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**DOT HS-801 965**

**SUMMARY OF ASAP FOR APPLICATION TO  
STATE AND LOCAL PROGRAMS  
Volume III-Training Guide Instructor's Manua**

**Contract No. DOT-HS-5-01150**

**▶ August 1976**

**Final Report**

**PREPARED FOR:**

**U.S. DEPARTMENT OF TRANSPORTATION  
National Highway Traffic Safety Administration  
Washington ,D.C. 20590**

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16. Abstract Deaths and injuries on the highway, even though America's accident rate is the lowest in the world, remain the nation's highest cause of unnecessary fatalities, and a good half of those losses are related to the drinking driver. In its attempt to reduce the toll, the United States is turning from solely technological actions to complex social engineering aimed at controlling the human factors in the drinking driving problem. The largest attempt has been the Alcohol Safety Action Program of the U. S. Department of Transportation's National Highway Traffic Safety Administration started in 1970 and still continuing. This research was an analysis of the first 3.5 years of that program.  Volume III translates the findings and costs analysis into a training guide suitable for conduct of regional and/or local seminars for cognizant officials of State, county, and city government. Analyzes the significant of "ASAP," and discusses its results in terms of its successes and failures and the new knowledge developed in the field of highway safety. Analyses the costs of conducting an Alcohol Safety Action Project in a local community or a State.					
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## INTRODUCTION

During the early 1970's, the National Highway Traffic Safety Administration funded thirty-five experimental demonstration Alcohol Safety Action Projects (ASAPs) throughout all areas of the United States. The principal objectives of the Alcohol Safety Action Program were to:

- Demonstrate the feasibility and practicability of a systems approach for dealing with the drinking-driving problem and, further, to demonstrate that this approach can save lives.
- Catalyze each state into action to improve its safety program in the area of alcohol safety.

The ASAP did demonstrate that a coordinated and integrated systems approach is feasible and practical in producing a health care delivery system, one in which the functional alcoholic can be identified as a problem drinker-driver and efficiently processed through the court system into a rehabilitation program. However, the ASAP did not demonstrate that its system approach could produce an immediate and dramatic reduction in alcohol-related highway deaths.

The positive findings have had significant effect in catalyzing states to improve their safety program in the area of alcohol safety. However, the somewhat negative "bottom-line" results have not been conducive to wide-scale implementation of ASAPs.

If the demonstration projects funded by the Federal Government had achieved an immediate and significant reduction in fatalities and injuries caused by the abusive drinking driver, states and local governments would have been inclined to invest their financial resources into a proliferation of ASAPs throughout the country. However, since the ASAP experience did not achieve an immediate "bottom-line" objective, state and local governments can legitimately question the cost-effectiveness of such use of their limited resources. It seems clear that the elimination of the "stubborn residue" will require a concerted and very long-term effort by highway safety specialists, enforcement agencies, the criminal justice system, and the health care delivery system. A basic question, then, is whether or not the ASAP systems concept is a viable approach from a financial standpoint.

It is the belief of the National Highway Traffic Safety Administration that ASAPs can be planned at the state and local level which are both effective and economically self-sufficient. It is the purpose of this seminar to present a summary of the results obtained by the Federally funded ASAPs, examine the major functions and countermeasures provided or supported by ASAPs and present guidelines and methods for planning locally funded ASAPs to support law enforcement, judicial, and health care delivery agencies in combating the problem of the impaired drinker-driv

## SESSION I

### INTRODUCTION—OVERVIEW OF ASAP

- **PURPOSE OF SEMINAR**
  - To present a summary of the results and findings of NHTSA-funded "ASAP Demonstration Programs"
  - To examine the major countermeasure areas contained within an ASAP
  - To provide planning guidelines and methods applicable to the development of locally funded ASAPs.
- **OVERVIEW OF ALCOHOL SAFETY ACTION PROJECTS**
  - **Principal Objectives**
    - Demonstrate the feasibility and practicability of a systems approach for dealing with the drinking-driving problem and, further, to demonstrate that this approach can save lives,
    - Catalyze each state into action to improve its safety program in the area of alcohol safety, and
    - Evaluate individual countermeasures to determine their effectiveness.
  - **Results**
    - **What ASAP *did* demonstrate**
      - A coordinated and integrated systems approach is feasible and practical in producing a health care delivery system, one in which the functional alcoholic can be identified as a problem drinking driver and efficiently processed through the court system into a rehabilitation program.
      - Implementation of the systems approach required extreme degrees of cooperation and understanding among the highway safety system, the criminal justice system, and the health care delivery system.
      - States can be catalyzed into action to improve their safety program in the area of alcohol safety.
      - An alcohol countermeasures program can be run at minimal cost to a community; it is not a social program which requires large investment of the general taxpayer's money.
    - **What ASAP *did not* demonstrate**
      - The systems approach could produce an immediate and dramatic reduction in alcohol-related highway deaths.

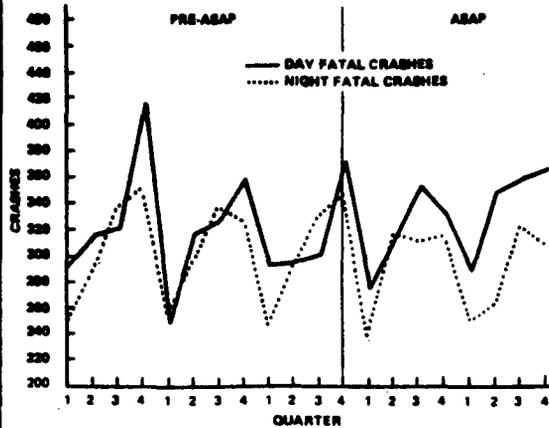


- Individual countermeasures were optimally designed; for example:
  - ASAP did not discover the optimal or the maximum arrest rate for deterring drinking-driving, though a handful of ASAPs may have done so without knowing it.
  - ASAP did not design a model court system that would operate automatically, without extra personnel of high motivation.
  - ASAP did not invent education and rehabilitation modalities that would reliably prevent recidivism.
  - ASAP did not design a system and personnel that would convince all communities to pick up the whole program with local funds.
  - ASAP remained vulnerable to policy changes within any or all of the agencies which it coordinated.
  - ASAP did not discover which sanctions by the system will prevent which drinking drivers from repeating this behavior.
- **OVERVIEW OF ASAP COSTS**
  - Based upon analysis of 10 ASAP Sites
  - Includes analysis of both actual NHTSA-funded projects and hypothesized "local or state" funded projects.
  - **State ASAPs**
    - NHTSA-funded programs resulted in one program realizing a net revenue to all governments, while another realized a net revenue to state and local government but a net cost to all governments.
    - A "locally funded" concept was developed by eliminating research and report requirements while maintaining existing financial burden to offender.
      - Under this concept, one statewide ASAP would realize net revenues; the other a net cost.
    - Problems in developing cost-effective state ASAPs.
      - Structuring offender fines and fees to balance program expenses
      - Allocating revenues to agencies bearing program costs.
  - **County ASAPs**
    - Three of four programs evaluated resulted in net revenues to local governments, net costs to all government.

Notes

Graphics

Reference



DAY AND NIGHT FATAL CRASHES  
FOR ALL 29 ASAP's

STATE ASAP REVENUES AND COSTS (1971-1974)  
(Thousands of Dollars)

Sector	Actual NHISA Funded			Hypothetical Locally Funded		
	Revenues	Costs	Net	Revenues	Costs	Net
<i>New Hampshire ASAP</i>						
NHISA		(1385)	(1385)			
Total Local	2366	(479)	1887	2366	(247)	2119
State	2366	(416)	1950	2366	(247)	2119
County	--	--	--	--	--	--
City	--	(63)	(63)	--	--	--
All Government	2366	(1864)	502			
Offenders			(3136)			(3136)
Attorneys			1135			1135
<i>South Dakota ASAP</i>						
NHISA		(1832)	(1832)			
Total Local	1764	(747)	1017	1764	(213)	(149)
State	110	(488)	(378)	110	(145)	(134)
County	806	(166)	640	806	(166)	640
City	848	(93)	755	848	(495)	353
All Government	1764	(279)	(415)			
Offenders			(2504)			(2504)
Attorneys			1135			1135

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- Fourth program resulted in net costs to both local and federal governments
- Under "locally funded" concept, only one program was financially self-sufficient
  - Remaining programs would require increasing fines and fees to offenders by approximately 20 percent.
  - Allocation of revenues to "cost-bearing" agencies a problem in all programs.
- **City ASAPs**
  - All programs evaluated resulted in net revenues to local governments, net costs to all governments
  - Under "locally funded" concept, three of four programs would have been self-sufficient with a fine and fee increase of 16 percent; the fourth with a fine and fee increase of 21 percent.
- **Conclusion**
  - The NHTSA-funded Alcohol Safety Action Projects were expensive, averaging \$2.1 million for the 3.5 years of operation. However, this high cost is offset by the fact that in 9 out of 10 sites, the local governments (state, county, city) had net revenues from the projects. If these revenues were taken into account, the 10 Alcohol Safety Action Projects would have had an average cost of \$1.3 million.
  - Substantial portions of the costs of the NHTSA-funded Alcohol Safety Action Projects were used to meet the research and reporting requirements of a federally funded demonstration project. With their elimination, it is entirely feasible to implement a State, County, or City Alcohol Safety Action Project which is financially self-sustaining.
  - A financial problem, which was apparent in half of the projects included in the analysis, is the fact that in an integrated system of state, county, and city participation, revenues do not always proceed to the agency bearing the cost.

Notes

Graphics

Reference

**COUNTY ASAP REVENUES AND COSTS (1971-1974)**  
(Thousands of Dollars)

Sector	Actual NHTSA Funded			Hypothetical Locally Funded		
	Revenues	Costs	Net	Revenues	Costs	Net
<i>Louis ASAP</i>						
NHTSA		(2643)	(2643)			
Total Local	750	(377)	373	--	(874)	(874)
State	--	(377)	(377)	--	(250)	(250)
County	648	--	648	--	(321)	(321)
City	72	--	72	--	(303)	(303)
All Government	720	(3020)	(2300)			
Offenders						(2835)
Attorneys			327			327
<i>Hennepin ASAP</i>						
NHTSA		(2115)	(2115)			
Total Local	2589	(981)	1608	2589	(519)	70
State	--	--	--	--	(54)	(54)
County	65	(313)	(248)	65	(144)	(138)
City	2524	(668)	1856	2524	(1018)	1506
All Government	2589	(3096)	(507)			
Offenders						(7845)
Attorneys			498			498
<i>Tampa ASAP</i>						
NHTSA		(2172)	(2172)			
Total Local	360	(230)	130	--	(635)	(635)
State	--	(216)	(216)	--	(120)	(120)
County	115	--	115	--	(126)	(126)
City	445	(14)	431	--	(389)	(389)
All Government	360	(240)	120			
Offenders						(3504)
Attorneys			1211			1311
<i>Phoenix ASAP</i>						
NHTSA		(2219)	(2219)			
Total Local	901	(1049)	(148)	36	(302)	(347)
State	267	(173)	94	36	--	36
County	--	--	--	--	--	--
City	634	(876)	(242)	--	(303)	(303)
All Government	901	(3268)	(2367)			
Offenders						(1664)
Attorneys			1277			815

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**CITY ASAP REVENUES AND COSTS (1971-1974)**  
(Thousands of Dollars)

Sector	Actual NHTSA Funded			Hypothetical Locally Funded		
	Revenues	Costs	Net	Revenues	Costs	Net
<i>Anaheim City ASAP</i>						
NHTSA		(2107)	(2107)			
Total Local	1152	(325)	827	251	--	251
State	--	--	--	--	--	--
County	--	--	--	--	--	--
City	1152	(325)	827	251	--	251
All Government	1152	(242)	910			
Offenders						(5854)
Attorneys			4045			4045
<i>New Orleans ASAP</i>						
NHTSA		(2157)	(2157)			
Total Local	502	--	502	600	(900)	(300)
State	--	--	--	--	(300)	(300)
County	--	--	--	--	--	--
City	502	--	502	600	(600)	--
All Government	502	(2157)	(1655)			
Offenders						(1034)
Attorneys			1384			1400
<i>Oklahoma City ASAP</i>						
NHTSA		(2512)	(2512)			
Total Local	512	(92)	420	--	(19)	(19)
State	--	(92)	(92)	--	--	--
County	--	--	--	--	--	--
City	512	--	512	--	(19)	(19)
All Government	512	(2604)	(2092)			
Offenders						(4352)
Attorneys			2520			2400
<i>San Antonio ASAP</i>						
NHTSA		(2101)	(2101)			
Total Local	1230	(98)	1132	711	(437)	274
State	--	(8)	(8)	67	--	67
County	1230	--	1230	664	--	664
City	--	(90)	(90)	--	(437)	(437)
All Government	1230	(2199)	(969)			
Offenders						(4116)
Attorneys			3577			2577

## SESSION II

### COUNTERMEASURES—ASAP PROGRAM ADMINISTRATION

#### • THE FUNCTION OF ASAP MANAGEMENT

- **Coordination.** Working with all agencies and branches of government, ASAP is the one neutral agency with wholly a highway safety objective. It not only sets up liaison between the countermeasure areas but also attempts to have them change operations in order to solve each other's problems. The ASAP objective is to establish an integrated system in which all agencies share objectives as well as possessing their own.
- **Education.** ASAPs provide education and training to the members of countermeasure agencies as well as to the public. They are the main channels for information from outside the local jurisdiction, accomplishing a broader understanding of the nature of alcohol safety problems and their potential solutions. They are a channel for information from one agency to the others, seeking to produce the better understanding without which the system will fail.
- **Motivation.** While no one is opposed to highway safety, it is not the highest priority in any countermeasure agency. ASAP can motivate the agencies to take necessary actions, at least by its presence, at best by its assistance, at worst by overt pressure. Alone in the system, ASAP represents exclusively the public interest in highway safety, and its powers of suasion are considerable.
- **Information.** Since the flow of information between agencies is either incomplete or inaccurate or ignored, ASAP can provide the vital system function of creating and maintaining continuity.
- **Evaluation.** ASAP can provide information on either a generalized or a case-by-case basis as to whether the agency's or the system's operations are effective, whether the chosen procedures are efficient, and whether what they are doing is accomplishing anything.

#### • THE PHASES OF ASAP MANAGEMENT—CHANGES OVER TIME

- **Planning.** Before the project goes operational, a planning period of at least 6 months is essential. During this time, the construction of either a proposal for funds and/or a detailed plan of operations is constructed. Detailed commitments and work statements must come from the countermeasure agencies. The data system must be analyzed and performance criteria and objectives developed. The existing system must be described in detail, deficiencies identified, and the general thrust of the program specified. This phase should result in a specific plan for performance with scheduled milestones.
- **Implementation.** ASAPs tend to come into existence piecemeal, though there is nothing inevitable about this process. Decisions must be made as to when each countermeasure is to start operations. Implementation may take some months, and almost certainly the deficiencies in the plan will not show up until the number of cases increases. At this

**SESSION II**

**COUNTERMEASURES—PROGRAM ADMINISTRATION**

Time: 1.5 hours

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
	<p data-bbox="695 436 1149 470"><b>The Function of ASAP Management</b></p> <ul data-bbox="649 506 1101 611" style="list-style-type: none"><li>● Coordination</li><li>● Education</li><li>● Information</li><li>● Motivation</li><li>● Evaluation</li></ul> <p data-bbox="711 1371 1133 1404"><b>The Phases of ASAP Management</b></p> <ul data-bbox="649 1440 881 1577" style="list-style-type: none"><li>● Planning</li><li>● Implementation</li><li>● Operations</li><li>● Continuation</li></ul>	<p data-bbox="1252 436 1422 506">Vol. I, Sec. II pp. 6-7</p> <p data-bbox="1252 1371 1422 1440">Vol. I, Sec. II pp. 7-8</p>

point, ASAP management shifts from steady planning to emergency responses and the need for constant monitoring and change of operations.

- **Operations.** There is no stable operational situation. The systems concept is vulnerable to change in any one countermeasure area or to extraneous events. While basic underlying problems (such as the data flow) are worked out slowly but surely, other problems may arise overnight or unexpected weaknesses in the system may be revealed. ASAPs do not run themselves once they are successfully implemented.
- **Continuation.** The experience of either the federally-funded ASAPs or the state-funded ASAPs has not yet been long enough to determine whether the systems approach can become a permanent entity. However, the benefits to most agencies' own objectives are so considerable that a majority of ASAPs have been continued by local funds. Efforts should go to built-in incentives as the ASAP unit itself retreats from direct operational responses to more basic management functions.

#### ● **MANAGEMENT STAFF LOCATION**

- ASAP management may be located in either state, county, or city government units. Each choice will give the ASAP a significantly different relationship to the agencies and people actually handling DWI cases.
- An ASAP is essentially a local community phenomenon since it coordinates the activities of existing agencies within a specified geographical area.
- ASAP management should be located within a local governmental office where the general overview will keep individual agencies in harmony and overall objectives of ASAP to the fore.

#### ● **MANAGEMENT STAFF**

- In general, ASAP should consist entirely of management and coordinating staff, with its size being dependent on the size of the area's population.
- **Key Personnel**
  - Project Director has direct responsibility for all management decisions and for all negotiations with local, state, or federal officials, with the support of higher officials when necessary.
  - Countermeasure Coordinators have special responsibility for day-to-day liaison with individual countermeasure areas, including enforcement, courts, rehabilitation, and public information and education. May be hired as part of the ASAP staff or designated members of countermeasure staff.
  - Management Information Specialist. All operations of an ASAP require an efficient management information system to maintain both information flow and the measures that will provide a bottom-line evaluation. Most ASAPs will require a data specialist initially to analyze the information systems, identify inadequacies, and assist with improvements.

Notes	Graphics	Reference
	<div data-bbox="678 1129 1230 1356" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;"><b>The ASAP Management Staff</b></p> <ul style="list-style-type: none"> <li>● Project director</li> <li>● Countermeasure coordinators</li> <li>● Management information specialist</li> <li>● Others</li> </ul> </div>	<p data-bbox="1289 695 1458 764">Vol. I, Sec. II pp. 8-9</p> <p data-bbox="1289 1142 1458 1211">Vol. I, Sec. II pp. 9-11</p>

- The single incontrovertible recommendation concerning ASAP management is the need to create a professional, respected, full-time management unit. The presence of coordinating councils and advisory committees is often beneficial, but it is no substitute for full-time responsibility and clear lines of authority. No ASAP operates effectively if the ASAP unit crumbles, no matter how large the supply of external funds.
- **ASAP PUBLIC INFORMATION AND EDUCATION.**
  - **Objectives**
    - Make the problem of alcohol-related crashes a higher priority among community concerns.
    - Make key officials and professional groups (police, judiciary, etc.) aware that two-thirds of the drunk driving fatalities involve problem drinkers, rather than social drinkers.
    - Create support for the hypothesis that this relatively small segment of the driving population which abuses alcohol can be effectively controlled.
    - Inform key officials, professionals, and the public about modern countermeasure methods.
  - **Methods**
    - **National-level campaigns.** A contracted advertising agency (Grey Advertising, Inc.) created TV public service spots which, in revised form, were used by most ASAP sites and remain available for general use.
    - **Public relations campaigns.** All ASAPs conducted the conventional campaigns through press releases and media interviews at the time ASAP was established and whenever any event of local significance occurred.
    - **Special materials.** Each ASAP generated its own materials for dissemination to the general public. Some dealt with ASAP itself, but more were a legitimate attempt to inform the public about the fact of alcohol-impaired driving.
    - **Special target-group campaigns.** Most ASAPs aimed particular education efforts at various identifiable target groups in the population, sometimes using national-level materials, other times showing considerable imagination in local materials.
    - **System design meetings.** Most ASAPs conducted frequent meetings with the decision-making personnel responsible for implementing countermeasures: police, attorneys, judges, public health and medical personnel, community agency staff, city management, etc.
    - **Press education.** Several ASAPs devoted special efforts to educating members of the press for other than public relations reasons, and, although the results were occasionally the opposite of what was expected or desired, these efforts seem to have long-term payoffs.

Notes	Graphics	Reference
	<div data-bbox="662 422 1214 709" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;"><b>Public Information and Education</b></p> <ul style="list-style-type: none"> <li>● Objectives               <ul style="list-style-type: none"> <li>● Increase community concern</li> <li>● Increase awareness</li> <li>● Create support</li> <li>● Inform public of modern methods</li> </ul> </li> </ul> </div> <div data-bbox="662 1010 1214 1297" style="border: 1px solid black; padding: 5px; margin-top: 20px;"> <ul style="list-style-type: none"> <li>● Methods               <ul style="list-style-type: none"> <li>● National level campaigns</li> <li>● Public relations campaigns</li> <li>● Special materials</li> <li>● Special target group campaigns</li> <li>● System design meetings</li> <li>● Press education</li> </ul> </li> </ul> </div>	<p data-bbox="1263 426 1463 499">Vol. I, Sec. VII pp. 74-76</p> <p data-bbox="1263 1220 1463 1293">Vol. I, Sec. VII pp. 76-78</p>

- **Results**

- In 1972, NHTSA concluded on the basis of surveys that the media campaigns were having "a relatively small impact," which duplicates the experience of previous highway safety campaigns.
- The persons most affected by education were those whose jobs involve the handling of drinking-driver cases: prosecutors, judges, pre-sentence/probation staff, health care professionals, and police.

- **Conclusions**

- Comparison between sites with PI&E campaigns and sites without PI&E campaigns showed that the campaigns did make a difference. Surveys charted knowledge and attitude changes and attempted to get indirect measures of behavioral change. The 1975 NHTSA Evaluation concludes: "In summary, the impact of the Public Information and Education countermeasure is significant, and most effective in achieving desired changes in the levels of knowledge about alcohol and driving.
- No evaluation of the most and least desirable media was possible, and ASAP recommends no more than that the media be chosen on the basis of knowledge concerning the target group at which the message is aimed.
- The state-of-the-art has now progressed to the point where no jurisdiction should attempt a PI&E campaign without using the recommendations and developed instruments available through NHTSA. So many different materials were created by the various ASAPs that a jurisdiction newly entering the field need spend little effort on new design. Existing materials of all kinds are available through the Coordination Center of the Office of Driver and Pedestrian Programs in NHTSA.

- **PROGRAM ADMINISTRATION COSTS**

- **Experience from NHTSA-Funded ASAPs**

- The overall cost of program administration was developed by combining the expenditures for project management, project evaluation, and public information and education. These three functions were solely the responsibility of the management staff and all contributed to program administration.
- Overall, the typical project required approximately \$250,000 annually for operating expenses and just under \$100,000 initially to plan and organize the project.
- Annual operating costs were almost equally divided between project management (42 percent) and project evaluation (40 percent). Public information and education accounted for the remaining expenditures (18 percent).
- Comparison of annual operating costs with DWI Arrest rates indicated that costs of coordinative and evaluative functions were independent of operational countermeasures.

Notes	Graphics	Reference												
	<p data-bbox="824 1423 1094 1472" style="text-align: center;"><b>AVERAGE PROGRAM ADMINISTRATION COSTS</b></p> <table border="1" data-bbox="766 1493 1151 1705"> <thead> <tr> <th data-bbox="766 1493 876 1591">Type of ASAP</th> <th data-bbox="876 1493 1019 1591">Annual Costs (thousands)</th> <th data-bbox="1019 1493 1151 1591">Start-Up Costs (thousands)</th> </tr> </thead> <tbody> <tr> <td data-bbox="766 1591 876 1633">State</td> <td data-bbox="876 1591 1019 1633" style="text-align: center;">\$217</td> <td data-bbox="1019 1591 1151 1633" style="text-align: center;">\$ 68</td> </tr> <tr> <td data-bbox="766 1633 876 1665">County</td> <td data-bbox="876 1633 1019 1665" style="text-align: center;">\$281</td> <td data-bbox="1019 1633 1151 1665" style="text-align: center;">\$ 87</td> </tr> <tr> <td data-bbox="766 1665 876 1705">City</td> <td data-bbox="876 1665 1019 1705" style="text-align: center;">\$244</td> <td data-bbox="1019 1665 1151 1705" style="text-align: center;">\$121</td> </tr> </tbody> </table>	Type of ASAP	Annual Costs (thousands)	Start-Up Costs (thousands)	State	\$217	\$ 68	County	\$281	\$ 87	City	\$244	\$121	<p data-bbox="1295 275 1490 344">Vol. I, Sec. VII pp. 78-79</p> <p data-bbox="1295 621 1490 690">Vol. I, Sec. VII p. 79</p> <p data-bbox="1295 1310 1490 1379">Vol. II, Sec. III pp. 7-8</p>
Type of ASAP	Annual Costs (thousands)	Start-Up Costs (thousands)												
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County	\$281	\$ 87												
City	\$244	\$121												

- **Major expenses in project startup were:**
  - Management staff salaries and office equipment (46 percent)
  - Design of evaluation program and collection of baseline data by evaluator (42 percent)
  - Public information and education campaigns and materials (12 percent)
- **Areas for cost reductions in locally funded ASAP**
  - **Cost Reductions in Project Management.** The initial concept of a management staff for an ASAP included provisions for several countermeasure coordinators, legal or fiscal assistants, and extensive support personnel. As the projects matured, the countermeasure coordinators were shifted to their line organizations and support staffs were substantially curtailed. Most projects found it possible to manage their ASAP with only a project director, one or two professional assistants, and modest clerical support.
  - **Cost Reductions in Project Evaluation.** Project evaluation was a federal requirement for the demonstration projects, and its scope could be drastically reduced under local funding. Some sites could eliminate entirely the costs for project evaluation, but most would find it advantageous to obtain assistance, either through temporary staff or a contract with a professional organization, for design and implementation of a management information system.
  - **Cost Reduction in Public Information and Education.** Almost all ASAPs expended considerable amounts of time and money for internal development of mass media materials. Considering the rather limited success of public information and education campaigns and the extensive material now available from NHTSA, reductions are practical for both start-up and annual operating costs.
  - **Effective Program Administration.** A program administration countermeasure can be effectively designed with average start-up costs of \$40,000 and annual operating costs of \$90,000. Local conditions will vary, depending upon the type of ASAP (state, county or city), and will vary from site to site. Start-up costs should range between \$25,000 and \$50,000, with annual operating costs varying between \$60,000 and \$120,000, depending almost exclusively on the size of the management staff.

Notes	Graphics	Reference												
	<table border="1" data-bbox="670 1283 1234 1646"> <thead> <tr> <th colspan="3" data-bbox="781 1293 1114 1360">Locally Funded ASAP— Project Management Costs</th> </tr> <tr> <th data-bbox="675 1398 889 1436"></th> <th data-bbox="898 1398 1019 1436"><u>Range</u></th> <th data-bbox="1117 1398 1224 1436"><u>Average</u></th> </tr> </thead> <tbody> <tr> <td data-bbox="675 1465 889 1503">Start-up</td> <td data-bbox="898 1465 1019 1535">\$25,000- \$50,000</td> <td data-bbox="1117 1465 1224 1503">\$40,000</td> </tr> <tr> <td data-bbox="675 1570 889 1640">Annual Operation</td> <td data-bbox="898 1570 1019 1640">\$60,000- \$120,000</td> <td data-bbox="1117 1570 1224 1608">\$90,000</td> </tr> </tbody> </table>	Locally Funded ASAP— Project Management Costs				<u>Range</u>	<u>Average</u>	Start-up	\$25,000- \$50,000	\$40,000	Annual Operation	\$60,000- \$120,000	\$90,000	<p data-bbox="1276 499 1468 569">Vol. II, Sec. III p. 8</p>
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## SESSION III

### COUNTERMEASURE—ASAP ENFORCEMENT

- **OBJECTIVES**

- The ASAP enforcement effort stated its objectives in a traditional but clear fashion:
  - To identify, apprehend, and channel offenders into the judicial system so that judicial sanctioning may operate to minimize recidivism:
  - To optimize the arrest activity in order to instill a high perception of the risk of being apprehended so as to produce a general deterrence of drinking-driving.

- **APPROACH OF NHTSA-FUNDED ASAPs**

- The entire ASAP concept was grounded in a traditional approach to enforcement activity. As NHTSA wrote, "It is absolutely fundamental that this activity be stepped up dramatically."
- In the beginning, the ASAP approach saw the police as lacking in three areas:
  - Sufficient enforcement personnel and equipment assigned to the detection of drinking drivers
  - Proper training in modern methods of detection and apprehension
  - Concentrated efforts at times and places where the greatest number of alcohol-related crashes and arrests occur.
- ASAP responded to these needs in the following ways:
  - Funds for special equipment, increased patrol hours, and special training
  - Analysis of accident and patrol patterns
  - Assistance with paperwork, statistics, data gathering and analysis, and legislation designed to smooth arrest process.
  - Liaison with prosecutors and judges.
- ASAP also made specific recommendations as to the use of personnel and the development of operating procedures, aimed at supplementing or bolstering police efforts:
  - Use of preliminary breath screening tests, as permitted by law;
  - Special enforcement efforts at times (9 P.M.-3 A.M., weekends and holidays) and places where the greatest number of accidents and alcohol-related offenses occur;

**SESSION III**

**COUNTERMEASURE-ASAP ENFORCEMENT**

Time: 1.5 hours

<b>Notes</b>	<b>Graphics</b>	<b>References</b>
	<p style="text-align: center;"><b>ASAP Enforcement</b></p> <ul style="list-style-type: none"><li>● <b>Objectives</b><ul style="list-style-type: none"><li>● Identify, apprehend, and channel offenders into system</li><li>● Optimize activities to instill a high perception of risk</li></ul></li><li>● <b>Approach</b><ul style="list-style-type: none"><li>● Analyze enforcement activities</li><li>● Provide funds and assistance</li><li>● Make specific recommendations</li></ul></li></ul>	<p>Vol. I, Sec. III p. 14</p> <p>Vol. I, Sec. III pp. 15-16</p>

Operating procedures to ensure apprehension and surveillance of persons whose driving privileges have been revoked or restricted.

- Operating procedures to train police officers in the use of breath-testing equipment and other alcohol safety enforcement tools (video equipment, audio and visual, and mobile test vans).
- Systems to simplify the apprehension procedures (paperwork, testing, incarceration), so that the law enforcement officer can spend more time on patrol.

- **FINDINGS**

- The experience of the ASAPs with the various approaches has resulted in some clear recommendations as to where to place one's emphasis, what to expect, and where not to waste effort.
- **Equipment Procurement.** ASAPs provided funds for capital expenditures in several areas, with the following results:
  - **Patrol cars.** Patrol cars represent a heavy item of capital expenditure with a fairly short life (2 to 3 years), but most ASAPs purchased vehicles for their police departments. Although some ASAPs did not purchase vehicles, any site wishing to increase patrol activity substantially may expect to provide funds for this purpose.
  - **Breath-test equipment.** All police agencies needed more and newer breath-test equipment. Preferred equipment varies widely according to the resources and opinions of the local police department. The purchase of better breath-testing equipment resulted in more accurate tests, improved evidence and pre-sentence information, reduced volume of blood tests, better police training, reduced arrest time, improved morale, and sometimes in a better rate of "satisfactory outcomes."
  - **Screening breath testers.** Several sites tested the new preliminary or screening breath-testers developed since 1970. Although most sites did not have the appropriate legislation, preventing nationwide testing of the devices, results in the experimental sites were definitely positive.
  - **Mobile vans.** Several ASAP's purchased Breath-Testing and Booking Vans at considerable expense. Containing laboratory breath-testing equipment, specially trained officers, and other facilities for the booking process, these vans acted as mobile booking and testing stations. Most police departments liked the vans for varying reasons, although operations were expensive.
  - **Videotape equipment.** A popular idea at the beginning of the ASAPs was the use of videotape either with the patrol vehicle or at the police station to film (a) the impaired driving which lead to a stop; (b) the driver's performance on the psychomotor tests in the field; (c) the driver's behavior at the police station. The usual opinion (with dissents) was that taping systems are not yet simple or cheap enough to be cost-effective.
- **Training.** Small but significant sums went to all police departments for training in methods of detecting and identifying alcohol-impaired drivers and in operation and

Notes	Graphics	Reference
	<div data-bbox="613 451 1161 779" style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;"><b>ASAP Enforcement Findings</b></p> <ul style="list-style-type: none"> <li>● Equipment procurement</li> <li>● Training</li> <li>● Patrol operations</li> <li>● Patrol procedures</li> <li>● Liaison with courts</li> <li>● Legislative help</li> <li>● Arrest rates</li> </ul> </div>	<p data-bbox="1222 464 1406 533">Vol. I, Sec. III pp. 16-18</p> <p data-bbox="1222 1738 1406 1808">Vol. I, Sec. III pp. 18-19</p>

evidence connected with chemical test equipment and procedures. All ASAPs and police departments agree that this was a major factor in increasing the number and improving the quality of arrests. Funding went for three types of training: in-house training by experienced and trained officers; attendance at out-of-town ongoing training programs; and special in-town training by outside experts.

- **Patrol Operations**

- All ASAPs paid for patrol time and administrative support.
- ASAPs chose three different courses to expand patrols: creation of an Alcohol Emphasis Patrol with permanently assigned officers; creation of an Alcohol Emphasis Patrol through which officers rotate on a temporary basis; and making the Alcohol Emphasis Patrol an overtime-pay effort, with assignment based on performance in arresting drinking drivers.
- Assuming that the department chooses to establish a special patrol, then the most popular staffing policy seems to be the overtime method, with selection of officers based on the number of drinking-driver arrests made on regular patrol.
- In all cases, the central issue seems to have been the motivation and policy of the police department's leadership. If the leadership seriously wishes to increase arrests, then the Alcohol Emphasis Patrol is an effective method, and it will have catalytic effects on arrests by the regular patrol.

- **Patrol Procedures.** The ASAPs have accumulated highly useful information about the most productive patrol procedures.

- **Patrol hours.** All the ASAPs demonstrate that the most productive shift in terms of number of arrests is midnight to 4 A.M., with 8 P.M. to midnight second. These are also the periods in which most alcohol-related fatal crashes occur.
- **Patrol manhours per arrest.** With the national average standing at two arrests per policeman per year, NHTSA originally sought a very steep increase in arrests: one arrest per 8 hours of patrol time. Some ASAPs achieved or surpassed that goal, while others failed even to approach it, but the average in 1972 was 15.7 patrol manhours per arrest. The major factors affecting those figures seem to be: level of police interest; rural versus urban highways; one or two patrolmen per vehicle; time-consuming booking procedures.
- **Special patrols.** The special patrol officers obtained BACs on a higher percentage of persons than did the regular patrol officers, and their arrests were at a significantly lower average BAC--differences caused by their extra training and their fulltime assignment to drinking-driving arrests.
- **Police-time per arrest.** Reduction of the amount of time spent processing an individual case seems likely to increase the number of arrests, and this can be achieved almost anywhere. ASAP experience suggests that an officer need spend no more than 45 minutes (excluding transportation time) on processing a case from time of stop through jailing, as contrasted with the 2 to 4 hours which is customary.

Notes	Graphics	Reference
		<p data-bbox="1224 380 1406 449">Vol. . Sec. III pp. 19-20</p> <p data-bbox="1224 1035 1406 1104">Vol. I, Sec. III pp. 20-21</p>

- **Special procedures.** ASAPs reported that few police departments had proven innovative in the processing of drinking-driving cases, and they were able to be of particular assistance.
- **Liaison with Court Systems.** One of the ASAP staff's main contributions was to set up adequate liaison between the court system and the police departments.
  - By acting as neutral "management" agents, ASAP was very often able to introduce better routine procedures into contacts between the various functionaires.
- **Legislative Help.** ASAPs were often effective in assisting or obtaining the passage of legislation which helped the police process.
- **Arrest Rates.** Discussion of "desired" arrest rates raises two difficult problems. First is the unknown arrest rate which will effectively deter drinking-driving. Second is the specter of arrest quotas.
  - By both practical and theoretical measures, ASAP has shown that current arrest rates in most communities, and even doubled or tripled arrest rates, are still too low by themselves to affect the amount of drinking-driving.
- **CONCLUSIONS**
  - ASAP emphasis on enforcement demonstrated the following:
    - Despite the presence of federal funds, a jurisdiction's police policy will be determined by the police department and city managers. All other results stem from the presence or absence of police willingness to make drinking driver arrests.
    - The most productive areas for investing funds are equipment, training, design of procedures (both arrest and court), and information flow. All police operations can use assistance in these areas.
    - Significant improvements can be made in the processing time for the arrest of a DWI through revision and standardization of procedures.
    - In a majority of jurisdictions, ASAP had little difficulty in doubling or even quadrupling the number of arrests. No ASAP could prove that it had increased the number of arrests to the deterrence level, and no ideal number of arrests could be postulated.
    - Police departments do not resent the ASAP systems approach; in fact they prefer it to an isolated enforcement effort as long as ASAP solves problems connected with waste of police time in trial appearances, the presence of unwarranted dismissals of cases and inequitable, informal plea negotiation.
- **ENFORCEMENT COUNTERMEASURE COSTS**
  - **Experience from NHTSA-Funded ASAPs**
    - The overall costs of enforcement was developed by combining the expenditures for enforcement administration, enforcement selective patrols, enforcement training,

Notes	Graphics	Reference																
		<p>Vol. I. Sec. III pp. 21-22</p> <p>Vol. I. Sec. III p. 22</p> <p>Vol. I, Sec. III pp. 22-23</p>																
		<p>Vol. I. Sec. III pp. 23-24</p>																
	<p style="text-align: center;"><b>AVERAGE ENFORCEMENT COSTS</b></p> <table border="1" data-bbox="662 1646 1192 1860"> <thead> <tr> <th data-bbox="662 1646 773 1751">Type ASAP</th> <th data-bbox="773 1646 915 1751">Annual Costs (thousands)</th> <th data-bbox="915 1646 1058 1751">Annual Revenues (thousands)</th> <th data-bbox="1058 1646 1192 1751">Start-Up Costs (thousands)</th> </tr> </thead> <tbody> <tr> <td data-bbox="662 1751 773 1793">State</td> <td data-bbox="773 1751 915 1793">\$312</td> <td data-bbox="915 1751 1058 1793">\$125</td> <td data-bbox="1058 1751 1192 1793">\$49</td> </tr> <tr> <td data-bbox="662 1793 773 1835">County</td> <td data-bbox="773 1793 915 1835">\$265</td> <td data-bbox="915 1793 1058 1835">\$ 35</td> <td data-bbox="1058 1793 1192 1835">\$80</td> </tr> <tr> <td data-bbox="662 1835 773 1873">City</td> <td data-bbox="773 1835 915 1873">\$320</td> <td data-bbox="915 1835 1058 1873">\$ 55</td> <td data-bbox="1058 1835 1192 1873">\$77</td> </tr> </tbody> </table>	Type ASAP	Annual Costs (thousands)	Annual Revenues (thousands)	Start-Up Costs (thousands)	State	\$312	\$125	\$49	County	\$265	\$ 35	\$80	City	\$320	\$ 55	\$77	<p>Vol. II, Sec. III pp. 8-9</p>
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and special activities. No costs were attributed to the catalytic increase in regular patrol DWI arrests achieved by almost all sites. Offsetting revenues were generated by most sites through traffic citations issued by the selective enforcement patrols.

- Overall, the typical project expended about \$300,000 annually for operating expenses, required \$15,000 to prepare for the strengthened selective enforcement effort, and generated \$61,000 in fines annually through the issuance of traffic citations by the selective enforcement patrols.
- The major expenditures for start-up costs were for the training of the selective enforcement force and the procurement of equipment (patrol cars, breathalyzers, and vans) necessary to support selective enforcement patrolling. Of these elements, the major factor was the number of additional patrol cars required to meet the selective enforcement strategy at each ASAP site.
- Annual operating expenses were heavily committed to salaries for the selective enforcement patrols (82 percent). Much smaller amounts were required to support enforcement administration (9 percent), special activities (7 percent), and retraining (2 percent).
- **Areas for Cost Reductions**

Reductions are feasible in three of the four functional areas of enforcement and in start-up costs.

- **Cost Reductions in Enforcement Administration.** The research and reporting requirements of a federally-funded ASAP dictated administrative staffs much larger than would be required for a locally-funded project. Most sites concluded that enforcement could be effectively administered by a single police sergeant at a cost of approximately \$15,000 annually.
- **Cost Reductions in Enforcement Training.** Only three of the ten sites had followup training for their selective enforcement patrol force. The other seven used roll-call training and found it to be an acceptable system, and one which was no-cost.
- **Cost Reductions in Enforcement Special Activities.** The research requirements of the federally-funded project required frequent voluntary roadside surveys, which typically were supported by the police department. In addition, a number of sites had special units for surveillance of suspended and revoked licenses. None of the units was considered effective enough to warrant their retention under a locally funded concept. It was generally concluded that special activities would be funded adequately by approximately \$10,000 annually.
- **Cost Reductions in Start-Up.** The major expenditures for start-up were initial officer training and equipment procurement. All sites concluded that their training programs were necessary, but that economics could have been realized by more careful screening of their equipment procurements. It was generally concluded that start-up costs could have been held to \$20,000, which was 28 percent of the annual operating costs for enforcement patrols.

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	<p data-bbox="760 982 1117 1066" style="text-align: center;">AVERAGE PATROL MAN-HOURS PER DWI ARREST VERSUS TYPE OF PROJECT</p> <table border="1" data-bbox="732 1083 1154 1272"> <thead> <tr> <th>Type Project</th> <th>Nature</th> <th>PMH/DWI</th> </tr> </thead> <tbody> <tr> <td>State</td> <td>Rural only</td> <td>37</td> </tr> <tr> <td>County</td> <td>Rural</td> <td>13</td> </tr> <tr> <td></td> <td>Urban</td> <td></td> </tr> <tr> <td>City</td> <td>Urban only</td> <td>9.5</td> </tr> </tbody> </table> <p data-bbox="797 1329 1068 1434" style="text-align: center;">PATROL MAN-HOURS PER DWI ARREST VERSUS MOTIVATION AND TYPE OF PROJECT</p> <table border="1" data-bbox="760 1465 1110 1659"> <thead> <tr> <th rowspan="2">Type Project</th> <th colspan="3">Degree of Motivation</th> </tr> <tr> <th>High</th> <th>Average</th> <th>Low</th> </tr> </thead> <tbody> <tr> <td>State</td> <td>29.5</td> <td>37.0</td> <td>44.5</td> </tr> <tr> <td>County</td> <td>10.5</td> <td>13.0</td> <td>15.5</td> </tr> <tr> <td>City</td> <td>7.5</td> <td>9.5</td> <td>11.5</td> </tr> </tbody> </table>	Type Project	Nature	PMH/DWI	State	Rural only	37	County	Rural	13		Urban		City	Urban only	9.5	Type Project	Degree of Motivation			High	Average	Low	State	29.5	37.0	44.5	County	10.5	13.0	15.5	City	7.5	9.5	11.5	<p data-bbox="1263 877 1458 947" style="text-align: right;">Vol. II, Sec. III pp. 9-11</p>
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- **Cost Reductions in Enforcement Patrols.** Provision of the same level of DWI arrest productivity would require the same expenditure of funds whether federally or locally funded. The costs during the period of NHTSA funding averaged \$242,000, which was approximately \$9 per patrol man-hour. Arrest productivity is greatly influenced by:
  - **Rural/Urban Nature of Site.** Enforcement experience from federally funded operators indicates that there is a definite correlation between the type of project and the patrol man-hours required for a DWI arrest.
  - **Level of Officer Motivation.** Research by NHTSA and reports from individual ASAP sites indicate that the degree of officer motivation is one, if not the major, factor in DWI arrest productivity. While there has been little or no quantification of this influence, it is believed that motivation accounts for as much as plus or minus 20 percent in DWI arrest productivity.
  - **Areas and Day of Week Emphasis.** The majority of ASAP sites deployed their selective enforcement patrols on all nights of the week and on an area-wide basis. If an ASAP had chosen to confine its selective enforcement patrols to areas of high alcohol risk and to limit patrols to Friday and Saturday nights, there would have been approximately a 12-percent reduction in the patrol man-hours required for a DWI arrest.
  - **Catalytic Impact on Regular Forces.** The vast majority of, if not all, police departments make fewer arrests for drinking-driving than they could with their regular police patrols. ASAP, through the use of overtime officers on selective enforcement and general indoctrination on the seriousness of the drinking-driving problem, had at most sites a positive catalytic effect on historical DWI arrest patterns.
- Based on evaluation of federally-funded ASAPs, an enforcement countermeasure can be effectively designed by:
  - selecting a desired level of selective enforcement activity in patrol man-hours and costing that activity in annual operating expenses for patrol salaries;
  - adding 10 percent annually for administration and special activities; and
  - providing 28 percent of annual expenses for patrol salaries as a budget for start-up costs.

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	<p style="text-align: center;"><b>ARREST VERSUS SELECTIVITY OF PATROL STRATEGY, DEGREE OF MOTIVATION, PATROL MAN-HOURS PER DWI, AND TYPE OF PROJECT</b></p> <table border="1" data-bbox="691 373 1224 533"> <thead> <tr> <th rowspan="3">Type Project</th> <th colspan="6">Degree of Motivation</th> </tr> <tr> <th colspan="2">High</th> <th colspan="2">Average</th> <th colspan="2">Low</th> </tr> <tr> <th>Selective</th> <th>Non-Selective</th> <th>Selective</th> <th>Non-Selective</th> <th>Selective</th> <th>Non-Selective</th> </tr> </thead> <tbody> <tr> <td>State</td> <td>26.0</td> <td>29.5</td> <td>32.6</td> <td>37.0</td> <td>39.2</td> <td>44.5</td> </tr> <tr> <td>County</td> <td>9.2</td> <td>10.5</td> <td>11.4</td> <td>13.0</td> <td>13.6</td> <td>15.5</td> </tr> <tr> <td>City</td> <td>6.6</td> <td>7.5</td> <td>8.4</td> <td>9.5</td> <td>10.1</td> <td>11.5</td> </tr> </tbody> </table> <p style="text-align: center;"><b>CATALYTIC IMPACT OF ASAP</b></p> <table border="1" data-bbox="760 1402 1114 1747"> <thead> <tr> <th>Increase RP/ASAP DWI (%)</th> <th>Effective DWI</th> <th>Cost per DWI (dollars)</th> </tr> </thead> <tbody> <tr> <td>-10</td> <td>90</td> <td>127.25</td> </tr> <tr> <td>Zero</td> <td>100</td> <td>114.53</td> </tr> <tr> <td>+25</td> <td>125</td> <td>91.62</td> </tr> <tr> <td>+50</td> <td>150</td> <td>76.35</td> </tr> <tr> <td>+100</td> <td>200</td> <td>57.26</td> </tr> <tr> <td>+200</td> <td>300</td> <td>38.17</td> </tr> <tr> <td>+400</td> <td>500</td> <td>22.90</td> </tr> <tr> <td>+600</td> <td>700</td> <td>16.36</td> </tr> </tbody> </table>	Type Project	Degree of Motivation						High		Average		Low		Selective	Non-Selective	Selective	Non-Selective	Selective	Non-Selective	State	26.0	29.5	32.6	37.0	39.2	44.5	County	9.2	10.5	11.4	13.0	13.6	15.5	City	6.6	7.5	8.4	9.5	10.1	11.5	Increase RP/ASAP DWI (%)	Effective DWI	Cost per DWI (dollars)	-10	90	127.25	Zero	100	114.53	+25	125	91.62	+50	150	76.35	+100	200	57.26	+200	300	38.17	+400	500	22.90	+600	700	16.36	
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## SESSION IV

### COUNTERMEASURES—COURT SERVICES

- **THE ASAP COURT APPROACH—BACKGROUND**

- When ASAP first started, no one had dealt with a nationwide program based on the lower courts as the key agents in a program that had both alcoholism and highway safety goals.
  - Surveys show very few court referral programs for drinkers or drinking drivers, and no comprehensive programs.
  - Main responsibility for developing court programs therefore rested with local personnel improvising as best they could under certain general principals.

- **MAJOR OBJECTIVES**

- Devise methods to enable courts to handle a greatly increased caseload efficiently, effectively, and fairly. Principal sub-objectives include:
  - Achievement of a “satisfactory outcome” in a majority of cases. The choice of a “satisfactory outcome” rather than a conviction for the original charges is a major compromise made in recognition of the universality of plea bargaining and charge reduction.
  - Provision of speedy, low-cost processing, including pre-trial disposition. Acceptance of pre-trial disposition systems is necessitated by the greatly increased caseload generated by ASAP activities.
  - Provision of effective record keeping throughout the court systems, at all stages of case handling. As many “lower” courts do not keep adequate records, many ASAPs have previously been required to design and maintain the courts information system.
- Assist the courts to design, implement, and operate systems for making and monitoring appropriate referrals. The use of education and rehabilitation as alternatives to punitive sanctions is a major innovation in most lower courts involving additional functions to those attached to traditional adjudication. These additional functions include:
  - Identification of the extent of the offender’s drinking problem so that he can be referred to an appropriate treatment:
  - Motivation of the defendant to accept this referral by appropriate deferment or reduction of punitive sanctions;
  - Control of the referred individual to assure that he completed the assigned education or rehabilitation program.



- **ASAP ACTIVITIES IN WORKING WITH THE COURTS**

- The objectives require the court to have the capacity for collecting and analyzing information; knowledge of the agencies to whom to refer people; personnel and information systems needed to make and implement decisions, and cooperative understandings with other elements of the criminal justice system. Previous ASAPs developed a series of intermediate objectives for the judicial countermeasure:
  - Obtain the cooperation of judges and prosecutors, especially in the design of an appropriate system in the early stages of the program;
  - Achieve increased flexibility in sentencing, particularly by attention to impending legislation;
  - Achieve support for and provide assistance in pre-sentence investigations, including the personnel, the records, and the procedures necessary;
  - Provide assistance in finding referral agencies;
  - Ensure community support to court and court officials.
- These objectives represent a major choice in criminal justice philosophy: to shift attention from trial to disposition system, from legal technicalities to case processing, from the individual judge to the concept of a court system, from an isolated sentence to a team interaction between all legal and public health agents.
- Early efforts went into improving trial matters (e.g., the provision of expert chemical-test witnesses); later efforts went almost exclusively into the following areas:
  - **Pre-trial:** working with prosecutors toward standardization and the use of policy rather than individual decisions; collection of information for screening and referral; formalization of plea bargaining criteria; addition of referral as a condition of charge reduction.
  - **Post-plea:** provision of information either to the prosecutor or to the judge, either pre-trial or post-sentence, on which a disposition could be based.
  - **Post-referral:** accomplishment of an appropriate referral to education or rehabilitation; monitoring of probation conditions and compliance with the referral; violation of probation and evaluation of success or failure.
- Training of all prosecutors is necessary but unsatisfactory. Most prosecutorial training occurs on the job. Turnover is high. Prosecutorial autonomy and discretion tend to override any educational effort.
  - Almost all ASAPs agree there should be a formal liaison agent inside the prosecution agency, and many believe that the funding of a special prosecutor during the planning and early implementation of the ASAP is desirable, both to handle the increased caseload and to design a permanent system.

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		Vol. I, Sec. IV pp. 28-30

- **ASAP COURT FINDINGS**

- **Because ASAP's work with the courts was innovative and experimental, many of their experiences with the courts have not yet been thoroughly analyzed and most were not carefully evaluated. The findings summarized below are, therefore, tentative and sometimes unquantifiable, but they are backed by the experience of enough ASAPs to merit consideration.**

- **Alternative Disposition Systems.** Every ASAP court system differed from every other in at least some respects, but four major systems are apparent, given the present state of the law and the criminal justice system.

- **Judge plus statute.** The oldest and probably still the most common system, this model uses the judge in his traditional roles as trier-of-fact and as imposer of the sanctions prescribed by statute.

- **Prosecutor plus statute.** Almost as widespread as the first system, this model uses the routine plea bargaining and charge reduction policies widely credited with keeping the courts running in many jurisdictions. This model makes the prosecutor the prime adjudicator and reserves the judge (and/or jury) only for exceptional cases.

- **Judge plus information.** Usually connected with the terms "pre-sentence investigation" and "probation," this model has been common in the felony courts and is becoming more common in misdemeanor courts. Information about the individual is usually collected and provided to the judge at the time of sentencing, and used as the basis for differentiated sanctions stated as conditions of probation.

- **Prosecutor plus information.** The basis concept of this model is the same as the preceding, except that the information and referral process centers on the prosecutor, who then uses prosecutorial powers to induce a referral to treatment or education. It is a formalization of the plea bargaining process.

- The preceding four models all use criminal law and the prospect of criminal sanctions as the method for achieving a referral to a nonpunitive program. Each may or may not be in line with state legislation. Use of one model does not preclude the use of the others, and jurisdictions in which all four models appear are becoming less rare.

- **Judges and Prosecutors**

- **Early, regular, and frequent meetings with judges and prosecutors are essential. Although the judges and prosecutors have widely varying attitudes toward the ASAP concept, they remain the key personnel in the ASAP concept regardless of attitude.**

- **Though strong attempts should be made to change the attitudes of judges and prosecutors toward problem drinkers, their attitudes are subject to so many**



other influences that attention is more wisely spent on designing a system that does not depend on individual decisions based on attitudes.

- By far the majority of judges welcome the ASAP concept, even when unaccompanied by lavish funds. But they approach it very cautiously. Almost all judges are highly sensitive about the independence of their function and few will give up authority wholesale. Prosecutors will cooperate only if the system is satisfactory to the judges and the defense bar and an improvement in technical matters over the existing system.
- Turnover among judges and especially among prosecutors is so large that it will inevitably affect ASAP operations. Constant reeducation will probably be necessary, and most important is the design of a system that will work automatically rather than be totally dependent on the individual.
- **Adjudication Problems.** The problems associated with the adjudication of drinking-driving cases arise from many sources and at all stages, but three may be said to predominate.
  - The lower courts lack the resources and knowledge and procedures to develop and maintain effective systems spontaneously. The problems in this area are the same as those affecting the criminal justice system in all areas.
  - The population of drinking drivers has two distinctive and difficult characteristics: it is extremely large, and it contains many people addicted to a socially approved substance. Drinking-driving cases, therefore, try the patience and the resources of the adjudicative process more than any other single category of arrests.
  - Drinking-driving cases involve more than one agency and more than one branch of government, and systems designed to handle them encounter all the social problems of maintaining cooperation between the legislative, executive, and judicial branches, between the various agencies within each branch, and in referral systems between different agencies in different branches.
- **Effects of Mandatory Sanctions.** Conflict between mandatory sanctions and judicial discretion was universally a major factor in disposition systems.
  - **Jail.** In all ASAP sites, jail was a statutory penalty for drinking-driving, but only two states statutorily proscribed judicial discretion from suspending the jailtime.
  - **Fines.** All jurisdictions fined all those convicted of any charge. The amount of fine varied from \$10 to \$500. Reductions in the amount of fine often accompanied acceptance of a referral.
  - **License suspension.** In most ASAP sites, the members of the criminal justice system regard mandatory license suspension or revocation as such a severe penalty that the nature and duration of the license suspension become their main tool for inducing cooperation with a referral.

Notes	Graphics	Reference
		<p data-bbox="1258 1339 1446 1413">Vol. I, Sec. IV p. 36</p>

- **Economic penalties.** A series of economic penalties (other than the fine) associated with a conviction for drinking-driving strongly influence the actions of both the courts and the defendants. Judges, prosecutors, defense attorneys, and defendants willingly accept any referral if by doing so they can avoid imposition of some or all of these extra-judicial penalties.
- **Jury Trials.** Most ASAPs worked with courts where there was a right to jury trial, but in some areas jury trial meant transfer to another court. Jury trials in all systems became a significant factor in determining what the courts would do, even though a very small proportion of cases reaches a jury trial.
- **Court Time.** Unfortunately, no ASAP analyzed the details of the court time spent on DWI cases, and no comparative figures are available in detail to show the amount of court time per case which different systems require.
  - Many judges and courts are overworked, and although ASAP enforcement raised the load considerably, few ASAPs had more than a temporary problem with caseload. The solution universally was design of a better system by the judges and prosecutors, caused by attention to processing and management methods which had not been necessary under lighter caseloads.
- **Charge Reduction Systems.** Systems which offer a reduction in charge from DWI in return for cooperation with a referral to education or rehabilitation became as common as the more traditional systems of sentencing under conditions of probation. The concept of "earned charge reduction" became a basic element in many ASAPs.
- **The Health/Legal Approach.** ASAP demonstrated conclusively that cooperation for mutual benefit between the courts and agencies of the alcoholism treatment system is feasible and probably beneficial.
  - Without the possibility of a referral to a rehabilitation agency, there would be no reason for the courts to change their present practices.
  - Without the strength of the criminal justice system to induce cooperation, rehabilitation agencies would not have the power to attract or retain these clients.
- **Relationship with Legislation.** Almost all ASAPs reported that existing legislation was not in line with the practice of the courts, and that many items of legislation "caused" or "encouraged" weaknesses in the system which included low referral rates, low conviction rates, slow action by the court, low arrest rates, brief probation periods, etc. The ASAP concept is apparently in conflict with many state statutes.
  - Toward the end of federal funding, a trend became apparent in many ASAPs toward the enactment of legislation which brought statutes much more closely in line with court practices and ASAP objectives by setting out referral to education or rehabilitation as a statutory option in drinking-driving cases. Other states, however, enacted legislation which threatened the present system for making referrals.

Notes	Graphics	Reference
		<p>Vol. I, Sec. IV p. 37</p> <p>Vol. I, Sec. IV p. 37</p> <p>Vol. I, Sec. IV p. 38</p> <p>Vol. I, Sec. IV p. 39</p> <p>Vol. I, Sec. IV pp. 39-40</p>

- **ADJUDICATION COSTS**

- **Experience from NHTSA-Funded ASAPs**

- The overall cost of adjudication was developed by combining the expenditures for judges, prosecutors, public defenders, probation officers, pre-sentence investigation and special costs (training, expert witness, and jury fees).
- The major expenditures for start-up costs were for the training of additional prosecutors and probation officers, and for pre-sentence investigation personnel. Annual operating expenses went almost entirely for salaries of additional personnel needed to process the enormous increases in DWIs being referred to the courts, and for the new pre-sentence investigation function.
- Overall, the typical project expended about \$229,000 annually for operating expenses, required \$23,000 to plan for the deluge of DWIs, and generated \$464,000 annually in fines, fees, and court costs.
- The revenues generated by ASAP through court costs and fines, probation fees, and miscellaneous charges for blood tests were extensive, and offset the annual operating expenses by a factor of more than two to one.

- **Areas for Cost Reductions**

- The feasibility of dramatic cost reductions in adjudication is very limited. The influx of substantial increases in DWIs requires at least additional support personnel for the prosecutor and the courts.
- The revenue element of adjudication requires careful consideration. The typical DWI pays just under \$100 in fines and fees. However, the law in almost every state permits fines of \$300 to \$500 for first offenses and substantially greater amounts for repeat offenders.
- Very modest increases in the levels of fines and fees would permit a locally funded ASAP to be financially self-sufficient. In many areas, the revenue would not go to the government entity which bears the brunt of the costs of enforcement and administration, but on a system basis the ASAP could be operated at breakeven.



## SESSION V

### COUNTERMEASURE—PRE-SENTENCE INVESTIGATION AND PROBATION

- **THE ASAP PRE-SENTENCE INVESTIGATION AND PROBATION APPROACH—BACKGROUND**
  - The crucial importance of the pre-sentence/probation function to ASAP came from the Program's emphasis on the "problem drinking driver." This new target for highway safety efforts required that the problem drinking driver be identified and sent to some form of rehabilitation or treatment, and the courts were the only agency capable of performing this task.
    - Had ASAP stayed with traditional punitive sanctions, or ignored discriminating individual decisions about referral, the court countermeasures area would have been a great deal easier and cheaper.
    - ASAP was the first large-scale program to approach the misdemeanor courts with the idea of pre-sentence/probation for their population. No court in any community had attempted to move such large numbers of misdemeanants through a pre-sentence/probation system.
    - No treatment agency in the county was used to receiving large numbers of coerced referrals, no treatment or education agency was accustomed to the wide spectrum of drinkers referred to them under ASAP, and very few courts were accustomed to making or monitoring referrals under probationary powers.
- **THE ASAP THEORY OF PRE-SENTENCE INVESTIGATION AND PROBATION**
  - The objectives of ASAP for pre-sentence investigation were clear: "All individuals convicted of: (1) driving while intoxicated, (2) under the influence of alcohol, or (3) non-traffic alcohol-related offenses (should be) subject to a pre-sentence investigation to determine whether they are alcoholics, problem drinkers, or social drinkers." The aim was to identify problem drinkers among the population arrested for DWI, and to provide that information to the judge (or prosecutor) for use in selecting a disposition. The disposition was to include referral to a health agency as well as any traditionally punitive sanctions. NHTSA therefore envisaged the following steps:
    - **Background Investigation**, which might include the use of driving and criminal records, interviews from family and associates, structured interviews and questionnaires, and medical/psychological examination.
    - **Diagnosis** (based on the above information) of the degree of alcohol and driving problem. The terms "screening" and "categorization" and "classification" replaced "diagnosis", for the endeavor of the ASAP pre-sentence process was to divide offenders into three categories (usually social drinker, problem drinker, and "grey area") for the purposes of disposition and referral by the court system.



- **A recommendation to the court** of the most appropriate course of action based on the previous diagnosis. Almost all ASAPs began by submitting written reports to the judges (or prosecutors) modeled on felony reports; however, all but a handful of ASAPs steadily shortened the length of these pre-sentence reports, and some moved to the point of providing only the minimum of information necessary to justify a certain pattern of disposition.
  - **Referral to the appropriate rehabilitation agency** subsequent to a judicial decision. This process was originated by the pre-sentence investigator, might or might not be accepted by the judge, and then carried through by a probation officer or someone else fulfilling the probation function.
  - **Probation or followup contact** with the individual to ensure compliance with the court's sentence. Followup and compliance remained the main problem with the ASAP system even after some years.
- **THE ASAP PRACTICE FOR PRE-SENTENCE INVESTIGATION AND PROBATION**
    - **Pre-Sentence Investigation Procedures.** In the methodology of the preceding five steps, ASAP made significant advances influential with all agencies and personnel concerned.
      - The first advance was the dissemination by NHTSA of criteria for an "operational definition" of "problem drinking driver," which provided an objective and convenient basis for all decisions categorizing offenders.
      - The second major assistance provided to pre-sentence operations by NHTSA was the development of a standardized test for screening drinking drivers into drinker categories.
        - The instrument was a two-part questionnaire devised by the Highway Safety Research Institute of the University of Michigan and known as "Mortimer-Filkins" after its authors. The first part is self-administered, the second and longer portion an interview guide, both objectively scored, the two parts (in the revised version) taking some 60 minutes to complete.
        - The accuracy of the instrument has been validated in tests at four ASAP sites, and has been called "one of the best developed and most extensively field-tested diagnostic approaches available."
    - **Pre-Sentence Investigation Timing.** The term "pre-sentence investigation" is a convenient misnomer to describe the process of collecting information which may occur at any stage of the adjudicative process.
      - **Pre-trial investigations.** A large number of ASAPs at least start the process of information collection prior to trial, and some complete the process at that time. The information may then go to either the prosecutor or the judge or both, as needed.
      - **Pre-sentence investigations.** A substantial number of ASAPs follow the traditional system of conducting the investigation after a finding of guilt but prior to the imposition of sentence. The information goes to the judge, and sentence is imposed at a second court appearance.



- **Post-sentence investigations.** In a small number of jurisdictions, the investigation takes place post-sentence under a blanket condition of probation such as "cooperation with ASAP."
- **In-treatment investigation.** A small number of projects make blanket referrals to an intake or rehabilitation agency of all persons convicted of drinking driving, and the investigation is carried out by the treatment agency and consists of a diagnosis of level of drinking problem.
- **Probation Procedures:** "The major task of a probation office is to maintain followup contact with offenders placed on probation by the courts." It is the exact nature of the followup contact which provides problems.
  - Probation may be simply and only a legal status, without any referral to rehabilitation or education. In such cases, the term "non-reporting probation" became popular, to signify that the offender had to take no positive action, and the probation office role was then simply to monitor arrest records to ensure that the probationer did not commit the offense again.
  - More usually, the probation status was contingent on certain behavioral conditions set by the judge. In this area the probation officer had two phases of operation: 1) to select the referral agency and inform both probationer and agency of the referral and the conditions; 2) to monitor the probationer's attendance at the rehabilitation or education agency.
  - The monitoring of a referral required the development of simple and efficient monitoring systems, which varied in quality from ASAP to ASAP. Once the system is designed, monitoring can be done by clerical personnel supervised by a probation officer.
  - Failures to comply with the terms of a referral brought the need to make a decision concerning the revocation of probation and imposition of the original criminal sentence. This was an area for which no ASAP developed firm, transferable criteria.
- **Probation Timing.** Like "pre-sentence" investigation, the term "probation" is also somewhat misleading. Formally, one can only be placed on probation after a conviction. In practice many ASAPs had people "on probation" prior to a conviction or even prior to a plea.
  - Traditional probation is part of a sentence; conditions are imposed regardless of the offender's wishes, and he must comply with those conditions for a stated period or risk imposition of criminal sanctions.
  - Under nontraditional probation, the conditions are offered to an offender with the clear understanding that he can choose trial at any time, in which case he has a chance of being found innocent of the charge. Normally, the concept of the earned plea bargain or an earned reduction of sentence is operative.
  - A major controversy between the two systems concerns the charge on which the person is ultimately convicted. Traditional probation tends to be connected with conviction for the original drinking-driving charge, whereas nontraditional

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1256 453 1425 520">Vol. I, Sec. V pp. 48-49</p> <p data-bbox="1256 1318 1425 1386">Vol. I, Sec. V pp. 49-50</p>

probation almost invariably results in conviction for a lesser charge usually not related to alcohol.

- A major ASAP contribution in the area of probation has been to show that non-traditional probation is feasible and in some jurisdictions desirable. It has a particular importance in the area of plea bargaining, which plagues the handling of DWI cases in many jurisdictions.
- **ASAP PRE-SENTENCE INVESTIGATION AND PROBATION FINDINGS**
  - **Pre-Sentence Investigation**
    - ASAP was responsible for the development and validation of a screening instrument specially designed for use with drinking drivers. ASAP demonstrated the usefulness of an objective instrument for separating drivers into drinking categories, and it showed that this could be done efficiently.
    - BAC at the time of arrest was a universally popular screening criteria, and a BAC of 0.15 percent or above was generally regarded as a specially strong index of problem drinking. The major problem in this area is the lack of BACs in many cases, particularly where implied consent refusals are frequent.
    - Prior driving and criminal records proved valuable indicators where there was a substantial record of alcohol involvement. These records had the added benefit of helping to overcome the denial phenomenon frequent in problem drinkers.
    - A personal interview by the pre-sentence investigator for each drinking driver was the original intention of the ASAPs, but it proved so time-consuming that it began to impede operations in jurisdictions with high caseloads.
    - An in-depth medical or psychological evaluation by physicians, psychologists, psychiatrists, or psychiatric social workers proved unnecessary for the vast majority of cases, but most ASAPs definitely recommend retention of the capability for certain clear circumstances. A medical/psychological examination is expensive and time consuming, and, in the opinion of most ASAPs, it was better reserved (if given) until the probationary phase, as part of a referral rather than a pre-sentence investigation.
    - Recommendations as to the superiority of one or other of the pre-sentence systems are not feasible, since each community will design a system to suit its own resources and principles. However, certain factors should dictate preferences:
      - A jurisdiction should decide whether or not it wants to collect information on "all" drinking drivers, or at least as many as possible. If this is the goal, then the collection process should take place as early as possible; the later one waits, the fewer drinking drivers will be scrutinized.
      - A main determinant of the time for investigation should be the component to which the information is provided, i.e., the prosecutor, or the judge, or the rehabilitation agency.

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		Vol. I, Sec. V pp. 50-52

- Another principal determinant should be the purpose of the information, which is usually related to the number and nature of rehabilitation resources. If a rehabilitation agency wants diagnostic information, or if a probation officer has a large choice of rehabilitation agencies, the collection process will need to be more thorough, longer, and more selective.
- The collection of information should avoid burdening the court calendar. Most courts working with ASAPs found that court appearance scheduled solely for the purpose of sentencing was not desirable because of the large number of cases and routine nature of sentence.
- The collection of information should not delay the process of referral. There seems to be some opinion among ASAP staff that speed of referral may be positively correlated with rehabilitation success, though this was not experimentally tested.
- Cases in which either a prosecutor or a judge fails to follow the recommendation of the pre-sentence investigator should be carefully monitored, and the reason for that failure should be analyzed in order to detect system weaknesses.
  - Among the ASAPs, it was not unusual for judges to follow 90 percent or more of the referral recommendations, once they learned to trust the pre-sentence investigators.
- **Probation**
  - As ASAP experience grew, some findings emerged, but they are subjective and unverified by testing.
    - No probation officer should attempt alcoholism counseling until he has been specially trained.
    - Counseling concerning court matters, especially the terms of probation, is a very legitimate role for a probation officer.
    - Counseling concerning life problems other than alcohol is feasible as long as it does not interfere with therapeutic counseling.
    - Probation counseling involves problems of confidentiality which may force the officer to choose unsatisfactorily between his two allegiances to the court and to the probationer, and clear guidelines should be established for both the probation officer and the court.
    - Counseling should not delay either the pre-sentence process or the referral process, which are separate important functions. It should take place only after probation terms have been established.
    - A probation officer may legitimately select a set number of clients whom he is qualified to counsel and allocate a set proportion of his work time to that counseling.

Notes	Graphics	Reference
		Vol. I, Sec. V pp. 53-54

- The most effective role for a probation counselor is to motivate the probationer to attend rehabilitation or education agencies in a receptive frame of mind, but his legal role will make a sympathetic stance difficult.
  - The probation officer's first allegiance is to the judge whom he represents, and his attitude toward the client cannot be the same as that of a rehabilitation agency.
  - A probation officer should be willing, but not eager, to initiate the revocation of probation, and criteria for revocation should be clearly stated in writing.
  - Prolonged or frequent counseling by probation officers is probably not productive or cost effective.
- **Location of Pre-Sentence Investigation/Probation Function**
    - There is considerable variety among the ASAPs as to who performs the functions of pre-sentence investigation and probation.
      - **A central probation department.** Most misdemeanor courts still lack central probation departments or even individual probation officers, and, in several ASAPs, the funding of such units was a major contribution, particularly since the work of the ASAP probation unit tended to radiate into other cases and to become a popular countermeasure for local funding.
      - **A special ASAP unit.** Several ASAPs used units which reported administratively to the highway safety agency though working for the courts. This worked satisfactorily, though the judges tended to be cautious and most ASAPs wanted to install the officers directly under court control.
      - **Prosecutors' offices.** In several cases, the ASAP pre-sentence investigators reported to the prosecutors and were wholly or partly under their administrative control. No greater difficulties arose here than in any other arrangement.
- **Other Findings**
    - Examination of the results of existing ASAP provided information in additional areas which could be helpful to those planning and organizing a locally funded ASAP. Those areas include:
      - **Personnel Qualifications for Pre-Sentence Investigation/Probation Functions.** There was considerable sentiment among ASAP probation officers to divide the pre-sentence/probation activity into its various elements and allow individuals to choose those elements which he found most congenial.
      - **Volume and Caseload.** The single greatest anxiety of ASAP pre-sentence and probation staff was their ability to handle the large and steadily increasing caseload. ASAP experience suggests a number of guidelines which could help in handling the additional workload.

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1268 621 1435 688">Vol. I, Sec. V pp. 54-55</p> <p data-bbox="1268 1314 1435 1381">Vol. I, Sec. V pp. 55-56</p> <p data-bbox="1268 1482 1435 1549">Vol. I, Sec. V pp. 56-58</p>

- **Transfer of Collected Information.** The principal issues involved in the transfer of information collected as a result of PSI activities were identified and examined as a part of the ASAP study.
- **Conclusions**
  - The state-of-the-art of pre-sentence/probation in drinking-driving cases has advanced enormously as a result of ASAP, but has still not reached the stage where definite research information can be provided to beginning jurisdictions. However, four points have become clear:
    - The entire ASAP process depends on the strength and nature of the pre-sentence/probation process. This is the control mechanism that determines what will happen to a large proportion of the arrested population and upon whose effectiveness the adjudication process comes to rely.
    - ASAP has demonstrated that the pre-sentence/probation process is feasible with the lower courts and has developed a new screening and referral concept which is adaptable to the huge caseloads involved in alcohol-related misdemeanors.
    - Certain general principles for operation can be determined. Equity and efficiency suggest that any jurisdiction should give pre-sentence investigations to as high a proportion of the arrested population as possible, according to standardized criteria. Caseload dictates that the pre-sentence investigation differ from that traditional in felony cases, so that experimentation is necessary.
    - The research evidence is not sufficient yet to indicate whether early or late "probation" is more effective as a mode of response by the criminal justice system, except in terms of local realities. The point at which a person should go on probation will be determined by the dynamics of the local courts.
- **PSI/Probation Costs**
  - **Experience from NHTSA-Funded ASAPs**
    - Costs for start-up and operations of pre-sentence investigations and probation were included in adjudication costs presented in Session IV.
- **Areas for cost reduction.**
  - Total adjudication costs are influenced in part by the level of pre-sentence investigation and probation counseling planned for the ASAP. It appears that these functions can be performed at one of three levels:
    - **Comprehensive PSI and Extensive Probation Counseling.** This alternative requires approximately \$90 per disposition (court support—\$15, PSI—\$15, and probation—\$60).



- **Simplified PSI (either the self-administered portion of Mortimer-Filkins or an equivalent) and Limited Probation Counseling.** This alternative requires approximately \$65 per disposition (court support—\$15, PSI—\$10, and probation—\$40).
- **Limited PSI (BAC and Prior Record Check) and No Probation Counseling.** This alternative requires approximately \$40 per disposition (court support—\$15, PSI—\$5, and probation—\$20).

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

## SESSION VI

### COUNTERMEASURE—EDUCATION AND REHABILITATION

#### ● THE ASAP REHABILITATION APPROACH

- The education and rehabilitation component of the ASAP system is the least familiar of all countermeasure areas. Misconceptions about its nature, objectives, and failings are so widespread that it is necessary to make clear what ASAP did *not* try to do before discussing what it did achieve.
  - ASAP does not advocate replacing traditional punitive sanctions with rehabilitative sanctions, and it is not a diversionary program. NHTSA has always advocated adding rehabilitation to traditional sanctions: "All offenders should receive some type of traditional sanction or penalty."
  - ASAP did not fund large rehabilitation efforts, and almost all local funds went into education rather than rehabilitation. NHTSA allocated special funds in this countermeasure to an evaluation effort that proved very important.
  - ASAP did not expect education or rehabilitation alone to prevent recidivism, only to lessen it with appropriate drinking drivers when used in combination with other sanctions. Certain ASAPs seem to have achieved this limited objective.
  - ASAP rehabilitation efforts did not "fail." Their results were less than had been hoped, and NHTSA has grown increasingly uneasy with the rapid growth of unevaluated modalities, but the Program's overall results have been consistent with those of other treatment programs.
- NHTSA stayed deliberately away from funding rehabilitation programs, this being the responsibility under a joint agreement with the National Institute on Alcohol Abuse and Alcoholism.
  - NHTSA intended to fund primarily a referral mechanism (of which the schools were a part) which would integrate courts with community treatment agencies. The overall intention was that those drinking drivers who needed long-term treatment would be discovered and referred by the ASAP-supported agents, not that ASAP would provide all the needed rehabilitation.
  - By far the majority went only into the ASAP-supported, short-term modalities, mostly into the schools, which were not intended to be rehabilitative. Only after some years could some ASAPs provide appropriate long-term referrals.

#### ● ASAP REHABILITATION MODALITIES

- All ASAPs created and/or supported *alcohol safety schools*, but there was no attempt at nationwide standardization. Local initiative determined the intention, content, structure, duration, and cost of the schools.



- The types of modality offered and the numbers entering each modality indicate that NHTSA stuck to its intention of offering only short-term transitional rehabilitation and education. The picture, however, changed dramatically as individual ASAPs developed; ASAPs widened their referral networks and increased the proportion of persons entering long-term therapy without using transportation funds.
  - Appropriateness of referrals emerges as a major issue. It is clear that the ideal of getting the right person referred to the right treatment for the right length of time was not met and could not be met in a majority of ASAP cases. This makes it impossible yet to evaluate rehabilitation as a judicial alternative for drinking drivers and points out the importance of NHTSA's repeated emphasis that the present state of this countermeasure is only a preliminary step toward a much more sophisticated program.
- **ASAP REHABILITATION MEASURES OF EFFECTIVENESS**
    - ASAP opinion about evaluation measures shifted considerably and importantly during the course of operations. The movement created the first common ground between highway safety evaluation and treatment evaluation.
      - The original measures for the effectiveness of education and rehabilitation were directly related to highway safety records: declines in subsequent arrests and crashes. Though obviously essential, these two measures proved inadequate.
      - A second early set of effectiveness measures, mainly for the alcohol safety schools, emphasized increased knowledge and changes in attitude toward drinking driving. Almost all schools were effective by these measures, but they received no credit for success because they did not achieve equal results in reducing arrests and crashes.
      - Later in the development of ASAP, a third set of "intermediate measures of effectiveness" assumed increasing importance. The intermediate measures covered such matters as decreases in the amount or frequency of drinking, a decline in the number and intensity of practical and psychological problems associated with alcohol, and increases in family and economic stability.
    - The shift was important in practical terms at the local level. Using only bottom-line highway safety measures, NHTSA found itself in the unhappy position of telling its own ASAPs that they were failing, of using statistics to deny the surface validity of educational or rehabilitation programs, and of contradicting the subjective reports of those running the programs. Accepting intermediate measures was a good compromise. It recognized both the strength of local judgments and the need for a longer and more comprehensive evaluation.
- **ASAP EDUCATION AND REHABILITATION FINDINGS**
    - The amount of activity generated by ASAP education and rehabilitation efforts was considerable.
      - Some half-million people attended some kind of education or rehabilitation program as a result of ASAP. Few would have attended without ASAP. ASAP has great significance for any community's attitude toward alcoholism. This was

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1291 598 1469 661"><b>Vol. I, Sec. VI pp. 66-67</b></p> <p data-bbox="1291 1596 1469 1659"><b>Vol. I, Sec. VI pp. 67-70</b></p>

demonstrated in all ASAP communities, which without exception saw their treatment resources increase and improve as a result of ASAP.

- The level and kind of activity in the courts changed equally at most ASAP sites as they became involved in, first, the identification and referral of problem drinking drivers, then later in designing effective court responses to drop-outs and recidivists. Providing the courts with a mechanism for responding to the alcohol-relatedness of anti-social behavior has large implications for their handling of many criminal cases, and especially for the function of the lower courts.
- ASAP had two preliminary goals for its rehabilitation and education countermeasure: to provide a referral mechanism between the courts and the community treatment agencies capable of providing longer term treatment; and to support a program of short-term, group-oriented education and rehabilitation modalities to aid individuals in transition between the courts and community resources.
  - The consequences of achieving these two preliminary goals were a significant re-orientation of both courts and treatment resources as they responded to newly identified needs of their increased and new populations.
  - There remains the problem of effectiveness, for the principal objective of the education and rehabilitation countermeasure was to modify the behavior of the referred population so as to reduce the probability of subsequent DWI behavior.
    - ASAP produced no evidence to show overall that either education or rehabilitation favorably affected the subsequent driving behavior of persons referred, but there is much evidence by other measures of effectiveness to refute statements to the effect that ASAP education and rehabilitation do not work.
    - Neither the ASAP rehabilitation and education countermeasure, nor its evaluation plans and results, lasted long enough to enable conclusive generalizations about rehabilitation or education.
    - ASAP education and rehabilitation efforts overall were not good enough and did not last long enough to test large hypotheses. The early evaluations lacked the control groups, sample size, criteria of effectiveness, and duration which would enable evaluators to come to definitive conclusions.
    - It seems so far that ASAP was successful in changing knowledge and attitudes, that it was also successful by intermediate measures, and that its success in changing short-term driving behavior is dubious or unpredictable.
- **What information can ASAP provide about education and rehabilitation?**
  - They do increase knowledge levels
  - Almost any kind of school works well with social drinkers
  - Problem drinkers should attend only certain kinds of school, if any

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

- Schools will not have dramatic effects on driving behavior.
- ASAP has produced important information about the nature and structure of alcohol safety schools.
  - Most ASAP schools originally used packaged curricula, but experience and evaluation quickly brought about diversification.
    - The diversity within ASAPs by the end of 3 years was veiled by the general term "alcohol safety school," and it has made aggregate evaluations about the education countermeasure extremely difficult.
  - ASAP also showed that there is no agreement as to what is the real purpose of alcohol safety schools. Most ASAPs recommend that a community design a school suited to its own needs, and that the school should start operation only after planning has defined carefully both its objectives, its proper population, and its most relevant functions.
  - ASAP started with a basic concept: education is probably useful in deterring drinking-driving. Both the concept and the schools then existent have now been shown to be fairly primitive.
    - ASAP deserves most of the credit for improving the schools. The degree of the progress made during the last 5 years would not have occurred without a large, centralized experiment and the funds and expertise for evaluation.
- ASAP's major contribution to date was this countermeasure—knowledge of court coercion into rehabilitation as a treatment modality in and for itself.
  - The ASAP concept makes attendance at an education or rehabilitation program an added behavioral condition. This addition of treatment agencies to the court's arsenal had unexpected ramifications.
    - Court authority proved very effective in assuring attendance at rehabilitation programs. Although drop rates were high enough to require willingness by the agency to report back to the courts and willingness by the courts to revoke probation, overall drop rates were not high and seemed to decrease as the system grew more efficient.
    - Court authority also proved very effective in overcoming denial, one of the major reasons why people never enter treatment. The court's decision forced attendance, which gave the treatment agency a chance to work on the denial syndrome, aided by the fact that a drinking-driving charge is irrefutable evidence that alcohol is causing the person trouble.
  - The consequences among agencies treating ASAP referrals were little short of revolutionary. Voluntariness had normally been regarded as essential to rehabilitation success, but the agencies now found themselves treating successfully people who had been forced to attend.

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

- When rehabilitation agencies accept the courts as a mechanism for case-finding and for control during treatment, they have launched a significant new program.
- Successful use of court coercion as a weapon for overcoming denial and failure to attend has developed a wholly new treatment modality, wherein the court and the rehabilitation agency act together to lessen recidivism, each in different ways.

- **CONCLUSIONS**

- **Alcohol Safety Schools**

- NHTSA recommends that the schools expand only if their purposes and attendees are carefully controlled to avoid waste and harm. NHTSA does not support legislation which makes attendance at schools an alternative to license suspension or revocation, since they are very clearly not appropriate for all drinking drivers.
- At the local level, ASAP personnel see the schools as useful for other than educational purposes: as intake and referral units, or as additional (rather than substitute) sanctions, or as a structure within which short-term rehabilitation can be undertaken.
- All ASAPs recommend careful program development before starting a school, and support from thorough information systems to avoid inappropriate referrals.
- Most ASAPs support efforts at scientific evaluation for purposes of feedback, and their best advice seems to be to proceed with caution and with limited, precise objectives.

- **Effectiveness Evaluation**

- Prior to ASAP, the art of evaluating court-based referral programs for alcoholism rehabilitation did not exist. NHTSA's knowledge of what had happened with evaluation of Driver Improvement Courses led ASAP into elaborate and imaginative evaluation efforts; they did not want to encourage wasteful growth of alcohol safety schools or of ineffectual rehabilitation efforts. Current evaluation programs and criteria have reached a high level of sophistication, and ASAP publications in this area should be studied.

- **Court-Based Coercion**

- ASAP has not yet shown whether court-based coercion into education and rehabilitation, coupled with punitive sanctions, is more or less effective than other modes or reducing alcohol-related accidents and driving violations. However, it has shown that court coercion is a viable rehabilitation modality capable of responding positively to a wide spectrum of problem drinkers and solving some major rehabilitation dilemmas.

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1279 491 1464 562">Vol. I, Sec. VI pp. 72-73</p>

- **REHABILITATION COSTS**

- **Experience from NHTSA-Funded ASAPs**

- The overall cost of rehabilitation was developed by combining the expenditures for the NHTSA-sponsored alcohol safety schools and all other rehabilitation modalities used by the ten ASAPs.
- Good cost data were available for the alcohol safety schools and that portion of the cost analysis can be considered accurate. The cost data for all other rehabilitation modalities were meager and that portion of the cost analysis should be viewed as a gross estimate.
- The costs include funds provided by NHTSA, direct local contributions, and tuition and/or fees paid by the patients.
- Start-up costs for rehabilitation, which are not included in the tabular data, averaged \$11,000 per site. The major expenditures for start-up costs were for the design of the curriculum for the alcohol safety schools.

- **Areas for Cost Reduction**

- There are two areas for cost reductions: start-up costs and patient tuition payments.
- Considering the wealth of material on the design of curriculum on file at NHTSA, start-up costs should not exceed \$5,000 for a new ASAP.
- Half of the sites considered in this analysis charged tuition payments. Most recommended that tuitions be increased to cover most, if not all, of the expenditures for rehabilitation. Based on NIAAA research which supports the thesis that a fee for service has therapeutic value, these sites recommended reasonable tuitions of \$25 to \$75.
- No patient should be denied treatment because of an inability to pay. Rather, tuitions in excess of actual costs for the alcohol safety school would cover those unable to pay and help defray expenses for the more expensive treatment modalities.



## SESSION VII

### PLANNING A COST-EFFECTIVE ASAP

- **A COST-EFFECTIVE ASAP**

- A "Cost-Effective ASAP" may be defined as a systems-oriented community action program designed to impact the impaired drinking driver where the revenue produced by the system closely approximates the cost to operate that system.
- Several years experience with ASAP programs has reinforced the idea that each program is unique. It can be designed to operate in an effective and efficient manner only after identifying the extent of the local drinking-driving problem, surveying local resources, and formulating specific local operating objectives. One could consider the aforementioned tasks (identification of the problem, survey of resources, and formulation of objectives) to comprise a predesign phase of the ASAP planning function. Once completed, it is then possible to utilize that knowledge in combination with the recommendations contained in this document to design a potentially cost-effective ASAP.

- **THE PREDESIGN PHASE**

- **Survey of the Impaired Drinking-Driver Problem.** There are two basic approaches that can be utilized to infer the extent and nature of the impaired drinking-driver problem within a geographical area.
  - The easiest but least accurate approach consists of an examination of historical accident data for evidence of alcohol involvement, especially in fatal accident cases. Alcohol involvement, if present, would be more likely to be detected and reported in the fatal accident case than in nonfatal injury or property damage traffic accidents.
  - The usefulness of fatal accident information can be enhanced by an investigation of the data and circumstances surrounding each accident and in each case making a determination: alcohol involved, nonalcohol involved, or alcohol involvement unknown. It may be necessary to infer alcohol involvement without direct and conclusive evidence.
  - A more accurate determination of the existing impaired drinking-driver problem in the community can be had through the use of a random roadside survey. The roadside survey simply consists of "voluntary" interviews with drivers randomly selected from the highways and streets within the community. Procedures for site selection, protocol, number of interviews required, etc., are contained in a NHTSA publication. Not only will the roadside survey technique enable the community to determine the severity of their problem, it will permit them to identify components of the population (age, sex, racial group, occupational group, etc.) where the problem is most severe.
  - Experience has shown that roadside surveys can be conducted safely, efficiently, and cause virtually no residual resentment among those interviewed.



It is highly recommended that roadside surveys be conducted to provide baseline data for program planning purposes. Additional surveys can also be conducted periodically during the time that an ASAP is in operation to provide information on program effectiveness.

- **Status of the Current DUI/DWI Control Structure.** Prior to any systems design activity relative to ASAP implementation, one must discover the current status of operations in the enforcement, prosecution, and judicial components of the community as they relate to the handling of DUI cases.
  
- It is imperative that state law and local ordinances that could affect ASAP operation be elucidated in the predesign phase. Among the statutes of interest would be those laws which:
  - Affect the DUI arrest itself (including per se, pre-arrest test, chem test refusal, etc.).
  - Might be utilized to provide or permit assignments to rehabilitation countermeasures.
  - Control the sale, possession, and transportation of alcoholic beverages (state, county, city).
  - Address suspension/revocation procedures for persons convicted of DUI.
  - It is also important to consider "in process" legislation and the effects it may have on future ASAP operations.
  
- It is also important that a "client flow diagram" of current operations be constructed. Basically, the client flow diagram represents the possible activities and decisions of the client as he is processed through the system in conjunction with the activities and decisions made by the police, prosecution, and court staff. (An example of a comprehensive client flow diagram is given in Volume II, Appendix B.) Constructing the client flow diagram actually serves several purposes. Among them is to provide insight into the following:
  - The extent of cooperation among the police-prosecution-court staff.
  - The kinds of formal and informal information exchange that occur among the PPC staff.
  - The extent and type of probation services utilized by the court.
  - Penalties invoked by the court for first and subsequent DUI offenses (fine-paid or suspended, jail-served or suspended, court costs levied, etc.).
  - Police policies regarding first and subsequent DUI offenses (charges filed, decline to file, etc.).
  - Prosecution policies regarding first and subsequent DUI offenses (plea bargaining, charge reduction, decline to file, etc.).

Notes	Graphics	Reference
		Vol. II, Sec. IV pp. 15-17

- **Rehabilitation treatment alternatives should be identified and categorized according to type (i.e., in-patient, group therapy, family therapy, individual therapy, education, etc.), costs, availability, location, and capacity.**
  - Organizations such as Alcoholics Anonymous can be easily expanded.
  - The probation office will probably be faced with the task of monitoring clients who are attending one or more rehab treatment alternatives; probation staff should be questioned in the predesign phase regarding the capacity to handle this task.
- **Current facilities, equipment, and level of training in police, prosecution, and court areas should be determined in the predesign phase. Some of the considerations include:**
  - Level of enforcement personnel training and competence in detection, apprehension, court room behavior, chem test operation, etc.
  - Availability and location of police facilities, such as booking stations and prisoner-holding facilities.
  - Availability and condition of police equipment required for an ASAP activity such as patrol vehicles, breathalyzers or other chem test units (i.e., chromatograph).
  - Availability of "spare judicial capacity" to handle additional cases.
- **The success of any program that operates within a political system depends on the ability of the program manager to cope with the political constraints and pressures that the program may either generate or with which it must coexist. It is important that existing constraints and attitudes of various population segments be understood during the predesign phase. Some of the "population segments" whose views toward an ASAP program (i.e., is alcohol-impaired driving a relatively important problem? should it receive attention?) are important to its success include:**
  - The general public
  - Legislators-city council members
  - City manager-mayor-county executive-governor
  - City, county, state bar associations
  - News media (management level).
- **The success or failure of an ASAP depends in large measure on the abilities of and status given to the project manager. He should have a management style of sufficient flexibility to cope with and control a project over most of which he will not have (in most instances) direct line supervisory responsibilities.**
  - The ASAP project must not be attached directly to or identified with any major countermeasure area (i.e., police department, courts, prosecution). The identification of the ASAP as a "part of" the police department or courts may result in either undue emphasis of one countermeasure area with the

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

subsequent result an unbalanced program or promote petty jealousy and undue friction between agencies or both.

- **FORMULATING GOALS AND OBJECTIVES**

- Goals may be considered as a reasonably logical eventual consequence of the achievement of relevant objectives. Goals may not be easily quantifiable or, if quantifiable, may not be easily or accurately measured. Most objectives, on the other hand, are both quantifiable and measurable. Examples of reasonable goals include:
  - Improvement in effectiveness and efficiency of the entire highway safety system within the community
  - Integration of criminal justice and health care delivery systems into the highway safety system
  - Increased awareness and recognition of the problems caused by the impaired drinking driver
  - Reduction in alcohol-related traffic accidents
  - Reduction in average BAC levels of the driving public.
- Of these goals, only the last two are quantifiable, and even then ASAP did not determine what levels of activity and effectiveness are required in the various countermeasures to achieve a statistically significant reduction in alcohol-related traffic accidents or BAC levels. Therefore, objectives should be set and quantified on a best judgment basis, for example:
  - **Enforcement**
    - Increase DUI arrests by  $x$  percent over present levels
    - Provide training adequate for DUI detections and apprehensions which result in prosecutions in  $x$  percent of the arrests
  - **Adjudication**
    - Improve court and prosecution procedures to provide an average arrest to final disposition time of  $x$  days.
    - Implement a workable court-referral PSI system for DUI cases to enable degree of drinking problem categorization and rehabilitation recommendations for  $x$  percent of court dispositions.
    - Improve court cooperation to provide for acceptance of PSI recommendations for rehabilitation in  $x$  percent of court dispositions
  - **Rehabilitation**
    - Provide educational programs adequate to treat  $x$  percent of the DUI cases categorized as social drinkers
    - Provide education and/or rehabilitation programs adequate to treat  $x$  percent of the DUI cases categorized as mid-range or severe problem drinkers.

Notes	Graphics	Reference
	<p data-bbox="784 338 1206 369" style="text-align: center;"><b>Formulating Goals and Objectives</b></p> <p data-bbox="722 411 797 443"><b>Goals</b></p> <ul data-bbox="755 478 1247 575" style="list-style-type: none"> <li>● Logical consequence of achievement of objectives</li> <li>● Not easily quantifiable or measurable</li> </ul> <p data-bbox="722 617 850 648"><b>Objectives</b></p> <ul data-bbox="755 684 1182 781" style="list-style-type: none"> <li>● Quantifiable, measurable</li> <li>● Specific to countermeasure area</li> <li>● Basis of initial ASAP design</li> </ul>	<p data-bbox="1325 268 1516 333">Vol. II, Sec. IV pp. 17-18</p>

- A simplified client flow diagram (Figure 1) can be constructed which reflects the goals and objectives of the individual ASAP program. Quantification of the objectives allows a determination of the magnitude of the proposed activities.
- An additional consideration in ASAP system design is the matter of cost-effectiveness discussed earlier. The system can be designed so that projected revenues approximate estimated costs. This is a major policy decision which should be addressed in the predesign phase:
  - To what extent should the program be designed so that the abusive drinker-driver supports the DUI control system?

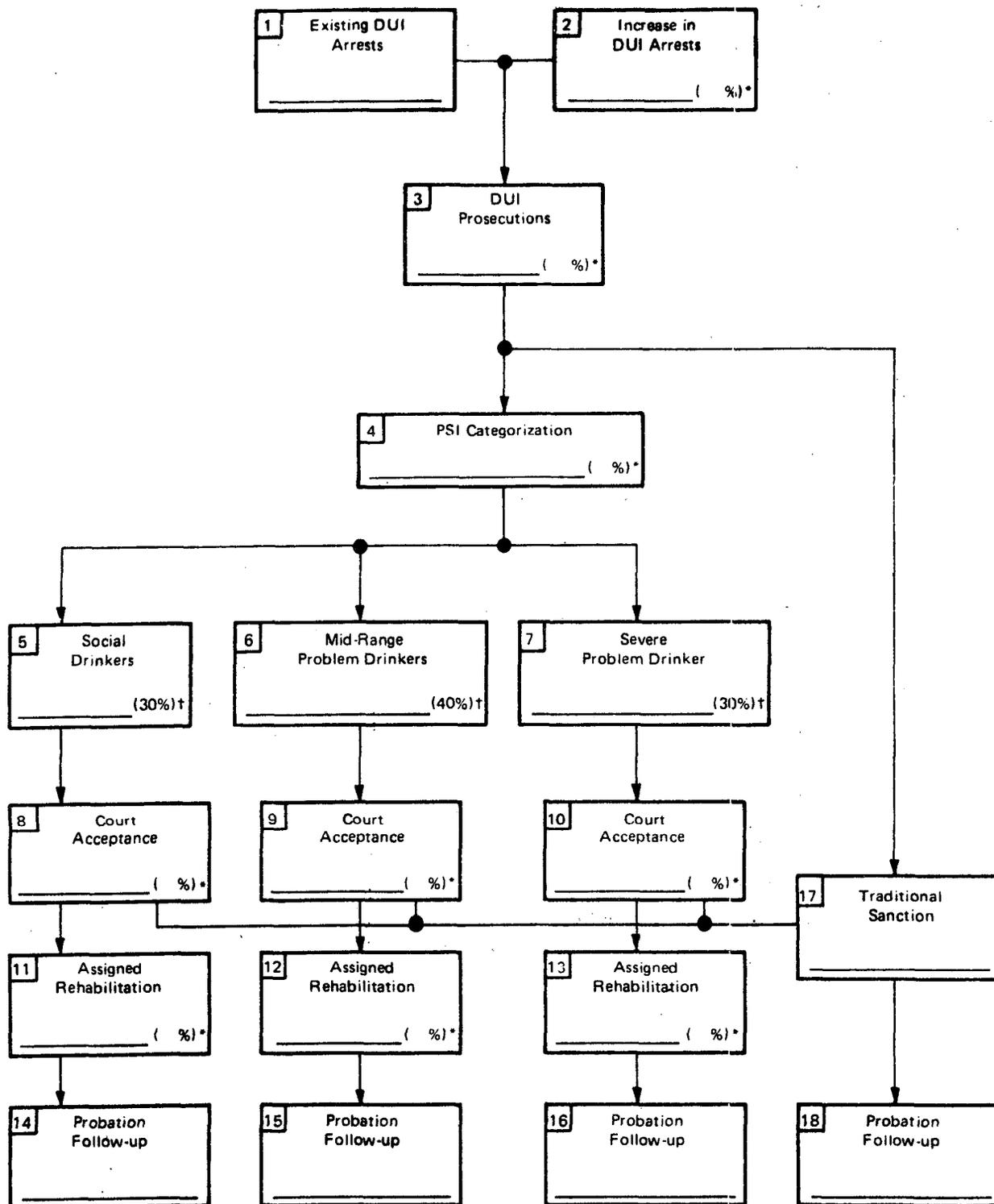
- **THE DESIGN PHASE**

- The remainder of this session will be devoted to an exercise which will demonstrate the use of a series of algorithms developed to determine the cost-effectiveness of an ASAP designed to meet the goals and objectives identified during the predesign phase.
- For the purpose of this demonstration, a city of 500,000 population will be assumed. Pertinent data for this city are:

Population	500,000
Annual Fatal Accidents	
Crashes	82
Fatalities	90
Annual Injury Accidents	
Crashes	5,450
Injuries	8,150
Number of Licensed Drivers	328,000
Annual Number of DWI Arrests	1,400

- The ASAP goals suggested in the previous section will be assumed.
- ASAP objectives must be quantified in order to determine program cost-effectiveness:
  - Desired increase in DWI arrests \_\_\_\_\_% (Client Flow Diagram, block 2)
  - Desired percent of DWI detections and arrests which result in prosecution \_\_\_\_\_% (Client Flow Diagram, block 3)
  - Desired percent of court dispositions which result in PSI categorization and recommendation \_\_\_\_\_% (Client Flow Diagram, block 4)
  - Desired percent of dispositions which result in court acceptance of PSI recommendations for rehabilitation \_\_\_\_\_% (Client Flow Diagram, blocks 8, 9, and 10)

Notes	Graphics	Reference
	<p data-bbox="686 783 1101 814">Chart showing pertinent city data</p> <p data-bbox="686 1304 1190 1367">Chart showing Figure 1 on which desired outcomes can be recorded</p>	<p data-bbox="1287 583 1474 646">Vol. II, Sec. IV p. 18</p> <p data-bbox="1287 789 1466 852">Vol. II, Sec. V pp. 28-31</p>



\*Determined by program objectives.  
 †Based upon NHTSA estimates.

FIGURE 1. CLIENT FLOW DIAGRAM

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		Vol. I, Sec. V p. 30

- Desired percent of DWI cases classified as social drinkers provided with appropriate educational program \_\_\_\_\_ % (Client Flow Diagram, block 11)
- Desired percent of DWI cases classified as mid-range problem drinkers which are provided with appropriate educational/rehabilitation programs \_\_\_\_\_ % (Client Flow Diagram, block 12)
- Desired percent of DWI cases classified as severe problem drinkers which are provided with appropriate rehabilitation program \_\_\_\_\_ % (Client Flow Diagram, block 13)
- Quantification of objectives, plus the existing number of DWI arrests, allows calculation of the magnitude of the desired impact of the proposed ASAP on the various agencies involved.

Enter existing DWI arrests in Client Flow Diagram, block 1, and complete diagram using desired percentages determined above.

- If ASAP is to exist as an integrated goal-oriented system, certain elements are necessary, independent of size or type (city, county, state) of jurisdiction. These elements include program administration, enforcement, adjudication (prosecution, courts, pre-sentence investigation, and probation), and rehabilitation. The questions which must be addressed in each of these areas are discussed in the following sections. Those questions which are particularly cost-revenue-oriented are indicated by an asterisk.
- **Program Administration.** Program administration has three basic areas of responsibility: project management, management information systems and evaluation, and public information and education. Costs depend almost exclusively on the size of the management staff planned for the project.
  - a. What size staff is planned for the project? (Check appropriate alternative.)
    - Project director, PIE specialist, and secretary (start-up costs: \$25,000; annual costs: \$60,000)
    - Project director, assistant project director, countermeasure coordinator, PIE specialist, and secretary (start-up costs: \$40,000; annual costs: \$90,000)
    - Project director, assistant project director, management information specialist, countermeasure coordinator, PIE specialist, secretary, and clerk typists/data reducers (start-up costs: \$50,000; annual costs: \$120,000)

Determine program administration costs by selection of applicable alternatives.

$$3.5\text{-Year Cost} = 3 (\text{Annual Costs}) + (\text{Start-Up Costs}) \text{_____} (\text{Eq. VII-1})$$

- b. What governmental entity will bear the costs for program administration? (Check)
  - City government
  - County government
  - State government

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
	<p data-bbox="690 1192 1226 1297"><b>Large chart of table shown on page 98 on which decisions and calculations can be entered as they are determined.</b></p>	<p data-bbox="1291 1045 1485 1192">Vol. II, Sec. IV pp. 19-20 Vol. II, Sec. V p. 31</p>



Notes	Graphics	Reference
		Vol. II, Sec. IV pp. 20-22 Vol. II, Sec. V pp. 31-33

**PATROL MAN-HOURS PER DWI VERSUS SELECTIVITY OF  
PATROL STRATEGY, DEGREE OF MOTIVATION, AND TYPE OF  
PROJECT (PMH) FACTOR**

Type Project	Degree of Motivation					
	High		Average		Low	
	Selective	Non-Selective	Selective	Non-Selective	Selective	Non-Selective
State	26.0	29.5	32.6	37.0	39.2	44.5
County	9.2	10.5	11.4	13.0	13.6	15.5
City	6.6	7.5	8.4	9.5	10.1	11.5

Determine selective enforcement costs by application of the following algorithms:

$$\begin{aligned}
 \text{Annual Costs} &= (\text{SEPMH}) (\$9) (1.1) \\
 \text{Start-Up Costs} &= (\text{SEPMH}) (\$9) (0.28) \\
 \text{3.5-Year Costs} &= (3) (\text{Annual Costs}) + (\text{Start-Up Costs}) \quad \text{-----} \quad (\text{Eq. VII-4})
 \end{aligned}$$

g. What governmental entity will bear the costs for enforcement? (Check)

- City government
- County government
- State government

Enter your decisions in the following table:

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Subtotal									

\*h. What is your planned policy for issuance of traffic citations for probable cause DUI detections? (Check)

- |                    |                    |
|--------------------|--------------------|
| ● No Citations     | ● 5/1 DUI increase |
| ● 1/1 DUI increase | ● 6/1 DUI increase |
| ● 2/1 DUI increase | ● 7/1 DUI increase |
| ● 3/1 DUI increase | ● 8/1 DUI increase |
| ● 4/1 DUI increase | ● 9/1 DUI increase |

\*i. What will be the average revenue from each traffic citation? (Check)

- Warning
- \$10
- \$20

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

Determine enforcement revenue by application of the following algorithm:

$$\begin{aligned} & (DUI\ Increase) \times (Traffic\ Citation\ Policy) \times \\ & (Average\ Fine) = Enforcement\ Revenue \qquad \qquad \qquad (Eq.\ VII-5) \\ & 3.5\text{-Year}\ Revenue = 3 (Enforcement\ Revenue) \underline{\hspace{2cm}} \end{aligned}$$

- j. What governmental entity(ies) will receive the revenue from probable cause stops. (Check)
- City
  - County
  - State

Enter your decisions in the following table:

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Enforcement Revenues									
Subtotal									

- **Adjudication** The following questions are pertinent to the analysis of costs and revenues from adjudication:
  - a. How many cases will be prosecuted in the court system? (from Client Flow Diagram, block 3) \_\_\_\_\_

Determine court support costs:

$$No.\ Cases\ Prosecuted) (\$15) = Court\ Support\ Costs \underline{\hspace{2cm}} \quad (Eq.\ VII-6)$$

- b. How many pre-sentence investigations will be conducted? (from Client Flow Diagram, block 4) \_\_\_\_\_
- \*c. What level of comprehensiveness is planned for the pre-sentence investigation? (Check)
  - Comprehensive PSI (\$15)
  - Simplified PSI, either the self-administered questionnaire of Mortimer-Filkins or an equivalent (\$10)
  - Limited PSI, BAC, and prior record check (\$5)

Determine PSI costs:

$$(No.\ Pre\text{-}sentence\ Investigations) (Level\ of\ Comprehensiveness) = PSI\ Costs \underline{\hspace{2cm}} \quad (Eq.\ VII-7)$$

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1256 953 1448 1024">Vol. II, Sec. IV pp. 22-26</p> <p data-bbox="1256 1033 1448 1104">Vol. II, Sec. V pp. 33-35</p>

- d. How many probation followups will be conducted? (from Client Flow Diagram, blocks 14, 15, 16, and 18) Total: \_\_\_\_\_
- e. What level of comprehensiveness is planned for the probation followup? (Check)
- Extensive probation counseling (\$60)
  - Limited probation counseling (\$40)
  - No probation counseling, check in only (\$20)

**Determine probation costs:**

(No. of Probation Followups) (Level of Comprehensiveness) = Probation Costs \_\_\_\_\_ (Eq. VII-8)

**Determine adjudication costs by summing Eqs. VII-6, VII-7, and VII-8.**

*Court Support Costs + PSI Costs + Probation Costs = Adjudication Costs \_\_\_\_\_ (Eq. VII-9)*  
*3.5-Year Cost = 3 (Adjudication Costs) \_\_\_\_\_*

- f. What governmental entity(ies) will bear the costs for adjudication? (Check)  
 (Check)
- City
  - County
  - State

**Enter your decisions in the following table:**

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Enforcement Revenues									
Adjudication Costs									
Subtotal									

- g. What level of fine will be assessed? (Estimate and enter)
- Social drinkers \_\_\_\_\_ (g.1)
  - Mid-range problem \_\_\_\_\_ (g.2)
  - Severe problem \_\_\_\_\_ (g.3)
  - Traditional sanction \_\_\_\_\_ (g.4)
- h. How many cases will be handled by the courts?
- Social drinkers (from Client Flow Diagram, block 8) \_\_\_\_\_ (h.1)
  - Mid-range problem (from Client Flow Diagram, block 9) \_\_\_\_\_ (h.2)
  - Severe problem (from Client Flow Diagram, block 10) \_\_\_\_\_ (h.3)
  - Traditional sanction (from Client Flow Diagram, block 17) \_\_\_\_\_ (h.4)

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

**Determine court fine revenue by summing the following algorithms:**

- *Social drinkers* (g.1) × (h.1) = \_\_\_\_\_
  - *Mid-range problem* (g.2) × (h.2) = \_\_\_\_\_
  - *Severe problem* (g.3) × (h.3) = \_\_\_\_\_
  - *Traditional sanction* (g.4) × (h.4) = \_\_\_\_\_
- Total court fine revenues* \_\_\_\_\_ (Eq. VII-10)

\*i. Do you plan to charge a fee for the pre-sentence investigation? (Check)

- No
- Yes
  - How much? \_\_\_\_\_

j. How many pre-sentence investigations will be conducted? (from Client Flow Diagram, block 4) \_\_\_\_\_

**Determine pre-sentence investigation fee revenue:**

*(PSI Fee) (No. of Pre-sentence Investigations) = PSI Fee Revenue* \_\_\_\_\_ (Eq. VII-11)

k. Do you plan to charge a probation supervisory fee? (Check)

- No
- Yes
  - How much? \_\_\_\_\_

l. How many probation followups will be conducted? (from Summation of Client Flow Diagram, blocks 14, 15, 16, and 18) Total:

**Determine probation supervisory fee revenue:**

*(Probation Supervisory Fee)(No. of Probation Followups) = Probation Supervisory Fee Revenue* \_\_\_\_\_ (Eq. VII-12)

m. What governmental entity will receive the revenue from court fines, pre-sentence investigation fees, and probation supervisory fees? (Check)

- City
- County
- State

**Determine adjudication revenue by the summation of Eqs. VII-10, VII-11, and VII-12.**

*Court Fine Revenue + Probation Supervisory Fee Revenue + PSI Fee Revenue = Adjudication Revenue*

*3.5-Year Revenue = 3 (Adjudication Revenue)* \_\_\_\_\_ (Eq. VII-13)

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

Enter your decisions in the following table.

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Enforcement Revenues									
Adjudication Costs									
Adjudication Revenues									
Subtotal									

- **Rehabilitation.** The following questions are pertinent to the analysis of costs and revenues from rehabilitation:

a. How many social drinkers will be assigned to a rehabilitation program? (from Client Flow Diagram, block 11) How many are estimated as assigned to: (Estimate and enter)

- Alcoholics Anonymous \_\_\_\_\_ (a.1)
- Educational school \_\_\_\_\_ (a.2)

b. How many mid-range problem drinkers will be assigned to a rehabilitation program? (from Client Flow Diagram, block 12) How many are estimated as assigned to: (Estimate and enter)

- Alcoholics Anonymous \_\_\_\_\_ (b.1)
- Educational school \_\_\_\_\_ (b.2)
- Chemotherapy \_\_\_\_\_ (b.3)
- NIAAA ATP \_\_\_\_\_ (b.4)
- Group therapy \_\_\_\_\_ (b.5)

c. How many severe problem drinkers will be assigned to a rehabilitation program? (from Client Flow Diagram, block 13) How many are estimated as assigned to: (Estimate and enter)

- Alcoholics Anonymous \_\_\_\_\_ (c.1)
- Educational school \_\_\_\_\_ (c.2)
- Chemotherapy \_\_\_\_\_ (c.3)
- NIAAA ATP \_\_\_\_\_ (c.4)
- Group therapy \_\_\_\_\_ (c.5)
- Individual therapy \_\_\_\_\_ (c.6)
- In-patient \_\_\_\_\_ (c.7)

Determine rehabilitation costs by summation of the following algorithms:

- Educational school  $[(a.2) + (b.2) + (c.2)] \times \$25$  \_\_\_\_\_
- Chemotherapy  $[(a.3) + (b.3)] \times \$62$  \_\_\_\_\_
- NIAAA ATP  $[(b.4) + (c.4)] \times \$65$  \_\_\_\_\_
- Group therapy  $[(b.5) + (c.5)] \times \$90$  \_\_\_\_\_

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>
		<p data-bbox="1284 596 1479 747">Vol. II, Sec. IV pp. 25-27 Vol. II, Sec. V pp. 35-36</p>

- Individual therapy [(c.6)] × \$203 \_\_\_\_\_
  - In-patient [(c.7)] × \$410 \_\_\_\_\_
- Total rehabilitation costs \_\_\_\_\_ (Eq. VII-14)

3.5-Year Cost = 3 (Total Rehabilitation Costs)

d. What governmental entity(ies) will bear the costs for rehabilitation? (Check)

- City
- County
- State

Enter your decisions in the following table.

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Enforcement Revenues									
Adjudication Costs									
Adjudication Revenues									
Rehabilitation Costs									
Subtotal									

e. What tuition do you plan to charge for the various rehabilitation modalities? (Estimate and enter)

- Educational school \_\_\_\_\_ (e.1)
- Chemotherapy \_\_\_\_\_ (e.2)
- NIAAA ATP \_\_\_\_\_ (e.3)
- Group therapy \_\_\_\_\_ (e.4)
- Individual therapy \_\_\_\_\_ (e.5)
- In-patient \_\_\_\_\_ (e.6)
- Standard fee for all clients \_\_\_\_\_ (e.7)

Determine rehabilitation revenues from the following algorithm:

- Educational school [(a.2) + (b.2) + (c.2)] × (e.1) = \_\_\_\_\_
- Chemotherapy [(b.3) + (c.3)] × (e.3) = \_\_\_\_\_
- NIAAA ATP [(b.4) + (c.4)] × (e.3) = \_\_\_\_\_
- Group therapy [(b.5) × (c.5)] × (e.4) = \_\_\_\_\_
- Individual therapy (c.6) × (e.5) = \_\_\_\_\_
- In-patient (c.7) × (e.6) = \_\_\_\_\_

OR

- Standard fee  $\left[ \begin{array}{l} (a.2) + (b.2) + (b.3) \\ + (b.4) + (b.5) + (c.2) + (c.3) \times (e.7) \\ + (c.4) + (c.5) + (c.6) + (c.7) \end{array} \right]$  \_\_\_\_\_ (Eq. VII-15)

3.5-Year Costs = 3 (Total Rehabilitation Revenue) \_\_\_\_\_

<b>Notes</b>	<b>Graphics</b>	<b>Reference</b>

f. What governmental entity(ies) will receive the revenue from rehabilitation tuitions?  
(Check)

- City
- County
- State

Enter your decisions in the following table.

Countermeasure Area	State Costs			County Costs			City Costs		
	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr	Start-Up	Annual	3.5 Yr
Program Administration Costs									
Enforcement Costs									
Enforcement Revenues									
Adjudication Costs									
Adjudication Revenues									
Rehabilitation Costs									
Rehabilitation Revenues									
Grand Total									

● **Summary**

The preceding procedure will result in a reasonably accurate planning estimate for your Alcohol Safety Action Project. The overall result should then be compared against the policy decision you addressed in the predesign phase: "To what extent should the program be designed so that the abusive drinker-driver supports the DWI control system?"

If you had made the policy decisions that the abusive drinking driver should totally pay for the system, it is probable that your initial design will not result in the correct balance of costs and revenues. However, with the analytic framework developed, it will be easy to make minor modifications (generally to the asterisked questions) in your policies so that you do achieve the desired balance.

Notes	Graphics	Reference
		<p>Vol. II, Sec. IV p. 27</p> <p>Vol. II, Sec. IV p. 37</p>