluation research suggested by Tripodi (1983), employing strategies to enhance the utilization of research results and by involving corrections' personnel in the development and implementation of operational reviews.

The planned operational review for the youth custody institutions was evaluated and it was found to have good potential utility. It is recommended that other worthwhile correctional evaluations occur and an "apprenticeship model" to evaluation research be employed by Manitoba Corrections.

ACKNOWLEDGEMENTS

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Finally, this practicum would not have been undertaken or completed by me without the love and support of my family. Thanks to my parents, Lucy and Arnold Sedo for teaching me the value of hard work and dedication. I am eternally indebted to my wife, Suzanne Magne for her love, inspiration and understanding throughout my learning process. She also spent considerable time typing this report and caring for our children in my absence. Thank you.

I would like to express my love and respect for Suzanne and our children, Brendon and Renée and dedicate this practicum to them.

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INTRODUCTION

> Evaluation research is more than the application
> of methods. It is also a political and managerial
> activity, an input into the complex mosaic from
> which policy decisions and allocations emerge for
> the planning, design, implementation and
> continuation of programs to better the human
> condition (Rossi and Freeman, 1985, 27).

In recent years the demand for evaluation research in
Corrections has increased because of pressures external and
internal to the correctional organization. Rising crime
rates, overcrowded correctional institutions, fear for the
public's safety and protection, dwindling resources and the
introduction of new management methods have contributed to a
surge in evaluation activities involving correctional
settings and interventions (Adams, 1975, 3).

Correctional administrators are recognizing the importance
of evaluative research in managing, planning and refining
the correctional subsystem of criminal justice. Evaluation
research can assist them in enhancing accountability within
their organizations and improving the overall efficiency and
effectiveness of correctional programs. For evaluation
research to have a positive impact on correctional
organizations, administrators must have knowledge in the
capability and requirements of objective research, be able
to accurately identify and define their research needs, be
supportive of evaluation activities in their organizations
and appropriately utilize the products of research projects.

In 1989, Manitoba Corrections of the Department of Justice, introduced an evaluation strategy called "operational reviews," which would assess the efficiency and effectiveness of correctional policy and procedures in Adult, Youth and Community Corrections. This initiative involved the development and implementation of an evaluation plan distinct to the particular correctional setting being assessed. Subsequently, an operational review manual and process was required for probation offices, adult prisons and youth custody institutions in the Province.

The primary aim of this practicum is to develop the "operational review" manual and process for the youth custody institutions of Manitoba Corrections. The evaluation design will stress practicality in implementation and the production of relevant and useful information to improve the management and service delivery of such institutions.

The student will also attain the following educational objectives as a result of the practicum. First, general knowledge in planning and conducting evaluation research would increase. Second, practical skills in correctional administration and evaluation would be gained. A greater appreciation of an evaluator's role and functions within a

correctional setting and how evaluation is perceived in Manitoba Corrections would also be obtained.

The practicum report is separated into four sections. The first section is a review of literature pertaining to correctional administration and evaluation research. Definitions and a brief overview of both are provided and the significance of evaluation research to correctional administrators is highlighted.

An introduction to Manitoba Corrections is presented and the methodology of the practicum is described in detail using the process of evaluative research suggested by Tripodi (1983) in the second section of the report.

The utility of operational reviews in youth custody institutions and the student's learning and skill development are evaluated in section three.

The final section of the practicum report will briefly summarize the significant elements of the practicum and suggest ways of further improving operational reviews and evaluation research in Manitoba Corrections.

LITERATURE REVIEW

Several sources of information were reviewed by the student prior to and during the practicum. For convenience, the literature reviewed has been categorized into three major areas including: correction's administration and management; evaluation research specific to correctional settings and general evaluation research theory, methods and techniques. Each category is briefly discussed indicating its relevance to the practicum.

Correction's administration and management

Corrections in Canada is partially the product of its unique history--"one determined and influenced by the geography, political history, governmental arrangements of the country, as well as by economics, religion and philosophical movements (Ekstedt and Griffith, 1988, 15). Numerous reforms relating to the handling and confinement of criminal offenders were pertinent to the evolution of corrections as indicated by Coffey (1975):

> Corrections have not evolved rationally by devising, evaluating and modifying its programs according to their relationship and explicitly defined criteria. Rather the field has developed out of the efforts of humanitarians and on the basis of public reaction to inhumane treatment and prison riots (Coffey, 1975, 7).

Many issues behind these reforms persist to the present such as the debate over punishment versus reformation of the

offender. Current correctional administration, policy and practice continue to be influenced by such issues. Duffee (1980) suggests a scientific model of management be used within correctional organizations to reduce somewhat the jarring of past reform movements and increase the adaptability of corrections. This method involves doing research on the system and directing change based on these research findings (Duffee, 1980,40).

As corrections has evolved so has correctional management. Jayewardene and Jayasuriya (1981) indicate that until recently correctional institutions relied mainly on a type of management labelled "traditional autocracy." The two seminal characteristics of traditional autocracy were the assumed omniscience of the manager and the need for blind loyalty of the staff (Jayewardene and Jayasuriya, 1981, 3). Although this type of management was employed in penal institutions for a long period of time, it is now seen as defective and its propriety has been questioned (Jayewardene and Jayasuriya, 1981, 2). Because of the dissatisfaction with traditional autocracy, corrections has endeavored to apply concepts of private business management in the last decade such as: management by objectives, organizational development, participatory management and more recently total quality management.

According to Duffee (1980) correctional management as a professional specialty has only recently been recognized:

> There were no texts on correctional management until 1975 and there was little awareness of correctional agencies as organizations that needed management until at least 1960. As late as 1969, it was true that most correctional managers had no formal training in management, but had been promoted from within the system (Duffee, 1980, 8).

Criticisms of corrections effectiveness in influencing the behaviour of offenders or more specifically, the quality of correctional organization performance has contributed to the delay in recognition for correctional management. Despite significant developments in recent years, correctional management may still have a long way to go before it approaches the sophistication and rigor with which other organizations routinely manage internal operations and interactions with the external environment (Duffee, 1980, 42).

Correctional organizations are public service organizations and it is suggested they must be operated consistent with principles of public administration rather than private business administration (Archambeault and Archambeault, 1982, 41). The significant differences between public and private organizations are with their fundamental objectives, their ability to demonstrate effectiveness and the particular nature of the work performed. The general goal

of corrections is to provide the best quality and quantity of services to offenders at the lowest possible cost. In comparison, a private business organization's primary goal is to obtain the greatest profit for each dollar invested. Measuring the effectiveness of a correctional organization is complex as it is difficult, if not impossible to accurately measure the dollar amount of benefit to society for each dollar of tax money spent on a correctional program (Archambeault and Archambeault, 1982, 41). In private business, the measures are relatively clear and involve some form of fiscal accounting and figures. A further issue for correctional organizations is the nature of the work performed. Corrections is a human resource organization, its material is people and its product, behaviour. This feature complicates the management of corrections as it must be viewed broadly in terms of how offenders, employees and various organization processes are combined into what is called "the corrections process" (Ekstedt and Griffith, 1988, 158).

Although the terms "management" and "administration" are often used interchangeably there are clear distinctions drawn with regards to breadth of functions, authority and responsibilities (Archambeault and Archambeault, 1982; Ekstedt and Griffith, 1988; Coffey, 1975). The distinctions between administration and management are clearly outlined

by Archambeault and Archambeault (1982) and are illustrated

in Figure 1.

Figure 1

Distinction Between Administration and Management

Administration	Management
A. Concerned with both internal and external organizational issues	A. Concerned primarily with internal organizational issues.
B. Concept includes management.	B. Concept is included in administration.
C. Broad and general scope of authority.	C. Narrow and specific scope of authority.
D. Top administrative personnel are responsible and accountable to some larger organization or political unit of government outside the framework of the organization.	D. Management personnel are responsible and accountable to some unit within the framework of the organization.
E. Politically vulnerable.	E. Less politically vulnerable, except to organizational politics.
F. Time and energy spent primarily dealing with issues and people outside of the formal organization.	F. Time and energy spent primarily supervising personnel within the formal organization.
G. Formulates policy.	G. Implements policy; converts policy to action.
H. Responsible for long-range planning and makes decisions affecting the entire organization.	H. Responsible for day-to-day or short-range planning and most management decisions affect only segments of the organization.
I. Often positions are appointive; personnel subject to frequent transfer or loss of jobs.	I. Most positions are covered by civil service; transfers or loss of jobs less frequent.

(Archambeault and Archambeault, 1982, 49)

For this practicum "correctional administration" is defined as the overall process used both to organize and to manage the delivery system that brings the services of the correctional organization to offenders and the community (Ekstedt and Griffith, 1988, 159). "Correctional management" may be defined as the process of planning, organizing, staffing, directing, supervising, controlling and evaluating the system of service delivery and of accomplishing correctional goals and objectives within the structure of a correctional organization (Archambeault and Archambeault, 1982, 49). From the above definitions, it is evident that management is an element included in correctional administration.

Correctional administrators and managers have numerous, complex and interdependent functions which must be carried out on a daily basis for the organization to operate (Archambeault and Archambeault, 1982, 50). Three of these functions that are particularly relevant to the practicum are briefly discussed and these are: policy formulation and implementation, planning and decision making.

An organization's policy, goals and objectives guide the operations, development and standards of the organization (Archambeault and Archambeault, 1982, 51). If correctional administrators formulate clear policy and monitor its implementation this can result in continuity of programming,

uniformity of operations and efficiency of decisive reaction
(Coffey, 1975, 38). There are several influences that
impact on correctional policy and a growing influence is
research. Ekstedt and Griffith (1988) believe that research
has the potential to enhance correctional decision making,
policy and practice or it might add confusion and complexity
to an already troubled system (Ekstedt and Griffith, 1988,
122).

Planning is an essential activity of any organization and is
the application of present knowledge to anticipation in the
future (Ekstedt and Griffith, 1988, 138). Effective
planning is more likely to occur when administrators are
continuously expanding their knowledge through assessing the
internal processes of their organizations and the external
environment. Ekstedt and Griffith (1988) believe this is
fundamental to a planning process which promotes effective
decision making (Ekstedt and Griffith, 1988, 145).

Correctional administrators and managers are required to
make decisions and the quality of such decisions can affect
their organization's performance. Decision making is
closely intertwined with other management functions such as
policy formulation, planning, budgeting, resource allocation
and more. It is suggested that evaluation research can
assist administrative decision making by generating

information to enable administrators to make rational and informed decisions (Tripodi and Epstein, 1977, 56).

It is apparent that evaluation research in corrections is vital to the correctional administrator's effectiveness in policy formulation, planning, decision making and more. It is a method of quality control by which to ensure that a program operates as it was designed as well as a way to contribute to knowledge (Coffey, 1975, 43).

Understanding the history of Canadian Corrections, the evolution of correctional management, the distinction drawn between administration and management, the functions of correctional administrators and the significance of evaluation research to effective management was required by the student in undertaking the practicum. In addition, pertinent information relative to Manitoba Corrections' history, management and operations was needed and obtained through reviewing government publications and documents.

Evaluation in Corrections

A number of references relating to evaluation research in correctional settings were reviewed to determine the status of evaluation in corrections and to assist the student in beginning to conceptualize the operational reviews for the youth custody institutions.

In a review of correctional evaluations, Stuart (1975) suggests that non-experimental studies comprises 80 to 90 percent of the evaluative studies performed in corrections (Stuart, 1975, 53). The apparent reasons for such a conclusion are that non-experimental evaluations:

1. seem to carry a heavier impact for corrections than experiments and quasi-experiments;
2. can be applied to poorly understood problems in ambiguous contexts;
3. have the capacity to provide decision-makers with information that is well-suited to the tempo of executive decision making during times of rapid change; and,
4. they are quickly executed and are generally inexpensive by comparison to other research options.

(Stuart, 1975, 53; Ekstedt and Griffith, 1988, 149)

Non-experimental studies also have weaknesses as their value is determined by the experience, judgement and objectivity of the researcher; their procedures lack standardization, their reliability is uncertain and their interpretation is sometimes difficult (Stuart, 1975, 53).

A wide variety of research methods are included in non-experimental evaluations, but the most commonly used in corrections are: the case study, the survey, the time series, the cohort analysis and the before-after study.

Quasi-experiments and controlled experiments have been actively employed in corrections over the past couple of decades, but are used relatively little when compared to non-experimental studies. Researchers and administrators sometimes tend to assert that evaluative research should make use of more sophisticated and rigorous research designs. Stuart (1975) does not agree with this assertion and instead believes that the operational impact of non-experimental, quasi-experimental and controlled experiments to corrections over the past several years is far more important.

Two primary concerns of correctional administrators are to operate their organization effectively and to modify their structures and processes according to developments in the correctional field. Quality control or the maintenance of standards is the first priority of a correctional organization when evaluation research is being considered. Such monitoring is a necessary activity of every correctional organization. The concern for improving standards and performance of a correctional organization creates a need for research either in the betterment of old programs or in justification of new programs (Stuart, 1975, 25). Stuart (1975) suggests that correctional research focus on changing the system rather than the offender as the latter has been an elusive goal of corrections.

Several research studies conducted or currently being used in Manitoba Corrections were examined and all were non-experimental evaluations concerned with either quality control or improving the procedures and practices of a particular correctional setting. The studies reviewed included: AYC/MYC Program Evaluations (1989), Working Towards Positive Change in the Young Offender--An Assessment of Education Program (1990), and the Youth Custody Review (1990). Evaluation manuals currently or previously employed in the Division were also reviewed. These were the Adult Correctional Operational Review (1989), the Community Correctional Operational Review (1990) and Probation Services Audit (1984). These provided useful examples of evaluation methods, data collection instruments and data analysis employed by Manitoba Corrections.

The student obtained evaluation manuals for youth custody institutions that are utilized in other provinces. These were the Young Offender Centre Audit Instrument (1988) in Alberta, the Inspection Format--Youth Institutions (1990) in British Columbia and the Operational Review Manual--Young Offender Custody (1991) in Prince-Edward-Island. All were non-experimental evaluations and provided insights to the evaluation efforts of other jurisdictions.

Non-experimental evaluations dominate evaluation activities in correctional organizations such as Manitoba Corrections and to develop the best possible evaluation plan for the youth custody institutions, literature pertaining to evaluation research theory and methods was reviewed.

Evaluation research

Substantive literature and introductory texts on evaluation research theory, methods and techniques were reviewed by the student during the course of the practicum. These were particularly helpful in identifying the purposes for and type of evaluations conducted as well as providing direction in planning for the operational reviews.

The terms evaluation and evaluation research are used interchangeably throughout the practicum report. Simply defined, evaluation research involves the use of social research methodologies to judge and to improve the planning, monitoring, effectiveness and efficiency of human service programs (Rossi and Freeman, 1985, 19).

Evaluations are undertaken for a variety of reasons such as: to judge the worth of ongoing program, to increase the effectiveness of program management and administration; to assess the appropriateness of program changes, to improve the delivery of interventions, to explore new knowledge, to decide whether to curtail or expand programs and for

planning and policy purposes (Department of Justice, Canada, 1986; Rossi and Freeman, 1985; Smith, 1990). If the reasons for the evaluation are to improve or form a program, it is called "formative" and if the reasons are to decide whether a program should be started, continued or ended, the evaluation is "summative." Prior to embarking on any evaluation, it is important to clarify the main reasons for conducting it.

There are many different terms used to describe evaluation activities in organizations, but generally they can be classified into four types: evaluations of need, evaluations of process, evaluations of outcome and evaluations of efficiency (Posavac and Carey, 1980, 11). Evaluations of need are concerned with accumulating and synthesizing information relative to need and are a prerequisite to effective planning of programs. Process evaluations examine effort put into programs and focus on determining if the program is operating as designed or is serving the target population (Posavac and Carey, 1980, 12). The extent to which a program causes changes in the desired direction in a target population is the focus of evaluations of outcome. This type of evaluation implies that there is a set of specified operationally defined goals and criteria for success. A program that achieves some movement or change towards desired objectives is said to have "impact" (Rossi and Freeman, 1985, 43). Efficiency assessments include

studies of the relationship between project costs and outcomes. Cost-benefit and cost-effectiveness analyses are examples of efficiency evaluations.

The literature reviewed on evaluation research provided direction and suggestions relative to planning for and implementing evaluations. Several frameworks for developing an evaluation were provided (Smith, 1990; Rossi and Freeman, 1985; Posavac and Carey, 1980; Tripodi, 1983) and these outlined a step-by-step process for evaluation research that includes:

1. planning for the research;

2. determining available data and instruments;

3. deciding whether to construct original instruments;

4. choosing an appropriate research design; and,

5. planning for data analysis and using the results of evaluation research.

The most significant and useful information found by the student in the evaluation research literature was in the following areas:

1. internal evaluators and evaluations;

2. conducting preevaluations;

3. increasing the utility of research results;

4. participative evaluations;

5. data sources and collection methods;

6. research designs;

7. sampling strategies;

8. implementing pilot evaluations; and

9. data analysis.

The important elements as well as the positive and negative aspects of each of these areas is discussed in detail in the next section "Practicum Design And Methodology."

PRACTICUM DESIGN AND METHODOLOGY

The Context

Prior to outlining the pertinent features and methodology of the practicum, a brief description of Manitoba Corrections and the contextual impetus for operational reviews are provided.

The Manitoba Corrections Division of the Department of Justice is comprised of two Branches-Adult Correctional Services and Community and Youth Correctional Services. The organizational chart of the Department of Justice is attached as Appendix 1. The Adult Corrections Branch is responsible for adult offenders sentenced to a period of incarceration of less than two years and those remanded in custody pending court proceedings or decision on criminal charges. There are seven adult correctional institutions and two satellite rehabilitation camps within this Branch of Corrections. Community and Youth Correctional Services (C&YC) is responsible for community and custodial correctional services for young offenders and adult community correctional services. The administration of the Fine Option/Community Service Order Program is also the responsibility of C&YC. Branch services and programs are provided by two youth custody institutions, thirteen open custody homes, eleven community correctional offices and fifteen sub-offices.

The youth custody institutions in Manitoba are the Manitoba Youth Centre (MYC) and the Agassiz Youth Centre (AYC). MYC is located in Winnipeg, has a resident capacity of 150 young offenders and has been in operation since 1973. AYC is situated in Portage La Prairie, has a rated capacity of 80 residents and is the former Manitoba Industrial School. Open and secure custody dispositions are administered in both with the Manitoba Youth Centre also operating as a remand custody facility.

Since 1989, a variety of research studies involving youth custody services and programs have been undertaken. A broad but general assessment of the physical plant, staff and programs of each youth institution was provided in the study "AYC and MYC Program Evaluations (Agee, 1989)." One of the pertinent findings was that the youth institutions had "no built-in research or program evaluation... so there is no way of assessing if they are achieving what they intend to achieve (Agee, 1989, 5)."

Another evaluation, "Working Towards Positive Change In The Young Offender-An Assessment Of The Educational Programs in AYC and MYC" (Wieler, 1990), focused specifically on evaluating and improving educational programs within the youth institutions.

An expansive study "The Youth Custody Review" (Manitoba Justice, 1990) commenced in 1989. The objectives of the study were: to develop a rationale for using designated youth custody facilities, to outline a long term strategy for youth custody programs and to review the allocation of youth custody resources in the Province (Manitoba Justice, 1990, 1). After 18 months of research, the study resulted in clear definitions of custody types; principles to guide policy, procedures and practices; specific objectives integral to youth custody operations and programs and the identification of issues requiring ongoing attention. Implementation of the recommendations of the Youth Custody Review commenced in the fall 1990.

Complimenting this flurry of evaluation activity in youth custody facilities, the Assistant Deputy Minister of Corrections in 1989, introduced a province-wide evaluation strategy for correctional settings termed "operational reviews." A memorandum from the Assistant Deputy Minister indicated that operational reviews were "to assess the effectiveness and efficiency of Adult, Youth and Community Corrections" primarily "to improve standards, policies and procedures." This was to be accomplished by:

1. identifying problem areas;

2. recommending courses of corrective action;

3. asisting with the implementation of the recommended changes;

4. avoiding future problems of a similar nature; and

5. providing developmental training for managers.

Operational reviews were to focus on each of the correctional branches' efforts with respect to policy and procedural development and implementation. The main goal . was to improve correctional policy and procedures by determining if these were being implemented as intended and by identifying policy and procedural gaps and problem areas. Other potential benefits of conducting operational reviews in Corrections were to enhance the quality of services to offenders and the accountability of correctional managers and staff.

Guidelines and parameters for developing operational reviews in the Correction Division were outlined by the Assistant Deputy Minister-Corrections. These concerned the following areas: resources, operational review team composition, frequency of reviews and development of evaluation formats and process.

The Directors of each Branch of Corrections were delegated the responsibility of allocating resources to develop and implement operational reviews within their respective organizations. They were also required to appoint committees to produce an evaluation format and process applicable to their correctional institutions and offices.

Review teams were to be established to conduct the operational reviews and would be composed of experienced managers and correctional staff from either Branch. Operational reviews of a correctional unit were to occur once every two year period or more frequently, if considered necessary.

An operational review format and process was promptly developed for adult correctional institutions and community corrections offices. Evaluations in these correctional settings commenced in early 1990 and continue on a cyclical basis.

Initially, the operational review process for adult correctional institutions was to be used in the Manitoba and Agassiz Youth Centres. The Directors of Community and Youth Corrections considered this option, but decided that a separate format for youth custody institutions was required to address the distinctive aspects of the youth centres and to meet informational needs of the Branch.

Objectives

The main objective of the practicum is to plan for and develop the "operational reviews" for the youth custody institutions. Branch and institutional staff involvement in this process would be encouraged and may assist in

developing a relevant, practical and useful evaluation package.

A second objective of the practicum is to expand the student's knowledge and skills in correctional administration and planning for evaluation research. This would be accomplished through reviewing appropriate literature and demonstrating the use of theory, frameworks and processes throughout the practicum report. Once the planned operational review is finalized, the student's learning is assessed through self-evaluation.

Developing an operational review manual and process which would have good utility in the youth custody institutions and Branch was another desired outcome of the practicum. Several strategies will be employed to increase the potential usefulness of the operational review and its utility is evaluated later in the practicum report.

Methodology

The process for evaluative research suggested by Tripodi, (1983) was modified and used as a methodological framework for developing the operational review manual for youth custody institutions. The framework consists of five steps which are interrelated, but not necessary sequential. The steps are:

1. planning for the research;

2. determining available data and instruments;

3. deciding whether to construct original instruments;

4. choosing an appropriate research design; and

5. planning for data analysis and using the results of
   evaluative research.

Before proceeding to the first step of the evaluation
process, the benefits of establishing an advisory committee
and involving institutional managers and staff in developing
and conducting operational reviews are discussed.

The involvement of correctional managers and staff in
planning for, developing and implementing operational
reviews in the youth custody institutions was sought and
encouraged by the student. It is noted that the student was
an employee of Community and Youth Correctional Services
prior to and during the practicum. The student's
familiarity with Branch operations, management and
correctional staff greatly assisted in approaching and
involving managers and staff in planning for the operational
review.

At commencement of the practicum, an advisory committee was
formed with a mandate to assist the student in designing and
refining the operational review format and process.
Managers and staff interested in the project were asked to
volunteer their time and a total of six committee members

were recruited. Two supervisory staff from the Manitoba Youth Centre, two supervisors from the Agassiz Youth Centre, the Coordinator of Youth Custody and the student comprised the committee.

The correctional staff participating on the advisory committee were appropriate as they were knowledgeable, experienced and credible correctional employees. They also represented both youth custody institutions in the province and the Community and Youth Corrections Branch and, therefore, could offer important perspectives and suggestions respecting the development and implementation of the operational reviews.

The Executive Director of Community and Youth Corrections appointed the student to act as the chairperson of the advisory committee with the primary responsibility of leading the committee towards accomplishing its mandate. In this capacity, the student was to organize and chair meetings, document minutes and decisions made, offer information and alternatives regarding evaluation methods and to coordinate the overall production of the operational review.

Tasks and responsibilities of the advisory committee were clarified at initial meetings. These included: explaining to staff the purposes of operational reviews, providing

input into evaluation design and process, reviewing evaluation drafts and materials, developing a plan for utilization of the research results, participating in pilot operational reviews and ensuring the review process could be applied in both youth custody institutions. Committee members had first hand working knowledge of the institutions including their distinct features, procedures and practices. This pertinent information was easily elicited during committee meetings and used to develop a practical and relevant evaluation for the youth institutions.

Correctional managers and staff were expected to conduct the operational reviews once developed. Reviews then are consistent with the definition of internal evaluation.

> "Internal evaluation is the process of using staff members who have the responsibility of evaluating programs or problems of direct relevance to an organization's managers." (Love, 1991, 2)

Love (1991) adds that internal evaluation is similar to evaluative research as it uses social research methods to improve the planning, monitoring and assessing of programs and agencies. The main difference is that internal evaluation focuses on management and policy issues rather than on evaluative research alone (Love, 1991, 4).

There are several advantages to using staff members in conducting operational reviews in the institutions. They potentially are more:

1. familiar with institutional management, operations, policy and procedures;

2. able to establish positive working relationships with staff and clients;

3. interested in improving services to offenders;

4. aware of effective communication channels;

5. realistic about the expectations and uses of research;

6. inexpensive as compared to external evaluators;

7. instrumental in encouraging the use of evaluation results; and,

8. they could reduce anxiety associated with evaluation.

There also are possible negative aspects to using internal evaluators. They may:

1. be less objective than external evaluators;

2. have insufficient knowledge and skills in research;

3. be inclined to overlook negative findings or problems;

4. lack credibility with staff in the institution; and,

5. may have limited time for evaluation due to other work requirements.

Other means of involving stakeholders in the development and implementation of operational reviews include: circulating draft proposals of review formats and process, interacting

verbally and in writing, requesting feedback and suggestions, providing project updates and disseminating research products. The student believed there were several advantages to involving correctional personnel in evaluation activities such as: increasing information use, keeping costs down, expanding the evaluation knowledge base in the Branch, enhancing communication, advocating evaluation processes and facilitating improvements in correctional programs and services (Dawson and D'Amico, 1985, 180).

Planning For The Research

Before any typical evaluation effort is embarked upon, it is suggested that an evaluator conduct a "preevaluation" to promote a favourable climate for future evaluation work and to acquire intimate acquaintance with an agency or program (Rossi and Freeman, 1985, 87). The preevaluation might also reduce resistance to the evaluation, increase the utility of the products of research and assist the committee in choosing an appropriate research design.

The following activities comprised a preevaluation conducted by the advisory committee and organized the planning for the operational review. The committee:

1. identified key stakeholders;

2. clarified the focus and purpose of the evaluation;

3. selected variables for research;

4. determined available resources and time;

5. assessed the institution's capacity to evaluate;

6. determined the potential for using evaluation results;

7. decided whether or not to evaluate; and,

8. achieved agreement to proceed with the evaluation.

(Rossi and Freeman, 1985; Posavac and Carey, 1980)

Stakeholders

An important initial step in planning for the research is to
identify key stakeholders who have a serious interest in the
evaluation and may potentially be affected by it. Involving
these key stakeholders in planning for the evaluation is
recommended as they assume ownership of the project and
provide maximum support during data collection (Posavac and
Carey, 1980, 27). The key stakeholders of operational
reviews are: the Assistant Deputy Minister-Corrections,
Directors of Community and Youth Corrections, the
Coordinator of Youth Custody and Superintendents of the
youth custody institutions. Other stakeholders are
supervisors, coordinators and line staff in the youth
centres.

Purpose of evaluation

The next step in planning for the research involved
clarifying the purpose or focus of the evaluation. To
accomplish this the committee arranged preliminary meetings
with relevant people to gather information on the following
questions: Who wants the evaluation? What type of

evaluation is desired? Why is it wanted? and When should the evaluation occur?

The Assistant Deputy Minister and Branch Directors decided that operational reviews be initiated throughout Corrections and outlined basic features for inclusion in the reviews. The Superintendents and staff of the youth custody institutions were not involved in the decision to evaluate. Subsequently, it was important for them to become familiar and comfortable with operational reviews. Otherwise, the advisory committee might encounter resistance or outright opposition to the operational reviews.

Although the type of evaluation was not specified by senior management, it was expected to be comprehensive and aimed at improving correctional policy and procedures. The role of the student at this point was to acquaint senior management with basic concepts and purposes of evaluative research. As well, it was important to assist them in choosing the type of evaluation which would best meet their needs and resources.

The primary purposes of operational reviews were to improve correctional policy, procedures and standards and to assist management in making decisions and identifying problem areas relative to policy and procedures. Ancillary objectives

were to enhance accountability within Corrections and service delivery to offenders and the public in Manitoba.

The Assistant Deputy Minister directed that all operational reviews in Corrections be completed by September, 1992. This timeline for developing and implementing operational reviews is significant as the scope of an evaluation project can be limited by deadlines and may force the evaluator to make choices that are less than ideal (Posavac and Carey, 1980, 31). In this student's opinion the three years allocated by senior management to develop and implement operational reviews throughout the Division was adequate.

Through preliminary meetings with key people in Corrections, the purpose and focus of operational reviews was clarified. Directors, Superintendents and other staff of the Community and Youth Corrections Branch were consulted and specified objectives for the youth custody institution operational reviews which would address the Division's goal and meet their particular informational needs. These objectives included:

1. assessing and identifying management and operational issues relative to youth custody policy, procedures and practice;

2. determining overall staff compliance with existing policy and procedures;

3. providing youth custody institutions with constructive feedback to enhance program planning, development and delivery, and;

4. identifying developmental training areas for institutional managers and staff.

Community and Youth Corrections viewed operational reviews as emphasizing the process of using correctional managers and staff to systematically assess the performance of youth custody institutions against established policy and procedures. The anticipated results of such an evaluation are: effective correctional management, planning and decision making, enhanced policy and procedures, accountability and quality services to young offenders in Manitoba.

The type of evaluation desired by Corrections was formative in nature as modifications and improvements to policy and procedures were the primary concern. Formative evaluation is defined as the systematic use of empirical procedures for appraisal and analysis of programs as a way of providing ongoing information to influence decision making and action on policy, resource allocation and program operations (McClintock, 1984, 77). A partial list of formative evaluations would include: program monitoring, management reviews, program and service audits, quality assurance reviews and process studies. Instead of isolating

operational reviews to one specific model of formative
evaluation, it was anticipated that elements of various
types would be incorporated in the research project.

Variables

Selecting variables for the operational reviews of youth
custody institutions was the next step in planning for the
research. The policy and procedures of the institutions
were seen as relevant measures for the reviews. The student
assumed that selecting variables would be relatively simple
as the institutional policy and procedures would be used as
the baseline to assess performance. This was not the case
though as issues arose which complicated the selection of
variables.

Following the review of institutional procedures manuals and
interviews with the Custody Management Team of Community and
Youth Corrections, a few concerns became evident that
impacted on the selection of variables for the operational
review. First, policy and procedural development and
implementation was largely the responsibility of the
individual youth institution. Each institution had its own
procedures manual and these varied in common areas such as
admission, security and discharge. In other areas,
procedures were consistent as they were established for
provincial application. These included procedures involving
discipline, record keeping, resident property and temporary

release. Further complicating the above, each institution administered two or three types of custody and some procedures were specific to custody type.

A second area of concern was the large number of policy and procedures directing youth custody institutional operations. A narrowing of policy and procedures for inclusion in the operational review was necessary to ease the management and implementation of the evaluations. It was important for the committee to select those measures which were most reliable and valid. A measure is reliable to the extent that in a given situation it produces the same results repeatedly and valid to the extent that it measures what it is intended to measure (Rossi and Freeman, 1985, 199).

In preliminary meetings with the Custody Management Team it was identified that a uniform operational review format be developed to assess all custody levels within an institution. This made the committee's task of organizing and selecting variables even more difficult.

The Custody Management Team's input to specifying policy and procedures for the operational review was elicited by the committee. They indicated that policy and procedures relating to the following areas be included:
1. admission and discharge;
2. case management;

3. disciplinary measures;

4. temporary release;

5. medical services;

6. young offender records;

7. security;

8. resident routines;

9. contingency plans;

10. staff training and development;

11. volunteers; and,

12. administrative duties.

The student and the advisory committee would examine policy
and procedures from the Agassiz and Manitoba Youth Centres
specific to these areas and would explicate the most
reliable and valid measures.

Other components to be explored in the operational review as
suggested by the management team were:

1. knowledge and implementation of Correction's Mission and
    Mandate;

2. program development and delivery; and

3. policy and procedural issues.

Resources

The Community and Youth Corrections Branch was responsible
for making resources available for the development and
implementation of the operational reviews in the youth

centres. As this was an internal evaluation the costs involved were limited to expenses such as hotel accommodations, travel and meals for the operational review teams.

Capacity for evaluation

A subsequent step in the preevaluation process was to assess the organization's capacity and receptiveness for the operational reviews. The Department of Justice and Attorney General in Canada (1986) in "An Evaluation Resource Book For Public Legal Education And Information Organizations" suggests that each type of evaluation requires a different degree of readiness, commitment and organizational capacity (Department of Justice, 1986, 13). A checklist to ascertain organizational capacity to evaluate was provided in the text and is illustrated below in Figure 2. The committee completed the checklist and it indicated that the Branch may have the capacity to conduct internal monitoring such as operational reviews.

The student and committee saw Branch personnel as being generally receptive to operational reviews although some skepticism and negativity was witnessed at the supervisory and line staff levels in the institutions. To increase confidence in the operational review, issues raised at meetings with managers and staff were thoroughly discussed and suggestions for addressing concerns welcomed.

Figure 2

ASSESSING AN ORGANIZATION'S CAPACITY TO EVALUATE

Consider the following questions and check the appropriate answers	Substantial or to a great degree	Some	Very Little	None
a) How would you describe the financial resources available for this evaluation?			✓	
b) To what degree do you have information on who is interested in this evaluation and why?		✓		
c) Will the evaluation provide practical information for the functioning of your program?		✓		
d) To what degree is this evaluation important or essential for the continuation of your program?				✓
e) To what degree does your organization keep basic client, outreach, etc. records?		✓		
f) To what degree can key staff assist with the evaluation process?		✓		
g) To what degree do key staff possess specific evaluation skills? (e.g. in questionnaire design, observation, etc.)				✓
TYPE OF EVALUATION FOR WHICH YOUR ORGANIZATION MAY HAVE THE CAPACITY	Large scale program evaluation	Needs assessment	Internal monitoring or review of program component	Reassess your need to do evaluation
	Impact study	Evaluation of program component	General feedback	
		Feasibility study	Think-tank sessions	

(Department of Justice, 1986, 14)

Utilizing research results

It is suggested that evaluation research should not be conducted if its results cannot be utilized (Tripodi, 1983, 14). Subsequently, the committee needed to determine the potential for using the results of operational reviews and be conscious of enhancing utility early in the development of the evaluation. It was determined there was good potential to use evaluation results as the reviews focused on areas identified by the Custody Management Team as high priority and relevant to institutional operations. The objectives of the operational reviews also stressed the production of useful information and a solid linking of research to planning and development. Furthermore, in preliminary meetings with key personnel, they demonstrated commitment and interest in using research results by suggesting a system to follow through on recommendations of the reviews be developed by the advisory committee.

Deciding to evaluate

The next step in planning for the research is deciding whether or not an evaluation should be conducted. It is appropriate to delay or not proceed with an evaluation in situations where: a program lacks clarity and specificity, there is minimal support for the evaluation, the evaluation's focus and objectives are unrealistic, resources are inadequate or the research results cannot be utilized (Tripodi, 1983; Posavac and Carey, 1980). Considering the

above, there was no reason to delay or omit operational reviews of the youth institutions.

The student and committee's decision whether or not to proceed with operational reviews was not a difficult one. The evaluation was mandatory and prescribed by senior management of Corrections. Despite this, there was considerable flexibility in choosing the type of research procedures to be employed in operational reviews of the youth institutions.

Agreement to proceed

Reviewing the evaluation plan with the key stakeholders and reaching formal agreement to proceed with operational reviews was the final activity in planning for the research. The contents of the agreement were negotiated between the key consumers of the reviews and the committee and would clearly specify the mutual obligations and responsibilities of Branch personnel and the evaluator (Tripodi, 1983, 12). An agreement titled "Youth Custody Institution Operational Review-Terms of Reference" was produced and is attached as Appendix 2. The following agreed upon points were defined in the document:

1. purpose and objectives of operational reviews;
2. institutional components to be examined;
3. scope of the review;
4. data sources;

5. establishment and responsibilities of advisory committee;

6. expected completion dates;

7. frequency and duration of reviews;

8. composition of operational review teams;

9. strategy to utilize research results;

10. anticipated cooperation of institutional managers and staff in reviews;

11. confidentiality; and,

12. responsibility for expenses incurred during operational reviews.

The agreement was signed by the Superintendents of the Manitoba Youth Centre and the Agassiz Youth Centre, the Executive Director-Community and Youth Corrections, and the student who was appointed to act as the Operational Review Team Manager.

The student viewed the "Terms of Reference" as more than an agreement to proceed with operational reviews. It also would be broadly circulated to institutional supervisors and staff, thereby introducing them to operational reviews. Posavac and Carey (1980) suggest this could be of some benefit as:

"It is psychologically important for the program personnel to fully understand the evaluation process, feel comfortable with it and, if possible, be enthusiastic about it." (Posavac and Carey, 1980, 40)

Data Sources and Instruments

The next task of the committee was to determine what sources of data and instruments were available and applicable for use in the operational reviews. In essence, a plan for data collection needed to be developed.

Data sources

Data used to evaluate a program or institution may be separated into primary or secondary sources. Primary data are gathered by the evaluator during the conduct of the evaluation, but secondary data are already available (Tripodi, 1983, 50). Both primary and secondary data sources were identified and available for the reviews. The primary sources were direct observation by review team members, data from institutional managers, supervisors and staff, and information from collateral agency personnel, young offenders and parents of youth in custody. Service records of the institutions were the secondary data sources and these included the young offender files, operational logs, incident reports and staff personnel and volunteer files.

No single type of data is automatically superior than another. Similarly, there is no single "best way" to collect data. Choosing the most appropriate sources of data to be utilized in an evaluation depends on the cost of obtaining the data, the type of decision to be made on the basis of the evaluation, the size of the program and the time available to conduct the evaluation (Posavac and Carey, 1980, 53). These factors were considered when determining data sources for operational reviews.

Costs for obtaining data would be minimal as substantial service records and relevant people to interview were available in the institutions. The type of decision to be made on the basis of the reviews concerned improving institutional policy, procedures and practices. Thus, a number of data sources would be used to improve the reliability and accuracy of findings. The large size and complexity of institutional operations and procedures required a narrowing of components for inclusion in reviews and the need for developing a sampling strategy. A three or four day period was alloted to complete the operational review within an institution. Conducting the operational reviews in a manner which had minimal disruptions on the daily functioning of the institution was the main reason for choosing a short period to complete the review.

Regardless of the factors mentioned above, the advisory committee decided to employ multiple measures using more than one source of data. The data for the operational review would be obtained from several sources including: institutional documents, statistics and reports; resident files and operational logs; interviews with institutional managers and staff, collateral agency personnel, resident of the youth centres and their parents/guardians; and observations of physical and operational aspects of the institutions.

Data collection

There are a variety of ways to collect data and each method has its advantages and disadvantages which must be considered prior to selection. The methods for data collection should coincide with the type of data sources being used in operational reviews. Primary methods are used for primary data sources and involve personal interviews and questionnaires, or the direct observation of the program. Data from institutional service records would be collected through secondary methods such as the examination of written documents and records.

Primary methods of data collection are called primary because they directly observe the program or collect original data by interviewing or testing people who have direct contact with the program such as the staff, clients

and administrators (Smith, 1990, 77). Using primary methods permits the evaluator more control over the data collection process which involves the construction of questionnaires, training of interviewers and assuring the quality of data collected.

Frequently used primary methods in gathering data are interviews, questionnaires and direct observations. The positive and negative aspects of each were explored. (Rossi and Freeman, 1985; Smith, 1990; Department of Justice, 1986)

Personal interviews are the most flexible form of data collection and requires interviewers to ask questions orally and record the respondent's answers (Babbie, 1986, 225). Interviews are typically face-to-face encounters that can occur with an individual or group. Group interviews are particularly helpful in understanding group interaction and dynamics. It is also more efficient and economical than one-to-one interviews.

The positive aspects of conducting interviews to collect data are they personalize the process, permit in-depth and free responses and attain high response rates. As well, interviews are flexible and adaptable and allow the interviewer to observe as well as ask questions. On the other hand, interviews are expensive and time consuming,

open to manipulation by the interviewer and vulnerable to
personality conflicts. They also require trained and
skilled interviewers and may intimidate respondents.

A questionnaire is "a document containing questions and
other types of items designed to solicit information
appropriate to analysis" (Babbie, 1986, 558). These are
either mailed or handed to respondents for completion.
Questionnaires are the most commonly used survey method and
often the most sterile and misleading unless their
disadvantages are offset (Brown and Braskamp, 1980, 130).

Careful attention to clarity and simplicity must be a part
of constructing a questionnaire. Providing this occurs,
questionnaires are inexpensive, wide ranging, self-
administered and can be made anonymous. The disadvantages
of questionnaires are they commonly have low response rates
and there is no assurance that the person selected to
respond actually understood and answered the questions.

Observations are data based on visual or auditory sensory
impressions (Tripodi, 1983, 79). This primary method of
data collection can be structured or unstructured. It also
can accommodate an observer's participation or non-
participation with the objects of observation.

Observational methods are useful in improving the reliability of measures in interviews and questionnaires. When behavior is the phenomenon of research, systematic observations can also provide valid and vivid information. Negative aspects of direct observation are they are expensive, they may impact the behavior of those being observed and they are prone to reflect the biases of the observer. It is suggested that direct observation be combined with other data gathering approaches as it is difficult to accomplish with a high degree of reliability and subject to the limitations mentioned above (Rossi and Freeman, 1985, 172).

The pros and cons of using secondary data collection methods were also considered. Agency documents and service records are excellent sources of potential data (Tripodi, 1983, 51) and quite appealing to use. The researcher simply constructs questions, consults the records and determines what has happened. The advantages of using secondary methods for data collection are they are inexpensive and records are non reactive. If records are accurate and up-to-date, they also provide an excellent baseline for comparisons.

There are several possible problems in examining agency documents and records. They are often incomplete, inaccurate, misleading and factual in nature. The purpose

of records are often unrelated to those of the evaluation
and rules for record keeping frequently change making valid
comparisons difficult. Because of issues in the reliability
and quality of secondary sources a good rule of thumb is to
use these sources as one minor method for assessing program
components or success (Smith, 1990, 81).

Once the possible data sources for the operational reviews
were identified and the advantages and disadvantages of
different methods for data collection were considered, the
advisory committee decided to select interviews, direct
observation and the examination of agency records and
documents for the reviews. Interviews would be the primary
means for data collection as they would provide in-depth
information and personalize the operational reviews.
Observations would be used sparingly to supplement data
obtained through interviews. Administrative processes,
procedures and systems as well as security measures employed
in the institution would be observed. Finally, agency
service records and documents would be examined as they are
plentiful, easily accessed and relevant to determining if
policy and procedures are being implemented as intended.

Instruments for data collection

The next phase in the evaluative process is determining if
there are any instruments available for use in the youth
custody institution operational review. Instruments are

devices by which responses or observations are registered and recorded (Tripodi, 1983, 60) and they may appear in several forms such as questionnaires, interview schedules, observation forms, rating scales and more. It would be more efficient to use existing instruments if available then to exert time and effort into constructing original instruments for collecting reliable and valid data.

A thorough search of correctional and evaluative research literature failed to produce any instruments that were applicable for direct use in the operational reviews. Other jurisdictions in Canada were contacted to determine if an evaluation format and process for their youth institutions existed. Evaluation manuals were obtained from Alberta Correctional Services Division, British Columbia Corrections and Prince Edward Island Community and Correctional Services. These provided useful examples of evaluations similar in nature to operational reviews, but required extensive modifications for use in Manitoba. Operational review manuals for adult correctional institutions and probation offices in the Province were examined, but again neither were applicable for direct use within the youth institutions. Although no instruments were available for the operational reviews, several practical formats and suggestions for constructing instruments were obtained.

Constructing Original Instruments

The advisory committee decided to construct original instruments for the operational reviews as no appropriate ones existed for direct use. Essentially, instruments for collecting data through interviews, observations and the service records of the institutions, needed to be developed.

Epstein and Tripodi (1977), suggest a series of successive steps to keep in mind when constructing questionnaires. These steps provide a practical guide to designing any instrument for data collection and warrant consideration of:

1. the purpose of the instrument;
2. the information to be gathered;
3. the format of the instrument;
4. writing the questions or activities for observation;
5. pretesting the instrument; and
6. administering the instrument.

The advisory committee considered the above factors when constructing the data collection instruments for the operational review.

Interviews

The advisory committee identified four categories of individuals to be interviewed in the operational reviews. These were: the Superintendents and supervisors of the institution; the youth custody staff; residents of the youth

centres and collateral persons. Each grouping required the development of an instrument.

The primary purpose of interviews in evaluative research is to seek information (Tripodi 1983, 74). The interviews for operational reviews were viewed as having two main objectives. First, they were to be exploratory and geared to defining issues, problems and needs. Second, they were to determine if certain correctional policy and procedures were known and implemented as intended by correctional managers and staff.

The kind of information to be gathered varied with the population being interviewed. For instance, the Superintendents and supervisors of the youth institutions were questioned on broad areas specific to the Mission and Mandate of Corrections, policy and procedural development, contingency plans, program development and implementation and staff training and supervision. Interviews with youth custody staff emphasized obtaining information on their knowledge and practices of implementing institutional procedures. Residents of the youth centres were interviewed to elicit information on procedures that involved the care; services and treatment they received in the institution. Finally, interviews with collateral persons (which includes parents and guardians of residents) focused on gathering information on type and frequency of contacts, knowledge of

correctional programs and services, concerns and suggested improvements. The above informational areas for interviews were deemed by the committee to be the most important and potentially useful.

A consistent format for interviews was developed by the committee and an example is attached as Appendix 3. The format identifies the informational areas, highlights probing questions to be covered in each area and provides a comments section to record responses. The interview format used in operational reviews of Community Corrections offices was referenced to maintain some consistency in Branch operational review manuals and efforts.

Semi-structured interviews would be employed in operational reviews. This type of interview includes specific topics, but there is a combination of open-ended and close-ended questions (Tripodi, 1983, 71). The committee thought that some standardization was necessary and that semi-structured interviews were best suited to generate ideas instead of quantitative data. Obtaining indepth and pertinent information in the shortest possible time was another reason for using this form of interview.

Open-ended questions have a number of positive features which were considered by the advisory committee. They are particularly useful in situations such as: obtaining

information that is specific and unique to the respondent,
when answers are difficult to predict and when the intent is
explorative. The negative aspects of open-ended questions
are that they are time consuming and produce data that is
difficult to analyze.

Most questions in the interview schedules were open-ended.
Some closed-ended questions were also used and responses
expected were either "yes" or "no." This type of question
was to lead the respondent into the open-ended questions
rather than extracting any significant or quantitative
information.

In developing the structure for interviews, the advisory
committee paid particular attention to placing questions in
some sequential and logical order (Epstein and Tripodi,
1977, 14). It was anticipated that interviews and
respondents would be able to follow the flow of the
questions instead of feeling that questions were randomly
being asked.

When writing the questions for the interview instruments,
the advisory committee followed a few basic rules. First,
questions should be clear and unambiguous so that
respondents know exactly what the researcher wants an answer
to (Babbie, 1986, 128). Second, questions should be
sensitive to the respondent's ability to understand and

answer the questions reliably. Avoiding biased questions that encourage respondents to answer in a positive or negative way was the final rule. To ensure that questions used were clear, understandable and unbiased, a pretest of the interview instruments was planned.

Once all instruments for the operational review were completed, the advisory committee planned to conduct "pilot operational reviews" to pretest the interview schedules and other original instruments. The reasons for pretesting the interview schedules are to clarify ambiguous questions, eliminate unnecessary or biased questions and in general to determine the feasibility of the schedule (Epstein and Tripodi, 1977, 14). Objectives and details of the pilot operational reviews will be discussed later in the report.

When the interview schedules were ready for use in operational reviews, the advisory committee considered ways to effectively administer them by minimizing interview error. Interview error is the result of invalid, inaccurate responses and may be due to predisposition of the respondent or the interviewer, the interview schedule and procedures and interactions between the respondent and interviewer (Tripodi, 1983, 73).

A number of strategies to reduce interview error were established by the advisory committee. First, an

orientation session for interviewers would be held prior to operational reviews occurring to acquaint them with the purposes of interviews and the procedures to be followed in the actual operational review. A set of general guidelines for conducting interviews are outlined in the "Instructions Section" of the operational review manual which is attached as Appendix 4. Second, during this orientation interviewers would be instructed on the important ingredients of proper interviewing. Areas covered include: introducing respondents to operational reviews, assurances of confidentiality, conveying importance of the interview, maintaining a neutral posture and transmission of sincerity and respect. The operational review team manager was responsible for spot-checking completed interview forms to assess their completeness and identify possible inconsistencies. A final strategy for reducing response errors involved the pretesting of interview schedules with a sample of respondents. If problem areas are evident through pretesting, the interview schedules would be revised.

Observations

As mentioned earlier, observations were expected to be used sparingly in operational reviews. Observations would have two primary focuses: the behaviour of institutional personnel and residents and physical attributes of administration and security in the institutions.

The main reasons for developing an observational instrument to be used in the operational reviews was to supplement data obtained through other sources and to observe administrative systems and security measures of the institution in operation. Through observations, information would be obtained on administrative filing systems, the handling of confidential information, the registering of residents, the storage of resident files, staff safety, security measures, the institutions's physical plant, use of procedures manuals and more. Observers were expected to interact with institutional staff being observed. Interactions with those being observed would assumedly improve the accuracy or clarity of observations.

The format for the observation instrument was unstructured as no precoded system of classifying the observations was developed. Instead, reviewers were to record observations in narrative form. Narrative accounts are written impressions of what is observed and they serve primarily as a qualitative description and a source of ideas for hypotheses about the needs and problems of institutional policy and procedures (Tripodi 1983, 80). The format of the observation instrument was consistent with the one used for interview schedules. It identifies processes, activities or behaviour to be observed and provides a comments section to record observations.

A plan to pretest the observation instrument is captured in the overall strategy of piloting the operational review once the instrumentation for data collection is complete.

Service records

Service records are abundant in the youth custody institutions and a good potential source of relevant data to operational reviews. The committee identified resident files and operational logs as being the most significant service records to examine. An instrument to collect essential information from these sources was, therefore, constructed.

Determining institutional staff's compliance with current policy and procedures was the primary purpose of surveying the service records. Examining the records might also identify unrealistic or outdated procedures or innovative forms and practices employed in the institutions.

Information relative to policy and procedural compliance in certain areas identified through consultations with the Custody Management Team and in reviewing procedures manuals of both institutions, would be gathered. Information was desired in the following procedural areas: admission and discharge, case management, disciplinary measures, temporary release, medical services, resident records, security, resident routines and more.

The proposed format for this instrument is attached as Appendix 5 and is a modified version of the one used for service records in the Community Corrections operational review manual. It identifies the procedure for review, has a summated rating scale of non-applicable, compliance and non-compliance and a comments section to record the reasons for rating of non-applicable to non-compliance. The rating scale and format was developed to function as a structured response system that would ease data quantification.

The dimensions to be rated in this instrument were institutional policy and procedures which were extracted from procedural manuals. Prior to including procedures in the instrument, the advisory committee had to determine if a particular procedure could be rated based on service records. If not, the procedures were excluded. Pretesting the instrument during pilot operational reviews would assist in weaning out dimensions that are difficult to rate based solely on service records.

A comprehensive "Instructions Section" was developed for the operational review manual and guidelines to administer this instrument efficiently were provided. In addition, while orienting evaluators to conduct operational reviews, they would be carefully instructed on what information should be considered or ignored and what time periods should be

covered when rating procedures. As a number of reviewers would be used in operational reviews, spot-checks of ratings would be done to improve consistency and inter-rater reliability.

Document analysis

Another method of gathering information for operational reviews was reviewing and analyzing program documents specific to each youth institution. Document analysis is helpful in providing information about the background, purpose, goals, structure, management and conflicts of an organization. Program documents reviewed initially when planning for operational reviews might be reexamined or new documents reviewed. These new documents might include; organizational charts, program descriptions, statistical or workload reports, minutes of committee meetings and staff lists or assignments.

The advisory committee visualized document analysis as a complimentary method for gathering information to supplement interviews, observations and service records. The advantages and disadvantages of this method are similar to those for service records. Documents are usually accessible, credible and inexpensive to analyze. On the other hand, documents might be misleading, biased or quickly outdated.

Designing the manual

Once drafts of the instruments for data collection were completed, the advisory committee focused on organizing the operational review manual. A "Table of Contents" for the manual was developed and separated the manual into five sections (attached as Appendix 4):

1) Section I - Instructions

2) Section II - Program Documents

3) Section III - Resident Files

4) Section IV - Interviews

5) Section V - Administrative and Physical Inspection

The first section of the manual included an introduction to and instructions for implementing the youth custody institution operational review. The "Introduction" provided information on the background, objectives, design, review team composition, scope and frequency of operational reviews. It also, briefly outlined the processes for orientation of the review team, compiling a summary report and follow-up to operational reviews.

Instructions for implementing operational reviews were directed towards institutional liaison persons, the review team, the team manager and preparation of the summary report.

Prior to operational reviews occurring at a youth institution, two or three staff would be appointed as liaisons to assist the review team in the preparation for and completion of the operational review. Instructions were developed to define the role and responsibilities of institutional liaisons prior to and during operational reviews. The main responsibilities of the liaisons included: collecting and providing documents and lists, scheduling interviews, arranging for space and telephone and generally guiding review team members. The advisory committee assumed that appointing institutional liaison persons would have benefits. First, more staff involved in reviews may increase understanding and support for research. Second, liaisons could expedite the preparation for and implementation of operational reviews in the youth institutions.

Instructions for review team members provided guidelines to rating policy and procedural compliance, completing work sheets, documenting findings and conducting interviews and inspections. These instructions would assist review team members in accurately and thoroughly documenting findings and enhance consistency in implementing operational reviews at different sites.

A review team manager would be designated by Branch Directors to carry overall responsibility for the youth

custody institution operational reviews. The duties and responsibilities of the team manager prior to, during and after operational reviews were outlined in the "Instructions Section." Some of the manager's major responsibilities were: providing review team members with an orientation to operational reviews, selecting samples for the review, overseeing implementation, spot-checking findings and compiling the summary report.

The final set of instructions in the first section of the review manual outlined the content and format of the summary report, the process following its completion and the confidential handling and storage of the report.

"Program Documents" - Section II of the operational review manual focused on listing, collecting and analyzing current documents relevant to the institution's management and operations.

The third section - "Resident Files" contained the instrument designed to determine institutional compliance with policy and procedures from resident files and operational logs.

"Interviews" - Section IV would be comprised of the interview schedules for: Superintendents and supervisors, youth custody staff, residents and collaterals.

The final section - "Administrative and Physical Inspection" contained observational instruments for observing or inspecting administrative procedures, institutional procedures manuals, personnel files and volunteer files.

Research design

Selecting an appropriate research design for operational reviews is the next step in the process of evaluative research. A research design is the plan, strategy or logic behind a study, that is best suited to address the purpose(s) of that study (Smith, 1990; Babbie, 1986).

A process for the formulation of research designs is outlined by Tripodi (1983) and assisted in specifying the research design for operational reviews. He suggests that a research design be devised after carefully considering the:
1)   unit for evaluation;
2)   objectives of the evaluation;
3)   level of knowledge desired; and,
4)   degree of desired generality.

Each of these will be examined as it pertains to operational reviews.

Operational reviews were designed to determine the efforts and effectiveness of youth custody institutions in policy

and procedural development and implementation. The unit for
evaluation is the program as administered by the
institution's managers and staff and this suggests a group
design be employed.

There are multiple objectives of the operational review and
these were specified earlier in the report. The objectives
were reviewed by the student, then grouped and prioritized
as follows:

1) determining compliance and identifying issues with
   respect to institutional policy and procedures;
2) providing constructive feedback to assist program
   planning, development and delivery; and,
3) indicating developmental training areas.

Grouping and ranking the objectives may assist in choosing a
research design which focuses on those considered most
important (Tripodi, 1983, 84).

Tripodi (1983) illustrates four levels of knowledge that are
obtained from evaluative research. These knowledge levels
are progressive and presented in sequence from the lowest to
the highest:

Level 1 - Hypothetical - Developmental

Level 2 - Quantitative - Descriptive

Level 3 - Correlational

Level 4 - Cause - Effect

The student categorized the prioritized objectives of the
operational reviews into desired levels of knowledge and
found that the highest ranked objective was Level 2. The
other two objectives were viewed as Level 1. The committee
believed that the instruments constructed for data
collection would be able to produce both of these levels of
knowledge.

The quantitative - descriptive level of knowledge could be
obtained from operational reviews providing there are
clearly specified variables and questions plus accurate
measurement (Tripodi, 1983, 86). The independent variables
of reviews are institutional policy and procedures and
questions have been developed to measure compliance with
these variables. Accuracy of measurement in operational
review would be enhanced by providing reviewers with
orientation sessions and instructions for operationalizing
data collection, spot-checking completed data forms and by
pretesting measures before the actual reviews.

Operational reviews were viewed as being formative and their
primary aim was to improve institutional policy and
procedures. The results of reviews were therefore intended
only for the use of the youth custody institutions and
Manitoba Corrections. Subsequently, generalizing the

knowledge obtained from operational reviews to other youth institutions was not deemed significant nor appropriate.

In summary, the research design for operational reviews would need to be a group design that generates the desired quantitative - descriptive knowledge.

A cross-sectional survey design was chosen for operational reviews. It involves obtaining a representative sample of a population and collecting observations from each person in the sample once, at a specified time period. The survey design is one of the simplest and most commonly used in the social sciences for the collection of data (Smith, 1990, 71). It is a means of gathering information that describes the nature and extent of a specified set of data including physical counts and frequencies. The information then can be used to answer questions that have been raised for operational reviews such as: determining whether or not procedures are implemented as intended, describing what exists, in what amount and in what context and establishing a baseline for future comparisons. The descriptive information provided by cross-sectional surveys is also useful for formative purposes if it is conducted while young offenders are receiving correctional services (Tripodi, 1983, 128). Such information may lead to the development or revision of institutional policy and procedures.

A couple of essential elements of the cross-sectional survey design, accurate measurement and sampling are explored and specified for operational reviews.

Accurate measurement

Accurate measurement refers to the accurate processing of data (Tripodi, 1983, 86) and is essential to the cross-sectional survey if quantitative - descriptive knowledge is to be obtained. It was, therefore, paramount to choose or develop accurate, reliable and valid measures for the operational reviews. Measures would be obtained through administering the instruments for data collection developed earlier in the report such as semi-structured interviews, observational forms and a service record survey.

The reliability and validity of measures developed for operational reviews could not be proven empirically. Subsequently, the student and advisory committee developed a strategy to enhance the standardization and operationalization of measurement in the reviews. The strategy involved: written instructions and verbal orientation sessions for review team members on implementing instruments, spot-checking of completed data forms by the review team manager and pretesting the data-collection instruments prior to actual reviews occurring. Assumedly, these would improve accuracy, reliability and validity of

measures obtained in the operational reviews of youth custody institutions.

Sampling

Sampling is the selection of a limited number of cases from a target population and is a technique for increasing the efficiency of data gathering (Epstein and Tripodi, 1977, 82). After considering the target populations of the operational reviews and the limited time and resources to conduct the studies in the institutions, the advisory committee decided to select samples of people to interview and service records to examine. A sampling strategy for operational reviews which maximizes the chances of representativeness and remains within the limitations of time and resources was desired.

In developing a sampling strategy, the advisory committee had to choose an appropriate method for sampling, select sample sizes and compile lists of populations to be sampled. Before making such decisions, it was necessary to identify the populations targeted for the operational reviews. These included: resident files and operational logs of the institutions, superintendents and supervisors, youth custody staff, residents and collateral persons. The target populations or cases mentioned varied significantly in composition and size. For example, in the Manitoba Youth Centre, there could be 150 active resident files which are

maintained on those youth remanded to custody and sentenced to open and secure custody sentences. In contrast, the Superintendents and supervisors of the youth institution may only involve 10 to 15 individuals. It was apparent that the method of sampling and the sample size could differ with the particular population being considered. Consequently, the advisory committee examined the target groups for sampling and formulated a sample strategy for each.

The service records included in operational reviews consisted of resident files and operational logs. Active resident files were maintained in both institutions. The Manitoba Youth Centre has three levels of custody (e.g. remand, open and secure) while the Agassiz Youth Centre has two levels (e.g. open and secure). In addition, closed resident files for these custody types were stored in both institutions. Since a large portion of the procedures reviewed for resident files were specific to open and secure custody cases, the advisory committee believed that the richest information would be obtained from such resident files. Closed resident files were also seen as being more valuable than active resident files because they could provide information from a young offender's admission to the institution through to discharge.

The resident capacity for each institution was 150 and 85 for MYC and AYC respectively and these were often exceeded.

Over population was seen by the advisory committee as having minor implications for determining a sample for resident files. A breakdown of custody types in the institutions was far more relevant. By reviewing institutional population lists, the advisory committee determined the percentages of custody types within each institution. The Manitoba Youth Centre had 50% remand, 30% open and 20% secure custody youth. A 50% split between open and secure custody youth was found in Agassiz Youth Centre.

The most appropriate sampling method for resident files as determined by the committee was disproportionate stratified random sampling. This involves stratification of resident files into remand, open and custody groups, systematically sampling the groups and ensuring that closed open and secure custody files are over represented. The reason for over representing certain resident files is that the most useful information might be obtained and it allows for closer study of open and secure custody cases. Once lists of custody groups are obtained and the desired sample sizes for each are selected, a sampling ratio is established and systematic sampling would occur. Systematic sampling is choosing a random starting point on a population list and if the sampling ratio is 1/5, selecting every fifth resident file through one cycle of the list (Epstein and Tripodi, 1977, 86).

Deciding on a suitable sample size for each group of resident files was the next task of the advisory committee. The time and resources allotted for the operational reviews were practical considerations that assisted in determining the sample sizes for custody files. The committee wanted to limit the total number of files selected for a review to approximately 100 and, therefore, established a sampling ratio for each grouping of custody files as illustrated in Figure 3.

Figure 3

	Type of Custody File	Sampling Ratio
Active	Remand Custody	1/7
	Open Custody	1/5
	Secure Custody	1/3
Closed*	Remand Custody	1/10
	Open Custody	1/3
	Secure Custody	1/3

*Resident files closed within three month period preceding the operational review.

With the above sampling ratios, it was estimated that the total number of resident files selected for review in each institution would be 100 for MYC and 85 for AYC.

The institutions maintain complete lists of active and closed resident files which are accessible and useful for sampling purposes.

The other service record to be examined were the operational logs of the institution. These logs are maintained in each cottage of the institutions to record essential information on population counts, security risks, appointments, resident behaviour and more. The advisory committee decided that all current operational logs of the institutions should be reviewed.

Interviews in the operational reviews were to occur with: Superintendents and supervisors; youth custody staff; residents and collaterals. Each target population's size and composition was considered by the committee prior to formulating a sampling strategy.

The total number of persons in the first grouping ranged between 10 to 15 individuals for each institution and included Superintendents, supervisors and coordinators. The committee decided that all persons designated to this group, be interviewed.

Institutional youth custody staff encompassed correctional employees such as juvenile counselors, teachers and kitchen

staff. The estimated total number of youth custody staff in MYC is 130 and 70 for AYC.

A few relevant characteristics of this group required consideration. First, most juvenile counselors (JC's) are assigned responsibilities based on their classification in their position. Thus, a JC1 is more likely responsible for basic security measures and routines while a JC11 may have more of a role in case management and program delivery. Second, juvenile counselors are usually assigned to a specific cottage in an institution and the cottage is designated by custody type - remand, open, secure or a combination of these. Finally, youth custody institutions are staffed around the clock by part-time and full-time employees.

The operational review was to provide an overall "snapshot" of the youth custody institution. Hence, it was important to have each cottage and its staff represented in the study. The advisory committee decided that the most pertinent property was a staff's cottage assignment and the logical sampling method is stratified random sampling. A sample ratio of 1/4 was determined appropriate again considering the limitations of time and resources. The total number of staff to be interviewed would be 32 for MYC and 18 for AYC.

An up-to-date list of youth custody staff by cottage is maintained at each institution and is readily available for the operational review.

As indicated earlier, residents in youth custody institutions can be classified into custody types of remand, open and secure custody. The committee wanted to interview residents from every cottage and custody level within the institution. Over representation of open and secure custody youth was desired and a similar sampling method as outlined for active resident files was therefore employed. The total estimated number of resident interviews would be 30 in MYC and 20 in AYC. Furthermore, the population lists for each institution would be used for sampling purposes as they were for resident files.

The final group of persons were collaterals which included individuals having regular and substantive contacts or interactions with youth custody staff. Some examples of collaterals are Probation Officers, Child and Family Service Workers, correctional volunteers, sheriff's, lawyers, psychologists, nurses, parents and guardians of residents, and more. Liaison persons appointed by the Superintendents of the youth institutions to assist in preparing for operational reviews were responsible for producing a comprehensive list of collaterals. The list would be used by the review team to contact available persons and

interview them. The sampling method used for collaterals was non-random sampling or the choosing of the most readily accessible people without regard to representativeness (Epstein and Tripodi, 1977, 84). The committee thought that 20 interviews would be an adequate sample size for collaterals.

In summary, the advisory committee formulated the sampling strategies and decided upon sample sizes with practicality, representativeness and usefulness in mind. To ensure these features, the advisory committee decided to pretest the sampling procedures and data collection instruments for their estimated costs and response rates as well as their accuracy, reliability and validity. The pretest exercise was termed "pilot operational reviews."

Pilot operational reviews

Once the data collection instruments were constructed and the sampling strategy determined, the advisory committee planned for and conducted pilot operational reviews in the youth custody institutions.

The rationale for piloting the operational review was to assess the relevance and feasibility of implementing the planned operational review manual and process in Manitoba's youth custody institutions. Therefore, it was decided to field test the operational review in both of the province's

custody institutions--the Manitoba Youth Centre and the Agassiz Youth Centre. Through pretesting the operational review at both sites, the student and committee would obtain essential information on its application and usefulness in each of the institutions. As well, it would assist in identifying any significant implementation issues in MYC or AYC.

The objectives explicated for the pilot operational reviews were:

1) to assess the applicability of the operational review manual and process;

2) to determine the appropriateness of sampling methods and sizes;

3) to identify methodologies which facilitate implementation; and,

4) to assist in revising the review manual prior to actual operational reviews.

In planning for the implementation of the pilots, it was decided to schedule two consecutive days--one in each youth custody institution. The student and advisory committee would conduct the pilot operational reviews and were not able to vacate their correctional positions and assigned responsibilities for longer periods. Despite the shortness of the time allotted for the pilots, the committee was

familiar with the operational review format and process and felt this would expedite the pilots' implementation.

The student assumed the team manager role for the pilots while committee members, from the institution being reviewed, acted as liaison persons. The liaisons assisted the operational review team in locating files and cottage logs to review and individuals to interview in their facility. Remaining committee members and the team manager formed the operational review team responsible for conducting the pilots.

As the pilot operational reviews were small scale evaluations, they were structured to review small sample sizes and test the data collection instruments for resident files, operational logs, supervisors, youth custody staff and residents. The committee believed that reviewing these areas would produce the most important information. Program document analysis, administrative and physical inspections and interviews with superintendents and collaterals were excluded as they provided more ancillary information.

The time needed to examine service records and conduct interviews was closely monitored by the advisory committee. This information would assist in determining the appropriateness of sample sizes chosen for the actual operational reviews. Furthermore, the data obtained as a

result of the pilots was assessed for its usefulness and validity.

Immediately following the pilot operational reviews, the advisory committee met to discuss and assess the pretest exercise. An "Assessment Report" of the pilots was compiled (attached as Appendix 6) and was forwarded to the Directors of Community and Youth Corrections and to the Superintendents of the youth institutions. Overall, the pilot reviews were quite successful in obtaining the information desired. A number of recommendations for refining the operational review manual and process were suggested by advisory committee members in the report. These included:

1) data collection instruments for resident files and youth custody staff be revised to reduce repetitiveness and poor measures;

2) advisory committee members be utilized as operational review team members or liaison persons in "sister" institutional reviews;

3) operational review teams receive thorough orientation and instructions prior to the review;

4) group interviews with superintendents, supervisors and youth custody staff be considered instead of individual interviews.

Suggestions and revisions to improve the data collection and
sampling procedures resulting from the pilot operational
reviews were sanctioned by Directors and Superintendents and
introduced by the advisory committee. The next task of the
student was to prepare a plan for data analysis and
utilization of the results of the operational reviews.

Data Analysis And Utilizing Results

The importance of developing a plan for data analysis and
utilizing the results of evaluative research cannot be
overlooked. Inadequate attention to data analysis
considerations can lead to misleading and erroneous
conclusions about a program (Rutman, 1986, 23) while poor
planning for the utilization of research results may
precipitate the results being ignored. The advisory
committee considered both of these elements early in the
process of evaluative research and a plan for each was
developed.

Data analysis

The purpose of data analysis is to compile and summarize
data collected during a study so that appropriate inferences
about a program's performance can be drawn. Requirements of
data analysis vary among studies and depends on the types of
data and the research design of an evaluation (Tripodi,
1983, 146).

Data can be divided into two broad types - quantitative data and qualitative data. Quantitative data is primarily expressed in terms of numbers and quantities and is usually interpreted in statistical terms (Department of Justice, 1986, 281). Qualitative data consist of descriptions of situations, events, interactions and observed behaviours (Patton, 1986, 54). The type of analysis undertaken depends on the type of data collected. Qualitative data requires historical, thematic, semantic, structural and functional analysis while quantitative data require various measurements and comparative methods of analysis (McClintock, 1984, 100).

Both quantitative and qualitative methods for data collection and analysis are valued and neither is inherently superior. Each approach should be considered in light of their positive features and limitations. A quantitative methodology may be viewed as being more objective and better suited to large scale programs. It does, however, have difficulty dealing with problems that are not quantifiable.

It is suggested that whenever possible, both quantitative and qualitative methodologies for data analysis be used together in an evaluation (Patton, 1986, 56). The data collection instruments of the operational review were constructed to gather both quantitative and qualitative information. Thus, quantitative and qualitative analysis

techniques would be employed to compile and interpret data obtained through operational reviews.

Quantitative data would be obtained through examining service records of the youth institutions and rating each record's compliance with procedures. The instrument for collecting data from service records was designed to record and store raw data in a way that would ease quantification. Each resident file is assigned a code number and this number is recorded in the applicable row which indicates a rating of compliance, non-compliance and non-applicable for each procedure reviewed. Once all resident files in the sample are examined, the frequency distribution for the ratings in each procedure can be manually calculated.

The advisory committee decided to use frequency analysis for data obtained from service records. It is the most common and simplest form of descriptive statistic which can be presented by frequency distributions or percentages. The most significant rating as determined by the committee was the compliance rate and it would be expressed as a percentage. A percentage is a simple statistic that shows what a number means in relation to the total group of ratings (Smith, 1990, 109). The compliance rate for each procedure reviewed in resident files would be calculated by using the following formula:

$$\frac{\text{Compliance counts}}{(\text{Total Sample-Non applicable counts})} \text{ X } 100 = \text{Compliance rate}$$

To illustrate this calculation, if the total sample of resident files was 105, 5 were rated as non-applicable, 80 were in compliance and the remaining 20 were non-compliant the, compliance rate would be 80%.

e.g. $\frac{80}{(105 - 5)}$ X 100 = Compliance rate of 80%

Once the compliance rates for procedures involving service records were calculated, they would be recorded in tabular form indicating compliance rates for the entire "Resident Files" section of the review manual. A range of compliance rates established for the Community Corrections operational reviews were also used for the youth institution operational reviews. There were four categories of ratings and these included:

1) exceptional compliance   100% - 95%

2) good compliance   94% - 85%

3) borderline compliance   84% - 75%

4) unsatisfactory compliance   75% >

The above example which resulted in an 80% compliance rate would consequently be classified as borderline compliance with a particular procedure being reviewed. The committee thought that employing this range of compliance rates would assist the researchers and consumers of operational reviews

in focusing attention on policy and procedural areas rated as being in borderline or unsatisfactory compliance.

Qualitative data analysis would be used for analyzing responses to open-ended questions in interviews, information recorded in program documents and direct observations during the operational reviews. No formal rules exist for qualitative data analysis thereby making it less technical and there are no statistics to guide the analysis (Smith, 1990, 122). Nevertheless, qualitative methods can describe processes, people's interactions with one another and their opinions far better than quantitative methods (Department of Justice, 1986, 328).

Some questions surrounding the objectiveness and generalizability of qualitative data analysis have been mentioned earlier, but it seems far more important to produce information which is most useful to the stakeholders of operational reviews. The purpose of evaluation research is to provide information that is useful, information that permits action and information that is relevant to the needs of decision makers (Patton, 1986, 232).

Five general steps are suggested when handling qualitative data in the operational reviews and these are collecting, reviewing, describing, interpreting and checking the trustworthiness of the data (Department of Justice, 1986,

331). In operational reviews, qualitative data would be collected through document analysis, interviews and observations. Comments and summaries would be recorded directly on the data collection instruments and following an evaluation, these would be reviewed by the team manager. At this point, the information would be checked for its completeness and organized into major themes, patterns or categories. It is unlikely that all qualitative information can be neatly categorized, subsequently some will be used to describe institutional functioning in certain areas and the reactions or opinions of correctional staff, residents and collaterals. Interpreting or drawing conclusions from the qualitative data would largely involved identifying prominent themes and patterns and noting possible inter-connections between variables. Unlike quantitative data, qualitative data cannot be subjected to tests of significance or reliability and validity checks. Despite this, the trustworthiness of qualitative data obtained in he operational reviews would be verified through "plausibility checks" and "triangulation." Checking conclusions to see if they "are logical and make sense" is one way to verify qualitative data. A second method is through triangulation or by checking data obtained from one source with that of another data source. The information provided by only one source is considered tentative until independently confirmed by other sources. In the operational reviews, triangulation would involve comparing data collected by qualitative

methods with that obtained by quantitative methods and by comparing several sources of qualitative data (e.g. document analysis, interviews, and observations).

Utilization of research results

After the operational review are conducted and the data is collected and analyzed, the final step in the evaluation process would be to prepare a written report and promote utilization of the research results.

A clear, concise and attractive report enhances the possibilities of it having an effective impact and represents the first step in having findings effectively utilized (Posavac and Carey, 1980, 273). The advisory committee recognized this and subsequently developed a format for the "summary report" or the product of the operational review which is included in the "Instructions Section" of the review manual (attached as Appendix 4). As the summary report was to be compiled internally by the review team manager and was planned primarily to be used within the Community and Youth Corrections Branch, the format de-emphasized the introduction and methodology sections. The bulk of the information documented in Section 3 of the summary report would consist of an overview of the findings of the operational review and recommendations made to improve institutional operations, policy and procedures. The sources of data, findings and action needed in each of

the subject areas listed in Section 3 would be presented. The final section of the report was a summary of information obtained as a result of the operational reviews and would capture: exceptional compliance as creative performance, areas of borderline and unsatisfactory compliance which require immediate attention and any suggestions directed at resolving problems or deficiencies. It was assumed that the instructions for compiling the summary report would assist in producing consistent and detailed research products for the youth custody institutions.

In compiling a good summary report, it is important that the researcher be conscious of being clear, concise, accurate, logical, fair, concrete, objective and committed to producing timely and useful information (Department of Justice, 1986; Posavac and Carey, 1980; Smith, 1990). It is beyond the scope of the practicum though to cover in detail, the techniques for producing quality evaluation reports.

An evaluator should think of the potential utilization of results at the initial stage of planning for the evaluative research study (Tripodi, 1983, 159). This was considered in planning for operational reviews of the youth institutions as the advisory committee assessed the organization's interest in using the results and made concerted efforts to involve correctional managers and staff in the process. It was determined there was good potential to use the research

results as institutional management and staff identified priority areas for inclusion in the reviews, the need to link research with planning and development and they expressed interest in establishing a system to follow through with the recommendations of the operational reviews.

Studies of the use of evaluation research indicates that several conditions or factors appear to effect utilization (Rossi and Freeman, 1985; Tripodi, 1983) and four of these are:

1) relevance;

2) communication;

3) user involvement or advocacy; and,

4) implementation potential.

As mentioned, institutional management and staff identified pertinent areas to be included in the operational reviews. The results of the operational reviews were to focus specifically on these areas and provide information about policies, procedures and practices which would assist decision making. The more related the information is to practice and administrative decision making the more relevant it is (Tripodi, 1983, 158). In short, the more relevant the research results, the greater likelihood that they will be utilized.

A plan to communicate and disseminate the results of the operational reviews to stakeholders was developed by the advisory committee to enhance utilization. First, the summary report was to be written in a clear, concise and non-technical language. Institutional managers and staff would, therefore, have an easier time reading and understanding the findings of the study. Second, immediately following the completion of an operational review at a youth institution, the operational review team was expected to provide a synopsis of the findings to the Superintendents and supervisory staff, commenting on areas of unsatisfactory compliance, general impressions and major themes. Third, the summary report was to be compiled within six weeks of the on-site operational review. The advisory committee felt that the stakeholders wanted prompt accessibility to the operational review results. Finally, the process for disseminating the final summary report was outlined in the "Instructions Section" of the operational review manual. Briefly, the report is sent directly to the Executive Director and Director of Community and Youth Corrections and the Superintendents of the youth institution. The Superintendents are responsible for circulating the report to supervisory staff who in turn distribute to line staff of the institution. The above plan encompasses guidelines for maximizing utilization as noted by Rossi and Freeman (1985) which includes: tailoring reports to specific consumers, having evaluation results

available when needed and outlining plans for utilization and dissemination of results as part of the evaluation design (Rossi and Freeman, 1985, 392).

A strategy to involve institutional managers and staff in the development and implementation of operational reviews was adopted from the onset of the practicum. A major benefit of encouraging staff participation in designing and conducting the evaluation is that it accelerates the use of evaluation information (Dawson and D'Amico, 1985, 180). Involvement of institutional mangers and staff in evaluation efforts increases utilization by improving the relevance, communication and credibility of research results. It also has a tendency to broaden commitment and receptiveness to evaluation research in the organization.

Finally, the results of the operational reviews cannot be implemented unless there is an implementation potential in the evaluation consumer (Tripodi, 1983, 159). The primary consumers of the operational reviews are the Directors of Community and Youth Corrections and the Superintendents of the youth institutions who have considerable decision making power. The greater the consumers' ability to influence decisions that affect policies, procedures and practices, the greater the likelihood that operational review results will be implemented (Tripodi, 1983, 159).

Once the operational review-summary report is disseminated
to the Superintendents of the youth institutions, they are
responsible for broadly circulating the report to their
supervisors, coordinators and line staff. Comments and
suggestions relative to findings in the report are obtained
and an action plan is developed by the Superintendents
indicating a statement of priorities and steps to address
findings of unsatisfactory compliance. The action plan is
forwarded to the Executive Director, Community and Youth
Corrections for approval. Once approved, the institution's
progress in following through with the action plan is
monitored by the Executive Director (or delegate) and
tracked on the Branch Operational Review-Tracking System
which is attached as Appendix 7. This process is documented
in the "Instructions Section" of the review manual.

The challenge of producing good evaluation studies that are
actually used is enormous (Patton, 1986, 291). Because of
this, the student and advisory committee spent considerable
time and effort in developing and implementing a strategy to
increase the potential of using the results of the
operational reviews in Community and Youth Corrections.

EVALUATION OF PRACTICUM

The practicum was evaluated on two levels. One focused on assessing the potential utility of the operational review while the other examined the student's learning and skill development during the practicum.

Utility of the operational review

As mentioned in the previous section of this report, the student and advisory committee employed a number of strategies to increase the potential utility of the operational review for the youth custody institutions and Community and Youth Corrections. Concern for utilization began with the initial meetings with Branch and institutional managers and continued throughout the development of and planning for the evaluation process.

The student used Brown and Braskamp's (1980) "Utilization Enhancement Checklist" to evaluate the utility of the operational review. The checklist was to serve as a post hoc review of what actions were taken by the student and advisory committee to increase the potential that the operational review would be utilized (Brown and Braskamp; 1980, 94). Items included in the checklist were directed to determining the evaluator's role, understanding the organizational context, planning the evaluation, conducting the evaluation and communicating the evaluation information.

After carefully reviewing the items on the checklist, the student decided some modifications were required. It was essential that prospective respondents be able to accurately respond to the statements on the checklist. The student, therefore, selected items that assumedly met the above criteria and then combined some and rephrased other statements.

Instructions for completing the survey were also developed and included as an initial paragraph on the modified checklist. All questionnaires should contain clear instructions and introductory comments where appropriate (Babbie; 1986, 209).

Another alteration to the checklist was to expand possible responses to items by respondents. The original checklist required only a positive or negative response. The student used a "Likert scale" for the first three sections of the questionnaire. Respondents were requested to indicate whether they strongly agree, agree, disagree, strongly disagree or are undecided with each statement included in these sections. The value of the Likert scale is the unambiguous ordinality of response categories and it lends itself to a rather straightforward method of index construction (Babbie; 1986, 375). A three answer format consisting of yes, no and undecided was utilized for the last two sections of the checklist. The different response

formats were used as respondents were better equipped to offer more specific opinions on the first three sections of the questionnaire versus the final two sections. The reason for this assumption was that the practicum's focus was on planning for and developing operational reviews for the youth institutions and not the actual implementation of such reviews.

The final modification to the checklist was the inclusion of a section for respondent's comments and suggestions respecting the planning for and development of the institutional operational review.

A letter of explanation was developed to accompany the questionnaire and both are attached as Appendix 8. These were mailed to nine respondents. The respondents included the Executive Director of Community and Youth Corrections, the Coordinator of Youth Custody, the Superintendents (three) of the youth custody institutions and two correctional staff from each youth custody institution who were members of the advisory committee. The student received a 100% response rate to the mailed questionnaires.

Brown and Braskamp (1980) suggest that points are scored for every positive response to statements included on the "Utilization Enhancement Checklist." As a result, the student decided to allow a score of four for the responses

"strongly agree" and "yes" while two points were received for the response "agree." Negative responses such as "disagree," "strongly disagree" and "no" were not credited any points. Any "undecided" responses were excluded from the total scores.

Using the above system for scoring, a total score of 728 for all questionnaires was calculated. When divided by the number of questionnaires received (9) the average score was 81. Brown and Braskamp (1980) provide some rough guidelines for interpreting the results of this simple analysis and these are presented in Figure 4.

<u>Figure 4</u>

<u>Range of Scores</u>	<u>Potential Utility</u>
25 or less	Very limited
26 - 50	Slight
51 - 75	Some
76 - 100	Good

(Brown and Braskamp, 1980, 97)

According to the above guidelines, the operational review manual and process developed for the youth custody institution has "good" potential utility.

Overall, the responses and feedback relative to the planning and development of the operational review were quite positive. Less than 2% (4/225) of the responses were

negative. In addition, the respondents seemed to have little difficulty offering their opinions about the statements included on the questionnaire as only 6 undecided responses (or 2.6%) were received.

Limited comments regarding the student's efforts in developing the operational review were included in the questionnaires and they are highlighted below:

> "(The student)...was extremely organized in his approach (and)...demonstrated very strong leadership skills in pulling diverse groups together to develop the operational review."

> "(The student)...produced a very effective instrument and process which are crucial to the further development of Community and Youth Correctional Services."

> "It took a few meetings...to sort out channels of communication and once done it was satisfactory. Overall, (the student)...did a good job."

> "Some of the methods used by (the student)...were to be prepared prior to actual reviews, planning of how the review was to be done, yet be flexible enough to adapt to new situations."

In summary, the information and recommendations resulting from the planned operational reviews are likely to be used and are expected to improve the policy, procedures and practices of the youth custody institutions in Manitoba.

Student's learning and skill development

The student identified educational objectives that were to be attained as a result of the practicum experience. These were:

1. To increase general knowledge in planning and conducting evaluation research.

2. To gain practical skills in correctional administration and evaluation.

3. To obtain an appreciation of an evaluator's role and functions within a correctional setting and specifically how evaluation is perceived in Manitoba Corrections.

The student's success in achieving these objectives was assessed through self-analysis and introspection.

A broadening of the student's general knowledge in planning and conducting evaluation research occurred as a result of the practicum. The student recognized there are many different types and purposes of evaluations. It is extremely important to select an evaluation based on the informational needs of sponsors and the organization's capacity for evaluation. The most significant knowledge gains of the student were understanding the:

1. steps involved in planning and conducting an evaluation;

2. importance of conducting "preevaluations;"

3. significance of planning for the utilization of
    evaluation results;

4. benefits of involving program managers and staff in the
    development and implementation of evaluations; and

5. the relevance of evaluation research to assisting
    administrators in policy formulation, planning and
    decision-making.

The student believed his learning was enhanced further
through the practical application of evaluation research
theory, methods and techniques. This is described in detail
throughout the practicum report and demonstrates the
student's skill development in planning for an evaluation.
Skills honed as a result of the practicum were: planning,
coordination, leadership, decision-making, problem-solving,
communication (verbal and written) and analyzing. Comments
recorded on the completed "Utilization Enhancement"
questionnaires mentioned some of the student's skills and
abilities.

A good appreciation of an internal evaluator's role and
functions within a correctional setting was also obtained
during the practicum. As the student was employed by
Community and Youth Corrections, this added several positive
features to developing the evaluation plan and process for
the youth institutions. For example, the student was fairly
familiar with institutional management and operations and

had enjoyed good working relationships with most staff. These elements along with encouraging correctional staff involvement in developing the operational reviews may have lessened possible anxiety and resistance to the evaluation. The outcome was the relatively smooth production of the operational review manual and process. It is also recognized that the student's employment may have influenced correctional personnel when responding to the modified "Utilization Enhancement Checklist."

An evaluation can be seen by some individuals and organizations as being quite threatening. In this student's opinion this was not the case when developing the operational review for the youth custody institutions of Manitoba Corrections. The operational reviews were well received and generally viewed as an opportunity to improve institutional management, operations and practices. Such a stance could not only enhance the overall functioning of the youth institutions, but may have some indirect and positive impact on their clients--"the young offender."

SUMMARY

The objectives of the practicum were to develop the operational review for youth custody institutions, to broaden the student's knowledge of evaluation research and to assess the utility of the planned operational review. These are reviewed in this section, to identify significant elements of the practicum and to determine the student's success in attaining them.

An operational review manual and process for the youth custody institutions was produced as a result of the practicum. It was piloted on a small scale basis in both the Manitoba and Agassiz Youth Centres to assess content relevancy and the application of the operational review in the institutions. An assessment of the pilot operational reviews was conducted by the student and advisory committee. It concluded that the reviews were quite successful in obtaining the desired information and only a few revisions were required prior to it being actually implemented in the youth institutions.

Through self-evaluation, the student believed there were demonstrable gains in knowledge of evaluative research and correctional administration. The importance of evaluation in assisting correctional administrators in planning, decision making and policy formulation was discerned. Steps for developing and planning for evaluation research were

understood and documented throughout the practicum report. Other significant knowledge gains were in the areas of increasing the utility of evaluations, the value of participatory evaluations and matching evaluation strategies to the informational needs and organization's capacity for evaluation.

Once the planned operational review for the youth custody institutions was completed, its utility was assessed through a questionnaire and a 100% response rate was obtained. Overall, the responses to the survey were largely positive and there was a good probability that information and suggestions for improvement arising from operational reviews would be utilized by the Community and Youth Corrections Branch and institutional personnel. Considering the limited extent that evaluation results are utilized, it is encouraging to think that institutional management, operations and practice might improve because of the operational reviews.

The student believed he was successful in attaining the objectives explicated for the practicum. Two additional outcomes of planning the youth custody operational review were the student's increased understanding of youth custody institutional policy and practice and instilling a greater appreciation for evaluation activities within the youth institutions. Numerous meetings and consultations with

correctional managers, line staff and the advisory committee provided the student with current and accurate information regarding institutional operations. This information assisted in producing an evaluation manual and process which was relevant, realistic and practical for application in the youth centres.

Correctional managers and staff were purposely involved in the development and execution of the operational reviews to enhance communication regarding its purpose and also to increase its usefulness. The product of such a participative approach to evaluation was the development of a non-threatening and credible operational review manual and process for the youth institutions. Suggestions for other types of needed evaluation in Manitoba Corrections were raised by correctional personnel throughout the practicum which indicated some appreciation for the potential value of evaluation research.

The practicum culminated in the production of the operational reviews for the youth custody institutions in Manitoba, which were then able to meet their specified objectives. The objectives were: to determine correctional staff compliance and identify issues with respect to institutional policy and procedures; to provide constructive feedback to assist in program planning, development and delivery and to highlight developmental training needs in

the institutions. It was evident through piloting the operational reviews that information relative to these objectives would be obtained through the reviews. In an actual operational review such information would be documented in the summary report and disseminated to the Director of Community and Youth Corrections and the Superintendents of the youth institution to assist them in their administrative functions of formulating policy, planning and decision making. The process for disseminating the summary report and following-up on the operational reviews is outlined on page 96.

In initiating operational reviews throughout Manitoba Corrections, the Division has stressed the importance of evaluation in effectively managing its operational units and delivering quality services to offenders. Other worthwhile evaluations need to be identified, planned and conducted in Manitoba Corrections despite restrained resources and shrinking budgets. It is suggested that reduced resources increase the need for evaluation efforts so that interventions to deal with human and social problems are maximized (Rossi and Freeman, 1985, 18). To accomplish this, the elements of evaluations having the most impact on correctional agencies must be known and a strategy to continue evaluation efforts in Manitoba Corrections developed.

Stuart (1976) in a comprehensive review of correctional research projects suggested that evaluations having the most impact on corrections had the following features:

1. a simple research design;

2. were small scale studies;

3. focused on changing the correctional system rather than the offender;

4. had evaluators included in making recommendations and in following through on planning for their implementation; and

5. focused on the information requirements and the decision needs of the time.

   (Galaway, et al. 1976, 294)

In considering any further evaluation activities, the student suggests Manitoba Corrections examine the proposed evaluations "fit" with the above features.

Stuart (1976) also indicated that over the past twenty years the best evaluations of correctional programs have been done by corrections staff. He suggests that researchers be developed in correctional organizations through an "apprenticeship" model (Galaway, et al, 1976). Such a model would have administrative and operational staff undertake evaluation projects under the guidance of an experienced researcher. The operational reviews for youth custody institutions used this approach with positive results.

Furthermore, internal evaluators are far less expensive than external evaluators. Considering the positive aspects of using internal evaluators and Corrections' current fiscal situation, the student suggests the "apprenticeship" model of evaluation continue to be used and, if possible, expanded within Manitoba Corrections.

For evaluation research to be effective in correctional organizations, there must be positive climate for such research. Correctional administrators can be instrumental in this regard by being pragmatic, forward-looking, supportive and by promoting an experimental stance towards evaluation (Stuart, 1975, 20). If administrators adopt such traits, they will remove one of the barriers to effective evaluation best illustrated by the adage:

"You can't evaluate your own boss!"

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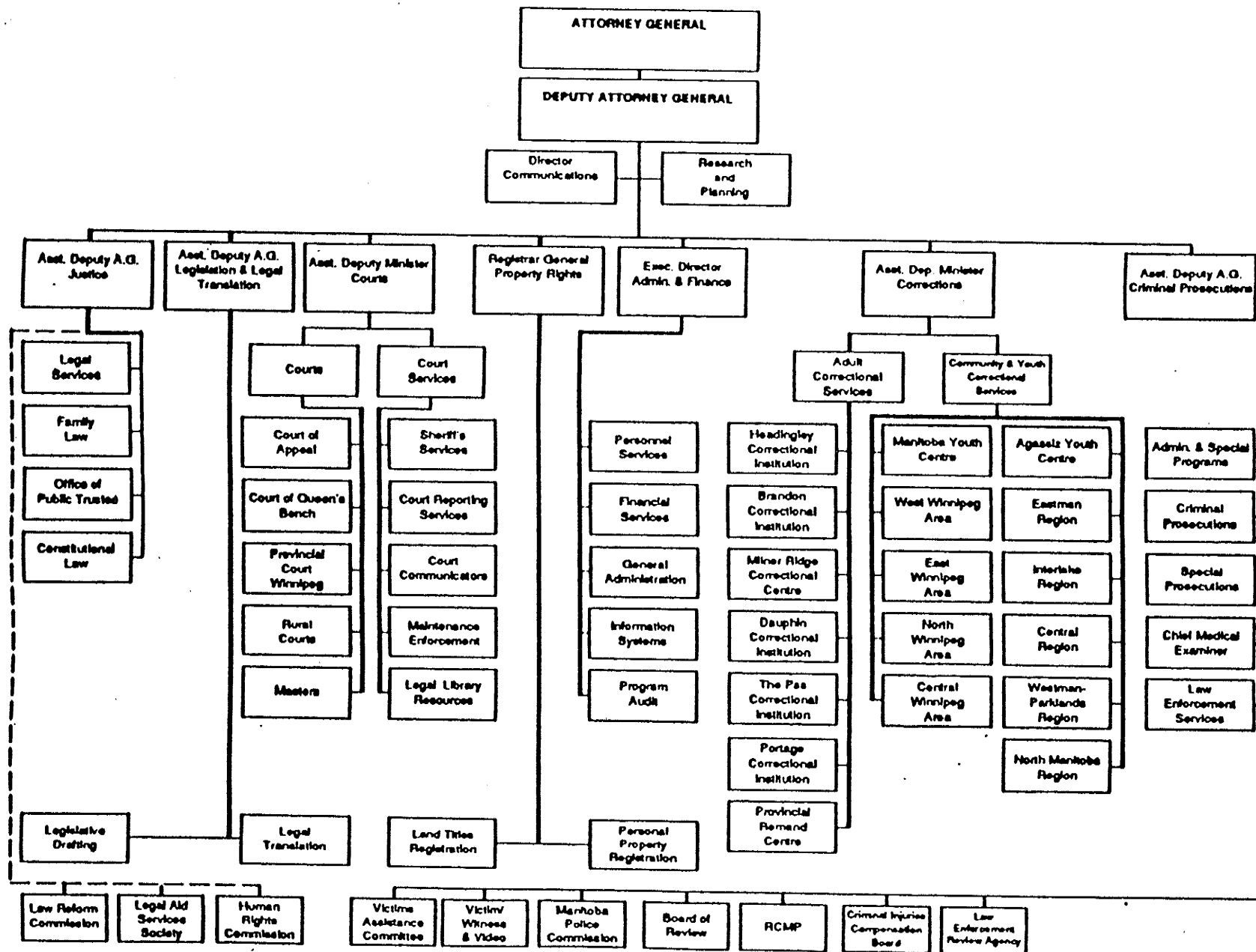
YOUTH CUSTODY INSTITUTION

OPERATIONAL REVIEW

TERMS OF REFERENCE

The following points outline the terms of reference for conducting operational reviews of youth custody institutions in Manitoba and define the responsibilities and commitments of persons involved in such evaluations.

1. Operational reviews comprehensively evaluate the effectiveness of youth custody institution operations by assessing whether the facility is providing correctional services to young persons in conformity to established policy and procedures. The main goal is to assess and improve the policy, procedures, operations and service delivery of youth custody institutions.

2. Specific objectives of the operational review include: determining overall compliance with existing policy and procedures; assessing and identifying management and operational issues relative to institutional policy, procedures and practice; providing constructive feedback to assist program planning and development and identifying developmental training areas for institutional managers and staff.

3. Operational components examined in the review are: the mission/mandate, admission/discharge, case management, disciplinary measures, temporary release, young offender records, security, resident routines, contingency plans, staff training and development, volunteers and administrative procedures/systems. Operational reviews will also explore other components such as program development and delivery, policy/procedural issues and follow-up to recently completed research studies.

4. All levels of custody (e.g. remand, open and secure) in the youth custody institution are reviewed during the operational review. Data is obtained from several sources including: institutional documents, correspondence and reports; resident files; operational logs; observations and interviews. The data is collated, analyzed and findings/recommendations presented in a summary report.

5. An advisory committee composed of youth custody managers and staff will be established to develop and refine the operational review manual and process by March 31, 1992. Pilot operational reviews will be conducted at each institution to assess the applicability of the mechanism, determine appropriateness of sample sizes and assist in final revisions.

Actual operational reviews of youth custody institutions will occur before June 1, 1992.

6. Youth institutions are evaluated every 2 years or more often if deemed necessary by the Executive Director of Community and Youth Correctional Services. A team of 5 to 6 individuals (external to the youth custody institution being reviewed) will conduct the on-site operational review in a 3 to 4 day period.

7. A summary report is compiled following completion of the operational review and it presents the major findings and recommendations for improving youth custody institutional operations. Individual staff or cottage practices are not reported in the summary report.

The report is distributed to the Executive Director of Community and Youth Correctional Services and the superintendent of the youth custody institution. It is then disseminated to the Assistant Deputy Minister- Corrections, the Associate and Assistant Directors - Community and Youth Corrections, institutional supervisors and other interested youth custody staff. The report is reviewed and an action plan is develop to address the issues raised. Once the plan is authorized its implementation is monitored by the Executive Director (or delegate) of Community and Youth Correctional Services.

8. Superintendents and youth custody staff agree to participate and cooperate prior to, during and after the operational review. Specifically, staff are designated to the advisory committee, act as institutional liaisons to the operational review team and participate as operational review team members.

9. Information obtained during the course the operational review is communicated, handled and stored in a manner which ensures confidentiality.

10. The Directorate - Community and Youth Corrections is responsible for expenses such as meals, travel and lodging which are incurred by the team during the course of an operational review.

Superintendent - Manitoba Youth Centre

Executive Director - Community and Youth Corrections

Superintendent - Agassiz Youth Centre

Operational Review Team Manager

BS:KM

YOUTH CUSTODY INSTITUTION   Sec IV/Sub 01

OPERATIONAL REVIEW

SUBJECT: SUPERINTENDENTS AND SUPERVISORS

SAMPLE: The superintendent, deputy superintendent, and supervisory staff of the youth custody institution are interviewed (group interviews preferred). Any correspondence or documents provided by the superintendents or supervisors are inspected.

*Confidential - for use of Operational Review Team only

Code #	Superintendent/Supervisors	Interviewed by:

Code #	Correspondence/Documents	Reviewed by:

SUPERINTENDENTS AND SUPERVISORS

1.   Mission and mandate

Probes: Are you familiar with the Corrections Division Mission Statement? What is its purpose? What are some of the important components of this statement? How is your institution achieving the mission?

COMMENTS: _____

_____

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2.   Policy and procedural development

Probes: How would you define policy? procedures? standing orders? What is the process for developing, revising and implementing policy/procedures in the youth custody institution?

COMMENTS: _____

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3.   Institutional procedures manual

Probes: Are institutional procedure manuals up-to-date and adequate in content? Explain how do staff access manuals? In your opinion, are procedure manuals referenced by staff? by yourself? For what purposes?

COMMENTS: _____

_____

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4.   Improving policy/procedures

Probes: Do you have suggestions how policy/procedures might be improved in the institution? in Community and Youth Corrections? Explain. Can you identify any policy/procedural gaps in the institution? Branch?

COMMENTS: _____

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5.   Contingency plans

Probes: Does the institution have written contingency plans? What situations are covered by these plans? Are contingency plans reviewed and revised? How often? How are staff kept aware of the facility's contingency plans?

COMMENTS: _____
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6.   Completeness of contingency plans

Probes: Have the previous issues and recommendations regarding the completeness of contingency plans (identified in the previous operational review) been addressed? How?

COMMENTS: _____
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7.   Program delivery

Probes: List the services and programs offered in the youth custody institution? Which of these are universally provided? or selectively provided? How do staff determine suitable programming for individual residents?

COMMENTS: _____
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8.   Program development and implementation

Probes: How are programs developed and implemented within the institution? Are program descriptions completed on each program? Has any type of evaluation been conducted on these programs?

COMMENTS:. _____
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9.   Program direction

Probes: What are the institution's plans regarding future program direction? How are staff involved in these plans?

COMMENTS: _____

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10.   Program issues

Probes: Identify the issues/problems related to providing services and implementing programs within/without the institution? Explain. How might these be addressed?

COMMENTS: _____

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11.   Evaluative Research

Probes: Identify recent evaluations/research studies which will/may impact youth custody services or programs? Were recommendations provided? Have the recommendations been addressed? Is there a follow-up mechanism/system?

COMMENTS: _____

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12.   Communication

Probes: How is information communicated from management to line staff? line staff to management? Are unit meetings held? How often? What is discussed at unit meetings? Are minutes documented and circulated?

COMMENTS: _____

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13.   Staff training

Probes: What orientation/training is provided to recently hired staff? Are staff skills assessed and training needs identified in the institution? How is this done? How often?

COMMENTS: _____

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14.   Training resources

Probes: How are staff informed of training opportunities, courses and conferences? What is the process for youth custody staff to access training resources?

COMMENTS: _____

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15.   Recording training attended

Probes: Is there a system for recording the training attended by individual youth custody staff? Explain. Do staff provide a synopsis of content covered in training they have attended? How is this done?

COMMENTS: _____

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16.   Performance appraisals

Probes: Is a youth custody staff's work performance appraised? How often? By who? Explain the process. What information is included in appraisals? Are there apparent benefits to regular and formal performance appraisals? Explain.

COMMENTS: _____

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17.   Job descriptions

Probes: Are there job descriptions for all staff working within the youth custody
institution? Are these up-to-date? (Physical inspection).

COMMENTS: _____

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18.   Security and staff safety

Probes: Identify issues/concerns regarding security and staff safety in the
institution? How might these be addressed? What measures are undertaken to
enhance security and staff safety?

COMMENTS: _____

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YOUTH CUSTODY INSTITUTION

OPERATIONAL REVIEW

Table of Contents

<u>OPERATIONAL REVIEW</u>

<u>Subject:</u> INTRODUCTION

<u>Background:</u>

With the growing concern for accountability and self-improvement, evaluation methods and processes are rapidly becoming regular practice in public organizations. In May, 1989 the Manitoba Corrections Division of the Department of Justice initiated "operational reviews" to assess the effectiveness and efficiency of Adult, Youth and Community Corrections. Operational reviews emphasize the process of using correctional managers and staff to monitor the performance of correctional offices/institutions systematically against established policy and procedures. The main goal is to assess and improve the policy, procedures, operations and service delivery of correctional settings in the province. Anticipated results of these evaluations would include: effective correctional management and planning, enhanced policy and procedures and quality services to offenders in Manitoba.

<u>Objectives:</u>

Operational reviews for youth custody institutions have multiple objectives which include:

- assessing and identifying management and operational issues relative to youth custody, policy, procedures and practices,
- determining overall staff compliance with existing policies and procedures,
- providing youth custody institutions with constructive feedback to assist in program planning, development and delivery, and
- identifying developmental training areas for institutional managers and staff.

<u>Design:</u>

The operational review manual is separated into 5 major sections consisting of:

- Section I - <u>Instructions</u> - introduction to and instructions for implementing the youth custody institution operational review.
- Section II - <u>Program Documents</u> - descriptive/research documents relevant to the operations of the youth custody institution.
- Section III - <u>Resident Files</u> - services/activities provided to young persons in custody and documented on resident files.
- Section IV - <u>Interviews</u> - questionnaires for superintendents, youth custody staff, residents and collateral persons
- Section V - <u>Administrative and Physical Inspection</u> - administrative systems and documents to be inspected.

<u>Operational Review Team:</u>

A team approach is used when conducting operational reviews and team members may volunteer or are appointed by Corrections Senior Management. Correctional staff from Adult, Community and Youth Corrections comprise the operational review team which consists of 5-6 individuals. Persons external to Corrections are used occasionally and where appropriate. A team manager is appointed to coordinate, implement and oversee the youth custody institution operational review.

<u>Scope of the Review:</u>

The operational review comprehensively evaluates the operations of a youth custody institution based on current policy, procedures and practices. All levels of custody within the institution are assessed including remand, open and secure custody.

Frequency:

Operational reviews of youth custody institutions are conducted once every two year period (or more frequently if the Executive Director considers this necessary).

Orientation Prior to Review:

The team manager is responsible for scheduling and coordinating an orientation session for operational team members prior to commencement of the actual review. The purpose of the meeting is to acquaint team members with the operational review manual and process, provide any background information on the institution and its distinct features, offer clarification/guidance and to arrange work schedules and assignments.

Summary Report:

Within six weeks from the completion of the operational review, the team manager compiles a written summary of findings which is presented to the Executive Director - Community and Youth Corrections and the superintendent of the youth custody institution reviewed. The superintendent circulates the report to supervisory staff for review and comments. A plan of action is then developed which includes a statement of priorities, action steps to address findings of unsatisfactory compliance, anticipated completion dates and a mechanism for monitoring results. The plan of action and relevant comments are documented, signed and forwarded to the Executive Director (or delegate). The Executive Director (or delegate) reviews the documentation, authorizes the action plan and administers the follow-up.

Follow-up:

Action plans are approved if seen as appropriate for a particular youth custody institution. Once approved a strategy for monitoring the action plan is developed and documented involving the Executive Director (or delegate) and the superintendent of the youth facility. Progress towards achieving the action plan is reviewed at least twice prior to the subsequent operational review. A date for the next operational review is indicated in the follow-up strategy.

OPERATIONAL REVIEW

Subject: INSTRUCTIONS FOR LIAISON PERSONS

Appointment of Liaison Persons:

Liaison persons (2 or 3) are appointed in the youth custody institution to assist the review team in the preparation for and completion of the operational review.

Information Provided to the Review Team Manager:

The liaison persons obtain and provide the review team manager with the following information and lists two weeks prior to the operational review:

1. Institution documents relevant to operations, programs and service delivery which includes:
   - updated organizational chart
   - institution's mission statement
   - staff lists including names, position and classification
   - most recent annual report
   - program descriptions (e.g. sex offender, life skills, thinking errors, etc.)
   - recent research studies completed and follow-up documentation and
   - workload statistics

2. Lists of young persons admitted to the institution and pertaining to the following categories:

   - Remand custody (Manitoba Youth Centre only)

   - all active cases (identify youth in remand custody for more than one month and youth released on interim release in the past month)
   - remand cases closed during the past month
   - youth transferred to adult correctional institutions in the past 6 months

   - Open custody

   - all active cases (identify youth in open custody for more than six months, youth on overnight temporary absences from the institution, youth who escaped custody or are unlawfully at large and youth placed in open custody homes)
   - cases closed during the past three months
   - youth released on formal custodial review in the past 6 months

   - Secure custody

   - all active cases (identify youth in secure custody for more than six months and youth who escaped custody or are unlawfully at large)
   - cases closed during the past three months
   - youth released by formal custodial review in the past six months
   - youth transferred to adult correctional facilities in the past 3 months

3. A list of collateral persons who have regular contact with the youth institution and its staff which may include: police officers, probation staff, volunteers, sheriff officers, resident's parents/guardian, child and family service workers, adult corrections staff, forensic staff, custody support staff, MaMaWi bail program (MYC), chaplain, nurses/doctors, schools, open custody home operators, volunteers, judges, crown attorneys, defence counsel, teachers, etc. Telephone numbers for collateral persons are indicated on the list.

Additional Responsibilities of the Liaison Persons

Random lists of staff, young persons and collaterals are prepared and once these are received from the operational review team manager, the liaison persons prepare in advance and arrange for the following persons and files to be available to the review team on specified days of the operational review.

1. Administrative and Physical Inspection - Ensures that all documentation required for review in this section are identified and available to the review team on the day of the operational review. This includes: personnel and volunteer files, policy/procedures manuals, administrative filing system, card index, meeting minutes, closed file system, budget information, reference materials and government owned vehicles assigned to the institution.

2. Resident Files: The resident files selected by the review team manager to be reviewed and they are to be separated according to level of custody and cottage and clearly identified for easy access by the review team. (active cases - cottage file and administrative file if required, closed cases - administrative file).

3. Other Documentation: All other relevant documentation such as cottage logs, incident reports, visitor registers, offender property lists, and admission records for the past three months must be readily available to the review team.

4. Space and Utilities: A room with space for five or six people to work, with easy access to private telephones and private interview space.

5. Youth Custody Staff:

   - All supervisory staff and coordinators to be present if possible at the beginning of the review to be introduced to the review team and the operational review process

   - Schedule interviews with selected youth custody staff which will not exceed half an hour, during the first day of the review. The review team may approach staff later in the review if any clarifications are required following file/documentation review.

   - The review team meets with the superintendents and supervisory staff at the completion of the operational review to present major findings and themes

6. Resident Interviews: From the sample list provided by the review team manager, the liaison persons arrange for a minimum of twenty residents to be available for interview and the sample will be representative of each cottage in the institution.

7. Collateral Interviews: Advance notice to collateral persons selected for interview is provided by the liaison persons (if reasonably possible).

Liaison Person's Role During the Review:

The liaison persons are available to assist the review team throughout the period of the on-site operational review.

OPERATIONAL REVIEW

Subject: GENERAL INSTRUCTIONS FOR REVIEW TEAM

Data Sources:

The review team bases its findings on a number of data sources including: program correspondence and documentation, resident files, observations, physical inspections as well as interviews.

Subjects, Sample Size and Ratings

The subjects and samples to be examined are listed on a facesheet preceding each subject area in the operational review manual. Generally, the sample of resident files reviewed or young offenders interviewed should number 20 or more for each procedure, however, there are situations where this is not practical. Furthermore, the same resident files are reviewed for several different subject areas and may not be applicable when reviewing certain procedures.

A range of compliance rates for procedures reviewed (e.g. file reviews only) are referred to in the findings. The range of rates are: exceptional compliance - 95% - 100%, good compliance - 85% - 94%, borderline compliance - 76% - 84% and unsatisfactory compliance - 75% and under. Exceptional or creative initiatives may be commented upon and findings of unsatisfactory compliance are accompanied by supporting information or observations.

The formula used to calculate the compliance rate is:

$$\frac{\text{Compliance score}}{\text{(Total sample - Non-applicable score)}} \times 100 = \text{Compliance Rate}$$

Compliance rates are documented on the summary sheet located at the end of each subject area.

Resident File Review and Interview Work Sheets

The review team uses assigned code numbers on the facesheet rather than names, to identify each file reviewed and person interviewed. This code number is recorded in the appropriate row (eg. non-applicable, compliance and non-compliance) on the work sheets, for each of the procedures examined. The code numbering system used should be simple and easily referenced.

Summary Sheets:

The summary sheets located at the end of each subject category are completed by the team members reviewing the particular area. These sheets assist the operational review team in verbally presenting the findings to the superintendent and supervisory staff of the youth custody institution. They also assist the team manager in preparing the summary report. Once the summary report is completed the summary sheets are attached and forwarded to the superintendent as an additional information source.

Discretion of Review Team Members:

The review team conduct reviews and base judgements as to compliance or non-compliance on the spirit rather than the letter of written policy/procedures. Issues involving questionable findings are directed to the operational review team manager.

Coordination of the Review Process:

The review team manager is responsible for coordinating the operational review process. Prior to the operational review the team manager convenes a meeting with all team members to determine work assignments and a tentative schedule for the institutional review. These are documented and forwarded to review team members, the institutional liaison persons and the superintendent of the youth custody institution.

In some instances, the review team manager may assign more than one team member to conduct a joint review of the same set of procedures (eg. subjects with large samples, or borderline compliance rates). When file or interview information is conflicting, team members may choose to interview youth custody staff or others to obtain clarification or verification. Those situations where clarifications are sought are recorded so they can be accurately reflected in the summary report.

Documenting Findings of Non-compliance and Non-applicable:

For each file rated as non-compliant, or non-applicable for a specific procedure, review team members record the reasons for the finding with supporting data and documentation in the comments portion of the work sheets. The code number of the respective resident file is also indicated. The worksheets are submitted to the review team manager and summarized in the final summary report.

Summary Report:

The team manager collates all information collected by the review team and prepares the final report within six weeks of the operational review. The summary report is signed by all members of the review team and submitted to the Executive Director - Community and Youth Corrections and the superintendent of the youth custody institution. The superintendent reviews the report with supervisory staff and documents any additional information or comments to the report. In addition, a written action plan to address identified areas of unsatisfactory compliance is developed and attached to the summary report by the superintendent and forwarded to the Executive Director within eight weeks of receiving the report. A mechanism for monitoring the institution's action plan is then developed jointly by the superintendent and the Executive Director (or delegate).

General Instructions For Interviews and Physical Inspections

1. Interviews:

   - Interviews are to gather facts/information - interpreting, critiquing or preaching is unnecessary.
   - Proper instructions, politeness and courtesy is required at all times.
   - Procedures/findings are not explained/described unless necessary to highlight a problem or positive feature.
   - Comments are documented in a clear and concise fashion.
   - Review team members may prefer to take brief notes in the interview and record this information in a neat and legible manner on the work sheets immediately following the interview.
   - The suggested "probe questions" should be used only if needed and to facilitate or focus the interview.
   - Team members may change the sequence of procedures reviewed providing that all applicable procedures are covered.
   - For offender interviews, the corresponding resident file is requested and reviewed in light of the information obtained during the interview.
   - Policy/procedural issues and suggestions for improvement are recorded under the comments heading.

2. Collateral Interviews:

   - General questions are addressed to each collateral person interviewed.
   - Specific procedures are reviewed with certain collaterals, (e.g. probation officers, parents, guardians, etc.) and depend on the nature of their contact with the youth custody institution.
   - Interviews should focus on procedures which directly involve the collateral person and their dealings with the youth custody institution.
   - These findings might be more subjective in nature and are reported as "summary opinions" under the comments heading.

3. Administrative and Physical Inspection Work Sheets

   This section of the review is based primarily on the examination of administrative systems, documentation and other physical evidence but may also include interviews with administrative or youth custody staff. For each procedure, the review team member records the nature of the documentation or other evidence observed and the supporting data for findings of non-compliance under the comments heading.

Subject: SPECIFIC INSTRUCTIONS FOR TEAM MANAGER

Duties of Review Team Manager Prior to the Operational Review:

1.   The manager consults with the Community and Youth Corrections - Directorate for an up-to-date list of reference materials and administrative files to be available in the youth custody institution.

2.   Attends the youth custody institution prior to the operational review, to explain the review manual and process to the liaison persons and superintendents.

3.   Ensures that review team members receive the operational review manual and any other pertinent information one week in advance of the operational review.

4.   Convenes an orientation meeting for the operational review team to acquaint them with the review manual and process, to arrange a tentative work schedule and to assign specific duties to individual team members.

5.   Sample lists are prepared by the team manager and a code number is placed beside the name of each file reviewed or person interviewed.

6.   The team manager randomly selects samples of the files to be reviewed and persons to be interviewed for each subject area keeping the following in mind:

- sample lists are compiled from the lists provided by the institutional liaison persons
- samples selected are representative of each custody level (eg. remand, open and secure) and of each cottage in the institution.

7.   Determines a representative sample of residents and youth custody staff to be interviewed and requests the liaison person prearrange interviews on scheduled dates.

8.   Selects a sample of collateral persons to be interviewed.

Responsibilities During and After Review:

1.   Immediately prior to commencing the operational review, the team manager arranges for the review team to meet with the institution's superintendents and supervisory staff to:
- introduce the operational review team members
- to explain the objectives and process of the review and
- address any concerns about confidentiality

2.   Before completion of the on-site operational review, the team manager reviews the findings with team members and documents any exceptional or creative performances within the institution.

3.   At the conclusion of the operational review, the team manager and review team present a synopsis of the findings to the superintendents and supervisory staff of the institution commenting on areas of unsatisfactory compliance, general impressions and major themes.

4.   A summary report is completed by the team manager within six weeks for the operational review's completion date. Once written the report is reviewed and signed by all operational review team members.

5.   The summary report and summary sheets are forwarded to the superintendent of the youth custody institution and the Executive Director - Community and Youth Corrections.

OPERATIONAL REVIEW

Subject: THE SUMMARY REPORT

Content:

The summary report should be concise, as specific as possible and clearly written. Information relative to policy/procedures reviewed and the operations of the youth custody institution is provided. The performance of individual cottages or staff are not referred to in the summary report.

Although variation in the format may occur the report should address the following areas:

1.   Introduction:

- introduce the operational review team,
- identify the dates of the review and the youth custody institution reviewed and
- provide a brief description of the youth custody institution.

2.   Operational Review Methodology:

- describe the methodology used in the operational review,
- identify auxiliary documents/information considered in the review and
- provide comments relating to the application of the operational review in the institution.

3.   Summary of Findings:

Discuss sample size for each subject area and major findings of the operational review team covering each subject area including:

a) Program documentation/correspondence
b) Resident Files
   - Admission/Discharge
   - Case Management
   - Disciplinary Measures
   - Temporary Release
   - Medical Services
   - Young Offender Records
   - Security
   - Cottage/Operational logs
c) Interviews
d) Administrative and Physical Inspection

4.   Summary

This section of the summary report presents a synthesis of the information obtained as a result of the operational review and documents:
- exceptional compliance or creative performance,
- areas of borderline or unsatisfactory compliance which require immediate attention and
- any suggestions directed at resolving problems/deficiencies

Cross Referencing Subjects and Information:

To successfully complete a thorough and precise summary report, cross referencing of the data sources for certain policy/procedures is necessary. These are listed below with the appropriate references to section, subject and page number(s).

(Note: to be developed on completion of the O.R. Manual)

Process Following Completion of Report:

The team manager collates information obtained in the operational review and compiles a summary report of findings within six weeks of the on-site operational review. The report is reviewed and signed by the operational review team members before it is forwarded to the Executive Director - Community and Youth Corrections and the superintendent of the youth custody institution. The superintendent and supervisory staff review and comment on the summary report and then develop an action plan which includes a statement of priorities and steps to address findings of unsatisfactory compliance. The action plan is attached to the summary report which is signed by the superintendent and forwarded to the Executive Director within eight weeks of receiving the summary report. A mechanism for monitoring the institution's action plan is then developed jointly by the superintendent and the Executive Director (or delegate).

Storage of Summary Reports:

The summary report, operational review manual and working papers, the action plan and the mechanism for monitoring the plan are considered confidential information and must be handled and stored in a manner which ensures confidentiality. This information is retained at the Community and Youth Corrections Directorate, 172 Doncaster Street, Winnipeg, Manitoba. R3N 1X9.

YOUTH CUSTODY INSTITUTION   Sec.III/Sub.01-07

OPERATIONAL REVIEW

SUBJECT: RESIDENT FILES

SAMPLE: Twenty percent (or a minimum of 20) of active resident files and a minimum of 30 resident files closed in the past 1 to 3 months. The sample is representative of each level of custody and cottage within the youth custody institution.

*Confidential - for use of Operational Review Team only

Code#	File #		Code#	File #

I.   ADMISSION/DISCHARGE

# 1	Admission documents	Proper documentation (e.g. transfer/committal warrants, police report, IPDA's, etc.) is required before a young person is admitted to a youth custody facility. (Placed on resident-file.)
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____

# 2	Admission/ discharge sheet	An admission/discharge sheet is completed on each young person admitted to the custody institution.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____

# 3	Urgent information	Any urgent information (e.g. medical, security) received prior to or during the young person's admission is recorded and placed on the resident's file. (Includes warning forms when youth transferred between institutions.)
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____

ADMISSION/DISCHARGE

# 4	Offender property	A complete list of the young person's property upon admission is compiled.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
_____
_____
_____
_____

# 5	Verifying property lists	Once the property list is complete, youth custody staff shall obtain the signature of the youth to verify the list. If youth refuses or is unable to sign, a senior officer's signature is obtained.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
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_____
_____

# 6	Caution to offenders	Staff explain to the offender that reasonable measures will be taken to protect personal property but its safekeeping cannot be guaranteed. The offender signs an acknowledgement indicating the cautions are understood.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
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_____
_____

ADMISSION/DISCHARGE

# 7	Informing parents/ guardians	The officer-in-charge at the youth institution contacts the parents/guardian of the newly admitted young person to advise of detention and determine security risk.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
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_____

# 8	Picture of offender	A young person committed to custody is photographed prior to being placed in a cottage. (MYC – inspect photographs at admissions/N/A for remand cases)
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
_____
_____
_____

# 9	Institutional rules and regulations	Once the young person is placed in a cottage, staff explain the rules, regulations and routines of the institution as outlined in a document provided to the resident.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____
_____
_____
_____

ADMISSION/DISCHARGE

# 10	Property returned	Upon discharge, all personal property kept in storage is returned and the young person signs the property list acknowledging receipt of these articles.
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____

_____

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_____

# 11	Discharge date	A young person's discharge date from custody is recorded (MYC - admission/discharge sheet).
	Non-applicable	
	Compliance	
	Non-compliance	

COMMENTS: _____

_____

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_____

Youth Custody Institution
Operational Review

ASSESSMENT REPORT

Pilot Operational Reviews
Agassiz Youth Centre
February 17, 1992
Manitoba Youth Centre
February 18, 1992

Confidential
Date: May 18, 1993

Operational reviews monitor the performance of youth correctional institutions systematically against established policy and procedures. The main goal is to assess and improve the policy, procedures, operations and service delivery of correctional settings in the province. Anticipated results of these evaluations would include: effective correctional management and planning, enhanced policy and procedures and quality services to offenders in Manitoba.

An important step in developing the operational review manual and process for youth custody institutions in the Province was piloting the implementation of the operational review in each facility. The objectives of the pilot reviews would be to assess the applicability of the manual and process, to determine appropriate samples of files to review and interviews to conduct, to identify methodologies which facilitate implementation in each institution and to make final revisions to the manual prior to actual operational reviews.

PILOT METHODOLOGY

Pilot operational reviews were conducted at Agassiz Youth Centre on February 17, 1992 and the Manitoba Youth Centre on February 18, 1992. The operational review advisory committee comprised of Jan Burns, Jim McCausland, Jim Malenchak, Don Davis and Bill Sedo conducted the reviews.

The youth custody institution pilot operational reviews were small scale evaluations focusing on the content and adequacy of the operational review manual and process. Specific areas reviewed in the pilots were: resident files, cottage logs, resident, youth custody staff and supervisor interviews. Program document review, administrative and physical inspection and interviews with superintendents and collaterals did not occur.

Prior to each pilot review, appropriate and representative samples were chosen and work assignments made. Committee members from the institution being reviewed acted as liaisons and assisted in locating files, cottage logs and individuals to review/interview. Information relative to the facilities' operation and obtained as a result of the operational reviews will not be commented upon in this report as the main purpose was to assess the operational review manual and process.

PILOT SAMPLES

A number of resident files and cottage logs were reviewed and interviews conducted during the pilot operational reviews. These are indicated for each institution.

Agassiz Youth Centre

Resident files	-	12	(6 open/6 secure)
Cottage logs	-	4	(2 open/2 secure)
Supervisor interview	-	1	
Youth custody staff interviews	-	4	(2 open/2 secure)
Resident interviews	-	5	(3 open/2 secure)

Manitoba Youth Centre

Resident files	-	15	(3 remand/6 open/6 secure)
Cottage logs	-	3	(1 remand/2 open/2 secure)
Supervisor interview	-	4	(1 remand/2 open/2 secure)
Youth custody staff interviews	-	3	(1 remand/1 open/1 secure)
Resident interviews	-	6	(2 remand/2 open/2 secure)

ASSESSMENT

The pilot operational reviews provided information and insight to the implementation of operational reviews in the youth custody institutions. Each area included in the pilot reviews is assessed and commented upon in this section.

Resident files

A significant amount of time was spent reviewing resident files during the pilot reviews. This section of the operational review manual was found to be overly comprehensive and in definite need of reducing. Repetitiveness and overemphasis in reviewing procedures relative to certain areas (e.g. discipline, temporary releases, security) was noticeable. Also, it was observed that some procedures had more than one component and this made it difficult for reviewers to determine compliance or non-compliance. A small number of procedures were too specific to situations which occurred infrequently in the institution. Subsequently, most files were found not applicable for review for these procedures and little information was obtained.

Cottage logs

This section of the operational review manual did not require significant revision although it was commented that non-compliance is somewhat difficult to determine for certain procedures (e.g. identifying security risks) if they do not apply.

To assist in implementation of the operational review at the Agassiz Youth Centre, "Daily Action Books" will be examined for this section.

Supervisor interviews

       The supervisor interview instrument was found to be quite functional in obtaining required information and no revisions to this section were necessary. Interviews were timed and some were quite lengthy (45 minutes plus). Group interviews for supervisors may need to be considered in the actual operational reviews.

Youth custody staff interviews

       The instrument for interviewing youth custody staff was excessive and required shortening and revision. Interviews with youth custody staff usually were over 45 minutes and covered areas of responsibility in too much depth. Duplication and repetitiveness was evident and will need to be addressed. It is also suggested that youth custody staff be interviewed in small groups (3 - 5) if possible.

Resident interviews

       Resident interviews conducted were brief (15 minutes) and extracted the information needed to corroborate resident file reviews and other interviews. No revisions are required in this section.

SUMMARY AND RECOMMENDATIONS

       Overall, the pilot reviews of the youth custody institutions were quite successful in obtaining information relative to institutional operations, policy, procedures and programs. Refinements and reductions in a couple of the sections and utilizing group interviews for supervisors and youth custody staff would streamline the operational review manual and process. Expediency in completing the operational reviews with minimal disruption to the daily operations of the youth custody institutions is achievable and realistic.

       Some recommendations related to completing the operational reviews in the youth institutions are provided:

1   Revisions to the operational review manual be done immediately and the finalized version forwarded to the Directors - CYC and the superintendents of youth custody institutions.
2   Dates for the full scale reviews be arranged for each custody institution (early May and June '92).

3   Advisory committee members be utilized as operational review team members or liaison persons in "sister" institutional reviews.

4   Operational review teams be established and a thorough orientation to the manual and process occur prior to the reviews.

5   Peculiarities to implementing the operational review at each institution be identified and a plan to address the same be developed.

6   Group interviews with superintendents, supervisors and youth custody staff be considered instead of individual interviews.

Respectfully Submitted

_____
YCIOR Advisory Committee

COMMUNITY & YOUTH CORRECTIONS - OPERATIONAL REVIEWS
TRACKING SYSTEM

Date(s) Completed

Date Revised: _____

*Brackets indicate timeline ranges for completion   **Follow-up sessions occur at 6-8 month intervals following approval

Region/District	Operational Review (3-4 days)*	Summary Report (4-6 weeks)	Strategic Plan Submitted (6-8 weeks)	Strategic Plan Approved	First Follow Up**	Second Follow Up**	Subsequent Operational Review

Dear

Over the past year I have been involved in planning for and developing an operational review manual for the youth custody institutions in Manitoba. I undertook the project to partially fulfill the requirements for the Masters degree in Social Work.

I am in the process of compiling a practicum report and need your assessment of the operational review manual's potential utility in the youth custody institutions. I would ask that you focus specifically on my demonstrated abilities and skills in planning for and producing the manual and process for operational reviews.

Please complete the enclosed questionnaire and return it to me (address:
) by May 15, 1993. Your prompt response would be greatly appreciated.

Thanking you in advance for your anticipated cooperation.

Yours truly,

Bill Sedo

Enc.

UTILIZATION ENHANCEMENT CHECKLIST

Carefully review each statement and please indicate your opinion by checking (✓) only one of the responses provided. In sections "A" "B" and "C", the five responses are Strongly Agree (SA), Agree (A), Disagree (D), Strongly Disagree (SD) and Undecided (U). Sections "D" and "E" include the responses Yes (Y), No (N) and Undecided (U). The final section "F" is for any other comments and suggestions you may have respecting the planning for and development of the institutional operational review.

A. Determining the Evaluator's Role

In your opinion did the student have:

		SA	A	D	SD	U
1.	A reasonable level of personal congruence with Branch and institutional goals.	( )	( )	( )	( )	( )
2.	Personal commitment to the importance of conducting the operational review.	( )	( )	( )	( )	( )
3.	Sufficient consulting skills to meet the demands and complexities of the operational reviews.	( )	( )	( )	( )	( )
4.	Sufficient technical skills, time and resources to conduct a utilization - focused evaluation.	( )	( )	( )	( )	( )
5.	Credibility and trust with Directors, Superintendents and staff.	( )	( )	( )	( )	( )

B. Understanding the Organizational Context

In your opinion did the student have:

		SA	A	D	SD	U
1.	A good understanding of the Branch and institutional organizations and key people within each.	( )	( )	( )	( )	( )
2.	An understanding of the policy making process in each organization.	( )	( )	( )	( )	( )

3. Consultations with decision makers and key staff to plan for the operational reviews. ( ) ( ) ( ) ( ) ( )

4. Commitment to the evaluation activity and uses of evaluation information from those sponsoring the operational reviews. ( ) ( ) ( ) ( ) ( )

5. Knowledge of the information sources and channels within the Branch and institutions. ( ) ( ) ( ) ( ) ( )

C. Planning the Evaluation

In your opinion did the student have:

	SA	A	D	SD	U
1. A clear understanding of the role of operational reviews in the institutions.	( )	( )	( )	( )	( )
2. Sessions with key people to discuss the evaluation plan and its implementation.	( )	( )	( )	( )	( )
3. An idea of likely sources of resistance to results of the operational reviews.	( )	( )	( )	( )	( )
4. A plan to provide information from the operational reviews to various audiences.	( )	( )	( )	( )	( )
5. An evaluation plan that has technical credibility and provides needed information.	( )	( )	( )	( )	( )

D. Conducting the Evaluation

In your opinion were the planned operational reviews to:

	Y	N	U
1. Make sure that everyone understood the purpose of the operational reviews.	( )	( )	( )
2. Involve key personnel in determining the purposes, issues and general evaluation strategies.	( )	( )	( )

3. Collect data from multiple sources.   ( )   ( )   ( )

4. Assure data collection instruments and procedures were   ( )   ( )   ( )
   understandable and relevant.

5. Allow for the evaluation plan to be adapted to meet   ( )   ( )   ( )
   changing information needs.

E. Communicating the Evaluation Information

   In your opinion were the planned operational reviews to:

                   Y   N   U

1. Involve corrections staff in assisting with the   ( )   ( )   ( )
   interpretation of findings.

2. Communicate major findings prior to formal report   ( )   ( )   ( )
   deadlines.

3. Share rough drafts or preliminary thoughts with key   ( )   ( )   ( )
   persons before compiling the final report.

4. Make presentations of the results understandable and   ( )   ( )   ( )
   easy to follow.

5. Keep written reports concise and brief.   ( )   ( )   ( )

F. Other Comments or Suggestions:

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