

# **GUIDELINES**

**for Evaluators**  
**During a**  
**PASS, PASSING,**  
**or Similar Assessment**  
**of Human Service Quality**

**Wolf Wolfensberger**

# **GUIDELINES FOR EVALUATORS DURING A PASS, PASSING OR SIMILAR ASSESSMENT OF HUMAN SERVICE QUALITY**

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CORRECTIONS  
Guidelines for Evaluators

- . p.34 entry "c" under "For Both PASS ..." should say  
"Cover Sheet for a PASS or PASSING Assessment Report,"
- . p.51 col.1: top of 2nd bracket should be drawn in to include:  
R2212 Competency-Related Intra-Service Client Grouping Composition
- . p.51 col.3: should not be an asterisk next to R225 Promotion ...
- . p.84, 4th para, line 11: "capable" is misspelled.
- . p.89, Mean Adult Services should be -289.
- . p.135 form should be labelled "Appendix G:"
- . p.136 omit one set of level boxes for R222 Competency-Related ...
- . p.143 label this form "Appendix J:"
- . p.146 number of last rating in Program Image ... should be R145.
- . p.147 omit entire item 12 bottom of page: it appears top next page

## **ACKNOWLEDGEMENTS**

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## INTRODUCTION AND OVERVIEW

This booklet is one of several volumes (as explained below) that make up, or are related to, certain instruments designed to assess the quality of a human service, and to teach adaptive service practices. Primarily, the *Guidelines* are intended to be used with the instruments that are called PASS, for *Program Analysis of Service Systems* (Wolfensberger & Glenn, 1973a, b; 1975a, b), and PASSING, which stands for *Program Analysis of Service Systems' Implementation of Normalization Goals* (Wolfensberger & Thomas, 1980, 1983). However, parts of these *Guidelines* should also be useful in the evaluation of human services by means of other assessment tools.

Both PASS and PASSING are tools for the objective and quantitative measurement of the quality of a wide range of human service programs, agencies, and even entire systems. PASS measures service quality in terms of the service's adherence to (a) the principle of normalization (e.g., Wolfensberger, 1972, 1980a, b; Wolfensberger & Thomas, 1980, 1983), (b) certain other service ideologies, and (c) certain administrative desiderata, all believed to contribute to service quality. On the other hand, PASSING measures service quality exclusively in terms of a service's implementation of normalization, and in a fashion that differs substantially from PASS. The PASS instrument is comprised of 50 "ratings," i.e., statements of issues related to service quality, accompanied by criteria that a service must meet in order to be of high quality in regard to that issue. Of these 50 ratings, 34 are based on normalization. In PASSING, there are a total of 42 ratings, all of which incorporate normalization implications to the quality of a service.

PASS and PASSING are both designed to be applied to just about any type of human service (educational, vocational, residential, medical/health, counseling, advocacy, rehabilitation, transportation, correctional, etc.) to just about any client population, but especially so to programs that serve people who are societally devalued, i.e., people who are mentally retarded, elderly, physically handicapped, mentally disordered, impaired in a sense organ, racial or ethnic minority members, poor, illiterate, disordered in conduct/behavior, antisocial, severely/chronically ill or dying, etc.

The conduct of a PASS or PASSING assessment follows essentially the same pattern. Both instruments are intended to be applied by a team of no less than 3 people (called "evaluators" or "team members"), which is under the direction and supervision of a person who is highly trained and skilled in PASS/PASSING. Each team does the following.

1. Extensively review available documentary materials regarding the program, including policy documents, statements of mission, client records, individual program plans, activity schedules, log books, position papers, job descriptions, regulations, publicity materials, etc.
2. Tour (usually by car and on foot) the neighborhood surrounding the service being assessed.
3. Tour both the exterior and interior of the service setting itself.
4. Conduct a lengthy, in-depth interview with program leaders, such as administrators, executives, and/or board members.
5. Conduct interviews with the direct-level staff of the service.
6. Observe the program in operation.
7. Meet with (if possible, informally interview) the clients, and possibly the client's family members and advocates, and sometimes neighbors in the service neighborhood.
8. After a team has done all of the above, though not necessarily in the above sequence, each person on the team individually assesses the program on each of the ratings in the instrument. This is done by deciding which level of service quality performance the service merits on a rating. Each rating has several levels. In PASS, a rating may have from 3 to 6 levels; in PASSING, every rating has 5 levels. Each level represents a different degree of adherence of a service to the desired service quality issue that is at stake in the rating. The lower levels represent poor performance and the higher levels good performance.

9. Once all team participants have each assigned a level for each rating to the service being assessed, the team meets at length and arrives at a group judgment of the service's performance on each rating, which improves upon the mere averaging of, or voting on, the individual judgments of evaluators. This process is called "conciliation" (see "Alphabetic Glossary of Special Terms and Abbreviations").

10. At the end of conciliation, the team (usually via the team leader) reports back to the assessed service on its performance, usually in writing, often also verbally.

PASS and PASSING assessments usually take place in one of three contexts.

1. The first context is that of a training workshop (WS). There, WS participants are taught the ideological foundations of the evaluation instrument and the mechanics of applying the instrument to a service. Participants also conduct two (at the very least, one) practice assessments of existing services under the guidance of leaders who are already sufficiently trained in PASS or PASSING. (The author *strongly* urges that introductory training WSs be conducted with two practicum assessments for each team, i.e., each team assesses two separate, existing services, usually one on each of two consecutive days. This is because participation in two practicum assessments gives trainees vastly more competence in PASS/PASSING, and a much greater appreciation for the universality and complexity of the normalization principle than can possibly be achieved with only one practicum, or even with one practicum combined with any number of rating exercises (e.g., using slides) that give trainees simulated practice with the assessment instrument.) In this monograph, assessments that take place as part of a training event are referred to as "training assessments."

2. A second type of assessment takes place outside of a training WS, but still serves primarily the purpose of training people who have been to a WS in how to use PASS or PASSING.

3. Yet other assessments do not serve primarily training purposes, but those of (a) evaluation, or (b) consultation.

a. One type of assessment is called an official assessment, which is an assessment conducted entirely or mostly by highly trained, qualified, and experienced people ("raters"; see "Alphabetic Glossary of Special Terms") whose mission is to provide the agency being assessed with a PASS or PASSING evaluation that can be considered reliable and valid. Such official assessments are sometimes requested by an agency for the purposes of internal review, or by outside regulators, funders, etc., usually for purposes of licensing, funding, etc.

b. An assessment may serve primarily consultation purposes. These types of assessments, sometimes also called "non-official," are usually conducted by request of the agency for an informal internal review, or in order to test out the merits of the instrument. While these assessments are usually conducted with a qualified team, they may also afford advanced training to one or more team members. Usually, such non-official/consultation evaluations can also be assumed to have at least moderate reliability and validity. However, the more such an assessment serves training purposes, and therefore contains relatively inexperienced participants, the less it can be expected to be as valid and reliable as an assessment conducted by people who have much more training and experience with the assessment instrument.

Throughout this monograph, any reference made to non-training assessments includes both official and non-official/consultation assessments. This is because both kinds of assessments conducted outside a training WS context have more in common with each other than they do with those conducted as part of a training WS.

While the structure and method of application of PASS and PASSING are very similar, there are also important differences between them. These are apparent as one reads the *PASS Handbook* and *PASSING Handbook*, and the *PASS Field Manual* and *PASSING Normalization Criteria and Ratings Manual*.

The reasons for the distinctions made between introductory training WS assessments and other types of assessments throughout this monograph will be clearer to readers if they understand the following.

In introductory training assessments — i.e., assessments that are conducted as part of an introductory WS to train people in PASS or PASSING — the people who comprise the assessment team are fairly homogeneous in their level of inexperience with the assessment instrument. In fact, in most such assessments, the team leader is the only one who has had any prior training and experience with the tool. Furthermore, team members are often struggling not only to learn the PASS/PASSING rating concepts, which are difficult enough, but also with the

underlying ideology of normalization, which runs totally opposite to much of mainstream human service practices. In addition, team leaders during introductory training WSs are often themselves still somewhat inexperienced with the evaluation tool, or at least are inexperienced at team leading.

In contrast, in non-training assessments, team members have usually had considerably more training and experience with the evaluation instrument, including at least one introductory training WS, sometimes an advanced training WS, and/or other experience with practice assessments. Team members on non-training assessments usually also have greater human service sophistication than those in training assessments.

The demands of the different types of assessments, as well as the differences in team members' qualifications and characteristics, mean that different kinds of assessments have to differ in their structure. Training assessments differ from non-training assessments especially in the process of conciliation, and in the amount of latitude that team members are given in regard to their conduct at the service being assessed.

The guidelines, expectations, responsibilities, and procedures described herein have been evolved since 1970, mostly by staff and associates of the Training Institute for Human Service Planning, Leadership, and Change Agency (TI), in order to help assure the efficiency and quality of assessments of various types of human services by means of PASS, PASSING, or related tools and methods, and as experience was gained in conducting PASS/PASSING training and assessments.

This monograph covers all the essential requirements and expectations that a person participating in a PASS, PASSING, or similar assessment of a human service would have to know and abide by. Thus this document should be considered *required reading* for all participants on an assessment, regardless of a person's specific role during an assessment. (These roles are described in detail in Part 1 of this monograph, entitled "Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments.")

The guidelines set forth in this volume are considered to provide an optimal evaluation context. However, not all the guidelines are mandatory for a reliable and valid assessment. For this reason, the guidelines have been coded as falling into one or more of four categories, as explained below. The respective code letters will appear at various times throughout the monograph in the left margin of the page next to a point. Where this occurs, it means that the particular guideline at issue falls into the category(ies) indicated, and readers should refer back to these code explanations for clarification.

- A : This guideline is absolutely imperative, and integral to the conduct of a PASS/PASSING evaluation that aspires to be reliable, valid, or otherwise protective of the integrity of instrument use.
- B : This guideline may be modified, but only (a) by the authority of a highly skilled and experienced team leader (TL) or external team consultant or floater (ETC/FL; see glossary and Part 1 for explanation of these terms), *and* (b) only for strong reasons.
- C : This procedure contributes to efficiency, convenience, makes good sense, and is a good long-term strategy. It may occasionally and for good reasons be modified, but the quality of assessments may be jeopardized if the procedure is abandoned without good reason (a) by all members of a team, (b) by a specific member in a persistent fashion, or if many such procedures coded "C" are modified by a member or a team.
- D : The procedure may be adopted or modified by mutual agreement between the party in charge of the assessment or its representative (such as the assessment coordinator), and either (a) the service being evaluated, or (b) a member of the assessment team.

Where these *Guidelines* specify that procedures are to apply only to training events rather than official assessments, then the above codes are intended to indicate the author's judgment as to what appears to be essential, versus desirable, in order to safeguard the quality of training, and in order to assure at least a core of standardized preparation and experience on the part of trainees, i.e., future evaluators.

- A The guidelines provided in the main body of this book apply in *all* instances where one team assesses one component of a service, or a single-component agency. (Readers are referred to the "Alphabetic Glossary of

Special Terms and Abbreviations” for a definition of “component.”) Modifications may have to be made in procedures for some parts of an assessment where (a) a team assesses multiple components of an agency, (b) multiple teams conduct assessments within the same agency at the same time, (c) different teams conduct repeat (i.e., closely consecutive) assessments on the same service. For definitions of these types of evaluations, and for instructions on what assessment practices may need to be modified under such conditions, see “Appendix C: Special Procedures for Multi-Component, Multiple Team, Concurrent, Systems, and/or Repeat Assessments.” Except for those procedures which are specified in that appendix as requiring special adaptations, the procedures listed in the main body of the monograph should be followed for all these other types of assessments as well.

There are some individuals and bodies that have advocated any number of variations on, and even abandonment of many of the guidelines spelled out herein. Some of the guidelines that such parties have advocated changing or disregarding are the very guidelines that are necessary for a valid and reliable assessment. Even where that is not the case, some of these parties have advocated abandoning these guidelines as a matter of course, rather than only where there is a truly good reason to do so. Almost invariably, modifications in guidelines and procedures have been in the direction of greater ease and convenience for all parties involved. It is at least in part because of advocacy of such lessening of rigor that it is even necessary to publish this monograph; further, these practices are in part responsible for a decline in rigor and discipline even as training in the use of these instruments has been increasing in quantity. The author strongly urges PASS and PASSING trainers to adhere diligently to the guidelines set forth in this monograph.

Where a participant in an assessment has received instructions that differ from some of those found in this monograph, s/he should check whether his/her team leader is aware that the instructions they have been given conflict with the guidelines in this monograph (e.g., the contradictory instructions may have been developed out of ignorance of, rather than out of disagreement with, the rationales for the practices prescribed here), whether participants on the assessment should abandon any guidelines here in favor of other practices, and why.

Following the “Alphabetic Glossary of Special Terms and Abbreviations” section, this document will be divided into three major sections which pertain to all PASS and PASSING assessments. However, some sections may be more immediately useful than others, depending on the nature of the assessment, e.g., whether it uses PASS or PASSING, and whether it is of a training or non-training type. Where a particular guideline or section applies only to one type of assessment and not the other, this distinction will be clearly stated in the text. However, readers should also refer to the volumes that are specific to each rating instrument (e.g., *PASS Handbook*, *PASSING Handbook*, *PASS Field Manual*, *PASSING Normalization Criteria and Ratings Manual*) for special guidelines in regard to specific ratings or PASS-specific/PASSING-specific situations. Also, some sections of this monograph are more useful to people who are preparing to play a specific role on an assessment, such as team leader, reporter, etc.

Preceding Part 1 is an alphabetic glossary of terms and their abbreviations. A reader must be familiar with these before proceeding to read the body of the monograph. Part 1 consists of introductory materials for every person participating in any PASS or PASSING event. Part 2 describes the preparation that all such persons, and especially an assessment team leader, need to make prior to an assessment. Part 3 consists of guidelines for the conduct of the assessment itself, including such things as team preparations, inquiries and site visits, individual ratings, and team deliberations.

At the end of the book are a number of appendices. One consists of a checklist for team leaders to help them keep track of all the things they need to do in preparation for, and in the conduct of, an assessment. The second appendix provides guidelines to team leaders on assigning individual responsibilities to team members during non-training/official or advanced training assessments (individual duties are not assigned to team members during introductory training assessments, as explained elsewhere in this monograph). The third appendix contains explanations of modifications in standard assessment procedures that apply during multiple team, multi-component, concurrent, systems and/or repeat assessments. The fourth appendix consists of guidelines that apply when a proposal for a future service project is being assessed. The fifth appendix explains how to assess so-called “soft services” (see definition in “Alphabetic Glossary of Special Terms and Abbreviations”). The remaining appendices consist of forms that will or may be used during an assessment. TMs should pay special attention to the appendices that apply to their particular assessment mission.

The size and contents of this document may at first appear forbidding to some potential participants on an

A

assessment, especially considering that it describes so many things that they are expected not only to know or learn, but also to live up to and perform under the unusual and somewhat stressful conditions of a PASS or PASSING assessment. However, these guidelines have been developed in order to make the process of a reliable and valid assessment easier for all involved, not more difficult, and also to provide information necessary for assessment participants to function to their fullest capabilities on an assessment. Thus, prior to participation in an assessment, a person should read and study this whole document thoroughly (and parts of it several times), despite its size, except perhaps for some of the appendices that do not apply to a particular assessment at hand.

For people who have previously been through PASS or PASSING training, some of this material may have the ring of familiarity because at least some of it has appeared elsewhere in other, older training handouts. However, the material here needs to be studied nevertheless, because it is not identical to any of its predecessors.

In addition to this monograph, there are or will be other books and monographs in this series of PASS- and PASSING-related volumes. Persons using PASS or PASSING must be familiar at least with the *Handbook* and rating *Manual* of the respective instrument they are using. Whether such persons need any of the other volumes in the series will depend on what role they play in an assessment, or what use they are making of the assessment tools. Please contact the publisher for further information on this evolving series of volumes.

A user of any of the monographs pertaining to PASS and/or PASSING should also understand why the material has been cast into a series of separate publications, some still under preparation. This decision was based on the following rationales.

1. Some materials and discussions of certain issues are equally applicable to PASS and PASSING, and at least in part to yet other service evaluation approaches; others are not. Thus, it would neither make much sense to combine material that applies to only one instrument, nor to print common material once in one or more of the PASS volumes, and once again in one or more of the PASSING volumes. For example, some of the material that previously existed in the PASS *Handbook* (3rd edition) applies to PASSING as well, such as the discussions of qualitative measurement of services and of the issue of apparent client "happiness." Thus, in order to minimize writing and printing time and costs, materials that are applicable to both (or more) forms of assessment will henceforth usually be written and published only once, in volumes that are usable for either type of assessment. Of course, issues that are specific only to either PASS or PASSING would be written and published only in connection with one of these instruments.

2. Publishing the material in separate modules will permit people with different interests and needs to acquire only those parts that are of interest or relevance to them. Even some people who do not have any interest in either PASS or PASSING could utilize some modules, such as this monograph, for other purposes.

3. Furthermore, some material is apt to need revision sooner and more often than other parts. By publishing the material modularly, it will be possible to revise what needs revising without having to bring out an entirely new edition of everything else that does not need revision, or at least does not need revision at the same time.

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There are a number of forms that are needed in order to conduct a PASS or PASSING assessment. Samples of some of these are contained in various PASS or PASSING volumes, and in the appendices of this one. Those that are copyrighted say so on the front, and therefore must be purchased from the publisher if they are needed or wanted for an assessment.



## **SUGGESTIONS ON HOW TO READ, STUDY, AND USE THESE *GUIDELINES***

This monograph was developed to guide PASS and PASSING users through all aspects of preparation for and conduct of an assessment, and was intended to cover just about every conceivable situation, variation, and difficulty that an assessment team is likely to come across in such an assessment. Therefore, the book is quite extensive, and in some places very specialized. Not all sections will be applicable to all types of assessments or to all types of readers. Thus, readers can be somewhat selective about what parts of the monograph they study.

In order to gain maximum benefit from study of these *Guidelines*, and in order to study them most effectively, readers need to clearly identify what their purposes are in reading these *Guidelines*. Generally, these purposes fall into three broad categories. (a) The first is to gain some familiarity with the PASS/PASSING instrument, not in order to personally apply it, but perhaps in order to evaluate it for potential use, or generally promote its use by others. (b) The second purpose is to enable the reader to participate in either a training workshop (WS) in the use of the PASS or PASSING instrument, or in a PASS or PASSING assessment outside of a training context. (c) The third is to actively promote knowledge of, training in, and possibly adoption of the instrument by others. This might be the case with a person who aspires to be a leader and trainer in PASS and PASSING, and/or who is coordinating the details of a PASS/PASSING assessment or WS. Since the best way to read these *Guidelines* will vary depending on which of the above three purposes a reader is pursuing, there are separate sections within these "Suggestions on How to Read, Study, and Use These *Guidelines*" for these three groups. However, the first section immediately following contains suggestions that apply regardless of one's purpose in reading these *Guidelines*. Therefore, all readers should follow the suggestions in that section.

Furthermore, readers who are studying these *Guidelines* in order to participate in a training WS or assessment need to know (a) the type of assessment in which they will be participating (introductory training event, advanced training event, non-training assessment, assessment of multiple components of one agency, etc.) and (b) the assessment team role that they will play (team member, team leader, etc.). The different types of assessments are described in more detail in the "Introduction and Overview" section of the *Guidelines*, and in Appendices C, D and E; the various assessment team roles are described in Part 1.

### ***For All Readers, Regardless of Their Purpose in Reading the Guidelines***

1. Read over the Table of Contents in order to get an overview of what is covered in these *Guidelines*.
2. Read through the "Alphabetic Glossary of Special Terms" (pp. 13 to 17). You will probably have to return to this section numerous times if you want to become very knowledgeable about PASS or PASSING.
3. Read the "Introduction and Overview" section, which spells out the purposes and uses of this book, and its relation to other PASS and PASSING books.
4. Read whatever parts of the monograph you will be reading in the sequence in which they are laid out. Generally, this sequence proceeds from a review of things you need to know in order to understand the rest of the book (introductory sections and Part 1), to guidelines for preparatory activities prior to an assessment (Part 2), to guidelines for various events during an assessment in the order in which these events usually occur, and any follow-up activities to an assessment (Part 3).
5. Turn to the various appendices as these are mentioned, and at least leaf through them at that time. You may need to refer back to them in further detail at various points in your reading. Readers who are participating in certain types of assessments, and/or who are filling certain assessment roles, will have to intensively study some of these appendices, as described later.

### ***For All Those Readers Who Are Studying the Guidelines In Order to Gain Modest Familiarity With One or Both Assessment Instruments***

1. Read (or at least scan) the descriptions and role responsibilities for a team member (TM) and team leader (TL). These are the team roles which are "standard" for any assessment, and the descriptions of these roles explain who the members of an assessment team are, and what they do.
2. Familiarize yourself primarily with "Part 3: Guidelines During the Conduct of the Assessment," and

within that section, with the sub-sections on activities of the team at the service being assessed and on the conciliation process. This will give you an idea of what a team does during the course of an assessment. You can skip the sub-sections on the activities of the team prior to its departure to the service, the guidelines for the assignment of rating levels, and the guidelines on preparing feedback on the assessment results.

***For All Those Who Are Studying PASS/PASSING In Order to Arrange for/Coordinate a PASS/PASSING Assessment or Workshop (WS), or in Order to Promote the Adoption of PASS/PASSING***

1. If you are reading this monograph in order to coordinate a PASS/PASSING assessment or WS, you must study the monograph as intensively as if you were preparing to participate in an assessment. This is because you will be responsible for preparing the service(s) to be assessed for the requirements of the assessment, as well as possibly preparing the evaluators in regard to their responsibilities. It is not possible to arrange for a reliable and valid PASS/PASSING assessment or WS if one is not familiar with what is required in order for an assessment to be, in fact, valid and reliable.

2. Skip those sections that have to do with the assessment instrument that is not being used to conduct the assessment(s), or that is not being taught at the WS.

3. People who are coordinating training WSs can skip those sections having to do with non-training assessments, and vice versa.

4. People who are coordinating *introductory* training WSs can also skip those sections having to do with *advanced* training contexts, and vice versa.

5. People who are trying to actively, rather than merely in a more general way, promote the adoption or implementation of PASS/PASSING (e.g., by a service-providing agency, by a service regulatory or funding body) should be thoroughly familiar with all aspects of the monograph, because you might be called upon to explain any number of aspects of PASS/PASSING usage.

***For All Those Readers Who Will be Participating in Any Type of Assessment, Regardless of Their Assessment Role***

1. It is not sufficient to simply read the relevant parts of the *Guidelines*. People participating on a PASS or PASSING assessment must intensively *study* at least the relevant sections, because they will be expected to adhere to these guidelines throughout the course of the assessment.

2. It is mandatory that the relevant sections of this book be studied intensively *before* participating in an assessment. Although for reference purposes you should take this book along on all assessments, it will be of little use if you only begin to study it during the assessment itself. In an assessment, there will simply not be enough time to study even only the most relevant parts of the book; and furthermore, it is too late during an assessment to study those parts that have to do with preparing for an assessment.

3. Familiarize yourself especially with the description of your own assessment team role in Part 1.

4. In every assessment, there are always team members (TMs) and a team leader (TL), and in most assessments, there is an external team consultant/floater (ETC/FL). All the other team roles are optional; where these other roles are not enacted, the TL usually carries out their responsibilities. Therefore, you should familiarize yourself thoroughly with the descriptions of the two essential team roles, but you can skip the descriptions of any team roles that you know will not be enacted during the assessment in which you will be participating.

5. Skip those sections of the *Guidelines* having to do with the assessment instrument that will not be used on the assessment. That is, people participating on a PASSING assessment can skip those sections that say "for PASS only," and vice versa.

6. However, if you are participating in an assessment in which PASS and PASSING are being used together, then you should study both the PASS-specific and PASSING-specific sections.

***For All Those Who Will be Participating as a Team Leader (TL) or External Team Consultant/Floater (ETC/FL) on an Assessment, Regardless of the Assessment Type or Context***

1. TLs and ETCs/FLs need to have an exhaustive understanding of the roles and responsibilities of all other assessment team members. Therefore, you must intensively study in Part I not only your own role descriptions and responsibilities, but also those of all other team members. TLs need to be especially familiar with the expectations and responsibilities of the ETC/FL, and if there will be a team tracker (TT) and/or a team reporter (TR) on the assessment, then also with these, because the TL works especially closely with all such persons. Similarly, the ETC/FL needs to be especially familiar with the expectations and responsibilities of TLs, since ETCs/FLs have such an intensive working relationship with TLs throughout an assessment. Furthermore, as explained later in these *Guidelines*, the ETC/FL may sometimes have to assume the TL role during an assessment, so the ETC/FL must know what to do if that should occur.

2. You should be especially familiar with Appendix A, which presents in outline form all the activities for which a TL is responsible before and throughout an assessment. TLs will usually have a copy of this checklist for each assessment they conduct; if not, the sample in Appendix A can be very useful in studying the book.

3. You should become especially familiar with those sections of the monograph which describe the meetings of the assessment/WS leadership personnel, both in preparation for and in follow-up to an assessment.

4. As mentioned elsewhere in this monograph, sometimes a team arrives at the service to be assessed, and finds that some aspect of the assessment has been poorly arranged and/or poorly understood, e.g., a team may discover that what it had thought was a single-component service actually is a multiple-component program. These kinds of circumstances usually require the TL and/or ETC/FL to make changes on-the-spot in the way they had planned to conduct the assessment. In order to be fully prepared for such eventualities, you should study Appendix C even where you are not anticipating an assessment of the type covered by that appendix, because you may be confronted with just such an assessment once you arrive at the service.

5. If you are participating as a TL in an *introductory* training WS, you can skip Appendices B, D, and E since the activities described in those appendices should never occur in introductory WSs.

6. If you are participating as a TL in an advanced training WS or in a non-training assessment, then you should also intensively study Appendices B, D, and E.

***For All Those Readers Who Will be Participating in Introductory Training Workshops (WSs), Regardless of Their Assessment Team Role***

1. Any sections within the main body of the book which apply only to non-training assessments (e.g., the "Specific Guidelines for Conciliation During Official Assessments Only" section) can be skipped.

2. Concentrate on the main body of the monograph, i.e., the parts prior to the appendices. Unless you will be functioning as a TL or ETC/FL you can skip all the appendices except for forms (Appendices F through P). TLs and ETCs/FLs need to study some of the other appendices, as explained earlier.

***For All Those Readers Who Will be Participating in Advanced Training Workshops (WSs), Regardless of Their Assessment Team Role***

1. Study all parts of the book, including all the appendices. Participants in advanced training events are assumed to have greater familiarity and experience with PASS or PASSING, to therefore be prepared to meet certain assessment challenges that would not occur during introductory WSs, and that may not even have been anticipated by the WS coordinator, and to be able to answer questions from others who have less or no familiarity with PASS or PASSING.

2. Especially, study Appendices B, C, D, and E because these outline procedures and activities with which you would not have been familiar from your previous introductory training, but which are apt to come up in advanced assessments.

3. As in preparing for introductory training events, you can skip those sections that deal only with non-training assessments.

***For All Those Readers Who Will be Participating in Non-Training/Official Assessments,  
Regardless of Their Assessment Team Role***

1. Sections having to do with the conduct of PASS and PASSING training events can be skipped.
2. Study Appendix B so that you will know what is expected in regard to individual or sub-team work.

3. You may need to study Appendices C, D, and/or E, because the assessment you will be conducting may be one of the types covered in these appendices. However, in contrast to participants in training events, you will be more knowledgeable prior to the assessment as to just what type of assessment will be conducted (e.g., a simple, single-component, or a complex, multi-component one), and if a multi-component one, then possibly even which of the two major methods for conducting such an assessment will be used. Therefore, the nature of your assessment mission will determine whether you need to study Appendices C, D, and/or E; and if Appendix C applies, whether it applies in whole or in part.

## ALPHABETIC GLOSSARY OF SPECIAL TERMS AND ABBREVIATIONS

A

This section provides a glossary for a number of terms which are used repeatedly throughout this monograph. The terms and their definitions are given in alphabetic order. In order for someone to accurately understand and use this monograph, it is imperative that s/he be very familiar with the specific meanings of these terms *as they are used herein*. Some terms are used so often throughout the monograph that it was decided to abbreviate them. Therefore, in many instances, an abbreviation for a term appears in parentheses between it, and its definition and explanation.

Part 1 of this monograph, entitled "Role Descriptions, Responsibilities, and Expectations for all Participants in PASS or PASSING Assessments," also contains descriptions and abbreviations of terms that will be encountered frequently throughout this book. The terms and abbreviations found in that section apply specifically to the various roles that members of an assessment team might fill.

Another substantially different glossary of terms needed to use PASSING specifically is found in the beginning of the *PASSING Normalization Criteria and Ratings Manual*.

***Assessment or workshop coordinator:*** *The person and/or organization that arranges all the details of a training workshop in PASS or PASSING, or an assessment using PASS or PASSING.* For instance, if a PASS or PASSING training workshop (WS) is sponsored by a particular organization, that organization will usually designate one person on its staff to coordinate all the details of the WS, such as locating a site in which to conduct the training, recruiting WS participants and leaders, arranging for sufficient practicum sites and conducting all negotiations with them in regard to scheduling, expectations of feedback, etc. This person is referred to as the workshop (WS) coordinator. If the assessment is not part of a training WS, such a person is referred to as an assessment coordinator.

However, sometimes the assessment coordinator is not affiliated with an agency or other organization. S/he may be an independent consultant who arranges for, and conducts, PASS/PASSING assessments independently. When that is the case, the assessment coordinator is almost always also the team leader (TL) or team tracker (TT). In any assessment or training context, the assessment/WS coordinator may fill some role on the assessment team.

An assessment team conducts all its negotiations, obtains all assessment-relevant information, learns of the assessment schedule, lodges complaints, etc., via the assessment coordinator, and not through direct contact with the agency/service to be assessed.

***Checklist:*** *This is a form which is used by participants on an assessment team to mark, for each rating, the levels of service quality assigned to the service being assessed by the individual evaluator, and by the entire team in conciliation.* The Checklist shows no weights or scores for the ratings, only the number of service quality levels for each rating. (See Appendices F and G for samples of PASS and PASSING Checklists.)

***Component:*** *Any constituent part of a service agency which can be identified as distinct from all other parts (and therefore other components) of the agency,* regardless of whether it is recognized and/or labeled as distinct by that agency. Whether a particular activity or function of an agency can actually be considered a separate program component will not always be unequivocally clear, but there are certain variables by which it is usually possible to tell if a part of an agency constitutes a separate program or component. These variables are as follows.

a. Its location/space. If parts of any agency are located in separate spaces or facilities, then they can be considered separate components, even if the people they serve are of the same age and "type" as those served elsewhere by the same agency. One reason for this is that programs in different locations are apt to differ from each other on the ratings which assess various aspects of the physical setting, even if other variables that suggest separate component status are not present. For example, an agency might run several group homes; two special segregated classrooms in an elementary school might be located in two separate wings of the building; etc.

b. The age and type or degree of condition of the people it serves. Part of an agency that serves people of one age might be considered a separate component from a part of the agency that serves people of another age. Similarly, a part that serves mildly retarded people might be considered a separate component from one that serves severely and multiply handicapped persons, even if both programs operate in the same facility.

c. Its service mission and/or anticipated service outcomes. For example, the service mission/anticipated outcome of a long-term sheltered employment project of a vocational agency is (or ought to be) almost certainly different from that of the agency's short-term work training/rehabilitation program in which it is anticipated that clients will be habilitated and provided with employable work skills in a relatively short period of time.

d. Its program activities and emphases. For instance, a vocational services agency might provide a "day activities" program and a "pre-vocational" program with dissimilar activities and emphases. The "day activities" program might focus more on recreation, while the "pre-vocational" program might emphasize work-related skills such as basic reading, math, adhering to an adult work-day schedule, etc. Thus, the two programs would be two different components of the agency even if the type of client served by both programs were the same, and even if the programs took place in the same facility or even space.

e. The type of personnel who directly render the service. For example, a part of an agency that is staffed by nurses and other medical personnel can be differentiated from another part staffed by mostly untrained people, rehabilitation counselors, social workers, etc. For instance, in a nursing home, there may be one wing which is staffed primarily by registered nurses, and other in which less highly-trained personnel — perhaps not even medically-trained personnel — tend to the clients. In this case, the two wings could be considered separate components, one a type of skilled nursing facility and the other more along the lines of a domiciliary service, especially if the people who live in the two wings differ significantly in the type and degree of their service needs, prognosis, etc. However, different worker identity alone is usually *not* sufficient to merit separate component status, but must usually be combined with differences in program mission, type of person served, etc.

f. Its budgeting and budget documentation. For example, one program of an agency might have a source of funding separate from the agency's other programs, such as perhaps a special grant, in which case that specially funded program might be considered a separate component. Similarly, if an agency prepares separate budgets for any of its programs, then those programs so budgeted may be considered separate components, especially if funding-related imagery differentially affects the rating(s) concerned with this issue. The above applies especially to PASS because it has ratings concerned with budgets and cost, but both PASS and PASSING additionally have ratings concerned with images derived from funding sources.

Typically, a component of an agency is defined by differences in more than one of the above six dimensions. For instance, a component may have its own space and a different type of clientele from other programs, may be staffed by a different "type" of worker, and may have a mission different from that of any other components of the agency. However, a program function can often be considered a separate component even if it differs from other service functions of the agency only in one of the above dimensions. Especially, programs must really be considered separate components if they have distinctly separate physical sites or spaces, because the characteristics of each physical space can differ greatly, and many ratings (of both PASS or PASSING) assess these features.

A The administrative functions of an agency are *never* to be considered a separate component, even though many agencies conduct other central functions out of their administrative offices, such as assessment and referral, and these other functions may be considered separate components. Instead, the influence of any central administrative features (building appearance, public relations, fund-raising, etc.) would be assessed as they either "systemically" affect all components equally (see Appendix C), or as they affect different components differentially. Of course, the rating of a program component that is co-located with the administrative headquarters of a dispersed multi-component agency will be influenced by the building and what goes on in it (see Appendix C).

On PASSING specifically, the central administrative characteristics of an agency are most likely to affect either (a) client image, and/or (b) whether a rating deserves a Level 4 or Level 5 due to leadership consciousness of, and commitment to, an issue.

As explained in Appendix C, even though different elements of a service may be distinct components, they may occasionally be assessed as if they were not, i.e., as if they were a single component.

**Conciliation:** *The stage in an assessment in which all team members (TMs), under the guidance of their team leader (TL), meet as a group to determine what level the service merits on each of the separate ratings in the instrument.* Conciliation takes place after TMs have conducted their field visit(s) to the service being assessed, collected all their evidence on the service, and completed their separate individual assignment of a level to each rating. With a skilled team, conciliation usually takes between about 8 to 12 hours, and consists of a review of the evidence the team has collected on the service, a discussion of the service quality implications of that

evidence, a comparison of the service's performance with the specified service quality criterion(ia) of each rating, and a decision as to which level a service deserves on each rating. Conciliation is directed by the TL who, in training assessments, may assume a teaching role, and who may act more as a facilitator in non-training assessments, depending on the degree of training and experience that TMs possess.

**External Team Consultant (Abbreviation: ETC):** See "Part 1: Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments."

**Floater (Abbreviation: FL):** See "Part 1: Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments."

**Host(s):** *The person(s) at a service being assessed with whom the assessment team makes contact and perhaps conducts its inquiries, and who arrange(s) certain of the assessment team's activities while on site.* However, sometimes the term "host" may be used to refer inclusively in the abstract to the agency/service being assessed and all those who work in it, rather than just to one or a few specific individuals.

The host negotiates all details of the assessment with the assessment/WS coordinator (see earlier), including arranging dates and times for the assessment and its various events, drawing up the assessment schedule, informing other bodies and individuals who might be contacted by the assessment team of the upcoming evaluation and of what will be expected of them, and making any other arrangements for team activities at the assessment site. Thus, the host and the assessment/WS coordinator are usually in close contact for a month or more prior to the assessment. Once the assessment begins, the assessment team is in direct contact with the host(s), although as mentioned earlier, the assessment coordinator may also be a member of the team (usually its TL), and may therefore continue to act as a liaison between the team and the agency host(s).

**Practicum:** *An existing service, or a proposal for a future service, which has agreed to be practice-assessed by a team of participants of a PASS or PASSING training event, and on which a training team conducts an assessment primarily in order to gain experience with the assessment tool.* Practica are usually arranged well in advance of a training workshop (WS) or similar event by the WS coordinator, who prepares the practicum hosts for the fact that the assessment that will be conducted by the training team is not as valid or reliable as would be one that was conducted by a team comprised of people fully qualified in PASS or PASSING, and under official evaluation rather than training conditions. The assessment of a practicum by a training team is conducted much the same way as a non-training assessment. One of the differences is that during a training event, the assessment is almost always carried out in less time than it would be otherwise, and than is optimal.

During some training WSs, each team assesses two practica; in others, each team assesses only one. As mentioned elsewhere, the author strongly recommends that, if at all possible, participants in introductory training WSs assess *two separate practica*, neither of which is a proposal. The amount of competency in PASS/PASSING that trainees can gain via the assessment of two practica during a single WS more than doubles that which they can achieve by participation in one practicum assessment, even if that one practicum assessment is also accompanied by any number of exercises (with slides, videotape, etc.) that simulate the assessment of various ratings. Although at the time of publication of this monograph, WSs in which participants assess only one practicum have become increasingly common (at least in PASS training), it cannot be strongly enough stressed how inferior such training formats are to two-practica WSs.

**Program Analysis of Service Systems (Abbreviation: PASS):** *An instrument for quantitatively and objectively measuring the quality of a human service.* The third (1975) edition of PASS consists of 50 ratings, each of which measures a distinct service feature which affects service quality. Of the ratings in PASS, 73% are based on the principle of normalization, and measure the degree of normalization quality of a service. The remaining 27% are based on other adaptive ideologies, and/or assess non-ideological administrative effectiveness issues.

**Program Analysis of Service Systems' Implementation of Normalization Goals (Abbreviation: PASSING):** *An instrument for quantitatively and objectively measuring the normalization adherence of a human service.* PASSING is based on and derived from PASS, and therefore has many features in common with PASS. However, PASSING assesses only normalization-related aspects of a service, updates the normalization principle, breaks it down more finely into its components, and simplifies its measurement. All of these features, plus several format improvements, should make it easier to learn and use than PASS.

**Proposal:** *A plan for a service program that does not currently exist, but that is planned to be implemented sometime in the future.* In connection with PASS and PASSING, proposals for projected services may sometimes be assessed prior to implementation. Usually, such assessments are conducted either as practica for advanced training WSs, or they are invited by the proposed project's potential funder, in order to determine the merit of the proposed project before funding decisions are made in regard to it. However, assessments of project proposals have been much less frequent than assessments of existing services.

Because the assessment of a proposal differs in certain major respects from the assessment of existing services, Appendix D entitled "Guidelines for the Assessment of Project Proposals" can be found at the end of this monograph.

**Rater:** *A person, who through sufficient PASS/PASSING training and experience, is qualified as a competent evaluator, and could serve as a member of an official PASS/PASSING assessment team.* However, readers should note that in both the PASS and PASSING Manuals, and to a lesser degree in these Guidelines, the term "rater" is often used to refer inclusively to all evaluators on an assessment team, including trainees and relatively inexperienced and as yet unqualified evaluators.

**Ratings:** *The separate statements of service quality criteria that make up the evaluation instrument, and against which a service's performance is measured.* In other evaluation instruments, ratings may be called items. In PASS and PASSING, ratings are designated by the letter "R" followed by a different number for each rating, and then followed by the rating name, e.g., R131 Culture-Appropriate Separation of Program Functions (a rating in PASSING). PASS has 50 ratings, PASSING has 42. Each rating (a) assesses a particular service feature or practice that bears on service quality; and (b) has several "levels" of performance, ranging from very poor to near-ideal, one of which will be assigned to the service by the evaluation team for each rating. The particular level that is assigned to a service depends on how well the service meets the criteria that have been spelled out for that rating. Thus, a service may receive a high level on some ratings, and a low level on others.

**Scoresheet:** *The form which lists the score weights that can be attained at each level of each rating, and which are summated to constitute the subscores and global scores that an assessed service receives.* At the end of the team conciliation session of an assessment, each team member completes a Scoresheet which s/he keeps as a record of the assessment. A copy of the Scoresheet is also provided to the assessed service, along with whatever assessment report it receives. The name of the PASSING Scoresheet is actually Scoresheet/Overall Service Performance form. (See Appendices H and J for samples of PASS and PASSING Scoresheets.)

**"Soft" services:** *In contrast to hard services, those types of services which do one or several of the following: (a) provide an indirect or secondary service, rather than a primary or direct one, (b) involve primarily "talking" and/or paperwork, (c) would be extremely limited in their impact unless there were hard services available.* Examples of soft services might be guidance and counseling programs, case management services, transportation services, referral agencies, and some types of advocacy programs.

The assessment of a soft service involves certain variations in standard assessment procedures and guidelines. These are outlined in Appendix E.

**Team Leader (Abbreviation: TL):** See "Part 1: Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments."

**Team Member (Abbreviation: TM):** See "Part 1: Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments."

**Team Recorder (Abbreviation: TR):** See "Part 1: Role Descriptions, Responsibilities, and Expectations for All Participants in PASS or PASSING Assessments."

**Training Institute for Human Service Planning, Leadership and Change Agency (Abbreviation: TI):** An institute of Syracuse University which has provided training and consultation on human service values, adaptive service ideologies and strategies, planning of services with a positive ideological base, and assessment of service quality. The TI is directed by Wolf Wolfensberger, PhD, author of this monograph, and senior co-author of both PASS and PASSING. The TI is part of Syracuse University's School of Education, Division of Special Education and Rehabilitation, where Dr. Wolfensberger has been a professor since 1973.

The full address at the time of publication of this volume is Training Institute for Human Service Planning, Leadership and Change Agency, Syracuse University, Division of Special Education and Rehabilitation, 805 South Crouse Avenue, Syracuse, New York 13210, USA; telephone 315/423-4264.

**Verbal Feedback Session, often also referred to as the "verbal assessment summary" or VAS (Abbreviations: VFS):** A session at the end of some assessments in which the evaluation team or its representative presents to representatives of the service that was assessed a brief verbal summary of the team's findings and the assessment results. The VFS is usually the last event at the assessment site, and takes about one to two hours. It is intended to provide the assessed service with some immediate but brief feedback on the assessment, and is *not* intended to replace the lengthy, more detailed written assessment report which should be prepared and sent to the service sometime after the evaluation. In this series of volumes related to PASS and PASSING, it is planned to have a separate monograph devoted to the topic of preparing and presenting verbal feedback to an assessed service on the results of its evaluation, and further details on the VFS will be found therein.

As explained both later in this monograph, and in the separate monograph on the topic of the VFS, this author does not endorse the rather common current practice of conducting VFSs at the end of assessments in introductory training workshops (WSs). The reasons are as follows.

1. At least some TLs in introductory WSs may not have sufficient competency and experience to be able to conduct a VFS. TLs may underestimate the diplomacy and delicacy required to present a VFS, especially of an assessment with a novice trainee team; a TL may not be able to differentiate between major and minor issues and between those that should be addressed in a VFS and those that should be addressed (in greater detail) in the written report, and so may misrepresent these to the agency; etc.

2. Even when the TL is very competent, conducting a VFS at the end of an introductory training assessment may give team members the erroneous impression that such a practice is desirable, and even that written feedback is not necessary, compounding the difficulties that already exist in getting evaluators to write assessment reports. In fact, it often happens that after a VFS, a TL does *not* prepare a written report, and thus many TMs have gone through sometimes several PASS/PASSING training experiences without ever having seen a written assessment report, let alone written one themselves.

3. The logistics of an introductory WS in its already lengthy 6-day, 2-part format (see definition of workshop below) make it very difficult to additionally schedule a VFS for each assessed service.

**Workshop (Abbreviation: WS):** A training session, usually lasting six (less preferably but more commonly, five) days, in which participants are taught how to use PASS or PASSING. During the WS, participants attend presentations on the principle of normalization (which is the ideological foundation for PASS or PASSING), on some specific rating issues in either PASS or PASSING, and perhaps on other relevant topics (such as guidelines for assessment conduct). Then participants are divided up into teams, usually of between five and 12 people. Each team conducts one or two assessments of actual existing services, called "practicum sites," under the direction of a TL who is much more skilled and experienced in the rating instrument. At the end of the WS, the teams reconvene into a plenary group to hear brief verbal reports of the assessment experiences and benefit from the findings of the other teams in the WS.

There are both introductory WSs and advanced WSs. Attendance at advanced PASS or PASSING training WSs is by special selection of qualified applicants, who must all have attended at least an introductory WS. During these events, participants learn about some more advanced and complicated issues of PASS/PASSING application, and assess much more difficult and complex services.

The introductory training WS format that the TI finds virtually indispensable for conferring understanding of, and competency in, PASS/PASSING involves two parts: (a) a systematic introduction to the principle of normalization, presented in lecture format over the course of two full days; followed by (b) instruction in and practice with the assessment instrument, given in part in lectures and in part through actual application of the instrument to practicum sites. Combined with the practice that the TI strongly urges (as mentioned previously) of having each team assess two practica during an introductory WS, it is thus impossible to conduct the second part of such a WS in less than three-and-a-half or four days. Nor does the TI feel that the first two days of training in normalization can or should be reduced. Thus, we believe that a 6-day format for introductory WSs is essential.



## **PART 1: ROLE DESCRIPTIONS, RESPONSIBILITIES, AND EXPECTATIONS FOR ALL PARTICIPANTS IN PASS OR PASSING ASSESSMENTS**

This section describes the different team roles that may be assigned to participants on an assessment, and the responsibilities, expectations, and commitments that are required of individuals in these roles. All persons participating in an assessment should be sure to read *all* the role descriptions, especially those of team member and team leader, though a person should of course pay particular attention to the description of his/her own team role. In this way, all participants will know not only what is expected of themselves, but also what is expected of other participants on a team.

### **TEAM MEMBER**

A team member (TM) is any person who is a participant on an assessment team. Thus, TM will be used throughout this monograph to refer generically to people who may also have additional team roles and responsibilities, as described below. However, the majority of TMs on any assessment will not have any assessment role other than TM.

A As elaborated below, all TMs are expected to demonstrate the following: commitment to the process and goals of an assessment; preparedness to overcome any difficulties they have in applying the assessment instrument; thorough preparation for an assessment; accountability; maintenance of confidentiality about all aspects of an assessment; presentation of a positive and courteous image throughout the assessment; support of the entire team, and adherence to one's own team role; and task orientation. Each of these general disciplines will be discussed below.

#### **Commitment to the Process and Goals of an Assessment**

A PASS or PASSING assessments involve: (a) touring and inspecting the assessed service site, its neighborhood, and the service itself so as to observe many phenomena in the service's operation, including its programs and activities, its interpretations of clients, the quality of interpersonal interactions, etc.; (b) very thorough inquiries and interviews with assessment site hosts, service workers, clients, and sometimes other relevant individuals; (c) extensive analysis and judgment by the assessment team of the data which are obtained; (d) much footwork, very long hours, and little sleep. In order to adequately manage these strenuous requirements, TMs should be highly motivated to participate in an assessment, and must be prepared to support the efforts of other TMs in the assessment team by practicing the disciplines outlined in this section. It is important that each TM have or develop: (a) strong observational and perceptual skills; (b) the ability to obtain vital information from people in the quickest but most cordial and diplomatic way, and without making them defensive; (c) the ability to speak to others in a concise, firm and matter-of-fact manner; and (d) the ability to accurately listen to others, and to be sensitive to hosts, clients, service workers, and other informants, as well as other TMs. Anything less than a fully committed effort by a TM will result not only in stress, more work, and greater demands upon other TMs (especially the team leader), but also in poorer assessment credibility, quality, and impact. Prospective TMs should enter into assessments only when they know fully and deeply that they (a) *intend* to carry out the responsibilities, procedures and guidelines detailed herein, and that they (b) *will be able* (before, during and where required, after an assessment) to carry out these responsibilities. Each TM is also expected to challenge all other TMs, where appropriate, to adhere to these expectations, and to conduct a high-quality assessment.

A TMs should also be familiar with, and should adhere to, the guidelines for actually rating a service, i.e., for judging the service's performance on each of the ratings in the assessment instrument. These guidelines are spelled out in Part 3 of this monograph.

#### **Preparedness to Overcome Personal Difficulties in Applying the Assessment Tool**

Of all the possible difficulties that TMs may have in assessing a service, probably the two most common areas of difficulty are the following:

1. *Distinguishing among ratings and rating issues.* Many TMs seem to have recurring trouble distinguishing ratings from each other. There seem to be four common reasons for this difficulty: (a) insufficient study of the narratives that explain the ratings; (b) insufficient training; (c) intellectual limitations; (d) lack of experience with

the instrument. Given sufficient intellectual skill and personal discipline, a person will be able to learn to differentiate among ratings and rating issues if s/he is motivated and willing to study (by reading), and by subsequent experience with it.

2. *Maintaining one's objectivity.* Many TMs find it very hard to be objective when they are assessing a program. There seem to be three common reasons for this difficulty.

a. Some TMs cannot separate themselves sufficiently from their own service experiences and loyalties. Thus, if they are assessing a program that is similar to one in which they work or worked, is staffed by people who are trained in their own professional service discipline, serves people with the same type of condition as their own clients, etc., then they may identify so strongly with the service that they cannot objectively evaluate its quality.

b. A barrier to objectivity for many TMs is their inability to look at what exists in a service, without regard for the causes of, or reasons for, any service shortcomings. For example, if a particular service practice that is detrimental to clients' welfare has been mandated by the program's funder, some TMs cannot bring themselves to give the program a low rating level reflective of the prevailing lack of quality. However, as repeatedly mentioned elsewhere, PASS and PASSING measure service quality *as it exists*, regardless of the multitude of reasons why it exists and why it may be suboptimal. The failure, or indeed the inability, to recognize service realities without consideration for their reasons only impairs one's ability to see the truth, and contributes to the vast amount of detrimental unconsciousness that prevails in human services.

c. Many TMs fail to stringently apply the criteria of each rating and each rating level. Instead, TMs may give a service high ratings because they feel good in the setting, the staff are nice, the clients seem happy, etc. Or conversely, they may give a service low ratings not because the service merits them, but because the TM did not like the people who work there, knew someone who had been poorly served in that type of program once, etc. This tendency, called "haloing," is discussed elsewhere, and reflects poor personal discipline in one's intellectual and/or emotional life. Even if TMs do not halo, they may still not apply the prescribed rating criteria because they do not agree with the criteria, think the criteria are too harsh or too easy, do not believe that the rating issue is an important or relevant consideration, dislike the role of being an outside evaluator, etc.

Unfortunately, mere practice with the assessment instrument can rarely resolve problems of objectivity. If TMs find it difficult to be objective, they will have to engage in a number of strategies, only some of which will be relatively easy. They should: (a) commit themselves to a struggle for consciousness and seeking of the truth, no matter how painful it may be; (b) rigorously examine their own values, especially in regard to normalization; (c) participate in assessments with other TMs (and especially team leaders) who are known to be very disciplined in their application of the rating criteria, good teachers of rating differentiations, etc.; and (d) avoid participating in assessments of services that are similar to ones with which they identify, at least until they have become able to be more objective. Of course, the first two points have implications far beyond one's ability to be an objective TM during a PASS or PASSING assessment.

The validity of the entire assessment depends upon TMs' ability and willingness to be objective. Thus, TMs should be sure to disqualify themselves from any assessment about which they may have significant conflicts of interest, e.g., if a TM was fired by the agency being assessed, knows many of the clients on a personal basis, or is married to the director of the program. Also, as elaborated elsewhere, every TM must objectively apply the criteria of the ratings, even if s/he disagrees with them: the instrument will become useless if every TM administers his/her own preferred version of it. Instead, TMs should note their disagreements, and send their suggestions for improvements to the authors of the tool for possible use in future revisions.

### **Thorough Preparation Prior to an Assessment**

All TMs must be thoroughly prepared before an assessment (see "Part 2: Pre-Assessment Preparation Guidelines" for more specific instructions). In general, this means (a) reviewing the necessary readings, (b) obtaining the necessary equipment and "tools," and (c) organizing one's readings, materials, and data-gathering devices for easy access and use during the assessment.

### **Exercise of Accountability**

PASS and PASSING assessments are conducted in the hope that they will bring about major improvements in service quality and delivery, not only within the assessed service itself, but also in related services. Thus, TMs

- A are expected to fulfill their duties promptly, thoroughly, and responsibly. Specifically, each TM should consider him/herself directly accountable to other TMs, the team leader, the assessment/WS coordinator, and/or the body that is sponsoring the assessment, as well as indirectly to each assessed program and the people it serves.

### **Maintenance of Confidentiality**

- A The strictest confidentiality needs to be maintained by all TMs in order to safeguard the integrity of PASS, PASSING, service evaluation generally, the personal credibility of each TM, as well as the reputation of the service being assessed and the individuals being served. Confidentiality about certain things may be contingent upon, or in effect only until, the official release (if any) of the written assessment findings. If the report of the assessment findings is formally released by the service for broad distribution, then whatever is written in the released report will be open to public scrutiny and no longer confidential. However, even if the assessment report is released, TMs should still keep confidential all matters that were not specifically included in the report, as well as any personal (as opposed to team) negative judgments and feelings about the assessed program. TMs will usually be asked to sign confidentiality pledges to this effect before the actual assessment (see Appendix M for a sample of such a pledge).
- D
- A
- C/D

### **Presentation of a Positive and Courteous Image**

- C The image which TMs project will influence that of PASS, PASSING, service evaluation, and ultimately of human services and their consumers. (Certainly, after reading PASS or PASSING, TMs should be sensitized to the importance and power of imagery!) TMs' image will also influence the overall impression that a team makes on individuals within the service being assessed, and whether service personnel (or anyone else) would disavow or discredit any TM, team, or its report because of this issue. Therefore, TMs should dress in a normative manner, hopefully even leaning toward the valued end of the continuum, and should set a positive example in their language, behavior, and interactions. TMs are expected to display culturally valued standards of courtesy, politeness, and professionalism (in the positive sense), and should model normalizing values, attitudes, and behaviors at all times while on site. TMs should therefore avoid becoming involved in interactions or circumstances which may detract from their ability to do so. (Additional guidelines on this issue are given in Part 2 below). TMs are expected to respect the rights of all individuals (both clients and workers) in the program being assessed, especially in regard to the more private aspects of the environment, such as a person's room and possessions. For example, the inspection of clients' closets or bureau drawers by TMs is a delicate matter. While some such inspection may contribute important information to the assessment, whenever possible, TMs should ask the owners if they would mind showing the team the contents of their drawers or of a closet, rather than the TM him/herself opening someone else's property. Rarely will a polite request by a TM be refused.
- A
- C Courtesy would also dictate that TMs try not to interrupt programs or activities in progress. Relatedly, TMs should remember that their purpose is to observe the program, not participate in it, or express opinions about it one way or the other to agency members or clients while the evaluation is in progress.
- A
- A However, TMs should not feel that politeness requires them to use the same concepts and language as agency personnel. Sometimes, TMs get entrapped into an agency's language and thought structure, thereby both endangering their own objectivity, and needlessly reinforcing the agency's language or ideology. Also, despite the need for courtesy during an assessment, the TL may at times have to ask some very direct and difficult questions, which will require special judgment, sensitivity, and yet firmness to probe for the necessary information, e.g., concerning staff attitudes and possible staff deviancy. As long as the search for information is done consistently and in sincerity, it will probably be accepted.
- C TMs should end all inquiry sessions with clients, service workers, and others in a courteous, thankful manner. Also, TMs should keep in mind that the assessed agency is usually asked after the assessment to evaluate the team on its conduct and courtesy.

### **Support of the Team Process in its Entirety, and Maintenance of Team Role Identity**

Assessment teams are typically composed of people from different geographic areas, professional backgrounds and expertise, work experiences, nationalities, religions, and previous PASS or PASSING assessment experiences. Assessments include group interactions that involve cooperation, sharing, discussion,

A debate, and nearly uninterrupted closeness for a two- to six-day (and perhaps even night) period. Such intensity of interactions with such diverse personalities requires that each TM be able to work constructively and supportively rather than competitively with other TMs, accept and follow direct supervision and assignments from the team leader in a positive spirit, and otherwise cooperate with the team leader's management of the team.

As much as possible during an assessment, all TMs should sleep under the same roof (e.g., in the same hotel/motel), and eat and travel together as a group. This saves time and energy, facilitates coping with any unforeseen obstacles that may arise, minimizes otherwise unmanageable logistics problems, and maintains team cohesion.

Obviously, TMs are not expected to relinquish their individuality during an assessment. For example, in official assessments, TMs do need to be able to function relatively independently of the team during certain phases of an assessment, especially when collecting on-site observational data, carrying out any specific assignments, and making their individual rating level assignments. (During introductory training assessments, team stay together for all of the above.) However, TMs should be keenly aware of the need to integrate themselves into the necessary team effort in order to insure the highest possible standards of assessment team functioning. This is not to imply that a TM should surrender his/her individual judgment merely to avoid intra-team disputation; sometimes, a TM must stand firm on his/her evidence if s/he believes it to be valid, such as during conciliation. But the importance of working as a team is emphasized because PASS and PASSING assessments require participation, determinations, and judgments of the group as a whole. Overly-individualistic or even antagonistic efforts during the assessment process will probably be non-productive, disruptive, and may even nullify the assessment, in which case they cannot be tolerated by the team leader.

The extent of individual initiative that TMs will be expected, and even permitted, to exercise will differ, depending upon whether the assessment is a training or non-training/official one.

A During introductory *training* assessments, TMs should not act unilaterally in any way with respect to assessment-related events. Rather, *all* TMs should in *all* instances check with their team leader before engaging in any assessment-related activity for which they have not been specifically assigned and instructed. This means that TMs should never simply by their own decision contact neighbors, question people in the street, enter into casual conversations with service-related personnel or others, make phone calls to people such as the clients' families, nor separately investigate parts of the site. TMs are expected to share all experiences as a group (with very few exceptions), to do precisely what they are instructed to do by their team leader, and to do nothing in which they have not been specifically instructed.

A In official and other *non-training* assessments, or in certain advanced training assessments, TMs will be expected to exercise more independent responsibility, and will often be given individual or sub-team assignments by the team leader. In order to fulfill these tasks, TMs will obviously have to initiate contacts, make phone calls, and be able to tell whether an unexpected lead that may be discovered while on an individual assignment should be pursued. However, even during such parts of an official assessment, TMs should still not pursue their own personal non-assessment-related interests, and they should remember at all times the importance of acting in a way that reflects most positively on the tool, the assessment, and the assessment team as a whole. The team leader is expected to make very clear to TMs the guidelines for the conduct of individual or sub-team assignments when the team leader makes such assignments to the team.

C Obviously, in all assessments, TMs should avoid loud and unnecessary or injudicious public talk related to the assessment, because it is apt to violate confidentiality. TMs should also be aware that casual private conversations with agency-related personnel may lead to problems. TMs may often engage in such conversations from their desire to relieve the assessment's atmosphere of stress and formality, to present an image of personal courteousness, to project their own individuality, etc. TMs are cautioned to show great restraint and presence of mind in all of their conversational exchanges while on site, and especially to avoid being drawn into certain types of private, informal or casual conversations with anyone associated with the service being assessed, e.g., staff, board members. There have been times when TMs have fallen into the error of revealing or volunteering highly sensitive or problematic information in even very brief, passing remarks to a staff person, especially if the person was friendly. In fact, team leaders have sometimes had to intervene when naive TMs were being "milked" of information which should not have been divulged.

A It is also important to avoid even giving the impression of talking negatively about the assesseees. There have been some awkward instances where one TM told another a joke that was unrelated to the assessment, there was laughter, and the hosts off at a distance thought they were being laughed at. Similarly, TMs should not obviously look at something a bit sharply, then whisper, perhaps point, and laugh. This can be absolutely devastating, and unbelievable as it may seem, it has happened during training assessments. Most of these incidents will not occur as long as TMs try to put themselves in the place of the assesseees who are highly likely to be nervous, defensive, and sometimes even hostile, and thus extremely sensitive.

C At the same time, TMs need to accept the fact that it is not essential, nor even very desirable, to relieve the stresses experienced by people within the service being assessed, or by the TMs themselves during an evaluation. The presence of such stresses must not be automatically assumed to reduce the quality of an assessment, nor must the absence of stresses be assumed to contribute to a better assessment.

A No matter how offended or pleased a TM may be by a particular program feature or staff member, and no matter how difficult it may be to control one's feelings or personal inclinations, one's head-nodding, etc., it is *absolutely essential* for the conduct of the assessment that TMs maintain a calm, bland/neutral, but courteous demeanor vis-a-vis all agency-related personnel during an assessment. The possible traps and dangers of stepping out of the role of objective external evaluator cannot be over-emphasized. (a) A non-neutral response may influence other TMs. (b) Feedback from the team should be pooled, validated, and conciliated in the context of the totality of the assessment, rather than provided in a fragmentary way. (c) The times and responsibilities for exchanging information, and for providing evaluative findings, impressions, or concerns to agency-related personnel, are clearly defined and specified prior to an assessment. (d) Even casual exchanges can be misinterpreted or blown out of proportion, especially during such an anxiety-producing situation as an assessment. (e) TMs themselves may not always fully appreciate the sensitive nature or relevance of certain information. (f) TMs will be perceived as speaking and acting on behalf of the whole team, whether they have been delegated to do so or not. (g) Judgments, observations, analyses, evaluations, or comments which occur as part of the assessment process are expected to be treated as privileged intra-team communications, both during and after the assessment.

A Certain critical time hinges during the assessment seem to call for extra wariness by TMs in regard to maintaining their assessment team role identity. These include beginning times (e.g., arrival at the service site), during the carrying out of any individual assignments, and especially right after certain events have been concluded, e.g., after an inquiry, or at the end of the verbal feedback session. To help cope with these critical time hinges constructively, TMs should proceed very purposefully, directly, and quickly to the task at hand, or to the next one on the team's agenda. For instance, at the end of the inquiry, TMs should clean up, assemble their belongings, bid a brief and cordial goodbye to the hosts, and proceed with alacrity to the team's next event, which may be a tour of the program, a visit to a related site, a private team conference, or whatever.

C TMs should also be prepared to assist other TMs in maintaining their team role identity, where appropriate. The single most important point here is for TMs to support and facilitate the team leader. Particularly objectionable are overt or covert attempts by a TM to usurp the team leader's role.

Because of the importance of the issue, the following point on interactions among TMs, team leaders (TLs), and external team consultants/floateres (ETCs/FLs) is being inserted in all three sections where the roles and responsibilities of TMs, TLs, and ETCs/FLs are defined.

A TMs, TLs, and ETCs/FLs all need to function on the assumption that if the ETC/FL feels strongly that team structure, process, or content should take a different turn or emphasis, then the TMs should accommodate themselves to the ETC/FL's direction. In turn, an ETC/FL who sees a team take a seriously wrong tack either in process or content is delinquent in his/her role if s/he fails to act appropriately on such a conviction.

### Task Orientation

It should be abundantly clear by now that PASS or PASSING assessments are to be very task-oriented. A PASS or PASSING assessment often makes demands such as many TMs may never have previously experienced, and many TMs will inevitably desire more time during an assessment to engage in personal,

A interpersonal, tension-reducing, and/or other pursuits. However, it is absolutely essential to use the time during an assessment directly for the task at hand, and not for activities or pursuits which could be easily or even better accomplished within other contexts and/or by other means. The highest priority must be given to those processes and activities which are essential to the conduct of a valid, high quality assessment. This usually means that TMs will be expected to work rapidly, relentlessly, and intensively from the beginning of the assessment to its conclusion.

A An assessment has some (usually not much) time built into it for such things as personal reflection, increased familiarization and socialization with other TMs, etc., but the amount of time for such activities may not be considered sufficient by some TMs, especially where extra time to allow for more socialization has consciously been sacrificed in favor of (hopefully) greater efficiency. Relatedly, a PASS or PASSING assessment is not a time for TMs to transact any non-assessment-related involvements. All such involvements should be taken care of either before or after the assessment, perhaps by arriving early or by staying on beyond the assessment's conclusion.

In order to be as clear as possible about this point, and to avoid any misunderstandings during an assessment, let it be emphasized that an assessment is hardly the occasion for having drunken parties or orgies, practicing psychotherapy on someone, or solving the problems of the larger world — especially not during an official assessment.

### TEAM LEADER

A The team leader (TL) is a person with previous normalization and PASS or PASSING training and experience who has been deemed qualified to assume the role and responsibilities of managing an assessment team. A TL is in charge of the team's management from the beginning to the end of the assessment(s), and is also responsible for making any intra-team arrangements or assignments during the assessment(s) that have not previously been made by the assessment/WS coordinator.

In order to make the TL's many tasks somewhat easier, a "Checklist of Essential Activities for a Team Leader During a PASS, PASSING, or Similar Assessment" has been developed for TLs to use to insure that all the essential activities of an assessment are completed. It can be purchased from the publisher. A sample copy is attached at the end of this monograph as Appendix A.

A 1. The TL must adhere to all assessment procedures and guidelines spelled out herein, including those in any appendices, and see to it that other TMs do likewise.

A 2. The TL leads all of the team meetings that take place throughout the assessment. During these meetings, the TL reviews (as needed) the responsibilities of all TMs and of specific team roles, makes assignments, instructs the team about upcoming events during the assessment, and assists TMs with assessment-related problems and group cohesion within the team.

A 3. TLs are expected to cooperate constructively in every way with their external team consultant (ETC), sometimes also known as a floater (FL) (see role description of ETC/FL below). Because of the importance of the issue, the following paragraph on interactions among TMs, TLs, and ETCs/FLs is being inserted in all three sections where the roles and responsibilities of TMs, TLs, and ETCs/FLs are defined.

A TMs, TLs, and ETCs/FLs all need to function on the assumption that the ETC/FL is more experienced than the TL. Therefore, if the ETC/FL feels strongly that team structure, process, or content should take a different turn or emphasis, then the TL and/or TMs should accommodate themselves to the ETC/FL's direction. In turn, an ETC/FL who sees a team take a seriously wrong tack either in process or content is delinquent in his/her role if s/he fails to act appropriately on such a conviction.

A 4. The TL ascertains that relevant personnel at the assessment site understand the role of the ETC/FL, so that if an ETC/FL suddenly pops in, people at the agency are not totally taken aback, especially as the ETC/FL may not necessarily join the rest of the team, but may find it desirable to take a separate mini-tour of the service (See "Part 3: Guidelines During the Conduct of the Assessment").

5. The TL must also tell his/her team what to expect of the ETC/FL beforehand.

A 6. The TL meets with his/her ETC/FL periodically, before and during the assessment, to resolve assessment- and team-related problems, clarify and conceptualize especially difficult rating issues, etc. Especially, sometime before conciliation begins (e.g., while other TMs are still completing their individual ratings), the TL meets with the ETC/FL to discuss and clarify the TL's understanding of the service and its major issues. A half-hour or so meeting has proven to be especially useful in the assessment of services where the TL does not feel fully confident, and also in reducing the likelihood that the ETC/FL will feel impelled to "take over" the TL's role during conciliation.

C/D 7. The TL arranges and/or confirms with the responsible agency contact person the arrangements for the schedule of the assessment events (inquiries, program visits, other contacts, verbal feedback session (if any), etc.)

A 8. In training assessments (whether conducted within a WS or not), the TL is responsible — i.e., has the final say and bears whatever consequences may accrue — for all aspects of the conduct of the assessment, including the assessment findings. In non-training assessments, the TL has major responsibility for most aspects of the assessment, but because TMs are presumed to be competent with the instrument and to have had substantial experience with it, these responsibilities are shared to at least some degree by all TMs.

A 9. In training assessments, the TL should *never* delegate the leading of the conciliation session to any other TM. The only person other than a TL who may lead a team's conciliation during a training assessment is the ETC/FL, who will usually do so only when the TL has difficulty doing so.

10. Certain assessment responsibilities which are usually the TL's may on occasion be dispersed to various TMs, on the conditions listed below.

C a. During *non-official assessments*: the TL may assign certain assessment-related activities (e.g., contacting certain individuals, devoting special effort to collecting evidence and making recommendations on certain ratings), as explained in more detail in Appendix B. The TL may also delegate *some* inquiry responsibility to other TMs, but should *only* do so: (a) if the delegation of inquiry responsibility has been discussed with and agreed to by the ETC/FL, the assessment coordinator (if applicable), and the TM(s) at issue; and (b) if the TM(s) to whom inquiry responsibility is given are being prepared for team leadership, or have had previous experience conducting inquiries as a TL.

C b. During *official assessments*: the TL may make specific assignments to TMs and sub-teams, as above, and as outlined in Appendix B. Also, the TL *may* assign *some* responsibility to TMs, but *only*: (a) if the delegation of inquiry responsibility has been discussed with and agreed to by the ETC/FL, the assessment coordinator (if applicable), and the TM(s) at issue; and (b) if the TM(s) to whom inquiry responsibility is given have had previous experience conducting inquiries as TMs.

C c. During *advanced training WSs*: the TL may make specific assignments to TMs and sub-teams, as above, and as outlined in Appendix B. Also, the TL may assign *some* inquiry responsibility to TMs, but *only*: (a) if the delegation of inquiry responsibility to other TMs has been discussed with and agreed to by the ETC/FL and WS coordinator, and (b) the TM(s) to whom inquiry responsibility is given have had previous experience conducting inquiries as a TL.

A d. During *introductory training WSs*: the TL must conduct *all* assessment activities and must not assign responsibility for any such activities to any TMs, even if some TMs do already have some experience with PASS or PASSING.

A Even on those occasions when a TL may and does assign certain specific responsibilities to other TMs, these responsibilities should never include (a) the conduct of all inquiry sessions, (b) conciliation, or (c) finalization of content and format of either the verbal or written reports to the assessed service.

C 11. The TL prepares for the inquiry, even if s/he does not conduct it, both (a) in case something prevents the person other than the TL who had been designated to conduct (part of) the inquiry from being able to do so, and (b) in order for the TL to maintain full control over all aspects of the assessment. The TL is advised to make use of the set of "standard" inquiry questions on each rating (i.e., questions that usually need to be asked and answered for each rating during every assessment) that will be available from the publisher or the TI. In addition, TMs will usually have to draw up their own inquiry questions on each rating, especially after reading the documentary materials on the agency to be assessed. More specific guidelines on the inquiry are given later in this monograph.

A 12. TLs must be prepared to explain and reiterate to TMs various principles of assigning levels to ratings, and procedures for conciliation, even though TMs should be familiar with these principles from their reading and possibly also from their introductory training. This need will probably be greatest before TMs do their individual rating level assignments, and during conciliation.

A 13. In all cases, the TL carries the responsibility for whatever written assessment report has been agreed upon by the assessment or WS coordinator with the service(s) to be assessed. Although other TMs may occasionally contribute elements of the report, and although an ETC/FL or other senior assessment/WS leader may review and edit the report, no TL should ever be led to believe that anyone other than him/herself has the responsibility for the quality, content and format of the report. (Also, see the description of "Team Reporter or Recorder" for more information.)

A 14. The TL should adhere to the guidelines for preparing the written report that are spelled out in a separate future monograph in this series, or that are provided to him/her by the assessment or WS coordinator.

A 15. If there is a verbal feedback session (discussed later and in a separate monograph), then the TL usually conducts it, sometimes together with the ETC/FL.

A 16. During introductory and most advanced training WSs, the TL always gives the team's verbal report(s) to all of the WS participants on the last day of the training events.

C/D 17. At least during training assessments, and often in other assessments as well, the TL assesses his/her own performance, and that of each other TM, and leads an intra-team mutual evaluation on the last day of the assessment. This team evaluation is explained later in this monograph.

A 18. The TL must "animate" TMs to read relevant documents, keep to timelines, etc. S/he must maintain control, assert him/herself as needed, and be prepared to meet as needed with ETCs/FLs, trainers (during WSs), or other TLs.

D 19. In cases where agency documentation must be returned, the TL is responsible for returning these to the responsible person, such as the assessment/WS coordinator, or an agency representative.

### EXTERNAL TEAM CONSULTANT OR FLOATER

B/C An external consultant (ETC) or floater (FL) is a person of very senior normalization and PASS or PASSING assessment experience and competence who has been successful as a TL before, who has shown various other assessment-related talents, and who may have been a trainer at WSs on the above topics. During training events, the term "floater" (FL) is usually applied to people who fill this role because they "float" over one or more teams, while the term "external team consultant" (ETC) is usually used in non-training, and especially official, assessments. During a training WS, the FL will usually be assigned to advise and/or supervise more than one team. In a non-training context, this is only likely to happen where two or more teams conduct official assessments in the same locale at the same time. Usually, a FL spends more time with a team and on the assessed service site than does an ETC.

A 1. The ETC/FL adheres to all assessment procedures and guidelines spelled out herein.

A 2. The ETC/FL (a) spends a significant amount of time at each of the programs that are being assessed by teams under his/her supervision, (b) tours the neighborhoods around the settings, (c) tours the settings themselves, (d) observes the programs in operation, (e) sits in on at least part of each team's inquiry with agency personnel, and (f) sits in repeatedly at various parts of each team's conciliation, especially the initial analysis of the program and the needs of the people being served (see no. 6a below).

A 3. The ETC/FL assumes the role and responsibilities of a TL if the latter should fall ill, fail to show, or otherwise be unable to fulfill a TL's responsibilities for the assessment. In training WSs, the FL will then also ascertain with the WS coordinator and senior trainer that another FL assumes his/her responsibilities vis-a-vis any other teams over which s/he was to have floated.

4. The ETC/FL is responsible for assuring that all TLs and TMs under his/her supervision adhere to all orthodox operating procedures as spelled out herein. *Under no circumstances* should TLs or ETCs/FLs engage in various forms of experimentation unless they have *first* (a) established and demonstrated competency in the more orthodox procedures, and (b) checked out and received approval for their plan from senior assessment or WS personnel.

5. ETCs/FLs meet with their respective TLs as early as possible before the assessment so as to get acquainted and, if need be, work out an informal agreement or “ground rules” for floating. The ETC/FL and TL continue to meet relatively frequently throughout the assessment, in order to resolve, clarify, and/or conceptualize unexpected, unusual, or especially difficult assessment issues. It is usually better for TLs and ETCs/FLs to meet privately so that TMs will not be distracted. During conciliation, this would usually be during team rest breaks.

6. The ETC/FL should be available to TLs (i.e., nearby, easily reachable, awake and alert, or at least wakeable) at all times during the assessment/WS as long as any of his/her assigned TLs are still engaged in business — not only until the teams have stopped meeting. This might mean such things as the following.

a. Because the ETC/FL must try to meet with the TL of each team to which s/he is assigned during crucial time hinges, mutual communication between TLs and ETCs/FLs of probable schedules is essential, especially as some TLs may seek assistance from the ETC/FL at odd and/or late hours. Furthermore, where an ETC/FL assists more than one team, s/he should arrange with the TLs to schedule their conciliations so that the ETC/FL can sit in on at least part of the discussion of the fundamental issues in each conciliation. This may mean that some teams will have to follow a less than optimal conciliation sequence, conciliating some ratings of lower importance before discussing the fundamental issues.

b. The ETC/FL should limit the places she is going to be, so that TLs can contact him/her as needed. Preferably, the ETC/FL will limit him/herself to the two or three assigned team rooms, ETC/FL headquarters (if there is one), or his/her room.

c. The ETC/FL should try to be available to a TL at each break during a team’s conciliation.

d. An ETC/FL will not be perceived as very available if She is always with whichever team is meeting. Often, a TL needs an ETC/FL when the team is not in session. Indeed, the ETC/FL can make quite important contributions even when a team is not meeting. For example, anticipating potential problems and providing feedback to TLs is an important role that is commonly under-practiced by ETCs/FLs.

e. ETCs/FLs often like to help out teams by running errands. However useful this might be or make them feel, it may also make them unavailable for certain periods, and should therefore be done judiciously and swiftly.

f. When periods of ETC/FL unavailability are to occur, the ETC/FL should forewarn TLs, or, if this is not feasible, a note should be left at the ETC/FL’s home base, telling when s/he will return and to what location.

7. Because of the importance of the issue, the following passage about interactions among TMs, TLs, and ETC/FLs is being inserted in all three sections where the roles and responsibilities of TMs, TLs, and ETC/FLs are defined.

TMs, TLs, and ETC/FLs all need to function on the assumption that if the ETC/FL feels strongly that team structure, process, or content should take a different turn or emphasis, then the TL and/or TMs should cooperate and accommodate themselves to the ETC/FL’s direction. For instance, the ETC/FL intervenes decisively if a TL shows a clear weakness and needs to be supported, helping teams and TLs to resolve difficult rating issues, to adjust the direction of, or deepen, the team’s discussion, etc. Similarly, the ETC/FL brings assessment-related problems or issues to the attention of the TL, usually privately. However, ETCs/FLs must not run roughshod over novice TLs. For example, ETCs/FLs should refrain from unnecessarily undermining the TL’s team leadership, and in most cases should facilitate the TL’s plans and actions, unless overriding the TL seems to be the only way to rescue a team or get it to pick up on vital points and/or processes. An ETC/FL who sees a team take a seriously wrong tack either in process or content is delinquent in his/her role if she fails to act appropriately on such a conviction.

8. On some occasions, there might be more than one ETC/FL per team, although this has happened only rarely, only in training WS assessments, and for two reasons. (a) A “junior ETC/FL” — i.e., an ETC/FL-in-training — is paired with a senior experienced ETC/FL in order to learn how to act as an ETC/FL to an assess-

B/C  
ment team. (b) One ETC/FL is assigned to assist the team with its evaluation of one practicum site, and another ETC/FL is assigned to assist with its evaluation of the second practicum site. Where there is more than one ETC/FL for a team, ETCs/FLs should probably be less obtrusive than usual. If an ETC/FL joins an assessment or WS after it has already begun, perhaps only for the site visit days, then s/he should be especially conscious not to unnecessarily disrupt established team solidarity.

A 9. The ETC/FL should project him/herself to assessment hosts in such a fashion as to add prestige and credibility to PASS or PASSING, the assessment, the team, its TL, and the party which arranged the assessment.

C/D 10. During training WSs, the ETC/FL assists and supports the trainers in various decision-making and arrangements.

C/D 11. The ETC/FL is expected to be prepared to assist in the evaluation of the performance of TLs and other TMs at the end of the assessment.

A 12. The ETC/FL offers honest feedback to the TL. In fact, in the long run, this is one of the most important roles for the ETC/FL when seen in the broader context of PASS/PASSING leadership development. Feedback to a TL during the assessment should be given at breaks during conciliation, at the end of each major assessment/WS event, and at the end of each assessment/WS day, though feedback at such occasions should be selective to maximize its value for upcoming assessment events. Feedback that is not likely to have an impact on the TL's performance during the rest of the assessment/WS, or that is highly technical or trivial in nature, should be held until the end of the assessment/WS. For instance, the ETC/FL may offer (via letter or phone call after the assessment summary feedback) feedback which should be given to the TL privately, and/or feedback which would not be of interest to other participants in the general meeting of the leaders at the end of the WS/assessment. ETCs/FLs who take feedback seriously will have to take some notes during all team events, including during conciliations. Some feedback will have to be written down, as well as a few reminders of the context in which the advice came up, so that both ETC/FL and TL will remember the issues involved.

C/D 13. The ETC/FL assists the TL with preparing and conducting the verbal feedback session (if there is one), and comments as necessary and useful on the verbal reports of assessment teams to the plenary group on the last day of training WSs.

D 14. The ETC/FL may also review, and possibly edit, the written assessment team reports, if this has been agreed upon by the ETC/FL and the assessment/WS coordinating body before the assessment begins.

### TEAM TRACKER

A C A team tracker (TT) is a TM who is selected to assist the TL with various assessment responsibilities and tasks. The role of TT evolved relatively late; it is similar to what is sometimes called assistant team leadership. The TT plays a very important role in facilitating the thoroughness, efficiency, and synchronization of team activities. The TT role is usually only assigned for an official assessment team, and usually well prior to the beginning of the assessment. As mentioned, the assessment coordinator may often be the TT (or the TL), since that person's work in coordinating the assessment will make him/her extremely knowledgeable about the assessment, and therefore eminently suited to carry out the TT's role. Competent TT performance could provide a relatively reliable indication of an individual's potential abilities to assume more specialized, responsible, and demanding roles, such as TL, though some TTs may already be qualified to be, or will actually have been, TLs. On some assessments, the TT and team recorder (TR), described in the next section, will be the same person.

A The TT acts as the "strong right arm" of the TL and works closely with the TL throughout the assessment, such as by attending many of the meetings that the TL attends, planning with the TL for assessment activities, and sharing accommodations with the TL, if feasible. When requested by the TL, the TT will give progress reports and analysis to the TL on completed assessment activities, report on team actions, and forewarn the TL of potential problems or circumstances that may require additional TL consideration. For example, during the assessment, the TT should be prepared to remind the TL of assessment appointments and responsibilities, or to check and confirm that various assessment activities have been properly scheduled and prepared for by the agency and/or TL. To some extent, the TT may act as a liaison between the TL and the agency host who is responsible for the assessment arrangements.

In order to fulfill his/her responsibilities, it is most helpful for the TT to have a copy of the "Checklist of Essential Activities for a Team Leader During a PASS, PASSING, or Similar Assessment," just as the TL should.

- A 1. The TT must adhere to all assessment procedures and guidelines described herein.
- A 2. The TT is expected to meet with the TL at the TL's discretion before, during, and perhaps after the assessment, to discuss pertinent assessment activities, plans, tasks, etc.
- A 3. The TT must be well-organized, and must therefore be aware of the details of all assessment activities. The TT should have readily at hand the relevant names, locations, directions, and telephone numbers involved in the assessment. Also, the TT is expected to have a particularly good knowledge of all agency documentation, both that received prior to the assessment as well as that received during it.
- A 4. The TT appropriately assists the TL in helping the team to progress properly through its assessment schedule and adhere to timelines. The TT is expected to anticipate certain of the TL's and TMs' needs as well as to have a sense of pace in regard to the flow of inquiries, site visits, and other assessment activities. Furthermore, the TT should have a sense of priorities, and therefore be able to distinguish at what points during an assessment certain tracking information is important, and also when to most appropriately relay such information to the TL or other TMs. For example, it may be necessary to immediately provide information relevant to an inquiry session which is about to begin, while other tracking activities may be routinely and safely delayed until various assessment "time hinges," e.g., at the beginning or end of inquiries, during meals, after the team has finished the day's business or before it has begun, before the team retires for the evening, in the car while traveling to and from the assessment events, and so forth.
- A 5. The TT assists the TL by performing whatever assessment-related functions the TL assigns to him or her, and by helping to assure that other TMs fulfill their assignments. The TL determines the extent and scope of the TT's responsibilities during an assessment, and may delegate to, or share with, the TT some responsibilities for assessment activities. Some potential such activities are as follows.
  - D a. Supervision of team headquarters (motel/hotel), such as handling any accommodations difficulties experienced by TMs, determining procedures for using the phones for both local and out-of-town calls, arranging for additional furniture (e.g., lamps, chairs) for team meetings and conciliation, etc.
  - D b. Making arrangements for lunch after or in the middle of inquiry sessions, and (if a residence is being assessed) for dinner at the residence, collecting food for conciliation, etc.
  - D c. Assuring the proper handling, safekeeping, and allocation of client records and other documentation, and information regarding names and addresses (of parents/relatives, board members, ancillary services, etc.), which is usually made available to the team in the meeting just prior to the start of the assessment.
  - D d. Distributing, monitoring, and safeguarding any documents received during the assessment, such as documentation that the team is not permitted to keep, and returning it after the assessment (especially if the TT is from the locale).
  - C/D e. Making sure that additional items of documentation that are discovered during the course of an assessment, or that the agency promised to deliver to the team, are actually obtained by the team. Making notes on 3x5 cards and keeping these cards in one's pile of "things to be sure to do" is one way of handling this task.
  - D f. Confirming or rescheduling a specific meeting time and place for the verbal feedback session, in conjunction with the responsible person at the service being assessed.
  - D g. In addition, the TT does such things for the TL as: keeping the TL on schedule and on track during team meetings, inquiries, tours, etc.; writing notes for the TL to remind him/her to come back to a point, bring up a question with another interviewee, track a TM, etc.; filling out forms for the TL; arranging the conciliation room for the TL; etc.
- C 6. In order to fulfill his/her responsibilities, the TT should have on hand certain equipment and materials in addition to those required by most other TMs, such as an ample supply of 3x5 cards and a small (pocket-size) notepad, one or two extra four-color pens, rubber bands, paper clips, paper hole punch, stapler and staples, underliners, mounds of scrap and note paper, wristwatch (for the truly elegant TT, a pocketwatch and fob!) as well as alarm clock, etc. For instance, there are many times during an assessment when the TL and/or other TMs

C will be engaged in assessment activities that should not be interrupted, so the TT may not be able to verbally communicate information to them. When this occurs, the TT may need to record or make note of the information on 3x5 cards, which can act as reminders to the TT and/or be given to the TL or a TM when appropriate. The TT can also use cards as memory aides for various assessment activities or tasks that need to be accomplished at a specific time. Headings at the top of each card can be of assistance for easy identification of information. Cards can also be rubber-banded together for later use, or can be used for relaying information to the TL and/or TMs quickly but discreetly.

C The TT might also use a small pad to record information which may not be of primary use during on-site assessment events, but would primarily be for tracking use after the assessment. This might include such reminders as to follow-up on a request, to contact certain persons or organizations, general informational points to discuss during assessment de-briefing sessions, potential changes in the assessment process, and so forth. The TT can also write down on this pad any relevant personal thoughts as they occur during the assessment, and can use a four-color pen to key and order such information.

C The TT can help guarantee that the assessment time schedule is followed as closely as possible by diligently tracking the TL and the assessment activities with a watch. The use of an alarm clock by the TT is an additional guarantee that the TL and TMs (or for that matter, the TT him/herself) do not oversleep, thereby assuring that all TMs are ready at a time pre-arranged by the TL. *The clock should be the wind-up type* in case batteries fail, there is a power failure that shuts off electric alarms, or in case the hotel/motel wake-up service defaults, as has often happened.

C 7. During team meetings, inquiries, conciliation, and the verbal feedback session, the TT should try to sit in a position so that s/he is able to (a) observe TMs and other individuals involved in the assessment, and (b) have direct eye contact with the TL. In this way, the TL and TT can exchange information via eye and/or hand cues. This seating arrangement will help free the TL for the assessment activity at hand and avoid having to interrupt the flow of activity.

C 8. A TT may want to develop a tracking method that allows him/her to keep track of the stage of completion of various assessment activities — in other words, to keep track of his/her tracking. Potential ways for the TT to check whether an aspect of the assessment has been completed might be to: (a) place a check (✓) or other mark at the end of the item on the card and/or pad for the first time it had been tracked, and then a check at the front of the item on the card and/or pad when it has been tracked to completion; (b) use a four-color pen to color-code items on the card and/or pad for easy identification; (c) save the card and/or pad until the end of the assessment for the purpose of confirming the completion of all activities; and finally (d) write down either on a card and/or pad (even if it has been done by another TM or assessment-related person) all the assessment events or information which need to be tracked, in order to guarantee that the information or event has been noted, and therefore to increase the chances that the information or event will be tracked.

### TEAM REPORTER OR RECORDER

D In most evaluations, the TL also serves as team recorder and reporter (TR). However, some evaluation teams (other than those in introductory training WSSs) may have a TM who serves specifically as the TR. On some assessments, the TR and TT may be one and the same person. The TR may be a person who has demonstrated an ability or potential for team leadership, and who may have participated in PASS or PASSING assessments before. The TR will be responsible for keeping track of the team's evidence, findings, and recommendations during conciliation, for filling out the rating evidence or report forms, and for submitting these and any summary report of the team's findings to the TL, who will then edit these into final form and forward the report to the responsible party (assessment/WS coordinator, assessed agency, etc.), as negotiated by the assessment/WS coordinator.

A 1. The TR must adhere to all assessment procedures and guidelines spelled out herein.

A 2. The TR keeps particularly careful notes and writes as much as possible during the assessment (while on site, during inquiries and conciliation), and may have to obtain assessment notes from other TMs who are willing to relinquish them.

C/D 3. The TR acts as a "recommendation-getter" during conciliation, and reminds TMs to reiterate points that the team feels are most important concerning the assessed service.

C/D 4. The TR submits his/her notes and recommendations from conciliation, the completed report forms, and any parts of the written report (if any) to his/her TL within a reasonable deadline that has been previously set, e.g., no later than three calendar weeks after the last day of the assessment. If this deadline is not met, it jeopardizes the reputation and credibility of the assessment tool, the TR's own image, and that of the team.

C/D 5. The TR should consult as needed with the TL or other appropriate assessment staff (such as the ETC/FL) in regard to preparation of the written assessment report or report forms. TRs should note that consultation via the mails takes extra and precious time.

A 6. The TR should follow the instructions and guidelines for the preparation and format of assessment reports which are specified by the TL or the assessment/WS coordinator.

### **NON-OFFICIAL TEAM MEMBER**

*Official* assessment teams will frequently include a very small number (e.g., one or two) of "non-official" team members (NOTMs). A person may participate in an assessment as an NOTM for training purposes to gain more familiarity and competency with the tool, or for certain observation purposes, each of which are discussed below.

#### **Instructions For All Non-Official Team Members**

D 1. The guidelines for an NOTM's participation in an assessment should be made explicit by the assessment coordinator when that person's participation is arranged.

A 2. All NOTMs are expected to adhere to all responsibilities and expectations described herein for all other TMs, with only the exceptions specified below. All NOTMs should strive to learn as much as possible about the assessment process throughout, by listening, reading, and questioning when appropriate. However, no NOTM should unnecessarily delay the team's progress for the sake of his/her own learning or needs, but rather, should just try to become (more) familiar with the assessment process and the tool.

A 3. All NOTMs will be expected to have done meticulous preparation for their participation in the assessment, including reading all materials relevant to the assessment instrument itself, and all documentary materials on the service being assessed.

#### **Instructions for Training Non-Official Team Members**

C/D A person must participate in at least one full-length introductory training WS of no less than five days' duration in PASS or PASSING in order to know how to use PASS or PASSING. However, PASS/PASSING training and experience in and of themselves do not necessarily enable a person to be a fully qualified rater, able to participate in an official assessment, or to understand all PASS/PASSING issues as they might apply in a particular official assessment. Therefore, at least the first involvement of many people in an official assessment will usually be as an NOTM to receive further training and experience.

A NOTMs who are participating in order to receive further training and experience in PASS or PASSING will usually be allowed and expected to participate fully in all phases and aspects of the assessment. The only difference between such an NOTM's participation and that of an ordinary TM would come during conciliation. In the conciliation of an official assessment, a level for a particular rating may be decided upon by the majority vote of all the TMs, as described elsewhere in these guidelines. In those instances in conciliation where an issue is put to a vote, the NOTM who is participating in order to gain further training may vote with all other TMs, but his/her vote cannot be counted *if* it would decide the issue. In other words, the rating level decision must be reached without the deciding vote of the NOTM.

#### **Instructions for Observer Non-Official Team Members**

A Sometimes there may be an observer NOTM on a team. Because the presence of a (naive) observer on a team can be very burdensome and demanding, especially on the TL and especially on top of all the other stresses that a PASS/PASSING assessment usually entails, an observer should usually only be invited/allowed to par-

A participate in an assessment for very urgent reasons, e.g., if the person represents an organization, funding body, government agency, etc., that is considering adoption of the assessment tool in its practices; if the organization that controls and supports PASS/PASSING training and assessments in an area designates observers to report on the conduct of assessments in order to improve their effectiveness.

A NOTMs who participate in an assessment for the purpose of observing the process do not participate actively in the assessment activities. They should be silent participants who, while present for all assessment events, stay pretty much in the background, abstain from substantive comments unless explicitly called upon, do not have assessment-related assignments as do other TMs, and do not contribute their thoughts and opinions during the conciliation. Needless to say, such NOTMs do not vote on rating levels during conciliation.

### **ALTERNATE TEAM MEMBER**

A In some assessment contexts (usually only for official assessment or research purposes), the responsible coordinator may recruit persons to be available as emergency TM substitutes in case a TM is unable to participate at the last minute due to sickness, family crisis, etc. Such an alternate team member (ATM) will follow the same guidelines and have the same responsibilities as the TM s/he replaces.

## PART 2: PRE-ASSESSMENT PREPARATION GUIDELINES

### READING AND REVIEW OF MATERIALS

As mentioned earlier, all TMs must be thoroughly prepared before the assessment. Even if a TM has already participated in a number of PASS or PASSING assessment experiences, s/he should still take time before the assessment to thoroughly read and study: (a) any materials that may have been sent ahead of time by the assessment/WS coordinator (such as documentation on the service(s) to be assessed); (b) the assessment instrument itself; (c) notes from any other relevant WSs which s/he may have attended previously; (d) even on a PASS assessment, a TM should read the sections in the *PASSING Normalization Criteria and Ratings Manual* entitled "Brief Overview of the Principle of Normalization," "Ratings Primarily Related to Social Image Enhancement," and "Ratings Primarily Related to Personal Competency Enhancement," since these contain more up-to-date and concise statements of the normalization principle, its goals, and requirements.

### ESSENTIAL EQUIPMENT FOR AN ASSESSMENT

TMs are expected to supply their own writing equipment and other materials. Certain other items which are necessary or highly useful for an assessment are listed below.

- A 1. The PASS or PASSING rating instrument, i.e., the *PASS Field Manual* or the *PASSING Normalization Criteria and Ratings Manual*.
- A 2. These *Guidelines*.
- A 3. Other essential PASS or PASSING publications, such as the relevant *Handbook*.
- C 4. Basic and/or key texts, narratives, or publications, such as the normalization book referenced earlier.
- A 5. All materials which TMs have received from the assessment/WS coordinator.
- C 6. Several pens (preferably 4-color) and pencils.
- A 7. A generous supply of paper for taking notes.
- C 8. A pre-ordered system for taking notes.
- C 9. A clipboard, loose-leaf binder, or equivalent.
- A 10. Name tag (usually supplied by assessment/WS coordinator).
- C 11. Plenty of paper clips and rubber bands (especially helpful for TTs).
- C 12. A small stapler and staples.
- C 13. A cassette recorder and blank cassette tapes (especially helpful for TLs and TRs).
- C 14. A calculator.

The *PASSING Manual* is set up modularly, i.e., it is so designed that sections of it can be removed while leaving other sections intact. In fact, (a) each introductory section to a cluster or category of ratings, (b) each cluster and category of ratings, (c) each rating, and (d) each part of a rating, is discrete from all other parts of the *Manual* and can thus be extracted without disturbing any other parts. Thus, experienced evaluators will need to carry on their person only those parts of the *Manual* that are specifically and urgently needed for the conduct of the assessment, and they can remove unneeded sections and leave them in their rooms or cars for reference as needed.

Where a PASSING evaluation is being conducted on only part of a service, or using only a certain number or clusters of ratings (e.g.: assessment of the physical setting of a service only; assessment of only the intra-service client grouping ratings; assessment of only the image-related ratings), raters must be sure *not* to inadvertently remove those sections which may be relevant to the ratings that will be applied but which do not immediately precede those ratings in the *Manual*. For instance, in the *PASSING Manual*, in the introduction to the image-related intra-service client grouping ratings, there is a section in italics which is also relevant to the competency-related intra-service client grouping ratings, and reference is made in those two competency-related ratings to this italicized section. It might be easy to overlook such relevant sections if one is not very careful about what one takes out of the *Manual* and what one retains for any given assessment mission.

A Users of PASS or PASSING are reminded that (a) there are a number of consumable forms available from the publisher for both PASS and PASSING, (b) some of these are essential while others are desirable, and (c) it is an infringement of copyright laws to reproduce those that are copyrighted. As of the date of publication of these *Guidelines*, the following consumable forms are or will soon be available:

*For PASS:*

- a. Scoresheet (Appendix H)
- b. Subscores Scoresheet (Appendix I)
- c. Checklist (Appendix F)

*For PASSING:*

- a. Scoresheet/Overall Service Performance Form (Appendix J)
- b. Checklist (Appendix G)
- c. Subscores Computation and Reporting Form (Appendix K)
- d. Findings and Comments for Specific PASSING Ratings form (Appendix N)

*For Both PASS and PASSING:*

- a. PASS/PASSING Individual Rating Evidence Organization Sheet (Appendix O)
- b. Checklist of Essential Activities for a Team Leader During a PASS, PASSING or Similar Assessment (Appendix A)
- c. Research Data Form for PASS or PASSING (Appendix L)
- d. PASS/PASSING Team Member Assessment Sheet (Appendix P)

A user of PASS/PASSING should ascertain by checking with the publisher whether additional useful forms have become available since these *Guidelines* were published.

### CAR USE

D Each TM usually arranges his/her own transportation to the WS or assessment team headquarters, e.g., hotel/motel. A TM may be asked to allow his/her car to be used during the assessment, which will primarily involve transportation of TMs to inquiry sessions and assessment site(s), on neighborhood tour(s), and perhaps to groceries or eateries for food.

D For non-training assessments, the assessment coordinator will usually make arrangements with TMs prior to the assessment regarding possible use of their cars by the team during the assessment. The TL will finalize these arrangements during the first team meeting. However, in case something happens to the TM(s) whose cars were to be used, or to the cars themselves, some stand-by plans should be made *prior to the assessment* for car rental.

D For training assessments, it is not possible to make arrangements regarding car use prior to the WS, because TMs are usually not assigned to teams until the first day of the WS. Thus, the TL may have to check with all TMs during the first team meeting as to whether they have vehicles that may be utilized during the assessment — and whether their cars are of sufficient size and in good enough condition.

- C If more than one car is required to transport all TMs, the team will travel the same route in caravan fashion, one car following another, rather than each car taking a separate route to the site(s) to be visited. This way, either all or none will get lost, and the team will arrive as a body at the relevant sites. Piecemeal arrival has proven to create many problems of communications, relationships with site personnel, etc., as discussed further below.

### PREPARATION FOR THE INQUIRY(IES)

- A It is essential that all TMs thoroughly study all available documentary materials on the program(s) to be assessed — at least prior to the inquiry, and if at all possible even prior to the start of the assessment. These materials often reveal what some of the unclear or sensitive areas may be, what the service's deficiencies and strong points may be, where there may be unconsciousness or "Russian Villages," where a team must probe, etc. This review will usually raise many questions that will need to be posed during the inquiry with program staff.
- A TMs should *write these questions down*, and if the TL or other inquiry leader does not address these questions at the relevant time during the inquiry, TMs should raise them at the end of the inquiry on the rating to which the questions relate. Alternatively, prior to the inquiry, TMs could present to their TL/inquiry leader the questions that they would like to have answered, so that the TL/inquiry leader can ascertain that they are, in fact, in his/her own list of questions, thus making for a smoother inquiry. The TL/inquiry leader must be especially familiar with the documentary materials in preparation for the inquiry.
- C

- A Because the TL is usually expected to conduct the inquiry(ies), s/he should have and/or prepare a set of core questions on each rating that need to be asked during the assessment. One such set of questions for PASS, and one such set of questions for PASSING, have been developed by several people over a period of years and a great number of assessments, and are or will soon be available from the publisher or the TI. However, TLs/other inquiry leaders are cautioned *not* to use the questions contained in these two sets mindlessly, but to select questions that are relevant to the particular type of assessment (e.g., training or official) and service being assessed. As well, after reading agency documentation, TLs/inquiry leaders should add to these core questions any relevant questions specific to the program being assessed. For PASSING assessments, the second column entitled "Some Key Issues to be Determined" in the "Suggested Guidelines for Collecting and Using Evidence" chart of each rating will also be helpful in drawing up questions that need to be answered in order to complete each rating.

### TEAM LEADER-SPECIFIC PREPARATION AND ORGANIZATION PRIOR TO AND AT THE BEGINNING OF AN ASSESSMENT

- A Because of the potential complexity and number of assessment activities and events, TLs must be thoroughly organized well before an assessment.

- A As explained earlier, and as readers can see by the codes in the left-hand margins of the book, these assessment guidelines have been classified into four categories, and it is those guidelines classified "A" which are considered essential for a standard and quality assessment. In regard to a number of other procedures that are not coded "A", the assessment coordinator should attempt to safeguard the amount of flexibility and independent judgment that TLs are enabled to exercise in order to effectively meet the requirements of a particular assessment, at least those of a non-training nature. However, as also explained earlier in the monograph, even those guidelines that are not coded "A" should not be disregarded merely on a whim, or just in order to ease the demands of an assessment, but only where there is a compelling reason to do so. TLs should be prepared to modify their own preferred styles, if necessary, in order to accommodate themselves to the pre-arranged assessment structures, as well as to the essential (i.e., "A") guidelines spelled out herein.

- A TLs should also note that it is not possible to write detailed instructions for all possible assessment contingencies, though this monograph is an attempt to cover the majority of conceivable ones. Where a situation arises that is not addressed by these guidelines, TLs are advised to use good judgment and to be conservative in their actions.

A C It is *essential* that prior to the assessment, the TL conceptualize the structure and conduct of assessment events from beginning to end, and develop (or clarify, if already developed) detailed written plans, with back-up options, regarding (a) the number, times, purposes, and structure of meetings with the team; (b) the goals of, and questions for, the various inquiries and program observation times; (c) the overall assessment schedule, and how it can be modified, if at all; (d) individual TM assignments (not applicable in introductory training WSs); (e) procedures and time allotment for individual assignment of rating levels; (f) the method and timing of conciliation; and (g) where previously agreed to, the procedure for the verbal feedback session. Most assessment details should already have been arranged and finalized by the assessment/WS coordinator with the host agency before the team enters the field. Nonetheless, just in case something has gone awry, the TL should review and confirm all such details, most likely at a meeting with the assessment/WS coordinator on the day before the assessment or WS begins, and by phoning and perhaps even meeting the contact person at the agency to be assessed on the day before the assessment begins. The assessment/WS coordinator will inform a TL of these arrangements as much in advance of the assessment as possible, and will provide him/her with extensive documentation.

A A The most direction and responsibility from TLs is required for those logistics of an assessment which cannot be arranged well or at all in advance by the assessment/WS coordinator. This includes such things as team meetings, inquiries, individual TM assignments (if any, and only where applicable), conciliation, and some aspects of the verbal feedback session (if any) and the written feedback. Therefore, a TL must be especially diligent in preparing and planning for these components of the assessment, taking into account the conditions which the team will (most likely) confront in the field, amount of time available, numbers of programs and sites to be visited, etc.

C For official assessments, a team tracker (TT), described earlier in this document, may be assigned to the TL for additional assistance and support in all these activities, since official assessments are usually much more complex and much more demanding of a TL than are training assessments.

### PART 3: GUIDELINES DURING THE CONDUCT OF THE ASSESSMENT

Certain events and sequences are the same during both PASS or PASSING assessments, including: on-site preparations prior to a visit to a service to be assessed; team departure to and arrival at the assessment site; inquiry(ies); individual rating level assignments; conciliation; and reporting on assessment results. Each of these components of an assessment is discussed below. Before participating in any (especially an official) assessment, TMs should familiarize themselves with this section in order to have a complete understanding of the procedures in a typical assessment.

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One can conceptualize four major steps in the procedure of an assessment, some of which have several components.

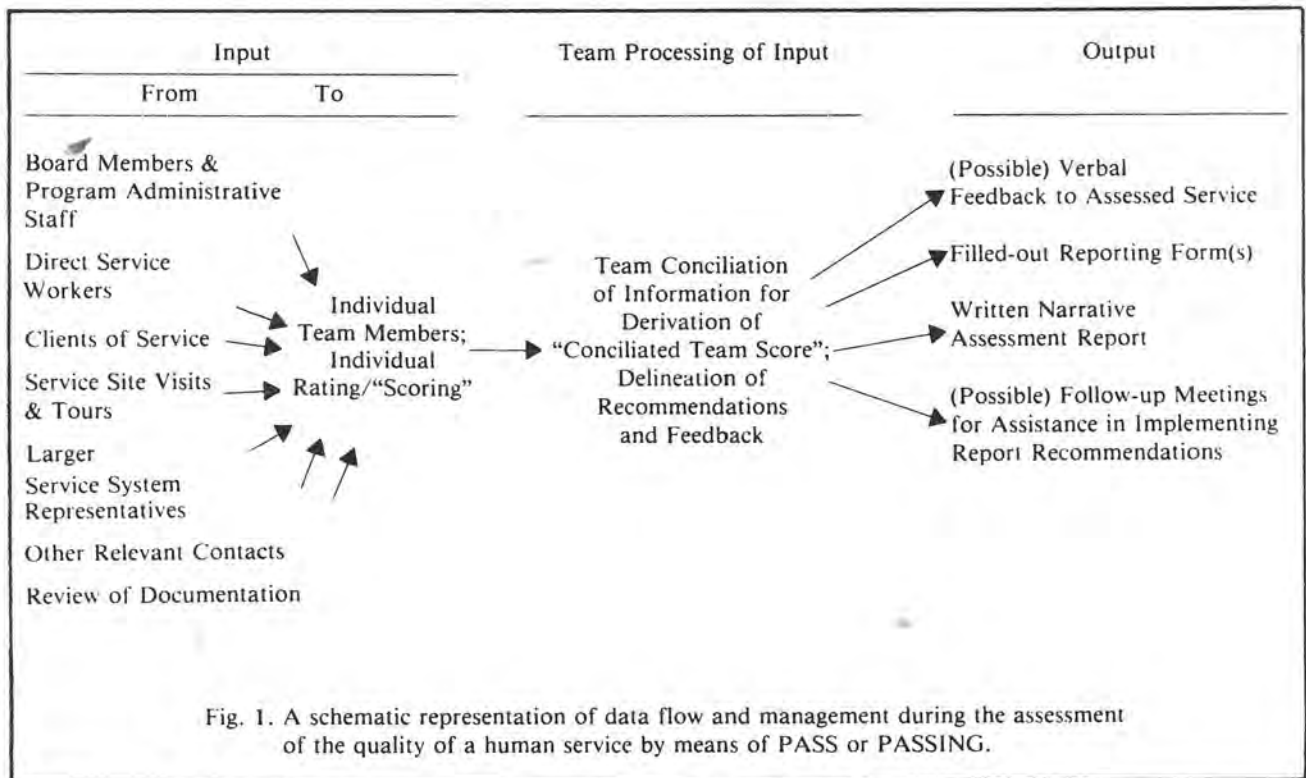
Step 1: Data collection by the team as a whole, from (a) board members and program administrative staff, (b) direct service staff, (c) clients of the service, (d) service site visit(s), (e) representatives of larger service system (e.g., county department of mental retardation) as necessary, (f) other relevant contacts, such as family members and advocates, (g) review of documentation on the service.

Step 2: Data collation and interpretation by individual TMs.

Step 3: Data consolidation and conciliation by team as a whole, including delineation of recommendations and feedback.

Step 4: Data interpretation via narrative report and/or verbal feedback to: (a) representative(s) of assessed agency, and (b) representatives of other authorized agencies (county department of mental retardation, funding or referring agencies, etc.).

It may be helpful to think of the above process as involving a sequence represented in Figure 1 which diagrams the "input" of information collected during the assessment, and the processing of that information by the team into the "output" of feedback on the results of the evaluation.



## ACTIVITIES AND PREPARATIONS AT ASSESSMENT OR WORKSHOP HEADQUARTERS PRIOR TO TEAM'S DEPARTURE TO SERVICE

B/C All TMs are expected to arrive at the assessment/WS headquarters well before the assessment/WS begins. For training WSs, TMs are usually expected to arrive the evening before the start of the WS. For official assessments, a designated time (at least several hours before the start of an assessment) for all TMs to be present at assessment headquarters will have been decided upon before the assessment, and all TMs must be at the site by the prescribed hour. Whether for training or non-training assessments, TLs should arrive even earlier than the prescribed time for TMs. Early arrival by the TL not only provides a buffer should unforeseen obstacles or difficulties arise, but also gives the TL time to become acquainted with the accommodations, to review team guidelines and service documentation, to meet with his/her ETC/FL and/or senior WS or assessment personnel, to prepare for team meetings, etc.

A In official assessments, soon after arrival, the TL should contact, and if possible personally meet with, the designated representative (i.e., the "host") of the service to be assessed. For training WS assessments, the TL will usually only be expected to make phone contact with the host, but should do so fairly soon after being informed of what service(s) his/her team will assess. The purpose of this contact is to confirm assessment arrangements and expectations, and to go over timelines and other necessary information. Even where the assessment arrangements have been well and thoroughly made, service hosts might still have different conceptions of the nature and schedule of the assessment than has the TL. It has sometimes happened that key personnel at the service had not been apprised of (or had forgotten about) the pending assessment, though this is more apt to occur during training WSs than during official assessments.

B/D The TL may also telephone the service, both in order to confirm or announce the team's arrival time, and in order to see how people answer the phone, which may provide information for some ratings.

A During the pre-assessment contact with service hosts, the TL needs to ascertain that the agency's/service's understanding of precisely which of its program(s)/component(s) is/are to be assessed coincides with the team's understanding. Surprisingly enough, exactly what a team is to assess may not always be clearly delineated beforehand. It is most likely to be clearly defined in official assessments, where some kind of contract has been made by the agency/service being assessed with the assessment coordinating body (if any), and/or with the assessment team. The second most likely instance in which it will be quite clear what is to be assessed is in a training WS, because the WS coordinator has usually made clear arrangements. There is apt to be relatively greatest ambiguity as to what is to be assessed in practice assessments arranged outside the context of a training WS.

It is simplest for the team to determine what is to be assessed if the assessment involves a single component agency, e.g., an agency that only runs one group home, or a vocational service that only runs a small sheltered workshop for long-term employment of people. The team may have difficulty in identifying precisely what is to be assessed when the agency being assessed has multiple components, especially where the components are similar (e.g., a residential services agency that runs two group homes, both for similar client groups and with similar service missions), and/or where the components are on the same site (e.g., a nursing home that also provides a day program on the grounds, perhaps for non-residents as well as its residents).

A It is even more important for PASSING than for PASS assessments that exactly what is being assessed be clearly delineated, because PASSING requires more demanding judgments on the part of the team as to the impact of various kinds of groupings within the program being assessed, and the impact of the presence of other near-by groupings.

A During the pre-assessment contact with service hosts, the TL may also need to check whether other related services have been informed of the assessment, and whether visits by the team or its representatives have been arranged. For instance, when a PASS or PASSING assessment is done on a subcomponent of a larger agency, and/or on a service which is located on the same site in which other services are also provided, it is not sufficient for the assessment team to only visit and tour the service being assessed. The team must additionally acquire some familiarity with the other services in the same setting, and/or other components of the larger agency. This is necessary in order for the team to understand the context in which the service operates, and to rate certain issues that involve image transfers and client groupings. Some information on these other services/components can be obtained via inquiry, but some must be gotten by quick walk-through inspections of the other ser-

C/D vices/components. The TL should remind the host during this first contact of the team's need to gather information on these related programs. Furthermore, in official assessments, it is often very useful (if time permits) for the team to briefly visit other programs attended by the residents of a group home being assessed, to visit the institution where live the employees of a sheltered workshop being assessed, etc. Again, prior to the actual visit to the service to be assessed, the TL should remind the agency contact person of the team's need to make such visits, and should confirm that arrangements for such visits have actually been made.

A For training assessments, TMs will begin the training course shortly after they arrive at the WS headquarters, either that same evening or the next morning. The training, team meetings, and other events will take up all a TM's time between arrival at the WS headquarters and the conclusion of the WS. In other words, TMs should not plan any other activities during the WS. For official assessments, TMs should inform the TL of their arrival and room/phone number as soon as they have settled in, and should then wait for the TL to call the first team meeting.

A The TL will meet with the team at least once before the site visit(s) in order to review pertinent information (see sample copy of "Checklist of Essential Activities for a Team Leader During a PASS, PASSING, or Similar Assessment" attached as Appendix A). Among other things, the TL should remind TMs at this meeting to read and follow the guidelines for site visits given in this monograph, at least reviewing some of the more important points. Unfortunately, unless all TMs are highly experienced and disciplined, TLs cannot take for granted that these issues will sink in without reminders. Also, the importance of certain courtesies at the assessment site should be recapitulated, e.g.: if TMs eat at the site, they should clean up; if they open doors, they should close them; they should introduce themselves, perhaps repeatedly; etc. TMs should be reminded to wear the name tags that will be given to them by either the TL (during official assessments) or the WS coordinator (for training assessments), so that the hosts can easily identify them. TMs should also be reminded that it is actually less important to emphasize their name than their functions and origins in their introductions to service personnel. Few contact persons can (or care to) remember all TMs' names, but they might be interested in knowing that someone works in St. Louis or Ottawa, what kind of work they do, etc. Also certain service role makes more of an impact on hosts than names, e.g., a host might be interested to know that a TM is a legislator, a parent of a handicapped child, a physician, etc.

C The TL should review the confidentiality issue and confidentiality pledge forms (if any) with TMs, and obtain their signatures on these forms, which the TL should later hand over to the assessment/WS coordinator. C/D Each form must be properly filled in, signed, and dated. For non-training assessments, TMs may have received such forms prior to the assessment, and the TL may just have to collect them.

A A list of corrections to be made in the PASS or PASSING books *may* be distributed to each TM who does not already have them at the beginning of the assessment or WS. TLs need to remind TMs to write these corrections into their books, as indicated, before they go out into the field to rate.

A In addition, the TL should review the critical importance of having the previously-listed essential equipment for an assessment. The TL should carry extra Checklists, Scoresheets, and name tags for TMs who have forgotten theirs.

A The TL should see to it that all TMs record the room and phone numbers of where all the other TMs are staying, in case of schedule changes, a need to confer, or emergencies. Also, all senior WS or assessment personnel — i.e., ETCs/FLs, TLs, trainers, assessment/WS coordinators — should have the room and/or phone numbers of all other senior personnel. Where there is more than one team (e.g., during WSs or complex assessments), senior personnel will also have to know where each team is meeting during conciliation.

### MEETING OF SENIOR PERSONNEL AT TRAINING WORKSHOPS

A/D For training WSs, all senior WS personnel (trainers, ETCs/FLs, TLs, WS coordinators) should meet together, usually the day before the WS begins. This meeting, which can take anywhere from a few hours to a full day, serves the multiple purposes of: (a) reviewing the WS schedule; (b) delineating the roles and responsibilities of ETCs/FLs, TLs, TRs (if any), and WS coordinators; (c) discussing various problematic rating issues and interpretations; (d) reviewing various guidelines for team management, site visits, conciliation, and, if applicable, verbal feedback sessions, especially for first-time TLs or TLs who are unfamiliar with the WS format; (e) reviewing any unusual circumstances about the program(s) to be assessed; (f) possibly assigning TLs at least tentatively to assessment sites, and TMs to teams. If the WS is one in which rating slide simulations are to be

- C used, this is also the time for WS personnel to make a dry-run through the simulations and their rating implications. Simulations are slide presentations on services that are shown during WSs in order to give trainees opportunities to “practice” the rating of service quality before they go out to assess an actual service in person.

More specific guidelines for the conduct of this meeting and the achievement of the various goals of the meeting will be found in other current or envisioned monographs in this series.

### **GUIDELINES FOR THE TEAM VISIT TO THE PROGRAM(S) TO BE ASSESSED**

The following section explains procedures that TMs should follow as they leave the assessment/WS headquarters to visit the program they are to assess, and during their actual visit(s) to the program(s).

#### **Team Departure to and Arrival at the Service(s) being Assessed**

- A Consistent with whatever structure had been arranged by the assessment/WS coordinator, the TL decides the details of the team’s departure to the service: when to leave, who will drive, where TMs will meet for departure, where they will meet when they arrive at the service, who will go in which car, and so on. It is good to plan on transportation redundancy by having more cars for the team than are necessary, in case one of the cars designated for transportation does not show up, does not work, runs out of gas, etc. The arrangements for transportation to the service must allow enough time (usually 15-30 minutes) for the team to thoroughly survey the service neighborhood and setting by car once they get there. This extra time also allows for the possibility of TMs getting lost on the way. The TL should make clear to TMs that they must be present at the designated spot at the designated departure time, or else they will have to find other transportation. After having preached punctuality, the TL should apply all the wiles of decision theory to avoid being late him/herself, and in fact, should be at least 15 minutes early in case any emergencies have to be taken care of. Then, within two to five minutes after the deadline, the team departs. (For some people who are habitually late, having to pay cab fare can be a salutary experience.)

- A Before leaving, the TL should make certain that a person in each car has instructions on how to get to the site, in case the cars get separated. The TL should also remind TMs to wear their name tags and to introduce themselves at the service. Also before leaving, TMs should make sure that they have all the materials they may need in the field (as listed earlier), being sure not to overlook their sunglasses, enough gasoline, food, and an objective frame of mind (which can sometimes be purchased in antique stores). In instances where a typed listing of the members of the team is available, the TL should bring extra copies to hand out to key contact persons at the assessment site as soon as the team arrives. The hosts will then be able to see people’s names on the list as TMs identify themselves.

- C As mentioned earlier, the team should usually travel to the site and conduct the neighborhood tour in a caravan, for at least three reasons: (a) to assist each other in case someone has car trouble, or does not know the way and might get lost; (b) for fellowship at rest stops; (c) so that all TMs arrive at the same time at the service setting. The TL should certainly be in the first group of people to arrive, since inexperienced TMs may give out inexperienced messages to the host if the TL does not get there first. Should something happen which prevents the TL from arriving at the site first, other TMs should *wait* near the service site (on the curb, in the parking lot, etc.) until the TL shows up.

#### **Confirmation by the Team Leader of What the Team is to Assess**

Immediately upon arrival at the service being assessed, the TL should confirm with the service host(s) what program(s)/component(s) of the agency the team is to assess. As mentioned earlier, such arrangements should have been clearly negotiated beforehand, and the TL should have checked these out during the pre-assessment phone contact or personal meeting with the service host(s).

A Once a team arrives at a service being assessed, it may sometimes discover that a service it had thought, or been told, to be a single-component service turns out to consist of more than one component. When this happens in a training assessment, the TL should consult with the ETC/FL in order to decide which of the multiple components to assess. *Under no circumstances* is a team in an introductory training WS to attempt to conduct an assessment of multiple components or multiple programs. In assessments conducted outside the context of a training WS, the decision as to which of several components a team should assess should be arrived at by the TL and ETC/FL (if there is one) in consultation with the assessment coordinator. The reason is that the assessment coordinating body, if separate from the agency being assessed, may be under obligation to assess certain programs but not others, or a certain number of programs; or the assessment coordinator may know which of potentially several assessable programs is/are the one(s) that most urgently require the assessment; etc. Where a decision is made to assess more than one component under such circumstances, the team, and especially the TL, should refer to Appendix C for instruction on the modifications in assessment procedures that need to be made.

### General Guidelines for Gathering Data at the Site

A A major part of the assessment team's mission is to obtain as much information as needed about the service being assessed, and a team should use all ethical and reasonably delicate/diplomatic means at its disposal to do so. Each team will have to *judge the veracity and relevance* of all information, both that received from the agency and from outside sources, and regardless of whether the information was solicited or not. In order to help assure more reliable collection and interpretation of the data for an assessment, TMs are expected to keep *extensive* notes on all written records and documentation that they read, on all relevant statements they hear (e.g., during inquiries), as well as on any other relevant personal observations and thoughts during the assessment. A cardinal rule is to *trust nothing to memory*. There will be just too many facts to remember, and one may also forget which fact goes with which of potentially several service sites or components one may be visiting. The TL and/or TRs who will later write the assessment report will be grateful for such notes.

A Some TMs have been reluctant to take notes while visiting a service where clients are present, especially during the time TMs are to devote specifically to client observations and interviews. However, the potentially negative impact both on clients and service workers of note-taking by TMs has been greatly exaggerated. In reality, most clients and workers are hardly affected by note-taking, especially if notes are taken routinely rather than rarely. Also, TMs who use big notebooks may be able to reduce attention to their note-taking by using a smaller (e.g., pocket-size) notebook during periods of observations and interviews, or by recording on 3x5 index cards from out of their pockets. At any rate, it is extremely undesirable to make notes on one's observations *after*, rather than during, the actual observations and interviews.

B/C Also, in order to aid in writing the assessment report, the TL (and TR, if there is one) may wish to bring to the assessment a cassette tape recorder, to: (a) record certain inquiry sessions (but *only* when first cleared with the service hosts/representative(s)); (b) out of the hearing of others, dictate notes relevant to the assessment; (c) record parts of the conciliation session (such as the identification of clients' needs, the conceptualization of an ideal service, the major issues); (d) record the verbal feedback session; (e) dictate elements of the report immediately after the assessment (e.g., when travelling home) while the assessment's events and details are still likely to be fresh, and when immediate recording of thoughts, ideas, and modular paragraphs about the assessment can greatly assist in report writing; and (f) listen to relevant tapes, e.g., recorded minutes of the assessed program's board meetings, or the recording of a verbal feedback session from a previous assessment.

C Lunchtimes should be structured and used as work periods, either to meet as a team, to eat with the clients (often most informative!), or to read client records if the team is given access to them. Each TM could read one record — the "more random," the better. If a host of a training assessment is reluctant to permit access to records, the TL may ask if out-of-town TMs might do so, thus helping to protect client confidentiality. (In official assessments, access to client records is essential and will have been arranged beforehand. In other types of assessments, teams may just have to conduct the assessment without seeing such records.) TMs may also be able to assign levels to some ratings while eating, especially if they have already completed their neighborhood and/or site tours.

In assessments that are part of a training WS, there is usually only a minimal amount of time for teams to spend in inquiries, tours, observations, and documentation review. However, in official and other non-training assessments, where teams usually are scheduled to spend much more time collecting information on and at the service, TMs sometimes fall into the trap of not knowing when to cease their evidence collection. In order to be able to make a valid assessment, TMs do not need to talk to every person with an interest in, or association with, the service, to read through every single sheet of paper that the service has in its files, or to obtain every single piece of possibly irrelevant or even relevant evidence. TMs only need to have sufficient representative evidence to be able to resolve a rating issue, and every possible lead need not be researched to exhaustion in order for TMs to be confident that their evidence is sufficient to that purpose.

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There are three major categories of sources of evidence from which TMs can collect information that they need to complete each rating. These are: documentation; personal and direct observation of settings and events; and interviews and other direct/indirect verbal reports.

1. *Documentation.* This category of service evidence includes just about every kind of media on which information can be recorded and stored, such as: maps; photographs; drawings; newspaper articles; forms; policy and procedure manuals; minutes of meetings; program descriptions; client records; schedules; incident logbooks; program plans; funding proposals; individual client plans; job descriptions; annual reports; personnel records; agency stationery and brochures; films and filmstrips; videotapes; slide shows. Material that might be used for public education or staff training would also be included.

The review of documentation is usually the first stage in the process of data collection. The service being assessed usually provides various documentary materials to the assessment/WS coordinator prior to the assessment, and the assessment/WS coordinator then duplicates these as needed, and either distributes them to TMs prior to the assessment, or gives them to the TL to hand out to TMs at the earliest possible moment.

C/D

During the first team meeting, the TL should forcefully urge TMs to read or re-read agency documentation before the inquiry session and site visit. There will usually be one such set of materials for each TM for each service to be assessed, but sometimes there may only be one copy of certain materials and it will have to be shared. If so, it should be left in a place such as the team meeting room so that TMs can come, read it there, and leave it for the next person.

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C

However, the service may be unwilling to provide certain documentation (such as client records) to TMs prior to the assessment, so TMs may have to review some documentation during the course of the assessment itself, perhaps at the service site. Also, sometimes TMs do not discover a particular gem of potentially very helpful documentation until they are at the service. So the review of documentary materials actually continues throughout the assessment. Review of documentation may provide relevant information for any number of ratings, but rarely will it provide sufficient information on any rating for TMs to assign a level after having only reviewed documentation.

Readers are referred to the following chart (Table 1) for a list of potentially useful forms of documentation that they should try to peruse, if possible. This table replaces and supersedes that shown on p. 40 in the PASS 3 Handbook.

**Table 1**  
**Documentary Materials Which Reflect Agency Operations,**  
**and Which are Generally Useful to PASS/PASSING Teams**

**Reports:**

- Annual
- Planning
- Past evaluation
- Other

**Forms:**

- Personnel evaluation
- Client assessment
- Client record
- Client feedback
- Other

**Advisory or Board Documents:**

- List of board members (names, addresses, affiliations, phone numbers)
- Fund-raising brochures
- By-laws
- Minutes of meetings
- Other

**Miscellaneous:**

- Maps & charts of service area, & its geographic & demographic characteristics
- Policy statements
- Program descriptions
- Operating manuals
- Listings of programs, client characteristics, etc.
- Budget information:
  - Agency-wide budget
  - Program budgets
  - Budget forms for various funders
  - Per client budget analyses
- Contracts & agreements (e.g., between services)
- Organizational charts
- Advisory structures; names, addresses, affiliations, & phone numbers of members
- Personnel manual
- Staff job descriptions
- In-service training materials & reports
- Architectural plans, especially for proposed facilities
- Curricula or equivalent
- Instructional materials
- Schedules of program activities
- Logs
- Individual client records
- List of clients (names, ages), by program
- List of workers, by program
- Service/agency listing in phone directory
- Recent newsletters
- News clippings
- Staff publications
- General informational brochures
- Films
- Videotapes
- Slide shows
- Recordings
- Photo albums
- Other

2. *Observation.* TMs will gain a wealth of information about the service by touring it and directly observing what it looks like, what surrounds it, what goes on in it, how the people in it act, what they look like, and so on. Data that may be gathered from tour and observation includes not only what TMs see, but also what they hear, smell, taste, and "feel." A great many observations will have to be made not only inside the service, but also outside of it, e.g., in the neighborhood.

A The tour of the service neighborhood is usually the first activity of the team at the service site. This tour typically takes 15-30 minutes by car, and sometimes longer on foot. TMs should systematically gather data during this tour, noting the type of neighborhood and its resources (shopping areas, bus lines, nearby businesses and industry, and so on), and, as they approach the service setting, noting the impression the setting would convey to passers-by. Later on in the assessment, the team is given a formal guided tour of both the service setting's interior and exterior (not be be confused with the service's neighborhood) by a service representative.

C It may help TLs to be familiar with various useful texts on observing in service settings, such as *Participant Observation in Organizational Settings* written by R. Bogdan, published by and available from Syracuse University Press, Syracuse, New York 13210.

3. *Interviews.* By talking about a service with various people, TMs can gather information about the program that they may not be able to obtain any other way. Below is a list of the various kinds of structured (formal) interviews, or "inquiries," that may take place during the course of an assessment.

a. A formal main inquiry with one or more senior representatives of the agency(ies)/program(s) being assessed. Examples of such persons would be the executive director, relevant program director (e.g., the director of residential services in the assessment of an agency's group homes, the director of special education for a school's special classrooms for handicapped children), the principal if the program being assessed is a school, members of the board, etc. Of course, other parties besides senior staff may also serve as informants in this main inquiry, but it is essential that at least one person be interviewed who is authoritatively knowledgeable about the workings of the agency. In an official assessment, a team will usually spend one of its single biggest blocks of time on collecting data in this inquiry(ies).

In a PASS assessment, this inquiry focuses largely on issues covered by the ratings under the headings of "Ideology-Related Administration" and "Administration." However, because there are no administrative ratings in PASSING, the major inquiry with program personnel will focus on programmatic issues.

b. An inquiry with direct service personnel in the program(s) being assessed (such as houseparents in a children's group home, vocational counselors and work supervisors in a vocational training program, etc.). Even if a team does not hold an inquiry with direct service workers or other people who are more intimately involved with the specific program being assessed than with the operation of the agency as a whole, a team will still usually spend at least some time in informal contacts and interviews with such persons.

c. *For PASS assessments only:* Possibly an interview with personnel at a supra-agency level, such as people on regional service coordinating and/or funding bodies. Usually, this type of inquiry will only take place during an official assessment, and particularly where more than one service under the jurisdiction of such a supra-agency body is being assessed.

d. The team will often have informal contacts and inquiries with various other people throughout the course of the evaluation, such as clients, family members of clients, personnel in other programs in which clients are enrolled, etc.

In non-training, and especially official, assessments, the team will usually hold all or most of the above types of inquiries. In training assessments, time limitations are usually such that it is not possible for the team to conduct all the above inquiry sessions. Therefore, a training team usually conducts only a formal main inquiry with senior representatives of the program being assessed, and inquiry(ies) with persons directly associated with the program being assessed. In a PASS assessment, a team will usually spend more time on administrative inquiry than on programmatic inquiry; it will derive the majority of programmatic data from informal interviews, a review of documentation, and observation. This is because inquiry with highest-level personnel is essential in order to gain information needed for the administrative-related ratings. Since PASSING only assesses programmatic and not administrative aspects of a service, a greater amount of programmatic information in a PASSING assessment is derived via inquiry than in PASS, although a PASSING team will also spend a lot of time in informal inquiries, study of documentation, and observation.

During the inquiry, the team asks a great many specific questions in order to gain information on each rating in the assessment instrument. Typically, at least the initial formal inquiry takes the equivalent of half a working day — i.e., three to four hours — and some may even run much longer.

A In introductory training assessments, the inquiries are *always* conducted *only* by the TL; in advanced training assessments, they are at least largely conducted by the TL; and in other assessments, parts of an inquiry and sometimes even entire inquiries may be conducted by other TMs who, as mentioned earlier, (a) are highly skilled in PASS/PASSING, (b) have prepared themselves for this inquiry, *and* (c) have themselves had team leading experience.

At least during PASSING assessments, teams may need to meet with service personnel after completion of program observations, in order to clarify the extent of personnel consciousness of and commitment to various issues on which the service's performance appears to be very good. However, insofar as even on PASSING, per-

A sonnel consciousness is only decisive in differentiating between Levels 4 and 5 (i.e., the second highest and highest levels of a rating), the follow-up interview is best conducted after the TMs have completed their individual tentative level assignments, and determined whether any ratings at all need to be resolved. However, in a training assessment, if the TL does not feel that a Level 5 might be deserved on any rating, then no follow-up inquiry will be needed; in non-training assessments, no follow-up inquiry will be pursued if at least a majority of TMs on a team do not believe that any Level 5s are at issue.

C For some ratings, the majority of information that TMs must gather will come not from inquiry, but through tour and observation of the service setting, the people in it, its surroundings, and the program(s) in operation. Inquiry will only be required for such ratings in order to confirm information gathered via other means, to fill in gaps in the information obtained through other channels, and (for PASSING) to determine the degree of consciousness of, and commitment to, the issue on the part of service personnel. For this reason, inquiry on many ratings can be very short, and inquiry on several ratings can even be combined. For example, without having to ask separate questions for each specific rating, TMs on a PASSING assessment can gather some information on staff consciousness of the issue of social imagery in general, and on how imagery is conveyed by the different categories of service setting, clients' associations with other persons, program activities, and miscellaneous other symbol sources.

C/D After the initial inquiry, TMs will usually be given a tour through the interior of the setting by some knowledgeable service representative(s). During this time, TMs will also observe the program in operation, and usually take another look around the exterior of the setting. In official assessments, TMs may additionally tour and conduct interviews with clients and other staff unaccompanied by service hosts.

C Prior to the assessment, but after having reviewed the documentation made available by the agency, TMs (and especially the TL) should at least tentatively decide what ratings they hope to gather evidence about primarily through a review of further documentation (if any), primarily via observation, and primarily by interview. TMs may wish to organize their note-taking system accordingly. Of course, once the assessment begins, TMs may discover that they may gain information on a particular rating through some avenue other than the one they had anticipated, and TMs need to allow flexibly for this possibility.

Even though a valid assessment requires that raters have a thorough knowledge of and insight into the identity of the clients, the ratings themselves differ in regard to how much a rater needs to know about and have observed the clients in order to apply the rating. Obviously, many ratings require that evaluators have a very thorough knowledge of the clients. Indeed, some of the most heavily weighted ratings (such as PASS R113 Model Coherency and R1143 Intensity of Relevant Programming, or PASSING R231 Program Address of Clients' Service Needs and R232 Intensity of Activities & Efficiency of Time Use) will be severely distorted by evaluators if they lack a very insightful understanding of the clients. However, some ratings may require much less knowledge about the clients in order to be applied validly. For example, one need only have valid statistics about the ages of clients in order to assess the age-appropriateness of the service setting (PASS R11211 Age-Appropriate Facilities, Environmental Design & Appointments, or PASSING R1141 External Setting Age Image and R1142 Internal Setting Age Image).

For some ratings, the extent to which one must know the clients will depend on the general nature of the (proposed) clientele. For instance, if a service is offered to the general public, one may need to know little more than that in order to rate PASS R1141 Physical Overprotection, or PASSING R214 Challenge/Safety Features of Setting. However, if a service is offered to elderly people, one may have to know much more about them, e.g., how competent they are. This needed information may only be obtainable via careful observation of the clientele, probably supported by a review of representative case records.

Astonishing as it may at first appear, there are even some ratings for which it is not necessary that evaluators even know who the clients are. For instance, all the administrative ratings in PASS can be applied even if one knows nothing about the clients.

When a program proposal is being assessed, it may not be possible for the team to apply certain ratings that require evaluators to not merely know who the clients are, but to actually have seen them. (See Appendix D for further instructions along these lines.)

A The task of collecting information for an assessment is greatly facilitated if the assessed service fills out a written questionnaire that solicits assessment-relevant information. The questionnaire asks for rating-specific information that the team would otherwise have to obtain either via inquiry, or via sifting through substantial amounts of documentary materials. (A sample questionnaire for both PASS and PASSING is being developed; interested parties should contact either the publisher or the TI to obtain a copy.) For official assessments, such a questionnaire should really be considered essential. However, for training assessments, it is usually not feasible to ask a practicum service to fill out such a questionnaire prior to the assessment, because practicum agencies cannot be expected to expend the amount of time and energy required to complete it. The questionnaire should be filled out far enough in advance so that it can be copied and distributed to TMs no less than two weeks prior to the start of the assessment.

Because there is a great deal of information that must be gathered through these various channels, it is important that the steps involved be structured so as to facilitate the collection of accurate and sufficient data, and in a way which is most manageable by TMs. This means that the order that is recommended for the sequence of data collection at each step during an assessment will not be identical to the sequence in which the ratings appear in the *Manual*, nor to that in which they appear on the Checklist, PASS Scoresheet, and PASSING Scoresheet/Overall Service Performance form (see Appendices F, G, H, and J).

The following two tables show the recommended categories of sources for gathering data on each rating at each step during a PASS or PASSING assessment.

It is recommended, but certainly not essential, that evaluators use the "PASS/PASSING Individual Rating Evidence Organization Sheet" to collect and organize their data on the service during an assessment. One such form would be used for each rating. (A sample of this form is attached as Appendix O, and additional forms can be purchased from the publisher.) This form is set up so as to facilitate the collection, but especially the organization, of relevant data for each rating. It lists the sources of data (documentation, observation, inquiry) so that an evaluator can enter information into the category from which it was obtained. It also provides an option for an evaluator to classify the information according to whether it is positive, negative, or "neutral" in regard to the particular rating. Hopefully, use of this form would enable a user to be much better organized at a much lower cost of time and energy than is usually required to accomplish that end. The form also provides a place for a user to enter his/her individual level assignment (usually tentative) for the rating, as well as the team's conciliated level assignment. Because these forms are retained by the person who uses them, some TMs may be especially interested in this option, as using the forms would allow a TM to see how his/her individually-assigned levels coincided with or differed from those assigned by the entire team. Because the TL collects all TMs' Checklists at the end of conciliation, and turns them over to the WS/assessment coordinator or other responsible party for research purposes, a TM who only marked his/her individually-assigned levels on the Checklist would not have any record of the comparison of his/her individual judgments with those of the team.

### Specific Instructions for the Conduct of the Inquiry(ies)

A A formal inquiry with senior program personnel is usually the first activity of the team once it arrives at the service setting. However, the TL should check (or confirm) immediately upon arrival at the service such things as when clients will be there, when they will be leaving, etc., because some programs have very peculiar hours, or there may have been a change in client schedules from that of which the team had been informed. (This is most likely to happen in non-official assessments.) Though it is not desirable, the typical schedule of inquiry, tour, and program observation may have to be gerrymandered so as to allow team observations of significant client events. For instance, if clients leave at peculiar hours, such as 1:30 in the afternoon, a team that arrives in the morning would have to do some or most of the inquiry in the late afternoon, and only get a brief summary overview at the beginning before touring and observing.

C It is usually best if the inquiry leader/TL does not sit next to the major informant during the inquiry, else the other people present may not be able to hear the questions and answers.

C The inquiry leader/TL should occasionally defer to the ETC/FL (if one is present) during the inquiry, in case the ETC/FL wishes to ask additional questions.

**Table 2. A Listing of Probable Sources for Collection of the Major Portion of Data During a PASS Assessment**

Documentation	Yes	Yes	Probably Not Needed	Probably Not Needed	Probably Not Needed	Probably Not Needed	Probably Not Needed	Yes
Inquiry	Probably Not Needed	Yes	Probably Not Needed	Yes	Probably Not Needed	Yes	Yes	Yes
Observation	Probably Not Needed	Probably Not Needed	Yes; of Setting Exterior & Neighborhood	Yes; of Setting Exterior & Neighborhood	Yes; of Setting Interior	Yes; of Setting Interior	Yes; of Program in Operation	Yes; of Settings & Programs
<div>PASS RATINGS</div> <div>47</div>	R2221 Financial Documentation – Extent	R111211 Program, Facility & Location Names R111112 Regional Proximity	R1112122 Building-Neighborhood Harmony	R111132 Program-Neighborhood Harmony	R1152 Environmental Beauty	R1141 Physical Overprotection	R11222 Culture-Appropriate Personal Appearance	R113 Model Coherency
	R142 Age Group Priorities	R111111 Local Proximity R121 Comprehensiveness R122 Utilization of Generic Resources R131 Ties to Academia R132 Research Climate R211 Staff Development R212 Manpower Development R123 Consumer & Public Participation R124 Education of the Public R2211 Administrative Control & Structures R2212 Planning Process R2213 Program Evaluation & Renewal Mechanisms R11215 Age-Appropriate Autonomy & Rights R11225 Culture-Appropriate Rights R11217 Age-Appropriate Sex Behavior R11224 Culture-Appropriate Labels & Forms of Address R11214 Age-Appropriate Labels & Forms of Address	R1112121 Function Congruity Image	R111112 Access R111131 Physical Resources R111214 Deviancy Program Juxtaposition R11114 Congregation, & Assimilation Potential	R11211 Age-Appropriate Facilities, Environmental Design & Appointments R11221 Culture-Appropriate Internal Design & Appointments R1151 Physical Comfort		R11212 Age-Appropriate Personal Appearance R11223 Culture-Appropriate Activities, Routines & Rhythms R11213 Age-Appropriate Activities, Routines & Rhythms R1153 Individualization R11216 Age-Appropriate Possessions R1143 Intensity of Relevant Programming R141 Deinstitutionalization R1142 Social Overprotection R1112211 Deviant Staff Juxtaposition R1154 Interactions R1112212 Deviant Client & Other Juxtaposition R111222 Socially Integrative Social Activities R111213 Deviancy Image Juxtaposition	R125 Innovativeness R2222 Budget Economy

Table 3. A Listing of Probable Sources for Collection of the Major Portion of Data During a PASSING Assessment

Documentation	Yes	Yes	Probably Not Needed	Probably Not Needed	Probably Not Needed	Probably Not Needed	Probably Not Needed	Yes
Inquiry	Probably Not Needed	Yes	Probably Not Needed	Yes	Probably Not Needed	Yes	Yes	Yes
Observation	Probably Not Needed	Probably Not Needed	Yes; of Setting Exterior & Neighborhood	Yes; of Setting Exterior & Neighborhood	Yes; of Setting Interior	Yes; of Setting Interior	Yes; of Program in Operation	Yes; of Settings & Programs
P A S S I N G  R A T I N G S	R144 Image Projection of Service Funding	R1432 Agency, Program, Setting, & Location Names  R1152 Image Projection of Setting—History  R2211 Competency-Related Intra-Service Client Grouping—Size  R2212 Competency-Related Intra-Service Client Grouping—Composition  R133 Promotion of Client Autonomy & Rights  R225 Promotion of Client Socio-Sexual Identity  R1431 Image Projection of Personal Labeling Practices	R1121 External Setting Aesthetics  R1131 External Setting Appearance Congruity With Culturally Valued Analogue  R1141 External Setting Age Image	R1111 Setting-Neighborhood Harmony  R1112 Program-Neighborhood Harmony  R2111 Setting Accessibility—Clients & Families  R2112 Setting Accessibility—Public  R212 Availability of Relevant Community Resources  R121 Image Projection of Program-to-Program Juxtaposition  R122 Service-Neighborhood Assimilation Potential  R1151 Image Projection of Setting—Physical Proximity	R1122 Internal Setting Aesthetics  R1132 Internal Setting Appearance Congruity With Culturally Valued Analogue  R1142 Internal Setting Age Image  R213 Physical Comfort of Setting	R1153 Image Projection of Setting—Other Internal Physical Features  R214 Challenge/Safety Features of Setting  R215 Individualizing Features of Setting	R1231 Image Projection of Intra-Service Client Grouping—Social Value  R124 Image-Related Other Integrative Client Contacts & Personal Relationships  R141 Program Address of Client Personal Impression Impact  R1232 Image Projection of Intra-Service Client Grouping—Age Image  R131 Culture-Appropriate Separation of Program Functions  R132 Image Projection of Program Activities & Activity Timing  R224 Program Support for Client Individualization  R231 Program Address of Clients' Service Needs  R233 Competency-Related Personal Possessions  R142 Image-Related Personal Possessions  R232 Intensity of Activities & Efficiency of Time Use  R1252 Service Worker-Client Image Match  R1251 Service Worker-Client Image Transfer  R223 Life-Enriching Interactions Among Clients, Service Personnel, & Others  R222 Competency-Related Other Integrative Client Contacts & Personal Relationships	R145 Image Projection of Miscellaneous Aspects of a Service

Teams should be conscious of the fact that defensiveness is particularly apt to be high at the beginning of the inquiry, so this is where TMs should be particularly gentle and friendly; later on, when rapport has been established, the inquiry can become tougher, if necessary.

The preceding tables (Tables 2 and 3) were provided only to give a reader an understanding of the various sources of information for each rating in the assessment instrument. The sequence in which it is suggested that a team actually proceed to obtain such information is shown in Tables 4 and 5. (The sequence of inquiry shown here for a PASS assessment (Table 4) replaces and supersedes that on p. 42 in the *PASS 3 Handbook*.) These recommended sequences are set up so as to (a) reduce the likelihood that teams will have to do unnecessarily redundant searching for information (though some redundancy can be helpful and is desirable), (b) increase the likelihood that TMs will be able to differentiate from each other rating issues or information relevant to only certain ratings, and at the same time, (c) help TMs to group together related ratings, and therefore data collection on them. For example, all four PASSING ratings having to do with the intra-service client grouping are grouped together in the sequence. Since the answers to certain questions would provide TMs with information relevant to each of these four ratings, grouping them together in this way makes it possible for TMs to ask the questions only once, yet have the information easily accessible for all four ratings. Similarly, the four internal setting image ratings on PASSING are grouped together, as TMs will be able to gather information on all four simultaneously as they look around the interior of the setting.

However, especially if a team holds multiple inquiries with service-associated personnel at different levels of service activity and operation (e.g., one inquiry with the executive and board members, one with direct program staff), the inquiry leader/TL may wish to thoughtfully adapt the inquiry sequence somewhat to fit the expertise of the informant. Typically, senior personnel are best informed on global issues, junior personnel may have more detailed program knowledge, and some people on either of these levels may know very little about the other level. If an inquiry leader/TL (presumably for good reasons only) plans to make any changes in the proposed sequence of inquiry, s/he should be sure to inform TMs of these changes no later than at the first team meeting, and to remind them of the changes before the team departs for the inquiry.

During the inquiry, it is most helpful for TMs to have the rating at issue in front of them during inquiry on it; this can be done by having the *PASS* or *PASSING Manual* open to the page of the rating. (TMs should note that the page numbers appear next to the rating names on the inquiry sequence tables.)

The procedure for inquiry is as follows.

The inquiry leader/TL should begin by asking the informant(s) for a very brief (perhaps two- to seven-minutes) initial overview of the service, because otherwise the team may get lost for hours in details of the inquiry without a global feeling for what the agency does or who its clients are. This is especially important where written material on the service is sparse or not very informative.

The inquiry leader/TL asks the service representatives questions relevant to one issue at a time. In order to keep TMs tuned in to the line of inquiry, as well as to help them keep their evidence organized and perhaps make tentative level assignments, the leader will usually begin each line of inquiry by saying something like, "We would now like to discuss some issues of *(name of rating or ratings)*, which is/are on pages \_\_\_\_\_ in the *PASS/PASSING Manual*." The leader will then ask all the questions that s/he had prepared on that issue or rating. Once all these questions have been answered, the leader will say something like, "That appears to conclude the inquiry for this issue/rating(s); are there any further questions on this issue/rating(s)?" If a TM has a relevant question pertaining to that issue, s/he should ask it now. However, sometimes a TM asks a question which is actually pertinent to another issue or rating. This is most apt to occur during training and non-official assessments with inexperienced TMs. When it happens, the inquiry leader/TL should tactfully explain that the question may be a good one, but that it actually applies to another issue which will come up later on in the inquiry. Sometimes, the inquiry leader/TL has to defer information which service representatives are anxious to give, such as by saying, "That is very useful, but we would like to return to that later in connection with another issue." However, the inquiry leader should note if something that the informant offers at an inopportune time should be brought up at a later point in the inquiry sequence. For instance, if the informant remarks on something that the team did not know about, but which could be very fruitful for the team to investigate, then

**Table 4: A Proposed Sequence of Data Collection During A PASS(-FUNDET) Assessment,  
Proceeding in 3 Stages from General & Systemic to Specific Elements (FUNDET Ratings are in Parentheses)**

Page No.in Manual	Rating Number	1. Initial (Administrative) Inquiry	Page No.in Manual	Rating Number	2. Site Inspection/Tour & Inference	Page No.in Manual	Rating Number	3. Programmatic (Possibly Post-Tour) Inquiry
10	R111211	Program, Facility & Location Names	5	R111131	Physical Resources	32	R11223	Culture-Appropriate Activities, Routines & Rhythms
35	R113	Model Coherency (N.B.-Observation & programmatic inquiry are also necessary to make a rating judgment)	5	R111132	Program-Neighborhood Harmony	25	R11213	Age-Appropriate Activities, Routines & Rhythms
56	R142	Age Group Priorities	12	R1112122	Building-Neighborhood Harmony	19	R111222	Socially Integrative Social Activities
55	R141	Deinstitutionalization	11	R1112121	Function Congruity Image	19	R1112212	Deviant Client & Other Juxtaposition
2	R111112	Regional Proximity	43	R1152	Environmental Beauty	18	R1112211	Deviant Staff Juxtaposition
75	(R343	Geo-Demographic Hardship)	42	R1151	Physical Comfort	34	R11225	Culture-Appropriate Rights
47	R121	Comprehensiveness	31	R11221	Culture-Appropriate Internal Design & Appointments	28	R11215	Age-Appropriate Autonomy & Rights
75	(R35	Non-Duplication – Newness)	24	R11211	Age-Appropriate Facilities, Environmental Design & Appointments	41	R1142	Social Overprotection
76	(R36	Service Utilization Enhancement)	40	R1141	Physical Overprotection	33	R11224	Culture-Appropriate Labels & Forms of Address
62	R2211	Administrative Control & Structures	31	R11222	Culture-Appropriate Personal Appearance	27	R11214	Age-Appropriate Labels & Forms of Address
65	R2221	Financial Documentation – Extent	24	R11212	Age-Appropriate Personal Appearance	44	R1153	Individualization
72	(R32	Funding Exploration)	29	R11216	Age-Appropriate Possessions	45	R1154	Interactions
71	(R31	Continuation of Funding)	13	R111213	Deviancy Image Juxtaposition	41	R1143	Intensity of Relevant Programming
63	R2212	Planning Process	52	R125	Innovativeness			
63	R2213	Program Evaluation & Renewal Mechanisms	74	(R3422	Socio-Ecologic Hardship – Impact)			
48	R122	Utilization of Generic Resources	74	(R3421	Socio-Ecologic Hardship – Effort)			
53	R131	Ties to Academia	66	R2222	Budget Economy			
54	R132	Research Climate	77	(R372	Program Appropriateness)			
59	R211	Staff Development	77	(R371	Client Appropriateness)			
60	R212	Manpower Development	72	(R33	Financial Documentation – Accuracy)			
51	R124	Education of the Public	73	(R341	Financial Need)			
50	R123	Consumer & Public Participation	78	(R373	Consistency With Funder Policies & Standards)			
2	R111111	Local Proximity						
3	R11112	Access						
6	R11114	Congregation, & Assimilation Potential						
17	R111214	Deviancy Program Juxtaposition						

N.B. Evidence on those ratings that are joined by a bracket ( [ ] ) can often be collected simultaneously, without pursuing separate lines of inquiry or evidence collection for each separate rating.

**Table 5: A Proposed Sequence of Data Collection During a PASSING Assessment, Proceeding in 3 Stages from General & Systemic to Specific Ratings**

Page No.in Manual	Rating Number	1. Initial Inquiry	Page No.in Manual	Rating Number	2. Site Inspection/Tour & Inference	Page No.in Manual	Rating Number	3. Programmatic (Possibly Post-Tour) Inquiry
309	R1432	Agency, Program, Setting, & Location Names	355	R2112	Setting Accessibility—Public	451	R224	Program Support for Client Individualization
319	R144	Image Projection of Service Funding	131	R1151	Image Projection of Setting—Physical Proximity	473	R231	Program Address of Clients' Service Needs
141	R1152	Image Projection of Setting—History	365	R212	Availability of Relevant Community Resources	497	R233	Competency-Related Personal Possessions
165	R121	Image Projection of Program-to-Program Juxtaposition	53	R1112	Program-Neighborhood Harmony	277	R141	Program Address of Client Personal Impression Impact
175	R122	Service-Neighborhood Assimilation Potential	43	R1111	Setting-Neighborhood Harmony	221	R1251	Service Worker-Client Image Transfer
409	R2211	Competency-Related Intra-Service Client Grouping—Size	65	R1121	External Setting Aesthetics	231	R1252	Service Worker-Client Image Match
419	R2212	Competency-Related Intra-Service Client Grouping—Composition	87	R1131	External Setting Appearance Congruity With Culturally Valued Analogue	439	R223	Life-Enriching Interactions Among Clients, Service Personnel, & Others
189	R1231	Image Projection of Intra-Service Client Grouping—Social Value	109	R1141	External Setting Age Image	485	R232	Intensity of Activities & Efficiency of Time Use
199	R1232	Image Projection of Intra-Service Client Grouping—Age Image	75	R1122	Internal Setting Aesthetics	243	R131	Culture-Appropriate Separation of Program Functions
345	R2111	Setting Accessibility—Clients & Families	97	R1132	Internal Setting Appearance Congruity With Culturally Valued Analogue	253	R132	Image Projection of Program Activities & Activity Timing
			119	R1142	Internal Setting Age Image	429	R222	Competency-Related Other Integrative Client Contacts & Personal Relationships
			151	R1153	Image Projection of Setting—Other Internal Physical Features	209	R124	Image-Related Other Integrative Client Contacts & Personal Relationships
			375	R213	Physical Comfort of Setting	265	R133	Promotion of Client Autonomy & Rights
			385	R214	Challenge/Safety Features of Setting	461	*R225	Promotion of Client Socio-Sexual Identity
			395	R215	Individualizing Features of Setting	299	*R1431	Image Projection of Personal Labeling Practices
			287	R142	Image-Related Personal Possessions	329	*R145	Image Projection of Miscellaneous Aspects of a Service

\*Evidence for these last 2 ratings will have been collected throughout the assessment from documentation, observation, & interviews.

N.B. Evidence on those ratings that are joined by a bracket ( [ ) can often be collected simultaneously, without pursuing separate lines of inquiry or evidence collection for each separate rating.

the inquiry leader (or TT, if there is one) might make a note on a 3x5 card to bring up that point later, and then insert that 3x5 card into the appropriate place in the inquiry leader's sequence of inquiry questions. TMs should refrain from asking extraneous questions which may be interesting but have no bearing on the ratings, and they should not interrupt a line of relevant inquiry by another TM until that person has exhausted the relevance or productivity of that line of inquiry. On the other hand, if a TM is convinced that s/he can strongly improve upon a line of ongoing questioning, s/he may do so by asking additional questions on the topic.

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Some lines of inquiry may be designed to elicit information on more than one rating, such as when an inquiry leader/TL asks staff to talk about a particular client's identity, strengths and weaknesses, needs, etc. As well, TMs may gain evidence for several ratings even from a line of questioning that is aimed primarily at one specific rating. For instance, while asking questions on the client grouping in the program, information may also come out on staff's perception of clients' needs, labeling of clients, the appropriateness of program activities, etc.

A  
A

Especially during a PASSING assessment, it is important that during the inquiry, the team probe for staff consciousness of, and commitment to, the normalization issue at stake *where the service's performance on a rating appears to be quite good*, because in PASSING, staff consciousness/commitment can make the difference between the two highest levels on a rating. Even in PASS, staff consciousness of the issue is required in order for a service to receive the highest level on several ratings. This is one reason why, as mentioned, it is almost imperative that there be an interview on at least some ratings *after* the team has toured the setting, observed the clients and the program in operation, and reviewed documentary materials. Otherwise, if a team observed a service practice or feature that would rate very highly on a PASSING rating, the team would not have an opportunity to determine service consciousness in regard to the issue, and the team would be left to infer the degree of consciousness as best it could. While inference can certainly be helpful on occasion, it cannot be a team's only source of evidence about personnel consciousness of the issues.

However, if a service's performance on a given PASSING rating is obviously not going to be very high, then the team need not determine the degree of staff consciousness about the issue, because consciousness is not a relevant factor in deciding on levels lower than Level 4 and 5.

C

As is customary in good interviewing, questions to determine staff consciousness of an issue should start by being open-ended and non-leading, e.g., "On what basis did you determine how you would group your clients for the program(s) they receive?" versus "Did you use clients' ages and ability to determine how to group them in the program?" Once the issue has been opened, questions can begin to become more focussed and direct, if needed, to resolve an issue, e.g., "We noticed that in each of your classroom groupings, the clients seem to be at about the same level of skill or functioning. Could you explain the rationales for this practice?"

Below are some additional sample questions that could be posed to ascertain service personnel consciousness in regard to various issues.

"Would you ever relocate the service? If so, where would you go? What kinds of things would you look for in the new location?"

"Do you have a policy in regard to the hiring of handicapped staff? Why do you have that policy?"

"How were the contracts that you have in your sheltered work operation selected and obtained? What kinds of additional contracts would you like to obtain? Which would you like to terminate, and why?"

"What is your rationale for having these student volunteers from the other classes in the school come in to assist the teacher with the handicapped kids in this class? Would you like to continue this involvement? What changes would you make in it?"

Of course, asking similar questions when a service's performance on a rating is likely to be poor (e.g., "Have you ever noticed that your service is surrounded by cemeteries and nursing homes? What do you think about that?") may be very illuminating, but it is not necessary because consciousness does not enter into differentiation of the lower levels of a rating.

A During the inquiry, TMs from the same locale as the service may find that through their own service experiences and contacts, they know more about some aspects of the service being assessed than do the informants. In that case, they should inform the inquiry leader and/or TL of inaccuracies or gaps in the information received either during a break in the inquiry, or later, but *not* in the middle of an informant's answer or interview. If TMs interrupt the inquiry to correct what they believe is misinformation, it could not only be very embarrassing to the hosts and the rest of the team, but might inhibit or otherwise impair the rest of the inquiry. As well, the information which TMs possess may not be valid either, and in any case, the team will always have additional channels of information to pursue in order to determine whether the TM's or the informant's information is correct. Feedback to the informant on these areas belongs only in the verbal feedback session or the written report.

A The pace of the inquiry on ratings later in the sequence may accelerate as the team begins to "know" the service, and therefore the answers. In their concern for remaining objective and not "jumping to conclusions," some novice inquiry leaders/TLs tend to overkill the inquiry on such later ratings. An inquiry leader/TL should strive for a balance between applying his/her growing global knowledge of the service, and not prematurely leaving avenues of inquiry that could provide useful and unanticipated information. However, inquiry should not be terminated until the elicited information permits a TM to make a tentative level assignment for the rating. TMs can do this by keeping their *Manual* open to the rating that is being inquired upon, and then recording their tentative level assignments onto their notes (perhaps in a special color), or onto the evidence collection form (Appendix O) they may be using. If it becomes obvious that an informant is unable to answer a line of inquiry or a particular question, the issue should not be pressed beyond reasonable promise of pay-off.

A Both during the inquiry and the later tour, the TL needs to remember that where the service being assessed is located in the same setting as other programs (e.g., on the same campus), the team will need to know at least some facts about the other programs, and will need to walk through them, in order to be able to accurately assess the service's performance on several ratings having to do with juxtapositions and client groupings and concentrations.

C Whenever an informant promises to come back to an issue, provide a document, etc., the TT (if there is one) or the TL should make a note on a separate 3x5 card. These can later serve as reminders to the TL of things to do and track.

A Some of the things that teams often forget to obtain during the inquiry are: the precise chartered or incorporated name of the agency; date of initial operation of the service, and a brief history; *exact* names and titles of major contact figures, and perhaps the length of time they have been in their positions. Where this type of objective information is obtained prior to the assessment by means of a written form, it should at least be briefly verified in the verbal interview.

C The inquiry leader/TL should end the interview(s) in a courteous, thankful manner, and should ask the informants whether there is anything they want to add or ask before the team moves on to its next order of business.

### **Specific Instructions for the Conduct of the Inquiry(ies) During Training Assessments**

A After considerable experimentation, it has been found essential that *during introductory training WSs, the TL conduct all of the inquiry(ies)*. While it would be desirable for other TMs to get practical experience, it simply does not work well: inquiries become chaotic and disorganized, teams — and indeed entire assessments — fall apart, and TMs may never experience a well-conducted inquiry. Thus, TMs other than the TL will have to learn how to conduct inquiries gradually, via imitation of good models, and perhaps by being permitted to conduct part of an inquiry during an advanced WS or a non-official evaluation, rather than through actual experience at an introductory WS.

C If a particularly forward TM, unaccustomed to good PASS/PASSING practice, tries to take the leadership of the inquiry away from the TL, the TL may have to remind the TM of the TL's inquiry role — at first gently, then more firmly, and perhaps repeatedly. Hopefully, it will not happen, but there may even come a time when the TL will simply have to say, "This is the way it is going to be, and I do not want to hear anything else" — embarrassing as it may be to have to do so before the hosts and other TMs.

- C Especially during inquiries in training assessments, it may not be inappropriate at times for the TL or the ETC/FL to make teaching comments to the team which have some bearing on PASS or PASSING, or which may help clarify something an informant is saying. For instance, a TL may draw TMs' attention to the fact that a point of information is relevant to a particular rating, or may explain what a term means, etc. Of course, this should only be done if it does not constitute feedback on service quality or on service performance on the evaluation instrument to the agency members who are present, or does not otherwise involve sensitive issues.

### **Specific Instructions for the Conduct of Program Observations and Tours**

- A Certain ground rules should be observed specifically when touring and observing programs. It is often tempting for TMs to view such times as periods of relaxation, but they are not; visits to programs demand a different type of concentration than other assessment activities, such as inquiries.

- A In order to get the most out of periods of observation during an assessment, a TM must consciously prepare him/herself to have an attitude of lowered defensiveness, and to open his/her entire sensorium (sight, hearing, smell, touch, etc.) to the full range of input, even that which is subtle and perhaps not neatly classifiable. Such a non-defensive, open attitude would also imply that a TM would register and retain all observations and impressions, even if these are not immediately understood, and that s/he would take observational "samples" (test the doors, windows, and light switches; use the toilets and faucets; try the pay phones, candy and cigarette machines, etc.), even if s/he is not sure yet how these samples will be useful. This kind of opening up of oneself must be a conscious effort, as it can be very demanding and stressful, particularly so for people who tend to be defensive, or who come to the assessment with strong biases. This kind of attitude can even be very mentally draining, as it requires more concentrated effort than most people are used to exerting.

- A The overriding purpose of touring and observing a program during an assessment is to collect relevant data, primarily through observation, and primarily on certain rating areas, such as quality of interactions, setting appearance, individual programs and schedules, program activities, etc. In order to do this effectively and without being distracting, TMs must avoid becoming actors in the social environment, and must instead remain observers of the environment. This means that each TM must always be conscious of maintaining a sensitive balance between congeniality and objectivity, i.e., between being a gracious guest of the service and a probing investigator thereof. Therefore, it is suggested that TMs consciously plan to spend most of their time during such visits "in the background," out of program activities, blending with and observing the environment, and to as much as possible minimize projecting themselves into the course of events and occurrences within the service. Difficult as this may sometimes be to do, it is necessary, because to the extent that TMs become engaged with clients or workers, they change the environment significantly, and actually prevent from happening what would otherwise naturally occur if they were not there. This implies that TMs should typically not initiate engagements, and especially that they should not intervene in any incidents. For example, if a glass of milk is spilled during dinner, TMs may have to restrain their natural impulse to help, and instead should observe what does take place and how this spilled milk incident is handled by the persons in the service. TMs should only act in the most serious of circumstances, such as when a person is in real and imminent danger of physical harm.

- A TMs should try to conduct observations and interviews of clients especially at the critical "time hinges" of a program day. "Time hinges" are moments of significant discontinuity in what goes on, e.g., when people arrive, eat, move from one program to another, go to bed, leave. Very important observations can take place on such occasions. Thus, if at all possible, the team should watch people arrive and enter; if it is a mealtime, they should observe people leave their areas, go down the hall to the lunchroom, etc.; if there is any choice at all, the team should eat with the clients instead of with staff or even off the service grounds altogether; the team should observe clients leave at the end of the program day; and so on.

- C A very important rule of thumb in observing during an assessment is to note the degree to which adaptive normalizing actions on the part of clients and staff appear to be reflexive. At times, a team may mistake the relaxed attitude of service workers for low program intensity, whereas it may actually be an indication that training and ongoing program structure supports have been so good that staff have a great deal of confidence in the clients, and that staff can depend upon certain internalized routines on the part of clients.

- C/A TMs should not talk about their observations to each other, and as mentioned, they should especially not talk about any observations in front of representatives of the service being assessed.

As previously mentioned, at some point during the assessment, the team will take a group tour through and around the service setting. There are a number of points of which TMs should be aware in regard to such tours.

1. Some factors which may affect what TMs may get out of the tour include the following: not all agency members who will guide a team through a service are equally skilled at giving tours; TMs bringing up the rear often cannot hear what is said in the front of the team, and the team may be so large or the environment so noisy that many TMs will have difficulty hearing the tour guide speak; even well-prepared and disciplined teams move excruciatingly slowly, and stragglers and individualists frequently further slow down the tempo of a tour to such a degree that the entire schedule is jeopardized. Although some of these factors are clearly beyond the control of the team, TMs should do those things that are under their control which would enhance the value or efficiency of the tour for the team, including the following.

A a. Stay very close to the tour guide at all times, since useful information may be given even while the team is walking from one spot to another.

C b. Walk quickly when moving from one location to another. It not only saves time, but also projects a lively image.

A c. When the tour guide stops to talk, those TMs in the front of the group should quickly surround the person so that TMs in the rear can come close enough to hear the tour guide, and can do so quickly. Thus, if one is near the front of a column of TMs, one should step to the other side of the tour guide (i.e., behind the tour guide if s/he faces away from the group), so as not to block visual and auditory access to the tour guide for those in the team who are further away.

A d. In introductory WSs, the team should not break up into subgroups; in other assessments, it should only do so on the TL's instructions.

A e. TMs should not distract the attention of other TMs; similarly, separate private conversations among TMs while the tour guide is speaking are discourteous and can be disruptive.

A f. TMs should be attentive when another member of the team speaks or asks a question.

C g. TMs should ask questions in a voice loud enough to be heard by the entire team. This is especially important if one is in the front of the group near the tour guide.

C 2. If the tour guide suggests that TMs observe some area(s) on their own — i.e., without his/her presence — they should do so, but should be alert for the opportunity to be included in any interpretation that the tour guide may give informally elsewhere or later on the observed activity.

C 3. TMs should be somewhat thoughtful of the types of questions they ask of tour guide(s), and the types of interactions in which they engage key or senior persons at the site visited. Generally, high-level questions should be asked of more senior people, and basic and detailed information can be obtained from other staff and/or the tour guide. In addition, TMs should avoid monopolizing the tour guide, or drawing him/her into issues that may be of interest to an individual, but that are of peripheral interest to the total team or to the team's tour purposes. Available time with the tour guide and other staff is generally so limited and precious that it should be utilized to purposes of maximal relevance to the tour, and of maximal benefit to the entire team. Therefore, during group tours, it is very helpful for the assessment TL, or sub-team leader, to ask most of the questions for the team, and for other TMs to minimize their questioning of the tour guide, asking only things no one else has asked, and that contribute to an understanding of the service.

C 4. If it becomes obvious that a tour guide is unable to answer an inquiry, the issue should not be pressed beyond reasonable promise of pay-off.

C TMs should note that it is also not necessary to take a separate tour for each rating, so to speak. For example, during the neighborhood survey, TMs can collect evidence for several ratings, such as how well the setting harmonizes with its neighborhood, how proximate and accessible the service is to the community, etc. The same holds true for the tour of the setting itself, including its interior.

A During training assessments or during assessments conducted for certain reliability research studies on the assessment tool, it is even more important that all TMs stay in a single group and close together *at all times*, so that they will all hear all the questions being asked, will receive exactly the same information from tour guides, and can verify each other's observations during the conciliation session, which helps insure a reliable assessment. If TMs gather different information by wandering off in many directions, the conciliation session will be a confusing and frustrating experience of trying to accommodate diverse unverified information. In an official assessment with trained and experienced raters, the team is usually split up for several assessment events, but in a training assessment, it can be assumed to be disastrous to do so.

### Guidelines for Visits/Interviews with Clients During an Assessment

A Oddly enough, one area in which teams are sometimes deficient is in the amount of time and energy they devote to interviewing clients in order to get the clients' views and perceptions of the service. Especially when the team visits a service setting twice (once to meet with service workers, and once to meet with clients), and/or during training WSs when time is short, *it is imperative that client contact opportunities not be used to interview workers instead*. During training assessments, there may not be a specific time scheduled for conversation with clients, so such conversations will have to be conducted as part of other program observations, e.g., during lunch. However, in official assessments, there should be sufficient time, some of it usually specifically designated, for TMs to interview clients on a formal and/or informal basis.

C TMs' conversations with clients should be kept purposeful, honest, and open, not meaningless, social, superficial or contrived, and should be information-focused and related to ratings, or to issues which are relevant to the particular client and to the assessment as a whole. Therefore, before they have occasion to interview clients, TMs should plan which issues to discuss with clients when the opportunity arises, and TMs should also think about how to approach a client to be questioned. The setting and manner of discussions with clients is also important. For example, it can be very intimidating to a client for TMs to hover over the person and fire questions at him/her. TMs should also be sensitive to clients' needs, e.g., if someone has a hearing impairment, a TM should talk to the person so that s/he is able to see the TM's lips. If clients are of limited education or intelligence, the conversation should use simple terms, short phrases, etc. Lastly, if a client does not want to be questioned, then his/her wishes should be honored. Possibly other channels need to be pursued (e.g., other clients can be interviewed) if certain information about a particular issue or client is very important. However, as mentioned earlier, TMs (especially during training assessments) should consult with their TL before pursuing unscheduled channels of information. Obviously, TMs are expected to accord the utmost respect and dignity to each client at all times.

A As mentioned previously, TMs must be sure to take notes *during* their conversations with clients, not afterwards. This can usually be done unobtrusively (in a very small notebook, on 3x5 cards, etc.) if planned beforehand.

### Special Procedures for Data Collection During Official or Advanced Training Assessments Only

B/C/D In all PASS and PASSING assessments, all TMs participate in several data-gathering events together as a team, especially the major inquiry sessions. During introductory WSs, the teams also stay together for the tour of the site and program observations. However, during official assessments in which TMs have more PASS/PASSING experience, training and skill, and during advanced training WSs, it is frequently highly useful for the TL to sub-divide the team and give each TM or subgroup of several TMs specific supplemental assignments. For further information regarding these assignments, TLs should refer to Appendix B, "Guidelines for the Assignment of Individual Responsibilities to Team Members and/or Sub-Teams During Official and Advanced Training PASS or PASSING Assessments."

C To the extent possible, the TL will make specific individual or sub-team assignments during the initial team meeting, so that TMs will have the flexibility to accomplish these assignments whenever they have time. Usually, the TL will also set aside a block of time for the specific purpose of having sub-teams and/or individual TMs perform their special assignments. (A good time is usually after all other data-gathering has been completed, and

A [prior to the individual assignment of rating levels.) The TL will inform TMs of the approximate deadline by which their assignments will have to be completed, and TMs should be as diligent as possible in keeping to those timelines. The TL will also set specific time(s) during the assessment when TMs will be expected to report on their assignment(s) to the team as a whole.

In order for the reports of sub-teams and individual TMs to the team to be maximally helpful, the following guidelines should be observed.

- A 1. During the conduct of a specific assignment, TMs should take thorough and detailed notes.
- C 2. Prior to making their reports, TMs should structure, prioritize, and summarize their notes.
- C 3. Each TM and sub-team should prepare to make a *concise* (i.e., brief but excellent) report to the team on each assignment.
- A 4. Reports should be *descriptive, factual*, and (to the extent possible) *devoid of evaluative or judgmental commentary*, in order for all TMs to be able to analyze the findings objectively and make their own individual ratings.
- C/D 5. Following the reports, or prior to departure from the assessment, TMs and sub-teams should give their notes (or at least a set of notes) to the TL, because such notes will be of significant assistance to him/her in writing the team's assessment report.

#### Summary of Guidelines for Behavior While a Team is at the Service Site

A One humorist has compiled the following summary of guidelines for behavior of TMs while on site: "The Ten (So Far) Commandments for PASS or PASSING Evaluators".

- 1. Thou shalt be courteous.
- 2. Thou shalt not complain.
- 3. Thou shalt not whisper, nor shalt thou holler.
- 4. Thou shalt not be overtly judgmental on site, nor shalt thou teach.
- 5. Thou shalt not cast thine eyes upon private quarters without permission.
- 6. Thou shalt stay together as a group, neither hurrying in advance nor lagging behind. (Intended especially for introductory training WSs.)
- 7. Thou shalt not disrupt programs.
- 8. Thou shalt listen and observe more than talk and participate (usually).
- 9. Thou shalt set a good example, in language, behavior, and interactions.
- 10. Thou shalt not divulge any information about the service to thy husband/wife/consort, parent, child, friend, colleague, boss, nor to the employees of that service, nor to its volunteers, nor even to thy confessor — to no one other than thy fellow TMs, and thou shalt have thy TL and thy ETC/FL to deal with if thou doth.

## **GUIDELINES FOR THE CONDUCT OF ASSESSMENT ACTIVITIES THAT FOLLOW THE COMPLETION OF ASSESSMENT SITE VISITS AND DATA COLLECTION**

After a team has conducted its inquiries, toured the service and its setting, observed the program in operation, perused available documentary material, and done whatever else is necessary in order to collect sufficient evidence on the service to be able to do a valid assessment, there are still four activities that remain for the team to do. The first is for each TM to assign to the service a level for each rating of the instrument. Each TM does this part of the assessment individually and separately — i.e., without consultation with any other TMs — by judging all the evidence s/he has collected on the service against the criteria for each of the ratings in the instrument.

A

Then, after all TMs have completed their individual rating level assignments, the team will gather for an intensive, and usually quite lengthy, session of intra-team discussion and analysis, called “conciliation.” There are multiple purposes to the conciliation session, including: pooling and analysis of data; achievement of consensus (if possible) by the team as a whole on the service’s performance on each of the service quality ratings in the instrument; improving the reliability and validity of the scores; definition of major issues and recommendations for the assessed service; and the learning and refining of PASS/PASSING principles and technique by TMs.

A

Next, the team prepares its feedback (verbal and/or written) to the service(s) it has assessed, and to other trainees if the assessment was part of a training WS.

A/D

Each team also conducts an intra-team evaluation of each of its members, so that responsible parties (such as assessment/WS coordinating bodies and training centers) may be informed of how to involve TMs in future events. Preferably, this evaluation is conducted after the feedback to the service has been prepared, and after the VFS (if any) has been given. However, schedule circumstances sometimes require that the intra-team evaluation be conducted earlier.

C

The guidelines in this section apply to the conduct of these last activities of a PASS or PASSING assessment. The first section of guidelines here covers the assignment of rating levels, both by individual TMs and by entire teams. The second section deals with procedures for the conciliation session. The third section briefly details the rationales and procedures for the intra-team evaluations. The fourth and last section concerns the preparation and presentation of feedback on the assessment’s results.

### **Guidelines for the Assignment of Rating Levels Both by Individual Team Members, and Entire Teams**

There are two times during an assessment when TMs will assign rating levels to the assessed service: once individually, without consultation with any other TMs, and later jointly with the entire team during conciliation. There are several rules which govern the assignment of rating levels in both these circumstances, and which both individual TMs and entire teams should therefore closely follow. Additionally, there are some instructions that apply only to the individual assignment of rating levels, and these are covered in a separate subsection. There is also a separate set of rating guidelines or pointers that apply only to the assignment of levels during either PASS or PASSING evaluations, but not to both. The first subsection in this section covers pointers for the valid assignment of rating levels in general, including cautions against some of the most common errors that TMs make in assigning rating levels.

#### ***General Guidelines and Pointers for the Valid Assignment of Rating Levels***

1. During the assignment of rating levels, and indeed, until after the entire team has conciliated all the ratings, TMs should not refer to the Scoresheet or any other materials that show the scores. Otherwise, TMs might be influenced by knowledge of the scoring weights, and might judge according to the relative weight of each rating, rather than according to the rating criteria. Therefore, during both individual rating and conciliation, TMs should only have the Checklist (which does not list the scores), evidence notes (which may be on the PASS/PASSING Individual Rating Evidence Organization Sheets), agency documentation, and PASS or PASSING *Manual* at hand.

A

2. Below, a procedure for recording ratings on the Checklist is spelled out, which not only reduces TM error and self-deception, but also permits the Checklist to be used for research purposes. Readers will need to have a Checklist and a Scoresheet (see Appendices F, G, H, and J) at hand in order to follow the instructions.

a. TMs are to make a circle in pencil in the box on the Checklist which represents the level they individually assign to each rating. For example, if a TM assigns a Level 3 to "Program-Neighborhood Harmony," then in the row of boxes on the Checklist corresponding to the different levels of "Program-Neighborhood Harmony," the TM would draw a circle in pencil in the space which has the number 3 in the corner. This should be done in pencil, because it is then easy to change if, *prior* to conciliation, the TM changes his/her mind about a level assignment.

b. Once conciliation starts, TMs are *not to make any changes* or erasures in the levels they have individually assigned.

c. During conciliation, TMs are to enter an X in pen in the box on the Checklist corresponding to the final conciliated level. Then there will be a circle in the box of their own individually-assigned rating level, and an X in the box of the team's conciliated rating level. If the levels assigned by the TM and the team as a whole coincide, then the X should be placed inside the circle (⊗) in the same box.

If TMs are using the "PASS/PASSING Individual Rating Evidence Organization Sheet" (mentioned earlier and attached as Appendix O), then they may want to enter their individually-assigned rating levels into the space provided at the bottom of each form. In that case, they should follow the same procedure outlined above for marking their individually-assigned levels, i.e., placing a circle in pencil in the appropriate box. After they have

completed their individual level assignments, TMs should use pencils to transfer their individually-assigned levels from their evidence organization sheets to their Checklists. During conciliation, as each rating comes up for discussion, TMs who use these forms will have their evidence and judgments on each rating well-organized and easily at hand. When the team decides upon a rating level, the TM may wish to mark that level on his/her individual rating evidence sheets as well as on the Checklist; however, that would serve only the purpose of the TM's personal records, since these evidence sheets are not usually collected. Regardless of whether a TM marks the team's conciliated levels on his/her individual evidence organization sheets, the TM *must be sure* to mark the team's conciliated levels on his/her Checklist.

d. At the end of conciliation, all TMs will transfer the conciliated rating levels from their Checklists to their Scoresheets (PASS) or Scoresheets/Overall Service Performance forms (PASSING). This is done by circling on the Scoresheet or Scoresheet/Overall Service Performance form the actual score weights corresponding to the levels that have been decided upon in conciliation for each rating, and then entering these circled score weights into their boxes next to each rating on the Scoresheet or Scoresheet/Overall Service Performance form. (See the section entitled "Guidelines for Arriving at a Team Consensus Through Conciliation" for more detailed instructions).

e. Then *all TMs* should separately add up their scores *on the spot* and record these in pencil on the Scoresheet or Scoresheet/Overall Service Performance form; chances are that some TMs will make mathematical errors which must be found out and corrected until everyone's score agrees, and everyone has made the necessary corrections on their Scoresheets or Scoresheets/Overall Service Performance forms.

f. The TI requests that at the end of conciliation, the TL collect all TMs' Checklists after each TM has written on the Checklist his/her name and team role, the name of the agency and service(s) assessed, the date(s) of the assessment, and any other relevant information. The TL should give these Checklists to the assessment/WS coordinator or senior WS trainer, to forward them to the TI for research purposes; TMs will not need them anymore, as they will have a record of the service's performance on their copy of the Scoresheet or Scoresheet/Overall Service Performance form, and possibly other forms as well.

g. A conciliation is not concluded until all the above steps are completed.

3. TMs are to base their judgments on the evidence which they have collected about the service, and not merely on their feelings, impressions, predilections, fantasy, etc. As mentioned before, typical and major sources of evidence include written program descriptions and proposals, inspection of physical settings, statements made by program personnel, and TMs' observations of programs, clients, and program personnel. TMs should be alert to any attempts at deception or self-deception in the information provided by a service. Further, TMs have to resist any tendencies to deceive themselves. Particularly on certain ratings, the apparent enthusiasm and commitment of service personnel can bias a TM's judgments. It may be helpful for TMs to remember that they are expected to act much like jurors, taking the apparent veracity of testimony into account in a critical, skilled, and experienced way. In other words, TMs should not rate merely what they are told, but what the service reality actually is.

However, strong and reasonable inferences based on experience and common sense, as well as on the evidence collected, may also help a TM to make rating decisions.

4. On occasion, a team may discover that the agency has engaged in some last-minute, "face-saving" efforts in preparation for the assessment. TMs must be sure to credit a service for its *ongoing* efforts and practices, not for those which are done only for the sake of one-time visitors or the assessment team.

5. TMs are often tempted to rate a service higher where clients are, or at least appear to be, "happy" and "content." However, TMs should be especially careful not to equate client "happiness" with normalized service conditions, for the following reasons.

a. PASS and PASSING are concerned primarily with program structures which are substantially (though not entirely) under the control of either a service agency or at least a larger societal service pattern. They do not purport to be clinical instruments that measure highly individual personal characteristics and dynamics. Thus, they are not oriented to the quality of life of specific individuals, but to the conditions existing in a service that are apt to contribute (at least over the long run) to more normalized, though not necessarily "happy," lives for all clients and all devalued people in general.

b. Personal feelings of well-being and happiness are only partially controllable by program structures. Even under optimal conditions, some persons will be unhappy, and will quite literally create their own hell. On the other hand, some individuals are very serene under even very adverse conditions. About the only thing that one can say in this regard is that PASS and PASSING measure conditions which are apt to be beneficial when considered in relation to clients in general and over the long run.

c. Finally, and very importantly, it is recognized that normalized conditions of life do not always imply a reduction in stress and discomfort. To the contrary: in a sheltered and clearly denormalized setting, it may be much easier for certain clients to be content, while a normalization-based structure may be demanding, stressful, and at times turbulent. For instance, the normalization corollary of the "dignity of risk" (Wolfensberger, 1972; Wolfensberger & Thomas, 1980, 1983) does not always bring happiness. It is one of the explicit and honest implications of the normalization principle (and therefore of PASS and PASSING) that what many people call "happiness" (and a number of related socio-psychological states) may not constitute the highest value in earthly life — at least, not if happiness is bought at the expense of independence, self-sufficiency, and respect for or from others, nor if it creates devaluing attitudes in the public's mind toward people who are different. The importance of "happiness" at the price of social devaluation is especially dubious when one considers how the devaluing attitudes of the public are brutalizing to the public *themselves*, and in a sense make *them* morally self-destructive.

6. Evaluators need to remember that devalued status is *entirely* defined by societal perceptions and response, and that persons, images, juxtapositions, etc. must therefore be judged according to how society *perceives* them. In other words, the question is not whether such perceptions are correct, right, moral, wrong, good, bad, pleasant, unpleasant, etc., but whether certain perceptions do, in fact, prevail. For instance, it is certainly utterly wrong that aged persons are devalued and segregated by society, or that minority members are discriminated against. The fact remains that society does devalue such persons, and that evaluators must accept that such persons are deviant by sociological definition, and by the normalization theory incorporated into PASS and PASSING. The fact that such devaluation may be conscious or unconscious, overt or covert, is also utterly irrelevant.

Past experience has shown that people not thoroughly familiar with the dynamics of deviance, and with the normalization principle, tend to underestimate both the relevance of image-impairing as well as of image-enhancing measures, though they are more apt to do the former than the latter. Of course, much of this has to do with the fact that people are generally much less conscious of the role played by social imagery than of the importance of competency enhancement.

7. An erroneous belief which pervades human services, and which could easily lead to incorrect rating and/or to misunderstanding of the application of PASS/PASSING, is that a service is inherently good if it serves a great many people. Thus, quantity is equated (often unconsciously) with quality. PASS/PASSING do not reflect such a view. Instead, quality of service rather than quantity of service is their overriding focus. A service that serves a large number of people may indeed have to be rated at a relatively low level, while a very small service to only a handful of people might receive a very high score. In other words, a service does not receive a high or even positive score merely because it exists; and bigger is not necessarily better.

8. As mentioned earlier, TMs must adhere to the criteria for assigning levels, regardless of whether they agree with these criteria, or whether they agree with the weight assigned to a particular level. Without such standardization in rating, an assessment instrument loses its entire validity as a measuring device. Among other things, this implies that a TM must not impose personal standards which are very individualistically his/her own. For instance, a TM may assess a residential service that is located in a neighborhood in which s/he would not want to live, and the TM's disdain alone might therefore lead him/her to rate the service low, regardless of what the rating level criteria said. In this and other instances, the criteria for the rating in the *Manual* should be followed, rather than a TM's personal predilections.

9. Before assigning a level to a rating, TMs should reflect on the essential principles and criteria at stake in it, and in each level of the rating, rather than basing their rating judgments on the examples provided to illustrate the rating levels. There can never be an adequate number of examples, and at any rate, examples rarely convey the entire service picture unless they are very lengthy and detailed. Furthermore, the examples given usually cite only one piece of evidence, but most ratings must be judged on the totality of the evidentiary picture. Thus, any of the examples for any level of any rating might be invalidated in some instance by other factors. If a level example appears to be in contradiction to the principle of the rating or the level it is supposed to capture, then it is the rating principle which should decide the level assignment.

10. Issues are to be judged according to their immediacy or "puissance" (i.e., potency) of impact upon the clients of the service. Service practices which are apt to have a direct, immediate, and powerful impact on clients are to be weighted more heavily in coming to a rating level decision than practices which are more remote from clients and/or are less likely to have a direct impact on their lives. For example, an agency funder that is very well-publicized and highly visible is more likely to have an impact on clients' image than a funder that is not very well-known or well-publicized; the identities of staff who directly provide the service are more likely to affect client's image than are the identities of staff who are only tangentially associated with the provision of the program; etc. In the *PASSING Manual*, this issue is noted in the five ratings in which it is most likely to be relevant, namely, R1251 Service Worker-Client Image Transfer, R1252 Service Worker-Client Image Match, R1431 Image Projection of Personal Labeling Practices, R1432 Agency, Program, Setting, & Location Names, and R144 Image Projection of Service Funding. In PASS, this guideline is not clearly stated anywhere in the *Handbook* or *Manual*, so raters should try to maintain consciousness of it where it would most likely apply. For instance, in the PASS rating R111211 Program, Facility & Location Names, an agency might have a negative name, but one of its components could have a positive one, and vice versa. PASS raters would have to decide the level merited by the service on that rating based on (a) whether they are assessing the agency as a whole or only one of its components, and on (b) how visible and widely-publicized the agency name is.

11. The judgment as to what constitutes unacceptable, acceptable, expected, etc., practices should not be based on what is common or normative practice in the human services field, but on what is considered near-ideal for valued persons in society. Thus, a service which is comparable to other services in the same line of work may still receive a low score. This is due to the fact that many agencies, or even entire fields, are actually performing only at a minimal or even lower level of quality, though some agencies may achieve higher performance in a few areas. Since normalization training and assessment were begun in the early 1970s, very, very few agencies have been found to perform at the "near-ideal but by no means utopian" level, and then often only in some aspects of their identity.

A 12. All services operate in the midst of societal policies, pressures, mandates, and constraints, which impinge upon the types and amount of normalizing actions that a service can pursue. External limitations to the quality of a service may be imposed by governmental bodies, explicit policies, laws, and regulations; they may result from unspoken, but nonetheless real and operative, social policies on which members of the society are in widespread (though again, possibly unspoken) agreement; they may be the fruits of policies of previous eras which are only now becoming evident. While all of these factors, as well as many others, may create disincentives to adaptive human services, PASS and PASSING still do not generally excuse service shortcomings merely because these are due to forces largely outside the control of the service being assessed, as explained below.

A a. PASS and PASSING make no allowance (i.e., do not permit higher rating level assignments) for any shortcomings in a service due to union pressures, lack of sufficient staff or money, etc. For example, there may be restrictive and negative-imaging features in the environment of a service only because there are not enough staff to provide the social supervision and supports that would allow clients more freedom and less physical confinement. The presence of such features cannot be rated positively merely because they save the agency money, or are better than something else which could be even worse. Features are always rated in terms of their intrinsic optimality, and not their fiscal or other practicality.

A b. Raters should also not make allowance for shortcomings that are due to legal requirements and/or restrictions. Where program concepts (such as normalization) are at stake, these should guide and give rise to laws and regulations governing service operations, rather than the law controlling and determining program practices. In other words, legal standards for services should rest on, and reflect, positive ideologies and program concepts which have to first exist in the minds of those who create the laws. However, it is not uncommon for laws to violate human rights or otherwise impair service quality, even to the point where providing quality services is made impossible. For example, in some locales, governmental funding for community residences for handicapped people cannot be obtained unless the residence has at least eight handicapped people living in it. For some handicapped people, this is much too large a grouping for their needs to be addressed and addressed well. PASS and PASSING are concerned with the degree to which a service meets the *defined* criteria for high program quality, not with whether a service meets certain societal expectations for service functioning that may be expressed in the law. Thus, the fact that a law may impose low quality on a service is no excuse for it vis-a-vis the criteria of PASS and PASSING. Raters must therefore be prepared, if necessary, to penalize a service precisely because it has abided by a law that, according to PASS or PASSING, impairs/limits program quality.

c. Sometimes, authorities higher than the service being assessed may take actions which severely limit the service's capacity to normalize. For example, a state mental health department may saturate all the neighborhoods in a small town with devalued people by dumping people out of institutions, so that a service could not be located in any neighborhood in that town without being penalized on R122 Service-Neighborhood Assimilation Potential (PASSING) or R11114 Congregation, & Assimilation Potential (PASS). That the assimilation potential of the town has been overwhelmed must be recognized and down-rated even though the fact that this is so is not the service's doing.

To summarize the above, it should be borne firmly in mind that (a) human service workers tend to drastically underestimate the extent of control and influence they actually wield over clients' lives (in good part because they tend to repress how much they fail to do that they could be doing, and how much they participate in societal oppression of devalued people); (b) there are many means by which any service that is aware of, and genuinely committed to, an issue can positively influence a multitude of its clients' behaviors even within several serious externally-imposed constraints; and (c) when all else fails, a service could always choose to go out of existence, rather than to exist at the price of lowered quality, of creating or enlarging a severe negative image of its clients, or of maintaining people in an incompetent and dependent state. This is a proposal that will scandalize many people. However, the idea is not so far-fetched when one considers that a large proportion of services assessed by PASS and PASSING to date have scored well below what PASS and PASSING define as the "minimally acceptable" level, and are therefore more likely to inflict harm on clients' images and competencies than to help them. Some temporary shortcomings in any service are, of course, understandable, but long-term functioning at a negative level — as is the case with a great many services — raises the question of whether an evaluation team should recommend radical changes in the service's operations, all the way to recommending that it go out of business.

A 13. In a number of ratings, the level that should be assigned will be influenced by considerations of what is theoretically possible and achievable. Thus, in some instances, even if doing all that is theoretically possible with an aggressive positive ideology results in client experiences that are still less than fully valued, the service might

still meet the criteria for the higher levels of a rating. For example, the enhancement of a client's personal appearance by a service is certainly limited by such constraints as whether the person is conscious, or has serious obvious and irremediable physical impairments. For an adult male in a deep coma, positive personal appearance might be achieved by such measures as shaving the person daily, having him in neat and clean clothes (and not necessarily bed clothes) during the day, not shaving off his hair merely to make his physical management easier, keeping his hair brushed and trimmed, keeping his body clean, etc. Such efforts might earn much credit for some services, but where other types of clients are being served, they would be judged as very inadequate. Similarly, when people have serious mobility impairments, they often need prosthetic devices. The need for such devices should not be penalized, even if these do by their very nature detract somewhat from the client's valued appearance; but to the degree that it is possible to do so, the conspicuousness of these prosthetics should be reduced, e.g., a boy who wears leg braces might be enabled to wear these under, rather than over, his pants.

- A 14. A service's performance is only to be assessed in relation to its "purview" in clients' lives, i.e., the areas of activity which it arranges, facilitates, mediates, inhibits, blocks, or otherwise could legitimately be expected to influence and control, whether explicitly or implicitly. A service is not penalized for conditions of its clients' lives which are outside its relevant domain.

However, a program's purview should generally be broadly rather than narrowly interpreted. For example, a residential service for handicapped children might disclaim any responsibility for the quality of the education which its children receive during the day, because it does not also operate the school. Yet in normative society, parents or guardians usually take at least some, and in many cases extensive, interest in their children's education. They: decide where their children go to school; voice their opinions on what their children are taught, by whom, and with whom they associate while in school; control how their children travel to and from school; attend PTA meetings and parent-teacher conferences; etc. Thus, the residential service should be expected to exert some similar quality efforts and advocacy. Similarly, a work program for handicapped adults does have some (potential) influence over how its client-workers get to and from work, even though it does not usually control such transportation. It could exercise this influence by counseling the clients and their families, modeling to the clients, contacting the relevant transportation authorities or personnel in the places where clients live, etc. Thus, whether a service is exercising the influence and control over an issue that are within its purview should be judged by whether the service is fully aware of the issue, exerts those efforts that are proper for its purview, advocates to the degree it is purview-relevant to do so, and so on.

Some types of services usually have a greater degree of control over the lives of their clients, and thus a broader purview, than do others. Ordinarily, residential programs have greatest control over the lives of the people they serve, even though that control may be subtle and/or unrecognized. On the other hand, day developmental programs (such as schools, industries, and recreation programs) have less control, though it may still be substantial. Other "soft" or "tangential" services (such as referral and counseling ones) have even less influence and management control over clients' lives than either day developmental or residential programs. To a large degree, there is a positive correlation between the amount of time a client spends in a service and the amount of (recognized or unrecognized) control which that service has over him/her.

- A 15. Furthermore, a service is generally neither credited or penalized for conditions of its clients' lives (a) which clients initiate on their own, or (b) which are mediated/controlled by some person or body other than the program being assessed. For instance, if a client led a very socially integrative life due to the aggressive positive ideology of his/her family and other services in his/her life, rather than because of any actions or even encouragement on the part of the service being assessed, then the assessed service would not be credited for this positive aspect of his/her life. Similarly, if mentally competent adult clients rejected an agency's efforts to provide more integrative life conditions, then the service could not be penalized because its clients choose to live in a segregated fashion, although the service would, of course, be held accountable for any segregation in its clients' lives that it mediates, even indirectly.

- A However, in cases where clients competent to do so make suboptimal choices, the service is assessed in relation to the reasonable and relevant effort it makes to induce such clients to make better choices. Such efforts might include persuasion, modeling, regrouping of clients, selection of different program resources, etc.

16. A service may be doing all that it can within its legitimate purview to see that its clients' needs are met in a most normalizing fashion, yet other services that would be needed to provide more normalizing conditions of life for its clients are lacking. For instance, the clients of a group home for handicapped adults may not have

anything constructive to do during the daytime hours because needed day developmental programs for them (such as sheltered workshops) are insufficient in that locale. However, the group home should not be penalized because *other* agencies failed to provide suitable day developmental services. It is entirely legitimate for an agency to be primarily and exclusively residential in nature and not to try to be a comprehensive service system. Such residences should not be disincented from providing community living for handicapped persons merely because the residential body is not the suitable carrier for providing non-residential services. Similarly, a recreation program that serves people who are also in dire need of work should not be penalized because other agencies fail to provide vocational services, although it might be penalized for failing to advocate relevantly on behalf of such an issue.

A 17. The ease with which a particular shortcoming in a service could be corrected should in no way influence a TM's assignment of a level. In other words, merely because a problem could readily be remedied by the service does not automatically warrant that a higher level be assigned. Furthermore, in *PASSING*, this issue has already been considered in weighting the ratings (see *PASSING Handbook*).

A 18. Another issue which comes up frequently in *PASS/PASSING* practice is which level of cultural norms to apply in measuring a particular program feature: national, regional, local, or even neighborhood and socio-economic class norms. This type of judgment may at times take an extensive degree of maturity and understanding of normalization on the part of TMs. But TMs should note that compared to many other cultures, Western societies (and especially North American society) tend to be relatively homogeneous, and what differences do exist are often trivial in comparison to those that exist in some cultures. Also, in many instances, national norms should override narrow or local ones, at least to the extent that a service must prepare its clients to relate to their larger culture — sometimes even against their will. For instance, our culture does not as yet permit indiscriminate public nudity, and it demands respect for private property. Clients should be taught these values, even if local, family, class, or sub-culture norms do not always uphold these same values. However, this does not mean that narrower, more local norms should never be applied. For example, the use of church halls and basements for generic child care programs is very normative in some parts of the U.S., but less so in others; norms for what is appropriate or even valued in attire may vary by region and even locale, as do those for building style; etc. Thus, TMs must tread a narrow path between (a) measuring a service excessively against local norms, which would deprive a client of socialization into the larger culture in which s/he must live, and/or of its benefits and amenities, and (b) an obsession with national norms which makes no allowance for relevant variations. The following chart may provide clarification along these lines.

**WHEN PASS AND PASSING RATINGS SHOULD BE JUDGED AGAINST:**

**Narrower norms,  
though not necessarily just  
locale or neighborhood norms  
(primarily related to image)**

1. Setting aesthetics issues
2. Setting/facility image issues,  
e.g., neighborhood harmony,  
setting decor, setting appearance
3. Clients' personal appearance
4. Program & person names & labels
5. Activities, routines, rhythms,  
& programs
6. **PASS ONLY:** Regional Priorities  
ratings

**Larger cultural values  
(primarily related to environmental  
conditions/demands & universal  
human experiences)**

1. Standards of comfort & convenience,  
e.g., physical comfort, setting  
access/accessibility, proximity
2. Interactions
3. Integration
4. Program intensity
5. Client autonomy & rights
6. **PASS ONLY:** Human Science ratings;  
Administrative ratings;  
Service system ratings,  
e.g., Comprehensiveness,  
Consumer & Public  
Participation

C 19. Even if a TM is clear on what cultural norms are at stake, s/he may still sometimes interpret “normative” as referring to the mean (i.e., the statistical average) of a distribution of characteristics. This is a gross misinterpretation of normalization as defined by various Wolfensberger publications after 1972 (e.g., 1980a, b), for a number of reasons.

a. What is normative does not merely refer to what a lot of people actually are doing, but also the expectations that prevail. Thus, although very few people today wear small bow ties, a person who does so would not be perceived as significantly different or outlandish, because it is still within the range of the public’s ordinary expectancies that someone might wear a small bow tie. Furthermore, such behavior is not devalued, only a bit unusual at worse. And even some very uncommon behaviors (e.g., joining a monastery) might be viewed positively rather than negatively.

b. In any society, and especially in pluralistic ones (such as most Western societies now are or are becoming), there is rarely only a single standard for anything, and diversity of opinion, preference, and expression is itself normative. Even some troublesome behaviors may be accepted as being part of life in the culture.

c. If one looks at a particular characteristic that is highly continuous in the statistical sense, then even in a large sample, only some — and perhaps even none — of the members or characteristics may fall precisely at the average. For instance, even though the average IQ is 100, only a distinct minority of individuals have an IQ of 100. There are almost twice as many people who have an IQ of 99 or 101. Similarly, even if the average number of children per family in North America is 2.3 or 2.5, no family actually has a 30% or 50% child.

A Thus, TMs should apply PASS/PASSING to the normative *range* rather than just the mean, though keeping in mind the implications of the “conservatism corollary” of the normalization principle, as explained in point 22.

20. TMs sometimes wish to excuse a service for a weakness because that weakness occurs normatively in the community. For instance, a population center of moderate size, perhaps in a rural region, may have no means of public transport, and it may be normative in this community to get about by private car, or not to get about much at all. Therefore, some TMs would — wrongly — insist that because all other settings in that community suffer access difficulties, a service in this community which is virtually inaccessible without a private car should be given a high level on PASS R1112 Access, or PASSING R2112 Setting Accessibility—Public or R2111 Setting Accessibility—Clients & Families. TMs are here reminded that with few exceptions, as long as a particular program feature is clearly a hardship or drawback — regardless of local norms — it must be down-rated. Thus, in the above example, the service might score at only a Level 1 or 2 on the access rating(s).

21. TMs should note that some ratings assess a service’s address of “natural” hardships and inconveniences, while others assess whether a service has created and/or failed to address unnecessary hardships. For example, the ratings entitled R1151 Physical Comfort( in PASS) and R213 Physical Comfort of Setting( in PASSING) would assess in part whether a client’s clothing was warm enough for the winter, and thus whether the service was adaptively addressing the natural hardship of cold weather. On the other hand, the ratings of R11212 Age-Appropriate Personal Appearance and R11222 Culture-Appropriate Personal Appearance (in PASS), or R141 Program Address of Client Personal Impression Impact (in PASSING), would assess whether a client’s clothing was appropriate for cultural norms, and thus whether the service was adaptively addressing the unnecessary hardship of societal rejection that can be brought about by inappropriate client appearance.

A 22. TMs must also keep in mind the critically important principle that people (e.g., clients) who already have many strikes against them because they are devalued are more apt to be perceived positively if they are associated with service practices that are on the positive side of the mean, than with practices that are merely at the average or even on the lower margin of the normative range. While *extreme* positive deviation from the mean will sometimes backfire on a devalued person, an at least moderate deviation toward the positive side is a very normalizing choice from among a range of options *when a (potentially) devalued person or group is involved*.

Also, a person who exhibits several characteristics which fall on the negative side of the normative range may become perceived as deviant merely because of this combination of otherwise relatively minor stigmata. For instance, a shuffling walk, bad breath, dishevelled hair, a rumpled sports shirt, crossed eyes, and poorly articulated speech all add up to a total image of deviancy — very likely that of a retarded person — and elicit strong rejection, even though none of these stigmata by themselves would be sufficient to elicit such a response.

- A 23. It is not at all uncommon for clients' interests and those of a service agency to be opposed to each other, e.g., it may be in a client's interests to "graduate" from the program either to a more suitable program or even out of the service system entirely, while it is in the agency's interests to retain the client because s/he brings in funds that the agency could not otherwise obtain. Whenever such a conflict exists between clients' welfare and interests, and the agency's welfare and interests, raters should remember that PASS and PASSING measure how service strategies affect the clients, not how they affect the agency. Therefore, the service must be judged according to what would be best for the client, rather than according to what would be best or most convenient for the agency.

### *Guidelines Regarding the Differentiation of Ratings From Each Other*

A skill essential to conducting a valid assessment is the ability to rigorously differentiate ratings from each other, and to assess each rating independently of other ratings. The points below are relevant to this issue.

- A 1. TMs should be aware of the temptation to "halo," i.e., to assign one rating a low level because they have given a low level on another rating earlier, or because they were offended by the service, or conversely, to assign a high level on one rating because they gave a high level earlier, or because they liked the service. The fact is that some phenomena are "confounded" in nature, i.e., they are not always fully independent of each other in practice, though they are independent in theory. For example, staff members' belief that adult clients are "really" children may express itself both in age-inappropriate forms of address of clients, and in the fostering of age-inappropriate client appearance. However, although both language and appearance in this instance may be reflective of the same underlying ideology, they are assessed by two distinct ratings, and performance on one should not affect a TM's judgment regarding the other. Especially within a rating cluster that is composed of several ratings, TMs should bend over backwards to differentiate ratings from each other in their assignment of levels.

- A 2. A related common source of rating bias to avoid is knowledge of the level already received by another component of the same agency, where more than one component of an agency is being assessed.

- A 3. Faced with the task of differentiating ratings from each other, TMs may have difficulty understanding and accepting the fact that PASS/PASSING may penalize a service for practices which bring positive clinical benefits, but do so at the cost of negative image juxtapositions. A major example along these lines is the deployment of devalued workers in services to devalued clients. The clinical (or even other societal) benefits of such practices are often so genuinely great that TMs either fail to recognize, or consider unimportant, the bad long-term (and unconscious) effects of these practices. Indeed, the fact that such a practice may contain genuine important benefits can totally blind an observer even to the presence of resultant negative image transfer. (Fortunately, given time and an open mind on the part of a TM, the profound image damage of such juxtapositions will often be recognized eventually, with a simultaneous awareness that positive image juxtapositions are not inconsistent with clinical benefits.) At any rate, TMs must apply the rating criteria as they are spelled out in the *Manual*, even if they do not fully accept the rationales.

- A 4. Even though ratings are essentially independent, a certain rating may place a "constraint" upon another, which means that if a service scores low on rating X, then a high level on rating Y cannot be attained, but not vice versa.

- A However, TMs are cautioned not to confuse rating constraints with either haloing, discussed earlier, or "determinism." A certain level on one rating does *not* automatically *determine* the level of another rating; rather, where a constraint relationship between two ratings exists, a certain level on the one rating merely *sets an upper limit* to the level that can be achieved on another rating. In other words, if rating X stands in a constraining relationship to rating Y, then a low level on X may diminish or even eliminate the possibility of a high level on rating Y.

The following chart shows the potential rating constraints that have so far been identified in the PASS and PASSING instruments.

### Potential PASS Rating Constraints

Rating Under Constraint	Constraining Rating
R1143 Intensity of Relevant Programming	R113 Model Coherency
Nature of Constraint: One of the most common sources of sub-optimal model coherency is failure to accurately identify client needs. In turn, a service obviously cannot rate very high on R1143 Intensity of Relevant Programming if there are shortcomings in identifying the needs of clients, because the very issue of what is relevant would be clouded.	
R211 Staff Development	R2213 Program Evaluation & Renewal Mechanisms
Nature of Constraint: Part of what R211 Staff Development requires of a service is that the staff development measures it provides contribute to demonstrated improvement in both clients' lives and staff performance. Where provisions for evaluation of staff and/or clients are poor or non-existent, as rated by R2213 Program Evaluation & Renewal Mechanisms, then it would be very hard for a service to show that provisions for staff development have, in fact, resulted in positive changes. Therefore, a service that is rated low on the clients and staff evaluation dimensions of R2213 can probably not receive a high level on R211 Staff Development.	
R2222 Budget Economy	R2221 Financial Documentation—Extent
Nature of Constraint: In order for TMs to make an accurate determination of R2222 Budget Economy, it is necessary for the service to have very good financial documentation. Thus, shortcomings in R2221 Financial Documentation—Extent will automatically set an upper limit to the level that can be assigned to R2222 Budget Economy.	

### Potential PASSING Rating Constraints

R1131 External Setting Age Image	R1232 Image Projection of Intra-Service Client Grouping—Age Image
R1132 Internal Setting Age Image	R2212 Competency-Related Intra-Service Client Grouping—Composition
Nature of Constraint: The two Setting Age Image ratings require that various aspects of the service setting cast positive age images onto the clients. However, if the client grouping should comprise a wide age range, as measured by R1232 Image Projection of Intra-Service Client Grouping—Age Image and R2212 Competency-Related Intra-Service Client Grouping—Composition, then there are often some aspects of the setting which are not appropriate to the ages of at least some clients.	
R141 Program Address of Client Personal Impression Impact	R232 Intensity of Activities & Efficiency of Time Use
	R233 Competency-Related Personal Possessions
Nature of Constraint: Where equipment and other supports are needed in order to enhance clients' appearance, but where such equipment is lacking or in short supply (as assessed by R232 and R233), then R141 cannot receive a very high level.	
R231 Program Address of Clients' Service Needs	R1231 Image Projection of Intra-Service Client Grouping—Social Value
	R124 Image-Related Other Integrative Client Contacts & Personal Relationships
	R2212 Competency-Related Intra-Service Client Grouping—Composition
	R222 Competency-Related Other Integrative Client Contacts & Personal Relationships
Nature of Constraint: Where devalued people are served who have major needs for exposure to and interaction	

with valued/unimpaired models, the service must provide a good deal of social integration, as measured by R1231, R124, R2212, and R222. The poorer a service scores on one or more of these four ratings, then the more likely it is that some major client needs are not addressed, and the less likely is it that the service can get a high level on R231 Program Address of Clients' Service Needs.

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**R232 Intensity of Activities & Efficiency  
of Time Use**

**R2212 Competency-Related Intra-Service Client  
Grouping—Composition**

Nature of Constraint: If a client grouping is poorly composed for competency enhancement, as assessed by R2212 Competency-Related Intra-Service Client Grouping—Composition, then it is difficult to appropriately challenge the developmental potential of each grouping member. Thus, intensity of activities and especially efficiency of program time use (measured by R232) can hardly be optimal.

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**R232 Intensity of Activities & Efficiency  
of Time Use**

**R233 Competency-Related Personal Possessions**

Nature of Constraint: Where critically needed possessions are lacking (as assessed by R233), then use of program time is not likely to be fully efficient, and thus R232 is unlikely to be rated very high.

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**R233 Competency-Related Personal Possessions**

**R215 Individualizing Features of Setting**

Nature of Constraint: This applies only to long-term residential settings where furniture should generally not be built-in, as it limits the amount of individuality that residents will be able to express by bringing in their own personal furnishings (rated by R125 Individualizing Features of Setting). Because the amount of personal possessions is thus limited, R233 cannot be optimal in such settings.

5. In some locations and at certain times, several ratings may stand in tension with each other such that it may be inherently impossible for a service to attain high scores on all of them. For instance, in a particular area, there may simply not be any locations where a service can both have good accessibility, and not be surrounded by other services to devalued people or other negatively-imaged sites. One impediment may be that good public transportation is only available in the poorer, densely-populated, run-down sections of the city that are saturated with deviancy images. However, the levels assigned must accurately reflect the fact that weaknesses exist in the physical location of the service, even if no practical better alternative seems to be currently available, and even if this means that a service would receive low levels on some ratings and high levels on others for the same phenomenon (in this case, its location). This rigor of approach has the benefit of forcing shortcomings and compromises to be recognized as such. Typically, they are hailed as ideals soon after they become part of a service — and are never readdressed with a view to progressing to the proper ideal, even after new opportunities to do so arise.

6. A single phenomenon may have several different types of effects on program quality. For example, an overprotective feature in the physical environment will affect both the amount of growth clients will experience, as well as their image. On PASSING, these two different effects are measured by two separate ratings. Similarly, a group home for juvenile offenders may have an 8-foot high cyclone fence topped with barbed wire around its perimeter. For several different reasons, this feature of the service setting may be relevant to several different ratings, and it deserves to be rated under each rating to which it applies. However, TMs should exercise caution to be sure that they do the following.

A a. Critically examine whether or not the phenomenon is validly at stake in, and should therefore be rated under, more than one rating. Especially if a rater has very positive or very negative feelings about the service, s/he should ruthlessly examine whether s/he is trying to protect, reward, and aggrandize, or punish the service by introducing irrelevant issues into the assessment of a rating so that the same phenomenon gets inappropriately included in one rating after another. Readers are referred back to the cautions on “haloing,” discussed earlier.

A b. Rate the phenomenon only in relation to the criteria of one rating at a time, i.e., avoid considering the criteria of the other ratings to which it is also applicable until those other ratings come up.

A c. Judge a service for the feature at issue in rigorous adherence to the demands of the criteria of each rating, even if doing so requires that a service be rewarded on one rating and penalized on another for the very same feature. For instance, in a segregated medical setting for elderly people, each bedroom may be beautifully

decorated with very attractive colors, furniture, paintings, curtains, and even knickknacks and other small decorative touches — yet each bedroom may be decorated with exactly the *same* colors, furniture, paintings, etc. Thus, the service might be credited on R1152 Environmental Beauty (on PASS) or R1122 Internal Setting Aesthetics (on PASSING), yet down-rated on R1153 Individualization (PASS) or R224 Program Support for Client Individualization (PASSING) for that same decoration scheme.

### ***Guidelines Regarding the Differentiation of Rating Levels From Each Other***

A TMs may sometimes come to an imPASSe in trying to decide which of two adjacent levels of a rating most aptly describes the situation in the service they are assessing. When this happens, TMs should adhere to the following procedures.

A 1. The first step is to re-examine the rationales of the rating and then all the relevant evidence in light of the rating criteria and the requirements of each level. Often, this procedure will clarify something which was previously unclear, and had thus prevented the assignment of the correct level.

A 2. It is helpful to review mentally what might constitute a clear step-up or step-down from what exists in the service, i.e., what would be clearly better or worse? In order to do so, TMs should put themselves mentally in the position, role, and status of clients.

A 3. If a TM can conceive of a clear and significant improvement (at least in theory) on the current situation, the highest level cannot be assigned.

A 4. If TMs have attempted to resolve an issue by means of the above guidelines and are still in reasonable doubt (not being merely undisciplinedly wishy-washy) as to which of the two adjacent levels is most fitting, then they should usually give the service the benefit of the doubt and rate upward (for the exceptions, see nos. 5 and 6 below). In other words, it is better to be generous towards a service than to be punitive when there is not a strong, solid, defensible rationale for assigning the lower level.

A 5. However, TMs should never assign the highest level of a rating if the vacillation is between the two *highest* levels. The highest level of each rating embodies the attainable *ideal* of service performance on that issue, and if TMs are not convinced that a service's practices are really so outstanding as to constitute an attainable ideal, then the highest level cannot be justified.

6. The highest level should also not be assigned if TMs have reason to believe that the service withheld relevant information from the team, e.g., if the hosts promised but failed to provide materials, evaded questions on the topic, prevented TMs from observing in relevant areas. The rationale for this guideline is that a service is usually more reluctant to give a team access to information that will reflect negatively upon the service than to withhold positive information.

7. When confronted with a decision as to whether to assign the lowest level, TMs should remember the following points.

A a. A Level 1 implies that something is *very significantly and/or grossly injurious* to the welfare and/or image of the people being served, not that something is merely negative or undesirable. The more the negative service practice is visible, pervasive, and reinforcing of pre-existing (even if unconscious) strongly negative stereotypes about people like the clients, then the more likely is it that it deserves a Level 1.

A b. The lowest level can be assigned even if TMs can think of circumstances that would be much worse than what they observed in the program being assessed. To borrow from Dante: whether it is the first or second, rather than the seventh, circle of hell does not make it any the less hell. Both awful and worse-than-awful merit a Level 1.

A c. However, TMs should not be blindly punitive, but should give adequate consideration and credit to a service's positive practices, which may on occasion override its negative practices, thus raising its performance above a Level 1.

### *Additional Rating Guidelines Relevant Only to PASS*

**A** In some circumstances (especially when the highest levels are being considered), consideration of the “efforts” made by the agency may help TMs to determine which of two adjacent levels is merited. “Effort” as it is used in PASS refers to the energy and resources that have been expended by the service and its staff to try to correct a problem. Where effort is lacking, a service shortcoming may not only remain uncorrected, but also unaddressed and perhaps even unrecognized as a weakness. Where effort is present, it is obvious that the service is at least struggling to solve the problem, even if it has not as yet been successful. TMs should look for the following signs of effort on the part of the service:

- a. the number and variety of analyses of the problem considered;
- b. the number and variety of analyses of solutions considered;
- c. the number and variety of adaptive measures the service has actually tried;
- d. the intensity of the commitment made by the service in order to make these various trials work, as may be evidenced by whether the measures the service attempted were given sufficient time to bear fruit;
- e. the number and variety of mechanisms for evaluation of the solutions attempted, for systematic review of progress, for research into more adaptive solutions, etc.

### *Additional Rating Guidelines Relevant Only to PASSING*

1. All ratings have five levels.

2. All rating levels in PASSING are constructed along a balanced continuum (i.e., Level 1 represents the opposite of Level 5; Level 2 represents the opposite of Level 4; Level 3 constitutes “neutral” performance on the issue), and the rating weight is assigned to the levels accordingly (i.e., Level 1 is negatively weighted with the same number of points as Level 5 is positively weighted; Level 2 is negatively weighted with the same number of points as Level 4 is positively weighted; and Level 3 is weighted zero).

3. Raters will note that in both the image-related and competency-related ratings, the lower levels say something to the effect that the service practices at issue have a *definite* (even if unconscious) *negative effect* on clients’ image or competency, while the higher levels say that the service practices greatly *increase the likelihood* that clients’ image or competencies will be enhanced. As is explained in further detail in the *Handbook*, the levels were constructed in this way because one can be certain that image or competency damage is taking place, while one cannot be sure that image or competency enhancement is occurring — one can only say that conditions are such as to ~~make~~ make it more or less likely that such enhancement will actually take place.

**A** 4. The term “unnecessary” as it is used in the PASSING ratings (e.g., “service practices unnecessarily image clients as...,” “procedures which clients have to undergo unnecessarily,” “restrictions which are unnecessarily placed on clients”) refers to practices which are unnecessary from an aggressive normalization perspective concerned with the enhancement of the competencies and images of devalued people. That which is necessary from such a perspective may be quite different from what is seen as necessary according to the law, regulations, funders, staffing shortages, insufficient funds, incompetence on the part of workers, etc.

5. Relevant to all levels is the fact that it cannot necessarily be assumed that program weaknesses can be offset or balanced out by program strengths. In other words, there are instances where even a single significant shortcoming may defeat or diminish any number of positive program features on the same rating issue, perhaps to the extent that a Level 1 must be assigned despite the presence of some beneficial elements.

Similarly, even if only one or a few clients are experiencing Level 1 conditions on a rating issue, a service may not be able to achieve more than a Level 3 on that rating, and perhaps even only a Level 2. Since such discrepancies in impact are often due to inappropriate client groupings, we can see here how poor grouping can set constraints on other ratings (see “Guidelines Regarding the Differentiation of Ratings From Each Other” section in this monograph).

6. The above point should be neither ignored nor applied stereotypically, specifically in regard to Level 3. The wording of the criteria for Level 3 typically says something to the effect that a service neither significantly enhances nor significantly diminishes client competency or image. In many cases, a service does not fall neatly

A into this relatively neutral category, but has some creditable strengths and some regrettable weaknesses which indeed seem to balance each other out. In such cases, a Level 3 is indicated *provided* that the weaknesses are not such as to clearly invalidate or override the strengths.

A 7. For almost every rating, the difference between a Level 4 and Level 5 (the highest level) involves the presence of high consciousness and commitment on the part of the service workers about the rating issue.

8. As described in more detail in the *PASSING Manual*, in the sections entitled “12 Image-Related Service-Structured Activities & Relationships Among People,” “123 Image Projection of Intra-Service Client Grouping—Composition,” “22 Competency-Related Service-Structured Activities & Relationships Among People,” and “221 Competency-Related Intra-Service Client Grouping,” it is very important for an evaluator and an evaluation team to delineate very clearly what program(s) they are assessing, especially in an agency that operates more than one service program or component (see definition of “component” in the “Alphabetic Glossary of Special Terms”). This is necessary because certain groupings, juxtapositions, and associations of the clients with other people will be assessed by some ratings, and others will be assessed by other ratings. Which juxtapositions and associations are covered by which ratings will differ depending on the scope of the team’s assessment mission, i.e., on which and how many components of the agency it is assessing.

9. In the image-related ratings of the 1983 (2nd) edition of *PASSING*, Level 4b should really be treated as if it had two components, and thus as if Level 4 of the image-related ratings had a total of 4 components, as does Level 4 in all the competency-related ratings. This would mean that Level 4b would apply both: where image enhancement is optimal for at least some clients, and no more than a small minority of the remaining clients experience conditions as low as Level 3; and where image enhancement is optimal for most clients, and no more than a small minority of the remainder experience conditions as low as Level 2.

10. Some service quality issues have both image and competency implications, but were not split up into both the image enhancement and competency enhancement domains. Where that is the case, the issue was somewhat arbitrarily assigned only to one of these categories. In assessing such ratings, TMs should assess both the image and competency impact of the service’s practices in regard to the rating, despite the fact that the rating is carried in only one of these categories. For example, the rating R225 Promotion of Client Socio-Sexual Identity has some image implications but is located in the competency enhancement rating category. Therefore, in assigning a level to the rating, raters would also consider any image impacts of the service’s practices. Similarly, although R231 Program Address of Clients’ Service Needs is located in the competency enhancement category, it could happen that the major need of a group of clients is for enhancement of their social image, and in that case image issues would have to be taken into account in R231.

11. One of the subscores of *PASSING* is called the Program Felicity subscore (see Appendix J). While the term “felicity” has strong overtones of happiness, raters should recall the caution stated in point 5 under “General Guidelines and Pointers for the Valid Assessment of Rating Levels.” *PASSING* ratings, and especially those subsumed by the Felicity subscore, certainly have considerable potential for contributing to a client’s sense of happiness, but whether a particular service characteristic actually produces such happiness is not a relevant criterion for rewarding or penalizing a service.

### ***Guidelines Specifically for the Assignment of Rating Levels by Individual Team Members***

Some of the guidelines below may also be helpful in resolving rating-related confusions during conciliation. However, the kinds of rating dilemmas which the guidelines below are designed to address will usually be clarified and put to rest by the process of conciliation itself, so it is unlikely that any such dilemmas would still remain after a well-led team discussion of the issues.

A 1. If at all possible, TMs should complete their individual rating level assignments at the service site, while there may still be a chance to conduct “remedial” observations if it turns out that a TM has insufficient evidence for any rating. If there are no accommodations at the service site for TMs to do their individual rating level assignments, then the team must accept the less desirable option of rating elsewhere, e.g., at assessment or WS headquarters. *At least two hours are necessary to complete individual ratings, even for experienced TMs*, and there is no way in which TMs can accurately assign levels unless they use the *PASS* or *PASSING Manual* throughout. Some TMs think that they have it all in their heads, and thus rate rapidly, confidently — and wrongly. B Completing the ratings on site sometimes also enables the TL to call back an informant for further inquiry if important questions remain.

C 2. It is very helpful for TMs to group their evidence on one sheet per rating, and also to sub-group their evidence, or at least use some symbol (e.g., a plus or minus sign) in front of it, depending on whether the information is positive or negative in regard to the rating. One way for TMs to organize their evidence is to use the "PASS/PASSING Individual Rating Evidence Organization Sheet" (Appendix O) which permits such classification of evidence according to its source, and according to its likely relationship to service quality (i.e., positive, negative, undecided or neutral). These forms can be purchased from the publisher of PASS and PASSING, and perhaps other sources. Using one of these forms for each rating will permit TMs to organize their evidence on each rating, and keep it separate from their evidence on other ratings. A TM will then be in a position to have decisive input to the conciliation of each rating. (Conventional PASS/PASSING wisdom has it that the more organized people will probably prevail during conciliation.

A 3. During the individual assignment of levels, TMs should *not* confer with each other, because each individual TM's judgment must not be contaminated by those of other TMs, or there would be no point in having multiple TMs for each assessment. Furthermore, if TMs do not rate independently, it will be impossible to assess inter-rater variability for research purposes (see no. 2 in the "General Guidelines and Pointers for the Valid Assignment of Rating Levels" above). If a TM has a question, s/he can come to the TL — who will probably refuse to answer it, unless it is of a procedural nature. If it is a content question, TLs should tell TMs to do the best they can, and then, if they are still stuck, to guess.

4. A TM may believe that a phenomenon should only be assessed under one rating, but be at a loss as to which of several ratings is the correct one to evaluate it. In that case, the TM should:

- a. thoroughly examine the rationales and criteria for all the ratings to which s/he thinks the evidence might apply;
- b. review the relevant evidence;
- c. refer to the "Differentiation From Other Ratings" section (in PASSING) or the rating narrative (in PASS) for each of the ratings under consideration, in order to clarify rating distinctions;
- d. mentally run the phenomenon through a range of variations, adding or subtracting elements or extremes, to see if this process can clarify the confusion. For instance, a small group home being assessed by PASS may have a 10-foot high neon sign on its roof that says "Rest Home." A TM may be uncertain whether this sign should be rated under R1112122 Building-Neighborhood Harmony, R1112121 Function Congruity Image, R111213 Deviancy Image Juxtaposition, or all three. In order to resolve the dilemma, the TM could imagine the sign to be of a different size, to say something else (like "Burma Shave"), to not be neon, etc.

A

If, after having engaged in the above strategies, the TM still cannot determine under which of several ratings the phenomenon should best be rated, then the TM should rate it as best as s/he can, and note his/her dilemma for discussion during conciliation. Conciliation may reveal that the phenomenon should, in fact, be considered under several ratings, or may help the TM understand why it is to be rated under one rating and not others.

C 5. As a TM completes his/her individual ratings, s/he should note: (a) the passages (if any) in the *Manual* that appear to be genuinely unclear or problematic; perhaps making it difficult to assign a level to a rating; (b) if s/he thinks s/he needs more information to make an accurate level assignment on various ratings. Wherever a TM is uncertain, or must make a difficult or unusual rating decision, s/he should indicate so in his/her notes, and be sure to bring it up during the team conciliation.

#### Guidelines for Arriving at a Team Consensus Through Conciliation

A The conciliation session in all assessments is led and directed by the TL. In *training assessments*, the TL's role is explicitly that of a teacher, as the TL is presumed to be a relative "master" at PASS/PASSING, compared to other TMs. Therefore, during such assessments, should TMs and TLs come to any irreconcilable disagreements over conciliation structure, process, and/or conclusions, the TL must impose a decision, because it is the TL who is ultimately responsible for the quality of the assessment, and for the feedback to the agency and/or the other participants at a WS.

A In *non-training assessments*, the TL's role is more that of a guide and facilitator. The TMs are assumed to have had sufficient training and experience with PASS/PASSING; therefore, decisions as to process, structure, and conclusions of conciliation are generally arrived at by team consensus rather than TL fiat, and irreconcilable differences regarding an issue are settled by the vote of all official TMs, including the TL. The rationale for this practice is that in a properly constituted official assessment, it is the team's global competence and decisions that probabilistically constitute the optimal result.

It is not uncommon for teams to experience various kinds of difficulties during conciliation. In part, these problems may arise from the fact that the task at hand requires a great deal of discipline and rigor, concentration, and value clarification and exploration, which can be very stressful and draining. Also in part, these problems may arise from the process of the conciliation itself (e.g., the long hours, the TL's authority), and from TMs' needs and desires to affiliate with each other, to take a break from their work, and so on. Problems that may arise from these various sources include such things as heated discussions and arguments, hostile confrontations, TMs walking out before the conciliation is concluded or withdrawing from the task, TMs falling asleep, private conversations between TMs, attempts to usurp the TL's role, etc., although serious problems along these lines are rare. At any rate, serious disruptions of the team process for the sake of a single individual cannot be allowed. Hopefully, all rating and conciliation disagreements can be handled in a mature, friendly, but frank manner without jeopardizing the mission of the assessment team. However, in those rare instances when a TM absolutely and irrevocably cannot abide by the team's conciliation decisions, and considers the issue to be an essential or decisive one, then that TM may decide to dissociate him/herself from the assessment, formally and in writing to the assessment or WS coordinator. The TM's name will then be deleted from any assessment report sent to the agency. However, such a TM may *not* submit a "minority report" to the assessed agency. All assessments are team assessments, not individual ones.

A

One option is for a TM to dissociate him/herself from the assessment report, but not from his/her assessment responsibilities, especially if s/he has been promised reimbursement or payment (usually only in non-training assessments) for carrying out those responsibilities. How a TM's finances are to be settled if the TM dissociates him/herself from a team in an official assessment needs to be agreed to beforehand, especially if a TM fails to perform agreed-upon duties, exhibits insobriety or inexcusable absences, etc.

D

The time and effort required for conciliation may not leave any time for TMs to prepare written narrative for the TL to use in the final report. This is especially true during introductory training WSs in which teams conduct assessments of two practicum sites, and during official assessments. (However, in instances where TMs do have even a little time available, it can be extremely helpful to the TL to have various TMs write even just a few paragraphs on various topics, to be included in the report.) If it appears the TMs will not have time after conciliation to write anything for the report, then teams should invest more time and effort during conciliation in deriving maximally explicit recommendations for the service, and in explicitly defining the major overriding issues for the service, its sensitive areas, strengths and weaknesses, as discussed below. The better the team can define and conceptualize these before concluding the assessment, the easier will be the TL's report writing task. (For report writing, readers should refer to another monograph in this series that either is, or is very likely, to be published, namely, the monograph on reporting the results of a PASS or PASSING assessment. If this monograph is not available, contact the TI (address at the conclusion of these guidelines and in the glossary) to obtain a copy of whatever preliminary report writing guidelines may exist.)

C

C

During conciliation, the team might discover some problematic passages in the rating *Manual*, such as confusing phrasings, unclear examples, poor separation of rating levels, etc. Notations on these passages, and suggestions for revision, should be sent to the senior author of the instrument, Wolf Wolfensberger, at the TI (see address at the conclusion of these guidelines).

C

### *Preparation for Conciliation*

Some TLs have found it helpful in the past to set up the conciliation area to be as inviting and comfortable as possible, so that TMs will not be tempted to flee from a conciliation session for the sake of their bodily comforts. This means that the team should stock an abundance of food and drink (but please, no alcoholic beverages until after conciliation), and that varied and comfortable seating arrangements should be present. Some experienced TLs have developed guidelines on how to structure the conciliation environment. These may be used as long as they remain within the coding scheme set forth in these *Guidelines*.

C

Some TLs have found it advantageous to have an easel and large art pads or newsprint (to write down major points and issues, analyses, recommendations, etc.) during conciliation, as well as large felt-tip pens, which will usually be provided by the WS or assessment coordinator. However, if a TL does not use an easel, but instead tapes sheets of newsprint onto the walls of the conciliation room, s/he must be *sure* to use tape that will not pull the paint or wallpaper off the wall, and markers that will not stain the wall underneath the paper. To prevent staining, several thicknesses of paper, and water-soluble marking pens, should be used.

B/C

A

For conciliation, the TL needs to have another Checklist in addition to that on which s/he has marked his/her own individual level assignments. This extra Checklist will be used to mark the poll of pre-conciliation levels assigned by individual TMs to each rating. The TL will mark the final conciliated level for each rating on his/her own individual Checklist, just as will all other TMs.

B/C The TL should consult with the ETC/FL sometime prior to the beginning of conciliation, in order to clarify any potentially difficult rating issues, buck up the TL's confidence to conduct conciliation, and also reduce the likelihood that the ETC/FL will be inclined or feel the need to "take over" the TL's role during conciliation. In addition, the TL may consult with ETC/FL at any time during the conciliation, such as when the team wishes additional interpretation, analysis, or evaluative judgement.

### *Initial Steps for the Conciliation Session*

C At the beginning of conciliation, the TL should quickly poll TMs to get a count of the levels assigned by TMs to each rating (e.g., how many TMs gave Level 1 on R..., how many TMs gave Level 2, etc.) The TL should record this count on his/her extra Checklist, as mentioned earlier. This poll will be useful later for any reliability research, and will minimize TMs' cheating on their individual level assignments during conciliation, or their being influenced by others.

B Although it can be time-consuming, TLs should give serious thought to the idea of asking each TM in turn at the beginning of conciliation to vent any strong feelings s/he has about the service that has just been assessed. This may or may not serve a substantive purpose, but might save some time later by permitting TMs to get some of their feelings out of their system.

A It is very important for a rating team to reaffirm at the start of conciliation what program(s) and program grouping(s) and sub-grouping(s) are included in the assessment, especially (a) where the program(s) being assessed are components of a multi-component service, (b) where there are other programs nearby the one(s) being assessed, and/or (c) if the assessed program(s) were different from what the team had been led to expect before it arrived at the assessment site. At various points during conciliation, a TL may need to remind TMs of what was decided upon at the beginning of conciliation.

### *Exhaustive Analysis of Clients' and Service Identities at the Start of Conciliation*

A The next step is to review the service globally, to explore the service's performance on some of the more critical ratings, and to define the major issues. Experience has shown that some ratings (e.g., those dealing with the physical setting) can be conciliated prior to this (usually extensive) discussion, but that it is not advisable to do so, especially since the majority of ratings cannot be conciliated until the team has discussed in depth the issues of who the clients are, what their needs are, and what an ideal service to meet those needs would be like. By going through this analysis (which may take several hours), the team will have a much better understanding of the service, and will almost always work much faster on the conciliation of the remaining ratings. Before this global service overview begins, *the ETC/FL should be informed*, so that s/he may sit in on this crucial occasion. (People who have been through PASS training and assessments are cautioned that during a PASSING assessment, the analysis of a service, and the description of an ideal program of that type for the people being served, cannot be expected to be as systematic or as complete as is the discussion and conciliation of "Model Coherency" on PASS.)

A The team should find its most productive route to formulating the central issues facing the service being assessed by trying to define and describe what an ideal service of this type would be for the group of people served. In order to accomplish this, the team should generally proceed in the following manner.

A 1. The TL should establish a purely descriptive base of data on the program for the discussion that will follow later (nos. 2-3 below). This might include the following.

a. First, the team should review some basic statistics about the people served. Establishing this statistical base should not be confused with the later examination of who the clients are from a more existential perspective, discussed in point 2 below. Here, the team might establish the number of clients overall and/or in various program groupings, their ages and sexes, as least the more obvious impairments or devalued conditions that they have etc.

b. Another area about which basic facts might be established is a description of the general kind of programming that goes on in the service. What workers in the service consider to be the most important activities might be part of the same issue, or might constitute a separate point.

c. Another area in which some basic description can be gathered is what some of the major means are that are used by the program. This might include information on how clients are differentiated or grouped within the program, who the workers are and how many of them there are, what some of the worker characteristics are, what the workers do, and how the clients' time in the service is structured.

Almost certainly, at least one of the following will happen in regard to the above descriptive base. (a) The team will later have to come back to some of these points, and will have to elaborate some of them at great length and in greater depth. (b) What may have at first appeared to be straightforward, descriptive data may be discovered (perhaps later) to be fraught with subtleties which require reconceptualization. (c) The team will find that for different kinds of assessments, some strategies will be more productive than others in establishing the above. In other words, it is probably counterproductive to use a rigid schema in regard to establishing the above points and incorporating them into the analysis (described below) of who the clients are and what they need.

B/C

C During this stage, it is also usually very helpful for the team to try to infer what might be some assumptions that could give rise to what they observed in the service. This can be done by brainstorming the answers to such questions as, "What assumptions about handicapped people might lead to the adoption of service practices such as we have seen?" or, "What assumptions about the clients might we infer from such-and-such a practice?" The identification of such likely assumptions about the people being served (even if these assumptions are unconscious, seem far-fetched, would be rejected by service operators as untrue, etc.) may give the team a deeper understanding of the degree of consciousness in the service, and of the values and ideologies which are operative and possibly even controlling in it.

A 2. Another major step which, to some degree, can be interdigitated with the establishment of the data base mentioned above, is to discuss what the characteristics and needs are of the people served, viewed from an "existential" perspective. This discussion goes far beyond data and descriptors, professional diagnostic and labeling categories, agency language and conceptualizations, etc. In a sense, it involves "discovering the truth" about the clients, the nature of their social position, identities, and needs. For instance, rather than just reciting statistics about how many clients are mildly impaired, how many are profoundly impaired, etc., the team could note that they are quite heterogeneous in level of impairment and degree of devaluation, ranging all the way from the mild to the profound category, that they have lived almost all of their lives apart from the valued culture, that they are all poor, etc. Similar statements could be made in regard to ambulatory ability, vigor, and health, relationship to families, experience of the world, amount of control they wield over their own lives, etc. This discussion should also bring out overriding personal impressions of the client group, perhaps of a visual nature, such as that the teenagers being served tend to look like the cultural stereotype of delinquent youngsters. The ability to relate to and perceive clients in this fashion has been found to be very difficult for most people, especially (a) for most people with human service backgrounds, (b) in training assessments with inexperienced TMs who may be normalization novices, and (c) if the clients are devalued people. Even experienced TLs may have trouble rendering brief, concise analyses and descriptions which would coincide with the feelings and impressions of the more experienced ETC/FL who might visit the program.

A 3. Another important step that should be taken, but that really cannot be taken until the people served have been understood existentially, is to translate the insights gained through the above analysis of what clients' needs are into a determination of an *ideal* service that would address these needs. If more than one group of people are served, or if people with very different needs are served, the major characteristics and needs of each group must be considered. Especially here, but also elsewhere, TMs must beware of a common trap: the team must design an ideal service that would meet client's *real* needs (as identified in step no. 2 above) and that would be consistent with the positive values of the normalization principle; it is not to design a program according to the agency's (mis-)interpretation of these needs.

A 4. Next, the team must decide in what ways the program does, or does not, correspond to the team's conceptualization of an ideal service that would meet clients' identified needs. The team must be careful to avoid two common pitfalls here.

A a. First, the team is to assess what the agency *is* and *does*, not what it *says* it does. The two may be very different.

A b. Second, a team must not penalize an agency for not meeting needs that are outside its legitimate service

identity or purview, as mentioned elsewhere in these *Guidelines*. For example, a recreational service is not to be penalized because it does not provide work for its unemployed clients — if it did, it would no longer be a recreation program. It is also possible that the assessed service would be very much on the right track — if it were serving a different kind of clientele. This should also be noted, and might become the subject of some major recommendations to the agency.

A The team may well have to spend a substantial amount of time on the above steps in this first, crucial part of conciliation before any specific ratings are addressed. But the analysis done at this stage will form the team's overall conceptualization of the service, which will underly many of the team's other deliberations and determinations. In order to define and suggest what would constitute an appropriate and ideally normalizing service to clients, the team must know the nature of the service in order to state what exists in it, who the clients are, what their needs are, and how these could be met optimally.

#### *Determination of Rating Levels in Conciliation*

C Once the above global and usually lengthy analysis of identities and needs of the clients has been completed, and the conceptualization of an ideal service has been settled or at least thoroughly explored, the team should then proceed to the conciliation of ratings, following the procedure described in detail below. A suggested sequence for both PASS and PASSING conciliations is given immediately following.

A In deciding upon a sequence in which to conciliate ratings, teams should note, and as much as possible adhere to, the following principles.

1. For at least two reasons, it is important for a team to address the more important issues in a service first. (a) The lower-order phenomena might not become sufficiently intelligible unless the higher-order ones have been explored first. (b) Relevant, though less important, is the fact that a team is apt to have more mental energy with which to address difficult issues early in conciliation. Particularly where time is limited, a team might not apply the same degree of discipline to the ratings that come near the end of conciliation, and if these are some of the most important ones (both in terms of their rating weights and in regard to the specific service being assessed), then a team would not be addressing these as rigorously and vigorously as it could at the beginning of its conciliation.

2. Certain ratings could be clustered together if a shared pool of data is needed in order to resolve them. For example, some of the ratings that have to do with characteristics of the physical setting could be conciliated one after each other, because an examination of the physical setting will inevitably bring up information relating to several ratings of the setting. Scattering such ratings throughout the sequence of conciliation would lead to needlessly repetitious examination of similar evidence at several different occasions.

B/C **For PASS assessments only.** Traditionally, after having conceptualized what an ideal service would be to address the clients' needs (steps no. 1-4 in the "Exhaustive Analysis of Clients' and Service Identities at the Start of Conciliation" above), a PASS team would conciliate the ratings of R113 Model Coherency, R1143 Intensity of Relevant Programming, and R11222 Socially Integrative Social Activities, in that order. Thereafter, many TLs simply follow the ratings in the order in which they appear in the *Manual* (i.e., the order on the Checklist), although further improvements in the sequence of conciliation for PASS can be conceptualized. Those interested in any recent developments in conceptualizing a PASS conciliation sequence should contact the publisher of these guidelines or the Training Institute (address at the conclusion of the monograph).

B/C **For PASSING assessments only.** Once the clients' needs have been identified and an ideal service that would meet those needs has been conceptualized, one promising sequence for conciliating the ratings is as follows.

1. Start with the rating most closely associated with the address of clients' needs, namely, R231 Program Address of Clients' Service Needs. It should be noted here, and under point no. 3 under the heading of "Exhaustive Analysis of Clients' and Service Identities at the Start of Conciliation," that this rating is not only concerned with issues of competency enhancement, even though it is in the category of competency-related ratings, as can be observed from the fact that the number "2" is the first digit in the sequence of numerals that precedes its name.

2. In many instances, it is wise to next resolve R232 Intensity of Activities & Efficiency of Time Use, because of its great importance in any service.

3. It might be helpful to next conciliate the four intra-service client grouping ratings, because these are not merely very important, but could be rather confusing to resolve if not clearly conceptualized in relation to each other. These are:

- R2211 Competency-Related Intra-Service Client Grouping—Size;
- R2212 Competency-Related Intra-Service Client Grouping—Composition;
- R1231 Image Projection of Intra-Service Client Grouping—Social Value;
- R1232 Image Projection of Intra-Service Client Grouping—Age Image.

The second and third of these four ratings address the question of the extent to which the clientele is an integrated one, as such integration impacts on clients' competencies and image respectively.

4. The next cluster might consist of R124 Image-Related Other Integrative Client Contacts & Personal Relationships and R222 Competency-Related Other Integrative Client Contacts & Personal Relationships, because they are very important and address a major portion of the actual personal client integration issues, i.e., to what degree the agency fosters integrative experiences for clients with non-clients.

5. The next cluster of ratings might include those that are relatively highly weighted and that are not paired with another rating, the way many ratings come in competency and image pairs. These ratings are:

- R224 Program Support for Client Individualization;
- R133 Promotion of Client Autonomy & Rights;
- R223 Life-Enriching Interactions Among Clients, Service Personnel, & Others;
- R225 Promotion of Client Socio-Sexual Identity;
- R141 Program Address of Client Personal Impression Impact;
- R1431 Image Projection of Personal Labeling Practices;
- R131 Culture-Appropriate Separation of Program Functions;
- R132 Image Projection of Program Activities & Activity Timing.

6. Finally, the rest of the ratings might be conciliated, in most cases pairing up ratings that are image/competency pairs, or that are internal/external setting pairs. These might be conciliated in the following sequence.

- R233 Competency-Related Personal Possessions;
- R142 Image-Related Personal Possessions;
- R1251 Service Worker-Client Image Transfer;
- R1252 Service Worker-Client Image Match;
- R212 Availability of Relevant Community Resources;
- R121 Image Projection of Program-to-Program Juxtaposition;
- R122 Service-Neighborhood Assimilation Potential;
- R2111 Setting Accessibility—Clients & Families;
- R2112 Setting Accessibility—Public;
- R1112 Program-Neighborhood Harmony;
- R1111 Setting-Neighborhood Harmony;
- R1131 External Setting Appearance Congruity With Culturally Valued Analogue;
- R1132 Internal Setting Appearance Congruity With Culturally Valued Analogue;
- R1121 External Setting Aesthetics;
- R1122 Internal Setting Aesthetics;
- R1141 External Setting Age Image;
- R1142 Internal Setting Age Image;
- R1153 Image Projection of Setting—Other Internal Physical Features;
- R1152 Image Projection of Setting—History;
- R1151 Image Projection of Setting—Physical Proximity;
- R213 Physical Comfort of Setting;
- R215 Individualizing Features of Setting;
- R214 Challenge/Safety Features of Setting;
- R1432 Agency, Program, Setting, & Location Names;
- R144 Image Projection of Service Funding;
- R145 Image Projection of Miscellaneous Aspects of a Service.

An alternative sequence is to conciliate the ratings in the order in which they comprise the five programmatic subscores of PASSING, as shown on the PASSING Subscores Computation and Reporting Form (Appen-

dix K). This sequence has presented some modest problems, but it is not clear that any sequence will eliminate all problems of continuity and/or repetitiousness. Those interested in recent developments in conceptualizing a PASSING conciliation sequence should contact the publisher of these guidelines or the Training Institute (address at the conclusion of this monograph).

A **For both PASS and PASSING assessments.** The TL should never canvass the team at the beginning of the conciliation of a rating to see which level is preferred by whom, as this creates needless polarization and, in a training assessment, may dilute the leadership of the TL by creating the appearance of voting. Furthermore, the TL has already obtained a tally of the levels earlier, and thus has an idea of the spread of judgments on any rating.

The ratings should usually be conciliated by the following five-step pattern which facilitates achievement of consensus on rating levels.

- A/B a. Elucidation of the rating issue or principle (essential in introductory training WSs; less important the more expert the TMs are).
- A b. Collection of positive and negative evidence.
- A c. Comparison of evidence to criteria for levels.
- A d. Attainment of a decision on which level to assign.
- B/C e. Elicitation of recommendations for the improvement of service quality, to be worked into the feedback to the service.

Explicitly and specifically engaging in each of these procedures is especially important in training contexts. During assessments with highly skilled TMs, all these things will usually be done reflexively and perhaps silently by each TM, so that very little discussion beyond examination of the evidence may be necessary on many ratings before consensus on a level is attained. Each of these five points is discussed in further detail below.

A **Statement of rating issue or principle.** During training evaluations, the TL will draw out from other TMs, and/or offer, an explanation of the principle underlying each rating, so that apprentice TMs can learn to discriminate among ratings, and so that the TL can ascertain that each TM understands the issues in a given rating before proceeding to examine the evidence for the rating. The same process is advisable in official assessments, and may even be essential if some TMs are still shaky in their use of the tool.

A **Presentation of relevant evidence.** Next, the team should gather and share its evidence relevant to the rating under discussion. The TL will ask for observations, data, and inferences which could be seen either positively or negatively in regard to that rating. At this stage, a team will also be deciding what is the impact of the service practices they have witnessed on the lives of the people served, e.g., are clients' competencies or image apt to be enhanced or not? The TL may draw out or provide explanations of why a service phenomenon is positive or negative, and s/he may have to instruct TMs if the evidence they offer is actually relevant to other ratings rather than the one under discussion. It is not good practice here for the TL to prematurely recognize speakers who begin their contributions by saying something like, "I gave it a Level 3 because..." The team should first be interested in evidence and interpretation, and only later in what conclusions can be drawn from it. No TM should be concerned with whether his/her individually-assigned rating levels are "right" or "wrong," but that the truth be identified as best as possible. The material on each rating in the *Manual* (and particularly, the "Suggested Guidelines for Collecting & Using Evidence" charts in PASSING) may be helpful in eliciting rating-relevant information. It is at this point that TMs will be particularly glad if they have previously organized their evidence on one sheet per rating, as suggested earlier, because all their relevant evidence will be easily accessible, and it is thereby less likely that evidence relevant to a rating other than the one under discussion will be inappropriately introduced.

A **Comparison of evidence to rating and level criteria.** After the relevant evidence has been shared, it is then compared to the specific wording of the criteria for each level of that rating. The TL leads the examination of levels, sometimes reading the level criteria aloud, and may begin with the lowest or middle levels, depending on the general character of the evidence, e.g., generally positive, negative, mixed. When congruence of evidence with level criteria (not necessarily with level examples) has been found, the team should not stop there, but should also check the next higher and lower levels to make sure that these do not appear equally or more congruent. If so, the team may need to re-examine its evidence and the principle of the rating, in order to come to a clearer and more solid rating level assignment.

A **Assignment of a team-conciliated rating level.** Arriving at a team consensus at one level has proven to be achievable in most instances. If a team is unable to reach a consensus on a rating level, there are several steps a TL may take to resolve the impASSE.

C a. The TL may ask TMs who appear to still hold an invalid or even irrelevant point of view to state precisely what they have heard the TL or other TMs explain as the alternative. In other words, the TL should ascertain that a dissenting TM has at least heard and understood the opposing view even if s/he does not agree with it. If it then becomes apparent that a TM has simply not even heard the issue, s/he can perhaps be helped to listen and understand it.

B b. It is sometimes helpful to leave a particular rating that is proving troublesome, and go on to another one. The information that may be gathered from other ratings may help to clarify or decide the undecided rating later.

B c. The TL might call for a break, to allow TMs time for personal reflection and refreshment. During the break, TMs may be able to relax and release energy, and therefore be able to approach the rating afresh.

A/B d. It is important to remember that some ratings simply require a great deal of time, and a team should be prepared to perhaps spend hours on it, rather than rush to a decision without first thoroughly exploring the issue.

A e. However, at some point, the issue must be brought to a decision: by the TL's fiat in training contexts, and by a vote in other assessments. Both of these decisions are to be called for by the TL only.

B/C **Drawing up recommendations on specific ratings.** Specific recommendations to the service for many ratings should almost automatically follow from the assignment of levels, but the TL must sometimes see to it that these are drawn out before leaving a rating. The TR (if there is one) or other TMs may on occasion remind the TL of this necessity, as team recommendations will assist the TL/TR in writing the report, and as they illustrate to novice TMs ways in which the high ideals incorporated in PASS and PASSING can be translated into practicable measures for agency implementation. However, recommendations will not all be rating-specific, as explained below. How theoretical improvements should be related to practical obstacles is discussed in more detail in one or more separate monographs on PASS/PASSING reporting.

### Global Integration of Assessment Findings

B/D The last stage of the conciliation session overlaps considerably with the preparation of feedback to the assessed service on its performance. About the time that the team is concluding its conciliation, the TL should inform the ETC/FL (and during WSs, the senior trainer) in case there is still some business to be settled. The several steps to this part of conciliation include: (a) identification and discussion of the major overriding issues in the assessed service; (b) identification and discussion of less major, but still very important, issues; (c) identification and discussion of global (i.e., non-rating-specific) or overlooked recommendations to the agency; (c) determination of the service's score on each rating, on the total assessment instrument, and on any subscores. Each of these steps will be discussed below.

A **Identification and discussion of overriding issues.** The "overriding issues" are those which the team considers most central and critical in the operation of the assessed service. Usually, these are very few in number and affect the entirety, or at least a good part, of the service's operation and program quality. Overriding issues do not rest in one specific rating, but subsume a number of ratings, and may even touch on areas for which there are no ratings in PASS or PASSING. The identification of these overriding issues, and the team's discussion of their roots and possible avenues of address, is crucial for the preparation of the written assessment report, and for any verbal report (if there is one) to the service or to the WS group, as detailed below. The TL should help the team to identify the systemic, societal, ideological, and unconscious roots of service quality or its lack, as identified in the assessment.

C In a PASSING assessment, these issues would usually be entered on the Scoresheet/Overall Service Performance form, in the section entitled "Brief Statement of General or Overriding Issues."

B/C **Identification and discussion of lesser, but still very important, issues.** In addition to the overriding issues in the service that the team might identify, there are usually also some additional less major, but nonetheless important issues that are brought out by a PASS or PASSING assessment. Into this category would fall issues that have a big impact on the service and its clients' lives, but which are not as urgent, controlling, and/or fundamental as those that the team called overriding. This often includes major normalization-related strengths and defi-

ciencies that are not of an overriding nature. For example, one of the overriding issues for a service might be an almost total lack of awareness on the part of service personnel of the importance of social imagery and interpretation of its clients, and a resultant very poor image projection onto clients by just about all aspects of the service. A less major issue might be the quality of the physical facility in which the program is run: the facility may be run-down and in need of repair, poorly heated, inappropriate for the nature of the program being conducted in it, and have a negative history and location. In this instance, though not in all, such an issue also subsumes a number of ratings.

**C Identification of global or major recommendations.** Besides rating-specific recommendations that may be identified by the team as each rating is conciliated, there are apt to be other recommendations the team can make that are not specific to any rating, but that may address several ratings and may even go beyond the ratings in the evaluation instrument altogether. For instance, recommendations that may help the service to address the overriding or major issues are very likely to be broad rather than tied to particular ratings. Indeed, the more important recommendations are usually the global ones. It is very important that the team spend some time at the conclusion of its conciliation in identifying these global recommendations, and in discussing strategies for implementing them to be included in the assessment report(s).

**B/C** The team might consider categorizing recommendations (e.g., according to subscore areas), and/or differentiating major from minor recommendations, perhaps by ranking or grouping them. The team may even recommend the use of additional appropriate evaluation tools, e.g., in a PASSING assessment, a team might recommend that certain ratings of PASS be applied.

**C** In a PASSING assessment, these major recommendations would usually be entered on the Scoresheet/Overall Service Performance form, in the section entitled "Major Recommendations."

**A** **Determination of service scores.** At the end of the conciliation, each TM is to make sure that both his/her own individually assigned level and the conciliated level for each rating are recorded on his/her Checklist. As mentioned elsewhere, the publisher and authors of PASS and PASSING request that the TL collect TMs' completed Checklists, to be sent to the TI for research purposes. TMs should be sure to have all the identifying information on the service entered into the spaces provided on the Checklist, and should also be sure to enter their name, team role, and date(s) of the assessment. The TL will then conduct the team through the filling out of the relevant scoresheets (Appendices H through K). TMs each retain their own accurate copy of the completed Scoresheet as their record of the assessment.

Readers should note that on both PASS and PASSING, the scores are not only presented and reported for each specific rating and for all the ratings in total, but are also presented in a number of "subscores." This will become clear upon inspecting the PASS and PASSING Scoresheets and subscore sheets (Appendices H through K), and reading the sections that follow here. (Readers should note that the full name of the PASSING Scoresheet is Scoresheet/Overall Service Performance form.)

Throughout the procedure of filling out the Scoresheet or Scoresheet/Overall Service Performance form, the TL should use a "working" (i.e., rough) Scoresheet, because the first-round computation of the scores usually involves a number of mistakes, and therefore erasures, cross-outs, and otherwise illegible entries. The copy of the Scoresheet or Scoresheet/Overall Service Performance form that accompanies the final report to the agency is usually neatly typed or printed.

The Scoresheet or Scoresheet/Overall Service Performance form is filled out as follows.

**C** 1. It is recommended that all entries on the Scoresheet or Scoresheet/Overall Service Performance form be made in some bright-colored ink (e.g., red, green, royal blue, purple) so that they stand out clearly from the form. This is especially desirable in filling out the Overall Service Performance form.

**A** 2. TMs each enter their name, the date(s) of the assessment, the names of the agency and service being assessed and the type of assessment, into the appropriate spaces on their Scoresheets or Scoresheets/Overall Service Performance forms.

**C** 3. To the right of each rating on the Scoresheet is a set of numerals on the same line as the rating. These numerals are the weights for each level of that rating. Beginning with the first rating on the Scoresheet, the TL

A announces the conciliated level that the team assigned for each rating. TMs then find and circle to the right of the rating name the numeral (i.e., the weight, points, or score) that corresponds in the sequence to the team's conciliated level. For example, if the team assigned a Level 1 to a rating, TMs would circle the first numeral in the series to the right of the rating name; if the team assigned a Level 2, then TMs would circle the second numeral in the series to the right of the rating name; and so on.

(The maximum possible negative and positive scores — in other words, the score range — for every cluster of two or more ratings are shown in parentheses next to the name of the rating cluster.)

A 4. As a safeguard to insure accurate transfer of the levels to the Scoresheet, one other TM besides the TL should independently transfer the levels to the Scoresheet or Scoresheet/Overall Service Performance form. Then both the TLs and the "independent's" Scoresheets can be cross-checked to see that all ratings are marked with the accurate levels and scores, before the scores are added up.

A 5. After circling the numeral that corresponds to the conciliated level, TMs should enter the circled weight or score, *being sure to also enter the minus sign if the circled weight is preceded by one*, into the little box to the right of the numeral sequence on the same line as the rating name. For example, if the team conciliated a Level 1 for a rating, and the first number in the sequence of numerals to the right of that rating is – 16, then TMs would circle the number – 16 in the sequence, and would also write in the figure – 16 into the box on the same line.

6. The TL continues to announce the conciliated rating levels, and TMs continue to circle the proper weights and enter these into the appropriate boxes, until the conciliated levels for all ratings have been marked.

A 7. The next step is to successively sum up all the scores in the boxes that are connected by solid lines, in order to arrive at rating cluster scores, sub-section scores, and total scores. (For PASS, it should be noted that the connecting lines run from the front to the back of the Scoresheet, meaning that scores from certain ratings on the back of the Scoresheet must be added to some on the front to obtain certain subsection scores.) When summing, TMs must be sure not to overlook negative signs in front of any numeral that they have entered in any boxes; otherwise, the total score will not be correct. When every blank box on the Scoresheet has been filled it, the summing up of the scores is completed. See separate instructions later for instances in which not all ratings are applied.

C If conciliation has run into the wee hours of the morning, or if TMs are especially tired for other reasons, it is very helpful to use a calculator to sum up the scores, in order to increase accuracy of addition.

A 8. The sums of the ratings and rating subscores (see below) should be independently checked by several TMs, especially if one has a calculator. This procedure of summing up and checking additions should not be completed until all TMs end up with the same scores in each box on the Scoresheet.

A 9. Once the main Scoresheet has been rightly filled out, TMs should proceed to fill out the subscores, as explained in the specific instructions below for either a PASS or PASSING assessment.

C/D *During training assessments*, TLs should report the final scores of their team's assessment(s) to the senior WS trainer. These will be shared with the plenary group on the last day of the WS, as spelled out in the section below entitled "Verbal Reports of Teams to the Plenary Workshop Group During Training Events."

A *Filling out the subscores sheet for PASS.* When the 3rd edition of PASS was published in 1975, there was only one subscore, the Facility Score. However, the Facility Score has since been eliminated, and four new subscores have been developed: Service Location Optimality, Physical Facility Appearance, Personal-Clinical Program Emphasis, and Total Administration (see Appendix I). The description and form for these four subscores should have been enclosed with the *PASS Handbook* and *Field Manual* if these were purchased after 1979. If a TM does not have these new PASS Subscore sheets (or redesigned total PASS Scoresheets, once these become available), s/he should write to the publisher to obtain copies. After the complete PASS Scoresheet has been filled out and the total PASS score computed, TMs should transfer onto the subscore sheet the scores achieved on the ratings that make up each of the subscores, and total them to obtain the service's score on each of the four subscore areas. The same procedural safeguards against clerical errors should be observed, as specified in nos. 3-8 above.

**Filling out the subscores form for PASSING.** In PASSING, there are five programmatic subscores: Program Relevance, Program Intensity, Program Integrativeness, Program Image Projection, and Program Felicity. After the complete PASSING Scoresheet has been filled out, and the total PASSING score computed, TMs should transfer onto the PASSING Subscores Computation and Reporting Form (Appendix K) the scores achieved on the ratings that make up each subscore, and total them to obtain the service's score on each of the five subscore areas. The same procedural safeguards against clerical errors specified in nos. 3-8 above should be observed.

Once all the subscores have been computed, TMs should transfer the subscore scores to the appropriate spaces in the "Programmatic Subscore Areas" section of the Overall Service Performance form (on the back of the PASSING Scoresheet). TMs should also transfer the service's scores on PASSING rating clusters and sub-sections (e.g., Image-Related Physical Setting of Service) from the Scoresheet into the appropriate spaces in the "Rating Areas" section of the Scoresheet/Overall Service Performance form.

**Arriving at a Total Score in Instances Where One or More Ratings Are Inapplicable, or Are Not Applied for Other Reasons ("Pro-rating").** A special problem arises when a rating simply is not applicable to a service. Here, a distinction needs to be made between instances in which a rating is clearly inapplicable, and those in which the issue presented by a rating is not a challenge to a service. An example of the latter is the issue of age-appropriateness for an agency that has always served competent, mature adults, and in which there may be little age-inappropriate imaging of clients, no treatment of clients as anything but adults, and where the agency might therefore receive a high level on the relevant ratings. In contrast, an example of rating inapplicability might occur in a service that is not rendered in a facility, and perhaps does not even have a headquarters in a facility, and where at least many of the building or setting ratings cannot be applied. (In fact, in official assessments to date, this type of instance appears to have been the only occasion on which ratings have been found to be truly inapplicable.)

Additionally, it sometimes happens that ratings are, in fact, applicable to the service, but that due to circumstances beyond the control of the team, it is not possible for the team to assess the service on these ratings. For instance, arrangements for the assessment were once so poorly made that the team conducted its assessment on a day when not one single client was either present at the service or could be reached. Therefore, the team was prevented by lack of sufficient evidence from applying several otherwise applicable ratings. Similarly, a team may be assessing a proposal in which the proposed project will use a physical setting, but as yet no site has been selected. Then the physical setting ratings — which will be applicable to the service — cannot be applied at this stage of the proposal. Furthermore, in some very rare and advanced training assessments, it may also occur that the team is not allowed to observe certain setting areas, service practices, and documentation that is necessary for one or more ratings, as might be the case if, for example, a team were assessing a program at a maximum security prison.

Theoretically, there are two ways in which one could handle ratings which are either inapplicable, or which are not applied for other reasons.

1. One could assume that the rating issue does not pose a challenge to the service and therefore give the agency a high, the highest, or at least no less than a zero-weighted, level on the rating(s) that are inapplicable or not being applied. However, this approach would probably introduce severe distortions in comparing the scores of agencies to which only some ratings are applied with the scores of agencies to which all ratings are applied. Almost automatically, services which were not assessed on all ratings would receive a higher score, without necessarily being of higher quality than those assessed on all ratings.

C 2. The second, and far preferable method, is to "pro-rate," allowing one to compare services assessed on only some ratings with those assessed on all ratings, based on the applicable/applied ratings only. In other words, much as in an ordinary assessment in which the score attained by the service is a percentage of the total possible attainable score, so in an assessment in which one or more ratings are not applied, a score will be derived which is a percentage of the total possible attainable score on all applied ratings. A bit of computation is involved in order to attain such a pro-rated score, and such computations must take into account the fact that on PASS and PASSING, there are not only positive points but also negative ones.

Mathematically, the conversion formula for computing the score of a service where one or more ratings are inapplicable or are not applied is as follows:

$$\frac{\text{pro-rated total score} + \text{old maximum negative score}}{\text{old total possible score range}} = \frac{\text{attained score} + \text{new maximum negative score}}{\text{new total possible score range}}$$

In order to arrive at the pro-rated score, a team must adhere to the following steps.

- A** 1. Compute the service's total score on all applicable/applied ratings only.
- A** 2. Determine the total maximum positive and negative scores that could have been attained on all the applicable/applied ratings only. The simplest way to do this is to subtract the maximum possible positive score of all the ratings that were not applied from the maximum possible positive score for the instrument as a whole; and to subtract the maximum possible negative score of all the ratings that were not applied from the maximum possible negative score for the instrument as a whole. For PASS, one would subtract the maximum possible positive score for inapplicable/inapplied ratings from 1000, and the maximum possible negative score from 947. For PASSING, one would subtract the maximum possible positive score for inapplicable/inapplied ratings from 1000, and the maximum possible negative score also from 1000.

- A** 3. Determine the old total possible score range by adding together the absolute value (i.e., *ignoring the negative sign*) of the maximum possible negative score and the maximum possible positive score on the instrument as a whole, *plus one* (for the "zero" point in the continuum of possible scores from negative to positive). For PASS, the old total possible score range is  $947 + 1000 + 1 = 1948$ ; for PASSING, it is  $1000 + 1000 + 1 = 2001$ .

- A** 4. Add together the absolute value (i.e., *ignoring the negative sign*) of the maximum attainable positive and negative scores on all *applied* ratings, *plus one* (for the "zero" point in the continuum of possible scores from negative to positive). This is the new score range.

- A** 5. Compute the pro-rated total score as follows:

$$\text{Pro-rated score} = \frac{\text{old total range}}{\text{new total range}} \times (a + b) - \text{old maximum negative score}$$

where  $a$  = the service's attained score on only the applicable/applied ratings, and

$b$  = the absolute value (i.e., *with the negative sign ignored*) of the maximum possible negative score on the applicable/applied ratings only.

✍ For PASS: Let us assume that the following six ratings are not applied to a service: R112122 Building-Neighborhood Harmony, R112121 Function Congruity Image, R1152 Environmental Beauty, R11221 Culture-Appropriate Internal Design & Appointments, R11211 Age-Appropriate Facilities, Environmental Design & Appointments, and R1141 Physical Overprotection. The total possible positive score for these six ratings is +60, and the total possible negative score is -75. Thus, the maximum possible positive score on the applied ratings only would be  $1000 - 60 = 940$ , and the maximum possible negative score on the applied ratings only would be  $-947 - (-75) = -872$ . The new score range for the applied ratings is thus  $940 + 872 + 1 = 1813$ . On the remaining 44 ratings, the service achieves a total score of +251 points. The pro-rated (new) PASS score would be:

$$\text{pro-rated score} = \frac{1948}{1813} \times (251 + 872) - 947 = (1.07 \times 1123) - 947 = 1202 - 947 = +255.$$

For PASSING: Let us assume that the following six ratings are inapplicable: R1111 Setting-Neighborhood Harmony, R1122 Internal Setting Aesthetics, R1132 Internal Setting Appearance Congruity With Culturally Valued Analogue, R1142 Internal Setting Age Image, R1153 Image Projection of Setting—Other Internal Physical Features, and R215 Individualizing Features of Setting. The total possible positive score for these six ratings is +108, and the total possible negative score is -108. Thus, the maximum possible positive score on the applicable ratings would be  $1000 - 108 = 892$ , and the maximum possible negative score on the applicable ratings would be  $-1000 - (-108) = -892$ . The new score range for the applicable ratings is thus  $892 + 892 + 1 = 1785$ . On the remaining 36 ratings, the service achieves a total score of +205 points. The new pro-rated PASSING score would be:

$$\text{pro-rated score} = \frac{2001}{1785} \times (205 + 892) - 1000 = (1.1 \times 1097) - 1000 = 1207 - 1000 = +207.$$

The same process would be followed for FUNDET if some of its ratings were inapplicable or otherwise not applied. The range of possible FUNDET scores is 1721; the maximum possible negative score is - 720, and the maximum possible positive score is + 1000.

The score derived through this pro-rating process cannot be expected to be quite as valid as if all ratings had been used. However, the pro-rated score will be a reasonable approximation, because probabilistically, the existing strengths and weaknesses of the service would be found expressed in the inapplicable/unapplied ratings as well, if, in fact, the inapplicable/unapplied ratings were applicable or applied. For instance, if the service being assessed were to suddenly be reorganized so that all previously inapplicable ratings became applicable, there is a reasonable likelihood that in these newly applicable areas, the currently prevailing ideologies and practices would also be expressed, and that one would therefore not see either a startling improvement or deterioration in service quality.

#### ***Specific Guidelines for Conciliation During Training Assessments Only***

**B** During training assessment conciliations, a major part of the TL's mission is to teach TMs why each service feature is rated at a certain level and not at some other. Even when all TMs have individually assigned the same level, the TL in a training assessment cannot always take for granted that everyone has done so for the right reasons, so the TL may ask someone to explain his/her level assignment in order to make sure that the relevant principles have been understood. Of course, it is particularly important to recapitulate the rating rationales when there is a great deal of discrepancy among TMs in the levels they assign to a service.

**B** If the team cannot be brought to consensus on a particular rating, then the TL should employ the strategies mentioned earlier, to try to help TMs see the rationales for assigning a particular level to a service, to try to defuse the situation of emotionality, etc. However, *under no circumstances is conciliation in a training assessment to be decided by majority vote*. If the team reaches an irreconcilable deadlock, the TL must either override the rest of the team, if s/he feels fairly certain of the rating level, or call in the ETC/FL for guidance. A training assessment is not a parliament; the leaders, not the other TMs, are responsible for the reports, and they must therefore also be responsible for each conciliation-assigned level on the basis of their presumably having greater PASS or PASSING knowledge and experience. Indeed, it is not uncommon in a training assessment for everybody except the TL to be wrong. If the TL does have to impose a rating judgment, then before proceeding, s/he should try to make sure that all other TMs at least understand the issue, even if they do not agree. Even if it is contrary to their personal style predilections, TLs *must* be capable and willing to put an end by fiat to fruitless discussions or arguments, or to discussion that absorbs an unreasonable amount of time — especially if the rating at issue carries a low weight. *There should be no reason for conciliations in training assessments to drag on all night long*, although late night/early morning may not at all be an unreasonable time for a conciliation to end. TLs need to learn not to feel reluctant or apologetic in imposing a decision once an issue has been examined from all angles. Indeed, some outcry can be expected from TMs, but TLs will simply have to absorb a measure of potential (usually quite short-lived) unpopularity on this account.

#### ***Specific Guidelines for Conciliation During Official Assessments Only***

**A** On those infrequent occasions on official assessments when total team agreement on a rating cannot be reached, the rating level will be determined by a team vote. However, a voting procedure can *only* be employed during official assessments (a) when a team seems to have totally exhausted other efforts to reach consensus on a rating, as described earlier, and (b) at the discretion of the TL, not other TMs. In the unusual case in which a team is composed of an even number of TMs and there is a voting deadlock, the ETC/FL will cast the deciding vote. If there is no ETC/FL for the assessment, the TL's decision on the rating will be final in breaking such a deadlock.

Conciliations during non-training assessments are apt to require more time, perhaps lasting a full day to a day-and-a-half.

#### ***Post-Assessment Evaluations of the Team Itself, and of the Workshop or Assessment***

**C** At the end of an assessment, each team should conduct an intra-team evaluation of each of its members. This evaluation usually takes place on the last day of the assessment, or for training WSs, on the last day of the WS. It may be scheduled to take place either before or (preferably) after the verbal report on the assessment is provided to the assessed service and/or the WS group. The purposes of this intra-team evaluation are: (a) to increase TMs' ability to objectively assess their own performance and that of others, and (b) to provide the WS or

C assessment coordinating body (if there is one), senior WS personnel, and centers of PASS/PASSING training (such as the TI) with information on how each TM should, or wants to, be involved in future PASS/PASSING WSs and assessments and related training events. Trainers should keep this information about participants on file in order to refer to it for potential upcoming events.

The TI has kept a file for many years of people who have been/can be TLs, ETC/FLs, and trainers. Specifically, the TI has been interested in the kinds of WS/assessment roles in which such people are interested, are believed to be competent, and for which they should next be challenged. The TI appreciates receiving such feedback from trainers so that a central pool of such information can be available for people who need personnel for WSs and evaluations.

During the intra-team evaluations, the TL evaluates each TM on the various aspects of his/her performance during the assessment(s), and should elicit the TM's perspective on these same factors. (A form has been developed for this purpose, and is included at the end of this monograph as Appendix P.) These relevant factors are:

- B/C
- a. knowledge of and commitment to normalization;
  - b. ability to differentiate ratings from each other;
  - c. objectivity;
  - d. general competence as a PASS/PASSING evaluator;
  - e. readiness/willingness to attend and benefit from an advanced PASS or PASSING WS;
  - f. potential as a future TL at an introductory or advanced training WS;
  - g. potential as a future ETC/FL or WS trainer;
  - h. potential as a writer of assessment reports;
  - i. ability to participate on a non-training (i.e., official) assessment team;
  - j. any other personal qualities (e.g., stamina, intellect, energy, personality, motivation, image) that indicate that the person should or should not be involved in certain future assessments or training events.

C  
D The TL will report back to the ETC/FL and WS or assessment coordinator his/her assessment of each TM's performance on each of these factors. At the end of a training WS specifically, TLs, ETC/FLs, the WS coordinator, and trainers review these intra-team evaluations, each TL rendering a critique of his/her own performance, that of each TM, and that of his/her ETC/FL. At the end of assessments conducted outside the context of a training WS, the TL makes his/her report to the ETC/FL (if any) and assessment coordinator (if appropriate). Depending on what arrangements and responsibilities have been negotiated, either the TL or the ETC/FL then forwards the reports to the TI and/or any other relevant bodies.

C  
B/D The procedure for an intra-team evaluation is as follows: first, the TL evaluates his/her own performance, then other TMs provide their evaluations of the TL; then each TM will evaluate his/her performance, and be evaluated by the TL and other TMs; and so on. It is best to start the intra-team evaluations with the TL (for modeling purposes, and to reduce the anxiety of other TMs), then continue with the TT and TR if there are any, and then each of the other TMs. During assessments conducted outside the context of a training WS, some TLs conduct private evaluations with each TM, i.e., each meets individually with the TL to privately review that TM's performance.

C During the first team meeting, the TL should remind TMs of the need and time for this intra-team evaluation, and of the TM characteristics on which the TL will have to judge and report.

C Furthermore, at the end of every PASS or PASSING training event, and often at the conclusion of non-training assessments, participants will be asked to evaluate the WS or assessment itself. Usually, participants are asked to complete a form, as well as to make any additional comments that they think would be useful but that are not covered by the questions on the form. Such feedback from WS trainees and members of non-training assessments has proven to be very helpful in improving training formats, streamlining the assessment process, etc. Several sample evaluation forms are included in the separate monograph planned for this series on how to set up a PASS or PASSING training event.

### Preparation of Feedback on the Assessment Results

There are separate monographs either currently available, or planned for future publication, on the preparation and presentation of verbal feedback to the assessed agency, and on written reports. These are the monographs referred to throughout this book as the "assessment reporting" monographs. These were made into

separate monographs, rather than included herein, for the following reasons.

1. Leadership personnel play a much bigger role in preparing and giving such feedback than do other TMs, so TMs who are not in leadership roles would probably be less interested in such information.

2. The guidelines for reporting on assessment results are very extensive/substantial, so just for reasons of size, it was advisable to make those guidelines into a separate monograph.

3. The guidelines for reporting might need to be revised at an earlier or later date than these *Guidelines*. Having placed those guidelines into a separate monograph will facilitate the process of revision, as mentioned earlier, and will thus keep the costs of other volumes in the PASS/PASSING series lower.

Reporting on the results of the assessment may take up to three forms, which may be directed at different audiences.

A 1. During training WSs, each team reports on the findings of its assessment(s) to all members of all other teams in the WS. This report is called the verbal report to the plenary, is given by the TL of the respective team, and follows a structure detailed later in these guidelines. Although it is the TL who actually presents the report to the WS, the entire team usually assists in its preparation. In contrast, the written assessment report and the verbal feedback (if any) to the assessed service are almost always composed by the TL alone. Because the entire team participates in preparing the report to the plenary, guidelines for its preparation and presentation are given below in this monograph.

C/D 2. During most official/non-training assessments and some training assessments, verbal feedback on the assessment is presented by the team to the service that was assessed. The TL and/or ETC/FL conduct this presentation, called the verbal feedback session, according to the guidelines that are outlined in the separate (future) monograph on assessment reporting.

A/D 3. For *all* types of assessments, there should be some kind of written report of the assessment findings. This report can be one of four types, or combinations thereof: (a) a lengthy, detailed, narrative report, often referred to as a "long-form" report; (b) a "short-form" report which consists mostly of a number of forms (usually including one per rating) that are filled in; (c) a skeletal report, which consists of a brief summary of the assessment background and events, brief overviews of the normalization principle and the assessment instrument, and perhaps a summary of some of the major findings; or (d) the Scoresheet and Overall Service Performance Form (see Appendix J) which shows the scores and subscores that the service attained on the assessment, and also provides a few lines in which the report writer can enter brief statements of the major issues, strengths, and weaknesses of the service, and the team's major recommendations. Such a form exists at the present time for PASSING, and it is planned to develop a similar form for PASS in the near future.

A All of the above types of reports should include a copy of a completed Scoresheet and subscores form. (Until a PASS Scoresheet and Overall Service Performance Form is developed, PASS reporting must include both the 1975 PASS Scoresheet as well as the separate PASS Subscores scoresheet developed since then.)

C It is strongly recommended that a copy of the written report be sent not only to the service that was assessed, but also to each member of the assessment team, including the TL and ETC/FL. Detailed instructions on how to prepare a written assessment report are also available in the relevant assessment reporting monographs.

#### *Verbal Reports of Teams to the Plenary Workshop Group During Training Events*

A On the last day of training WSs, each TL will deliver to the plenary group a brief verbal report of his/her team's assessment experience(s). By preparing this verbal report, teams also help in the preparation of any verbal report to the assessed service, and of the final written report that the TL will write, because outlining the major issues and major recommendations for this verbal report furnishes at least a skeleton for the other reports. Also, *well-prepared, thoughtful, and incisive reports on all of the services assessed can make a major contribution to the learning of the WS participants*, who are thereby enabled to benefit from the experience of other teams. In fact, many points that might otherwise have to be taught didactically on the last day of a WS can be taught more fruitfully through the medium of these reports. Therefore, each team as a whole, and especially the TL, has a responsibility to prepare and present a very clear, instructive, accurate, and concise report.

- A As much as time permits, TLs should prepare the outline, structure and content of the verbal reports with their teams, e.g., at the end of conciliation, or early in the morning of the last day of the WS. The reports should be organized in a coherent and efficient fashion, and can be greatly enhanced by writing some pertinent facts on one or more overhead acetates, to be projected as the verbal report is presented. An example of a potentially useful format for such an overhead follows (see also nos. 2 through 6 below).
- C

Sample Overhead for Verbal Report on PASS/PASSING Training Practicum Site:

TYPE OF SERVICE:

DESCRIPTION OF OPERATING AGENCY:

OTHER SERVICES PROVIDED BY THE AGENCY:

CLIENTS OF THE SERVICE BEING ASSESSED:

NUMBER:

AGE RANGE:

SEXES:

CONDITION(S)/IMPAIRMENT(S):

WORKER IDENTITY(IES) :

NUMBER:

AGE RANGE:

SEXES:

MAJOR ROLES/FUNCTIONS:

MAJOR ISSUES:

ADDITIONAL MAJOR STRENGTHS/WEAKNESSES:

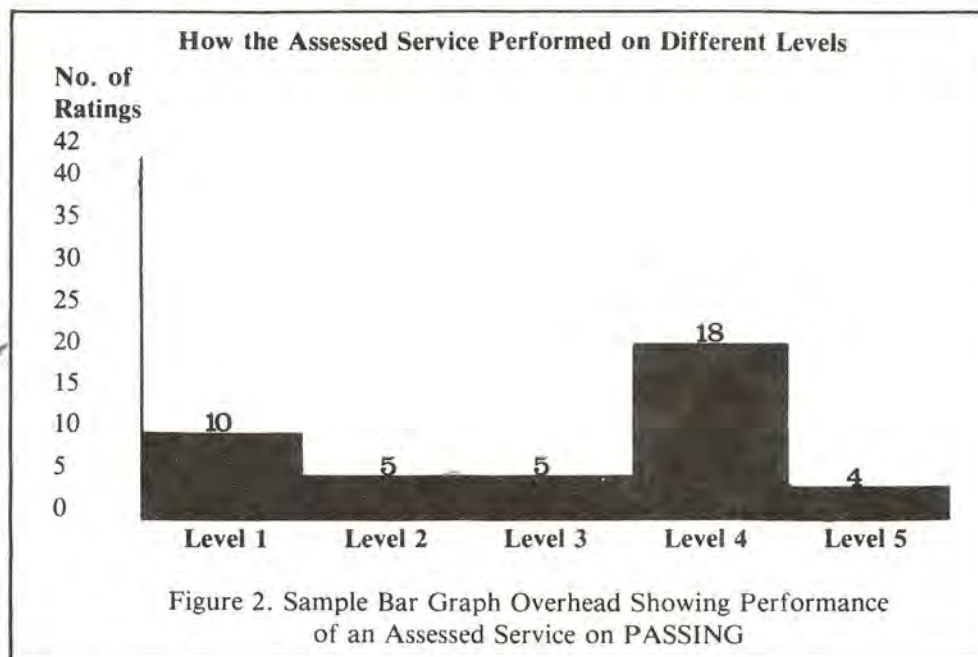
NON-NUMERICAL PASS/PASSING SCORE RANGE:

The verbal report should follow a very clear-cut structure, and the one offered below has been found to be optimal. If an overhead transparency such as the above sample is used, only the parts under discussion should be visible, and the parts that have not yet been discussed should be masked by sliding a piece of paper between the acetate and the projector, i.e., *underneath* the acetate.

- A 1. TLs should make no special effort to identify themselves. This will make it somewhat more difficult for members of the plenary WS group to identify the service which is being reported on, and will thereby add another small measure of confidentiality to the report.
- A 2. The TL should *not* mention the specific name of the service, but *should unequivocally* specify its nature. (Unmask "type of service".) For instance, a service that promotes maternal breast-feeding of babies should not be described cryptically as a service "supporting traditional child-rearing practices." The description of the assessed program should make clear to an ordinary listener: the type of agency that delivers the service (unmask "description of operating agency"); the service component that was assessed, as well as any other services provided by the assessed agency (unmask "other services provided by the agency"); the number of people served; the identities of the people served, including their ages, sexes, and their conditions or handicaps (if any) (unmask all of "clients of the service being assessed"); service workers' identities (unmask all of "worker identity(ies)"). TLs should not be so concerned for confidentiality that they give an unclear, perhaps even confusing description of the service. If the description of the service is not accurate and complete, the report of the assessment results that follows will make no sense to the audience, and they will learn little from it. In order to protect confidentiality, the TL should not reveal the name of the agency or service, even though people in the audience who are from the local area might be able at this point to guess at its identity.
- A

- A 3. Next, the TL should present a clear-cut statement and *brief* explanation of the one, two, or maybe three overriding issues that the assessment team identified in the service (unmask “major issues”).
- A 4. The major strengths and weaknesses of the service should be listed (unmask “additional major strengths/weaknesses”).
- A 5. The TL should then present the two or three most important recommendations that the team will be making to the service.
- A 6. The TL should not give the exact numerical score of the service, but the approximate score or score range, and should do so in intelligible descriptive terms, such as “near the expected level,” “slightly below the minimally expected level,” “very deeply in the unacceptable range,” etc. (unmask “non-numerical PASS/PASSING score range”). An important point is that the description previously given of the service and its quality should be perceived by listeners as congruent with the service’s score. Sometimes, a verbal report has so overemphasized the strengths or weaknesses of a service that listeners were dumbfounded to learn that the score was so much higher or lower than the report had led them to expect.

**For PASSING Only:** Some PASSING TLs have found it helpful to project a bar graph overhead showing the distribution of levels achieved by the assessed service on each of the ratings. Such a graph is constructed by drawing a bar above each level (1, 2, etc.) indicating the number of times that the assessed service achieved that level on the assessment. Such a graph may further help participants get an idea of the service’s performance, since the score range alone could reflect a wide variety of profiles of service performance. A sample of such a graph overhead follows as Figure 2. TLs should ascertain that the frequencies add up to the total number of ratings used, i.e., to 42 if all PASSING ratings are used.



Such an overhead will not be useful for PASS because the maximum number of levels for a rating in PASS can range from three to six, and therefore a Level 3, for instance, might indicate mediocre, positive, or even optimal performance, depending on how many levels the rating has.

- C/D 7. It has been found to be very difficult for many people to keep their reports to a reasonable length, and therefore it is very useful for the senior WS personnel (e.g., ETCs/FLs, trainers) to decide beforehand on a reasonable length of time, to inform TLs of this decision, and perhaps to signal to a TL that s/he is falling behind, and/or should wrap up his/her report. The time limit will depend somewhat on the size of the WS, because in a large WS where many reports have to be given, it may be impossible to have long reports and still have sufficient time for ETCs/FLs to comment (see no. 8)

C 8. After each report, first the ETC/FL for the team and then the junior and senior trainers should offer further instructive interpretations and reflections, if any, to the assembly. They may also find it useful to ask the TL to provide additional information or reflection.

A 9. During the reports, it is imperative that trainers, ETCs/FLs, and TLs all give undivided attention to these reports. This is especially true for those people who are closely involved with a particular report, such as the ETC/FL for the team that is reporting. The reports are delivered in such a concentrated fashion that even a ten-second distraction can introduce a disabling blind spot or distortion in a listener's entire orientation to, or comprehension of, the report. When the listener is an ETC/FL or trainer who will be expected to comment on the report, that can be especially injurious to the WS impact. Therefore, during the reports, these individuals should not engage in distracting activities or conversations, nor should WS participants distract them by attempting to interact with them then.

C 10. After all of the reports have been given, the senior WS trainer will project a transparency (prepared just before or during the plenary meeting) which shows the total score received by each service that was assessed. These scores should not reveal what setting received which score. The usefulness of this transparency can be further enhanced by showing the means and median scores, the cut-off point for the "expected score", and the scores attained by certain types of services (e.g., children's services, residential programs), though showing these additional aspects of the scores is optional. An example of such a summary follows.

B/C

Summary of Quantitative Findings of the Practicum Assessments During a PASS/PASSING Training Workshop		
<b>Total Score, from Highest to Lowest</b>		
+ 500	C/R	Code: A = Adults C = Children R = Residential
+ 419	C	
+ 201	C	
+ 13	C/R	
- 10	C/R	
<b>MEDIAN:</b> - 115	A	
- 227	A	
- 314	A	
- 456	C/R	
- 459	C	
- 501	A/R	
Range = 1001		
Mean of all Services = - 87		
Mean of Children's Services = - 289		
Mean of Adult Services = = 289		
Mean of Residential Services = - 113		

### *Written Reports and Verbal Feedback to the Assessed Service*

A/D After every assessment, the TL prepares some kind of written report of the assessment results, to be sent to the assessed service. (The only exception may be some training events where it has been agreed upon beforehand that no written report would be required.) Sometimes (but never in introductory training WSs), a TM may have been designated as a TR; if so, immediately after the assessment, the TR sends notes, recommendations, and any other relevant materials to the TL for incorporation into the report. Depending on what the assessment or WS coordinator, the assessed service(s), and the TL(s) have agreed upon before the assessment or WS, the written report, as explained earlier, may be (a) a very detailed lengthy narrative, (b) several prepared forms in which information on the assessed service is just filled in, (c) a skeletal summary report, or (d) the PASSING Scoresheet/Overall Service Performance Form or PASS Scoresheet and Subscores Scoresheet alone. (A format for mini-reports such as type "c" and "d" already exists; check with the publisher or the TI for additional guidelines.) The TL sends a copy of his/her final draft of the report either to the ETC/FL, who will then edit it and send it to the assessment or WS coordinator, or to the assessment or WS coordinator directly. Unless other-

C/D

C/D

wise arranged, the assessment or WS coordinator is responsible for reviewing the report and having it final-typed, and for sending one good copy of the report each to the assessed service, the TL, and usually all other TMs and ETC/FL.

A

As well, in some contexts, a verbal feedback session (VFS) will have been arranged with representatives of the assessed service, and possibly other interested persons whom the assessed service may invite. Where a VFS takes place, it is one of the last events of an assessment (it may be followed by the intra-team evaluation and/or a final meeting by the leadership of a training WS). A VFS usually lasts one to two hours, is conducted by the TL and/or ETC/FL for the assessment team, and is interpreted as preliminary, incomplete, sketchy, etc. (However, the author considers it a breach of proper PASS/PASSING use to let novice TLs at introductory training WSs give such reports; rather, the ETC/FL should handle them.) Other TMs may, but need not necessarily, be present at the VFS.

There are or will be separate monographs in this series of PASS- and PASSING-related volumes with detailed instructions, guidelines, and formats for both the written reports and VFSs. Readers are referred to those monographs for further information and instructions.

### *Caveat Regarding Verbal Feedback to the Assessed Service(s) During Training Workshops*

In some training formats, the assessment team provides verbal feedback (either in place of or in addition to a written report) to the service which it assesses. This author approves of the concept of verbal feedback in principle, but opposes it in the context of training WSs, *unless* the feedback takes place *after* the plenary team reports and analyses have been given on the last day of the WS. The author has found that, again and again, had the team given feedback to the assessed service prior to the plenary reports, the feedback would have been seriously flawed. The analyses by FLs and other senior trainers on the last day of the WS often serve to clarify relevant issues and correct some team errors and misconceptions. Thus, if a VFS takes place after skilled and corrective plenary analysis and discussion, this writer would support it, but so far, this has not been found to be manageable in practice. Of course, an entirely different situation prevails during official evaluations where there is a fully trained and competent team under experienced team leadership. In contrast, during training assessments, the TL may be leading for the first time, the ETC/FL may be filling that role for the first time, some training formats may even lack an ETC/FL, etc.

## CONCLUSION

As mentioned earlier, the guidelines and recommendations provided herein for TM praxis during a PASS, PASSING, or similar assessment have been tested over many hundreds of assessments conducted since 1969. And as mentioned earlier, it is absolutely essential that TMs adhere to certain of these guidelines during the course of an assessment; it is highly recommended that TMs abide by the remainder.

The author welcomes suggestions for additions and improvements to this set of guidelines. Readers are invited to send their recommendations, along with the context and rationales for the suggested change, to Wolf Wolfensberger, PhD, Training Institute for Human Service Planning, Leadership, and Change Agency (TI), Syracuse University, 805 South Crouse Avenue, Syracuse, New York 13210 USA.

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## **APPENDIX A: CHECKLIST OF ESSENTIAL ACTIVITIES FOR A TEAM LEADER DURING A PASS, PASSING, OR SIMILAR ASSESSMENT**

This checklist is designed to assist the team leader (TL) in conducting a PASS, PASSING, or similar assessment of a service by listing, in approximate sequence of events, the tasks that are carried out by a TL at various points before, during and shortly after an assessment. The checklist can therefore serve as a self-tracking device for TLs. Next to each listed task is a box that the TL should check off (☐) when that particular task is completed. There is also a space next to each task for a TL to jot down any relevant notes. The checklist is divided into thirteen sections, each section listing the tasks that need to be completed prior to or during a certain stage of the assessment.

Not every task listed is applicable to each assessment. In order to indicate which tasks apply when, the items have been coded as follows:

\*usually applicable *only* at introductory training workshops;

\*\*usually *not* applicable at introductory training workshops.

The asterisk code, if applicable, is placed to the left of the number or letter that precedes the task. If there is no code in front of an item, then the item applies to most or all types of assessments.

Before using a checklist for an assessment, a TL should (a) cross out the boxes for all items that s/he knows do not apply to the particular assessment, like this: ☒, and (b) add any tasks to be performed for an assessment that are not on the list in the spaces provided at the end of each section.

A TL should use a new checklist for each assessment. These can be purchased from the publisher. However, parts of this checklist have been so set up that they can be used even where a team assesses multiple components of a service. Space has been allowed for up to three such separate inquiries and corresponding site tours.

A. MEASURES TO BE TAKEN IN PREPARATION FOR AN ASSESSMENT OR WORKSHOP (WS), PRIOR TO ARRIVAL AT ASSESSMENT/WS HEADQUARTERS	CHECK BOX WHEN COMPLETED	NOTES
1. Review & study relevant normalization readings (e.g., <i>Normalization</i> text, several sections of the <i>PASSING Normalization Criteria and Ratings Manual</i> )	<input type="checkbox"/>	
2. Review & study relevant assessment instrument (PASS or PASSING)	<input type="checkbox"/>	
3. Review & study the <i>Guidelines</i> monograph	<input type="checkbox"/>	
4. Read & study any materials sent by the assessment/WS coordinator	<input type="checkbox"/>	
5. Prepare questions for inquiry &/or observation that need to be answered for each rating, perhaps based on the standard set of questions for PASS or PASSING that have been developed & are available from the publisher or the TI	<input type="checkbox"/>	
6. Conceptualize in general outline methods & format for conducting team meetings, inquiries, & conciliation	<input type="checkbox"/>	
7. Collate all necessary or useful resources (N.B. - Some of the materials listed below may be provided by the WS or assessment coordinator):		
a. PASS or PASSING <i>Manual</i>	<input type="checkbox"/>	
b. PASS or PASSING <i>Handbook</i>	<input type="checkbox"/>	
c. <i>Guidelines</i> monograph	<input type="checkbox"/>	
d. Other SOPs & OOPs	<input type="checkbox"/>	
e. Additional key texts or narratives, e.g., <i>Normalization</i> text	<input type="checkbox"/>	
f. Relevant notes from previous PASS or PASSING WSs & assessments	<input type="checkbox"/>	
g. All materials sent by assessment/WS coordinator	<input type="checkbox"/>	
h. Generous supply of pens & pencils	<input type="checkbox"/>	
i. Generous supply of note paper	<input type="checkbox"/>	
j. Generous supply of 3x5 index cards	<input type="checkbox"/>	
k. Pre-ordered system for taking notes	<input type="checkbox"/>	
l. Clipboard &/or loose-leaf binder	<input type="checkbox"/>	
m. Plenty of paper clips & rubber bands	<input type="checkbox"/>	
n. Small stapler	<input type="checkbox"/>	
o. 2- or 3-hole punch, as applicable; scissors	<input type="checkbox"/>	
p. Cassette recorder & cassette tapes	<input type="checkbox"/>	
q. Calculator	<input type="checkbox"/>	
r. Newsprint or chart paper	<input type="checkbox"/>	
s. Water-soluble marking pens for wallpaper	<input type="checkbox"/>	
t. Tape	<input type="checkbox"/>	

Additional Items:

B.	MEASURES TO BE TAKEN UPON ARRIVAL AT ASSESSMENT OR WS HEADQUARTERS	CHECK BOX WHEN COMPLETED	NOTES
1.	Check for messages or materials held for you	<input type="checkbox"/>	
2.	Check in with assessment/WS coordinator for any last-minute information, to finalize last minute details, & obtain:		
	a. Final schedules for WS/assessment	<input type="checkbox"/>	
	b. Directions to assessment site(s)	<input type="checkbox"/>	
	c. Documentation	<input type="checkbox"/>	
	d. Checklists, Scoresheets, & subscore forms (be sure to get one <i>extra</i> of each for each assessment being conducted)	<input type="checkbox"/>	
	e. Maps	<input type="checkbox"/>	
	f. Newsprint or chart paper, pens, tape	<input type="checkbox"/>	
	g. Extra name badges	<input type="checkbox"/>	
	h. Team list	<input type="checkbox"/>	
**3.	Confirm room accommodations for team members (TMs) still to arrive	<input type="checkbox"/>	
4.	Call contact person(s) at the service(s) to be assessed, to confirm:		
	a. Inquiry site(s) & time(s)	<input type="checkbox"/>	
	b. Program visit site(s) & time(s)	<input type="checkbox"/>	
	c. Possible preliminary (Day O) visit <i>by TL only</i> before assessment starts	<input type="checkbox"/>	
	d. Identity of informants	<input type="checkbox"/>	
	e. Who will be interviewed in formal inquiry(ies)	<input type="checkbox"/>	
	**f. Verbal Feedback Session site & time	<input type="checkbox"/>	
	g. Possible additional documentation to be provided on-site	<input type="checkbox"/>	
	h. Other information	<input type="checkbox"/>	
**5.	Check arrangements for all TMs to meet together, e.g., over dinner	<input type="checkbox"/>	
6.	Review & organize information & materials for initial team meeting	<input type="checkbox"/>	
**7.	Tentatively make assignments for individual TMs & sub-teams	<input type="checkbox"/>	
8.	Prepare any wallpaper charts that can be done at this time.	<input type="checkbox"/>	
9.	Arrange room for team meeting	<input type="checkbox"/>	
10.	As needed, confer with ETC/FL	<input type="checkbox"/>	
	Additional Items:		

C. MEASURES TO BE TAKEN AT INITIAL MEETING(s) WITH TEAM MEMBERS (TMs); N.B. — At some WSs/assessments, there may be more than one team meeting prior to the assessment site visit, so the tasks listed below may have to be divided up among these several meetings	CHECK BOX WHEN COMPLETED	NOTES
1. Introduce self	<input type="checkbox"/>	
2. Have TMs each introduce selves, slowly	<input type="checkbox"/>	
3. Refer to team list, if any	<input type="checkbox"/>	
4. If/when available, hand out team list if TMs do not have one	<input type="checkbox"/>	
5. If no team list is available, have one TM make a neat team list to give to hosts at assessment site(s)	<input type="checkbox"/>	
6. Give TMs your room/phone numbers	<input type="checkbox"/>	
7. Record all other TMs' room/phone numbers, & have all TMs do so	<input type="checkbox"/>	
8. Review & clarify all different TM roles	<input type="checkbox"/>	
9. If applicable, explain external team consultant's/floater's (ETC/FL) role, & his/her likely activities	<input type="checkbox"/>	
10. Explain/review confidentiality issue	<input type="checkbox"/>	
11. If not already done, disseminate confidentiality forms for signature, & collect signed forms	<input type="checkbox"/>	
12. Collect brief TM resumés for inclusion in written assessment report; have TMs write resumés if they do not have one ready	<input type="checkbox"/>	
13. Check resumés for completeness of needed information, & obtain any missing information	<input type="checkbox"/>	
14. Explain/review structure & schedule of WS/assessment events, especially:		
a. Simulations & team meetings for their conciliations (only at some WSs)	<input type="checkbox"/>	
b. Tour of neighborhood & setting exterior	<input type="checkbox"/>	
c. Conduct of inquiry(ies)	<input type="checkbox"/>	
d. Observation(s) of program(s)	<input type="checkbox"/>	
e. Guided tour of setting interior & exterior	<input type="checkbox"/>	
**f. Individual TM & sub-team assignments & reports	<input type="checkbox"/>	
g. Individual organization or evidence & assignment of rating levels by each TM	<input type="checkbox"/>	
h. Conciliation	<input type="checkbox"/>	
i. Verbal report to plenary WS group (at WSs only)	<input type="checkbox"/>	
j. Nature & type of feedback to assessed agency, i.e., written, oral, or both	<input type="checkbox"/>	
k. Any special arrangements for team meals	<input type="checkbox"/>	
15. Review with TMs major guidelines for general conduct at service setting:		
a. Thorough preparation & reading of materials	<input type="checkbox"/>	
b. Projection of positive/courteous image, including dress, introductions, & wearing of name tags	<input type="checkbox"/>	
c. Respect for privacy & rights, especially of people in residences	<input type="checkbox"/>	
d. Maintenance of team role identity & preservation of team integrity & image	<input type="checkbox"/>	

- e. Task orientation
- f. Observation of, not participation in, the service environment
- g. Staying together during group tour(s)
- h. Other
- 16. Make sure all TMs have all necessary materials
- 17. Review any other important guidelines with TMs
- 18. Distribute any documentary materials on the service not already received by TMs earlier, & review any questions on them
- \*\*19. Distribute any additional materials, e.g., reimbursement forms
- 20. If TMs have not already received them, hand out Checklists, Scoresheets, & subscore forms, & any other assessment forms that are needed
- 21. Explain your inquiry format/procedure, & tell TMs of any changes you are making in the standard inquiry sequence, & why
- 22. Explain procedure for TMs to add/ask questions during the inquiry
- 23. Suggest format for taking notes, e.g., use of the Individual PASS/PASSING Rating Evidence Organization forms
- 24. Remind TMs to have all necessary equipment & supplies (see *Guidelines* & number 7 in section "A" above)
- \*\*25. Make individual TM & sub-team assignments
- 26. Make arrangements for departure & transportation to service site(s):
  - a. What car(s) to use & back-ups
  - b. Where to meet for departure
  - c. What time to leave
  - d. What happens to people who are late
  - e. Directions for *each* car
  - f. Whether to tour neighborhood before arriving at setting, or to defer neighborhood tour
  - h. What to do if other TMs arrive at setting before the TL
  - i. What to do if part of caravan gets lost
- 27. Remind TMs of need to review, know & observe *Guidelines*
- 28. Open the meeting for questions
- 29. As needed, consult with ETC/FL

Additional Items:

D. PROCEDURES FOR DEPARTURE TO SERVICE SETTING		CHECK BOX WHEN COMPLETED	NOTES
1.	Be sure to arise, or otherwise get ready, early enough to be at designated departure spot <i>well before</i> agreed-upon departure time	<input type="checkbox"/>	
2.	Meet with team at agreed-upon departure spot	<input type="checkbox"/>	
3.	Check that all TMs have necessary equipment	<input type="checkbox"/>	
4.	Check that all TMs are wearing name tags, & distribute extra name tags if needed	<input type="checkbox"/>	
5.	Check that one person in each car has directions to site & (if available) a map	<input type="checkbox"/>	
6.	Remind TMs to take notes during neighborhood tour of setting	<input type="checkbox"/>	
7.	At previously determined departure time, travel in lead car with team to site	<input type="checkbox"/>	
8.	Conduct neighborhood tour by car (if not now, later, or again later)	<input type="checkbox"/>	
Additional Items:			

E. PROCEDURES FOR INQUIRY(IES) WITH SERVICE REPRESENTATIVES		CHECK BOX WHEN COMPLETED FOR EACH INQUIRY			NOTES
		Inq. 1	Inq. 2	Inq. 3	
1.	Attend to seating arrangement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Introduce self to host(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Introduce other TMs to host(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Distribute copies of team list to host(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.	If applicable, explain who ETC/FL is, that s/he is likely to show up, & when	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.	Possibly reassure host(s) of confidentiality pledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.	Check client/program schedule so as not to miss observation of important "time hinges"	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.	Explain PASS or PASSING to host(s) <i>briefly</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9.	<i>Briefly</i> explain conduct of inquiry(ies) to host(s), including your role & that of other TMs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10.	If applicable, ask for permission to tape the session to assist in writing the assessment report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11.	Conduct the inquiry, being sure to adhere to sequence & to elicit TM questions at proper times	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12.	At any breaks during inquiry, elicit ETC/FL advice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13.	Conclude inquiry by asking host(s) if they have anything to add or ask	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14.	Obtain from host(s) additional documentation that they have promised during inquiry	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

15. *Over lunch, either:*

- a. Continue inquiry, if needed, &/OR
- b. Eat with clients at service, &/OR
- c. Review records & other documentation, &/OR
- d. Hold team meeting, &/OR

\*\*e. TMs & sub-teams pursue specific individual assignments

Additional items:


F. PROCEDURES FOR OBSERVATIONS, & VISITS TO PROGRAM(S)	CHECK BOX WHEN COMPLETED FOR EACH TOUR			NOTES
	Tour 1	Tour 2	Tour 3	
1. Introduce self to tour guide(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Introduce other TMs to tour guide(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Distribute copies of team list to tour guide(s) & host(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. If applicable, explain who ETC/FL is, that s/he is likely to show up, & when	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Check client/program schedule so as not to miss observation of important "time hinges"	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6. <i>Briefly</i> explain what team needs to see & how	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
*7. During group tour, be sure to keep team together, & speak loudly enough for all TMs to be able to hear	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8. Keep track of where all TMs are at all times	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
9. If needed, delicately remind guide when to move on	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10. Thank guide at end of tour/visit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Additional items:				

G. PROCEDURES FOR VISITS/INTERVIEWS WITH CLIENTS	CHECK BOX WHEN COMPLETED	NOTES
1. Remind TMs of necessity for: <ul style="list-style-type: none"> <li>a. Courtesy towards clients</li> <li>b. Respect for client's privacy, rights, wishes</li> <li>c. Staying in background &amp; observing with an attitude of openness &amp; non-defensiveness</li> <li>d. Taking notes <i>during</i> the visit, though perhaps very discreetly</li> </ul> 2. As applicable, introduce self & other TMs to clients           3. As indicated, explain purpose of visit           Additional Items:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

H. PROCEDURES FOR MISCELLANEOUS OTHER ACTIVITIES AT SERVICE SETTING	CHECK BOX WHEN COMPLETED	NOTES
1. Conduct or complete neighborhood tour, if still needed 2. Have guided tour of both interior & exterior of setting 3. Arrange for TMs to review additional documentation, as necessary **4. Individual TMs & sub-teams make additional specific contacts with clients' family members & advocates, board members, personnel of related programs, etc. **5. Conduct team meeting for report of results of individual TM & sub-team tasks 6. After visits, consult with ETC/FL as needed Additional Items:	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

I.	PROCEDURES FOR INDIVIDUAL ORGANIZATION OF EVIDENCE & ASSIGNMENT OF RATING LEVELS BY TMs	CHECK BOX WHEN COMPLETED	NOTES
1.	Tell TMs time frame for completion of individual evidence organization & rating level assignments	<input type="checkbox"/>	
2.	Instruct TMs on methods for organizing evidence, e.g., on rating forms	<input type="checkbox"/>	
3.	Remind TMs to mark individual levels:		
	a. on their Checklists	<input type="checkbox"/>	
	b. In pencil	<input type="checkbox"/>	
	c. With a circle	<input type="checkbox"/>	
4.	After you have completed your own individual evidence organization & level assignments, consult with ETC/FL on assessment issues, if needed, & inform ETC/FL of beginning time of conciliation so that s/he may join your team	<input type="checkbox"/>	
5.	Prepare newsprint or chart paper, if any, to hang on wall or easel for writing on during conciliation (Use watercolor markers or several thicknesses of paper to avoid printing onto the walls)	<input type="checkbox"/>	
6.	Set up chairs, food, etc., in conciliation room	<input type="checkbox"/>	
Additional Items:			

J.	PROCEDURES FOR CONCILIATION	CHECK BOX WHEN COMPLETED	NOTES
1.	If applicable, inform ETC/FL that conciliation is beginning, so that s/he may sit in on discussion of fundamental issues	<input type="checkbox"/>	
2.	Poll TMs' individually-assigned rating levels for each rating onto master Checklist	<input type="checkbox"/>	
3.	Decide whether individually-marked Checklists should be put away during conciliation, or kept out	<input type="checkbox"/>	
4.	Explain any other special conciliation procedures to TMs, e.g., guidelines for conciliation, decision by TL, voting	<input type="checkbox"/>	
5.	Begin conciliation, usually following the order outlined in the <i>Guidelines</i> monograph, being sure to:		
	a. Have designated person(s) (which may include all TMs) mark conciliated level for each rating on appropriate spaces on their Checklists	<input type="checkbox"/>	
	b. Elicit recommendations at appropriate times	<input type="checkbox"/>	
6.	After all ratings have been conciliated, review/refine overriding issues, & elicit (additional) high-level recommendations	<input type="checkbox"/>	

7. Tell TMs to bring out their Checklists if they had put them away at beginning of conciliation (see number 3 above); have all TMs mark their Checklists with final conciliated levels:
  - a. In pen
  - b. With an X
8. Help all TMs to complete Scoresheet or Scoresheet/Overall Service Performance form, being sure to triple-check for accuracy of addition
9. Compute & triple-check subscores, & enter them into appropriate forms
10. Collect *all* TMs' *completely filled out* Checklists
11. As applicable, prepare for verbal feedback to assessed service, &/or to plenary WS group:
  - a. Inform TMs of your role as TL in presenting verbal feedback &/or report, & of their role, if any
  - b. Identify service's major issues
  - c. Identify service's major strengths & weaknesses
  - d. Identify major recommendations
  - e. Prepare any necessary visual aides (e.g., overhead transparencies, charts) to assist in verbal presentations
12. As applicable, set time & transportation arrangements for next assessment event, be it:
  - \*a. Another assessment
  - \*b. Verbal report to plenary group
  - \*\*c. Verbal feedback session with service representatives
13. Make a copy of the Scoresheet & subscore sheet
14. Fill out research data form on assessment
15. Meet with ETC/FL &/or assessment/WS coordinator, as needed
16. Turn in research data form, all TMs' Checklists, & one copy of completed accurate Scoresheet & subscore form to assessment/WS coordinator
- \*17. Prepare verbal report to WS, including acetate of summary facts

Additional Items:

*K. PROCEDURES FOR VERBAL REPORT TO PLENARY GROUP (FOR TRAINING WSs ONLY), PREFERABLY WITH THE AID OF ACETATE PROJECTIONS	CHECK BOX WHEN COMPLETED	NOTES
*1. Describe type of service assessed & program provided to clients	<input type="checkbox"/>	
*2. Briefly describe any other programs run by the assessed service	<input type="checkbox"/>	
*3. Describe clients in assessed service:		
a. Ages	<input type="checkbox"/>	
b. Sexes	<input type="checkbox"/>	
c. Number	<input type="checkbox"/>	
d. Handicapping/devalued conditions, if any	<input type="checkbox"/>	
*4. Describe workers in assessed service:		
a. Ages	<input type="checkbox"/>	
b. Sexes	<input type="checkbox"/>	
c. Number	<input type="checkbox"/>	
d. Service identities/roles vis-a-vis clients	<input type="checkbox"/>	
e. Other relevant information	<input type="checkbox"/>	
*5. Explain major overriding issues of assessed service	<input type="checkbox"/>	
*6. Explain major strengths & weaknesses of assessed service	<input type="checkbox"/>	
*7. Cite approximate range of total score that the service achieved	<input type="checkbox"/>	
*8. Cite major recommendations	<input type="checkbox"/>	
*9. Allow ETC/FL or other senior WS personnel to make comments	<input type="checkbox"/>	
*10. If applicable, incorporate changes/additions recommended by ETC/FL & other senior training personnel into notes for written report or other verbal feedback	<input type="checkbox"/>	
Additional Items:		

<b>**L. PROCEDURES FOR VERBAL FEEDBACK SESSION (VFS) WITH REPRESENTATIVES OF ASSESSED SERVICE</b>	<b>CHECK BOX WHEN COMPLETED</b>	<b>NOTES</b>
**1. Review separate monograph on conduct of VFS, & use procedures specified there. Additionally or alternatively, proceed as suggested below	<input type="checkbox"/>	
**2. Call agency contact person(s) to confirm site & time for verbal feedback session	<input type="checkbox"/>	
**3. Introduce self, ETC/FL, & any TMs present to new people at the session, if possible by referring to team list	<input type="checkbox"/>	
**4. Briefly explain purpose & structure of the session, referring to prepared chart (see step 11e in section "J" above) for outline	<input type="checkbox"/>	
**5. If applicable, ask for permission to tape the session to assist in writing the assessment report	<input type="checkbox"/>	
**6. Conduct the VFS, according to the guidelines outlined in monograph on that topic	<input type="checkbox"/>	
**7. Ask host(s) for comments & questions	<input type="checkbox"/>	
**8. Thank host(s), e.g., for opportunity to conduct the assessment, openness, hospitality, etc.	<input type="checkbox"/>	
**9. Depart	<input type="checkbox"/>	
Additional Items:		

<b>M. PROCEDURES FOR FINAL TEAM MEETING (This meeting may be held before or after the verbal reports &amp;/or VFS)</b>	<b>CHECK BOX WHEN COMPLETED</b>	<b>NOTES</b>
1. Check whether there are more detailed relevant guides than these. Otherwise, proceed as below	<input type="checkbox"/>	
2. Explain to TMs the conduct of the meeting	<input type="checkbox"/>	
3. Evaluate your own performance as a TL during the assessment, citing both strengths & weaknesses, & areas that need improvement	<input type="checkbox"/>	
4. Ask for feedback from TMs on your performance as a TL	<input type="checkbox"/>	
5. Ask each TM in turn for an evaluation of his/her own performance, give your own evaluation of each TM, & ask for other TMs' assessments of each TM	<input type="checkbox"/>	
6. Ask each TM what participation, if any, they feel qualified for & they would like to have in future PASS/PASSING training & assessments	<input type="checkbox"/>	
*7. Meet with ETC/FL, possibly other TLs, & assessment/WS coordinator for final wrap-up session, if/as previously arranged	<input type="checkbox"/>	
Additional Items:		

## **APPENDIX B:**

### **GUIDELINES FOR THE ASSIGNMENT OF INDIVIDUAL RESPONSIBILITIES TO TEAM MEMBERS AND/OR SUB-TEAMS DURING OFFICIAL AND ADVANCED TRAINING PASS OR PASSING ASSESSMENTS**

**This appendix is not applicable to introductory training workshop (WS) assessments.**

**All the material in this appendix should be considered to be coded "C."**

#### **INTRODUCTION**

In order to maximize the overall efficiency and productiveness of an official assessment team or one from an advanced PASS/PASSING training WS, the team leader (TL) will often assign specific responsibilities to individual team members (TMs), and/or to sub-teams composed of some of the TMs. In fact, the special missions assigned to individual TMs may be such that some TMs may be designated as "sub-teams of one." The following guidelines have been developed to assist TLs in (a) determining, prior to an assessment, the importance of potential contacts, interviews, and other tasks that could be conducted by individual TMs and sub-teams, and (b) allocating responsibilities for gathering supplemental information somewhat equally among TMs.

It is suggested that the TL begin preparing these assignments as far in advance of arrival at the assessment site as possible. It will help if the TL thoroughly studies the agency documentation that has been provided to the team. The TL might also want to rank-order potential specific responsibilities according to the needs and circumstances of a particular assessment. Also, whenever possible, individual assignments should match the skills and interests of individual TMs; if TLs are not informed about specific TMs' abilities prior to the assessment, they may wish to ask TMs about their interests and talents at the first team meeting.

To the extent possible, certain assignments should be made during the first team meeting so that TMs will prepare themselves mentally, and will have the flexibility to accomplish their individual missions whenever they have available time. Also, some responsibilities are better accomplished at certain times than others. For instance, visits to client work sites (e.g., sheltered workshops) must usually be made during the work day, while contacts with clients, their friends, or relatives will usually be best accomplished after the work day.

However, the TL may also want to make other assignments as a team progresses through the assessment. This is necessary because inquiries and observations during the early parts of the assessment generally stimulate or produce other avenues of inquiry which could not have been adequately anticipated, but which should be followed up. Also, this option permits TLs to (a) avoid overwhelming individual TMs at the beginning, and to (b) apportion responsibilities one or a few at a time after a TM or sub-team has accomplished previous assignments. This type of "in progress" assignment of tasks is also conducive to reprioritizing assignments as new priorities emerge.

The TL may assign special work to sub-teams (consisting of one or more TMs) in at least four significant areas: (a) special concentration on specific ratings and/or rating clusters; (b) contact with individuals outside normal inquiry channels (parents, advocates, former clients, etc); (c) visits to related services and sites; and (d) review of certain documents and client records. It is recommended that a TL assign at least one item in each of these four areas to each TM and/or sub-team. Each of the four areas is explained below.

#### **CONCENTRATION ON SPECIFIC RATINGS AND/OR RATING CLUSTERS**

In *all* PASS or PASSING assessments, *all* TMs are expected to gather data pertinent to *all* ratings, and to individually assign rating levels to *all* ratings. They are also expected to contribute their observations, judgments, and recommendations on all ratings to the team effort during conciliation. However, in order to strengthen and/or expand the team's analyses during the conciliation process, as well as to greatly facilitate report writing, the TL may assign responsibilities to individual TMs for special concentration on certain ratings or rating clusters. The responsibilities of such special concentration include the following.

1. Gathering extensive evidence (both positive and negative) for the assigned ratings.
2. Analyzing the service's overall performance on the assigned ratings and/or rating cluster(s).
3. Developing recommendations for the service in regard to the assigned ratings and/or rating cluster(s).

If TMs are given these rating concentration assignments during the initial team meeting, they will thus be alerted to pay special attention to their assigned ratings as the team proceeds through the assessment. In cases where there are more rating clusters than TMs, the TL may consider either not assigning some clusters for special emphasis, or assigning several rating clusters to specific TMs.

#### **For PASS Only**

It is suggested that the TL consider allocating ratings for individual or sub-team assignments according to the following clusters.

1. All ratings subsumed under *physical integration*.
2. All ratings relating to *deviancy image juxtaposition* (i.e., R111213 Deviancy Image Juxtaposition, R111214 Deviancy Program Juxtaposition, R1112211 Deviant Staff Juxtaposition, and R1112212 Deviant Client and Other Juxtaposition).
3. All ratings subsumed under *appropriate interpretations and structures* (this includes the seven age-appropriateness ratings and the five culture-appropriateness ratings).
4. All ratings subsumed under *quality of setting* (to a large extent, these ratings should also be a team effort; however, some special concentration can be given by one or two TMs, especially if they dine with the clients during the assessment).
5. All ratings subsumed under *ideology-related administration* (the rating R121 Comprehensiveness should also be a team effort, but one or two TMs could concentrate on determining regional population, cohesion, conformance to other socio-political boundaries, and other factors involved in this rating which may not be easily assessable).
6. Ratings subsumed under *internal administration*.
7. The two ratings subsumed under *finance*.

#### **For PASSING Only**

It is suggested that the TL consider allocating ratings for assignment according to the following clusters.

1. All the ratings having to do with the *image-related physical setting*, i.e., all ratings that begin with the numeral "11."
2. All the ratings that have to do with the *competency-related physical setting*, i.e., all ratings that begin with the numeral "21."
3. All the ratings that have to do with the *intra-service client grouping*, i.e., R1231 Image Projection of Intra-Service Client Grouping — Social Value, R1232 Image Projection of Intra-Service Client Grouping — Age Image, R2211 Competency-Related Intra-Service Client Grouping — Size, and R2212 Competency-Related Intra-Service Client Grouping — Composition.
4. The remaining ratings that have to do with *competency-related service-structured groupings and relationships* among people, i.e., R222 Competency-Related Other Integrative Client Contacts & Personal Relationships, R223 Life-Enriching Interactions Among Clients, Service Personnel, & Others, R224 Program Support for Client Individualization, and R225 Promotion of Client Socio-Sexual Identity.
5. The remaining ratings having to do with *image-related service-structured groupings and relationships* among people, i.e., R121 Image Projection of Program-to-Program Juxtaposition, R122 Service-Neighborhood Assimilation Potential, R124 Image-Related Other Integrative Client Contacts & Personal Relationships, R1251 Service Worker-Client Image Transfer, R1252 Service Worker-Client Image Match.

6. All the ratings having to do with *image-related service-structured activities and other uses of time*, i.e., all the ratings beginning with the numeral "13."

7. Two ratings under *competency-related service-structured activities and other uses of time*, i.e., R232 Intensity of Activities & Efficiency of Time Use and R233 Competency-Related Personal Possessions.

8. All the ratings having to do with *image-related miscellaneous service features*, i.e., all the ratings beginning with the numeral "14."

### **For Both PASS and PASSING**

Any ratings not included in the above clusters probably require the joint concentration of the team as a whole. For example, on PASS, the team as a whole must conceptualize and develop R113 Model Coherency; on PASSING, the R231 Program Address of Clients' Service Needs rating must be addressed similarly.

### **CONTACTS OUTSIDE NORMAL INQUIRY CHANNELS**

The TL may also assign TMs to contact individuals who are ancillary, or external, to the agency/service/program/organization being assessed. In the past, potentially fruitful contact of such individuals has been somewhat inconsistent. However, if such contacts are relatively systematized and focused, they frequently yield important information, attitudes, perspectives, and confirmational data. Potential individuals to be contacted could include: (a) parents and other relatives (brothers, sisters, etc.) of clients; (b) clients' friends; (c) clients' advocates; (d) volunteers; (e) clients' "case managers" or equivalent; (f) staff of other relevant agencies and programs attended by clients, such as teachers; (g) board members; (h) advisory group members; (i) part-time assistants and aides; (j) others.

### **VISITING ASSESSMENT-RELATED SITES**

The TL may assign specific TMs and/or sub-teams to visit assessment-related sites which otherwise might not be viewed by the team as a whole during the routine processes of an assessment, but which may have some prominent role in the direct experience of the clients in the service being assessed. Such sites may include: (a) work sites; (b) school sites; (c) residential sites; (d) recreation sites; (e) generic, and possibly even ordinary community, resources that are used by the service; (f) a meal at the service, especially if it is a residence. Where it is not feasible for all TMs to dine with residents at some time during the assessment, the TL may wish to arrange for one or two TMs to do so.

### **REVIEW OF DOCUMENTATION**

The TL may also assign special responsibilities for concentrated study or review of such documentation as: (a) budgets and other financial documents (one or two TMs); (b) individual client records (divided evenly among all TMs); (c) audio-visual material developed by an agency about itself; (d) other documents received on site, e.g., plans, by-laws.

### **STRUCTURING EFFICIENT CONTINUITY INTO ASSIGNMENTS**

Whenever possible, a TL should attempt to build continuity into TM assignments. For example, it is desirable for the TM who reads a particular person's case record(s) to also contact that person's parents or relatives, visit that person's other programs, and make a special effort to spend time with that person during the visit to the service. Also, other specialty assignments should be consistent with rating clusters upon which a TM will be concentrating, e.g., the TM responsible for the internal administration cluster in PASS should probably also pay special attention to any written agency plans about its future.

In order to facilitate this consistency, the following "Tracking/Assignment Sheet for Delegation of Specific Assignments to Individual Team Members and/or Sub-teams in Official or Advanced Training PASS or PASSING Assessments" has been developed.

**Tracking/Assignment Sheet for Delegation of Specific Responsibilities to Individual Team Members  
and/or Sub-teams in Official or Advanced Training PASS or PASSING Assessments**

<b>Name of Sub-team Members &amp; Leaders:</b>	<b>Concentration on Specific Ratings &amp;/or Rating Clusters</b>	<b>Review of Individual Client Record(s)</b>	<b>Visits To/Contacts With Other Programs &amp; Their Personnel</b>	<b>Contact With Relatives</b>	<b>Contact With Others (Friends, Advocates) in Clients' Life</b>	<b>Contact With Board Members</b>	<b>Dinner At Service</b>	<b>Other Special Assignments/ Activities</b>

## **APPENDIX C: SPECIAL PROCEDURES FOR MULTI-COMPONENT, MULTIPLE TEAM, CONCURRENT, SYSTEMS, AND/OR REPEAT ASSESSMENTS**

### **INTRODUCTION, AND DEFINITIONS OF DIFFERENT TYPES OF ASSESSMENTS**

The guidelines in the main body of this monograph cover standard assessment procedures that apply to any assessment by a single team of either a single-component service, or of only one component of a larger agency. (Readers should refer to the "Alphabetic Glossary of Special Terms and Abbreviations" for definition of a "component.") However, some modifications in these procedures may need to be employed for certain types of assessments, namely, the five types very briefly defined below, and then elaborated in great detail under the next major heading. However, *except for those procedures which are specified herein as requiring special adaptation, all procedures listed in the main body of the monograph apply to the above types of assessments as well.*

Except where noted, all the guidelines set forth in this appendix are to be considered coded "C," as explained earlier in the body of this monograph.

As in the main body of this monograph, most of the appendix will be applicable when either PASS or PASSING is used. Where a particular guideline applies to only one of these instruments, it will be so noted.

Below is a brief description of each type of assessment covered in this appendix. Expanded explanations of each type of assessment, as well as specific guidelines for their conduct, constitute the remainder of the appendix.

#### **Multi-Component Assessment**

More than one component of a single agency is assessed on the same occasion by a single team.

#### **Multiple Team Assessment**

More than one team is present in an agency at the same time, but each team is conducting a separate assessment of one or more separate components of the agency. For instance, an agency that runs three group homes may have each residence assessed by a separate team, or may have one team assess one home, and another team assess the other two. In some multiple team assessments, teams may conduct some assessment activities together in order to save time and effort, but each assessment is treated and conducted as entirely separate from the evaluation of other parts of the agency by the other team(s).

#### **Concurrent Assessment**

The assessment of the same service or same component of an agency by more than one team on the same occasion, but with each team conducting its own separate conciliation session. That is, several teams (usually two) conduct themselves at the service and in all data-gathering events (inquiries, tours, observations, etc.) as if they constituted one big team. However, at the conclusion of the data-gathering part of the evaluation, each team conciliates its findings on the assessment separately from the other teams.

#### **Systems Assessment**

The evaluation of several service components of one type, though these may be operated by different agencies, within a given locale. For instance, all the vocational services for handicapped adults within a two-county region may be assessed. There may be single team as well as multiple team systems assessments.

#### **Repeat Assessment**

A service that has been assessed by one team is assessed again by one or more (usually different) teams, usually in rapid succession of the first assessment.

## DETAILED INSTRUCTIONS FOR THE CONDUCT OF DIFFERENT TYPES OF ASSESSMENTS

Below are specific guidelines on how to conduct each of the specific types of assessments defined above. Under the heading for each type of assessment is given a description of the assessment type, purposes or applications (including any restrictions) of the assessment type, and specific instructions for carrying out the type of assessment at issue.

### Multi-Component Assessment

#### *Description*

This is a type of assessment in which a single team assesses more than one separate part, or component, of a single agency at the same time. For instance, a team may assess three of the five group homes operated by a residential services agency; a team may evaluate all three special classrooms for handicapped students in a school; a team might assess the sheltered work, "pre-vocational" training, and sheltered work-stations-in-regular-industry programs of a vocational services agency. Sometimes the separate components that are assessed are similar (such as services that are of the same type, and perhaps even serve the same type of client), and sometimes the components are totally unrelated and dissimilar.

A multi-component assessment may take one of the following configurations:

- a. all or most of the components of one type in a single agency (e.g., all an agency's vocational components, all its residences, all its education components) will be assessed;
- b. all or most of the components will be assessed that are provided by a single agency to a certain group of clients (e.g., all the agency's services for adults, all its services for children, all its services to physically handicapped people, all its services to the blind);
- c. all or most of the components of a single agency will be assessed that are located in reasonable proximity to each other, even if these components are of different types and serve different client groups;
- d. *all* of the components operated by a single agency will be assessed, regardless of whether these are of the same type, to the same type of clients, or in reasonable proximity to each other.

#### *Purposes or Applications/Restrictions*

There are four major purposes or advantages to these types of assessments.

1. Multi-component assessments are good training opportunities for *advanced* training events in the use of PASS/PASSING, because they can provide qualified participants with a very challenging and educational assessment experience. However, due to this same high degree of challenge and complexity, such assessments are *not* to be conducted during introductory training events in PASS/PASSING.

2. Any assessment provides an opportunity to influence the quality of a service. Where multiple components of an agency are assessed simultaneously, the potential for improving service quality across all components is heightened, because a multi-component assessment enables a team to comprehend programs from a broader viewpoint than if the evaluation focused only on separate components examined in isolation from others. It also enables the team to avoid overly particularistic judgments which would have much less utility for improving the quality of the agency as a whole.

3. Whether the agency receives a "consolidated" score of the overall performance of all its assessed components combined, and/or the scores for each separately-assessed component, the assessment of multiple components of a service allows the team to produce an evaluation *report* which addresses not merely the issues of each component as if each existed in isolation, but which also addresses the entire agency, or at least all of its components that were assessed. Such "unified" reports (written, verbal, or both) can prove very useful to an agency for purposes of planning, external and internal program analyses, decisions about funding and resource allocation, and understanding which service issues pervade the entire agency and which are specific to separate components. (Readers should check with the publisher and the TI regarding the availability of guides for preparing reports.) On the other hand, a piecemeal approach to assessment of various components of an agency would deny the agency such a comprehensive view of its entire service operation, or at least of several (related) components.

4. There are economic and logistical benefits for both the assessed agency and its staff/representatives, and for the assessment coordinating body, at least in comparison to the economics and logistics involved in conducting a series of single component assessments separately and over time. (a) If several components were assessed on separate occasions, agency staff, board members, and other representatives would have to spend time on each of these occasions in a separate inquiry session with each team (on PASS, this would be the so-called “administrative inquiry”), which could put totally unmanageable demands on an agency. On the other hand, in the multi-component assessment approach, only one such session has to take place, thus saving time and money for the agency. (b) Documentation on the agency would have to be prepared and provided (by the agency) and reviewed (by the team) only once, rather than each time a component of the agency is assessed, thus saving both the agency and the team time and effort. (c) Travel expenses could be kept much lower if out-of-town TMs only have to travel to the locale of the service once to assess all or many of its components, instead of having to make separate trips each time they assess a component. (d) Assessment coordination, and team selection, assignment, and mobilization efforts will be facilitated.

***Special Guidelines for the Application of PASS/PASSING During a Multi-Component Assessment that Differ from Guidelines for Other Types of Assessments***

The application of PASS/PASSING in a multi-component assessment entails much more complicated logistics than does the assessment of a single component of an agency, and has implications for rating, conciliation, scoring, and reporting procedures, as described below. First, we will provide some guidelines on how to determine which of two major methods to use in a multi-component assessment. Then, we will provide additional guidelines on data collection during such an assessment. Third, there will follow some guidelines for level assignment and conciliation applicable only to one of the two assessment methods discussed below, because when using the second (“sampling”) method, no special guidelines are needed. Fourth, the different methods for deriving and reporting the score(s) of a multi-component assessment will be described. Finally, guidelines for providing verbal feedback following a multi-component assessment will be given.

***Specific guidelines for determining which method to use to assess the multiple components of an agency.*** There are two ways in which multiple components of an agency can be assessed. First, each component to be assessed can be rated separately from the others, i.e., the team conducts an entirely *separate* assessment of *each* component. This is particularly desirable (a) when the components that are to be assessed are very different from each other (e.g., they take place in different locations, serve different types of clients, and/or have different service missions), and/or (b) where there are only a few components to be assessed.

A second method by which to assess multiple components of an agency is to conduct only one assessment of all the components to be assessed, treating each component as if it were a sample of a single unit. With this method, the team collects some data on all of the components under consideration. A global consolidated judgment is then made for each rating, based on the performance of all the sampled components taken together. Thus, no separate scores are determined for each component, because no component is assessed as distinctly separate from the others. This “sampling” method is especially useful and desirable under two conditions. (a) When the components to be assessed are so similar that there is no reason to anticipate great differences in performance or quality among them, even though at least minor differences can almost always be expected. For example, all the components to be assessed may serve the same type of client, provide the same type of program, be staffed by people with the same worker identity, be part of one broader agency program, use the same physical setting, etc. (b) When cost and convenience considerations make it impossible for each component to be assessed separately. For example, the agency may have a great many components that it wants assessed, but the assessment team(s) may have a very limited period of time in which to conduct the assessment(s).

Whenever separate components are sampled and therefore rated as if they were one, only one overall Checklist and one Scoresheet (PASS) or Scoresheet/Overall Service Performance form (PASSING) are produced for them.

If the components of a service are very different from each other, it may not be possible to use the sampling method very meaningfully. This is further discussed below.

***Special guidelines regarding unanticipated problems in delineating how to assess the components in a multi-component assessment.*** It is conceivable, though unlikely, that unanticipated contingencies may arise which will make it inadvisable for the team to assess multiple components in the way that was originally planned. Particularly, the team may discover a compelling reason for not assessing within a single (i.e., “sampled”) assessment all of the distinct components that it was supposed to assess. In such cases, the team may follow one of the two courses of action listed below.

1. The *preferred* course of action would be to conduct two simultaneous assessments, one being a sampling assessment of all the components that were to be assessed except for the one that for some reason cannot be included, and the other being a separate assessment of the excluded component(s). For instance, if a team were assessing an apartment program that consisted of four components and one of those components for some reason could not be assessed along with the other three, the team could conduct a single assessment of three components of the program using the sampling method described earlier, and a separate simultaneous assessment of the fourth component. Each TM would then complete two separate Checklists (one for the first three components of the program, and one for the fourth), the team would conciliate each assessment separately, fill out two final Scoresheets, but probably produce a single written report, with separate sections pertaining to those elements in which the two assessments differed.

2. The second possible, though *much less desirable*, course of action would be for the team to exclude altogether from the assessment the particular component(s) which pose(s) insurmountable assessment problems. For instance, in the above example, the team would conduct the assessment as if it had been given a mandate to assess only three of the four components, noting in its assessment report(s) why the fourth component was excluded and probably recommending that a separate evaluation of it be conducted in the future.

Where circumstances such as the above arise, necessitating that a team conduct an assessment differently from the way that had originally been planned, decisions as to how to rearrange the assessment, what components should be combined, what components (if any) eliminated from the assessment, etc., should be arrived at through discussion among the TL, the ETC/FL, the assessment coordinator, and the host. Particularly where an assessment has been contracted for, there will need to be ad hoc negotiations with the contracting parties as to how to proceed, and the changes need to be explained in the report, and perhaps also in an appendix to the assessment agreement.

**Guidelines for data collection during multi-component assessments.** Regardless of which of the above two methods are used for conducting multi-component assessments, the process of data collection will obviously take more time than in single service or single component assessments. The team will need to spend time at each component touring, observing the setting and the people in it, and interacting with the clients, and it will also have to conduct at least a brief, informal inquiry with service workers in each component being assessed. As usual, the team will probably spend a significant portion of its inquiry time with the person or persons who carry the major programmatic responsibility for the components. This may be a different person for each component (e.g., where these are very different and unrelated), or the same person, as is often the case where the programs are similar and perhaps related. However, the team will usually conduct a single inquiry with higher-level service representatives so as to gain information on agency-wide issues, or issues affecting all the components being assessed, rather than on each component separately.

**Special guidelines for the assignment of rating levels both by individual team members and by entire teams during the simultaneous conduct of separate assessments of two or more components of one agency.** This section is applicable only when a team is conducting *separate* assessments of multiple components of an agency. In this case, each TM will have and fill out one Checklist for each assessed component. At the top of each Checklist, the name and other identifying information of the respective component that is being rated should be clearly and unequivocally recorded.

Whenever multiple elements of an agency are assessed, it is not uncommon for all components to receive the same level on some ratings. This may happen for two distinctly different reasons, which should be clearly understood.

1. Certain characteristics and/or dynamics within the agency are "systemic," i.e., they express themselves consistently in all components of the agency, affecting certain elements of these components in the same way. For instance, in an agency that serves physically handicapped people, there may be such high consciousness of and commitment to site accessibility for such persons that a rating dealing with this issue would receive the same high score on all components; or, there may be extremely poor organizational structure throughout the agency; or, an agency may serve an area that has already been saturated with societally devalued people, in which case all of its components may have to receive the same low level on a rating dealing with, or affected by, this issue.

2. Different components may receive the same level on the same rating for reasons which are not really systemic to the agency, but which, in a sense by chance, yield the same level across components. That this can happen in the absence of any systemic factors is particularly clear on some of the PASS ratings in which multiple factors are at issue and must be weighed, as in R11112 Access on which different services can earn the same level for very different reasons.

The following guideline applies only to those situations in which some ratings are truly systemic, i.e., where different components can be expected to receive the same score on one or more ratings due to a regularity that pervades

the agency. In such cases, a TM/team may determine the levels for those systemic ratings once, mark these level assignments on the Checklist for only one of the components, and then record these level assignments onto the Checklists of all the other components. For example, if it is determined that PASS R2211 Administrative Control & Structures seem to be the same for all five separately-assessed components of a given agency (which it usually would be), then the same level can be marked for R2211 Administrative Control & Structures on all five Checklists. Similarly, if three assessed components that all provide the same type of program to the same type of clients, who are of about the same age, are all located in the same setting, then at least some of the PASSING physical setting ratings may be the same for all three components.

In a PASS assessment, systemic ratings are most apt to be those in the administrative domain, and thus, even components of the same agency that are far apart from and unlike each other may have systemic similarities. In a PASSING assessment, there are most apt to be systemic ratings across components of an agency when several components use the same setting, and particularly if the components are similar in other respects (e.g., if they serve people of the same age or with the same type/degree of condition). Generally, evaluators are more likely to encounter systemic ratings in PASS than in PASSING assessments.

With these systemic ratings (if any) have been completed, levels should be assigned to the remaining ratings, using either the “downward” or the “across” rating method, both explained below.

The “downward” method means that levels are assigned to all or most of the ratings for one component first, then to all or most of the ratings for a second component, then to all or most of the ratings for a third component, etc., until each component has been assessed on all ratings. In other words a TM/team goes *down* the Checklist for each component, assigning levels to ratings on one component at a time.

The “across” method means that only one rating is addressed until a level has been assigned to it for each component, then a second rating is addressed until a decision on it has been reached for each component, then a third rating, etc., until a decision has been reached on each rating for each component. In other words, the TM/team assigns rating levels *across* components, and therefore across Checklists, until each rating has been applied to each component being assessed.

Which of the above two procedures is to be used depends on the following circumstances.

1. The “downward” method should be used (a) if there is reason to expect considerable variation in performance among the different components being assessed, or (b) where there is reason to expect that it will be difficult to disentangle each component, and evidence on each component, from the others. In such instances, clients’ identities and needs, the service’s identity, overriding issues, etc., for one component would also be discussed and conciliated first, and then separately for each of the other components.

2. The “across” method should be used when components are similar. However, a TM/team needs to be cautious when using this method, because it (a) tends to make it difficult to strongly fix one’s orientation and understanding on one assessment at a time, (b) contributes to haloing, and (c) causes fragmentation. Although this method makes it easier to resolve specific ratings, it can make it almost unmanageably difficult to penetrate deeply into each component and to arrive at incisive global recommendations.

Regardless of which of the above two strategies are employed, the following additional guidelines apply.

When assessing only some components of an agency that consists of more components in addition to the ones that are being assessed, evaluators must be especially sure to clearly and correctly identify the program grouping(s) in the component(s) they are assessing, and to differentiate the clients in the assessed component(s) from the clients of the other components of the agency. The numbers of clients within the components being assessed, and their associations and juxtapositions with other persons, will be assessed by certain PASS/PASSING ratings, while the number and juxtapositions of the clients in other components of the agency that are not being assessed will be assessed by other PASS/PASSING ratings, as explained elsewhere. (For PASS, see R11114 Congregation, & Assimilation Potential, *Field Manual*, pp. 6-9, R111214 Deviancy Program Juxtaposition, *Field Manual*, p. 17, and R1112212 Deviant Client & Other Juxtaposition, *Field Manual*, p. 19. For PASSING, see R121 Image Projection of Program-to-Program Juxtaposition, R122 Service-Neighborhood Assimilation Potential, R1231 Image Projection of Intra-Service Client Grouping—Social Value, R1232 Image Projection of Intra-Service Client Grouping—Age Image, R124 Image-Related Other Integrative Client Contacts & Personal Relationships, R2211 Competency-Related Intra-Service Client

*Special procedures for conciliation in the simultaneous conduct of separate assessments of two or more separate components of one agency.* When one team conducts two or more separate simultaneous assessments, the team should try to conciliate both assessments within the same conciliation session (albeit a long one), rather than having two or more entirely separate conciliations.

As usual, at the start of conciliation the TL should quickly take a global count of TMs' individually-assigned rating levels for each rating of each assessment, and record these on a separate poll Checklist for each assessment. This means that the TL must have one more Checklist per each separate component being assessed than other TMs. As usual, the TL should collect all TMs' Checklists at the end of the conciliation, so that the Checklists may be given to the assessment coordinator/TI.

Also, when the scores of separately-assessed components are combined into one consolidated score (see next section), it is inevitable that there will be errors and therefore erasures, cross-outs, illegible entries, etc. So the TL should also have one more Scoresheet (for PASS) or Scoresheet/Overall Service Performance form (for PASSING) for each component being separately assessed than other TMs. The final version of the Scoresheet or Scoresheet/Overall Service Performance form that accompanies the written report to the assessed agency should be neatly typed or printed.

Unless there is a very good reason to override the suggested sequence of conciliation of ratings outlined in the main body of this monograph, that sequence should be used for the types of assessments discussed here. For example, if two teams are jointly conciliating ten (systemic) ratings that apply to all components assessed by both teams, then they should conciliate those ten ratings in the order suggested in the "Guidelines for Arriving at a Team Consensus Through Conciliation," and then each team should separately conciliate the remaining ratings (32 for PASSING, 40 for PASS) for its assessment(s) according to the suggested sequence. The reason for this procedure is that, as mentioned elsewhere, the conciliation sequences have been developed to enable a team to get through all of the information it will have to consider in an efficient and productive way. Discussion of the ratings that come earlier in the sequence provides information that is fundamental to the conciliation of other ratings, and therefore if a team follows the suggested sequence, (a) it will usually not have to spend any more time than necessary in order to come to a valid level assignment for most ratings, and (b) it will be more likely to come to a valid rating level assignment on many ratings.

Where more than one team must jointly conciliate certain ratings together, TLs and ETCs/FLs will set a certain time for teams to meet for that conciliation. If the ratings to be conciliated jointly are the ones that appear first in the sequence of conciliation, then setting such a time is a relatively easy matter. If these ratings are ones which appear later on in the sequence, setting a time will almost inevitably disrupt at least one team in the midst of some other part of conciliation, because not all teams can be expected to progress through conciliation at the same rate. Therefore, teams have to be prepared to drop what they are doing at the agreed-upon time for the meeting, and resume their own team's work when the joint conciliation session is over.

*Scoring methods for multi-component assessments.* In a multi-component assessment, the scores may be conveyed to the agency in three different ways: (a) the score of each separately-assessed component might be reported; (b) a single "consolidated" score (i.e., a score that represents the overall quality of all the assessed components combined) may be reported; or (c) both separate scores of each assessed component, and a consolidated score of all assessed components, may be reported.

A consolidated score can be arrived at through two methods, the *first* of which is most strongly recommended, as described below.

1. With the "budget proportionality" method, the contribution of each separately-assessed component to the total consolidated score is determined by the percentage of the combined budget of *all assessed components* that each component consumes. For example, suppose an agency which operates two components spends 20% of its budget on an early education program which earned a score of +600, and 80% of its budget on an assessment clinic which scored +300; then the total ("consolidated") score for both components would be:  $(.20 \times 600) + (.80 \times 300) = 120 + 240 = 360$ . Similarly, let us assume that an agency operates four components but that only three of these have been assessed. In that case, the budgets of the three components being assessed would be totalled, and the proportion contributed by each assessed component to that sum would be the amount each component contributes to the total score. For instance, let us say that the sum of the budgets of these three components is \$450,000, and that Component A's

budget is \$100,000, Component B's is \$200,000, and Component C's is \$150,000. Then Component A would contribute 22% of the combined score, Component B 44%, and Component C 34%. Thus, if Component A achieved a score of +110, Component B received a score of -200, and Component C achieved a score of -36, the consolidated score for all three components would be:  $(.22 \times 110) + (.44 \times -200) + (.34 \times -36) = 24 + (-88) + (-12) = -76$ .

If some (especially idiosyncratic) method other than the budget proportionality method is used to arrive at a consolidated score in a multi-component assessment, the resultant score may be outright invalid or have little meaning. As a result, comparability with scores derived by other methods is lost, which could introduce unfairness, errors in the conduct of research, etc. Thus, it is strongly recommended that if the budget method is not used because necessary budget information about the components is not available, then either a reasonably close estimate of the respective budgets should be employed, as described in the "intellectual consolidation" method below, or the scores should simply not be combined but just recorded separately. If the budget method is not used because of conceptual and theoretical objections rather than lack of data, then again, the scores should simply be reported separately, rather than combining them via some unorthodox method that ultimately negates the very purpose of arriving at a single score.

2. A second method, called "intellectual consolidation," is used whenever budget figures and/or budget proportions for each assessed component are not available, or are not detailed enough to permit the budget proportionality method to be used. (This is particularly likely to occur during a PASSING assessment, or in a PASS assessment in which low levels are assigned to R2221 Financial Documentation — Extent and/or R2211 Administrative Control & Structures.) With this method, the team makes its best estimate as to what the relative efforts and resources are that the agency devotes to each component being assessed, and weights these relative contributions of the score of each component accordingly. For example, if the team estimates that one component of an agency consumes about 75% of its resources (in the broad sense of the word), then to attain a total score for all components, 75% of the score attained by that component would be added to 25% of the score(s) achieved by the one or more other separately-assessed component(s). In instances where the components being assessed are similar, the number of clients served in each component might give a rough index of the relative allocation of efforts. Naturally, the less clearly circumscribed a component is, or the poorer the budget data are, the less precise can one expect such an intellectually consolidated score to be for a multi-component assessment. It remains for future research to determine to what degree intellectually consolidated scores can be expected to approximate those derived from "hard" budget data.

Using either the budget proportionality method or intellectual consolidation, it can be very tedious to compute a consolidated score for every rating and rating cluster. Thus, it is usually preferable to derive only a consolidated total score from the total component scores. Where consolidated scores for each rating or rating cluster are derived, the scores should be rounded off to avoid fractions. Consolidated scores can also be derived for each subscore, using the same above methods.

Whatever method is used to obtain a consolidated score should be clearly explained in the written report.

**Specific guidelines for verbal feedback in multi-component assessments.** There are two possible strategies for structuring verbal feedback when more than one component of an agency is assessed, especially if the assessments are conducted by multiple teams. One way is to provide feedback on each component separately and in isolation from any feedback that is to be provided on the other components. However, if this procedure were followed, then the team(s) would be reporting separately to each assessed component on issues which affect all the other assessed components as well. This is a very inefficient use of teams' time.

A second way of providing feedback in such instances is to do it in two stages. In Stage 1, there is a joint feedback session with representatives of all the assessed components, in which feedback is given on only the higher-order issues that affect all assessed components. Where multiple teams are involved, such feedback would probably have to be given by the ETC/FL, perhaps assisted by some TLs. With the plenary feedback session completed, Stage 2 of the feedback would begin, in which personnel from each component would receive feedback on only their component(s), and from the team by which they were assessed.

Which of the above two strategies for presenting feedback is optimal may not necessarily be clear prior to the assessment; rather, it depends on the extent of the systemic issues that are discovered during the assessment(s). This makes the work of the assessment coordinator in scheduling the feedback session(s) more difficult. However, despite the difficulties posed by arranging for a joint feedback session with all assessed components, such a feedback session is probably optimal where systemic issues are involved, especially if these issues are in the nature of constraints on achievable service quality.

## Multiple Team Assessment

### *Description*

A multiple team assessment is one in which more than one team each conducts a separate evaluation of at least one *different* component of the *same* agency at the same time. For example, there may be three teams assessing one ward each of an institution at the same time. Multiple team assessments must be distinguished from multi-component assessments in which only one team conducts assessments of more than one component of an agency. However, there may be multiple team multi-component assessments, in which several teams conduct simultaneous assessments of various components of an agency, and at least one of those teams assesses more than one component. For instance, two teams may simultaneously assess the six apartment programs run by a residential services agency, each team assessing three apartments.

### *Purposes or Applications/Restrictions*

Multiple team assessments are a viable method for assessing several or all components of entire agencies, though less preferable to single-team multi-component assessments. They are especially relevant where a multi-component agency is too large to be manageably evaluated by a single team in a reasonable period of time. In such instances, multiple team assessment is one of the ways of providing the agency with evaluations of many — perhaps all — of its components, rather than just one, and with a picture of its overall quality, the strengths and weaknesses that pervade all components, and those that are specific to each.

Multiple team assessments may be conducted in both training and non-training contexts, such as when an agency that provides several and diverse programs (e.g., residential services for children, a residence for adults, an adult work and training program, and an in-home early childhood education program) arranges for an official assessment of all of its different services at about the same time, or takes advantage of the fact that a training WS is being held locally to procure free evaluations by several training teams of some or all of its various components. However, multiple team assessments should *not* be conducted during introductory WSs unless the TLs are already *highly* skilled and experienced.

### *Special Guidelines for the Application of PASS/PASSING During a Multiple Team Assessment That Differ From Guidelines for Other Types of Assessments*

If the assessments are not part of a training WS, then TLs and TMs will usually be informed *well in advance* that the assessment will be of the multiple team type. This advance notice will enable TLs and TMs to make their special preparations for this type of assessment. However, in a training WS, it is usually not possible to notify TLs and TMs any earlier than the first day of the WS that they will be participating in a multiple team assessment, because participants are usually assigned to teams, and teams to practicum sites, no sooner than on the first day of the WS.

In multiple team assessments, there will almost always be joint team or TL sessions. (It is likely that there will need to be more of these meetings for PASS evaluations than for PASSING assessments.) An ETC/FL should *always* be provided for these types of assessments, and either this ETC/FL, the assessment coordinator (if a member of one of the assessment teams), or the senior TL (if one is designated) will arrange and conduct these sessions. This person is also responsible for informing TLs of the meeting places and times, etc.

There are potentially, but not necessarily, five occasions for joint team activities: inquiry sessions; sharing of necessary information; preparing for, and conducting some parts of, conciliation; verbal reporting of the results of the assessments; and preparing the written reports. The following paragraphs discuss the purposes, place, and time of each such event, as well as who should conduct and attend each. Readers should also note that these instructions regarding joint team meetings are also applicable for systems assessments, in which multiple teams conduct assessments of various related components of usually more than one agency (see later section on systems assessment in this appendix).

***Inquiry sessions.*** When different components of one agency are being assessed by more than one team, at least some inquiry with agency personnel and board members can be conducted jointly by all the teams at the same time, because (most of) the information derived from such inquiries will be relevant to all the components being assessed. On some issues, only some of the teams would benefit from a joint inquiry. For instance, a multi-team inquiry with the director of a particular program or service sector (e.g., director of children's services, director of residential programs) may serve the needs of only some teams, i.e., those involved in the assessment of components within such sec-

tors in the agency. Inquiries with staff of specific components will usually be relevant only to the team assessing that specific component, and therefore will probably be conducted by each team separately.

In order to prepare for multi-team inquiry sessions, a meeting of the ETC/FL, TLs, and person(s) responsible for liaison/arrangements with the service(s), should be held in one of the team meeting rooms, usually on the evening before the assessment. Usually, decisions as to who conducts which inquiries will have been made in advance by the assessment coordinator and/or ETC/FL, and the TLs will have been notified beforehand, but at this meeting, previously agreed upon details and arrangements should be reviewed and finalized. Rating areas that will be covered during the inquiry(ies) should be reviewed, it should be ascertained that the TLs who will be conducting each inquiry will include certain questions, etc.

***Sharing of information across teams.*** In non-training assessments and in some advanced training WSs, TMs will gather information on the service from several sources in addition to those that are typically contacted and explored during training, and especially introductory training, assessments. These additional sources of information include: contacts or visits with various related and support services (e.g., with day programs for assessment of a residence, with residential programs for assessment of a day program); telephone or personal contact with board members, parents, former consumers, and others; and other special assignments, such as perusing budgets, project proposals, and client records. Especially in an assessment by several teams of multiple components of the same agency, and possibly in systems assessments of several related agencies, many of these sources of information will be pertinent to the assessment mission of each team. Therefore, in order to help avoid unnecessary duplication or an excessive number of contacts and/or visits with the same person or site, TLs should always review with each other their plans for such contacts and visits by TMs and sub-teams. However, each team should have the opportunity to gather adequate and sufficient information. The assessment coordinator or ETC/FL should be of assistance in helping TLs to coordinate their information-gathering activities. In addition to these TL meetings, there will usually be several occasions during an assessment when all teams will meet jointly in order to share information (even if gathered by members of one team only) which is crucially relevant and necessary to each team.

However, *in all introductory training WSs and in most advanced training contexts*, teams do not engage in information-gathering via such channels, so there is usually no need for multi-team meetings in order to share such information. Indeed, especially in introductory training WSs, teams should *not* meet to share information because the training purpose of the assessment for TMs can be mitigated if they hear other people's/team's interpretation of the evidence before drawing their own conclusions about it.

***Preparing for/conducting part of the conciliation.*** On most occasions, it is advantageous or even necessary for all teams involved in the assessment of any part of the same agency to meet together at the beginning of conciliation in order to discuss various issues, and perhaps to conciliate ratings that apply to all the components being assessed by the various teams. The ETC/FL and/or senior TL will usually identify such issues, and conduct this meeting. The size and number of teams, and their time schedules, will have to be taken into consideration in deciding whether a multi-team conciliation of certain issues or ratings is desirable or feasible. The ETC/FL and/or senior TL will thus have a very important and demanding role to play.

However, *in training WSs*, each team conciliates entirely separately in order to enhance the learning process. Relatedly, the management of a multiple team conciliation is very demanding, and is not recommended for WS TLs who are not highly skilled and experienced.

***Verbal reporting.*** The ETC/FL, TLs and possibly assessment coordinator may need to meet sufficiently in advance of the verbal feedback sessions (VFSs), if any, in order to determine the procedures for presenting information to the agency and its components. A good occasion for this meeting is at the end of the teams' conciliations. (For more details on the VFS specifically, refer to the separate monograph on reporting in this series.) Questions to be resolved at this meeting include: who will represent the (possibly agency-wide) systemic issues; the order in which the reports will be given, whether the ETC/FL (or senior TL, if there is no ETC/FL) will provide some kind of wrap-up at the end of all the separate team reports; whether questions and comments from the audience will be taken at the end of each report or at the end of all; etc.

***Preparation of written reports.*** TLs, the ETC/FL, and possibly the assessment coordinator may find it helpful to confer at the conclusion of the assessment in order to discuss the report contents, format, and any other report considerations. The purpose of this meeting would be to insure that there is consensus regarding the overriding issues discovered by the assessment (such as concerns in regard to the entire system within which the agencies in a locale operate, and/or to all the programs of one agency). If there are major discrepancies between teams' findings on

ratings or issues that would have been expected to be the same, these need to be analysed and/or explained in the report. Also, it might be useful to at least approximate a consolidated total agency score (see relevant section earlier in this appendix) if all programs of the agency have been assessed.

The contents of each team's (section of the) report have to be developed by each team separately, even though the final product may be one unified, consolidated report on all the assessments.

Where each team reports (orally and/or in writing) separately from other teams to the component(s) it assessed, there may still be some systemic issues that each team must work into its feedback that will have been brought out in the joint post-conciliation meeting of all teams (see step 6 on Table 1 below).

In order to illustrate more concretely how the various assessment structures and processes are likely to be affected in the assessment of multiple components of an agency by multiple teams, Table 1 was constructed. It assumes that four components are being assessed by three teams. It should be emphasized that Table 1 merely shows a number of *probable* or *feasible* assessment structures, and thus should not be taken as depicting the necessarily optimal arrangement.

### **Concurrent Assessment**

#### ***Description***

This is a type of assessment where more than one team assesses the *same* component(s) of an agency at the *same* time. The teams (usually no more than two) conduct all data-gathering activities (such as tours, inquiries, visits, observations and any other relevant tasks) together, but then conciliate separately. In other words, en route to and at the service, and in all data-gathering events, the teams conduct themselves as if they were one big team, and only separate after they have completed the data collection portion of the assessment.

#### ***Purposes or Applications/Restrictions***

Concurrent assessments are conducted for only two reasons: (a) in order to obtain data for research on the reliability of the assessment instrument; (b) during training WSs, in order to either demonstrate reliability of the assessment instrument, or in order to train two teams with only one practicum site. The latter arrangement reduces the work of a WS coordinator, or may even be necessary if there is a shortage of practicum sites.

Because of the insights that the results of this type of assessment can provide to TMs on the assessment process and tool, as well as on the reliability of PASS/PASSING, the TI strongly encourages this type of assessment in training WSs, but only where the TLs involved in the assessment are *very* skilled and experienced. Such assessments should usually not be arranged for small services (such as a small group home, an apartment program, etc.) because the number of people introduced into the service setting by the two or more assessment teams which must conduct all assessment activities simultaneously is usually too large to be easily absorbed into the setting without significantly changing any number of important service characteristics which the team has to evaluate.

#### ***Special Guidelines for the Application of PASS/PASSING During a Concurrent Assessment That Differ From Guidelines for Other Types of Assessments***

TLs must be sure to have a clear understanding before the assessment actually begins which TL will conduct the inquiries (or which parts of the inquiries), who will have major responsibility for conducting the teams through their tour of the service, whether one TL will be in charge of all teams while on site, or whether each TL will manage his/her own team, etc.

TMs are therefore cautioned to be especially diligent in adhering to the guidelines for conduct at the service being assessed, as detailed earlier in this monograph, because during at least some of the time the teams are actually at the service, they will be functioning as one large team, and the logistics of managing that many people can be very demanding on both TLs and the service being assessed. Thus, TMs must be especially careful to refrain from asking questions out of line, unnecessarily disrupting or delaying the assessment process, pursuing their own involvements, interests, or lines of investigation during the tour of the service, etc.

Once the teams have completed all the phases of collection of data on the service being assessed, then each TM, as usual, makes his/her own assignment of levels to each rating. This is followed by separate team conciliations, each

Table 1. Example of Potential Joint & Separate Team Assessment Activities in the Assessment of 4 Components of One Agency by 3 Teams

Step 1:	All 3 teams engage in joint introductory/overall agency inquiry (for PASS only, this would include inquiry on administrative issues), & possibly tour jointly some facilities shared by all components being assessed.		
Step 2:	<p>Team 1: Separate program inquiry(ies) &amp; inspection tour(s) for Component A</p>	<p>Team 2: Separate program inquiry(ies) &amp; inspection tour(s) for Component B</p>	<p>Team 3:  <div> <div>Separate program inquiry(ies) &amp; inspection tour(s) for Component C</div> <div>Separate program inquiry(ies) &amp; inspection tour(s) for Component D</div> </div> <hr/> Possible inquiry with personnel knowledgeable about both C&amp;D, especially if C&amp;D are related to each other </p>
Step 3:	Each team member individually assigns rating levels to all ratings for component(s) his/her team assessed.		
Step 4:	(Possibly) All 3 teams hold joint conciliation of some ratings for all 4 components together; however, if assessments are part of a training event, then there is <i>no</i> joint conciliation of <i>any</i> ratings.		
Step 5:	<p>Team 1: Separate conciliation of remaining ratings, &amp; preparation of assessment feedback, for Component A</p>	<p>Team 2: Separate conciliation of remaining ratings, &amp; preparation of assessment feedback, for Component B</p>	<p>Team 3:  <div> <div>Separate conciliation of remaining ratings, &amp; preparation of assessment feedback, for Component C</div> <div>Separate conciliation of remaining ratings, &amp; preparation of assessment feedback, for Component D</div> </div> <hr/> Possibly simultaneous conciliation of some ratings for C&amp;D, &amp; preparation of some feedback relevant to both C&amp;D </p>
Step 6:	All 3 teams meet under ETC/FL guidance to share findings & interdigitate their feedback to assessed agency.		
Step 7:	<p>Usually applicable for non-training assessments only:</p> <p>All 3 teams hold joint verbal feedback sessions with representatives of assessed agency &amp; components.</p>		
Step 8:	A previously designated person who played a senior role in the assessment (e.g., TL, ETC/FL) produces a single consolidated written report based on the written reports prepared on each component by each team.		

team led by its own TL. Thus, teams do not meet for any part of the conciliation. This is because concurrent assessments are conducted in order to gain information on the reliability of the assessment instrument or to demonstrate such reliability to TMs. In order for reliability to be ascertained, each team has to come to its own conclusions with the same information, which means that each team must conciliate separately.

If time and other conditions permit, the teams should convene jointly after each team has conciliated in order to learn of and from each other's assessment of the same service/component. At this meeting, the ETC/FL should share with the teams the findings of each other team, and should attempt to explain how any unreasonable discrepancies could have occurred between the findings of the teams, e.g., one team assigned a Level 1 and another a Level 4 to the same rating. Such a meeting can also assist TLs in preparing their reports to the assessed service. If at all possible, this report should be a consolidated report of all teams' assessments. However, during training WSs, because of time limitations and possibly other reasons, it has been possible to hold such a meeting only rarely. Instead, each team has usually reported its findings to the assessed service separately, unaware of the other teams' findings, or at least without its findings relating to those of other teams.

The separate monograph planned for this series on how to set up a training WS provides guidelines on arranging a concurrent assessment with a service.

*During training WSs*, the conduct of concurrent assessments of one service/agency requires some additional procedures, as spelled out below.

TLs must remind their TMs when necessary that, as in all training assessments, the main purpose of such an assessment is the training of TMs, and to some degree, of the TLs themselves.

It is recommended that in introductory training WSs, the "senior" TL (i.e., the TL with the most experience) conduct the inquiry and manage the teams all the while they are at the service site. The TL of each team then assumes a more visible and active leadership role vis-a-vis his/her team once data collection on the service is complete. In advanced WSs, because TMs will already have some experience in conducting a PASS/PASSING assessment, the various assessment responsibilities should be divided up among the TLs, e.g., one TL may conduct one part of the inquiry and another TL conduct another; one TL leads the teams during the observation period; etc.

## **Systems Assessment**

### ***Description***

A systems assessment involves the evaluation of an entire system of services in a specified geopolitical area. For the purposes of an assessment, a service system will usually be designated as (a) all or most of the services of one type (e.g., vocational, residential, child welfare) within a given region, and/or (b) all or most of the services to one type of client (e.g., mental retardation programs, children's services, adult's services) within the region. Obviously, the boundaries of a systems assessment might be set by both these criteria, e.g., one might assess a system of special educational services to children, a system of vocational services to mentally handicapped adults, a system of residential services for physically handicapped adults.

In most cases, a systems assessment will include some or all of the services of several different agencies. For instance, an assessment of the educational service system for physically handicapped children in a certain county may include programs run by the United Cerebral Palsy Association, the Easter Seal Society, and one or more local school districts.

To some degree, what is defined as constituting a "system" of services for the purposes of a PASS or PASSING assessment is somewhat arbitrary, in that time, money, and personnel constraints may limit the number of components that can be included in the assessment. For instance, it is difficult to imagine one or even several teams conducting a systems assessment of all residential services for handicapped people in New York City within any reasonable length of time. So at least in many instances, some limits to the system of services to be assessed may have to be imposed.

Another way to conduct an assessment of an entire system is to analyze the results of a number of assessments that have been conducted in the area in the past year or so, and to infer systemic issues from all those assessments. A major problem with such an approach is that these assessments may not all have been of the same quality. Furthermore, conducting a systems assessment in such a fashion requires that there be some person or body that keeps track of all the assessments (on services of a given type) that have been done within a given area.

## ***Purposes or Applications/Restrictions***

Systems assessments are usually “commissioned” by a regional service coordinating, regulating, funding, or review body. Such assessments can be especially valuable in providing to the various bodies involved (agencies, regulators, funders, coordinators, etc.) an understanding of how each service is affected by, and operates within the context of, the larger service system. Where supra-agency bodies (e.g., a regional service coordinating organization, a county government) are involved, they may gain crucial insights into service issues, challenges, and dynamics which affect all the services — at least of one type — within their region. This kind of information is practically impossible to derive from the assessment of only one service, of several components within one agency, or even of several agencies assessed separately.

Systems assessments are much less common than any of the other types of assessments. They will probably only be conducted on an official and contract basis, though they might conceivably also be done for research purposes. Because of the extreme complexity involved in such assessments, and the amount of effort and level of difficulty they entail, they would most likely never be conducted as part of any training event. Also, because of the amount of work they entail, systems assessments that involve more than one agency would commonly require more than one team. However, each team may conceivably assess the components of more than one agency, e.g., one team may assess all the vocational services of several agencies, another all the adult residential programs operated by several agencies; one team may assess one-third of the special education programs in a school district, and two other teams the remainder.

### ***Special Guidelines for the Application of PASS/PASSING During a Systems Assessment That Differ From Guidelines for Other Types of Assessments***

A systems assessment is a substantially more complex affair than any other type of assessment. The amount of preparation and coordination that is required is geometrically greater than that required to assess a single site, or even multiple components of the same agency. As well, it is a major challenge in such an assessment to just keep track of all the information.

The procedures for carrying out an assessment of various components of multiple agencies are very similar to the assessment of multiple components of a single agency, and assessments by multiple teams, both already described above. However, the procedure is increasingly complicated if the multiple components are (a) located some distance from each other, (b) large in number, and/or (c) operated by many different agencies. Even within a relatively compact geographic region, at least the latter two conditions might be true.

Unless the system is small, and there is time enough for one team to assess everything, there will need to be multiple or sub-teams (e.g., one big team divided into several smaller ones). For instance, a systems assessment might field three teams, each of which has to assess between three and five separate components, i.e., nine to 15 separate components in all. However, at least some people have to get an overview of the whole system. In one instance, two ETCs/FLs floated over 28 components being assessed by four teams.

Systems assessments will require more time for teams to conduct their inquiries — separately and sometimes jointly — both of personnel for each component being assessed, and of any representatives of relevant regional bodies. Furthermore, more time is usually required for any multiple team meetings which might be required during the assessment, such as a pre-assessment meeting of all teams in order to give all TMs an overview of the assessment, pre- and post-conciliation meetings, etc. Where more than one team is thusly involved, the purposes and general outline of the conduct of their joint meetings are generally governed by the procedures described in the earlier section of this appendix entitled “Multiple Team Assessment,” under the sub-section, “Specific Guidelines for the Application of PASS/PASSING During a Multiple Team Assessment That Differ From Guidelines for Other Types of Assessments.” Additionally, a joint inquiry for all teams will often be needed with representatives of some regional service body that is relevant to all the various agencies involved. An example would be an inquiry of a county office of mental health during the assessment by several teams of all day programs for mentally disordered people in a city. All the teams assessing any of these components would participate in that inquiry, since the information derived would be relevant to the assessment mission of each team.

Table 2 below shows the assessment events that are likely to be affected during an assessment of components of various related agencies in a region.

**Table 2**  
**Two or More Teams Assessing Multiple Components of Multiple (But Possibly Related) Agencies**

Events Shared by All Teams*	Events Not Shared by the Separate Teams
A. Global orientation to the evaluation mission, schedule, & procedures	A. Orientation to the assessment mission schedule specific to each separate team
B. Inquiry(ies) with representatives of relevant regional service coordinating/regulatory bodies	B. Inquiry(ies) with administrators & staff of each separate component being assessed, &/or of related components of one agency that are being assessed by only one team
C. Some agency-wide inquiries, for those teams that are assessing any components of the same agency	C. Most team meetings
D. Some team meetings concerned with interdigitating evidence, findings, & perhaps reporting	D. Conciliation
E. Verbal reports to representatives of any relevant <i>supra-agency</i> (e.g., regional) coordinative, regulatory, funding, or review bodies involved in commissioning the assessment	E. Verbal reports to specific assessed agencies & components

\*See section entitled "Specific Guidelines for the Application of PASS/PASSING During a Multiple Team Assessment That Differ From Guidelines for Other Types of Assessments"

With few exceptions, the administrative ratings in PASS are apt to be systemic, i.e., the same across the components of an agency. Thus, the teams that assess different components of one agency could conciliate these ratings jointly, and then conciliate separately the remaining ratings for the components they each assessed. Since there are no administrative ratings in PASSING, it is unlikely that teams would have to jointly conciliate any ratings in a PASSING systems assessment.

As with the assessment of multiple components of the same agency, the components evaluated in a system assessment can be assessed separately and the scores of the various components might then be consolidated via the intellectual consolidation or budget proportionality method; or the various components can be sampled, and one global score obtained. These methods have been described earlier. However, because the components are usually parts of separate agencies, it is almost essential in a systems assessment to assess each component separately even if one wishes to later consolidate the performance of all components into a total global score. Because there will usually be many components that are part of the system, this means that teams would have to make their rating judgments based on much less time spent in each service. However, they will still have valid, concrete, and sufficient data to conduct separate assessments.

Another advantage to conducting separate assessments of each component that is part of a system is that people have great difficulty understanding or accepting the budget proportionality and intellectual consolidation methods of obtaining a consolidated score. Thus, separate assessments and separate scores might have greater credibility.

There are two possible strategies for structuring verbal feedback on a systems assessment where components of more than one agency are assessed, especially where multiple teams are involved. One way is to provide feedback to each component on that component only, and to give this feedback totally separately from feedback that is to be provided to any other component. However, not only would such a procedure entail massive scheduling and coordination problems, but it would also mean that there would be no overall feedback given on the entire systems and sub-systems assessed, which is one of the primary purposes of such an assessment.

A second, and more beneficial, way of providing feedback in such instances is to have two stages of feedback. In the first stage, there would be a joint feedback session with representatives of all the involved agencies, but feedback here is restricted to the higher-order issues that affect all the components and agencies assessed. Where more than one team is involved, such feedback would probably have to be given by the ETC/FL, perhaps assisted by some TLs. The plenary feedback session completed, separate feedback (Stage 2) on each assessed component or agency would then be provided to representatives of those components or agencies. Only the representatives of the concerned component(s) or agency(ies) would be present for these more specific feedback sessions.

Despite the difficulties posed by arranging for a joint feedback session with representatives of all assessed components and agencies, such a feedback session is probably optimal in a systems assessment, especially if system-wide issues are in the nature of constraints on achievable service quality.

The ETC/FL and TLs may also need to work out some kind of chart for the first stage of the feedback session, so that people can see all the scores of all the assessed components displayed. For example, the scores could be color-coded as to type of service, or as to whether they are low, medium, or high scores; a bar graph of the scores could be devised; etc. Or, one could make a chart that lists all the ratings in the evaluation instrument down one side, and all the components in the system assessed across the top, and enter the score of each service on each rating. This would show where each service, or type or cluster of services, has its strengths and weaknesses, which may help both raters and hosts of the assessed services to understand overriding and systemic issues, as well as the patterns of performance of each service or service type.

Especially if teams have only spent a short amount of time in each component, the representatives of the assessed service may be skeptical of the findings. It is therefore helpful for at least some TMs to have and be able to display a fair amount of clinical sophistication about the type of programs being assessed, in order to shore up the hosts' confidence in the findings.

### **Repeat Assessment**

#### ***Description***

In this type of assessment, the same service or component of a service is assessed by different teams on separate occasions, usually only one or a few days apart.

#### ***Purposes or Applications/Restrictions***

Repeat assessments are only conducted for two reasons: (a) in order to provide data for research on the reliability of the assessment instrument, much as is done in laboratory experiments in which the same subject is assessed repeatedly on the same measures over a certain period of time; (b) in trainings WSs, in order to demonstrate the reliability of the assessment instrument to WS participants.

The TI strongly encourages the conduct of repeat assessments in any PASS or PASSING training event, because it provides a very suitable context for such evaluations, which are often otherwise difficult to arrange. Although this type of assessment can be very instructive to WS participants, the data obtained from repeat assessments at training WSs is ~~not~~ suitable for most research purposes, because the assessment TMs are not yet fully trained. At most, such assessments in WS contexts reveal how reliable the instrument is if used by as yet unqualified novices.

#### ***Special Guidelines for the Application of PASS/PASSING During a Repeat Assessment That Differ From Guidelines for Other Types of Assessments***

During repeat assessments, the TLs, TMs, and ETCs/FLs of the team(s) that conduct the repeat assessment(s) should take extra pains to remain uninformed of the findings of any previous assessment of the service. Otherwise, the judgments of the repeat assessment team might be biased. For the same reason, it is also important that there be no overlap of TMs or TLs across the various assessment teams that are conducting the repeat assessments.

However, whether the same person should act as ETC/FL during repeat assessments of the same service depends on the purposes of the assessment. If the assessment is being done for serious research purposes (e.g., to test the reliability of PASS or PASSING), then the same person probably should not act as ETC/FL. This is because that person could introduce bias into the findings of the repeat team(s) by the advice and information s/he gives to the TL(s) and the team(s), and thus the research findings might show artificially high reliability. On the other hand, if research is not the primary purpose of the assessment (perhaps demonstration is), then having the same person act as ETC/FL for all the repeat assessments could facilitate the integration and presentation of the assessment reports, especially if there are discrepancies in the findings of the teams.

Once a repeat team has concluded and recorded its conciliation, it would not be at all improper for the teams to convene jointly, preferably under the guidance of an ETC/FL or the more experienced TL of the teams, to discuss any discrepancies in evidence reviewed, in findings on the ratings, and any other conclusions. Such a meeting may also be

very helpful to teams in preparing their reports. However, especially outside of training WSs, it will not generally be possible to reconvene all teams, unless all TMs of all teams are from the locale in which the service being repeat-assessed is located.

If at all possible, it is recommended that the teams' written and/or oral assessment reports be combined. In this way, a great deal of needless repetition that would otherwise be present in separate reports can be eliminated. This also reduces the work of the TL(s) preparing the report(s), though it may also reduce the learning for the TLs who would each have to write a full report.

For bona fide research purposes, only highly qualified teams and TLs should be deployed in repeat assessment situations, unless the research is concerned with the amount of training needed in order for evaluators to reach a certain level of reliable evaluation competence. Then, arrangements such as repeat assessments, or concurrent multiple team assessments of the same service with separate conciliations, could be used in training contexts which also demonstrate other aspects of PASS/PASSING to participants.

Services that are being repeat-assessed need to be especially prepared for the conditions and requirements of such assessments. Guidelines for how to prepare such a service will be found in the (planned) separate monographs in this series on how to set up and conduct a training WS, and how to set up an official assessment.

### CONCLUSION

In conclusion, readers should take note of the following two points.

1. The guidelines contained in this appendix have been largely devised from the experience of teams in conducting these different and sometimes very challenging types of assessments. Because such assessments do entail such complicated logistics, because arranging for them is so much more complicated than for other types of assessments, and because an assessment team has so much work to complete during an assessment, we strongly recommend that teams try to profit by the experience of their assessment predecessors and adopt these guidelines. Teams should only deviate from these guidelines for special types of assessments under the most unusual conditions which these guidelines do not cover.

2. As mentioned earlier in this appendix, and as will be explained in more detail in the envisioned monograph on how to set up a training WS in PASS/PASSING, practicum assessments in *introductory* events of this nature must be kept relatively simple. This is necessary so that participants' only challenge is that of mastering the basic concepts and the rating instrument, not dealing with the complexities of advanced-type issues and assessments. Therefore, during *introductory* training WSs, assessments *by one team* of (a) multiple programs, or (b) multiple components of an agency, should absolutely *not* be arranged.

## **APPENDIX D: GUIDELINES FOR THE ASSESSMENT OF PROJECT PROPOSALS**

Earlier, it was mentioned that both PASS and PASSING can be used to assess proposals for future (i.e., non-existent) services. Such assessments of project proposals have been fairly rare, though it is a practice that the PASS and PASSING authors recommend be conducted more often. However, assessment of proposals should never take place during introductory training WSs; such assessments may only be conducted during advanced training and in non-training contexts. Specific guidelines in regard to the application of PASS/PASSING to a project proposal follow below.

### **Rationales for Evaluating Proposals**

There are several reasons why it may be desirable to assess a proposal for a service project before that service is actually implemented.

1. It can help potential funders decide how best to allocate their funds, e.g., whether they ought to fund the proposed project at all, whether they ought to provide the amount of funding requested, what conditions they should attach to the funding if they decide to provide financial support, etc.

2. By assessing a proposal, one can pinpoint problem areas and likely weaknesses before they actually manifest themselves, and especially, before they become established and therefore more difficult to change. It is much easier to prevent a maladaptive practice from being implemented than to correct it once it has become established.

3. In particular, the assessment may be able to contribute to greater comprehensiveness of the service system within a region (rated by PASS R121 Comprehensiveness), and to greater coherency of the service (rated in PASS by R113 Model Coherency, and in part in PASSING by R231 Program Address of Clients' Service Needs, R131 Culture-Appropriate Separation of Program Activities, R1231 Image Projection of Intra-Service Client Grouping—Social Value, R1232 Image Projection of Intra-Service Client Grouping—Age Image, R2211 Competency-Related Intra-Service Client Grouping—Size, R2212 Competency-Related Intra-Service Client Grouping—Composition, and R1252 Service Worker-Client Image Match).

A PASS/PASSING assessment of a proposal for a service would usually be requested by either (a) a potential funder for the proposed service, or (b) the agency or other body that is proposing to develop the service. Where assessment of a proposal is requested by a potential funder, then if at all possible, the assessment should include the application of FUNDET (Wolfensberger & Glenn, 1975) to the proposal, because FUNDET was designed primarily in order to help determine whether proposed projects ought to be funded. For instance, FUNDET assesses whether a (proposed) project is consistent with the potential funder's priorities, which would be very important for a funder to know before supporting a project.

### **Restrictions in the PASS/PASSING Assessment of Project Proposals**

1. Because the proposed service obviously does not yet exist, many ratings may not be applicable to it.

2. An evaluation of a proposal relies heavily on what the proposal's sponsoring body writes, or what its representatives say, will occur. Such projections are apt to be idealized — maybe even euphoric. Rarely will a service be as good as its promoters envision it to be.

For both of the above reasons, the results of the evaluation of a proposal cannot be fairly compared to those of an existing service, as explained further below.

### **Special Instructions for Gathering Assessment-Relevant Evidence on a Proposal**

When a team conducts an assessment of a project proposal using PASS or PASSING, it should adhere to the following guidelines.

1. The team should give a great deal of emphasis to whatever can actually be seen now about the proposed project: drawings of the proposed service facility; proposed sites; proposed service workers for the project; etc.

2. The team should obtain the maximum documentation available on the proposed project and on the body that will implement and operate the proposed project, and should intensively study whatever documentation is available. Most project proposals exist primarily in written form, so there can be expected to be at least some documentation on the proposed project.

3. The assessment team must spend a great deal more time than usual in prolonged, in-depth, and perhaps repeated interviews with various people associated with the proposed project. This would include especially (a) members of the board of directors of the proposed project, (b) personnel for the proposed project, if these have already been selected, (c) personnel from related funding, support, etc., agencies, and (d) personnel connected to the agency/body that will operate the proposed project, if such an agency/body already exists.

4. Where the proposed project is to be operated by an agency that already operates other services, the team must interview the board and personnel associated with that agency/body because (a) they will be able to provide information on the other services run by the agency/body, and (b) their responses may reveal what is apt to actually happen in the implementation and operation of the proposed service — which may be different from what the proposal *claims* will happen.

5. Furthermore, where a proposal is to be implemented by an agency/body that already exists, the team will have to tour and observe at least some of the existing services operated by that agency/body. Site visits to its currently operating programs can be a solid basis for making valid inferences regarding agency-wide ideology, policies, and practices. Relatedly, the team should also investigate the past “track record” of the agency in regard to previous proposals, contracts, and grants. This can give insight as to the likelihood that the stated goals for the proposal at hand will be actualized, and it can be quite valid for a team to infer probable future developments from having studied past developments in the operating agency.

6. In conducting its interviews, it is important that the team be able to distinguish between people who will actually determine what happens in the proposed service, versus people who are involved in the development of the proposal but who will not have much of a hand in its implementation and operation. For instance, the proposal may have been largely prepared by a student intern at an agency who will be leaving the agency before the proposed project is scheduled to begin; such a person may have invaluable information about the development of the proposal itself, but is not likely to be very helpful in providing information on how the proposed project will actually be implemented.

7. Furthermore, as time permits, it may be helpful for the team to conduct both interviews with individuals and group interviews (i.e., with more than one person at a time). On the other hand, it may only be possible to get some people to open up if they are interviewed privately. For instance, the developers of the proposal are apt to have high and perhaps unrealistic expectations for it, they are apt to gloss over its weaknesses, etc. But others, who have a more realistic idea of what the proposed service could accomplish, may be inhibited from revealing their thoughts, fears, and knowledge of shortcomings of the proposal if they have to discuss these in the presence of such people who are unrealistically positive about it. On the other hand, interviewing people together can be advantageous, because some people may act as reality checks on others, e.g., by reinterpreting the exceedingly optimistic views of the proposal’s initiators.

8. On occasion, where evidence is sparse, one may have to declare that the evidence is insufficient to arrive at any valid judgments, and suggest that the proposal be rewritten more specifically. This may also involve TMs functioning more as consultants than as evaluators, advising the agency about what would have to go into a proposed service in order for it to score well on PASS/PASSING.

### **Specific Guidelines for the Assignment of Rating Levels During the Assessment of a Proposal**

1. In applying the ratings to a proposed project, a team must be able to adequately differentiate between at least four important aspects: (a) the ideology that underlies and is expressed in the proposal (rated by both PASS and PASSING); (b) the soundness of the plan of implementation (rated in several respects by PASS, but not by PASSING); (c) the availability of needed resources (e.g., finances, facilities, specialized personnel) to carry out the proposal (assessed by PASS and FUNDET, but not by PASSING); (d) likely external obstacles to implementation of the proposal (only fragmentarily addressed by PASS or PASSING). These could be such things as neighborhood resistance, unwillingness of potential funders to support the project, unanticipated delays in start-up, etc., even to the degree these are not specifically assessed by PASS, PASSING, or FUNDET, either separately or in combination, the team should try to learn as much as it can about each, as these will all heavily influence the team’s recommendations to the project’s developers/implementers and funders.

2. In the assessment of a proposal, there is one particular deviation from standard PASS/PASSING rating practice that should be noted. Whenever TMs are in serious doubt about which level to assign to a service, or if there is doubt on TMs' part as to the probability that the program feature under consideration will be actualized, they should *not* give the proposed service the benefit of the doubt and rate "upward," as they are instructed to do in all other circumstances. Rather, TMs should rate "downward," i.e., assign the lower of the two levels. This is because, as mentioned, proposals are more apt to overestimate what they will be able to accomplish when implemented than to underestimate it, and to underestimate the obstacles that can get in the way of full implementation of various proposed program features. Thus, the program in its actual implementation is almost certain to be of lower quality than the ideals set forth in the proposal.

While this procedure has certain disadvantages, it is much more apt to make the scores of proposed services comparable to those of existing services, because consistently giving proposed projects the benefit of the doubt would, in most cases, systematically and substantially raise their scores.

3. If there is insufficient evidence for a rating, then that rating should not be applied, and the proposal's score should be pro-rated, as explained elsewhere in these *Guidelines*.

4. As mentioned elsewhere in these *Guidelines*, in order for some ratings to be applied, it is necessary that raters know who the clients are and have seen them. In the assessment of a proposal, there are by definition no clients yet for the team to see. However, even in these circumstances, it may still be possible for the team to apply certain ratings for which it is usually necessary to see the clients. For example, the proposal may have clearly identified a potential client population (i.e., "pool"), and may already have selected a physical setting. An example might be a proposal for a group home that would move severely handicapped adults out of a specific institution into a small home already leased in the community. In that case, the team could visit the institution, and even if the team would not know exactly which of the institution's severely handicapped adult residents would be moving into the group home, the team would still know that the proposed residents would be some of those they saw in the institution. The team could also visit the proposed physical setting, and could assign at least some physical setting ratings based on their knowledge of who the clients will most likely be.

However, even where the setting for a proposed service has already been selected and the clients are known, there are still some ratings that can probably not be assessed until the program is actually implemented. This includes certain remaining physical setting ratings, as well as the more "programmatic" ratings, such as on program individualization, intensity, program activities, etc.

### **Some Recommendations for Action Based on the Results of a PASS/PASSING Assessment of a Proposal**

When an assessment of a proposal is conducted for a potential funder, the team might well recommend that the funder should expect a proposal to score even higher on PASS/PASSING than existing services in order to be considered worthy of implementation and/or funding. Existing services could include not just old services, but possibly also new ones that are part of an existing operation or agency, and where an extrapolation from the older to the new service can therefore be made relatively easily, as opposed to proposals where little or no such extrapolation is possible. The latter would be the case where a proposed project is to be operated by an agency that is not yet formed, or where a proposal is submitted by a body which has never engaged in the general type of service for which they are making a proposal. Especially when the proposed project is competing for limited funds with other existing projects, the proposed project ought to score higher on PASS/PASSING than the competing existing services. There are several reasons why this is so.

1. As mentioned, the aspirations of the proposal developers are apt to be higher than what the actually implemented proposal turns out to be. Things hardly ever get enacted as well and as easily as the developers had hoped, due to such things as unforeseen obstacles, delays, etc. Thus, in actual operation, a project is apt to score lower on PASS/PASSING than it did in its proposal form.

2. In addition to self-deception on the part of the developers, there may be deception on the part of others as well. For instance, agency personnel may be deceitful about how well the currently existing operations of the agency actually run.

3. Thirdly, it is well-known that the dynamics of organizations, especially formalization and bureaucratization, tend towards mediocrity rather than high quality. Therefore, over time, a service is more apt to decline in quality than to improve.

So for all of the above reasons, existing services are at a disadvantage when their performances on PASS/PASSING are compared with the PASS/PASSING performance of a proposal. Given this fact, more should be expected of proposals so that a comparison between the proposals and existing services would be a fairer one.

When a service or service proposal is being assessed in order to determine its suitability for funding, it is desirable to assess it not only on PASS or PASSING, but also on FUNDET. As mentioned earlier, FUNDET is an instrument for measuring the funding merits of a service, primarily in order to assist in rational allocation of monies where there is competition for a limited amount of funding. Where FUNDET is combined with either PASS or PASSING, the service or service proposal's score on PASS or PASSING and its score on FUNDET can be combined, yielding what is called a "PASS-FUND" or "PASSING-FUND" score, first described in the *PASS Handbook* (Wolfensberger & Glenn, 1975). The combined PASS-FUND or PASSING-FUND score can then be used to rank-order the various (proposed) services for funding.

A PASS-FUND or PASSING-FUND score can be derived in one of two ways.

1. The service's PASS or PASSING score and its FUNDET score can be simply averaged into one score. However, a major disadvantage of this method is that a service that scored very low on PASS or PASSING may be funded merely because it attained a high enough FUNDET score, such as by addressing unmet local needs, or being highly consistent with the funder's priorities. Indeed, one could end up funding very low-quality services in an area in which, because the need for service is great, very good programs are needed even more than they are elsewhere.

2. A second and preferable method is to arbitrarily determine a minimum PASS or PASSING program quality score, below which a service is not eligible for funding consideration. Then, only those services which achieved the minimum PASS or PASSING cut-off score would also be assessed on FUNDET, and then a PASS-FUND or PASSING-FUND score would be computed for these services that have "made the grade" in terms of programs quality.

The cut-off score for PASS or PASSING performance may be determined by such considerations as the general quality of services in the locale, and the quality of services that is desired for it. Readers should also note that a score of zero on both PASS and PASSING is considered to be "minimally acceptable." The "expected" level on PASS is +711; on PASSING, it is +695, though for practical and interpretive purposes, the range of +496 to +755 (as shown on Part 6A. of the Overall Service Performance Form) might be interpreted as reflecting expected or near-expected performance.

The FUNDET Scoresheet provides a space in which to compute a PASS-FUND or PASSING-FUND score.

Further explanation and discussion of the use of FUNDET in making funding decisions can be found on pages 23-24 of the *PASS Handbook* (Wolfensberger & Glenn, 1975).

TMs that assess a project proposal may be asked by the funding body to make funding recommendations. Whether to assist in further such decision-making for the funding body is a decision the TM should make based on his/her own expertise, not on his/her role as a PASS or PASSING TM. However, as mentioned earlier, TMs might recommend that the funder set a certain minimum PASS, PASSING, PASS-FUND, or PASSING-FUND score that must be attained by the proposed project in order for it to receive a certain level of funding.

An assessment team might also recommend to the funder that if funds are allocated to a proposed project, contingencies be placed on the funds so that within a certain time period, the project must (a) live up to stated objectives and methodologies consistent with PASS/PASSING, and (b) improve its areas of inadequacy. Dates should be established for review, an understanding should be reached that funds will be withdrawn if these conditions are not met, and a written contract to that effect should be drawn up between the funder and the project. At least some TMs of the rating team that assessed the proposal could be kept on contract to the funder for a follow-up evaluation, so as to undercut potential criticisms of team variability and discontinuity.

## APPENDIX E: THE ASSESSMENT OF "SOFT SERVICES" BY MEANS OF PASS OR PASSING

### THE NATURE OF SOFT SERVICES

"Soft services" are somewhat difficult to define, but the term is generally meant to include those which (a) do not provide a primary and direct service, but only an indirect and/or secondary one; (b) involve primarily "talking" (e.g., guidance, counseling, referral) and/or paperwork (e.g., setting up welfare benefit payments); and/or (c) would be extremely limited in their impact unless they were at least potentially backed up and supported by, or associated with, hard services (e.g., certain types of advocacy, transportation, liaison with other providers, as in case management and coordination, etc.). Also, soft services typically involve only brief and/or highly intermittent contact between the service provider and a specific client. An occasional but not invariable characteristic of soft services is that they are less "facility-centered," and there may not even be a single clearly-defined location where workers render their services. For instance, the setting of a soft service often consists only of office space, office equipment, files, and meeting rooms. Relatedly, their workers may be dispersed. Worker-client contacts may even take place on the streets, in clients' homes, over the phone, etc.

In contrast, hard services can be viewed as: (a) being direct; (b) involving sustained contact (e.g., often for months and years, typically daily), and contact that involves a great deal of action and reality other than, or in addition to, verbalizations, paperwork, or liaison with other providers; (c) having the capacity to make a significant impact even if soft services did not exist (which is perhaps one of the most incisive ways of distinguishing between soft and hard services); and (d) being able to function at least reasonably productively in the complete or near-complete absence of soft services. The major hard services are residential, education, and work programs. An example of the contrast between hard and soft services is that a friendly visiting service would probably be a soft service, but a visiting homemaker would be a hard service.

Citizen advocacy relationships may be either hard or soft, depending upon their nature. Most such relationships would be soft services, while adopting a child into one's own home would be a hard service. However, the citizen advocacy office itself would always be a soft service.

As Table 1 shows, both hard and soft services can also be conceptualized as falling into direct and supportive categories, supportive ones being those which have no intrinsic benefit to a client other than enabling some other service to be attained. Transportation and referral are typical examples.

<b>Table 1</b> <b>Distinction Between &amp; Among Hard &amp; Soft, &amp; Direct &amp; Supportive, Services</b>		
	<b>Hard</b>	<b>Soft</b>
<b>Direct</b>	Residential  Day Developmental - Educational - Vocational	"Talking" Services, E.g., Guidance, Counseling  Information
<b>Supportive</b>	Transportation  Visiting Homemakers	Liaison  Referral Assessment

### SPECIFIC GUIDELINES FOR THE ASSESSMENT OF SOFT SERVICES

Because of the complexity and degree of challenge that the assessment of a soft service entails, such an assessment should *not* be conducted as part of an introductory training workshop (WS). However, such assessments are recommended for advanced WSs, and for non-training contexts with skilled raters.

## **Time Frame of the Assessment**

Because soft services are usually less “visible” and “tangible,” it is usually necessary to contact a wider variety of people and to sample a wider variety of service occasions in the assessment of such a service, as explained below. This implies that the assessment may need to be spread out over a longer period of time.

## **Advance Arrangements for the Assessment**

It is very helpful in making advance arrangements with the agency to ask them to prepare for the team up-to-date lists of home addresses and phone numbers of clients, board members, other agencies to contact, and staff. It is also desirable to ask the agency to legitimize the evaluation team with other agencies, clients, etc., in advance of the actual assessment. For example, the program director could send out a letter to all the personnel in other agencies, clients, families, other contacts, etc., who might be contacted in the process of the evaluation, informing them of the team's visit and asking for their cooperation. If possible and appropriate, the evaluation team could prepare questionnaires for workers and clients to fill out before the assessment, in order to get some preliminary input on the service. It might also be necessary to schedule some interviews with key people well in advance, by mail or phone, before TMs arrive to do the assessment. Arrangements must also be made with the host agency concerning use of office space, telephones, etc.

## **Team Composition and General Functioning**

Generally, a large team is desirable in order to gather all the information that needs to be collected. At some point, the team will probably need to split up into sub-teams, and each sub-team given different responsibilities by the TL. It is therefore very important to have a TL who can be highly directive, and/or to have a team composed of people who can assume a lot of tasks and responsibilities. (TMs would then meet prior to conciliation to share their information with each other.)

It is crucially important in the assessment of soft services to have at least one member of the team who is expert in that type of service, in order to help the team try to define what an appropriate model for the service would be, perhaps even before the team goes into the service to assess it. The expert might also be helpful in defining what would constitute intense and relevant programming in such a service.

It is especially desirable to have a team meeting prior to the evaluation in order for the team to organize itself, delegate responsibilities, and perhaps consider in advance some rating interpretations.

## **Examination of Documentation**

Because of the probable low tangibility of a soft service, the team may have to spend an even greater amount of time than usual in reading and studying agency documentary materials. This would entail looking at records, reading proposals, plans, policy statements, minutes of meetings, financial documentation, correspondence, and especially client records. More time is thus spent not only in talking to people, but in reviewing whatever is written down about the service. As mentioned elsewhere, it is necessary to randomize what records the team looks at in order to get a wide variety of them. Such a wide selection might consist of both “in-patient” and “out-patient,” active and inactive, closed or open files, children's and adults' records, records of people in different components of the agency, etc. The evaluation team may not only want to review minutes of meetings, but also sit in on board meetings and/or staff meetings with clients. Again, this may take a long time, and can perhaps be spread over several weeks if the team is composed of local people.

## **Conduct of Inquiries and Interviews**

The standard sequences of inquiry are much more difficult to apply in the assessment of soft services. Perhaps the inquiry sequence will need to be repeated over and over again, with the same workers at different times, with different people, and so on. There may be a lot of hazy areas after the first interview with the executive, and interviewing other people may provide extra information that is needed to focus on key issues.

In assessing soft services, one basic guideline is that *much more extensive* interviewing of more staff needs to be done. It is probably necessary to talk with more members of the board of directors and with a significant number of clients, service interactions may have to be observed (perhaps via one-way screens), etc., in order to get a broad sampling. Similarly, much more extensive interviewing of other people (consultants, agency contacts, the public at large) needs to take place.

It may be desirable during the assessment to ask a relevant staff member to initiate a phone call to other agencies or clients, explaining that the agency is being evaluated, and then hand the phone over to one of the TMs. The staff person would then leave the room so that the TMs would not feel constrained as to the type of questions they could ask. Agency workers may also have to accompany TMs to a client's home in order to legitimize TMs, but again, in such instances it is usually desirable that the worker then absent him/herself so as not to inhibit interactions between TMs and clients.

### **Conduct of Observations**

TMs should conduct observations of worker-client interactions whenever feasible. In many cases, this will mean TMs' traveling with workers out into the field, perhaps over an extended period of time.

In many soft services, the service will either not use a setting, or the setting will merely serve as an organizational headquarters, while the real service transactions take place elsewhere. Where that is the case, TMs will need to do only minimal observation of the service setting.

### **Inapplicability of Ratings**

If there is a question concerning the applicability of a particular rating to a soft service, then before deciding to eliminate it, TMs should review whether the rating that may not be an issue now in the service could become one in the future, and whether the rating is clearly inapplicable to this type of service. Very often, a fine distinction must be drawn as to whether a rating is actually irrelevant or whether it could be. TMs should try to "stretch" the ratings to make them as relevant as possible. The issues of staff consciousness and effort can be especially important in instances where the issue covered by a rating is not currently a challenge to the service, but might conceivably become so in the future.

However, if and when a rating is determined to be inapplicable to a particular service, the formula for pro-rating given earlier in this monograph should be followed.

### **Adaptation of Rating Weights**

It may also happen that in the assessment of a soft service, a team will discover that certain ratings are not sufficiently weighted to reflect their importance for that particular service. For instance, in the PASS assessment of a citizen advocacy service, culture-appropriate rights and their attainment could sometimes be considered the most important issue, yet age-appropriate autonomy and rights is more heavily weighted in the PASS tool. However, *a team should not change the ratings' weights*. In a PASS assessment, a team may use the "Regional Priorities" points to establish extra credit for some issues, as explained on page 13 of the *PASS Handbook*. In *PASSING*, there is no option for altering the instrument for special circumstances by substituting new ratings for ones which are inapplicable or of low relevance.



## APPENDIX F:

Program Analysis of Service Systems, Third edition, 1975

### PASS CHECKLIST

Agency being rated: \_\_\_\_\_ Date: \_\_\_\_\_

Subsystem being rated: \_\_\_\_\_ Rater: \_\_\_\_\_

PASS ELEMENTS	LEVELS
<b>Physical integration</b>	
*R111111 Local proximity	1 2 3 4
*R111112 Regional proximity	1 2 3 4 5
*R11112 Access	1 2 3 4 5
*R111131 Physical resources	1 2 3 4 5
R111132 Program-neighborhood harmony	1 2 3 4 5
R11114 Congregation, & assimilation potential	1 2 3 4 5 6
<b>Socially integrative interpretations</b>	
R111211 Program, facility, & location names	1 2 3 4 5
*R1112121 Function congruity image	1 2 3 4
*R1112122 Building-neighborhood harmony	1 2 3 4
R111213 Deviancy image juxtaposition	1 2 3 4 5
R111214 Deviancy program juxtaposition	1 2 3 4 5
<b>Socially integrative program structures</b>	
R1112211 Deviant staff juxtaposition	1 2 3 4
R1112212 Deviant client & other juxtaposition	1 2 3 4 5
R111222 Socially integrative social activities	1 2 3 4 5
<b>Age-appropriate interpretations &amp; structures</b>	
*R11211 Facilities, environmental design & appointments	1 2 3 4 5
R11212 Personal appearance	1 2 3 4 5
R11213 Activities, routines & rhythms	1 2 3 4 5 6
R11214 Labels & forms of address	1 2 3 4 5
R11215 Autonomy & rights	1 2 3 4 5
R11216 Possessions	1 2 3 4
R11217 Sex behavior	1 2 3 4 5
<b>Culture-appropriate interpretations &amp; structures</b>	
R11221 Internal design & appointments	1 2 3
R11222 Personal appearance	1 2 3 4 5
R11223 Activities, routines & rhythms	1 2 3 4
R11224 Labels & forms of address	1 2 3 4 5
R11225 Rights	1 2 3 4 5
R113 Model coherency	1 2 3 4 5

For instructions on the use of this checklist see **PASS: A method for the quantitative evaluation of human services** by Wolf Wolfensberger and Linda Glenn. Reproduction of this form is prohibited without the written permission of the publisher NATIONAL INSTITUTE ON MENTAL RETARDATION, York University Campus, 4700 Keele Street, Toronto, Ontario, Canada, M3J 1P3  
Phone: (416) 661-9611 ©Copyright, 1975

PASS ELEMENTS		LEVELS					
<b>Developmental growth orientation</b>							
*R1141	Physical overprotection	1	2	3	4		
R1142	Social overprotection	1	2	3	4	5	
R1143	Intensity of relevant programming	1	2	3	4	5	
<b>Quality of setting</b>							
*R1151	Physical comfort	1	2	3	4		
*R1152	Environmental beauty	1	2	3	4	5	
R1153	Individualization	1	2	3	4	5	
R1154	Interactions	1	2	3	4	5	
<b>Ideology-related administration</b>							
R121	Comprehensiveness	1	2	3	4	5	6
R122	Utilization of generic resources	1	2	3	4	5	
R123	Consumer & public participation	1	2	3	4	5	6
R124	Education of the public	1	2	3	4	5	
R125	Innovativeness	1	2	3	4	5	6
<b>Human science orientation</b>							
R131	Ties to academia	1	2	3	4	5	
R132	Research climate	1	2	3	4	5	
<b>Regional priorities</b>							
R141	Deinstitutionalization	1	2	3	4	5	6
R142	Age group priorities	1	2	3	4	5	
<b>Manpower considerations</b>							
R211	Staff development	1	2	3	4	5	
R212	Manpower development	1	2	3	4	5	
<b>Internal administration</b>							
R2211	Administrative control & structures	1	2	3	4	5	
R2212	Planning process	1	2	3	4	5	
R2213	Program evaluation & renewal mechanisms	1	2	3	4	5	6
<b>Finance</b>							
R2221	Financial documentation—extent	1	2	3	4	5	
R2222	Budget economy	1	2	3	4	5	

## CHECKLIST

Month	Day(s)	Year
-------	--------	------

☐ Pre-conciliation team poll.

Evaluator's name: \_\_\_\_\_

☐ Team member

☐ Post-conciliation team decision (if this Checklist shows ratings both of an individual team member prior to conciliation, as well as of a team's conciliation, then check both this box and the one above).

(enter service name if different from agency)

☐ The only component assessed at this time.

[illegible]

### Instructions to Evaluators for Filling Out PASSING Checklist

1. In order to reduce the likelihood that awareness of the rating level weights would bias assignment of levels, the PASSING Scoresheet/Overall Service Performance Form, and any other materials which show the weights of each of the ratings, should be put away while individual rating level assignments are recorded on this Checklist or the PASS/PASSING Individual Rating Evidence Organization Sheet.
2. Evaluators should make their *individual level assignments in pencil* by placing a circle (○) in the box that corresponds to the level that they decide best characterizes the service's performance on each rating.
3. Evaluators should mark their individual ratings in pencil so that if they change their minds on a level assignment *prior to team conciliation*, they can easily change the level they have assigned.
4. However, evaluators are *not* to make any changes in their individual level assignments either during or after conciliation by the full assessment team.
5. Evaluators should mark the *final conciliated team level assignments* on the Checklist *in pen* by placing *an X* in the box that corresponds to the level that the team agrees upon for each rating.
6. If the final conciliated team level assignment is the same as a team member's individual level assignment, then the X should be placed inside the circle (⊗) in the same box.
7. Evaluators should turn in their completed Checklists at the end of conciliation to the team leader or other relevant person. Evaluators will have a record of the service's performance on the assessment on their own copy of the Scoresheet/Overall Service Performance Form, which they are supposed to fill out at the end of conciliation under the team leader's direction.

# **PASSING (Program Analysis of Service Systems' Implementation of Normalization Goals), 2nd Edition** **CHECKLIST**

## **1 RATINGS PRIMARILY RELATED TO SOCIAL IMAGE ENHANCEMENT**

	LEVELS				
<b>11 IMAGE-RELATED PHYSICAL SETTING OF SERVICE</b>					
R1111 Setting-Neighborhood Harmony	1	2	3	4	5
R1112 Program-Neighborhood Harmony	1	2	3	4	5
R1121 External Setting Aesthetics	1	2	3	4	5
R1122 Internal Setting Aesthetics	1	2	3	4	5
R1131 External Setting Appearance Congruity With Culturally Valued Analogue	1	2	3	4	5
R1132 Internal Setting Appearance Congruity With Culturally Valued Analogue	1	2	3	4	5
R1141 External Setting Age Image	1	2	3	4	5
R1142 Internal Setting Age Image	1	2	3	4	5
R1151 Image Projection of Setting—Physical Proximity	1	2	3	4	5
R1152 Image Projection of Setting—History	1	2	3	4	5
R1153 Image Projection of Setting—Other Internal Physical Features	1	2	3	4	5
<b>12 IMAGE-RELATED SERVICE-STRUCTURED GROUPINGS &amp; RELATIONSHIPS AMONG PEOPLE</b>					
R121 Image Projection of Program-to-Program Juxtaposition	1	2	3	4	5
R122 Service-Neighborhood Assimilation Potential	1	2	3	4	5
R1231 Image Projection of Intra-Service Client Grouping—Social Value	1	2	3	4	5
R1232 Image Projection of Intra-Service Client Grouping—Age Image	1	2	3	4	5
R124 Image-Related Other Integrative Client Contacts & Personal Relationships	1	2	3	4	5
R1251 Service Worker-Client Image Transfer	1	2	3	4	5
R1252 Service Worker-Client Image Match	1	2	3	4	5
<b>13 IMAGE-RELATED SERVICE-STRUCTURED ACTIVITIES &amp; OTHER USES OF TIME</b>					
R131 Culture-Appropriate Separation of Program Functions	1	2	3	4	5
R132 Image Projection of Program Activities & Activity Timing	1	2	3	4	5
R133 Promotion of Client Autonomy & Rights	1	2	3	4	5
<b>14 IMAGE-RELATED MISCELLANEOUS SERVICE LANGUAGE, SYMBOLS, &amp; IMAGES</b>					
R141 Program Address of Client Personal Impression Impact	1	2	3	4	5
R142 Image-Related Personal Possessions	1	2	3	4	5
R1431 Image Projection of Personal Labeling Practices	1	2	3	4	5
R1432 Agency, Program, Setting, & Location Names	1	2	3	4	5
R144 Image Projection of Service Funding	1	2	3	4	5
R145 Image Projection of Miscellaneous Aspects of a Service	1	2	3	4	5

## **2 RATINGS PRIMARILY RELATED TO PERSONAL COMPETENCY ENHANCEMENT**

	LEVELS				
<b>21 COMPETENCY-RELATED PHYSICAL SETTING OF SERVICE</b>					
R2111 Setting Accessibility—Clients & Families	1	2	3	4	5
R2112 Setting Accessibility—Public	1	2	3	4	5
R212 Availability of Relevant Community Resources	1	2	3	4	5
R213 Physical Comfort of Setting	1	2	3	4	5
R214 Challenge/Safety Features of Setting	1	2	3	4	5
R215 Individualizing Features of Setting	1	2	3	4	5
<b>22 COMPETENCY-RELATED SERVICE-STRUCTURED GROUPINGS &amp; RELATIONSHIPS AMONG PEOPLE</b>					
R2211 Competency-Related Intra-Service Client Grouping—Size	1	2	3	4	5
R2212 Competency-Related Intra-Service Client Grouping—Composition	1	2	3	4	5
R222 Competency-Related Other Integrative Client Contacts & Personal Relationships	1	2	3	4	5
R223 Life-Enriching Interactions Among Clients, Service Personnel, & Others	1	2	3	4	5
R224 Program Support for Client Individualization	1	2	3	4	5
R225 Promotion of Client Socio-Sexual Identity	1	2	3	4	5
<b>23 COMPETENCY-RELATED SERVICE-STRUCTURED ACTIVITIES &amp; OTHER USES OF TIME</b>					
R231 Program Address of Clients' Service Needs	1	2	3	4	5
R232 Intensity of Activities & Efficiency of Time Use	1	2	3	4	5
R233 Competency-Related Personal Possessions	1	2	3	4	5

# APPENDIX H:

Program Analysis of Service Systems Third edition, 1975

Use (circle one): Project, Master, or Master Agency Score Sheet

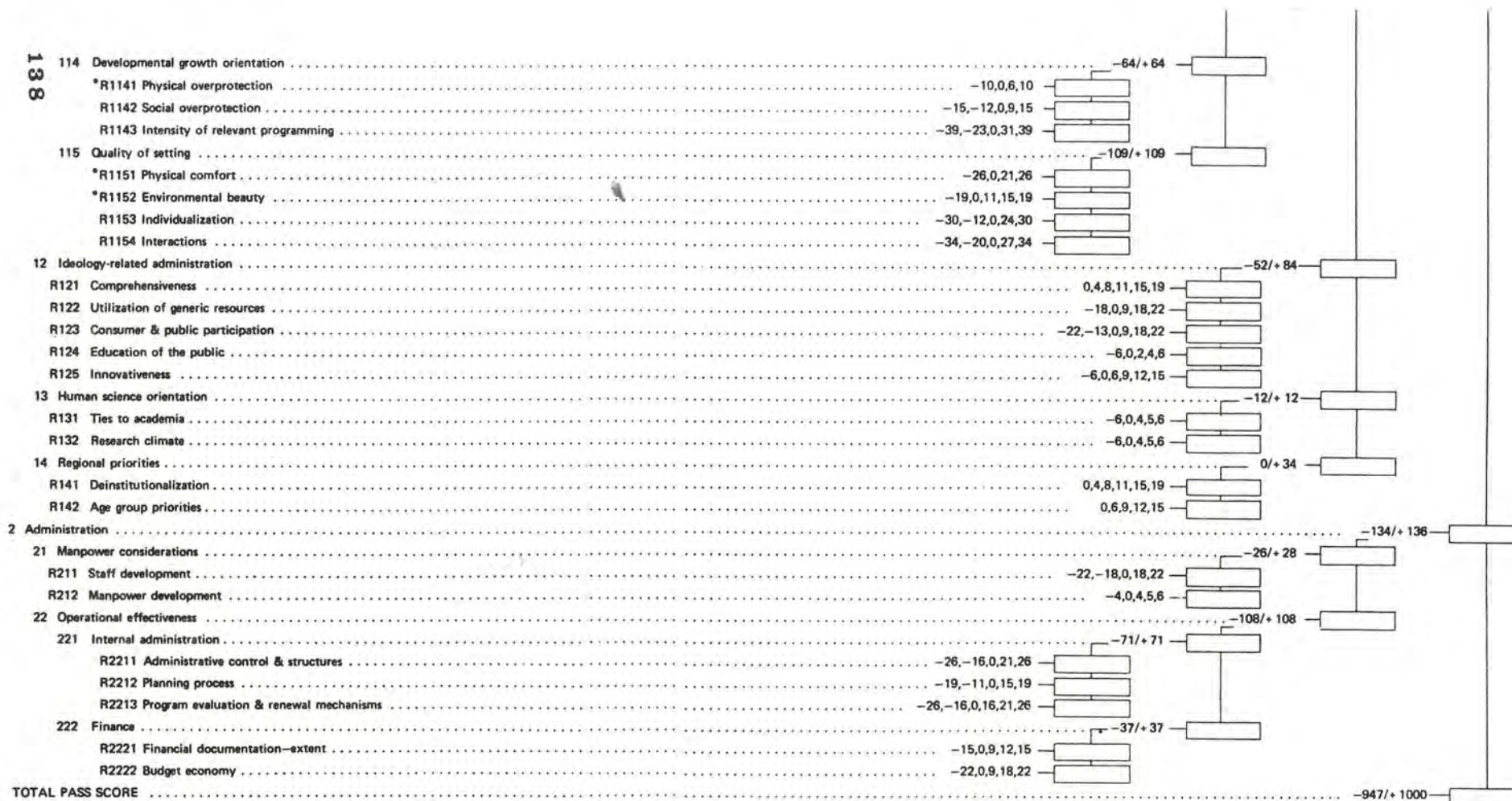
Name of Rater or Scorer:

## PASS SCORE SHEET

Date:

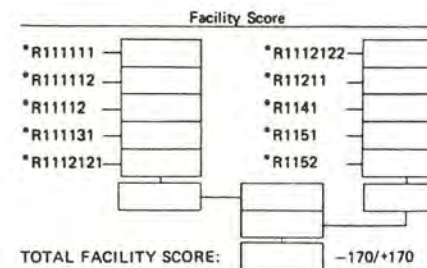
Project being rated:

PASS Rating Elements		Scores	
1	Ideology		-813/+ 864
11	Normalization-related		-749/+ 734
111	Integration		-302/+ 302
1111	Physical integration		-136/+ 136
11111	Proximity	-36/+ 36	
*R111111	Local proximity	-26,0,21,26	
*R111112	Regional proximity	-10,-6,0,6,10	
*R11112	Access	-22,-13,0,18,22	
11113	Physical context	-48/+ 48	
*R111131	Physical resources	-26,-16,0,21,26	
R111132	Program-neighborhood harmony	-22,-18,0,18,22	
R11114	Congregation, & assimilation potential	-30,-24,-18,0,24,30	
1112	Social integration		-166/+ 166
11121	Socially integrative interpretations	-67/+ 67	
R111211	Program, facility, & location names	-10,-8,0,8,10	
111212	Building perception	-16/+ 16	
*R1112121	Function congruity image	-6,0,4,6	
*R1112122	Building-neighborhood harmony	-10,0,8,10	
R111213	Deviancy image juxtaposition	-22,-13,0,18,22	
R111214	Deviancy program juxtaposition	-19,-15,0,15,19	
11122	Socially integrative program structures	-99/+ 99	
111221	Deviant persons juxtaposition	-60/+ 60	
R1112211	Deviant staff juxtaposition	-26,-10,0,26	
R1112212	Deviant client & other juxtaposition	-34,-27,0,27,34	
R111222	Socially integrative social activities	-39,-31,0,31,39	
112	Appropriate interpretations & structures		-234/+ 219
1121	Age-appropriate interpretations & structures		-142/+ 142
*R11211	Facilities, environmental design & appointments	-15,-7,0,12,15	
R11212	Personal appearance	-10,-8,0,8,10	
R11213	Activities, routines & rhythms	-34,-27,0,20,27,34	
R11214	Labels & forms of address	-19,-15,0,15,19	
R11215	Autonomy & rights	-34,-27,0,27,34	
R11216	Possessions	-15,0,9,15	
R11217	Sex behavior	-15,-9,0,12,15	
1122	Culture-appropriate interpretations & structures		-92/+ 77
R11221	Internal design & appointments	-15,-7,0	
R11222	Personal appearance	-30,-24,0,29,30	
R11223	Activities, routines & rhythms	-6,0,4,6	
R11224	Labels & forms of address	-22,-13,0,18,22	
R11225	Rights	-19,-15,0,15,19	
R113	Model coherency		-40,-24,0,32,40



R denotes that the element is a rating, and the asterisks identify the ratings which make up the facility score. This numbering system affords rapid access to and cross-referencing between narrative, rating criteria, tables, score sheets, etc.

For instructions on the use of this score sheet see PASS: A method for the quantitative evaluation of human services by Wolf Wolfensberger and Linda Glenn. Reproduction of this form is prohibited without the written permission of the publisher NATIONAL INSTITUTE ON MENTAL RETARDATION, York University Campus, 4700 Keele Street, Toronto, Ontario, Canada, M3J 1P3. Phone: (416) 661-9611 © Copyright 1975



## APPENDIX I: NEW PASS SUBSCORES

The 1973 (2nd) and 1975 (3rd) editions of PASS had a Facility Score, which was the sum of the scores received by a service on certain ratings indicated by an asterisk before their rating number. The *Handbook* and *Field Manual* of the 1975 edition of PASS used this system of asterisks for the relevant ratings, and so do the Scoresheet and Checklist, at least those printed up to mid-1983. However, in 1979 the Facility Score was abolished, and four other subscores were established. This means that the old asterisk system and the Facility Score computation section on the 1975 PASS Scoresheet should be ignored. Instead, this new PASS Subscores form should be used.

It is possible that the old 1975 PASS Checklist and Scoresheet will be reprinted in order to reflect the changes noted above. Also, a report to an assessed service may have to explain the new subscores, because these are not explained in any PASS-related publication that predates the 1983 *Guidelines for Evaluators During a PASS, PASSING or Similar Assessment of Human Service Quality*.

Whereas the former PASS 3 Facility Score had a range of -170 to +170 points, the ranges of the four new subscores are as follows: Service Location Optimality Subscore: -165 to +165; Physical Facility Appearance Subscore: -101 to +86; Personal-Clinical Program Emphasis Subscore: -450 to +450; Total Administration Subscore: -186 to +220.

The four new subscores, described in detail below, are believed to be a more useful reflection of service strengths, shortcomings, and needs than the old Facility Score. Also, all of the ten ratings previously subsumed under the Facility Score are now accounted for in one or more of the new subscores. The ratings which make up three of the four subscores are shown in Table 1. Readers should study this table so as to understand more fully how each of these subscores is composed, and how the subscores do and do not overlap. Of course, readers should keep in mind what the relevant ratings actually measure, and not fixate exclusively on the names of ratings, which were merely intended as a crude shorthand for approximating a rating's content, especially in light of the fact that the same rating may mean different things in different subscores. The fourth subscore is not shown in Table 1 because it consists simply of the addition of two cluster scores.

Below, the four subscores are briefly described.

### *The Service Location Optimality Subscore*

As can be noted from the names of the eight ratings that make up this subscore, it assesses exclusively the optimality of the location of a program in terms of various normalization criteria. This subscore includes those ratings which most intimately reflect how favorably the program is located when considering both (a) the nature of the specific program, as well as (b) more universal criteria of program location desiderata. In turn, several of these ratings affect the likelihood of the clients of a specific program being accepted, integrated and otherwise appropriately related to by the public and, to some degree, even by their own friends and relatives.

### *The Physical Facility Appearance Subscore*

While the Service Location Optimality subscore is concerned with the location of a service in terms of normalization criteria, the Physical Facility Appearance subscore reflects a service building's appearance in terms of normalization desiderata that are primarily visually ascertainable. This subscore is based both on ratings of the building's appearance as it would be judged if looked at in total isolation (i.e., without considering the neighborhood context, as in R1112121 Function Congruity Image), as well as on ratings which are concerned with the relationship of the building's appearance to its physical surroundings and context (e.g., R1112122 Building-Neighborhood Harmony). Again, several of the total of seven ratings here have impact upon a client's image and subsequent likely acceptance and social integration, as well as impinging upon program quality and clinical service process quality.

### *The Personal-Clinical Program Emphasis Subscore*

This subscore subsumes nineteen ratings which are overwhelmingly concerned with those aspects of a program and facility which can be expected to have direct, personal and highly relevant impact upon a client's level of competency in coping with the physical or social environment of the larger culture. Excluded from this subscore are ratings which are concerned entirely with administrative, systemic, or purely socially interpretive elements, unless those socially interpretive elements have such immediate clinical and personal impact as to directly and powerfully affect the social feedback loop by which individuals are known to form self-concepts and personal expectancies. Also excluded, somewhat reluctantly, is the rating of R113 Model Coherency, which quite often has powerful clinical relevance, but not invariably so. The program content and program process components of R113 Model Coherency are typically the ones that are clinically quite relevant, but the manpower identity and the client characteristics components have variable, and usually only secondary, clinical impact. Additionally, any number of other ratings that were not included may very well have clinical impact, though usually less powerfully or less directly so than the included ones. Typical examples are R112211 Deviant Staff Juxtaposition; R125 Innovativeness; R11211 Age-Appropriate Facilities, Environmental Design & Appointments; R11221 Culture-Appropriate Internal Design & Appointments; and a number of other integration ratings that are not included in this subscore. Also, it should be kept in mind that ratings which are included here and which do have the most profound clinical relevance are not to be viewed as irrelevant to long-term systemic and societal outcome. This caveat applies to all the ratings in this subscore, insofar as every time a client is served in a fashion which is demeaning, deviancy-enlarging, competency-impairing, etc., that client, and people resembling him or her, are apt to acquire negative stereotypes, or increase those stereotypes already attached to them. The same applies in regard to positive ways of serving and imaging a person.

### *The Total Administration Subscore*

The Total Administration subscore is simpler than any of the other three subscores, since it is merely the combination of the ideologically-derived administration rating cluster score, and the administration cluster score. In other words, this subscore consists of the sum of the points earned by all the ratings with an R12 and R2 prefix. Obviously, it reflects the combined empirical and ideological administrative quality of the assessed service.

### *Caution in the Use of the Subscores*

PASS utilizers should take note of a number of cautions and fine points of interpretation in utilizing the above subscores.

1. The first three subscores overlap to a degree, since some ratings are relevant to more than one subscore, as shown in Table 1, although no rating is shared by more than two subscores, and only four of the 30 ratings involved overlap somewhere. The overlapping (and therefore non-additive) nature of these subscores should be clearly explained to agencies that have been assessed.

2. The Service Location Optimality subscore has to do almost exclusively with the location of both the facility and the program. In contrast, the Physical Facility Appearance subscore is concerned not only with gross aspects of the external features of the physical facility, but also with the appearance of the physical service environment more broadly, as reflected in ratings such as R11211 Age-Appropriate Facilities, Environmental Design & Appointments, R1141 Physical Overprotection, R1151 Physical Comfort, and R1152 Environmental Beauty.

3. Obviously, a number of ratings not included in any of the first two subscores may make some contribution to one or the other of the subscores, but not overwhelmingly or primarily so. Major examples are R1153 Individualization, and R1154 Interactions, which both could conceivably have occasional facility (or at least environmental design and appointments) implications; or R11222 Culture-Appropriate Personal Appearance, R1143 Intensity of Relevant Programming, and conceivably even in R125 Innovativeness and R113 Model Coherency, since any of these ratings may involve gadgetry or other aspects that might occasionally relate to location or facility appearance issues.

The new subscores were evolved and piloted while PASS 3 was still in use, and thus will not be entirely newly precipitated with the envisioned fourth edition.

**Table 1**  
**The Composition of 3 of 4 Subscores in Comparison with the Former (PASS 3) Facility Score**

<b>RATINGS</b>	<b>Service Location Optimality</b>	<b>Physical Facility Appearance</b>	<b>Personal- Clinical Program Emphasis</b>	<b>Former (PASS 3) Facility Score</b>
<b>R111111 Local Proximity</b>	<b>X</b>			<b>X</b>
<b>R111112 Regional Proximity</b>	<b>X</b>			<b>X</b>
<b>R11112 Access</b>	<b>X</b>			<b>X</b>
<b>R111131 Physical Resources</b>	<b>X</b>			<b>X</b>
<b>R111132 Program-Neighborhood Harmony</b>	<b>X</b>			
<b>R11114 Congregation, &amp; Assimilation Potential</b>	<b>X</b>			
<b>R1112121 Function Congruity Image</b>		<b>X</b>		<b>X</b>
<b>R1112122 Building-Neighborhood Harmony</b>	<b>X</b>	<b>X</b>		<b>X</b>
<b>R111214 Deviancy Program Juxtaposition</b>	<b>X</b>			
<b>R1112212 Deviant Client &amp; Other Juxtaposition</b>			<b>X</b>	
<b>R111222 Socially Integrative Social Activities</b>			<b>X</b>	
<b>R11211 Age-Appropriate Facilities, Environmental Design &amp; Appointments</b>		<b>X</b>		<b>X</b>
<b>R11212 Age-Appropriate Personal Appearance</b>			<b>X</b>	
<b>R11213 Age-Appropriate Activities, Routines &amp; Rhythms</b>			<b>X</b>	
<b>R11214 Age-Appropriate Labels &amp; Forms of Address</b>			<b>X</b>	
<b>R11215 Age-Appropriate Autonomy &amp; Rights</b>			<b>X</b>	
<b>R11216 Age-Appropriate Possessions</b>			<b>X</b>	
<b>R11217 Age-Appropriate Sex Behavior</b>			<b>X</b>	
<b>R11221 Culture-Appropriate Internal Design &amp; Appointments</b>		<b>X</b>		
<b>R11222 Culture-Appropriate Personal Appearance</b>			<b>X</b>	
<b>R11223 Culture-Appropriate Activities, Routines &amp; Rhythms</b>			<b>X</b>	
<b>R11224 Culture-Appropriate Labels &amp; Forms of Address</b>			<b>X</b>	
<b>R11225 Culture-Appropriate Rights</b>			<b>X</b>	
<b>R1141 Physical Overprotection</b>		<b>X</b>	<b>X</b>	<b>X</b>
<b>R1142 Social Overprotection</b>			<b>X</b>	
<b>R1143 Intensity of Relevant Programming</b>			<b>X</b>	
<b>R1151 Physical Comfort</b>		<b>X</b>	<b>X</b>	<b>X</b>
<b>R1152 Environmental Beauty</b>		<b>X</b>	<b>X</b>	<b>X</b>
<b>R1153 Individualization</b>			<b>X</b>	
<b>R1154 Interactions</b>			<b>X</b>	

## NEW PASS SUBSCORES SCORESHEET

### SERVICE LOCATION OPTIMALITY

R111111	Local Proximity ( - 26/ + 26) .....	_____
R111112	Regional Proximity ( - 10/ + 10) .....	_____
R111112	Access ( - 22/ + 22) .....	_____
R111131	Physical Resources ( - 26/ + 26) .....	_____
R111132	Program-Neighborhood Harmony ( - 22/ + 22) .....	_____
R11114	Congregation, & Assimilation Potential ( - 30/ + 30) .....	_____
R1112122	Building-Neighborhood Harmony ( - 10/ + 10) .....	_____
R111214	Deviancy Program Juxtaposition ( - 19/ + 19) .....	_____
Subscore Total (Range: - 165/ + 165)		<input type="text"/>

### PHYSICAL FACILITY APPEARANCE

R1112121	Function Congruity Image ( - 6/ + 6) .....	_____
R1112122	Building-Neighborhood Harmony ( - 10/ + 10) .....	_____
R11211	Age-Appropriate Facilities, Environmental Design & Appointments ( - 15/ + 15) .....	_____
R11221	Culture-Appropriate Internal Design & Appointments ( - 15/0) .....	_____
R1141	Physical Overprotection ( - 10/ + 10) .....	_____
R1151	Physical Comfort ( - 26/ + 26) .....	_____
R1152	Environmental Beauty ( - 19/ + 19) .....	_____
Subscore Total (Range: - 101/ + 86)		<input type="text"/>

### PERSONAL-CLINICAL PROGRAM EMPHASIS

R1112212	Deviant Client & Other Juxtaposition ( - 34/ + 34) .....	_____
R111222	Socially Integrative Social Activities ( - 39/ + 39) .....	_____
R11212	Age-Appropriate Personal Appearance ( - 10/ + 10) .....	_____
R11213	Age-Appropriate Activities, Routines & Rhythms ( - 34/ + 34) .....	_____
R11214	Age-Appropriate Labels & Forms of Address ( - 19/ + 19) .....	_____
R11215	Age-Appropriate Autonomy & Rights ( - 34/ + 34) .....	_____
R11216	Age-Appropriate Possessions ( - 15/ + 15) .....	_____
R11217	Age-Appropriate Sex Behavior ( - 15/ + 15) .....	_____
R11222	Culture-Appropriate Personal Appearance ( - 30/ + 30) .....	_____
R11223	Culture-Appropriate Activities, Routines & Rhythms ( - 6/ + 6) .....	_____
R11224	Culture-Appropriate Labels & Forms of Address ( - 22/ + 22) .....	_____
R11225	Culture-Appropriate Rights ( - 19/ + 19) .....	_____
R1141	Physical Overprotection ( - 10/ + 10) .....	_____
R1142	Social Overprotection ( - 15/ + 15) .....	_____
R1143	Intensity of Relevant Programming ( - 39/ + 39) .....	_____
R1151	Physical Comfort ( - 26/ + 26) .....	_____
R1152	Environmental Beauty ( - 19/ + 19) .....	_____
R1153	Individualization ( - 30/ + 30) .....	_____
R1154	Interactions ( - 34/ + 34) .....	_____
Subscore Total (Range: - 450/ + 450)		<input type="text"/>

### TOTAL ADMINISTRATION

12	Ideology-Related Administration ( - 52/ + 84) .....	_____
2	Administration ( - 134/ + 136) .....	_____
Subscore Total (Range: - 186/ + 220)		<input type="text"/>

1. Agency Being Assessed: \_\_\_\_\_

2. Assessment Date(s): \_\_\_\_\_  
Month \_\_\_\_\_ Day(s) \_\_\_\_\_ Year \_\_\_\_\_

3. The scores on this form show the results of the following type of assessment:

- ☐ The service of a single-component agency \_\_\_\_\_  
(enter service name if different from that of agency)
- ☐ One component, namely \_\_\_\_\_  
of a multi-component agency, where this component was:
- ☐ The only component assessed at this time.
- ☐ One of a number of components of the agency assessed at this time, and where the results for other components are shown on separate Scoresheets/Overall Service Performance Forms.
- ☐ Assessment of several components of a multi-component agency:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- ☐ The assessed components were treated and rated as if they were a single unit, so there is only this one Scoresheet/Overall Service Performance Form for all assessed components.
- ☐ Each of the assessed components was rated separately (with its own Checklist), then their performances were "intellectually consolidated" to render one overall rating shown here.
- ☐ The unconsolidated scores of the various components are each recorded on a separate Scoresheet/Overall Service Performance Form.
- ☐ There is no separate Scoresheet/Overall Service Performance Form for each of the various components assessed.
- ☐ Each of the assessed components was rated separately (with its own Checklist), then the "budget proportionality" method was used to consolidate the performance of all the separate components into one rating shown here.
- ☐ The unconsolidated scores of the various components are each recorded on a separate Scoresheet/Overall Service Performance Form.
- ☐ There is no separate Scoresheet/Overall Service Performance Form for each of the various components assessed.

4. Brief Statement of General or Overriding Issues:

5. Major Recommendations:

6. Summary of Service Performance (numbers in parentheses represent the range or percentage of achievable scores)

DESCRIPTION	Totally Inadequate; Disastrous (-100 to ≤ -36%)	Below Acceptable; Poor (≥ -35 to ≤ -11%)	Acceptable; Fair (≥ -10 to ≤ +49%)	Good; Expected (≥ +50 to ≤ +75%)	Excellent (≥ +76 to +100%)
<b>TOTAL PASSING SCORE</b> (range = -1000 to +1000)	(-1000 to -356)	(-355 to -106)	(-105 to +495)	(+496 to +755)	(+756 to +1000)

6B. By Programmatic Subscore Areas

PROGRAMMATIC SUBSCORE AREAS	Totally Inadequate; Disastrous (-100 to ≤ -36%)	Below Acceptable; Poor (≥ -35 to ≤ -11%)	Acceptable; Fair (≥ -10 to ≤ +49%)	Good; Expected (≥ +50 to ≤ +75%)	Excellent (≥ +76 to +100%)
<b>Relevance</b> (range = -50 to +50)	(-50 to -18)	(-17 to -6)	(-5 to +25)	(+26 to +38)	(+39 to +50)
<b>Intensity</b> (range = -188 to +188)	(-188 to -68)	(-67 to -21)	(-20 to +92)	(+93 to +141)	(+142 to +188)
<b>Integrativeness</b> (range = -217 to +217)	(-217 to -78)	(-77 to -24)	(-23 to +106)	(+107 to +163)	(+164 to +217)
<b>Image Projection</b> (range = -339 to +339)	(-339 to -122)	(-121 to -37)	(-36 to +166)	(+167 to +254)	(+255 to +339)
<b>Felicity</b> (range = -206 to +206)	(-206 to -74)	(-73 to -22)	(-21 to +101)	(+102 to +155)	(+156 to +206)

6C. By Rating Areas

TOTAL RANGE OF ATTAINABLE SCORES IN 4 MAJOR SUBDIVISIONS	Ratings Primarily Concerned With Social Image Enhancement					Ratings Primarily Concerned With Personal Competency Enhancement				
	Totally Inadequate; Disastrous (-100 to ≤ -36%)	Below Acceptable; Poor (≥ -35 to ≤ -11%)	Acceptable; Fair (≥ -10 to ≤ +49%)	Good; Expected (≥ +50 to ≤ +75%)	Excellent (≥ +76 to +100%)	Totally Inadequate; Disastrous (-100 to ≤ -36%)	Below Acceptable; Poor (≥ -35 to ≤ -11%)	Acceptable; Fair (≥ -10 to ≤ +49%)	Good; Expected (≥ +50 to ≤ +75%)	Excellent (≥ +76 to +100%)
<b>Physical Setting of Service</b> (range = -329 to +329)	(-171 to -62)	(-61 to -19)	(-18 to +84)	(+85 to +128)	(+129 to +171)	(-158 to -57)	(-56 to -17)	(-16 to +77)	(+78 to +118)	(+119 to +158)
		(social image enhancement range = -171 to +171)				(personal competency enhancement range = -158 to +158)				
<b>Service-Structured Groupings &amp; Relationships Among People</b> (range = -369 to +369)	(-146 to -53)	(-52 to -16)	(-15 to +72)	(+73 to +109)	(+110 to +146)	(-223 to -80)	(-79 to -25)	(-24 to +109)	(+110 to +167)	(+168 to +223)
		(social image enhancement range = -146 to +146)				(personal competency enhancement range = -223 to +223)				
<b>Service-Structured Activities &amp; Other Uses of Time</b> (range = -188 to +188)	(-81 to -29)	(-28 to -9)	(-8 to +40)	(+41 to +61)	(+62 to +81)	(-107 to -38)	(-37 to -12)	(-11 to +52)	(+53 to +80)	(+81 to +107)
		(social image enhancement range = -81 to +81)				(personal competency enhancement range = -107 to +107)				
<b>Miscellaneous Other Service Language, Symbols &amp; Images</b> (range = -114 to +114)	(-114 to -41)	(-40 to -13)	(-12 to +56)	(+57 to +86)	(+87 to +114)	NOT APPLICABLE: NO RATINGS				
		(social image enhancement range = -114 to +114)								

## PASSING SCORESHEET / OVERALL SERVICE PERFORMANCE FORM

TOTAL PASSING SCORE (– 1000 to +1000)

1 RATINGS PRIMARILY RELATED TO SOCIAL IMAGE ENHANCEMENT SUBSCORE (– 512 to + 512)		2 RATINGS PRIMARILY RELATED TO PERSONAL COMPETENCY ENHANCEMENT SUBSCORE (– 488 to + 488)		
PHYSICAL SETTING OF SERVICE	<b>11 IMAGE-RELATED PHYSICAL SETTING OF SERVICE SUBSCORE (– 171 to + 171)</b> <b>111 SERVICE-NEIGHBORHOOD HARMONY SUBSCORE (– 34 to + 34)</b> R1111 Setting-Neighborhood Harmony (– 16, – 11, 0, 11, 16) R1112 Program-Neighborhood Harmony (– 18, – 13, 0, 13, 18) <b>112 SETTING AESTHETICS SUBSCORE (– 38 to + 38)</b> R1121 External Setting Aesthetics (– 16, – 11, 0, 11, 16) R1122 Internal Setting Aesthetics (– 22, – 15, 0, 15, 22) <b>113 SETTING APPEARANCE CONGRUITY WITH CULTURALLY VALUED ANALOGUE SUBSCORE (– 36 to + 36)</b> R1131 External Setting Appearance Congruity With Culturally Valued Analogue (– 14, – 10, 0, 10, 14) R1132 Internal Setting Appearance Congruity With Culturally Valued Analogue (– 22, – 15, 0, 15, 22) <b>114 SETTING AGE IMAGE SUBSCORE (– 26 to + 26)</b> R1141 External Setting Age Image (– 10, – 7, 0, 7, 10) R1142 Internal Setting Age Image (– 16, – 11, 0, 11, 16) <b>115 MISCELLANEOUS IMAGE ASPECTS OF THE PHYSICAL SETTING SUBSCORE (– 37 to + 37)</b> R1151 Image Projection of Setting – Physical Proximity (– 16, – 11, 0, 11, 16) R1152 Image Projection of Setting – History (– 7, – 5, 0, 5, 7) R1153 Image Projection of Setting – Other Internal Physical Features (– 14, – 10, 0, 10, 14)	<b>21 COMPETENCY-RELATED PHYSICAL SETTING OF SERVICE SUBSCORE (– 158 to + 158)</b> <b>211 SETTING ACCESSIBILITY SUBSCORE (– 58 to + 58)</b> R2111 Setting Accessibility – Clients & Families (– 36, – 25, 0, 25, 36) R2112 Setting Accessibility – Public (– 22, – 15, 0, 15, 22) R212 Availability of Relevant Community Resources (– 22, – 15, 0, 15, 22) R213 Physical Comfort of Setting (– 38, – 27, 0, 27, 38) R214 Challenge/Safety Features of Setting (– 22, – 15, 0, 15, 22) R215 Individualizing Features of Setting (– 18, – 13, 0, 13, 18)		
	<b>12 IMAGE-RELATED SERVICE-STRUCTURED GROUPINGS &amp; RELATIONSHIPS AMONG PEOPLE SUBSCORE (– 146 to + 146)</b> R121 Image Projection of Program-to-Program Juxtaposition (– 12, – 8, 0, 8, 12) R122 Service-Neighborhood Assimilation Potential (– 22, – 15, 0, 15, 22) <b>123 IMAGE PROJECTION OF INTRA-SERVICE CLIENT GROUPING – COMPOSITION SUBSCORE (– 47 to + 47)</b> R1231 Image Projection of Intra-Service Client Grouping – Social Value (– 29, – 20, 0, 20, 29) R1232 Image Projection of Intra-Service Client Grouping – Age Image (– 18, – 13, 0, 13, 18) R124 Image-Related Other Integrative Client Contacts & Personal Relationships (– 29, – 20, 0, 20, 29) <b>125 SERVICE WORKER IMAGE ISSUES SUBSCORE (– 36 to + 36)</b> R1251 Service Worker-Client Image Transfer (– 18, – 13, 0, 13, 18) R1252 Service Worker-Client Image Match (– 18, – 13, 0, 13, 18)	<b>22 COMPETENCY-RELATED SERVICE-STRUCTURED GROUPINGS &amp; RELATIONSHIPS AMONG PEOPLE SUBSCORE (– 223 to + 223)</b> <b>221 COMPETENCY-RELATED INTRA-SERVICE CLIENT GROUPING SUBSCORE (– 89 to + 89)</b> R2211 Competency-Related Intra-Service Client Grouping – Size (– 46, – 32, 0, 32, 46) R2212 Competency-Related Intra-Service Client Grouping – Composition (– 43, – 30, 0, 30, 43) R222 Competency-Related Other Integrative Client Contacts & Personal Relationships (– 42, – 29, 0, 29, 42) R223 Life-Enriching Interactions Among Clients, Service Personnel, & Others (– 42, – 29, 0, 29, 42) R224 Program Support for Client Individualization (– 32, – 22, 0, 22, 32) R225 Promotion of Client Socio-Sexual Identity (– 18, – 13, 0, 13, 18)		
	<b>13 IMAGE-RELATED SERVICE-STRUCTURED ACTIVITIES &amp; OTHER USES OF TIME SUBSCORE (– 81 to + 81)</b> R131 Culture-Appropriate Separation of Program Functions (– 29, – 20, 0, 20, 29) R132 Image Projection of Program Activities & Activity Timing (– 32, – 22, 0, 22, 32) R133 Promotion of Client Autonomy & Rights (– 20, – 14, 0, 14, 20)	<b>23 COMPETENCY-RELATED SERVICE-STRUCTURED ACTIVITIES &amp; OTHER USES OF TIME SUBSCORE (– 107 to + 107)</b> R231 Program Address of Clients' Service Needs (– 50, – 35, 0, 35, 50) R232 Intensity of Activities & Efficiency of Time Use (– 39, – 27, 0, 27, 39) R233 Competency-Related Personal Possessions (– 18, – 13, 0, 13, 18)		
	<b>14 IMAGE-RELATED MISCELLANEOUS OTHER SERVICE LANGUAGE, SYMBOLS, &amp; IMAGES SUBSCORE (– 114 to + 114)</b> R141 Program Address of Client Personal Impression Impact (– 32, – 22, 0, 22, 32) R142 Image-Related Personal Possessions (– 25, – 17, 0, 17, 25) <b>143 IMAGE PROJECTION OF LANGUAGE &amp; LABELING PRACTICES SUBSCORE (– 41 to + 41)</b> R1431 Image Projection of Personal Labeling Practices (– 25, – 17, 0, 17, 25) R1432 Agency, Program, Setting, & Location Names (– 16, – 11, 0, 11, 16) R144 Image Projection of Service Funding (– 7, – 5, 0, 5, 7) R145 Image Projection of Miscellaneous Aspects of a Service (– 9, – 6, 0, 6, 9)	NOT APPLICABLE - NO RATINGS  COPYRIGHT 1983 BY THE CANADIAN NATIONAL INSTITUTE ON MENTAL RETARDATION. NOT TO BE REPRODUCED IN PART OR IN WHOLE WITHOUT PERMISSION.		

## APPENDIX K: PASSING SUBSCORES COMPUTATION AND REPORTING FORM

Below are listed the 42 ratings of PASSING, divided up into five programmatic subscore areas: Program *Relevance*; Program *Intensity*; Program *Integrativeness*; Program *Image Projection*; and Program *Felicity*. Listed next to each rating name are the scores for the 5 levels of that rating (thus also revealing the range of attainable scores for that rating), a space in which to enter the score achieved by the assessed service on the rating, and a space for optional entry of the level corresponding to that score. At the end of the listing of ratings that make up a subscore is the achievable score range for the subscore as a whole, and a box in which to enter the total actually achieved by the service on that subscore. To derive a subscore total, the scores attained on each of the ratings that make up the subscore are summed up and entered into the respective box.

This form can be used by team leaders (TLs) and team members (TMs) in computing the subscores for each service they assess. Usually, these subscores will be entered onto the Overall Service Performance form (reverse of the PASSING Scoresheet), in the section entitled "6B, Programmatic Subscore Areas." That form is customarily submitted to the assessed service, but this completed Subscores Computation and Reporting Form can be submitted in addition to it, or in lieu of it if there is some reason why it is not desirable or feasible to use the Overall Service Performance form.

		LEVEL ACHIEVED (OPTIONAL)	SCORE ATTAINED
<b>PROGRAM RELEVANCE</b>			
R231	Program Address of Clients' Service Needs ( - 50, - 35, 0, 35, 50) .....	_____	_____
Subscore Total (Range: - 50/ + 50)			
<b>PROGRAM INTENSITY</b>			
R133	Promotion of Client Autonomy & Rights ( - 20, - 14, 0, 14, 20) .....	_____	_____
R214	Challenge/Safety Features of Setting ( - 22, - 15, 0, 15, 22) .....	_____	_____
R2211	Competency-Related Intra-Service Client Grouping—Size ( - 46, - 32, 0, 32, 46) ...	_____	_____
R2212	Competency-Related Intra-Service Client Grouping—Composition ( - 43, - 30, 0, 30, 43) .....	_____	_____
R232	Intensity of Activities & Efficiency of Time Use ( - 39, - 27, 0, 27, 39) .....	_____	_____
R233	Competency-Related Personal Possessions ( - 18, - 13, 0, 13, 18) .....	_____	_____
Subscore Total (Range: - 188/ + 188)			
<b>PROGRAM INTEGRATIVENESS</b>			
R1111	Setting-Neighborhood Harmony ( - 16, - 11, 0, 11, 16) .....	_____	_____
R1112	Program-Neighborhood Harmony ( - 18, - 13, 0, 13, 18) .....	_____	_____
R1131	External Setting Appearance Congruity With Culturally Valued Analogue ( - 14, - 10, 0, 10, 14) .....	_____	_____
R122	Service-Neighborhood Assimilation Potential ( - 22, - 15, 0, 15, 22) .....	_____	_____
R124	Image-Related Other Integrative Client Contacts & Personal Relationships ( - 29, - 20, 0, 20, 29) .....	_____	_____
R141	Program Address of Client Personal Impression Impact ( - 32, - 22, 0, 22, 32) ....	_____	_____
R2112	Setting Accessibility—Public ( - 22, - 15, 0, 15, 22) .....	_____	_____
R212	Availability of Relevant Community Resources ( - 22, - 15, 0, 15, 22) .....	_____	_____
R222	Competency-Related Other Integrative Client Contacts & Personal Relationships ( - 42, - 29, 0, 29, 42) .....	_____	_____
Subscore Total (Range: - 217/ + 217)			

### PROGRAM IMAGE PROJECTION

R1121	External Setting Aesthetics ( - 16, - 11, 0, 11, 16) .....	_____	_____
R1132	Internal Setting Appearance Congruity With Culturally Valued Analogue ( - 22, - 15, 0, 15, 22) .....	_____	_____
R1141	External Setting Age Image ( - 10, - 7, 0, 7, 10) .....	_____	_____
R1142	Internal Setting Age Image ( - 16, - 11, 0, 11, 16) .....	_____	_____
R1151	Image Projection of Setting—Physical Proximity ( - 16, - 11, 0, 11, 16) .....	_____	_____
R1152	Image Projection of Setting—History ( - 7, - 5, 0, 5, 7) .....	_____	_____
R1153	Image Projection of Setting—Other Internal Physical Features ( - 14, - 10, 0, 10, 14) .....	_____	_____
R121	Image Projection of Program-to-Program Juxtaposition ( - 12, - 8, 0, 8, 12) .....	_____	_____
R1231	Image Projection of Intra-Service Client Grouping—Social Value ( - 29, - 20, 0, 20, 29) .....	_____	_____
R1232	Image Projection of Intra-Service Client Grouping—Age Image ( - 18, - 13, 0, 13, 18) .....	_____	_____
R1251	Service Worker-Client Image Transfer ( - 18, - 13, 0, 13, 18) .....	_____	_____
R1252	Service Worker-Client Image Match ( - 18, - 13, 0, 13, 18) .....	_____	_____
R131	Culture-Appropriate Separation of Program Functions ( - 29, - 20, 0, 20, 29) .....	_____	_____
R132	Image Projection of Program Activities & Activity Timing ( - 32, - 22, 0, 22, 32) ...	_____	_____
R142	Image-Related Personal Possessions ( - 25, - 17, 0, 17, 25) .....	_____	_____
R1431	Image Projection of Personal Labeling Practices ( - 25, - 17, 0, 17, 25) .....	_____	_____
R1432	Agency, Program, Setting, & Location Names ( - 16, - 11, 0, 11, 16) .....	_____	_____
R144	Image Projection of Service Funding ( - 7, - 5, 0, 5, 7) .....	_____	_____
R154	Image Projection of Miscellaneous Aspects of a Service ( - 9, - 6, 0, 6, 9) .....	_____	_____

Subscore Total (Range: - 339/ + 339)

### PROGRAM FELICITY

R1122	Internal Setting Aesthetics ( - 22, - 15, 0, 15, 22) .....	_____	_____
R2111	Setting Accessibility—Clients & Families ( - 36, - 25, 0, 25, 36) .....	_____	_____
R213	Physical Comfort of Setting ( - 38, - 27, 0, 27, 38) .....	_____	_____
R215	Individualizing Features of Setting ( - 18, - 13, 0, 13, 18) .....	_____	_____
R223	Life-Enriching Interactions Among Clients, Service Personnel, & Others ( - 42, - 29, 0, 29, 42) .....	_____	_____
R224	Program Support for Client Individualization ( - 32, - 22, 0, 22, 32) .....	_____	_____
R225	Promotion of Client Socio-Sexual Identity ( - 18, - 13, 0, 13, 18) .....	_____	_____

Subscore Total (Range: - 206/ + 206)

**APPENDIX L:  
RESEARCH DATA FORM  
FOR  
PROGRAM ANALYSIS OF SERVICE SYSTEMS (PASS)  
AND  
PROGRAM ANALYSIS OF SERVICE SYSTEMS' IMPLEMENTATION OF  
NORMALIZATION GOALS (PASSING)**

This form was developed to collect information on PASS/PASSING assessments needed to conduct research on the application of PASS and PASSING. As much as is feasible, team leaders (TLs) of PASS or PASSING assessments should either fill out one of these forms at the end of every conciliation or assessment, and/or ask the contact person at the assessed service to fill out the form before the end of the assessment. Where a TL fills out the form him/herself, it is helpful to read the form before the visit to and inquiry with a service, so that s/he will know what information this form requires and will be able to obtain that information from service contacts.

We realize it will not always be possible to provide all the information that this form requests. However, even a partially completed form can be useful for some research purposes, so inability to completely fill out the form should not deter a TL from sending it in.

TLs should send this completed form, *along with an accurate and completed copy of the final PASS or PASSING Scoresheet*, and along with the *Checklists of every member of the assessment team*, to:

PASS/PASSING Project Coordinator  
Training Institute for Human Service Planning, Leadership and Change Agency  
805 South Crouse Avenue  
Syracuse, New York 13210, USA

The Training Institute keeps these data on file for people who want to conduct research on PASS or PASSING.

1. Type of Assessment (check one): ☐ PASS ☐ PASSING  
☐ Combination of PASS and PASSING  
 If combination, what parts of PASS and PASSING were used? \_\_\_\_\_  
 \_\_\_\_\_
2. Name of Assessment Team Leader \_\_\_\_\_
3. Name of Service Assessed \_\_\_\_\_
4. Name of Operating Agency \_\_\_\_\_
5. Town/City \_\_\_\_\_ 6. State/Province \_\_\_\_\_
7. Country \_\_\_\_\_ 8. Telephone \_\_\_\_\_
9. Nature of Locale (check one): ☐ Metropolitan Area ☐ Suburban ☐ Rural  
☐ Other (specify) \_\_\_\_\_
10. Date of Assessment \_\_\_\_\_ month \_\_\_\_\_ day, 19 \_\_\_\_\_ year
11. Assessment Context (check one):  
☐ Practicum at Introductory Workshop (dates: \_\_\_\_\_ )  
☐ Practicum at Advanced Workshop (dates: \_\_\_\_\_ )  
☐ Non-Training Practicum Assessment  
☐ Full-fledged "Official" Assessment  
☐ Invited by Agency/Service  
☐ Mandated by External Source (specify) \_\_\_\_\_  
 \_\_\_\_\_
12. Description of Assessed Service:  
 a. Type of Service: ☐ Residential Institution ☐ Individual Living  
☐ Group Residence ☐ Early Childhood Day Educational  
☐ Work/Vocational ☐ School (Day) Educational  
☐ Other (specify) \_\_\_\_\_

12. Description of Assessed Service:

- a. Type of Service: ☐ Residential Institution ☐ Individual Living  
☐ Group Residence ☐ Early Childhood Day Educational  
☐ Work/Vocational ☐ School (Day) Educational  
☐ Other (specify) \_\_\_\_\_
- b. Hours of Operation (check one): ☐ Day, 4 hours or less/day ☐ Day, 5-8 hours/day  
☐ Day, 9 or more hours/day ☐ Night, \_\_\_\_\_ hours  
☐ 24 hours, 5 days/week ☐ 24 hours, 7 days/week  
☐ Other (specify) \_\_\_\_\_
- c. Yearly Operation (check one): ☐ 3 months or less/year ☐ 4-8 months/year  
☐ 9-11 months/year ☐ 12 months/year
- d. Agency Auspices (check one): ☐ Public ☐ Quasi-Public ☐ Private, profit  
☐ Private, non-profit voluntary association (membership)-based  
☐ Private, non-profit, non-membership
- e. Sources of Revenue (check all that apply): ☐ Federal ☐ State/Provincial  
☐ County/Township/Local ☐ Client Funds  
☐ Family ☐ Donations ☐ Other
- f. Year Assessed Service Was Begun \_\_\_\_\_
- g. Year Operating Agency Was Begun \_\_\_\_\_
- h. Service Accreditation (write in name of accrediting body, if any)  
\_\_\_\_\_

13. Description of Clientele:

Total Number Served by Provider Agency \_\_\_\_\_

Number Served by Service(s) Assessed (if necessary, average at time of assessment) \_\_\_\_\_

Age Range in Provider Agency \_\_\_\_\_

Age Range in Service(s) Assessed \_\_\_\_\_; Majority Between \_\_\_\_\_ & \_\_\_\_\_ Years

Number or Percent (specify) of Males in Service(s) Assessed \_\_\_\_\_

Number or Percent (specify) of Females in Service(s) Assessed \_\_\_\_\_

Types of Clients (e.g., Devalued/Handicapping Condition(s)) \_\_\_\_\_

\_\_\_\_\_

If Handicapping Conditions are Involved, Degree(s) of Severity: \_\_\_\_\_

\_\_\_\_\_

14. Description of Staff:

Total Number in Provider Agency: \_\_\_\_\_ Full-time \_\_\_\_\_ Part-time

Total Number in Service(s) Assessed: \_\_\_\_\_ Full-time \_\_\_\_\_ Part-time

Average Employment Time, or Percent Annual Staff Turnover \_\_\_\_\_

Positions, and Number in Each \_\_\_\_\_

\_\_\_\_\_

Number Under 25 Years of Age \_\_\_\_\_ Number Over 55 Years of Age \_\_\_\_\_

Majority Between \_\_\_\_\_ & \_\_\_\_\_ Years of Age

Number of Males \_\_\_\_\_ Number of Females \_\_\_\_\_

Number With Baccalaureate (i.e., 4-year College) or Higher Degrees \_\_\_\_\_

148 Number of Volunteers in Service(s) Assessed \_\_\_\_\_

**APPENDIX M:  
SAMPLE CONFIDENTIALITY PLEDGE FORM  
FOR PASS/PASSING ASSESSMENT**

TO: All Assessment Team Members

From: \_\_\_\_\_, Assessment/Workshop Coordinator

SUBJECT: Confidentiality

In connection with the upcoming PASS/PASSING assessment you will be participating in, on \_\_\_\_\_, you will be exposed to a great deal of written and verbal information, much of which may be of a confidential or sensitive nature. Because of this fact, you are asked to strictly adhere to the following:

1. All information obtained with regard to clients, staff, management, board of directors, overall program and general administration of the agency(ies) visited, will be treated in *total* confidence.
2. This information will not be discussed with *anyone*, except the other members of *your* assessment team, *your* team leader, external team consultant/floater (if any), and other designated workshop staff.
3. No verbal or written references to the agency(ies) visited will take place unless all identifying names, addresses, etc. are omitted.
4. Any notes or summaries on the agency(ies) visited which you have kept should *not* be distributed to other individuals except the people in #2 above, and only for the purpose of preparing the assessment report.

Please (re)read the above carefully. If you have any questions, please call or write the Assessment/Workshop Coordinator *before* the actual assessment. Sign below indicating your agreement to these policies, and return this form to the Assessment/Workshop Coordinator immediately.

Thank you for your cooperation and attention to this most important aspect of professionalism.

\_\_\_\_\_  
Signature of PASS/PASSING Team Member

\_\_\_\_\_  
Date



**APPENDIX N:**  
**Findings and Comments for Specific PASSING Ratings**

Rating Name: R

A. Positive Normalization Elements Related to the Rating in the Service(s) Assessed:

B. Shortcomings or Violations of Normalization Related to the Rating in the Service(s) Assessed:

C. Rating Level Earned on This Rating (check one):

1. Totally Inadequate; Disastrous	2. Below Acceptable; Poor	3. Acceptable; Fair	4. Very Good, But Further Improvements Conceivable	5. Excellent; Further Improvements Are Difficult to Conceptualize
-----------------------------------	---------------------------	---------------------	--	---

D. Recommendations/Suggestions/Comments in Regard to the Specific Rating Issue:



## APPENDIX O:

### PASS/PASSING Individual Rating Evidence Organization Sheet

#### Instructions to Raters

This form was designed to enable a rater to record, or at least organize, his/her evidence for each rating, according to the source of the evidence (interview, documentation, or observation) and its likely relationship with service quality (positive, negative, or neutral). This would mean that a rater might use one of these forms for each rating, so that after reviewing the evidence in light of the criteria for a rating at issue, a rater would then mark his/her own individual level assignment at the bottom of the page. During subsequent team conciliation, a rater will thus have all his/her evidence for a rating under consideration at hand, and can enter the final team-conciliated level for each rating below his/her own level assignment in the boxes provided.

If a rater runs out of space on the reverse sheet, the rest of this side of the sheet can be used for overflow.

If a rater uses one of these forms for each rating, s/he may not need to use the Checklist, since s/he records both the individual level assignments and the team's conciliated level assignment here. However, raters are sometimes specifically instructed to complete a Checklist so that reliability research may be conducted. If a rater is requested to fill out a Checklist for research purposes, then s/he may choose either not to use these forms, or to use them and subsequently transfer both his/her individual and team level assignments from these forms on to a copy of the Checklist, and then turn in the completed Checklist to the team leader or other relevant person.

Each rater should mark his/her *individual* level assignments *in pencil* by placing a circle (0) in the box that corresponds to the level that, in his/her opinion, best characterizes the service's performance on each rating. Individual level assignments should be marked in pencil so that if a rater changes his/her mind about a level *prior to team conciliation*, it can easily be changed on the form. Raters are *not* to make any changes in their individual level assignments once conciliation begins.

Raters should mark the *final conciliated* team level assignments *in pen* by placing an X in the box that corresponds to the level that the team agrees upon for each rating. If the final conciliated level assignment is the same as a rater's individual level assignment, then there would be an X in the box of the same number below the box with the rater's individual circle.

N.B.--Because PASSING ratings only have five levels, Level 6 would only be used for PASS assessments.

Use Space Below For Overflow From Reverse Side

---

# **PASS/PASSING Individual Rating Evidence Organization Sheet**

Rating Name &/or Number: \_\_\_\_\_

Assessment: \_\_\_\_\_

EVIDENCE SOURCE	INTERVIEW & OTHER VERBAL REPORTS	PERSONAL & DIRECT OBSERVATION	DOCUMENTATION	Apparently Primarily POSITIVE Evidence	Apparently Primarily NEGATIVE Evidence	Uncategorized or NEUTRAL Evidence

RATER'S TENTATIVE INDIVIDUAL LEVEL ASSIGNMENT:

1	2	3	4	5	6
1	2	3	4	5	(PASS) 6

CONCILIATED TEAM LEVEL ASSIGNMENT:

**APPENDIX P:**  
**PASS/PASSING TEAM MEMBER ASSESSMENT SHEET**

Names of User: \_\_\_\_\_ Assessment Dates: \_\_\_\_\_

User's Assessment Team Role (TL or ETC/FL): \_\_\_\_\_

It is recommended that every team leader (TL) fill out this form at the end of each workshop or assessment, rating each member of his/her assessment team according to the criteria listed below. The forms should then be submitted to PASS/PASSING training bodies, who can use this information in the selection of personnel for future assessments and training events. External team consultants/floaters (ETC/FLs) might also fill out this form on the TLs over whom they floated during the assessment or workshop, or, if the TL fails to complete this form on all team members, the ETC/FL could do so. Append additional sheets if space provided here is insufficient.

1 . Please rate all the members of your team as to their apparent competency in the following PASS/PASSING areas by writing their names on the lines behind the scales which apply, with 5 being highest and 1 lowest.

a. Knowledge of normalization

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

b. Commitment to normalization

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

c. Ability to differentiate ratings from each other

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

d. Ability to identify issues

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

e. Objectivity

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

f. Competency as an evaluator

Level 5 \_\_\_\_\_

Level 4 \_\_\_\_\_

Level 3 \_\_\_\_\_

Level 2 \_\_\_\_\_

Level 1 \_\_\_\_\_

2 . Indicate which members of your team, if any, are now apparently ready for the following roles in future training or evaluation events:

a. introductory workshop team leader \_\_\_\_\_

b. advanced workshop team leader \_\_\_\_\_

c. introductory workshop floater \_\_\_\_\_

d. senior trainer at a workshop \_\_\_\_\_

e. introductory workshop junior trainer \_\_\_\_\_

f. report writer \_\_\_\_\_

g. rater on a bona fide official evaluation \_\_\_\_\_

3 . Which team members (if any) were impaired in their performance by fatigue, e.g., which missed any parts of the events?

4 . If there are any crucially relevant "personality issues" (tact, exceptional intelligence, aggressiveness, etc.) about any team member, please indicate here.

5 . Add any other relevant observations here from which future workshop or assessment personnel might benefit.

## **ADDENDUM ADDED IN PROOF**

While this volume was in proof, another form was added for the convenience of both PASS and PASSING users. This form is intended to serve as a standard and objectified cover sheet to any written feedback provided to a service that has been assessed with PASS, PASSING or portions or combinations thereof. This cover sheet can be used where the report consists of a detailed narrative, or where it consists only of a summary such as would be contained on the PASSING Overall Service Performance form, or its equivalent PASS form currently under preparation. Inquire of the publisher about purchase of this form.



**RESULTS OF THE QUANTITATIVE ASSESSMENT  
OF THE QUALITY OF A HUMAN SERVICE PROGRAM**

Name of Assessed Service(s):

Name of Operating Agency, if different from the above:

Address:

City:

State/Province:

ZIP/Postal Code:

Date(s) of Assessment: \_\_\_\_\_ to \_\_\_\_\_  
Day Month Year Day Month Year

Method of Assessment: \_\_\_\_\_ PASS \_\_\_\_\_ PASSING \_\_\_\_\_ Combination (Specify)

Assessment Context\*: \_\_\_\_\_ Practicum Training Assessment, Conducted as Part of a PASS/PASSING  
Training Workshop held in \_\_\_\_\_ on \_\_\_\_\_  
dates  
\_\_\_\_\_ Practice Training Assessment, not Conducted as Part of a PASS/PASSING  
Training Workshop  
\_\_\_\_\_ Self-Assessment by Assessed Service/Agency  
\_\_\_\_\_ Official PASS/PASSING Assessment:  
\_\_\_\_\_ Invited by Assessed Service/Agency  
\_\_\_\_\_ Externally Mandated

This Report is Submitted (check as many as apply):

- \_\_\_\_\_ Following a verbal presentation of the assessment results to service/agency personnel
- \_\_\_\_\_ Without any verbal presentation (at least to date) of the assessment results
- \_\_\_\_\_ As a lengthy detailed report of the assessment findings
- \_\_\_\_\_ As a brief summary report of the assessment findings
- \_\_\_\_\_ Using a set of individual rating feedback forms

Persons Responsible for the Report (please give full names, degrees, titles, & addresses):

- \_\_\_\_\_ Report Writer:
- \_\_\_\_\_ Report Editor:
- \_\_\_\_\_ Report Reviewed/Approved by:

Degree of Confidentiality That Evaluation Team Members & Assessment Sponsors Must Adhere To  
(to be filled in by authorized recipient of this report):

- \_\_\_\_\_ Not to be Released Under Any Circumstances
- \_\_\_\_\_ May be Released ONLY for Restricted Teaching & Illustration Purposes
- \_\_\_\_\_ May be Released ONLY if Identifying Names, Dates, Places, & Other Such Data  
Are Deleted or Disguised
- \_\_\_\_\_ May be Released as is to Any Interested Parties
- \_\_\_\_\_ Other (Specify) \_\_\_\_\_

PLEASE TURN OVER ►

\*Reports resulting from any type of assessment other than an official one are typically of lower quality, due to the severe time constraints imposed by most training events, and to the relative inexperience and/or learner role of the person(s) on such practicum teams who record the information for feedback. Services assessed under such conditions are asked to be understanding of this constraint.

**Participants in the Assessment**

<b>Name</b>	<b>Highest Degree</b>	<b>Team Role</b>	<b>Position/Title</b>	<b>Organization &amp; Address</b>	<b>Phone</b>
		Team Leader			
		Team Report Writer/Editor			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Team Member			
		Participant Observer			
		Participant Observer			
		Participant Observer			
		Consultant ("Floater") if any			

## ADDENDUM

### Guidelines for Evaluators During a PASS, PASSING or Similar Assessment

- p. 34 - under section headed in italics "For Both PASS and PASSING": entry "c" should say "Cover Sheet for a PASS or PASSING Assessment Report," instead of "Research Data Form for PASS or PASSING (Appendix L)".
- p. 51 - column 1: the top of the second bracket is missing, and should be drawn in to include R2212 Competency-Related Intra-Service Client Grouping--Composition.
  - column 3: there should be no asterisk next to R225 Promotion of Client Socio-Sexual Identity.
- p. 71 - add as number 12 at end of section entitled "Additional Rating Guidelines Relevant Only to PASSING":

12. In a number of the image-related ratings (usually in the Suggested Guidelines for Collecting and Using Evidence chart, and in Level 1), an admonition occurs that raters should take into account the degree to which clients are at risk of devaluation in judging the impact of any negative imagery. This instruction is not intended to imply that programs that serve severely devalued clients should always rate low whenever any negative images are present. For instance, prisoners are very devalued, and are probably very much at risk of being seen as "animals" and menaces, but they are much less likely to be perceived as eternal children or holy innocents. Thus, in a detentive or prison setting, art works depicting acts of violence or vicious animals are apt to project very negative images upon the prisoners, whereas depictions of child-like themes--which would constitute negative imagery in many settings for adults--would contribute very little to image loss for the prisoners, and pictures of cherubs and angels are not apt to detract at all, though their incongruity might elicit mirth and would therefore probably not warrant a Level 4 or 5. Thus, a service for severely devalued people may have to exert greater effort to attain high levels on at least some image ratings, because the likelihood is higher that more, and more serious, negative images will be attached to a severely devalued client group than to less devalued people.
- p. 84 - fourth paragraph, line 11: the word "capable" is misspelled.
- p. 89 - in the summary overhead example, the Mean of Adult Services should be - 289.
- p. 135 - this form should be labeled "Appendix G:"
- p. 136 - there are two sets of level boxes for R222 Competency-Related Other Integrative Client Contacts & Personal Relationships; one set should be struck out.
- p. 143 - this form should be labeled "Appendix J:".
- p. 146 - the number of the last rating in the Program Image Projection subscore category should be R145 not R154.
- p. 147 - the entirety of item 12 at the bottom of the page should be eliminated, because it appears at the top of the next page.

