

FINAL REPORT

1897

A SYSTEM REVIEW OF THE VIRGINIA  
ALCOHOL SAFETY ACTION PROGRAM

by

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(The opinions, findings, and conclusions expressed in this  
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## ABSTRACT

In March 1979, the Virginia General Assembly gave the Virginia Department of Transportation Safety (VDTS) the power and responsibility to make binding policy and set standards for the local Virginia Alcohol Safety Action Projects across the state. In an attempt to assist the staff of the VASAP State Office in setting standards, a complete system review was initiated by the Virginia Highway and Transportation Research Council. During the summer of 1979, a comprehensive list of persons and agencies associated with the program was compiled, and researchers interviewed the VDTS staff, the VASAP staff, representatives from numerous agencies having roles within the VASAP, and local project directors and their staffs. The interviews concentrated on the efficiency and effectiveness of communications and operations within four major categories: (1) the relationship between the VDTS and the VASAP, (2) the internal operations of the VASAP State Office, (3) the relationship between the VASAP and other state agencies, and (4) the relationship between the VASAP State Office and its local programs.

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## INTRODUCTION

In March of 1975, the Virginia General Assembly passed House Bill 1662, which gave the Virginia Department of Transportation Safety (VDTS), which then was the Highway Safety Division of Virginia, the power to operate "driver education programs and alcohol treatment and rehabilitation programs in connection with highway safety." This was essentially the first step in the creation of a network of local alcohol countermeasures projects which became the Virginia Alcohol Safety Action Program, or VASAP.

The legislation creating the VASAP can be termed "purposefully vague" in that it left the determination of the form the program would take and the methods to be used to establish the program to the discretion of the VDTS. The VASAP State Office, in the person of the first VASAP administrator, encouraged proliferation of the local ASAPs\* by giving each locality maximum freedom in developing the character of its own program. Each local ASAP was allowed to choose its own administrative and fiscal agents, who determined the policies and guidelines the program would follow. The VDTS funded feasibility studies in each region, allowing for the formulation of the format and content of the new program, and the VDTS also offered funding assistance for up to three years of original operation. In return for this funding, the localities were required to establish an operational program with sufficient defendant flow and to follow the basic tenets of the VASAP concept (the use of alcohol rehabilitation in combination with traditional criminal sanctions and the use of multiple countermeasures within the community to reduce drunk driving). Other than that, the content of the program and the types and sources of auxiliary services offered were largely left up to the individual program directors and their administrative

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\*Throughout the report, the local programs will be referred to as "local ASAPs" and the Richmond office as the "VASAP State Office."

agents. This open-ended approach was extremely successful in establishing a network of local programs covering over 87% of the population of the state by the end of 1978. However, this approach also yielded 25 programs which were extremely diverse, and difficult to manage and coordinate efficiently. Partially as a result of this diversity, policy was often made on an individual ASAP basis rather than for the system as a whole, and the standardization of procedures was made difficult because of pre-conceived attitudes of autonomy on the part of both the ASAPs and the VASAP State Office.

During both the 1978 and 1979 sessions of the General Assembly, the VASAP system came under legislative scrutiny. As a result, on March 23, 1979, the General Assembly of Virginia amended and reenacted §18.2-271.1 of the Code of Virginia. For purposes of this report, the relevant part of this legislation states:

(d) The Department of Transportation Safety, or any county, city, town, or cities or any combination thereof may establish and, if established, shall operate in accordance with the standards and the criteria required by this subsection alcohol safety action programs or driver alcohol treatment and rehabilitation programs or driver alcohol education programs in connection with highway safety. The Department of Transportation Safety and the Department of Mental Health and Mental Retardation shall establish standards and criteria for the implementation and operation of such programs. The Department of Transportation Safety shall establish criteria for the modalities of administration of such programs, as well as public information, accounting procedures and allocation of funds. Funds paid to the State hereunder shall be utilized by the Department of Transportation Safety to offset the costs of State programs and local programs run in conjunction with any county, city or town. The Department of Transportation Safety shall submit an annual report as to actions taken at the close of each calendar year to the Governor and the General Assembly.\*

This section represents a major change in VASAP policy because the law did not previously require the VDTS or the Department

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\*"Selected Highway and Transportation Safety Acts of the 1979 Virginia General Assembly," pp. 35-36. The portions underlined were added by the 1979 revision.



of Mental Health and Mental Retardation to set any administrative or organizational standards for the local ASAPs. It merely gave the VASAP State Office the option to do so. Also, any standards which were previously promulgated were not binding upon the local ASAPs. (Again, as a result, the local ASAPs were developed with the use of few guidelines from the VASAP State Office and thus they differ greatly from one another in many respects including their organization and programs.)

As a result of this legislative increase in responsibility and as a result of increasing emphasis on consistency among programs, the VDOTS requested that the Research Council undertake a comprehensive study of the VASAP system. The first aspect of that system to be considered was the lack of standardization among programs.

Tables 1-5 illustrate the wide differences that have developed among the local ASAPs partially as a result of this lack of central policy and formal organization. (FY 1978 data are used in these tables because of the incompleteness of more recent data sets.) Tables 1, 2 and 3 list a number of statistics relating to the efficiency of the organizational structure of the local ASAPs. These tables relate the size of the ASAP staff to the number of licensed drivers, arrests for driving under the influence (DUI), and the number of local referrals in each region, respectively. Admittedly, staff size cannot relate perfectly to these parameters in every case, because even in an area with relatively few licensed drivers there is a certain number of essential core staff members. However, one would expect the ratio of licensed drivers to staff in each ASAP to be roughly constant across the state, if each ASAP office was the optimum size for its region. Likewise, significant variations in the numbers of DUI arrests per staff member among local ASAPs would seem to indicate that some of the offices are either over or under staffed, or that there are problems with the enforcement countermeasures. Ideally there should be a norm for the number of arrests that a given staff size "generates" through its police liaison operations if the ASAPs are all operating efficiently. Similarly, the sharp variance in the numbers of referrals per staff member probably indicates inappropriate staffing or a local weakness in the court referral system that the ASAP should address. Again, if the ASAPs are efficiently performing their court liaison functions, there should develop optimum numbers of referrals that the staffs can "induce" the courts to make. Thus the diverse referrals per staff member figures indicate that there probably is room to improve the court liaison programs' effectiveness.

A more technical and statistically oriented observation of the data in Tables 1, 2 and 3 illustrates another problem. One can see that the numbers of licensed drivers, DUI arrests and local referrals per staff member for the local ASAPs possess the characteristics of a normal distribution. That is, the data have the same distribution that they would if they were randomly generated without any underlying plan or direction. To the extent that these statistics are

relevant indicators of organizational efficiency, they demonstrate a need for greater direction and guidance of the local ASAPs to correct inadequate or excess staffing as well as to improve their staffs' efficacy.

Table 4 indicates the percentages of the ASAPs' defendants classified as Level I, II, or III drinkers for training and rehabilitation purposes. The significant variation here could mean that the composition of the clientele differs among ASAPs. This in turn may indicate that the parent populations differ, that the local judges refer only certain types of drinking drivers to the program, or that the methods of classification used by the local ASAPs vary widely. It is unlikely that the parent populations of the ASAP regions differ as widely as the classification data. Thus, the variance is more likely the result of the classification technique or court referral patterns. In the former case, it could mean that some clients are being given the wrong treatment due to incorrect classification. Therefore, some standardization of the techniques would enable the programs to be designed for the appropriate defendants and the defendants to be assigned to the appropriate programs. If the court referral patterns are the cause of the variance, it suggests a need for more uniform court referrals so that all the drinking drivers are exposed to the rehabilitation programs.

The extreme variance among ASAPs in the percentages of defendants classified as Level I, II, or III drinkers also implies that the system lacks direction from a central source. The range of these percentages is very large, between 40 and 50 percentage points at each level. To the extent that this variance may reflect inadequacies in some of the ASAP programs, the VASAP State Office should address the issue.

Table 5 illustrates the great variance among the local ASAPs' rehabilitation programs with respect to the length of time that the defendants spend in the programs. For example, in the Cumberland Plateau ASAP, a Level I social drinker who rarely drives under the influence would receive thirty hours of training, whereas in the Arlington ASAP a Level III drinking driver must attend only twenty hours of training. Obviously the effectiveness of a training program depends more upon its content than its length, but the extent of the variance in the length of the programs strongly suggests that some local ASAP rehabilitation programs are not operating at their peak effectiveness and efficiency. With the broad experience the VASAP has now had with a variety of training programs, an optimum program or range of programs should be discernible, and the rehabilitation programs across the state should be brought into line with it. This conformity would provide for more effective implementation of the rehabilitation countermeasure than is now apparent and would also allow greater and more useful interaction and comparisons among the local ASAPs. Thus, as indicated by the variations in local ASAP characteristics, there are many areas where the VASAP State Office can develop standards in compliance with the new legislation and, more importantly, improve the effectiveness of the VASAP program.

Table 1

Staff Size of Local ASAPs and The Number of Licensed  
Drivers in Each Region Per Staff Member

Local ASAP Office	No. of Licensed Drivers (1/20/76) Per Staff Member <sup>a</sup>	Actual Staff Size-FY 1978
Arlington ASAP	14,363	8
Central Virginia	14,531	7
Cumberland Plateau	11,378	6
District Nine	8,362	6
Eastern Shore	8,684	3
Fairfax	22,177	17.5
First Planning District	12,480	4
John Tyler	16,361	10
Mental Health Ser.	22,083	7
Mt. Rogers	12,022	8
New River Valley	17,263	4
N. Meck/Mid. Pen.	9,845	6
Peninsula	15,396	12.5
Piedmont	9,000	5
Prince William	10,222	8
Region X	18,742	4
Richmond	17,202	8
S. E. Virginia	11,882	14
Southside	15,584	3
Tidewater	29,955	8.5
22nd Jud. Dt.	27,044	3
Winchester	4,308	7
	High	29,955
	Low	4,308
	Mean	14,950
		7.25

Notes: Demonstrative of the normal distribution of the licensed drivers per staff member data is the fact that 68.2% of the data are within plus or minus 1 standard deviation of the mean and 95.5% are within 2 standard deviations. The standard deviation for these data is 6,104.1

<sup>a</sup>The number of staff used in compiling the licensed drivers per staff member figures were those for FY 1978 as recorded in the "Summary of Local VASAP Data Provided by the Department of Transportation Safety." Also, the number used in computing the per staff data here and in the following tables includes all the staff members and not only case managers or any other individual portion of the staff.

Table 2

## DUI Arrests in ASAP Region Per Staff Member

Local ASAP Office	Number of DUI Arrests (1977) Per Staff Member
Arlington ASAP	128
Central Virginia	143
Cumberland Plateau	168
District Nine	86
Eastern Shore	51
Fairfax	184
First Planning	178
John Tyler	168
Mental Health Ser.	133
Mt. Rogers	135
New River Valley	211
N. Neck/Mid. Pen.	61
Peninsula	188
Piedmont	116
Prince William	65
Region X	119
Richmond	137 <sup>a</sup>
S. E. Virginia	157
Southside	133
Tidewater	252
22nd Jud. Dt.	180
Winchester	58
High	252
Low	51
Mean	139

Note: Demonstrative of the normal distribution of the DUI arrests per staff member data is the fact that 68.2% of the data are within plus or minus 1 standard deviation of the mean and 95.5% are within 2 standard deviations. The standard deviation for these data is 51.

<sup>a</sup>Arrest figures for Richmond did not include those in Goochland County.

Table 3

## Local Referrals Per ASAP Staff Member

Local ASAP Office	Number of Local Referrals Per Staff Member
Arlington ASAP	97
Central Virginia	98
Cumberland Plateau	56
District Nine	37
Eastern Shore	22
Fairfax	118 <sup>a</sup>
First Planning	60
John Tyler	100
Mental Health Ser.	107
Mt. Rogers	78
New River Valley	129
N. Neck/Mid. Pen.	32
Peninsula	157
Piedmont	71
Prince William	14
Region X	N/A <sup>b</sup>
Richmond	74
S. E. Virginia	87
Southside	73
Tidewater	119
22nd Jud. Dt.	45
Winchester	92 <sup>a</sup>
High	157
Low	14
Mean	79

Note: Demonstrative of the normal distribution of the local referrals per staff member data is the fact that 61.9% of the data are within plus or minus 1 standard deviation of the mean and 95.2% are within 2 standard deviations. The standard deviation for these data is 36.1.

<sup>a</sup>These figures include both local and transfer referrals because the data were not broken down along those lines for the Fairfax and Winchester ASAPs.

<sup>b</sup>Region X's program did not begin until 1978, therefore, there were no referrals in 1977.

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Table 4

## Drinking Level Classification of ASAP Clients

Local ASAP Office	Drinking Level Classification					
	% Level I		% Level II		% Level III	
Arlington ASAP	.4		35.9		63.7	
Central Virginia	9.8		59.9		30.3	
Cumberland Plateau	15.6		56.9		27.5	
District Nine	8.0		55.8		36.2	
Eastern Shore	0		58.6		41.4	
Fairfax	6.1		49.9		44.0	
First Planning	24.7		34.9		40.4	
John Tyler	10.2		53.3		36.5	
Mental Health Ser.	10.6		41.9		47.5	
Mt. Rogers	21.6		46.9		31.5	
New River Valley	10.0		47.8		42.2	
N. Neck/Mid. Pen.	7.9		29.8		62.3	
Peninsula	10.4		30.9		58.6	
Piedmont	0		54.9		45.1	
Prince William	12.8		63.2		24.0	
Region X	0 (est.)		50.0 (est.)		50.0 (est.)	
Richmond	12.9		34.9		52.2	
S. E. Virginia	1.1		55.9		43.9	
Southside	0		68.6		31.4	
Tidewater	10.8		36.9		52.3	
22nd Jud. Dt.	50.8		23.1		26.1	
Winchester	1.5		39.3		59.2	
High	50.8	High	68.6	High	63.7	
Low	0	Low	23.1	Low	24.0	
Mean	10.2	Mean	46.8	Mean	43.0	

Table 5

## Minimum Time Requirements for Training/Rehabilitation

Local ASAP Office	Level I	Level I & II Combined	Level II	Level III
Arlington	-	20 hr.	-	20 hr.
Central Virginia	8 wk.	-	13 wk.	20 wk.
Cumberland Plateau	30 hr.	-	39 hr.	33 hr. (22 wk.)
District Nine	14 hr.	-	32 hr.	12 wk. + 8 hr.
Eastern Shore	20 hr.	-	24 hr.	3 mo.
Fairfax	15 hr.	-	20 hr.	26 wk.
First Planning Dist.	16 hr.	-	36 hr.	30 hr.
John Tyler	15 hr.	-	33 hr. or 55 hr.	No time listed
Mental Health Serv.	16 hr.	-	24 hr.	24 hr.
Mount Rogers	24 hr.	-	44 hr.	16 wk.
New River Valley	24 hr.	-	30 hr.	-
Nor. Neck/Mid. Penin.	24 hr.	-	24 hr.	42 hr. (20 wk.)
Peninsula	20 hr.	-	29 hr.	22 wk.
Piedmont	20 hr.	-	32 hr.	8 hr. + 3 mo.
Prince William	20 hr.	-	24 hr. or 36 hr.	12 hr. + 6 wk.
Region X	-	20 hr.	-	36 hr. (24 wk.)
Richmond	-	24 hr.	-	3 mo.
Southeastern	-	36 hr.	-	3 mo.
Southside	-	27 hr.	-	37 hr.
Tidewater	-	36 hr.	-	12 wk.
22nd Judicial	-	35 hr.	-	34 hr. (17 wk.)
Valley	20 hr.	-	30 hr.	24 hr.
Winchester/Frederick	16 hr.	-	24 hr.	3 mo.
No. of regions with program (out of 23 reporting)	16	7	16	22
No. of regions reporting in hours	15	7	15	9
No. of regions reporting in weeks	1	0	1	16
Mean (hr.)	21 hr.	28.3 hr.	29.2 hr.	31.1 hr.
Mean (wk.)	-	-	-	16.1 wk.
High (hr.)	30 hr.	36 hr.	44 hr.	42 hr.
High (wk.)	-	-	-	26 wk.
Low (hr.)	14 hr.	20 hr.	20 hr.	20 hr.
Low (wk.)	-	-	-	6 wk.

There are other areas of current difficulty which could be mitigated by a combination of specific efforts in these areas and a general effort to formalize and standardize the relevant functions. A relative increase in the amount of uniformity among the local ASAPs in their internal organization will further the extremely important evaluation effort. No adequate mechanism for extensive periodic and ongoing evaluations of the local ASAPs currently exists. This deficiency in itself is a significant problem because such evaluations serve two functions. First, they are an important tool in the early detection of local problems that allow solution before major difficulties arise, and second, they are a means of internal as well as legislative evaluation of the entire VASAP program. Therefore, a formal evaluation procedure may be necessary. Also, the current diversity among local operations makes effective evaluation difficult as there is no organizational goal against which to measure each particular ASAP. Formalization and standardization will make it possible to establish an effective means of evaluation by establishing the necessary organizational goals. The development of organizational goals will also give the local ASAPs improved direction in their efforts to serve their communities.

Another problem area is the channels of communication both between the State Office and the local ASAPs and between the State Office and other state agencies. Obviously, close communication with the local ASAPs is essential in a program with independent offices scattered throughout the state. It allows these offices to share information which is important to the organizational and evaluative efforts of the State Office and also facilitates the State and local offices' efforts in pursuit of their mutual goals. However, there are currently few formal channels of communication, especially where data and policy are involved, between the VASAP State Office and the local ASAPs. This vagueness indicates a need for the systematic and dependable avenues of communication so important to a program like the VASAP. As communication is crucial to the VASAP's overall success, the formalization of a communication apparatus leading to more frequent and more useful communication between the State VASAP and the ASAPs should facilitate the achievement of the VASAP's goals.

Another potential benefit of formalization of policy and standardization seems to exist in the creation of more formal support services by the VASAP State Office for the local ASAPs. A certain number of services are now provided, particularly in the areas of public information and education and staff training seminars. But an examination of potential support services could define additional needs and areas in which such efforts would be effective. These services would be best introduced where economies of scale present themselves, such as purchasing, and where common efforts would otherwise be expended by each local ASAP office. Current support services should



also be expanded where further benefits could be derived. The VASAP State Office can gather and assimilate general information and procure expertise more effectively than can the local ASAPs and thus can systematically provide advice and support when a local ASAP encounters a problem which goes beyond its capabilities.

Finally, as a result of the new and more active role imposed upon the VASAP State Office by the legislature, some changes may be necessary in the internal organization of the VASAP State Office. The current organization arose at the time when the state office assumed a much more passive attitude toward the local ASAPs. An organization more attuned to close observation of and interaction with the local ASAPs than heretofore has been the case is now in order due to the legislative mandate. Also, the VASAP State Office can make more use of the existing resources of other state agencies than it currently does, in order to oversee and assist the local ASAPs.

In conclusion, it can be seen that there is a great variation among the local ASAP offices with respect to their operations and organization. This variation is indicative of organizational inefficiencies in some of the local ASAPs as well as a previously inadequate corrective guidance from the VASAP State Office. Increased standardization and formalization of policy and procedures in such areas as the organization of local ASAP offices, drinker level classification techniques, communication between the local ASAP offices and the VASAP State Office, and the support services provided to the local ASAPs would all help to reduce the variation among the ASAPs and thus increase the VASAP's overall efficiency. Such formalization and standardization appear to be essential in order for the VASAP to meet the demand of the revisions in the legislative code and to augment the usefulness of its program as a tool in the effort toward increased highway safety.

#### OBJECTIVE AND SCOPE

This study focused on four major aspects of the VASAP State Office: (1) the relationship between VASAP and its parent organization, the VDOT; (2) the inner workings of the State Office — the internal function; (3) its relationship with the local ASAPs — the vertical function; and (4) the interaction of the State Office with other agencies — the horizontal function.

Information was acquired on the structure of the State Office as well as the local ASAPs to assist in the creation of an organizational scheme which will best serve VASAP's goals. The goals of

VASAP in the minds of the VASAP staff, its strengths and weaknesses, and the particular needs of the State Office and the local offices were considered. Issues related to topics such as the quality of treatment or the best method of diagnosis of drinking problems were considered to be outside the scope of the study. The information collected was used to formulate recommendations regarding the policy of the State Office and limited but binding guidelines for the local ASAPs. The suggested standards should more clearly define the role of the VASAP State Office and local offices in attaining VASAP's goals.

#### METHOD

The goals of VASAP had to be identified and an assessment made of the current relationships among the VASAP State Office, the local ASAPs, and other state agencies to determine the problems being encountered in the pursuit of those goals. From this study, many of these problems were defined and countermeasures were created to help remedy them. To make these determinations, considerable information had to be collected through interviews. A list of persons interviewed appears in Table 6.

First, interviews were conducted with the VDTS staff members having liaison with the VASAP office, including the agency's director, deputy director, assistant director, financial administrator, coordinator supervisor and public information director. Subsequently, members of the VASAP State Office were interviewed, including the VASAP administrator, manager, evaluator, assistant evaluator, public information and education coordinator, Department of Mental Health and Mental Retardation Liaison (a position initially funded through VASAP), and the clerical and data processing personnel. Topics covered during these interviews included the internal, vertical, and horizontal functioning of the office (see Appendix A).

Regarding the vertical function, i.e., the State Office's relationship with the local ASAP offices, the interviewers explored any needs of the State Office which the local ASAPs were not fulfilling, such as the need for complete reporting of data. Also, previously unidentified needs (e.g., further standardization of reporting requirements for ASAPs) the fulfilling of which might enable the State Office to more easily evaluate and plan the statewide program than at present were analyzed. The interviews were focused on problem areas common to the ASAPs which might be remedied by guidance from the State Office, as well as additional support services which the State Office might provide the ASAPs. Specific weaknesses or suggestions concerning the lines of communication between the State Office and local offices, including the potential role of area coordinators, were also considered.

Table 6  
Interviewees

1. <u>Virginia Department of Transportation Safety (Non-VASAP)</u>	<u>Position</u>
John T. Hanna Robert DuVal Walter Douglas Richard Adams Ruth Robertson Frank Barton Ralph Kleinschmidt	Director Deputy Director Assistant Director Fiscal Administrator Public Information Officer Coordinator Supervisor Area Coordinator
2. <u>Virginia Alcohol Safety Action Program</u>	
Vince Burgess Andrew Rist Julian Hickman Robert Keaton  William Cheeley Robert Schultz Roberta Fabrizio, Rebecca Pinnet, Cathy Kite Diane Jefferies, Pamela Leonard	Administrator Manager Evaluator Public Information and Training Officer Assistant Evaluator Technical Writer (Consultant)  Clerical Staff Keypunchers
3. <u>Local ASAP Directors</u>	
Donald Henke Peter Larkin (and staff) Mark Saunders R. Charles Miller (and staff) Richard Moore (and staff)	Region X ASAP Arlington ASAP John Tyler ASAP Winchester/Frederick ASAP First Planning District ASAP
4. <u>Personnel From Other Agencies</u>	
Capt. W. R. Wagner, Jr.	Records and Statistics Officer, Dept. of State Police
Jack Williams	Superintendent Accident Records Section, Dept. of State Police
Edwin Morse	Student Service Coordinator, Instructional Programs and Student Services, Virginia Community College System
Carlton Bolte	Assistant Director, Department of Corrections, Division of Community and Prevention Services
Daniel Stembridge	Director, Program Development and Special Services, Depart- ment of Mental Health and Mental Retardation, Division of Substance Abuse
Robert Baldwin	Executive Secretary, Supreme Court of Virginia
C. P. Heitzler, Jr.	Program Manager, Management Analysis and Systems Development

Also considered in regard to the vertical function was the relationship between the VASAP and the VDOTS, its parent organization. This relationship was considered important due to the history of the VASAP project and its perceived autonomy, an aspect of the organization which could have considerable impact on the efficiency of the VASAP State Office and its integration into the total transportation safety program.

The internal organization of the State Office was examined with special attention being given to its personnel's perceptions of its strengths and weaknesses. The interviewers considered how clearly given positions are defined in light of the local ASAPs' goals as well as the VASAP's more general goals. Interoffice communications, especially those regarding the evaluation of and feedback to members of the staff, were examined. Also, any reorganization which might be made necessary by the evolving role of the VASAP State Office was considered.

The interviewers also examined the horizontal functions such as the exchanges that occur between the VASAP State Office and other state agencies, the staff members and agencies which are involved, the extent to which these interactions are considered to be effective, and whether they could be made more effective. This was accomplished through interviews with persons who were named as agency liaisons by VASAP staff members.\* Interviewees included representatives from the Department of State Police, Community College System, Department of Corrections, Department of Mental Health and Mental Retardation, Division of Management Analysis and Systems Development and the Supreme Court of Virginia. Selected topics covered in these interviews appear in Appendix B.

Through interviews with the personnel of as many local ASAPs as time permitted the interviewers sought to define the current structure, current problems, and potential remedies for the problems of the local ASAPs in their internal, vertical and horizontal interactions. Since personnel from all local ASAPs could not be interviewed, a sample of 5 local programs was selected. It was essential that these few be an unbiased sample and represent a good cross section of all ASAPs. Rather than rely on random selection procedures, which could be unreliable with regard to this small a sample, a stratification procedure was used. The VASAP administrator was asked to list the main characteristics which distinguish one local

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\*It is recognized that some of the liaisons are not on the appropriate level to provide much information. However, since these persons were named as VASAP contacts, all were included in interviews.

ASAP from another, and then to categorize each of the local programs along those lines. The authors then selected the 5 local programs which most typified the various types of ASAPs. Topics covered in these interviews appear in Appendix C.

The interviewers addressed different inquiries to the various personnel of the ASAPs. The directors and their staffs were asked about their organizational structure, including both formal and informal job descriptions and functions. Also, their present efforts to evaluate personnel and programs were assessed. In addition, the relationships between the ASAP and its administrative and cash flow agents was investigated. Generally, the inquiry was focused on those factors which give rise to the widespread variations among ASAPs. Another important factor which bears upon the vertical relationship of the local ASAPs with the VASAP State Office is the directors' perceptions of their organizational goals and their role within VASAP. Also important is the training and organizational advice the local directors feel the VASAP State Office could render.

Additional vertical considerations included the directors' perceptions of whether the State Office is a sensitive and accessible aid to the ASAPs. The nature of the local ASAP-State Office interaction and whether it is satisfactory to the local directors was also important. Finally, avenues for the communication of data, the use of the data and possible improvements in the system were addressed from the directors' viewpoint.

As to horizontal relations, the directors were asked about other agencies they are using in their efforts and the effectiveness of using them. They were also asked whether the VASAP State Office could improve this interaction in any way.

Of the case managers, internally focused questions were asked so as to aid the VASAP in establishing effective standards. These questions included the influence of the staff size and organizational scheme on the case managers' effectiveness and whether there were any training efforts the VASAP could make to improve the case managers' efforts. Also, a determination was made of the data needed by case managers to provide service to their defendants and potential State Office assistance in this regard. Within the horizontal parameter, the case managers were asked to suggest other agencies which could be of assistance to them and with which the VASAP State Office might interact on their behalf.

The local ASAPs' public information and education personnel\* were interviewed concerning their relationship with the state VASAP

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\*In most cases, this is the directors' assignment, in addition to their other duties.

operations and how this relationship can be improved. Also of importance is whether, in the opinion of the local ASAP personnel, any public information and education functions are especially well- or ill-suited for state VASAP efforts. Finally, the interviewers explored the internal nature of the local ASAP public information function, such as whether this function is delegated to one person to deal exclusively with public information and whether it would be better to have such a position only in certain local ASAPs.

In summary, data for this study were collected primarily through interviews with personnel at the VASAP State Office, several of the local ASAP offices and the related agencies. The object of the interviews was to gather information on the internal, vertical and horizontal functions of the VASAP State Office, as well as the local ASAPs, and to identify the strengths, weaknesses, problems and possible improvements for the VASAP program. These data were analyzed and used to produce a set of policy recommendations for implementation by the VASAP State Office and the VDTs.

## RESULTS

The interviews previously mentioned were all conducted during July and August of 1979. All of the interviews were taped with the permission of the respondent, who was also given the opportunity to speak off the record. The interviewees were offered the protection of confidentiality, but in many cases they were unconcerned regarding the protection. On the whole, the respondents were extremely candid and very interested in the improvement of the VASAP program. It is largely due to this willingness to speak freely that the authors were able to deliver useful recommendations.

However, due to the highly personal nature of many of the comments received, not all were appropriate for inclusion in a formal report. For this reason, all comments and findings were organized into content outline form and used as a basis of discussion, first in a meeting with VDTs staff members and then in a series of meetings with the VASAP administrator and his staff. Issues which will not be discussed in this report include specific personnel matters, anecdotal information and general gripes. Since the purpose of this study was to generate recommendations to improve VASAP, the authors reserved the right to transmit recommendations via any methods which would ensure the highest probability of implementation.

In preface, a comment should be made concerning the tenor of this report. Being of a diagnostic nature, the report tends to sound very critical of the administration of the VASAP program. The reader

should not be misled by this. The authors were consulted specifically to locate areas of current problems and to recommend further improvements. The term "further improvements" is used because the present administration was found to have already taken many strides toward rectifying problems that have plagued the VASAP program. Many, if not most, of these problems have their origin in the earliest beginnings of the VASAP program. At that time the emphasis was on getting local programs established, irrespective of the manner in which that was done or how the programs operated thereafter. As mentioned earlier, this led to a widely diversified and fragmented program with deeply rooted problems. The lesson of the past few years has been that this created tremendous administrative problems and only delayed the time when difficult and, to a large extent, unpopular decisions would have to be made. The time for these decisions has come and, in fact, the present administration has begun making many of them. It is the authors' desire that this report facilitate the additional decision-making processes which are necessary to make the VASAP program a more effective contributor to highway safety in Virginia.

Another caveat to the results section of this report: the discussion is written in a conclusory fashion. This is to say that while there are ample specific instances and facts to support the findings, some of them have been omitted in the interest of producing a manageable sized document. The results of this study fall into four categories, and are discussed on a category-by-category basis. These are: (1) the relationship between the VASAP and the VDOTS; (2) internal VASAP operations; (3) the relationship between the VASAP State Office and the local ASAPs; and (4) the relationship between the VASAP and other agencies.

#### Part 1: Relationship Between the VASAP and the VDOTS

It is obvious that a close working relationship between the VASAP and VDOTS is important for the further improvement of the VASAP program. The VDOTS possesses many resources which can help the VASAP better pursue its goals, including the area coordinators, the fiscal office and the public information office. There is also the general salutary effect of the VASAP being identified as a part of the state's well established highway safety effort in the minds of those who are or will be dealing with the VASAP. However, the reality of the situation is that there is not the rapport or utilization of resources necessary to take full advantage of the association with the VDOTS.

There is a general feeling in the VDOTS and the VASAP State Office, as well as among the local ASAPs, that the VASAP is not an integral part of the VDOTS. Much of this feeling is a result of the

previous VASAP administration, which closely guarded its independence and semiautonomous status. However, the VDTs personnel have continued to allow the VASAP this independence, such that there is insufficient oversight by the VDTs and a general insufficiency of communication of VASAP developments to the VDTs. This alienation results in a lack of VDTs input in VASAP planning and decision making, and causes the VASAP staff to take responsibility for crucial decisions when that responsibility should be shared with VDTs personnel. It also results in a general lack of coordination between VASAP and VDTs safety efforts. The spatial location of the VASAP office further exacerbates this image of isolation and encourages perpetuation of the problem.

Aside from this general atmosphere of being divorced from the VDTs, there is the more significant fact that the VASAP does not sufficiently utilize for its own benefit the resources that the VDTs possesses and vice versa. The major examples of this underutilization are in the fiscal and public information offices and in relation to the area coordinators.

The fiscal realm is one of the areas where the VASAP (and the VDTs) has had some of its most serious difficulties. The difficulties extend to the accounting by and auditing of the local ASAPs as well as to the development of the management information system (MIS) (which was designed to facilitate these former two aspects of the fiscal function), and have resulted in opening possibilities of such serious consequences as embezzlement. However, personnel in the VDTs fiscal office have not been adequately consulted on the above matters despite their possessing precisely the skills and experience that are needed for such purposes. Such consultation would benefit not only the VASAP but also the VDTs, in that the length of time necessary to audit the local programs would be decreased and the quality of the audits increased.

Another potentially valuable resource that is being underutilized is the network of area coordinators, notwithstanding the statements to the contrary in the Policies and Procedures Manual draft and VDTs Director John Hanna's memorandum of 11/15/78 "clarifying" the responsibilities of the coordinators. The underlying problem is a lack of adequate communication with the coordinators. For example, they have received public information materials without directives and have not been given copies of correspondence regarding VASAP matters. The failures of communication have been on the part of both the VASAP and the local ASAPs. Partly as a result of this, the area coordinators are understandably not enthusiastic advocates of the VASAP program. This is unfortunate because the area coordinators, if effectively used, can provide a valuable function as a clearinghouse for ASAP-VASAP interaction, for routine monitoring of the ASAPs and also for augmenting the VASAP police liaison function, since many are former police officers and deal with police in the course of other duties.



For the above reasons, the following recommendations for improving the VASAP-VDTS relationship are made. As to the general atmosphere of independence and/or isolation, there should be an effort on the part of the VDTS, specifically the person responsible for program oversight, to keep fully apprised of VASAP activities. One means of accomplishing this would be for that person to take part in VASAP staff meetings and to attempt to be a part of planning and decision making. This would foster a greater feeling of unity among all concerned. As to the fiscal resources that the VDTS possesses, it is recommended that VASAP personnel consult with the financial administrator in expanding the fiscal portion of the Policies and Procedures Manual and in future developments in the management information system. Finally, the area coordinators should be more thoroughly utilized and incorporated into the VASAP effort. One very good step toward this is the Quarterly Report developed by the VASAP. Use of this report and furthering monitoring roles for the coordinators should go a long way in improving the coordinators' incorporation into the VASAP effort. They must be copied on all relevant matters as well. Also, within the VASAP State Office, personnel should endeavor to work more closely with the coordinator supervisor to ensure this increased cooperation, and should perhaps consider additional public relations efforts aimed at the coordinators to generate enthusiasm for or at least cooperation with the program.

## Part 2: Internal VASAP Operations

The bulk of this report is appropriately concerned with the internal operations of the VASAP State Office. It is hoped that this approach will help the State Office make better use of its resources, particularly the skills and time of its personnel, than it does at present. Toward that end, this section focuses on planning and its value, the development of an organization that reflects countermeasure responsibilities, and a more efficient organization. Finally, problems in two special areas extremely conspicuous to the local ASAPs are examined because these areas are essential to efficient VASAP operations and because they exemplify in microcosm, problems inherent in the VASAP as a whole. The problems relate to the MIS/Defendant Tracking System and the public information operation.

### The Need for Long-Term Planning

Among both VASAP and VDTS personnel, there is presently a widely acknowledged lack of either short-term or long-term objectives within the program. These are not to be confused with the

substantive goals of the VASAP program such as reducing alcohol-related crashes, objectives which have been in existence since the earliest stages of the VASAP. Rather, this refers to the sort of activity or program oriented objectives which can serve as a parameter for determining the annual, monthly and even daily efforts of the VASAP staff without always consulting with supervisors or others, (i.e., a general consensus on how to approach and handle the situations and problems that are encountered in a consistent and well-reasoned pattern). Instead, what one finds is an operational style that was fostered under the previous administration and which persists to the present, notwithstanding recent efforts by the current administrator. This style is one of reacting to situations as they arise without the benefit of consultation within an overall scheme or standard set of policies. As a result of this "crisis management" attitude and the general lack of objectives, there are several difficulties confronting the VASAP.

Without an overall scheme toward which to gear their efforts, the VASAP staff must either excessively consult with others or act independently and thereby engage in duplicative or unnecessary activity. This ad hoc approach to affairs also encourages variations in policies and directives both over time and as promulgated among the ASAPs. Another problem is that without planning operational objectives which will facilitate attainment of the project's goals, it is easy for the staff to become overly concerned with only those efforts that are currently ongoing. It is then quite likely that alternative approaches and efforts will not be utilized. An example of this happening within the program is the State Office's lack of a comprehensive effort in the judicial countermeasure area despite the extreme importance of this countermeasure to the program. The absence of an underlying plan against which to measure the performance and efforts of both the VASAP itself and its staff also makes meaningful evaluation nearly impossible. Finally, the absence of planning and its attendant problems (such as the undermining of the VASAP's credibility and the dashed expectations of the ASAPs and others) damage the relationships between the VASAP and its liaisons.

For the foregoing reasons, it is recommended that the VASAP State Office develop and institute a regular, perhaps annual, procedure for planning both long- and short-term objectives. The current time is a particularly critical juncture in light of the relatively recent administrative changes and other developments, such as the Legislature's expectations as well as its authorization of greater policy responsibility for the VASAP State Office.

The ultimate goal of such a planning effort would be to develop a clear outline of goals and objectives. It would essentially be

a management by objectives (MBO) type plan. It should include plans for the public information efforts, training activities and the other countermeasures. Once the plan is developed, everyone would have an overall framework to guide them in their efforts. The planning process itself would also be very productive. By including the entire staff, both as resources and participants, it would stimulate reflection on their own roles and their interaction with others, as well as nurture a consensus as to goals and objectives. Input from the Program Directors' Association (PDA), particularly the relevant countermeasure committees, would also be useful. It would also be essential that VASAP planning be made in conjunction with the overall VDTS plan, so that the VASAP and the public information office could provide a coordinated effort. Upon completion of the plan, it should be presented to the PDA or another appropriate forum to further the consensus as to program objectives.

A final note on the planning procedure: While it must be thorough to be effective, the VASAP State Office staff cannot afford to engage in it for an excessively long period of time, despite the fact that in the long run the time spent planning will allow a net time savings through efficient allocations of staff time. Therefore, an outside consultant may be necessary to serve as a facilitator and expeditor for this initial planning effort.

Closely akin to the general planning need is the need for additional attention to the Policies and Procedures Manual. The first draft of this document was little more than a compendium of old memoranda and letters. There was little or no input from current VASAP staff members nor ASAP, VDTS and other agency personnel other than in a review capacity. The critical problem with the document was that despite the need and mandate for new policies affecting the ASAPs, there was no fresh input. One particularly salient example is the fiscal/accounting area. Though this was one of the areas of greatest current difficulty, the VDTS fiscal office was initially not consulted and the relevant part of the manual deals with this subject in a descriptive fashion rather than prescribing the practices that must be instituted. The process of developing the manual should parallel that of the general planning efforts and thereby derive many of the same benefits. Also, any future policies which are intended as addenda to the manual would have to be submitted to the hearing process with all its attendant delays and burdens.

For the above reasons, it is recommended that prior to final adoption of the manual, a comprehensive effort be made to achieve as complete a document as is presently possible.\* This should be done with input from the entire VASAP staff, the PDA and any other

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\*It should be noted that at the time of this writing, this recommendation has been implemented.

relevant parties. This input should not be limited to comments upon an accomplished fact but rather be a part of a developmental endeavor. In fact, this input can and should be a direct outgrowth of the above mentioned planning effort. The manual would then further the effort to establish basic guidelines of conduct and endeavor for all the persons and institutions involved. If present exigencies do not allow so sweeping a revision of the current document, it should be promulgated with the explicit understanding that other, more extensive revisions will be forthcoming.

### Assignment of Countermeasure Responsibilities

During initial interviewing, it was suggested by the VASAP administrator (and seconded by the authors) that the ideal organizational scheme for the State Office would be one which corresponds to the program's countermeasure areas, with each countermeasure being the sole responsibility of a staff member. This is not, however, the present organizational scheme.

The following discussion of the countermeasure areas, their present representation within the staff and the attendant problems points out the need for an organization as mentioned above. For instance, in the enforcement area there is presently some uncertainty and some overlap in the responsibilities of the manager and the education and training officer. Despite the manager's background in this area, it is the education and training officer who deals with it in the program reviews and in the training efforts, without the much needed input of the manager. This situation highlights the problem of misuse of staff resources that occurs when such uncertainty and overlap are allowed. Another and equally important problem is that the State Office has not worked with the State Police as effectively as it could have. It is arguable that if one person had responsibility for the enforcement area, this vital resource would not have "fallen through the cracks." The judicial countermeasure presents another example of a program element being lost in the shuffle. Since no State Office staff member is specifically responsible for this area, it has not been given its deserved attention in light of its importance to the program. The local ASAPs are critical of the State Office for this inattention. Considering the personalities and egos involved in this area, it is probably best to assign responsibility for this countermeasure to the VASAP administrator. The training countermeasure is currently vested in one position. However, it should be set forth in writing that the education and training officer is to draw upon those other staff members who have the content area expertise when formulating training projects. Because the education and training officer will come into frequent contact with the field personnel, and because of

the parallels between training skills and public information skills, he should also be vested with the public information responsibilities that will remain with the VASAP State Office. The evaluation countermeasure has also been given insufficient attention, largely as a result of the demands upon the evaluator's time of the MIS/defendant tracking system. This is exacerbated by the evaluator having to perform functions in the case management area, another example of the problems stemming from the overlap of responsibilities. This raises the question of whether a case management position should be established within the VASAP staff. The VASAP administrator has suggested and made efforts toward the establishment of such a position and the authors strongly endorse those endeavors, as will be discussed further under "Organizational Structure."

Some general recommendations regarding the structuring of the organization according to countermeasures should be made. First, it is essential to have a State Office position corresponding to each countermeasure area. Also, future personnel should be recruited on the basis of their skills fitting the position they are to fill. The expertise that each person has in his countermeasure area should be utilized when developing policy in that area, when dealing with the PDA (e.g., each countermeasure coordinator should be a member of the corresponding PDA committee), and when developing training programs.

### Organizational Structure

The need for clear assignment of duties on a countermeasure basis points up the corresponding need for a reorganization of staff and reporting responsibilities along the same lines. There are, however, other compelling features of a proposed reorganization, which will be discussed later. The most significant features for purposes of this discussion are first, that the education and training officer (who is theoretically a countermeasure representative) is on a subordinate level both to the evaluator and to the manager/enforcement representative. Secondly, the precise nature of the relationship between the administrator and the manager has not been delineated as much as is needed, particularly to the local ASAPs.

The current organizational structure of the VASAP State Office shown in Figure 1, fosters several problems. First, it does not reflect the countermeasure responsibilities as mentioned previously. Second, there are several management steps between the lower staff levels and the VASAP administrator. This structure is overly stratified for the size of the VASAP office (essentially 3 professional staff members and 5 clerical staff members). Time is wasted by pursuing the unnecessarily circuitous channels from staff members

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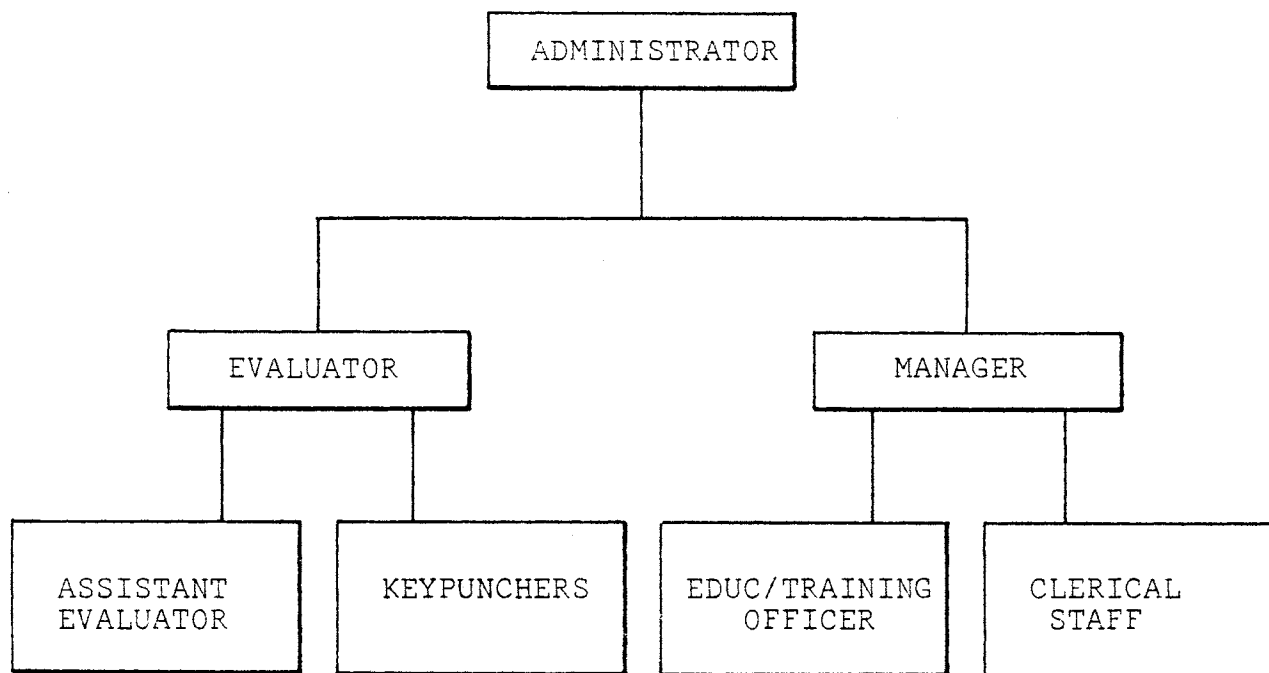


Figure 1. Current VASAP State Office organizational structure.

to the administrator, such as having all correspondence checked by both the administrator and manager before it can be sent out, or by routing memoranda through the manager to the administrator, rather than including the manager in a list of those who are to receive copies. Informally, these channels are being circumvented in some instances. Third, it is felt that all countermeasure representatives should have equal access to the administrator, lest a countermeasure become subordinated in the same fashion that its representative is, which may lead to a harmfully and unintentionally uneven pursuit of countermeasure areas. It should be noted that in the present structure the public information and training countermeasure representative is subordinated to the other professional staff members and is on the same level as the assistant evaluator and clerical staff. The current organization fosters a sense of isolation of the administrator from certain staff members and their respective countermeasures. Evidence of variance in accountability

among the staff members on the same level of the organizational scheme was also discovered, which constitutes an informal but recognized circumvention of the official structure. All of these problems indicate that the current organization is inappropriate to the most efficient operation of the State Office. Finally, in the current structure there is considerable confusion and uncertainty among the local ASAPs as to who has authority and who is making decisions. This is one of the most damaging problems concerning the VASAP-ASAP relationship. While the administrator is the ultimate policy maker for the project, the manager is the contact with the local programs. This confusion is partially a function of the relative styles of the two individuals occupying these positions and partially a function of a gap in communication between the VASAP State Office and the local programs, but the lack of complete definition in the organizational structure worsens the problem. Overall, it must be concluded that the current organization does not promote comprehensive coverage of all content areas and efficient operation of the State Office; nor does it lead to a good relationship between the State Office and the local programs.

For the foregoing reasons, it is recommended that the organizational structure illustrated in Figure 2 be adopted. This structure reflects the assignment of responsibilities for the countermeasures and also places the countermeasures on the same level and gives all representatives the same access to the administrator. This structure should facilitate evaluation and the development of policy.

Besides making all countermeasure representatives directly responsible to the administrator, the recommended structure involves two other major changes. First, an additional position responsible for supervision of case management, diagnosis and the probationary function is endorsed. A temporary position occupied by a case manager from the field with the VASAP reimbursing the local program for his services has already been established. This position is essential for several reasons. First, case management is an area which has not received the attention it has deserved from the State Office. The new case manager would be an expert in the field and a tremendous resource for State Office personnel. This person would supervise all aspects of the local case management function including but not be limited to, the gathering of literature, conducting analyses and establishing guidelines in the areas of defendant classification, defendant treatment and general handling of defendants through the program. With these functions being handled by the case manager, the evaluator would be relieved of much of his current burden and thereby would be able to devote more time to the evaluation area. The case manager would also become the ASAP case managers' contact in the State Office. Having someone there who has worked in the field in that particular position would greatly increase the State Office's credibility in this area. Also, by having the case

manager report directly to the administrator, the administrator himself would develop greater background and thereby credibility in this area. Finally, there is a tremendous need for improved coordination of effort among the several agencies with various and sometimes competing interests in the case management function. The case management specialist could assist the administrator in this coordination function.

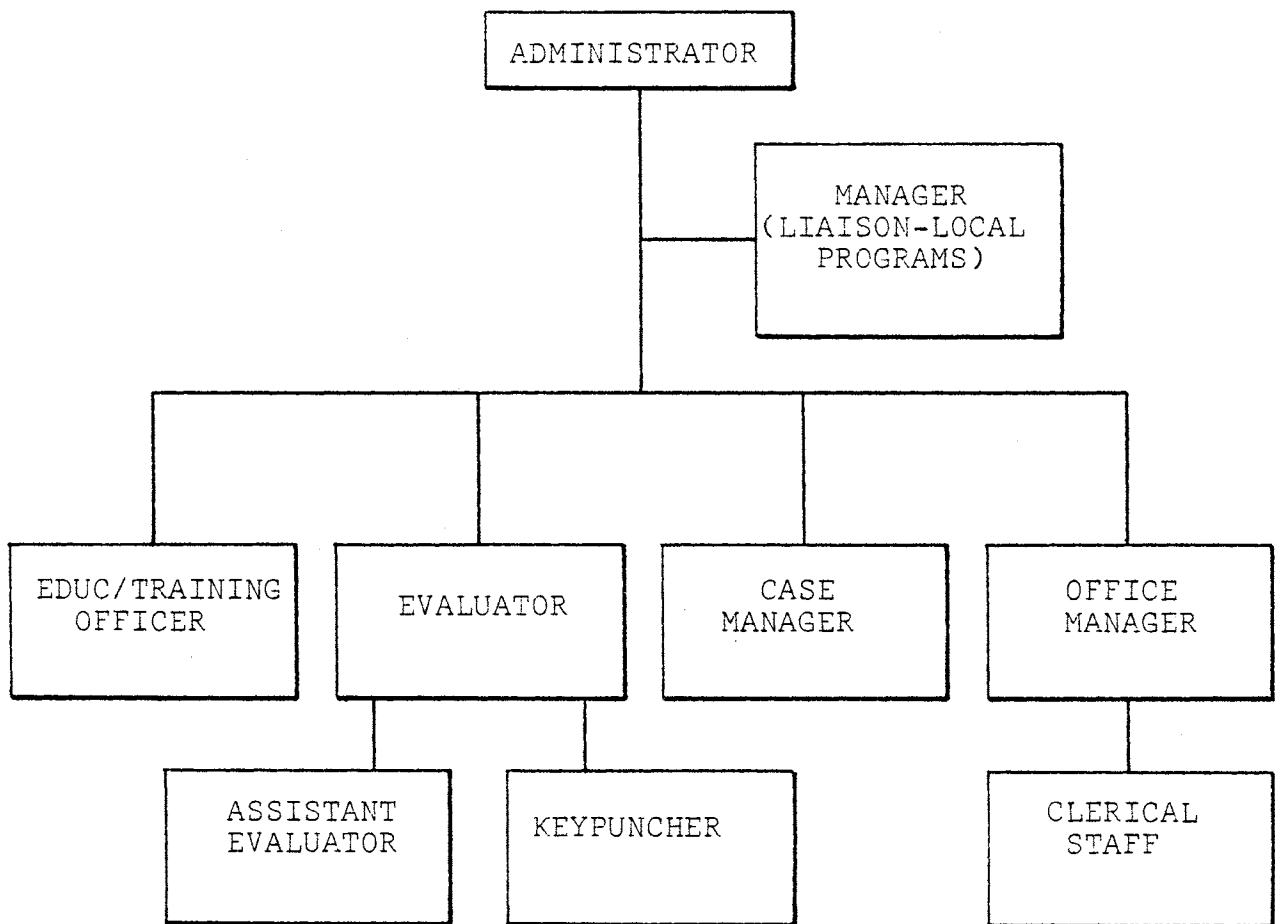


Figure 2. Proposed VASAP State Office organizational structure.



The second major change involves the operation of the clerical staff. The creation of an administrative assistant position with responsibility for the office operations in part merely reflects the current reality within the office. But most importantly, it will also relieve the manager of the more routine duties and allow him more time for his enforcement and local ASAP liaison roles. While the manager would no longer be an intermediary between the clerical and other staff and the administrator, he would still be informed on all the matters necessary for him to be able to act in the administrator's stead.

### Special Problems

Two functions of the VASAP State Office are extremely conspicuous to the local ASAPs and to other agencies. These are the public information function and the use of the MIS. It is almost solely by the quality of these two services that the local programs judge both the utility of being associated with the VASAP State Office and its operational efficiency. There are, however, very serious problems associated with each of these functions which illustrate the aforementioned importance of reducing the semiautonomous status of the VASAP with respect to the VDTs, and, as will be discussed later, the importance of remaining responsive to the local programs and their directors.

The public information function of the VASAP involves more of the VASAP's relationships with other bodies than any other aspect of its operation, with the possible exception of the management information function. It involves the VASAP-VDTs relationship in the development, production and distribution of materials. It is a major facet of the VASAP-ASAP relationship, one by which many ASAPs judge whether they are receiving an adequate return on their 10% VASAP investment. It affects many of the other agencies involved with the VASAP such as the police, who receive many of the materials which are developed. Finally, and perhaps most important, the general public's perception of the program and its behavioral response are almost entirely a function of the public information activities.

The current situation and its attendant problems regarding public information, however, threaten the value of this function. It is clear that the VDTs public information office has considerable expertise in information dissemination and also has the contacts with consultants for the development of materials. However, the public information office may not always be in a position to make decisions concerning VASAP-specific or alcohol-related matters or to identify the needs of the local programs in the public information area. It is obvious, then, that the VDTs information officer and the VASAP public information countermeasure representative need to work together toward an integrated public information program for the VASAP. The people in the two positions, however, have not

always worked together smoothly. The present structure through which the VASAP's public information efforts are to be developed is not clearly and precisely defined and this lack of definition threatens to result in a breakdown of communication between the VASAP and the VDTs public information office.

Another problem which stems from this rather nebulous separation of powers has been an inadequate utilization of the local ASAPs' input into the development of public information policies and materials. This particular failing has resulted in the development of materials such as the Soberman comic books which are anathema to many of the local ASAPs. It is also unfortunate because the contribution of the local programs can be very productive. For example, one of the most favorably regarded materials, the VASAP litter bag, was originally developed by a local ASAP.

Both of these problems have a common denominator and a recommended solution. The paramount need of the public information effort is for a cooperative undertaking to synthesize all the needs and ideas of the VASAP, the local ASAPs, and the VDTs. Such an undertaking does not appear likely given the present situation. It appears that the VDTs public information office has been delegated the tasks of developing and distributing VASAP informational materials. The VASAP's role is unclear. The VASAP education and training officer has been directed to refer all communications regarding public information to the VDTs information office. This policy, taken to its logical extreme, would totally divorce the VASAP from the public information function, which would be unfortunate. The VASAP necessarily has the responsibility to keep the public information efforts in line with its (and the ASAPs') overall plan. Also, the VASAP, in its normal relations with the local ASAPs will receive the ASAPs' ideas on future needs and reactions to past efforts. Therefore, the current trend in this area toward a division between the VASAP and its public information effort in the hands of the public information office would have a harmful impact on the VASAP's public information countermeasure, and it could seriously hurt relations between the State Office and the local programs.

For the above reasons, it is recommended that the VASAP education and training officer continue to have a role in the public information area. Specifically, he should be delegated the responsibility for receiving and gathering any ideas and feedback regarding the public information countermeasure that come into the VASAP office. The sources of these ideas would include the local ASAPs and the PDA's committee on public information. A special effort should be made to follow up on the result of and reaction to public information efforts, even if only on an informal basis. The VASAP public

information officer also would be responsible for assessing and compiling the public information needs from the State Office's perspective, including the ordering of priorities. This would be an outgrowth of the planning endeavor suggested for the VASAP as a whole. This information would then be synthesized into a tentative VASAP public information plan. Then, through the cooperative efforts of the VASAP education and training officer, its administrator, and a representative from the VDOTS public information office, a final VASAP public information plan would be developed. This would serve as the guiding document for the public information office's implementation of the effort. Generally, the VASAP-VDOTS endeavor would be one in which the former would provide the objectives of the effort and the latter the technical expertise. The implementation of the programs would be the responsibility of the VASAP, as would be the evaluation of the success of the materials and the provision of feedback to the VDOTS for use in developing succeeding campaigns.

The VASAP-VDOTS relationship regarding public information has been somewhat strained. Therefore, it may be necessary for a senior official in the VDOTS to facilitate this interaction, at least for the first year's cycle of events, and also to ensure the implementation of the public information effort in accordance with the plan.

There were several miscellaneous problems for which remedies are recommended. Several local ASAPs and area coordinators complained that public information materials were received with inadequate explanations of their objectives or directions for their use. Obviously this problem can be easily remedied by having adequate explanations accompany the delivery of materials. Under the above recommended scheme, this responsibility would rest with both the VDOTS public information office and the VASAP, though the VASAP should take efforts to ensure that such explanations are forthcoming. A second recommendation is that in light of the cost of and potential beneficial impact of the use of the VASAP vans, the education and training officer be instructed to have these vans in the public view more often than is presently the case. Lastly, in consideration of economies of scale and overlapping media coverage, and to enable the hiring of public information experts at the local level, the VASAP should further encourage the reorganization of the ASAPs' public information efforts on a regional basis.

Another very visible aspect of the VASAP-ASAP interaction is the MIS/defendant tracking system. Local programs are required to support the system through the input and update of defendant data, and they look to the VASAP State Office to ensure that they receive defendant tracking services in return for their cooperation (and

10% of their client fees). The services include the detection of second offenders and previous and current program participants, the provision of defendant information, and the provision of aggregate summaries of program operations. These expectations on the part of the local programs are reflected in the fact that some programs stopped keeping some records which were entered into the system and subsequently could not be retrieved. It was the general consensus among the local program personnel interviewed that the current system, although several years old, does not meet the needs for which it was intended.

The management information system shares several characteristics with the VASAP as a whole. Chief among these is the urgent need for long-range planning. The system's goals and objectives mentioned above, while explicitly stated, have never been prioritized, so that there are widely differing opinions as to what the system is primarily designed to do. It is also unclear as to whether the VASAP staff members (and local directors) agree on the system's main function. Due to this lack of prioritization and planning, considerable effort expended on the system has not been channelled into meeting the most urgent of its goals; thus, while the system is designed to do too many things, it appears to do none well.

Also, like the VASAP as a whole, development of the management information system has reached a critical juncture and there is an opportunity to do some critically needed planning. The Division of Management Analysis and Systems Development (MASD) has determined that the most cost-effective way to proceed is to place the system at a state computer facility, rather than maintaining the hardware in-house. MASD is redesigning the system to ensure, at least, input efficiency. However, this redesign effort is being done without a full picture of the system's desired functions and without those functions being prioritized according to need.

It is recommended that before the development of a new management information system proceeds much further, all system needs be determined by discussion within the VASAP and the VDTs, and by polling all potential users, including local ASAP personnel. These needs should then be ordered according to urgency and the rationale for the system's existence. This ordering will give the experts at MASD a clear idea of what the system is meant to do and where they should invest the bulk of their time and effort. In this way, the product they produce would satisfy the most users in the shortest period of time and thus improve the quality of service offered by the VASAP State Office and improve the attitude of the local projects toward the VASAP. It is also recommended that MASD be informed of all present and future system functions, regardless of whether they

are asked to design these features into the system, so that they can take this information into account. This will prevent (or at least reduce) the possibility of the system being unable to fulfill a function because of design restrictions or limitations. Finally, it is recommended that the VASAP staff, and in particular the VASAP administrator, monitor the resulting system carefully, since the image of the VASAP is influenced in large part by the efficiency of the management information system.

### Summary

In relation to the internal operations of the VASAP State Office, several problems were noted which have an impact on all aspects of the VASAP. First, in order to break away from the crisis management approach to decision making which has traditionally plagued the VASAP, long range MBO planning is recommended. From this planning effort, overall policies and standards can be generated to help VASAP achieve its various operational goals. To improve office efficiency and better delineate staff assignments, a structural reorganization is recommended. The major aspects of this reorganization include (1) the assignment of duties on a countermeasure basis to ensure comprehensive coverage of all content areas; (2) the assurance of equal and direct access to the administrator for all countermeasure representatives, thus avoiding unnecessary stratification within the office; (3) the establishment of a case management representative position within the VASAP State Office to monitor this very important function in cooperation with the local programs and other agencies with diagnostic and probationary interests; and (4) the establishment of an office manager/administrative assistant position to reflect current clerical roles.

Finally, two recommendations are made concerning the public information function and the management information system. These have been discussed in detail because they illustrate the need for improved coordination between the VASAP, the VDTS and the local ASAPs.

### Part 3: Relationship Between the VASAP and the Local ASAPs

As an introduction to this section, it should be noted that given the structure of the statewide VASAP program, good VASAP-ASAP relations are essential. The State Office cannot reduce the incidence of drunk driving without the local ASAPs' efforts. The local programs, in turn, need the guidance and assistance of a well-functioning State Office in order to effectively perform their functions. Therefore, difficulties in relations between the two, both real and perceived, can have an especially deleterious effect upon the VASAP mission.

Four problem areas were identified with regard to this critical VASAP-ASAP relationship: (1) communications between the VASAP and the local ASAPs, (2) use of the PDA, (3) fiscal matters, and (4) training for local ASAP staff members.

#### Communications Between VASAP and the ASAPs

Communications between the VASAP and the ASAPs obviously have two major dimensions. They are the transmission of information from the State Office to the local offices and that from the locals to the State Office.

As to the VASAP to ASAP communications channel, many comments and impressions were received from the local programs regarding their needs and desires. One frequent complaint asserted that there is a burdensome volume of correspondence and, in the midst of this, an inability to readily distinguish the more important material from that of lesser import. This phenomenon is in part an outgrowth of the above mentioned lack of planning. In fact, some of the ASAPs mentioned that much of the correspondence pertains to some imminent problem, i.e., a furtherance of the crisis management style. This piecemeal approach helps generate the flurry of correspondence in which other, important materials, including policy statements and guidelines are overlooked. In addition to contributing to the oversight of such statements, the present volume of correspondence also engenders the hostility of the local programs because they must sort through this deluge. A further observation by the localities, which at first glance seems to be contradictory, is that they would like more information as to the State Office's operations and efforts. More simply, they want to see what "their 10% is going toward."

The following recommendations are addressed to the above findings as to the VASAP-ASAP correspondence link. The primary recommendation is to develop a regular and capsulized form of correspondence for the routine and general informational communications. The management memo which VASAP began using this year marks an excellent move in this direction and was very well received by the local ASAPs. Perhaps this form could be issued on a biweekly or monthly basis, depending on the amount of material being transmitted. It would thereby become an anticipated summary of points of interest to the localities. This scheduled issue would increase the likelihood of the memo being read and also reduce the flow of individual informational communications to a single, clearly distinguishable document. The content should include information on general developments in the alcohol-driving discipline and, more important, explanations and discussions of VASAP operations, projects, personnel and their duties, goals, and aggregate VASAP data. Use of this memo will foster a sense of camaraderie and cooperation as well as help generate a

consensus as to objectives and procedures. In conjunction with this informational newsletter, there should also be developed a system whereby operational policy communications, whether regarding public information, administrative, or any other area, would be gathered (to the extent time permits) and then promulgated in a format and color that distinguishes it from the newsletter. This system would help people avoid accidentally misplacing or overlooking such communications.

The other aspect of the communications problem is that of ASAP to VASAP correspondence. Because this aspect was only tangentially within the scope of this study, the findings and recommendations are limited to one major point, the importance of which is not to be underestimated. The VASAP administrator is not receiving feedback on the local ASAPs' perceptions of VASAP personnel. This is extremely important. Were he provided with such perceptions as they develop and change, the administrator could ensure the appropriate application of his personnel resources and, if necessary, take remedial actions as to the roles of the staff members as they interact with the local ASAPs. This would greatly improve ASAP-VASAP relations. Toward this end, a regular means of correspondence like that mentioned above could be instituted to run from the ASAPs to the VASAP. In it, the ASAPs could comment on any developments, including the personnel matters mentioned above, which would, of course, have to be confidential. This means of correspondence could also be used to acquire information which would otherwise be part of the ASAP annual reports. The annual reports could then be dispensed with, since they are not of any special use to the VASAP and are an expense in time and money for the ASAPs. The two recommended types of correspondence would allow a means for discovering problems, large or small, and a forum in which to address them which would be sure to reach all the local programs.

#### Relations with the Program Directors' Association

The PDA is an extremely valuable entity in the effort to improve VASAP-ASAP relations and to improve the effectiveness of the statewide VASAP effort. It is an invaluable channel of communication between the VASAP and ASAPs as well as among the ASAPs themselves. Through it the local programs can develop useful approaches to their tasks, and it can also be used by the VASAP as an informational source for the development of policy and procedures in the counter-measure areas. To best exploit these many benefits of the PDA, it is essential to develop as close a working relationship between the PDA and the VASAP as is possible. Significant strides have been made toward this goal. However, it should be noted that several ASAPs complained of situations where there were breakdowns in

PDA-VASAP communications, such as VASAP staff members calling meetings without first checking with PDA committee members and PDA committees giving results of their work to VASAP staff members and not receiving responses.

Such actions will only alienate the PDA and reduce the potentially effective use of it by the VASAP. In a related area, breakdowns in communications were also discovered among the ASAPs and between the ASAPs and the PDA. Given the need for a unity of purpose and the benefits derived by the VASAP from a well-functioning PDA and good interactions among the ASAPs, the State Office should consider doing what it can to encourage such intra-field communication. This would best be done in conjunction with the PDA leadership. It may be adequate simply to inform the PDA leadership that this communication problem was discovered and let them handle it from there.

#### Fiscal Matters

Another fundamental factor in the VASAP-ASAP relationship involves the current diversity among the ASAPs in their accounting and record-keeping procedures. This diversity results in auditing problems for the VDOTS fiscal office. Specifically, it requires 2 weeks to audit a local ASAP compared to 3 days for most other "programs." As a result, the local ASAPs are not audited as frequently as they could or should be. This in turn creates oversight problems for the VASAP as well as the loss of the internal ASAP management benefits which could be derived from frequent audits.

It is within the authority of the State Office to establish guidelines for such fiscal practices through which the local ASAPs would receive better fiscal practices and accountability than some presently have. Before establishing such guidelines, the VASAP should consult with the VDOTS fiscal office to develop one or two accounting packages that would expedite future audits and improve ASAP operations. This is one of those areas where the State Office can command the necessary resources to render the local ASAPs needed assistance in their operations.

#### Training for ASAP Staff Members

Training for ASAP staff members is another important role of the VASAP which influences the ASAP-VASAP relationship. The local ASAPs mentioned the need for training in such areas as budgetary matters, case management, and general management. The need is particularly acute in light of the fact that many of the local



programs are still in a developmental or growth stage. It is also a means by which the State Office can achieve standardization more innocuously than by central directives.

The State Office already conducts many training efforts. The authors put forth only two suggestions. The first is that a long-range plan for training activities be developed. This should be done with the input and cooperation of the local ASAPs and the PDA so that the training activities will be both interesting and, above all, useful to the ASAPs. The second suggestion is that the training activities be of a high quality. The local programs already have faced and handled all the aspects of their tasks in one manner or another and, therefore, already have established procedures. The training activities must be geared so as to help them face new aspects or to face those previous ones in a more effective or efficient manner than at present. Only then will the sessions be of value to them. Development of these activities may require a greater expertise in the countermeasure areas than the VASAP possesses in-house. Therefore, it may be best to use the training officer only as a facilitator rather than an instructor and employ specialists in the respective areas. These suggestions are intended to make the training activities of maximum benefit to the local ASAPs. This will in turn improve the ASAPs' attitude toward the VASAP.

### Summary

In general, four areas of potential improvement in VASAP-ASAP relations are noted. In relation to communications between the VASAP and ASAPs several recommendations are made, including: (1) reduce the volume of correspondence with the local programs by capitalizing information into a concise form, such as the management memorandum recently developed; and (2) open communications channels from the local programs to the VASAP by providing some form of confidential forum and a "sympathetic" contact in the VASAP State Office. With regard to the PDA, closer ties with both individual directors and their countermeasure committees are recommended; each VASAP countermeasure representative should serve as a member of the appropriate committee.

In relation to fiscal problems which exist in both the VDTs and the VASAP, it is recommended that several basic accounting procedures be developed to ensure that each ASAP has access to procedures of fiscal accountability which are appropriate in relation to its cash flow agent. Finally, it is recommended that training in the areas of management and in other areas be offered to the local programs for the purposes of information transfer and improved morale.

#### Part 4: Relationships Between the VASAP and Other Agencies

The final section of this report deals with the various interactions between the VASAP staff and their liaisons in other state agencies. These relationships are extremely sensitive and can have impact upon the effectiveness of the VASAP program for several reasons. First, in any program founded on a multidisciplinary basis the coordination of efforts is essential. There are simply some services and expertise which the VASAP and VDTS are not capable of providing the localities and their defendants. The free exchange and effective coordination of services among the various agencies with outside expertise is essential for the smooth running of the VASAP program. Second, in any program which has the potential to affect so many agencies (and which has the revenue producing potential of the VASAP), there is bound to be some struggle for ownership or control of policy. Again, good relations with other agencies can help the VASAP to both monitor and manage this conflict. Finally, since the program has what is essentially a statewide power base, there are bound to be political aspects to the efficient operation of the program, especially in relation to the Legislature. Again, through close relations with other agencies competing interests can be worked out and the VASAP can work with other agencies in the pursuit of shared legislative goals. The use of agency coalitions, in conjunction with public support, should have an obvious appeal. For all of these reasons, extremely close ties between the VASAP and related agencies are essential. As a general comment, the authors initially found almost all VASAP ties with other agencies (with the exception of those with the Division of Mental Health/Mental Retardation) to be extremely "loose," with contacts either not being made or being made on the wrong levels. It should be noted, however, that the VASAP administrator has already taken steps to remedy this situation.

The discussion of VASAP relations with other agencies will be presented on an agency-by-agency basis, including: (1) Department of Mental Health/Mental Retardation, (2) Department of State Police, (3) Supreme Court of Virginia, (4) Division of Probation and Parole, (5) Community College System, (6) the Legislature, and (7) various other state agencies.

##### Department of Mental Health and Mental Retardation

One of the most apparent and also controversial relationships is that between the VASAP and the Department of Mental Health and Mental Retardation (MH/MR). It is one of the most apparent because of (1) the recent legislation which mandates an MH/MR role in the

VASAP, (2) the interagency agreements of 1977 and 1979, and (3) the mention of MH/MR's role in the draft of the Policies and Procedures Manual. These documents essentially seek to map out a role for MH/MR in its area of expertise, i.e., defendant treatment, especially Level III defendants. It appears that in some areas, including such things as aiding in the establishment of standards for the classification of defendants, giving input into defining the case manager's role, and helping to establish treatment curricula, the MH/MR expertise has not been utilized as fully as it might or should have been. The MH/MR liaison officer is a step toward this goal though the role of the officer is not defined clearly enough to allow a firm conclusion in that regard. It is clear, however, that the local programs do not support VASAP's funding of a position which appears to them to serve a competing organization. In the interest of morale and in order to have interactions occurring at the proper levels, additional contacts between the VASAP administrator and the corresponding MH/MR official would probably serve VASAP's interests.

The VASAP-MH/MR relationship also, as mentioned above, has a controversial and paradoxical aspect. The controversy in the field is the concern that MH/MR has designs to subsume VASAP within its own structure. Much of this fear should be allayed by the assurance of and actual adherence to the interagency agreement of July 1, 1979, which defines the specific roles of MH/MR, and by the establishment of a strong policy and procedure manual. The closely related paradox is that the more MH/MR is employed in its area of expertise, which is necessary, the more the threat "appears" to be real to those in the field. Another risk of utilizing MH/MR is the perception that may develop among local judges. If they feel there is too great an influence by MH/MR, they are likely to see the VASAP as "another social agency to coddle the defendant" and thereupon reduce their referrals. For these reasons, the VASAP administrator should conduct the VASAP-MH/MR interaction with an awareness of these conflicts and with appropriate caution. This relationship should be conducted almost exclusively by the administrator because of its delicate nature. It may also be necessary to discuss this matter with the local ASAPs so as to assuage their concerns and to further clarify the role of MH/MR. Thus, MH/MR should be employed to a greater extent than at present, but with great discretion on the part of the VASAP administrator.

#### Department of State Police

Another agency which can significantly influence the VASAP operations is the Department of State Police. The Department has a very obvious role in relation to the enforcement countermeasure;

however, the only contacts which were mentioned to the authors were within the Records and Statistics Division and were involved with provision of data for the management information system. In the previous three calendar years, the Department of State Police has been responsible for about 21% of statewide DUI arrests. This fact indicates both a major present role for the Department in the apprehension of DUI offenders as well as a potential for growth in this area. Nevertheless, the VASAP State Office has had limited contact with the Department of State Police, and virtually none on the administrative level, to arrange efforts for training or for informational purposes in the enforcement area. It is particularly important to further convince the Troopers of the importance of DUI apprehensions and of the worth of the VASAP program. Currently, even administrative respondents openly expressed doubt concerning the project's impact. Without such public relations efforts, the present level of arrests may slacken or the possibility of a greater number of apprehensions may be lost. Toward this end, it is suggested that the VASAP administrator develop a dialogue with the Superintendent of State Police to address the above mentioned concerns.

#### Supreme Court, Executive Secretary's Office

As the source of all referrals and as administrative agents for some ASAPs, the court system is tremendously significant to the efficacy of the VASAP program. Unfortunately, there have been several problems in this area. Some courts which collect VASAP fees have been dilatory in turning these funds over to the local ASAP. Others have had low referral rates. In still others, the amount of the fee assessed the defendant is not divulged to the local ASAP. Finally, in those four ASAPs which have a district court as their administrative agent, there appears to be an inherent conflict of interest. These problems have prompted the local ASAPs to express a need for assistance from the State Office. One of the best channels through which to address the problem is the Executive Secretary's Office of the Supreme Court. As the central administrative body over all the district courts, the Executive Secretary's Office wields considerable influence and could be used to achieve solutions to these problems more quickly and uniformly throughout the state than the individual ASAPs could by dealing with their own district courts. Toward this end, the VASAP administrator should further his contacts with the Executive Secretary and seek to resolve the above mentioned problems.

## Division of Probation and Parole

The relationship between the VASAP and the Division of Probation and Parole presents much the same dilemma as that presented by the relationship with the Department of Mental Health and Mental Retardation. Given the VASAP's criminal justice and probationary roles, the Division of Probation and Parole could provide much assistance and expertise to the VASAP, both in its operational and especially, its training capacities. Also, a closer VASAP relationship with the Division would likely improve the judges' perceptions of VASAP in that the judges often have considerable confidence in their parole officers. But, as with MH/MR, there are fears in the field of a "Probation and Parole takeover". Therefore, before the VASAP significantly increases its interaction with Probation and Parole, there must be an agreement akin to the MH/MR interagency agreement of July 1, 1979. Furthermore, such a relationship must be defined and explained to the local ASAPs so as to allay their fears. Only then can the resource which Probation and Parole represents be used to its fullest. Also, it appears that contacts are being made on the wrong levels and on a single region basis rather than on a statewide basis. This situation should also be remedied.

## Community College System

In regard to this study, the main issue involving the community college system is the possibility that local community colleges may have to terminate their sponsorship as administrative agents for local ASAPs. There are presently six ASAPs with community college administrative agents. The possible cessation of their sponsorship is a result of personnel ceilings imposed upon the community colleges. Faced with choosing between ASAP staffers and more conventional, educational personnel, the community colleges would understandably elect the latter. This situation presents the VASAP with an opportunity to replace the community colleges with the more preferable political subdivisions as administrative agents. In order to augment this transition or otherwise resolve this situation, the VASAP administrator will have to deal more closely with the community college system administrators than in the past.

## The Legislature

An extremely important body with which the VASAP must deal is the Virginia General Assembly. Its impact, both actual and potential, is tremendous in that it could totally alter or eliminate the VASAP.

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The legislation which went into effect July 1, 1979, illustrated this crucial role. Furthermore, the Legislature is becoming impatient with the program's failure to document its effectiveness due to a shortfall in evaluation. This feature of the VASAP - Legislature relationship could prove fatal. To assuage this potential problem, the VASAP administrator, under the auspices of the VDOTS Director, should further his efforts to develop a constituency among the legislators. This may be an area where the VDOTS, in the person of its Director, and the PDA can be of assistance to the VASAP.

#### Other Agencies

There are other agencies and groups which have been or could be further utilized to assist the VASAP achieve increased highway safety. These are mentioned only to bring attention to them; it is realized that there have been more important needs highlighted above which likely require more time than the VASAP State Office can presently devote to them. Therefore, means of utilizing these other agencies need not be addressed immediately but the matter should not be forgotten. The development of informal contacts with these agencies would be an appropriate endeavor at this time.

The Division of Motor Vehicles is not only an excellent data source with which the VASAP evaluator has worked in the past but also a service provider in the area of driver rehabilitation statewide. Further use of both these areas of expertise might be possible if the VASAP administrator would develop a contact toward this end. The Department of Alcoholic Beverage Control is also a valuable data source for advanced statistical work as well as a present medium for distribution of public information materials at effective points. The VASAP is already pursuing these uses rather effectively and probably only needs to maintain the present relationship. Efforts could also be directed through the Commonwealth Attorneys Association and the Virginia Bar Association toward the Commonwealth Attorneys and the defense attorneys. Particularly this latter group should be more fully apprised of the benefits to be derived for their clients through a VASAP referral. This increased awareness would introduce a further inducement to the judges to make VASAP referrals. Finally, one group which the VASAP administrator himself mentioned is the relevant federal agencies. While these agencies present a potentially valuable informational source, there have not been extensive contacts with them. Given his past dealings with such agencies, the VDOTS director could be especially useful here in developing initial contacts on behalf of the VASAP administrator.

Close ties and effective working relationships with numerous other agencies are essential to VASAP's success. For technological, organizational, and political reasons, considerably more effort needs to be invested in establishing and maintaining these relationships by the VASAP administrator and his staff.

## CONCLUSIONS AND RECOMMENDATIONS

The status of development of the Virginia Alcohol Safety Action Program was examined from several viewpoints. The relationship between the VASAP and the VDTS was examined due to the need to integrate the VASAP into the overall safety effort of the VDTS and to VASAP's need to make use of VDTS resources. Various aspects of the internal operations of the VASAP State Office were discussed, especially those dealing with interoffice communications and the allocation of staff resources to adequately reflect program priorities. Finally, the relationships of the State Office with its local programs and with other agencies were considered to examine the VASAP's vertical and horizontal lines of communications.

The conclusions and recommendations of this study are as presented below.

### Part 1: Relationship Between the VASAP and the VDTS

#### Conclusions

The VASAP, because of its historical development, is not considered to be an integral part of VDTS by many of the persons involved and as a result, does not make extensive enough use of the VDTS resources. Too little of the responsibilities for VASAP planning and decision making is being shared by VDTS personnel. The VDTS is also making insufficient use of very valuable VASAP resources in its overall transportation safety program.

#### Recommendations

The VDTS fiscal office should be included in the fiscal planning process for the local ASAPs. The VASAP State Office should offer such services as providing accounting standards for local programs on a consulting basis to improve fiscal accountability at the local level.

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The role of the area coordinators in the VASAP should be clarified and enforced by improving both VASAP and VDTs communications with these coordinators. One step toward this goal would involve persuading the coordinators of VASAP's ultimate worth via some sort of public relations program. Another step would be to ensure that the coordinators follow procedures outlined in the memorandum of November 28, 1978, and in the Policies and Procedures Manual.

Through awareness of the semiautonomous nature of the VASAP, program personnel should encourage maximum interaction between the VASAP and the VDTs. The VASAP administrator and staff should encourage increased participation and responsibility on the part of VDTs staff persons in decision making and planning, especially in relation to incorporating VASAP planning into the overall VDTs planning process.

## Part 2: Internal VASAP Operations

### Conclusions

There is a conspicuous lack of both long- and short-term operational planning within the VASAP State Office. This lack is a result of and has promoted the crisis management style of problem solving being utilized by the VASAP which obviously does not make best use of staff time and resources. This lack of planning can also result in staff confusion over priorities, unnecessary consultation with supervisors, and duplication of effort.

There are indications within the State Office that the current organizational structure is inappropriate and does not foster efficient operations. Organizational problems include: (1) a lack of comprehensive coverage of countermeasure areas, (2) considerable variance in accountability among staff members (i.e., some countermeasure representatives report directly to the VASAP administrator, while others do not), and (3) confusion among the local programs regarding the roles and decision-making authority of the VASAP administrator and manager. The current organization is also being informally circumvented by staff members, which is often a sign of serious internal problems.

There is a need to improve coordination between the VDTs public information office and the VASAP public information and training officer. It is clear that each has its own areas of expertise and sources of information. However, the duties and responsibilities of each have not been clearly defined, and this lack of delineation has reduced the effectiveness of the alcohol related public information effort. The need to improve this effectiveness is essential, given the conspicuity of the public information function to the local programs.



From the advent of the management information system, there have been high expectations concerning its value on the part of the local programs, expectations which have been fostered by the VASAP State Office. The system, however, has not met these expectations, and its current failure to meet the basic needs of the local ASAPs is causing considerable animosity in the field. This shortfall on the part of the system is due to several factors. First, the goals and objectives of the computer tracking were not explicitly stated and prioritized prior to initial design. Also, experienced systems analysts were not called in during the initial design phase. While there is currently an effort on the part of analysts in Management Analysis and Systems Development to redesign the system for use in an outside computer facility, these analysts have not been given complete documentation including the above mentioned prioritized needs and objectives, and thus are not able to design a comprehensive system.

### Recommendations

The VASAP State Office should place the development of an MBO type plan for the VASAP as its highest priority and possibly should enlist the services of a facilitator who is familiar with the planning process. Input from the VASAP State Office and the PDA should be included, as well as input from VDTs personnel, to ensure that the VASAP plan is an integral part of VDTs planning.

To ensure comprehensive coverage of countermeasure areas and to further delineate duties and responsibilities in-house, staff positions should be organized on a countermeasure basis, with each staff member being made responsible for one countermeasure. Each countermeasure representative should be a member of the corresponding PDA committee. Cooperation among countermeasure representatives should be highly encouraged, especially in the areas of training and evaluation.

The State Office staff should be reorganized to (a) make all countermeasure representatives responsible directly to the VASAP administrator, (b) add a "new", reallocated position to the staff to provide supervision in the case management area, and (c) accurately reflect current office responsibilities by informally establishing an office manager/administrative assistant position.

The duties of the VASAP public information and training officer should include receiving feedback from both the local programs and the PDA, and drawing up an MBO type plan for VASAP public information efforts on a yearly basis. This plan should clearly

(and measurably) state the prioritized goals and objectives of the program and outline the type, number and purposes of the campaigns needed. The VDTS public information director should then be responsible for having these campaign materials developed, and produced and delivered. The VASAP office, in conjunction with the area coordinators, would provide the local programs with not only justification for the materials and directions for their use, but also evaluation of how well the materials are received. Overview of the public information function should come from VDTS personnel to ensure smooth operation and a spirit of cooperative effort. Also, due to the economies of scale and the need for expertise in this area, regionalization of public information efforts among the local programs should be considered.

In relation to the management information system, additional planning is necessary to ensure its usefulness to all of its potential users. First, input from VDTS personnel, VASAP personnel, local program directors, liaisons in other agencies and legislative staff should be considered in preparing a list of system needs. The needs should then be prioritized according to both importance and urgency and be written into measurable objectives. Once documented, all of this information should be transmitted to officials at Management Analysis and Systems Development to allow them to design the whole management information system as an integral unit. Also, since the local programs judge the quality of VASAP State Office services largely on the basis of the management information system, close supervision of computer operations by the VASAP administrator is highly recommended.

### Part 3: The Relationship Between VASAP and Local ASAPs

#### Conclusions

In the opinion of people in the local programs (and it should be remembered that regardless of their validity, these perceptions can be just as deleterious to VASAP as facts), there is too much correspondence from the State Office. In this abundance of written material, important correspondence is often indistinguishable from that relating to routine matters. The localities expressed an interest in receiving more evidence of "what they get for their 10%" and in receiving less nonessential materials. It is also clear that there is no adequate channel for feedback from the local ASAPs and, in some instances, State Office management styles reduce the probability of candid interaction between the State Office and the local programs.

The PDA and more specifically its countermeasure related committees, are not being fully utilized by the VASAP staff. In fact, breakdowns in communications between the PDA and the VASAP have caused some animosity among the local programs.

Improved accounting and budgeting procedures are needed by the local ASAPs to improve handling of financial transactions and the transmittal of financial information to the State Office.

Additional training efforts have been requested and would be favorably received by the local ASAPs in the areas of budgeting, case management and general management. The State Office is cautioned that the local programs judge the State Office's utility, at least in part, on the basis of such training sessions; thus, the training should be of the highest quality possible.

### Recommendations

The State Office staff should condense and capsulize (and possibly color code) general information transmitted to the ASAPs through more extensive use of the management memorandum format. Use of this format would reserve the individual correspondence format for important and specific information referring to each local program. A channel of communications between the ASAPs and the VASAP State Office should be established not only for anecdotal but also statistical information and the ASAPs' comments on State Office endeavors. This may involve amending the roles of State Office personnel to encourage open discussion with the local programs.

In relation to the PDA, each countermeasure representative should be made a member of the appropriate PDA committee, and each should be encouraged to expend staff time on committee matters. Also, a formal channel of communications should be established between the PDA and the VASAP for the transmittal of information and committee products and for the oversight of communications between the two groups.

Again, several standard accounting packages designed for local ASAPs with differing administrative and cash flow agents should be prepared by the VASAP State Office staff in close conjunction with the VDOTS fiscal administrator. These packages, if not exactly applicable to a locality, could be modified through consultation with the VDOTS fiscal office. The need and mandate for these fiscal procedures should be written into the Policies and Procedures Manual. Also, since the localities have expressed some doubt as to the State Office's expertise in the area of finance and budgeting, efforts should be made to assure local program directors of the VASAP office's and fiscal office's competence.

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Additional training, especially in the areas of budgeting and general management, should be offered to the local programs. Since these topics are very specific and in some instances rather complex, experts in each field should direct the central portion of the training, with the VASAP education and training officer acting as a facilitator.

#### Part 4: The Relationship Between VASAP and Other Agencies

##### Conclusions

Close and effective relations with other agencies having interests in the VASAP are essential to ensure continued VDTS oversight of the program and to ensure efficient operations. However, these liaisons have not been developed as extensively as is necessary, and in many cases have not been developed at the proper levels of management, although recently efforts have been made to remedy this situation.

##### Recommendations

In the areas of defendant diagnosis and treatment certification, the expertise available at the Department of Mental Health and Mental Retardation has been underutilized for a number of reasons, including local program defensiveness and political concerns. The use of MH/MR resources, because of its sensitive nature, should be conducted exclusively by the VASAP administrator.

Liaisons with the Department of State Police should be improved, especially in the area of enforcement. An effort should be made to convince the troopers and their management of the value of the VASAP through the use of public information efforts and, perhaps, training.

As the central administrative body over all district courts, the Executive Secretary's Office of the Virginia Supreme Court should be consulted for assistance in all judicial matters and for improving concentration on the judicial countermeasure.

An operational agreement similar to that negotiated with the Department of Mental Health and Mental Retardation should be established with the Division of Probation and Parole. It should outline and clearly delineate the duties and responsibilities of Probation and Parole for the future. This relationship, due to its sensitive nature, should be carefully monitored by the VASAP administrator to avoid defensiveness on the part of the local programs and problems on an agency level. Strong ties should be developed on a statewide rather than a regional level.

The VDOTS staff, and particularly the director, should further introduce the VASAP administrator into legislative work, and use him as other VDOTS staff persons are used in making contacts and acting as a VDOTS/VASAP advocate. This is necessitated by the lack of such a legislative role that is perceived in the field. Such a perception, whether accurate or not, can be damaging to VASAP relations with others.

Liaisons should be strengthened with Division of Motor Vehicles personnel to gain their assistance in evaluation and their expertise in managing a statewide program; with officials of the Division of Alcohol Beverage Control to obtain statistical information and public information assistance; with the Commonwealth Attorneys Association and the Virginia Bar Association to enlist their assistance in enhancing the VASAP's relationship with Commonwealth and defense attorneys; and with related federal agencies.

As mentioned previously, the results of this study are expressed in negative terms, since it was the explicit purpose of the study to discover and pinpoint inadequacies and inefficiencies within the VASAP system. It should be noted, however, that the VASAP staff and particularly the administrator, have been extremely open with the authors and have welcomed all of the results as being constructive. It is to their credit that considerable effort has already been expended in remedying problems mentioned in this report and that many of the recommendations presented are already being implemented.

1950

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1952



## APPENDIX A

## SELECTED TOPICS FROM VDTs/VASAP INTERVIEWS

- (A) BASIC QUESTIONS FOR VDTs STAFF (Director, Deputy Director, Assistant Director, Fiscal Administrator, Public Information Director)
1. How are the VASAP office and the VDTs offices organized? How do the two hierarchies mesh?
  2. What is the relationship between VDTs and VASAP? What sort of policy communications are there?
  3. What changes and sort of action do you see as necessitated by the new, more active role set by legislature for VASAP?
  4. What efforts can VASAP make in order to fulfill this new role?
  5. What sort of standards should the central VASAP office set for the ASAPs? Both administrative and programmatic?
  6. What are the goals of the VASAP? How are these goals set? Are these goals perceived and pursued the same by all who are involved in the VASAP?
  7. What role should VDTs take in VASAP planning?
  8. What is the role of VASAP in pursuing VDTs goals?

ADDITIONAL QUESTIONS

## DEPUTY AND ASSISTANT DIRECTOR:

1. How are the area coordinators currently used in relation to VASAP? How should they ideally be used?
2. What sort of role has VDTs taken in relation to the generation of the Policies and Procedures Manual?
3. How are public information efforts handled in VDTs? In VASAP? What is the nature of the interaction between the VDTs Public Information Office and the VASAP Information and Training Officer? What sort of supervision is required in this effort?
4. What sorts of changes will be made by the current VDTs reorganization? How will that affect VASAP?

5. What are your organizational goals and priorities during the next year? The next 5 years?

FISCAL ADMINISTRATOR:

1. How does the fiscal office interact with VASAP? How are audits done and how often are they done?
2. Does the fiscal office have a role in program review?
3. What are the budget and auditing procedures for the Central VASAP office itself? How are expenditures for the Management Information System handled? What role does the fiscal office have in approving local ASAP budgets?
4. How easy would it be for "irregular procedures" to occur at the local level, both in the ASAP and through cash flow and administrative agents?
5. Do you receive all the information necessary to supervise VASAP financial procedures from the State Office? From the localities?
6. What role would you like to see the fiscal office play in VASAP supervision? Is there support service potential in the fiscal office in terms of accounting consultation for the local programs?

COORDINATOR SUPERVISOR:

1. What is the role of the area coordinators in VASAP? How was this role determined? Where are the lines of responsibility and accountability?
2. What is the ideal role for the coordinators in VASAP?

(B) BASIC QUESTIONS FOR VASAP STAFF (Administrator, Manager, Evaluator, Public Information Officer, Assistant Evaluator)

1. Explain the internal organizational structure of this office. Who does what and what are their job titles? What sort of evaluation is there of staff and programs? (Is there a regular evaluation, who does it, is there MBO?) What is this office's relationship with VDTS --reporting, evaluation, etc.? How do you spend your time among tasks --rough percentage? What is your role in the office both formally and in fact? What do you see as the strengths, weaknesses of the office and what suggestions or hopes do you have for their correction?

2. What do you see as the long-term and short-term goals of this office?
3. What are the best areas for (your) assistance of the ASAPs? (e. g., enforcement, political, PI&E, administrative, etc.) What are the greatest needs of the ASAPs?
4. What sort of evaluation of the ASAPs is done by this office? (e. g., programs — why recommend a standard 10 hr. Level I program, administrative evaluation, judicial and enforcement efforts, etc.) What is done with the results of any evaluative work?
5. What sort of information are you currently receiving from ASAPs? What would you like to get from them?
6. What is the nature of the channels of communication with ASAPs? (e. g., frequency, content, formality, who initiates, under what circumstances, etc.)
7. What is the structure and nature of the VASAP PI&E function?
8. How do you see the role of the Area Coordinators as it relates to this office? Are they fulfilling the more VASAP attuned job description we saw? If not, why not? What suggestions? Would you be happy with the fulfillment of the job description?
9. How do you view the relationship with the Program Directors' Association? Have you had much contact with their committees? Do you think the PDA is a productive resource in your relationship with the VASAPs?
10. What other agencies do you deal with? Who are your contacts there — are they formal? What other agencies might be of use to you with whom you have not dealt in the past for whatever reason?

#### ADDITIONAL QUESTIONS

##### ADMINISTRATOR, MANAGER:

1. How will the reorganization of VDOTS affect the VASAP office?
2. How are countermeasure assignments handled? What is the ideal reorganization of the office on a content basis?

3. How are public information efforts generated and coordinated with the VDTS office? What sort of planning goes into public information and training?
4. How much of staff time is spent out of the office?
5. What sort of interaction and effort coordination exists between the administrator and manager? Does this pose a duplication of effort? How are decisions made and enforced?
6. What sort of supervision is given the Management Information System? What sort of accountability exists?

## EVALUATOR, ASSISTANT EVALUATOR:

1. How are the evaluator/information system duties distributed?
2. What sort of information do you request from the ASAPs?  
What information do you actually receive from the ASAPs?  
What information would you like to receive from the ASAPs?
3. Do you receive any requests for data and/or services from the ASAPs?
4. Who determines what data to compile and what is to be done with it?
5. What sort of communications do you personally have with the ASAPs? Frequency? Content? Who initiates it?
6. What stage of systems development currently exists?  
What is the proposed timetable? What or who initiated this redesign?
7. What information and system documentation was given to MASD? Who is in charge of the redesign?
8. How was the decision made to conduct some data processing activities in-house with VDTS owned hardware and to conduct other activities at other computer facilities?  
How will this work under the new MASD designed system?  
What duplication of effort exists in this plan?
9. What problems do you foresee in the remote entry system for the localities?

## PUBLIC INFORMATION OFFICER:

1. How do you see your role in VASAP as it relates to current and proposed job description? What do you currently do in the office and with the localities?
2. How do the VASAP and VDTS information offices interact? How should they ideally interact?
3. How are your training responsibilities being conducted?

## CLERICAL STAFF:

1. What are the operational objectives and priorities of the VASAP office? Do all personnel understand what is planned for the future of VASAP and what goals are most important?
2. How often do staff meetings take place? Who attends? What happens at meetings?
3. Based on their calendars, how much of the staff time is spent out of the office? In pursuit of what sorts of activities?
4. What are office procedures for developing, drafting and sending out correspondence? Who must approve correspondence? Are multiple approvals necessary? How long does it take most in-house memoranda to reach their goals?
5. How often does the clerical staff have to check with the administrator and/or manager before acting? How much responsibility can the staff take? Is your ability to act independently hampered by anything? If so, what? (Lack of information?)
6. What is the volume of communication (by mail and phone) from and to the local programs? To whom is most communications addressed in the central VASAP office?

## KEYPUNCHERS:

1. Do you have contact with the computer beyond entering data?
2. Who supervises data processing activities? What are the respective roles of the evaluator and assistant evaluator?
3. What contact do you have with the administrator and/or manager? How aware are they of data processing activities?
4. How are data requests from the ASAPs handled?

1958

## APPENDIX B

## SELECTED TOPICS FOR INTERVIEWS WITH OTHER AGENCIES\*

(A) BASIC QUESTIONS FOR AGENCY LIAISONS:

1. How do you perceive VASAP in general? How do others in your agency perceive it?
2. What is the relationship between your agency and VASAP? What services, etc. are exchanged? Is there a formal connection? Who (formally) are the contacts between them? How often are you in contact with VASAP and with whom do you communicate? What generally is its content?
3. How do you view VASAP? How do you view the central office, the individual(s) you deal with? How do you view the program as a whole? How do you view the major problems and suggestions, from your viewpoint?
4. How do you think your agency and VASAP could increase the benefits of the relationship? How do you think your agency and VASAP could increase the changes in amount or type of contact? How do you think your agency and VASAP could increase the changes in what is provided by either?
5. What role will the new policies and procedures manual have in your interactions with VASAP?

ADDITIONAL QUESTIONS

## DEPARTMENT OF MENTAL HEALTH/MENTAL RETARDATION:

1. What is MH/MR's role in the VASAP program?
2. What could MH/MR best contribute to the program?
3. What are the major problems at this time with the interface between the two? With the VASAP program as a whole?
4. What improvements can you envision (ideally) in the VASAP program and/or MH/MR's contributions to it?
5. Whom do you talk to in the VASAP office? How often, to what end? Mostly formally or informally?

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\*For reasons of confidentiality, some topics have been excluded.

1960

6. Describe the local VASAP/MH/MR relationships? Treatment, education (training)? Fiscal?
7. How are local disagreements (e. g., over price) resolved?

#### MANAGEMENT ANALYSIS AND SYSTEMS DEVELOPMENT

1. What are your perceptions of VASAP? In general? Their computing activities: their use of their hardware, interfaces, etc?
2. What has MASD been asked for? What should VASAP be asking for? That is, what could MASD do for them?
3. What information has been received from the VASAP program to describe their system needs? How are these needs prioritized? What additional information should be provided?
4. What has MASD's role been with the VASAP system historically? What is currently being done?
5. What recommendations have already been made, and how were these decisions arrived at?
6. Would it be efficient to develop the system at two separate computing facilities? To maintain duplicate files?
7. What will the drawbacks and strengths be of putting the system at Midtown? at VCU? at State Police?
8. How will system transfer take place?
9. What are the advantages of using SAS rather than SPSS, OMNITAB, etc.?

#### DEPARTMENT OF COMMUNITY COLLEGES:

1. What problems currently exist in relation to the continued sponsorship of ASAPs by the community colleges? How, historically, has VDTS handled this problem?
2. Can the community college system assist in procuring substitute administrative agents for the ASAPs in question?
3. What progress is being made in standardizing didactically oriented rehabilitation within the state, especially for Level I defendants?



## SUPREME COURT

1. Historically, how has the executive secretary's office handled the problem of conflict of interest? In what forms does conflict of interest appear?
2. How do the judges feel about VASAP? What can be done to improve support statewide?
3. What is VASAP currently doing to improve relations with the judiciary?
4. What can this office do in relation to improving the program?

1962

## APPENDIX C

## SELECTED TOPICS FROM LOCAL ASAP INTERVIEWS

(A) BASIC QUESTIONS FOR THE DIRECTORSInternal

1. What is the current operational status of your office, its strengths, weaknesses, problems, and suggested improvements (ideal)?
2. What is the organizational structure of your office? What delegation of tasks, job descriptions are there?
3. What sort of training has your staff undergone? Is there any other forthcoming or that should be provided either from central VASAP office or other?
4. What sort of evaluation of staff and programs is done and how?
5. What is the nature of your relationship with other community organizations such as police, court, administrative and cash flow agents? Do you have liaisons with police and/or court? What about with those who conduct your rehabilitation programs?
6. How do you classify clients into drinking levels? Who does it?
7. What do you see as being long-term and short-term objectives of your office?
8. What is the biggest problem in your office?

Vertical

1. How do you envision your role in the overall VASAP program? What sort of relationship do you have with the central VASAP office?
2. What is the nature of your communications with the central VASAP office? Are they accessible and sensitive to your problems? Are there any problems or mistakes that might have been averted had they been more helpful?
3. Are you ever asked for input (e. g., for Pete's case summary sheet)?

1964

4. What do you feel is the current role of the central office in the VASAP program? Is there a potential for a more productive role? (Particularly in regard to policy formulation, providing guidance when and if needed, conducting and/or assisting in project evaluation [standard measures, statistics compiled], providing data as needed, providing training for your staff and any other necessary support services.)
5. Do you seek assistance or information from central VASAP office - why or why not? What is the result?

Horizontal

1. What is the nature of your office's interaction with other ASAPs? Role of Directors' Association? Extent and quality of other contacts with ASAPs?
2. What other agencies do you interact with for information or other assistance? Do you have any problems in this area? Could or does central VASAP office try to assist you in this regard?
3. Any other areas or questions which could be/should be addressed by this study?

(B) BASIC QUESTIONS FOR CASE MANAGERS

Internal:

1. What is the structure of the ASAP, particularly as it relates to you? Is that structure conducive to "benefiting" your clients?
2. Is there sufficient, excess or deficient staff in this ASAP in order to meet the needs of the program and goals? How are these "goals" and "program" perceived by case manager?

Vertical:

1. How do you, as case manager, evaluate the present relations between your ASAP and central VASAP?
2. Do you receive adequate information on your clients from VASAP? Do you need such information?
3. Are there any training activities or further ones which VASAP could conduct that would be of use to you?

4. Are there any other support services that would be of assistance to you? Such as ...?
5. Has VASAP given you any help or direction in deriving and working toward the "goals" of VASAP? If not, should it? How?

Horizontal:

1. Are there any other agencies (state/local, etc.) that could further your efforts to help your clients?
2. Do you have any contact with other ASAPs in this regard and is it useful — worth fostering?

(C) BASIC QUESTIONS FOR PUBLIC INFORMATION OFFICERS

1. Is this PI&E function your sole area of responsibility? If yes, do you feel other ASAPs should likewise have PI&E officers? If no, would it be appropriate or better to have a full time PI&E man?
2. What is your perception of the importance of PI&E?
3. Do others in your office share that perception?

Vertical:

1. What is the current relationship between you in your PI&E function and the central VASAP? How could it be improved?
2. Are there any facets of the PI&E countermeasure which are especially ill or well suited for central VASAP efforts rather than by the ASAPs?

1966