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A PLAN FOR POST-GRANT EVALUATION

Volume II
Project History, Findings, and Recommendations

January 1972

Prepared for

Division of
Justice and Crime Prevention
Commonwealth of Virginia

FOREWORD

This document contains an in-depth description of the conduct of a project for a post-grant evaluation program designed for the Division of Justice and Crime Prevention of the Commonwealth of Virginia.

Full project documentation includes Volume I, Executive Summary, and Volume III, Procedures Manual. The latter contains explicit instructions for grant evaluation and includes the structured interview and reporting forms developed for continuing use.

The Systems Science Development Corporation project team members wish to express their appreciation to Mr. Richard N. Harris, Mr. Carl N. Cimino, Miss Carolyn M. Liberti, Mr. Ronald L. Bell, Mr. Joseph N. Tucker, and other DJCP staff members for their cooperation, assistance, and advice, and to the representatives of the regional Planning District Commissions and of sub-grant recipient agencies who contributed time and assistance.

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Chapter I

INTRODUCTION AND SUMMARY

A. **Purpose**

This document is the second of a three-volume report prepared to describe the post-grant evaluation project performed for the Commonwealth of Virginia's Division of Justice and Crime Prevention (DJCP) by Systems Science Development Corporation (SSDC). The first five chapters of this volume provide reference information on the historical development of the post-grant evaluation plan that was designed, tested, and implemented during this project. This presentation is, in effect, a summary of the project's history from the first week of contract work through the final day of field evaluation some 6 months later. The remaining chapters describe and present significant project findings that have resulted from a comprehensive analysis of individual grants, grant activities, and program categories. Project recommendations, emphasizing continuing grant evaluation, are discussed at appropriate points throughout all chapters of this volume.

B. **Project Summary**

This project encompassed three major areas of responsibility:

- The development of evaluative instruments

- The evaluation of a set of projects

- The development of a systematic, efficient, and continuing evaluation program

The grant evaluation techniques and procedures discussed herein are key elements in the successful accomplishment of these responsibilities.

The post-grant interview technique is an appropriate method, both practically and economically, for the evaluation of completed action grant projects. Through its use, interviewers were able to establish satisfactory rapport with recipient agency representatives in every case except one. In all cases the essential evaluative information was collected. The evaluation process developed and implemented during this project is flexible, enabling the interviewers to capture unexpected results, while concurrently capturing parallel information on similar projects. This method was found to be less expensive than a more formal and detailed method of evaluation and, in most cases, equally as successful.

The grant evaluations conducted during this project indicate that, overall, the Division's grant programs have been very successful. Both State and agency goals are being achieved through grant funding support. Furthermore, it is apparently the exceptional grant that lacks unusual elements of success. Several projects experienced difficulties and problems that affected the level of success achieved. These problems generally arose from unanticipated factors that were outside the control of the recipient agency and the Division.

The post-grant interview technique can serve as the major vehicle for continuing evaluation. As a supplement to this technique and to increase the effectiveness of the evaluation system, the Division should consider telephone interviews, correspondence questionnaires, and formal studies. Post-grant evaluation should be planned as a continuing effort in any case.

There are several reasons why the "structured evaluation interview technique" is considered the best approach for most grant activities. When used by a trained interviewer, this technique is more flexible, and therefore more successful, than the written questionnaire, whether the latter is mailed or read to a grantee. Used as an interviewer's guide, the structured interview technique identified problems and successes that a rigidly followed questionnaire would miss. This technique is certainly

less expensive than the in-depth technical study, a process that few recipient agencies can effectively implement as part of the grant project itself. However, it does identify quickly those selected grants, activities, or program areas that may require additional analysis and study. Finally, we have demonstrated that this procedure works, and that most useful data needed for effective evaluation can be collected.

The evaluation instruments developed during this project are to be used as interviewer guides. The guides are structured as a series of questions covering the important evaluative areas. Initially, the guides were envisioned as a series of specific questions to be read to the recipient agency's representatives. This concept changed as more experience was gained during the effort described in this document.

The guides still contain many questions that, for ease of comprehension, are presented in questionnaire form. Throughout this report, evaluative instruments are referred to both as guides and as questionnaires. This latter reference reflects only the structure of the instrument as a series of questions. It is not intended that the evaluation instruments be used literally as written, formatted questionnaires.

The terms "action grant," "grant," and "sub-grant" also are used interchangeably throughout this report.

Chapter II
PROJECT ORIENTATION

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A.   Background

The Omnibus Crime Control and Safe Streets Act of 1968 established
the first block-grant program to be undertaken by the Federal Government.
The Act granted funds to each State and Federal territory on a per capita
population basis to develop and implement programs to upgrade the crim-
inal justice system. The first grants were to be used to develop and
staff a State Planning Agency (SPA) and to begin work on a 5-year plan
for the upgrading of law enforcement and criminal justice systems of
the States and territories. The second grants, the "action grants,"
were to be disbursed by the SPA's to State and local agencies on a match-
ing basis for implementation of the plans. The unique feature of the
Safe Streets program was the degree of State responsibility involved.
The Federal Government established guidelines for the States delineating
the limits or boundaries of the criminal justice system for funding
purposes and establishing other requirements in regard to the ways in
which funds could not be used. (For example, in the first year no more
than 20 percent of the funds could be used for corrections.)

The Safe Streets Act required each State to develop a comprehensive
plan to select, for funding, programs in conformity with the plan. While
review powers were exercised over the planning process by the Federal
Government through the Law Enforcement Assistance Administration (LEAA)
of the Department of Justice, the States were given considerable latitude
in determining which specific action projects should receive funds.

The States faced enormous difficulties in filling the roles of planners and decisionmakers in upgrading criminal justice. Little information was available as a base for good planning, and often that was unobtainable in the necessary timeframes. There were too few professionals with backgrounds in criminal justice planning to staff all of the State planning agencies. Many State and most local agencies had not had sufficient experience in planning or in developing reasonable and useful requests for funds. Police, sheriffs, courts, and correction agencies were unaccustomed to working together to develop plans after years of competition over State and local funds. It was against this background, and indeed largely because of it, that the Safe Streets Act required the development of detailed planning prior to funding.

With large sums of money being distributed in an area that, however needy, was in many ways unprepared for the increased funding, it was necessary to develop a decisionmaking process that would ensure, to the extent possible, that funds were being used in the best manner. For this reason, the Safe Streets Act required a comprehensive plan.

1. Comprehensive Planning and Program Developments

The comprehensive plan required by LEAA is a document indicating the goals of the criminal justice system, its needs, resources available, and the manner in which the planning agency will go about committing funds to overcome these needs. The plan should cover the criminal justice system and those areas directly affecting it or affected by it and should outline a 5-year schedule of funding.

One difficulty faced by all planning agencies, though not always made explicit, is that the planners must develop two sets of plans, one set for their own agency--indicating its goals, the resources it will need, and how it will be staffed--and another "comprehensive plan " for the various criminal justice agencies that treat the same problems but. on a different scale. The two plans interact most strongly in regard to the selection of criminal justice projects to be funded and the means of

evaluating funded projects. The succeeding discussion will focus first on the development of a comprehensive plan for law enforcement and criminal justice, and then on the problems of funding and evaluation in relation to the plan.

The first step in the development of a comprehensive plan should be to establish system goals. Ideally, such goals are enumerated in measurable terms, e.g., the reduction in the per capita cost of crime control. After establishing a series of measurable goals, it is necessary to consider how those goals may be reached. The second stage typically is devoted to the gathering of data on the current system to determine what is being done and how it is being accomplished. The third stage, an analysis of the information, should indicate areas in which improvements can be made.

Once such areas have been defined, concrete means for improvement can be identified. Statements of means are often made in the form of needs, such as "there is a need to increase the exchange of information within and between criminal justice agencies." At this level, projects can be developed to meet specific needs. Projects meeting the above need might include the development of an integrated radio communications net for all police forces within the State or the development of an integrated criminal justice information system with data storage analysis and retrieval capability. Each program may have several or even many possible projects aligned with it, each of which would focus on some particular, measurable aspects of the total program. Using the above instance, measures of a police radio communications project could be the increase in the number of licit messages, either administrative or functional in nature, that were exchanged between agencies; the decrease in average or total time required to establish contact and transmit messages; and the increase in the number of arrests or other police actions taken as a result of network development. All measures should be balanced against both the total cost for developing the network and an approximate average cost per transmission.

Evaluation of an information system probably would be based on the increase in the number of units of information generated by one agency and used by another, the increase in the number of reports (actually used) generated as a result of the system development, and the cost savings of any efficiencies--at least on a pro rata basis--that could be ascribed to the report generation. These results should be weighed against additional costs that could be directly attributable to the development of such a system.

After establishing goals, gathering information on available resources, indicating needs and developing projects that could or should be funded to meet those needs, and having developed measures against which the success or failure of the various funded projects can be judged, the SPA must develop priorities for funding various projects.

2. The Development of Funding Priorities

There are two basic measures of priority. The first is monetary--which projects are to be funded and at what cost. The second is temporal--how soon will a project be funded. In part these measures relate to need, but a realistic approach must be taken in establishing the timing. For example, the need for developing better rehabilitation projects might be judged to have the greatest requirement for funding if an analysis of the system indicates that the relative cost of funding such projects would be likely to have the greatest impact on crime reduction. However, it may be determined that only a small portion of funds should be directed at such projects initially because of the need to train present and potential employees to perform funded activities and, in some cases, to plan and build structures to accomodate them. Over a 5- or 10-year planning cycle, such rehabilitation projects may receive more total dollars than other projects, but the dollar flow in the initial years may have to be directed toward the development of a base from which they can operate.

3. Auditing as a Feedback Mechanism

An SPA has the responsibility of ensuring that funds granted by them are spent in accordance with Federal and State guidelines and in a fiscally correct manner. Second, an SPA must determine where the grants are having the desired effect of increasing funding in the criminal justice system rather than supplanting State and local monies that would have flowed into the criminal justice system in the absence of such a grant program. The third requirement entails the provision of some mechanism to determine how effectively the grant funds are being used in conformity with programs established by the grantee agency. Fourth, an SPA should be able to determine how well the grant process is helping to upgrade the criminal justice system and to know which alternative funding pattern or set of priorities achieves the greatest good in improving the criminal justice system.

4. Grant Monitoring

The first consideration, whether the funds were spent in accordance with guidelines and the project proposal, is fiscal in nature and generally is provided for under the term "grant monitoring". Normally, grant monitoring is a function of the accounting officers and is performed by use of normal accounting and fiscal auditing procedures. Presently, a sub-grant made to a unit of local government, such as a city police department, might result in audits by as many as five different agencies at the local, State and Federal levels.

The second consideration, whether the block grant funds were used to supplant funds that otherwise might have been applied to criminal justice programs, also relates primarily to accounting; it, too, usually is considered to be in the accountant's or fiscal auditor's bailiwick.

5. Grant Evaluation

The process of making a substantive judgment concerning the quality of actual results from funds received is that of grant evaluation. While the evaluation must be concerned with the adherence to stated uses

of grant funds, it must go beyond purely fiscal concerns and attempt to make judgments as to: whether the expenditure of funds brought about any improvement in or detriment to the criminal justice system; whether these improvements or detriments were primary and intended or whether they were secondary and unanticipated; whether the same positive results could have been obtained more effectively, or negative results avoided, through some alternative approach; and finally, whether the experience, whether positive or negative, should have a bearing on the future funding of other grant requests.

6. Prerequisites to Grant Evaluation

Some of the complexities and problems of successful grant evaluation can be underscored by detailing the types and kinds of information that, ideally, the grant evaluator should have available before he can make the substantive judgments required in the definition above.

a. Definition of Purpose or Goal

Unless an explicit goal or unified series of goals is given as the purpose of a grant, no evaluation can begin. Without this, no yardstick exists by which to measure progress and no direction can be identified as the reason for the grant. Any goal established should have the characteristic of being measurable; that is, when attained it should be unequivocally demonstrable. Often, however, the meaningfulness of a goal is in inverse proportion to its measurability.

b. Setting of Standards

As a result of the difficulty of developing goals that are both meaningful and measurable, a compromise position called "standards setting" often is used. If it can be presumed that the standard set does have some meaning, for example, that those meeting a training standard actually are more competent (not just that they have had more training) and if the standard is set sufficiently higher than the average attained to date, the standard is a reasonable compromise between a measurable goal and a meaningful one.

c. Baseline Measurement

The third prerequisite to proper grant evaluation is the ability to measure the level of performance of the grantee prior to the reception of the grant. Progress toward the stated goal must use this pregrant measurement as a base from which to measure progress. Apart from the previously mentioned difficulties of measuring functions or activities in a meaningful way, there is a second problem. Grants are not received and applied to a program in a vacuum. Several changes often are made concurrently within a system, some of which may not be related in any way to the grant reception and conceivably could be detrimental to an honest and positive evaluation.

7. Evaluation Process

After the grantee agency has established goals, indicated the specific goal or standard level that the grant is expected to attain, and measured the baseline from which progress will be charted, it must file progress reports and a final report indicating the degree to which project goals were attained or exceeded based on the measures indicated. The grantor agency, the SPA, has the responsibility for ensuring first that project goals conform with the plan; second, that the indicated measures are reasonable indices of the activity in question; and finally, that the baseline and final measures are accurate. To the degree that any one of the above is lacking, the SPA will be unable to perform an optimal job of evaluation and will have to fall back on compromises such as the use of professional judgment of effectiveness rather than an actual measure thereof. Because of the paucity of information in the criminal justice field on cause-effect or correlative relationships, it is likely that for some years to come professional judgment will be required in lieu of measurement in many areas. This fact does not relieve the SPA of responsibility for performing evaluations, rather it makes it even more necessary to enable measures to be defined as rapidly as possible and good bases of information to be developed.

Ideally, evaluation does not stop at the level of a single grant or even of a series of grants that fall into a single category. Rather, both the grantee agency and the SPA will use the information, accumulated from grant evaluation to develop full program measurement and evaluation.

The distinction between a project related to a specific grant and an entire program is a crucial and extremely vital one, from the point of view of both the grantor and grantee. To take the latter case first, the grantee would define a program as the combined sum of all activities directed toward a specific goal or function of the grantee agency. Thus, a police agency may consider some of its programs to be:

- General administration
- Highway and traffic safety
- Criminal investigation
- Licensing and inspection

Programs thus will be developed until all functions or activities carried out by the department have been assigned to a specific program. The measures of effectiveness can range from simple counts of activities, e.g., the number of arrests made, to more sophisticated, meaningful breakdowns, e.g., the number of felony arrests made that resulted in felony convictions.[1]

If the grantee agency has defined its programs in a manner similar to the above and has developed meaningful information on the productivity and total costs of its programs, a fairly precise measurement may

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[1] One mistake often made in measurement of effectiveness is to take as a criterion of success some broad index that is subject to many influences beyond the scope of the grant. The two more commonly used are that a particular grant will "reduce the crime rate" or "reduce recidivism."

be made of the effect of a grant, but only on an activity, not on the entire program. For example, funds could be received to hire additional investigative personnel. Apart from simple activity counts indicating that investigators hired on grant funds were assigned to work on a certain number of cases during the year, it is to be hoped that a number of arrests and convictions can be attributed to them as a result. That much information relates to grant evaluation. However, considering the entire program, it is possible to determine whether the reduction in caseloads for all investigative personnel had a cumulative effect. For example, the pregrant baseline might indicate that the ten persons assigned to investigations handled an average of 100 felony cases per year, 25 percent of which were closed by arrest, and 10 percent of which resulted in felony convictions. If the post-grant evaluation indicated that the addition of two investigators reduced average caseloads to 83 or 84, but that the percent of cases closed by arrest or resulting in felony convictions did not improve significantly, then the grant may be evaluated as unsuccessful. A second point--determining how much improvement is significant--can be measured by the allocation of costs involved in the entire program to the particular activities in question. Thus, using the pregrant baseline figures above, the average cost of an investigator might be given as $35,000, including salary, benefits, transportation, clerical and laboratory support, and so on. An additional two investigators might reduce the average cost to $31,500 per investigator. Various measures as to the unit cost of a felony conviction or case closed by arrest then can be readily developed. Where the average cost of such a measure is less following the addition of personnel, the program may be judged to have accomplished a significant improvement.

The above example also suggests that indices can be developed that enable comparisons to be made between the effectiveness of an additional investigator versus a lab technician, secretary, or a spectrophotometer for the laboratory. Each would require a slightly different method of baseline measurement, but cost per unit of output of a criterion such as cases closed could serve as the final analysis and allow an evaluation

to be made both of a single change in a program and of possible alternatives to that change.

8. Evaluation of SPA Funding

It was mentioned above that the distinction between the evaluation of a single project and that of an entire program also is vital for the grantor agency, the SPA. To enlarge on the above, if the SPA has established as a goal some percent reduction in per capita violent offenses, it will establish categories of grants aimed at reaching that goal.

In the first year it may fund equally the development of a better patrol unit allocation, increased investigatory capabilities, or an increase in the psychological screening and therapy for incarcerated violent offenders. Based on the evaluation of all of the grants given in those areas, it might note that the first category has no measurable effect, that the second category had a good effect, and that it is too soon to judge the third category. Resultant action might be to develop better measuring devices on a pilot base for the first category of grants, to increase funding for the second, and to continue funding at the same level for the third category. In short, these actions would establish a more rational base for the allocation of funds based on the ability to measure the effect, not just of a grant, but of the total dollar cost and substantive benefits connected with all activity directed toward a single goal. Such a base allows comparative measurement across agencies and programs toward the better establishment of rational criteria for the granting of funds.

B. Project Team Orientation

1. State

In the post-grant evaluation project under discussion, the first step of the project team was to initiate a familiarization program that encompassed Federal, State, and local responsibilities as they pertained to the Division's action grant procedures. Specific duties in this area

were divided among team members. Through a review of printed material and interviews with staff, special attention was directed to each element of the Division's grant administration process. From these combined data, a schematic diagram of the Division's grant administration process, as viewed by the project team, was prepared. The diagram was reviewed with the Division's staff and revised until its accuracy was agreed upon. This diagram is presented in Figure 1.

Project team members conducted a general review of the Division's action grant master file, which at that time contained the records of approximately 400 individual grants. The result was a survey of the general types of activities funded and the types of documentation and supporting information available for analysis.

All team members studied the State Comprehensive Plans for 1969 and 1970. This gave the entire team a full understanding of the history, goals, and priorities of grants funded to date. Draft copies of the 1971 plan also were reviewed for the same purpose.

2. Local

Since Local Component Plans served as input to the State Comprehensive Plan, the project team reviewed such plans as were available to the Division. The project team thus was able to become familiar with specific needs of local agencies before these needs had been consolidated into the State Comprehensive Plan.

3. Federal

The project team also undertook the task of studying the legislation and requirements of the Law Enforcement Assistance Administration as they affected the Commonwealth of Virginia. This included both a review of printed material and personal interviews conducted with staff members at LEAA headquarters in Washington, D. C. The results of these efforts were communicated to all team members and to Division staff personnel. These efforts, coupled with a review of the same printed material, led to a complete understanding by the entire project team of LEAA
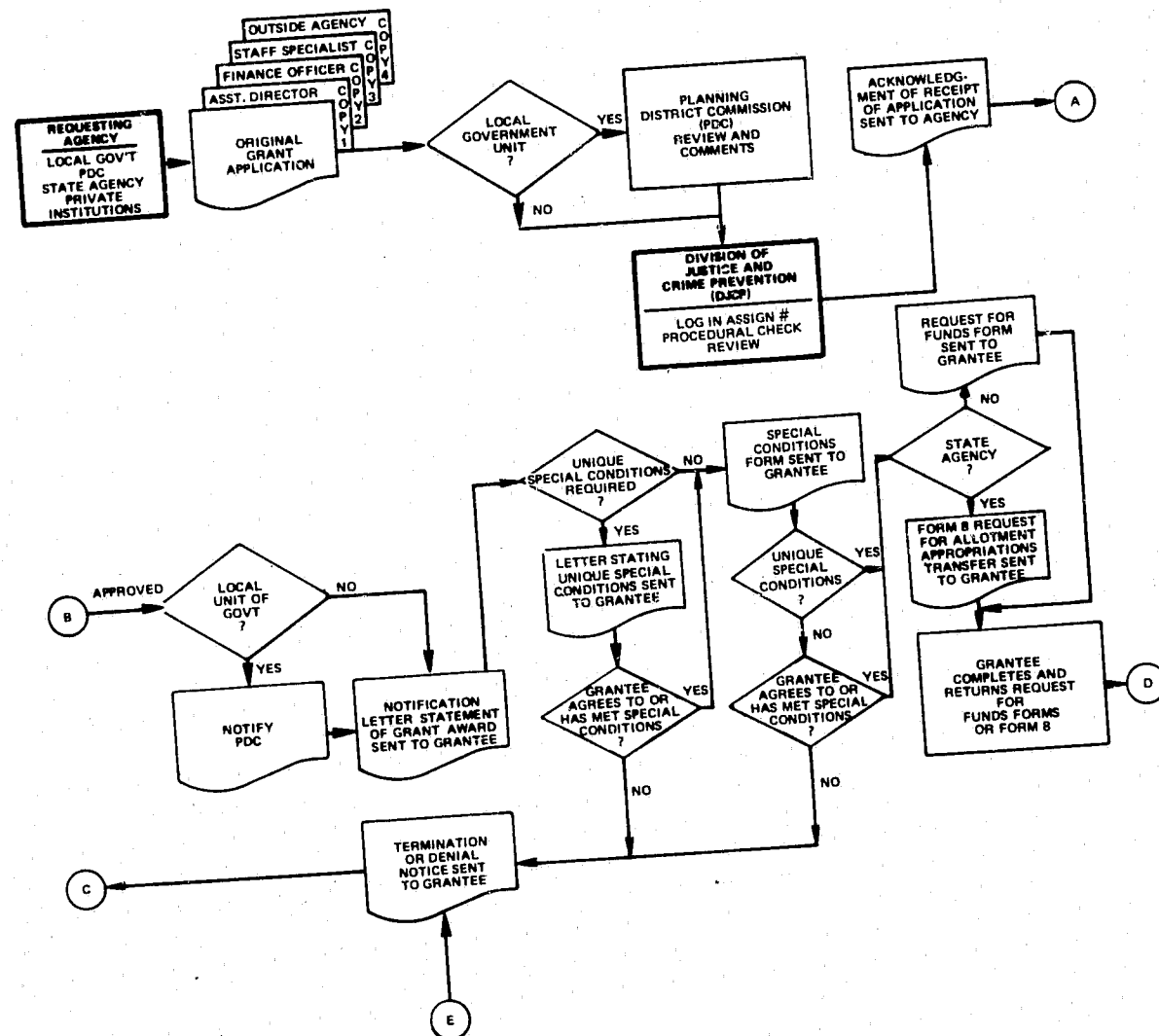
Figure 1. Law Enforcement Action Grant System, Division of Justice and Crime Prevention, Commonwealth of Virginia
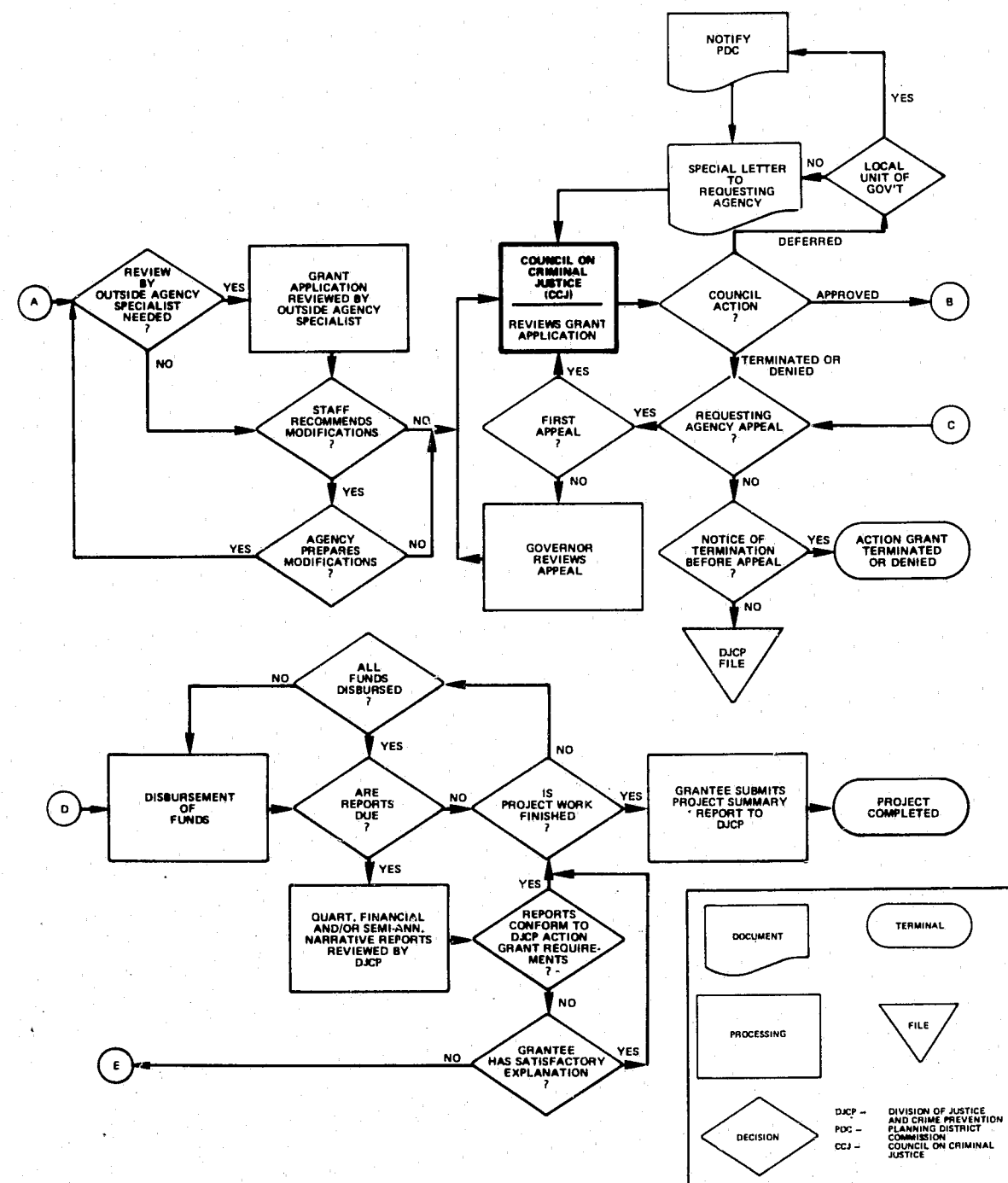
Figure 1 (Continued)

program objectives, responsibilities, and requirements as they related to the DJCP.

The project team met and exchanged views and data frequently during the orientation phase to ensure that each member remained current with the information gathered and developed. As a result, each project team member was completely familiar with designated local, State, and Federal responsibilities within the LEAA funding process.

C. Grant Selection and Review

The next step entailed the identification of a set of fiscal year 1969 and 1970 action grants from which completed grants could be selected for testing and evaluation. The project team met with the Division staff for this purpose. Using a current action grant master list, each grant was reviewed in numerical order and either selected or rejected until a total of 220 grants had been compiled. The grant list and the corresponding supporting information then became the data base for all future project activity and direction. The Grant Project List is presented in Figure 2.

After the selection of the Project Grant List, a detailed review was undertaken of the Division's master files for each individual grant on the list. This entailed the reading of pertinent information within each individual grant's master file. This task afforded the project team a good insight into the total grant administration process and into specific grant activities to be evaluated later in the project.

By this stage in the project, the team had obtained the necessary background and knowledge of the purpose and scope of the federal funding process administered by the Council on Criminal Justice (CCJ) and the Division of Justice and Crime Prevention. The project team also had studied the information supporting the grants available for evaluation in considerable depth. The remainder of the project was concerned primarily with developing and applying the instruments and procedures to be used for collecting useful post-grant evaluation data.

Grant No.	Grantee
69-A-2	Cumberland Plateau Planning District Commission
69-A-3	City of Virginia Beach
69-A-5	City of Winchester
69-A-6	City of Roanoke
69-A-7	Town of Blacksburg
69-A-8	City of Lexington
69-A-9	City of Harrisonburg
69-A-10	Giles County
69-A-11	Town of Narrows
69-A-12	Mt. Rogers Planning District Commission
69-A-13	Town of Pulaski
69-A-14	Town of Pearisburg
69-A-15	City of Radford
69-A-16	City of Covington
69-A-17	LENOWISCO Planning District Commission
69-A-18	Northern Neck Planning District Commission
69-A-19	Richmond Regional Planning District Commission
69-A-20	City of Staunton
69-A-21	Franklin County
69-A-22	City of Newport News
69-A-23	City of Newport News
69-A-24	City of Newport News
69-A-25	City of Newport News
69-A-28	City of Staunton
69-A-29	City of Lexington
69-A-30	City of Radford
69-A-31	Town of Blacksburg
69-A-33	Town of Rocky Mount
69-A-34	City of Winchester
69-A-35	City of Martinsville
69-A-36	Town of Pulaski
69-A-37	Frederick County
69-A-38	Surry County
69-A-40	Henrico County
69-A-41	City of Charlottesville
69-A-42	City of Newport News
69-A-43	York County
69-A-44	James City County
69-A-45	Town of Poquoson
69-A-46	City of Petersburg - Southside Regional L.E.Planning Committee
69-A-47	City of Norfolk
69-A-48	Nansemond County
69-A-49	City of Suffolk
69-A-50	Mt. Rogers Planning District Commission
69-A-51	Northern Virginia Planning District Commission
69-A-56	Arlington County
69-A-57	City of Richmond
69-A-58	Franklin County
69-A-59	City of Roanoke
69-A-60	Richmond Regional Planning District Commission
69-A-61	County of Fairfax

Figure 2. Grant Project List

Grant No.	Grantee
69-A-63	Southeastern Virginia Planning District Commission
69-A-64	Nelson County
69-A-65	Commonwealth of Virginia - D. W. & I. - Division of Corrections
69-A-67	Commonwealth of Virginia - D. W. & I. - Divn of Youth Services
69-A-68	Virginia Commonwealth University - MCV
69-A-70	Northern Virginia Planning District Commission
69-A-71	City of Richmond
69-A-72	City of Richmond
70-A-73	Commonwealth of Virginia - Va. State Crime Commission
70-A-74	Commonwealth of Virginia - Divn. of Automated Data Proc.
70-A-75	LENOWISCO Planning District Commission
70-A-76	Cumberland Plateau Planning District Commission
70-A-77	Town of Galax
70-A-79	Town of Blacksburg
70-A-80	Town of Christiansburg
70-A-81	Montgomery County
70-A-82	City of Radford
70-A-83	City of Covington
70-A-84	Northern Virginia Planning District Commission
70-A-85	South Boston Police Department
70-A-86	Southside Planning District Commission
70-A-87	Richmond Regional Planning District Commission
70-A-89	Northern Neck Planning District Commission
70-A-90	City of Emporia
70-A-91	City of Hampton
70-A-92	City of Newport News Police Department
70-A-93	Law Enforcement Officers Training Standards Commission
70-A-95	City of Virginia Beach
70-A-96	City of Newport News Police Department
70-A-98	Fifth Planning District Commission
70-A-99	City of Roanoke
70-A-100	Northern Virginia Planning District Commission
70-A-102	City of Chesapeake
70-A-103	City of Newport News Police Department
70-A-104	City of Roanoke
70-A-105	City of Roanoke
70-A-106	County of Fairfax
70-A-107	Northern Virginia Regional Juvenile Detention Home
70-A-108	Hampton Police Division, Hampton
70-A-109	Alexandria Y.W.C.A.
70-A-110	City of Falls Church
70-A-112	Cumberland Plateau Planning District Commission
70-A-113	Bland County
70-A-114	City of Bristol
70-A-115	Town of Marion
70-A-116	Town of Blacksburg
70-A-117	Town of Christiansburg
70-A-118	Giles County
70-A-119	Town of Pearisburg
70-A-120	City of Radford
70-A-121	Roanoke County

Figure 2 (Continued)

Grant No.	Grantee
70-A-122	Roanoke County
70-A-123	Roanoke County
70-A-125	Luray Police Department
70-A-126	Town of Mount Jackson
70-A-127	City of Fairfax
70-A-128	City of Falls Church
70-A-129	City of Martinsville
70-A-130	Town of Clarksville
70-A-131	Town of Halifax
70-A-132	Town of Lawrenceville
70-A-133	City of South Boston
70-A-134	Town of Colonial Beach
70-A-135	City of Colonial Heights
70-A-136	City of Hampton
70-A-137	City of Hampton
70-A-138	James City County
70-A-139	City of Newport News
70-A-140	City of Newport News
70-A-141	City of Williamsburg
70-A-142	City of Alexandria
70-A-143	County of Fairfax
70-A-144	City of Falls Church
70-A-145	City of Hampton
70-A-146	City of Newport News
70-A-147	Cumberland Plateau Planning District Commission
70-A-149	Town of Marion
70-A-150	Town of Christiansburg
70-A-151	Giles County
70-A-152	Town of Pearisburg
70-A-153	City of Radford
70-A-154	City of Roanoke
70-A-155	Town of Halifax
70-A-156	City of South Boston
70-A-160	City of Norfolk
70-A-161	City of Hampton
70-A-162	City of Hampton
70-A-164	Attorney General
70-A-166	County of Fairfax
70-A-167	Chesterfield County
70-A-168	City of Alexandria - Juvenile Court
70-A-169	County of Arlington
70-A-170	County of Fairfax
70-A-171	State Department of Welfare and Institutions
70-A-172	County of Fairfax
70-A-174	School of Social Work, Virginia Commonwealth University
70-A-175	State Department of Welfare and Institutions
70-A-176	State Department of Welfare and Institutions
70-A-181	County of Arlington - Police Department
70-A-182	City of Fairfax
70-A-183	County of Fairfax - Police Department
70-A-184	City of Falls Church

Figure 2 (Continued)

Grant No.	Grantee
70-A-185	City of Norfolk
70-A-186	City of Hampton
70-A-187	City of Newport News - Police Department
70-A-188	Richmond Regional Planning District Commission
70-A-189	Town of Edinburg
70-A-191	Virginia State Bar
70-A-192	Charlottesville - Albemarle
70-A-193	Judicial Conference of Virginia
70-A-194	Northern Virginia Planning District Commission
70-A-195	State D. W. & I. - Youth Services Division
70-A-196	York County
70-A-197	Town of Clarksville
70-A-198	Town of Clarksville
70-A-199	Greensville County
70-A-203	State D. W. & I.
70-A-205	Cumberland Plateau Planning District Commission
70-A-206	Cumberland Plateau Planning District Commission
70-A-207	Cumberland Plateau Planning District Commission
70-A-208	Cumberland Plateau Planning District Commission
70-A-209	Covington City
70-A-210	Department of State Police
70-A-212	Richmond City
70-A-213	State Department of Welfare and Institutions
70-A-214	State Department of Welfare and Institutions - Youth Svcs.
70-A-215	State Department of Welfare and Institutions
70-A-216	Newport News City
70-A-217	Newport News City
70-A-218	Newport News City
70-A-220	Southside Planning District Commission
70-A-221	Pembroke Town
70-A-222	Pulaski Town
70-A-223	Pulaski Town
70-A-224	Pulaski Town
70-A-226	New River Valley Planning District Commission
70-A-227	Radford City
70-A-228	Blacksburg Town
70-A-229	Blacksburg Town
70-A-230	Richmond City
70-A-231	State Division of Justice and Crime Prevention
70-A-232	South Boston City
70-A-233	South Boston City
70-A-234	Franklin County and Rocky Mountain Town
70-A-237	Nansemond County
70-A-238	Smyth County
70-A-239	Wytheville Town
70-A-240	Abingdon Town
70-A-241	Abingdon Town
70-A-242	Harrisonburg City
70-A-243	Harrisonburg City
70-A-244	Portsmouth City
70-A-246	Christiansburg Town

Figure 2 (Continued)

Grant No.	Grantee
70-A-247	Portsmouth City
70-A-248	Alexandria City
70-A-249	Alexandria City
70-A-250	Arlington County
70-A-251	Prince William County
70-A-252	Fairfax County
70-A-253	Alexandria City
70-A-254	Prince William County
70-A-256	Alexandria City
70-A-257	Prince William County
70-A-258	State Division of Justice and Crime Prevention
70-A-259	State Council of Higher Education
70-A-260	Southeastern Virginia Planning District Commission
70-A-261	Charlottesville - Albemarle
70-A-262	Governor's Drug Abuse Council
70-A-264	LENOWISCO Planning District Commission
70-A-265	LENOWISCO Planning District Commission
70-A-266	Governor's Drug Abuse Council
70-A-268	Martinsville City
70-A-269	Richmond City
70-A-270	Charlottesville - Albemarle
70-A-272	Petersburg City
70-A-274	Martinsville City
70-A-276	Williamsburg City
70-A-278	Winchester City
70-A-285	Northern Neck Planning District Commission
70-A-289	Chesapeake City
70-A-290	Nansemond County
70-A-295	Floyd Town
70-A-296	Floyd County
70-A-297	Giles County
70-A-298	Pearisburg Town
70-A-299	Montgomery County
70-A-300	Pulaski Town
70-A-301	Dublin Town
70-A-306	Richmond Regional Planning District Commission
70-A-307	Richmond Regional Planning District Commission
70-A-311	Alexandria City
70-A-314	Fairfax County Court
70-A-318	Falls Church City
70-A-322	Chesterfield County
70-A-326	State Council on Higher Education

Figure 2 (Continued)

Chapter III
EVALUATION QUESTIONNAIRE DEVELOPMENT

Chapter III
EVALUATION QUESTIONNAIRE DEVELOPMENT

A. **Classification of Grants**

Since the primary objective of the project was to develop an effective method for conducting the post-grant evaluation of completed projects, it was evident that some method of grouping the grants was required. To achieve this, a grant classification system was developed to facilitate the collection of evaluative data, its analysis, and in particular the comparison of grant achievements.

The Division supplied the project team with four copies of the DJCP grant summaries, which are prepared for presentation to the Council on Criminal Justice. The four lists of grant summaries were sorted in the following manner:

List 1--Master List by Grant Number

List 2--Working List by Program Category

List 3--Working List by Planning District Commission

List 4--Backup Master List by Grant Number

In lieu of developing a completely new classification system for this project, the project team agreed to adopt the program category/title classification used by the Division for the 1969 and 1970 State Comprehensive Plans as a classification base. Not only was this system suitable, but evaluation results would be more meaningful if they were to be grouped in the DJCP classes. After a detailed review of the files of the project grant list, however, the project team recognized a need for further subclassification.

Program category/title A, Upgrading Law Enforcement Personnel, 1, Training and Education, was used as a test group to develop a workable sub-classification system. Each training grant of the 220 listed was carefully analyzed. It was determined that all training grants within this group could be divided into three separate types of activities. Each of these activities was assigned a lower-case letter sub-classification designation (i.e., "a", "b", "c"). Thus, for example, all training conducted outside the recipient agency was classified A.1.a. All grants within this group with a major emphasis on training aid equipment were classified A.1.b. Those grants involving in-house training were classified A.1.c. This sub-category classification system then was developed for another high-activity category, D.2 (Communications), and was later expanded and developed for all Commonwealth program category areas. (See section C of this chapter, Evaluation Guideline Development). The sub-category classification list thus developed is presented in Table 1.

B. **Evaluative Criteria**

High-activity areas, A.1, Training and Education, and D.2, Communications, were used as test groups in the development of evaluative criteria. The grant summaries and related files of both areas were reviewed again, and the project team began the development of a list of questions for each area intended to identify measurable goals and priorities. The initial questions developed for both test areas were segregated by similarity, e.g., all questions pertaining to purchase procedures and vendor information were grouped together as were all questions explaining the use of the grant's product and identifying its users. From this grouping process seven basic information sections were established. These seven sections served as the base for future questionnaire design and development.

Individual questions, and eventually entire questionnaires, were developed from several sources. The DJCP, as the principal source of information, had identified goals and priorities in its State Comprehensive Plan, and individual staff members contributed considerable knowledge and insight based on their working experience. Other questions arose quite

Table 1. Sub-Category Classification and Questionnaire Guide

Column I Program Category	Column II Title	Column III Sub-Category	Column IV Question-naire
A. Upgrading L.E.Personnel	1. Training & Education	a. Outside Agency b. Training Aid Equip c. Agency Sponsored d. Audio/Visual, Printed e. State-wide Standards	TR a EQ d TR c MS c PL e
	2. Construction		FY b
	3. Criminal Justice Mgmt.	a. Mgmt Studies b. Outside Training c. Agency Training	PL b TR a TR c
B. Prevention of Crime	1. Drug Abuse Control	a. Outside Training b. Agency Training c. Training Aid Equip d. On-going Programs e. Planning Study f. State-wide Standards g. Audio/Visual, Printed h. Invest, Detection, Prev Equip. i. Psychological/ Psychiatric Counseling	TR a TR c EQ d PR b PL b PL e MS c EQ c MS a
C. Prevention and Control of JD	1. JD Preventative	a. Outside Training b. Agency Training c. Training Aid Equip d. Audio/Visual, Printed e. On-Going Program f. Planning g. State-wide Standards h. Psychological/ Psychiatric Counseling	TR a TR c EQ d MS c PR a PL B PL e MS a
	2. Training Facility	a. Statewide Standards b. Training c. Detention d. Training Staff	PL e FY b FY d TR c
D. Improvement of Detection & Apprehension	1. Forensic Labs	a. State-wide Standards b. Mobile Crime Lab	PL e EQ f
	2. Communications	a. Planning Study b. State-wide Standards c. Communication Equip	PL a PL e EQ a
	3. Electronics Information Systems	a. Planning Study b. State-wide Standards c. Equipment Lease	PL c PL e EQ e
	4. Improvement of Crime Invest, Prev, Detection		EQ c

Table 1 (Continued)

Column I Program Category	Column II Title	Column III Sub-Category	Column IV Question-naire
E. Improvement of Prosecutions & Court Activities, Law Reform	1. Revision of Criminal Code		MS b
	2. Handbooks		PL b
	3. Court Organization	a. Planning Study	EQ b
		b. Recording Equip	PL e
		c. State-wide Standards	TR a
	4. Judges Training		FY d
F. Increase in Effectiveness of Corrections & Rehab.	1. Develop & Construct Detention Centers		
	2. Community Correc. Prog.	a. Equipment	EQ c
		b. On-Going Program	PR c
		c. Halfway House	FY a
		d. Psychological/ Psychiatric Counseling	MS a
	3. In-Service Training	a. Outside Training	TR a
		b. Training Aid Equip	EQ d
		c. Agency Training	TR c
	4. Construct Diagnostic Centers		
G. Reduce Organized Crime	1. Control		EQ c
	2. Investigation	a. Equipment	PL b
		b. Planning Study	PL e
		c. State-wide Standards	
H. Prevention and Control of Civil Disorders	1. Coordination	a. Planning Study	PL d
		b. Outside Training	TR a
		c. Agency Training	TR c
		d. Equipment	EQ b
I. Improvement of Community Relations	1. Improvement	a. On-Going Program	PR d
		b. Audio/Visual, Printed	MS c
		c. Planning Study	PL B
		d. Outside Training	TR a
		e. Agency Training	TR c
		f. Equipment	EQ B
			PL B
J. Research and Development	1. R & D		

naturally from the study of plans, standards, and guidelines not included in the State Comprehensive Plan but directly related to specific grant activities. The project team contributed to the development of questions and questionnaires on the basis of its combined professional experience.

Evaluative criteria for both test groups were developed in detail within the framework described above. Emphasis at this stage of project development was on the criteria rather than on the final wording of questions. The major reference for the development of evaluative criteria were the 1969, 1970, and later, the 1971 State Comprehensive Plans. Based on the experience with the two test groups, the project team agreed that the right direction had been established, and they continued to develop criteria for the remaining grant activities. At this point considerable thought was given to the design and development of the interview outline, and an overlap actually occurred between the two tasks.

As an example of how evaluative criteria were developed for all original questionnaires, the following considerations for program category A.1, Training and Education, are representative of the process used.

In 1968, the General Assembly of the State of Virginia established the Law Enforcement Officers Training Standards Commission (LEOTSC). The Commission is responsible for establishing compulsory minimum training standards and curriculum requirements for the training and education of all Virginia law enforcement officers and personnel. This commission coordinates the entire Statewide police training effort, and prior to the disbursement of funds, it reviews all training-related grant applications for conformity to existing standards.

During the years of interest to this project, 1969 and 1970, LEOTSC had not achieved its present level of administrative effectiveness. Accordingly, grants during this period could not be evaluated as effectively, relative to Commission requirements, as could those evaluated later. Further, since the implementation of additional legal and administrative procedures and requirements has only recently been completed, availability

to LEOTSC of finalized plans, standards, and requirements currently is limited. Nevertheless, in the near future, LEOTSC will provide the centralized control needed to ensure the most effective use of available training funds and to avoid a duplication of effort and spending.

Since LEOTSC has an overview of Statewide training efforts through its grant reviews, the Commission should be in a position to recommend alternatives for higher quality training or equivalent training at lower cost when it is availalbe. Regional training and educational programs can be well publicized to ensure maximum attendance and efficient use of teaching personnel. Agencies with established programs can be encouraged to accept outside attendance to the extent that physical facilities permit. Evantually, the Commission will be able to expand the area covered by training programs.

Generally, two types of training grants have been awarded; grants funding the improvement of existing programs or the establishment of new programs; and grants funding the training of law enforcement personnel in locations outside the grantee's jurisdiction. The success of the programs can be measured by the quality of course content and instruction, the number of personnel able to participate, the amount of knowledge gained, the application of this knowledge in the line of duty, and the resulting level of professional education of the staffs of the participating agencies.

Unlike short-range values, the long-range effects of training cannot be measured accurately. Although each increment of knowledge gained will be available somewhere in an individual's career, it is difficult to measure the effects of training during the span of that career.

Evaluation must show how each phase of training and education is an integral part of a continuing plan and effort to increase the expertise and efficiency of the total agency operation, (e.g., the project team verified that, as regards training, programs are not undertaken for the

sake of training alone). Because of convenience, economy, or availability of grant funds, specialty or advanced training should not be over-scheduled; this could result in an imbalance of training within a department. Outside the basic training area, each department should concentrate on a favorable mix of law enforcement skills. In accordance with the system goal of maintaining effective personnel, expertise lost through normal attrition should be replaced as soon as possible to maintain the overall training level achieved by the agency.

Compulsory training standards eventually can lead to the certification of law enforcement personnel. Each individual not meeting the standards within the required time limit should not be eligible for any duties other than those of a clerical nature. Grant evaluation in this case is relatively simple.

Our study shows that training by itself will not influence the stated impact goal of reducing turnover by 50 percent. A system of adequate rewards for the completion of advanced training and realistic salary levels is a more effective aid to the retardation of personnel turnover. These approaches clearly are outside the scope of the comprehensive law enforcement plan.

There is some evidence that training actually is a factor in increasing turnover in some of the smaller police and sheriff's departments throughout the State. In some instances salaries are not competitive with other Virginia law enforcement agencies. After exposing employees to advanced or specialized training, a department runs the risk of losing well-trained people to other agencies capable of paying higher salaries for equivalent training and professional competence.

Based on preliminary project work, the list of questions in Figure 3 was developed by the project team to identify measurable goals and priorities for program category A.1. A comparison of this list with the final training questionnaire presented in the appendix of Volume III will give

1) Did the individual(s) attend the training for which funds were granted?

2) What is the individual(s) evaluation of the program?

3) Was this evaluation submitted to the department in the form of a written report? Oral report?

4) How did this program compare with others attended?

5) Did the individual(s) prefer to go to another program for the same training? Training in another specialty?

6) Did the individual(s) learn anything new?

7) Can the training received by applied to the individual(s) daily function?

8) How are individual(s) selected for training programs?

9) Are department priorities considered in selection of training programs? How are the training programs selected?

10) How many individuals in the department have received the same specialty training?

11) Have any administrative or technical changes resulted directly from the training?

12) Did this training lead to any functional certification? (able to testify?)

13) Is the individual still with the department?

14) Is the individual still in a law enforcement related function?

15) Does the department have long-term training goals?

16) Have other officers attended?

17) What are regional aspects of training programs?

Figure 3. Question List

some indication of the total effort directed to the design and development of the interview guidelines.

C. Evaluation Guideline Development

An effort considered of primary importance by the project team, and one that resulted in considerable rewording of questions, concerned the emphasis placed on the development of individual questions. In wording questions, the project team deliberately attempted to avoid implying what the answers should be. To the extent possible, the final questions are neutral. Questions are worded to elicit discussion rather than one-word responses. When possible, the questions are worded to request facts rather than impressions or opinions.

Following the procedure established with earlier test groups, all grants from the project list were grouped first by program category and title, and then by activity within program category and title. A separate group of questions was developed for each activity identified under all program categories and titles. This approach was taken to ensure adequate coverage of all activities and to provide a solid base of questions for the eventual consolidation of guidelines. A total of 33 original question lists were developed to cover all activities involved in the grants on the project list. An early draft is presented in Figure 4.

At this point, the general format of the individual question list ("questionnaire") was determined. Throughout, emphasis was placed on the information desired rather than on actual wording.

The sub-classification system developed earlier for the two test groups then was expanded and finalized for all activities within all program category and title areas.

At this point, the project team agreed that the use of 33 separate evaluation questionnaires was not feasible, either practically or economically. All grant activities across program category areas were

SECTION I. GRANT IDENTIFICATION

Grant Number
Program Category
Program Title
SSDC Number
Related Grant Numbers
Total Cost Actual/Approved
DJCP Share Actual/Approved
Total Share Actual/Approved
Interviewer Name and Agency
Observer Name and Agency

SECTION II. GRANTEE IDENTIFICATION

Agency Name
City/County
Planning District Commission
Agency Head
Agency Address
Person Interviewed Name
    Address
    Telephone Number

SECTION III. GOODS/SERVICES IDENTIFICATION

Equipment: Manufacturer   Type
            Model Number   Serial Number
            Number Purchased Unit Cost
            Delivery Date

(1) Describe the fuction of goods/services; note any special features.
(2) What was the purpose and scope of planning study?

SECTION IV. NEED FOR GOODS/SERVICES

(1) What immediate problem was puchase of goods/services designed to solve?

SECTION V. VENDOR SELECTION

(1) How was vendor selected:
    (a) sole source
    (b) competitive bid
(2) What other agencies were contacted, evaluated or invited to bid?

SECTION VI. VENDOR IDENTIFICATION

(1) Who was responsible for grant activity?

    Name
    Position
    Company

SECTION VII. USE OF GOODS OR SERVICES

(1) Who uses goods/services?
(2) What changes have been made in operation as a result of purchase?
(3) How often are goods/services used?

Figure 4. An Original Questionnaire

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SECTION VIII. AGENCY EVALUATION

(1) Did goods/services in fact solve problem for which purchased?
(2) Did goods/services perform as expected?
(3) What are principle disadvantages of goods/service?
(4) Compare goods/service to others similar in department:
    (a) better
    (b) worse
    (c) no difference
    (d) why
(5) Were goods/services a good buy for agency?
(6) Would you buy the same general class of goods/services again?
(7) (If yes #6) Would you buy from same vendor?
(8) (If yes #6) Would you accept same project leader?
(9) ("No" #7) Where would you buy?
(10) Would you advise other agencies to buy similar goods/services?
(11) How has equipment malfunctioned?
(12) Do you have trouble repairing or maintaining equipment?
(13) How long do you expect goods/services to last?

SECTION IX. STATUS, PLANS, MISCELLANEOUS

(1) How many units
    (a) before
    (b) after
(2) If grant money awarded without restrictions, what would you have used money for?
(3) Would you have been able to buy goods/services without outside assistance?
(4) Were goods/services purchased as part of long range plans?
(5) What work remains to be done under existing plans?
(6) Do you plan to purchase more units of goods/services?
(7) (If "Yes" #6) How do you plan to finance?
(8) What has been the effect of goods/services on interagency cooperation?
(9) Does planning study report contain program which you feel will solve the problem?
(10) What progress has been made in plan execution?
(11) What is feasibility of recommended plan?
(12) What specific services over and above study reports were provided by vendor?
(13) If plan involves purchase of equipment, will you buy from vendor who did study?
(14) How is implementation to be funded?
(15) What is the total implementation cost relative to plan cost?

Figure 4 (Continued)

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analyzed, and it was determined that, regardless of program category, all activities could be placed in one of six identifying groups--Training, Equipment, Planning, Facilities, On-going Programs, or Miscellaneous.

All individual questions were separated from the 33 original evaluation questionnaires and grouped by questionnaire section. These individual questions were reviewed, question by question, and section by section. This analysis enabled the project team to place each question individually, by section, in one of the above listed groups. Another detailed analysis by section within the new groupings eliminated duplicate questions. A final analysis was undertaken to identify, in each section of the six activity groups, those questions that could be asked of each grant within that group. These questions were combined by section to form a base questionnaire for each activity group. The remaining questions, those that were unique to a specific grant activity, were combined by section to form inserts. The results of this design were six base questionnaires, one for each activity group, and groups of insert questions relating to specific grant activities. Thus, a complete questionnaire for a specific grant activity could then be constructed by adding the proper insert questions in sequence (by section) to the base questionnaire for that activity group. The burdensome working number of 33 questionnaires had been reduced to a workable number of six without any loss of information desired.

To facilitate the questionnaire construction described above, it was necessary to incorporate a detailed collating sequence into the design of the evaluation questionnaire. The collating sequence code appears as the first item of the grant identification block in the upper right-hand corner of every questionnaire page. The project team also envisioned the breaking down of individual questionnaires by question, page, section, etc., for the purpose of analyzing completed instruments. The collating sequence code then serves as a cross reference, identifies each separated page at all times, and enables the user to reconstruct the original questionnaire in proper sequence when desired.

D. **Questionnaire Review**

After the questionnaire design and format had been defined clearly, but before the questionnaire instruments were field tested or used in the actual data collection phase of the project, the project team agreed that a comprehensive review by competent outside sources was a necessity. The first phase of this review consisted of an examination of each questionnaire by an individual, not on the project team, recognized for his competence in questionnaire design as well as in the areas of expertise covered by the questionnaire content. Following this review, the project team considered the recommendations submitted by these individuals and implemented those that clearly improved the questionnaire instrument.

As the second phase of the comprehensive review, revised copies of the questionnaires were submitted to the Division staff. The staff was asked to be extremely critical regarding wording, content, and format and to make further recommendations for improvement. The recommendations received from the Division staff then were implemented.

As the final phase of this comprehensive review, a joint review board was established consisting of key Division staff members, the outside experts consulted during the first review phase, and the project team. All members of the review board met in Richmond in a space provided by the Division staff. They analyzed and discussed each questionnaire, question by question. Again, those recommendations mutually agreed to be an improvement over the old instrument were implemented and questionnaires were revised where necessary.

E. **Questionnaire Test**

Up to this point in project development, the major consideration and revision had been directed to the wording, content, and format of the questionnaire instruments. However, before the instruments were used in a field test or actual data collection situation the project team agreed that another consideration, the interview procedure itself, should be tested. Two representative grants were selected, and two Division staff

members were used in the role of grant recipients. A project team member administered the questionnaires under conditions simulating an actual interview. The results of the two tests were significant in several areas. First, the reaction of the two Division staff members indicated that the interview technique to be followed should utilize the questionnaire as an interview guide in an informal atmosphere. Second, these tests identified the general types of questions that would not be successful if this technique were to be used. The reaction of a person answering the questions also was monitored. Soon, the project team member was able to flag questions that might stimulate a defensive attitude in the respondent. Finally, the project team was able to compare the information actually captured with that needed to perform an evaluation properly. The questionnaire instruments again were revised as necessary.

F. Questionnaire Sections

Questionnaire outlines, including brief descriptions of the purposes of each section, are presented in Figure 5.

TRAINING
INTERVIEW QUESTIONNAIRE

SECTION I.   GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II.   TRAINING IDENTIFICATION

This section identifies specifically the training course and its objectives

SECTION III.   TRAINING SELECTION PROCEDURES

This section details the procedures used by the agency to select the training

SECTION IV.   TRAINING USE

(Not applicable for training received outside the requesting agency)

This section determines how frequently the course is presented, who uses it and identifies any problem areas which may exist

SECTION V.   AGENCY EVALUATION

This section determines the agency's evaluation of the training course

SECTION VI.   PROGRAM GOAL ATTAINMENT

This section identifies the ways in which the training course corresponds with stated priorities, goals and standards

SECTION VII. AGENCY AND INTERVIEWER'S COMMENTS

Figure 5. Interview Questionnaire Outlines

EQUIPMENT
INTERVIEW QUESTIONNAIRE

SECTION I.   GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II.   EQUIPMENT IDENTIFICATION

This section identifies specifically the equipment purchased and its functions

SECTION III.   EQUIPMENT PURCHASE/LEASE PROCEDURES

This section details the procedures used by the agency to purchase/lease the equipment

SECTION IV.   EQUIPMENT USE

This section determines how frequently the equipment is used and identifies any technical problem areas which may exist

SECTION V.   AGENCY EVALUATION

This section determines the user agency's evaluation of the equipment purchased

SECTION VI.   PROGRAM GOAL ATTAINMENT

This section identifies the ways in which the purchase of equipment corresponds with stated priorities and goals

SECTION VII.   AGENCY AND INTERVIEWER'S COMMENTS

Figure 5 (Continued)

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FACILITY
INTERVIEW QUESTIONNAIRE

SECTION I.   GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II.   FACILITY IDENTIFICATION

This section identifies specifically the facility constructed/leased and its purpose

SECTION III.   CONTRACT PROCEDURES

This section details the procedures used by the agency to contract for the construction/lease of the facility

SECTION IV.   FACILITY USE

This section determines how frequently the facility is used and identifies any problem areas which may exist

SECTION V.   AGENCY EVALUATION

This section determines the user agency's evaluation of the facility constructed/leased

SECTION VI.   PROGRAM GOAL ATTAINMENT

This section identifies the ways in which the construction/lease of the facility corresponds with stated priorities and goals

SECTION VII.   AGENCY AND INTERVIEWER'S COMMENTS

Figure 5 (Continued)

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**PROGRAM
INTERVIEW QUESTIONNAIRE**

SECTION I. **GRANT AND AGENCY IDENTIFICATION**

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II. **PROGRAM IDENTIFICATION**

This section identifies specifically the program and its operation

SECTION III. **PROGRAM SELECTION PROCEDURES**

This section details the procedures used by the agency to select this program.

SECTION IV. **PROGRAM IMPACT**

This section identifies the objectives of this program and problem areas which may exist

SECTION V. **AGENCY EVALUATION**

This section determines the agency's evaluation of the program

SECTION VI. **PROGRAM GOAL ATTAINMENT**

This section identifies the ways in which this program corresponds with stated priorities and goals

SECTION VII. **AGENCY AND INTERVIEWER'S COMMENTS**

Figure 5 (Continued)

**PLANNING STUDY
INTERVIEW QUESTIONNAIRE**

SECTION I. **GRANT AND AGENCY IDENTIFICATION**

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II. **SERVICE IDENTIFICATION**

This section identifies specifically the services purchased and their functions

SECTION III. **SERVICE PURCHASE PROCEDURES**

This section details the procedures used by the agency to purchase the service

SECTION IV. **STUDY IMPACT**

This section determines how the study results will be used and identifies any problem areas which may exist

SECTION V. **AGENCY EVALUATION**

This section determines the user agencies evaluation of the services purchased

SECTION VI. **PROGRAM GOAL ATTAINMENT**

This section identifies the ways in which the purchase of the services corresponds with stated priorities and goals

SECTION VII. **AGENCY AND INTERVIEWER'S COMMENTS**

Figure 5 (Continued)

AUDIO-VISUAL & PRINTED MATERIAL SURVEY OUTLINE

SECTION I. GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II. MATERIAL IDENTIFICATION

This section identifies specifically the material purchased and its functions

SECTION III. MATERIAL PURCHASE PROCEDURES

This section details the procedures used by the agency to purchase the material

SECTION IV. MATERIAL USE

This section determines how frequently the material is used and identifies any technical problem areas which may exist

SECTION V. AGENCY EVALUATION

This section determines the user agency's evaluation of the material purchased

SECTION VI. PROGRAM GOAL ATTAINMENT

This section identifies the ways in which the purchase of material corresponds with stated priorities and goals

SECTION VII. AGENCY AND INTERVIEWER'S COMMENTS

Figure 5 (Continued)

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CRIMINAL JUSTICE HANDBOOKS SURVEY OUTLINE

SECTION I. GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II. HANDBOOK IDENTIFICATION

This section identifies specifically the type of handbook and its purpose

SECTION III. AGENCY EVALUATION

This section determines the user agency's evaluation of the handbook

SECTION IV. AGENCY AND INTERVIEWER'S COMMENTS

Figure 5 (Continued)

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PSYCHOLOGICAL/PSYCHIATRIC COUNSELING
SURVEY OUTLINE

SECTION I.   GRANT AND AGENCY IDENTIFICATION

This is a standard cover sheet which provides pertinent information about the Grant

SECTION II.   SERVICE IDENTIFICATION

This section identifies specifically the services purchased and their functions

SECTION III. SERVICE PURCHASE PROCEDURES

This section details the procedures used by the agency to purchase the service

SECTION IV. AGENCY EVALUATION

This section determines the user agencies evaluation of the services purchased

SECTION V.   PROGRAM GOAL ATTAINMENT

This section identifies the ways in which the purchase of the services corresponds with stated priorities and goals

SECTION VI. AGENCY AND INTERVIEWER'S COMMENTS

Figure 5 (Continued)

Chapter IV

FIELD TEST

Chapter IV

FIELD TEST

A. Introduction

The project team determined that a field test would contribute substantially to the overall success of the total effort. Although the questionnaire instruments had been reviewed and revised extensively prior to this stage of the project, only a small percentage of these revisions had been based on the results of actual interview experience. Furthermore, this experience was with Division staff members, who are highly knowledgeable in terms of grant administration and requirements and therefore not representative of the average recipient agency personnel. A method for selectively field testing questionnaire instruments and interview procedures therefore was designed.

B. Grant Selection

Only completed grants were selected from the project grant list for possible field testing. In this sense, a "completed" grant was one in which all funds had been either expended or obligated and all project work finished. A further basis for selection was that of geographic location. The four major urban population centers in the Commonwealth were selected as test areas. These areas were Northern Virginia, the Tidewater area, the central Richmond area, and the Roanoke Valley area. A total of ten test grants were selected on the premise that each of the five major questionnaire groups could be tested at least twice, using grants with significant activity and importance to test adequately the quality of each evaluation questionnaire. Figure 6 shows the geographic distribution of the test grants.
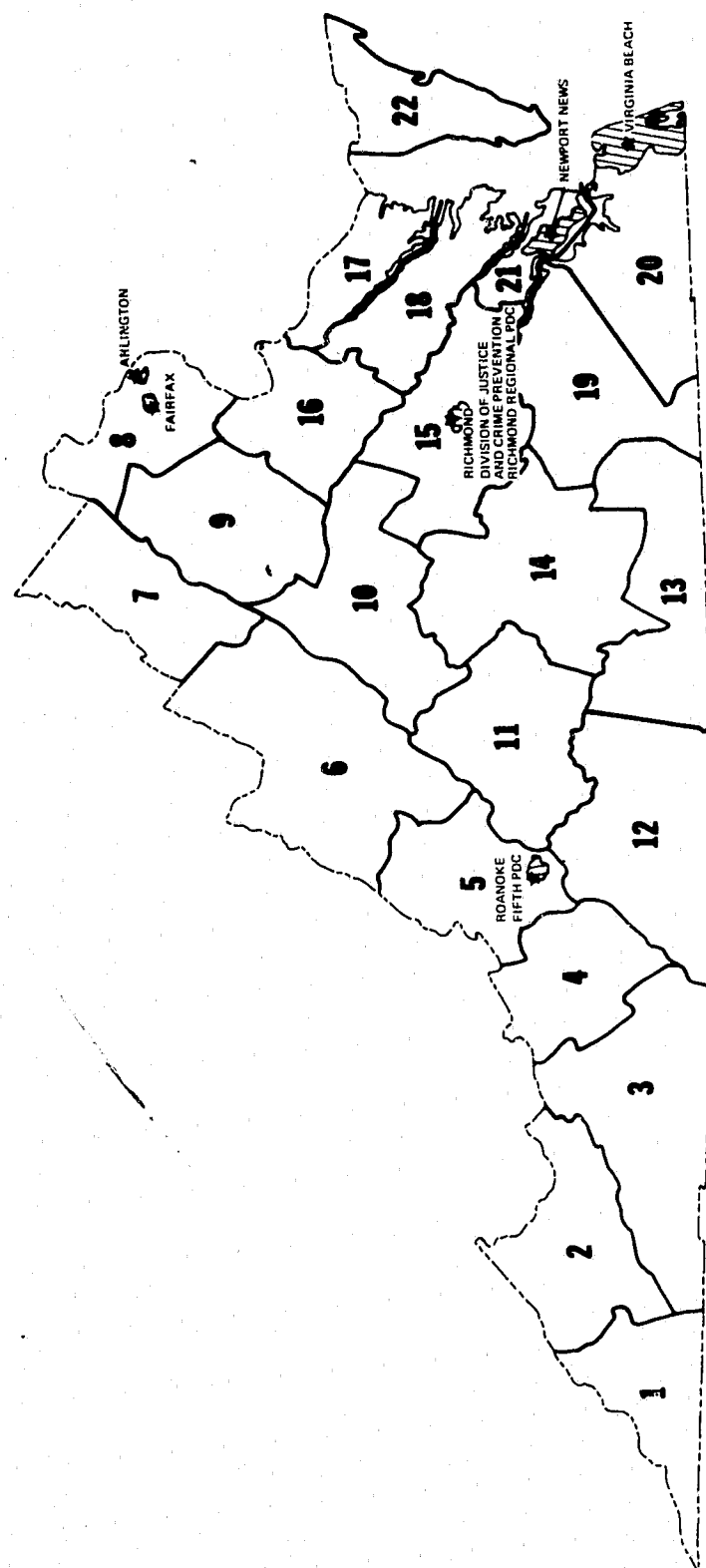
Figure 6. Geographic Distribution of Field Test

C. Purpose

There were several obvious reasons for selective field testing be-
fore initiation of the actual data collection phase of the project. Only
exposure to actual grant recipient agency personnel could identify the
merits, weaknesses, and overall impact of the structured interview techni-
que. The field experience also would be an excellent test of the validity
of individual questions contained in each instrument. It was most impor-
tant to test the reactions of recipient agency personnel to the grant evalu-
ation project generally, and to the interview questionnaires and techniques
specifically. The project team recognized the importance of eliminating,
or at least identifying, all interview-related problems prior to a con-
certed data collection effort. The average time required to complete the
various types of interviews conducted during the field tests would aid in
the scheduling of larger numbers of interviews during this task and in
later data collection periods. Thus, the combined experience of the field
testing would contribute significantly to the improvement of the overall
procedures and instruments developed up to this point in the project.

D. Scheduling

The field test interviews were scheduled by a Division staff member
with the cooperation of the appropriate regional Planning District Com-
missions. The assignments were divided between two project team members.
The interviewers were assigned a maximum of two field visits per day,
and the interviews were spaced at sufficient chronological intervals to
allow a detailed project review of each experience.

E. Results

The results of the field tests were favorable. The interview tech-
niques and procedures proved to be successful. A generally favorable
reaction from recipient agency personnel interviewed was a common ex-
perience. The natural, and usually minor, defense barriers encountered
were overcome easily in most cases. The importance of conducting the
interview in an informal, relaxed manner and of explaining the project
in terms of the needs and requirements of the individual recipient
agencies was confirmed.

With some minor revisions, it was determined that the scheduling technique could be adapted successfully to larger scale data collection efforts. Staff members of the Planning District Commissions involved were most helpful in this respect.

The field test experience also identified questionnaire problem areas. The two interviewers suggested only one alteration in the form design of the evaluation questionnaires. That was to increase the space available for recording answers in all questionnaires. Specific problem questions flagged by the interviewers were reworded to avoid confusion, deleted as being nonproductive, or expanded to add to information captured or to develop new information.

The field testing further underscored the importance of interviewer flexibility. To create the atmosphere most conducive to frank responses from recipient agency personnel, it became apparent that the interview questionnaire must be totally familiar to the interviewer and must be used, in effect, as an interview guide. If the interview questionnaire is adhered to rigidly under all conditions, the chances for missing pertinent information increases. The interviewer must remain flexible and able to deviate from the questionnaire in response to the unique circumstances of each interview to capture the information desired. The interviewer also must ensure that key individuals for each grant are questioned. This is not always evident prior to the actual interview experience. In most cases where it is determined that more than one person should be interviewed to complete the questionnaire properly, each person should be interviewed separately. It is difficult even to discuss a particular project with two or more people; it is almost impossible to question two people simultaneously with success. The field testing also pointed out a need for the interviewer to do more than simply question the people responsible for a particular project. All equipment should be viewed by the interviewer wherever possible. Major equipment purchases should be observed while functioning under actual operating conditions or, at least, under test conditions. Any physical object that serves as a major element of a particular grant project should be observed by the interviewer. This pertains to nearly all facilities (training, half-way houses, regional criminal justice centers) and equipment purchases (communications, criminal investigations equipment, and training aids).

The interviewer must be able to determine, during the course of the interview, those individuals who are most closely associated with the grant, regardless of their information or formal responsibility or authority. He must then make sure that, once identified, these individuals are questioned.

It is essential that the interviewer also be given an opportunity to talk with training course participants. This is important whether the training was received internally or from another agency.

F. Interviewer Consistency

The project team recognized that the questionnaire instruments should be as consistent as possible when applied by different interviewers. The success of their attempts to achieve this was validated during the field tests. For two test interviews, the interviewers combined their efforts to form a two-man interview team. During the first of these interviews, one team member assumed the role of observer, and the other conducted the actual interview. During the second, the roles of the two interview team members were reversed. After each of these two test experiences, the interviewers critiqued each other's performance in detail. The critiques of both sessions revealed that the results would have been basically consistent had either team member conducted both grant interviews individually. This substantiated the confidence of the project team that the consistency intended in the design of the grant evaluation questionnaires had been achieved.

G. Interviewer Qualifications

The effectiveness of the post-grant interview evaluation is dependent primarily on the skills and experience of the interviewer. After the

field test experience, it became obvious to the project team that the ideal interviewer should possess the following qualifications:

- Experience with operations of the type of the recipient agency

- Interviewing skills

- Objectivity

- Familiarity with the State Comprehensive Plan and the organization, policies, and procedures of the DJCP and other State agencies

- Familiarity with the local component plan

Most of these requirements can be gained through training and experience. The principal elements are the first three: experience with the operations of the recipient agency, interview skills, and objectivity.

Chapter V

FIELD DATA COLLECTION

Chapter V

FIELD DATA COLLECTION

A.   Responsibility and Selection

Based on the results of the field test experience described in
Chapter IV, the Division agreed with the recommendation of the project
team to change the original team role. The role of the project team dur-
ing field data collection initially had been viewed as that of observer
and coordinator. After the field test the scope of participation was ex-
panded so that all evaluation was conducted by either the project team
or the Division staff.

Working closely with the Division, the project team was able to iden-
tify a total of 82 completed grants from the original Project Grant List.
Again, the meaning of the word "completed" is used here as defined in
Chapter IV. It is possible that other completed grants could have been
identified, but this would have required considerable time and effort
from both the Division staff and the project team. It was felt that this
expenditure of manpower resources and time could be applied more meaning-
fully to actual field data collection.

B.   Scheduling

The scheduling of the evaluation of completed grants is a very dif-
ficult and important task. Even with the relatively small number of com-
pleted grants available, the project team was unable to select grants for
evaluation based on a combination of geographic location and activity.
Therefore, the completed grants were separated into ten geographic groups,
regardless of grant activity, each of which could be evaluated by one
individual in a week to 10 days. The number of individual grants within

each group varied from six to ten. Most of the geographic groups contained recipient agencies located in two or more Planning District Commission jurisdictions.

Following the procedure established during the field test phase, an itinerary was prepared for each of the ten geographic grant groups. The itinerary included the following information: date; agency name and address; time of interview; grant number; agency contact; agency phone number; and Planning District Commission observer if applicable. A Division staff member notified each Planning District Commission, by telephone, of the tentative itinerary schedule within its jurisdiction. This inital contact was followed by a letter to the executive directors of all Planning District Commissions involved. A copy of the itinerary for the respective jurisdiction was enclosed, and the Planning District Commissions were asked to confirm the tentative schedules as soon as possible. Responses were prompt and, considering the total number of agencies involved, the amount of rescheduling necessary was minimal. As individual appointments were confirmed, a detailed letter explaining the project, the purpose of the visit, the grants involved, and the types of information to be requested by the interviewer was prepared by the project team and sent by the Division to each recipient agency head. After the necessary rescheduling had been confirmed, the task of field data collection was ready to begin.

There were three major problems relating to the initial site visits that could not be circumvented. The Division staff or the project team had no control over the limited number of completed grants, the high concentration of these completed grants in two program areas (A.1, Training, and B.2, Communications), or the geographic distribution of these grants. It was necessary to accept these problems and to plan accordingly. Figure 7 shows the geographic distribution of the action grants evaluated during this project.
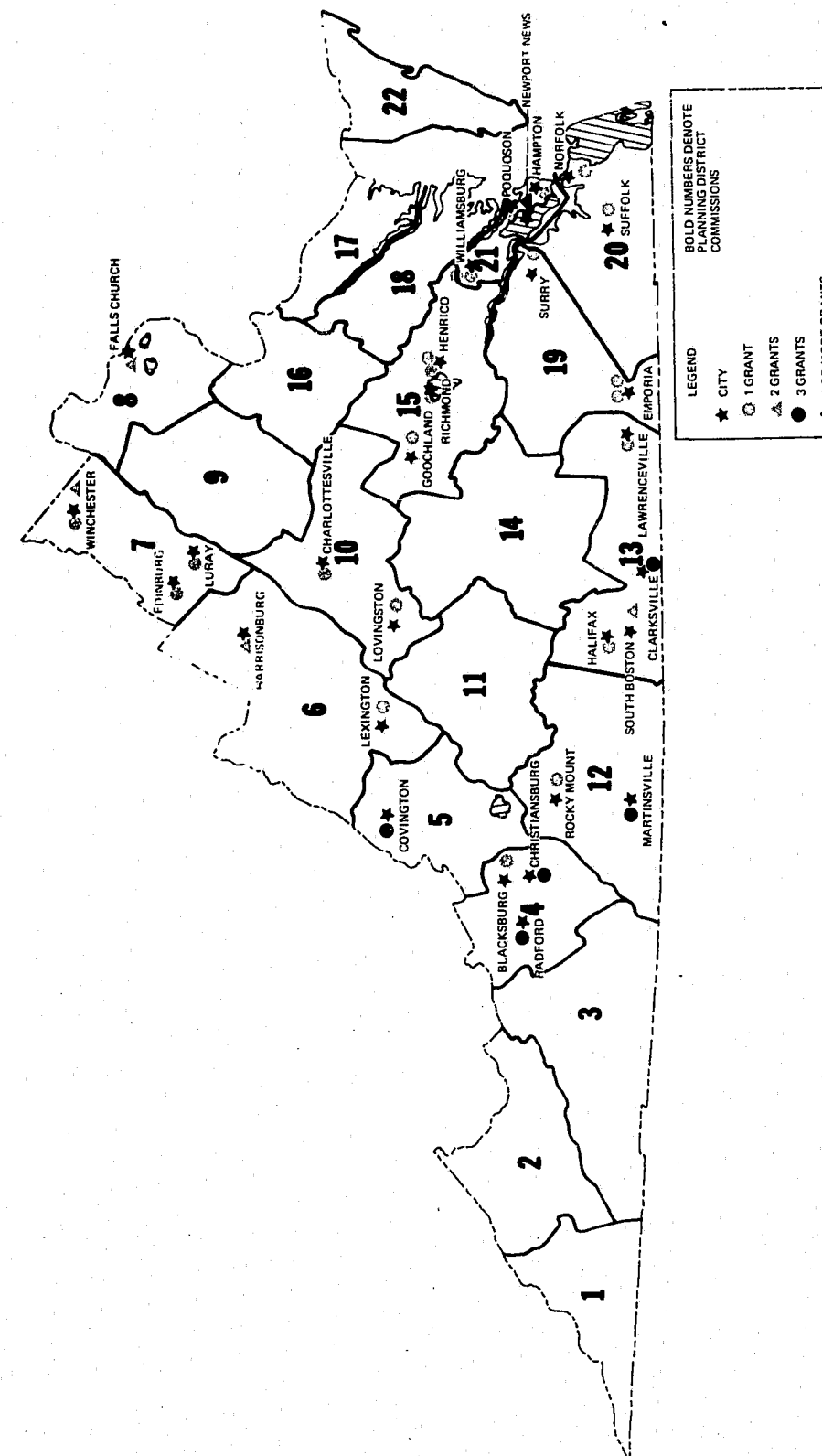

Figure 7. Geographic Distribution of Evaluative Grants

Interviewers meeting the qualifications mentioned earlier were selected from a base of potential outside consultants, Division staff members, and SSDC professional staff members. Individual interviewer notebooks were prepared at this time.

C. Interview Packages

Our intent was to assemble all the information necessary to give the interviewer the complete background on the grants for which he was responsible and, hopefully, to provide him with the tools to handle any emergency situation. The packages included the following information:

- A detailed itinerary

- Grant background information (where available) in the form of grant summaries, quarterly financial reports, narrative reports, and detailed budgets

- A list of the program categories, titles, sub-categories, and related questionnaire codes to be used as a reference if the interviewer found it necessary to build additional questionnaire sets

- Collating sequence instructions

- Copies of all evaluation-related correspondence with the agencies and Planning District Commissions involved

- A list of Planning District Commissions containing the names, addresses, and telephone numbers of the executive directors and criminal justice planners

- Appropriate questionnaires for the grants to be evaluated

- Grant evaluation summary forms to record the evaluation and recommendations of the interviewer

- A questionnaire critique form to be used by the interviewer to identify any problem areas relating to the survey instrument

- All interviewer instructions

- A map of Virginia

- A Chesapeake and Potomac Telephone Company booklet with the telephone numbers of all law enforcement agencies in the Commonwealth

- Volume 3 of <u>Virginia Council on Criminal Justice, State Comprehensive Plan</u>, to enable the interviewer to measure the achievement of State goals

- Agency classification sheets describing the sizes, types, and jurisdictions of recipient agencies

D. Interviewers' Conferences

The first interviewers' conference was held on August 23, 1971, at the Division of Justice and Crime Prevention in Richmond. All interviewers and project team members were in attendance. A complete orientation was given regarding responsibilities, interview procedures, questionnaire instruments, and project and interview objectives. Most of the interviewers began their field work the next day and returned the following Saturday for a critique of the week's efforts.

At the end of the first week of field data collection, the field interviewers returned to Richmond for a second interviewers' conference. The conference began with a summary report from each interviewer of the week's experiences. This was followed by a detailed review of the grant evaluation summaries prepared by all the interviewers for all grants evaluated. Categories on the evaluation summary that had been given either a very high or a very low rating were discussed in detail. In most cases, the group consensus indicated that these particular evaluations were in fact justified. This was another indication of the interviewer consistency achieved through use of the procedures and instruments developed for this project. The group also critiqued the evaluation questionnaires. There were few recommendations for improvement, and those recommendations submitted were of a minor nature. In general, the project interviewers were satisfied with the interview guides and techniques after applying them during the data collection phase. Answers elicited from most agency representatives were responsive and frank. Table 2 lists several specific questions identified by individual interviewers as causing problems. In no case does a question appear more than once, indicating that the difficulties experienced were of a minor nature. It also was apparent that each question was not always relevant in every

Table 2. Summary of Interviewer Critiques

Questionnaire	Section	Question Number
Equipment	V	2, 3, 9
Equipment	VII	1, 5
Training	V	4, 5a, 6

interview experience. Since the evaluation instrument is used as a flexible guide, the interviewer should ignore questions that do not contribute to the capturing of useful information. However, it is recommended that such questions be reviewed before any more interviews are undertaken, with a view to either rewording or deleting them if necessary. The evaluation questionnaire critique indicated to us that the questionnaire instruments were performing the functions for which they were designed, and that unless future experience proved to the contrary, they would continue to do so. At the end of the interviewers' conference all information completed and obtained by the interviewers was turned over to the project team for review and analysis.

The bulk of the data collection phase was completed during the last 2 weeks of August and the first weeks of September.

E. Interview Procedures

The interview procedures used were formulated by the project team based on previous experience in projects with similar data collection methods. These procedures, which were followed by all project interviewers during the data collection phase, are described in detail in Volume III, Chapter II.

Chapter VI

PROJECT FINDINGS

A. Introduction

In consonance with their mission to assist in the control of crime and the improvement of the administration of criminal justice in Virginia, the Virginia Council on Criminal Justice is establishing procedures for the post-grant evaluation of projects supported by action sub-grants. The main purpose of this activity is to collect and make available information on the success of approved grants, both from the point of view of achieving specific Comprehensive Plan goals, and from the point of view of the recipient agency.

The mechanisms under which sub-grants are approved ensure that available funds are devoted simultaneously to the goals and objectives expressed within the Comprehensive Plans, and to the most pressing areas of need perceived by the recipient agencies. To close the information gap between expectations and achievement, the recipient agencies must be surveyed to determine the extent to which their specific sub-grants have enabled them to achieve their goals.

Results of the post-grant evaluation program will be used for the following purposes:

● Identify program areas that have been unusually successful

● Identify applications that are not likely to be successful, or that may involve solvable problems

● Identify program areas where progress is not satisfactory to enable new projects and approaches to be developed in these areas

While the evaluation of a single grant is useful in itself, the combined results of the evaluations of several similar grants, or of grants that differ in procedures but are similar in objectives, are more useful. Experience with a group of related grants is most likely to produce a reliable index of program worth. For this reason, field data collection instructions have been designed to collect similar data about basic classes of grants. To the extent possible, given the diversity in grant goals, recipient agencies, and the uses of grant funds, project experience supports the pooling of evaluation results.

The grant evaluation process is still in its initial phases of development. More precise techniques will emerge, in part from the experience with the action sub-grants issued in 1969 and 1970, and in part from other sources such as the establishment of objective standards in such areas as communications and training, or the collection of pregrant data that will support formal "before-and-after" analysis.

The initial post-grant evaluation procedures have been designed to utilize, as fully as possible, the existing organization, mechanisms, and experience related to grant programs. The data gathering instruments have been designed for use by staff members who are familiar with the local agencies, their functions, and their specific individual problems, as well as with State plans. A further advantage is gained by utilizing in the data collection process many of the primary data users--the DJCP and PDC staffs themselves and the recipient agencies. These final data will be more meaningful to those who have participated in the collection phase.

The first systematic post-grant evaluation project was designed to cover completed action grants that had been approved in FY 1969 and FY 1970. These grants covered ten categories and 23 program titles. Grant recipients included many agencies of State and local government, and grant funds were used for a wide variety of purposes. For most of these grants no systematic evaluation criteria were established prior to grant approval, and no baseline data collected.

Before any grants were approved, however, a substantial effort was devoted to planning and structuring the grant programs. This effort included the assessment of local needs and wants through the PDC's, construction of the PDC's component plans, and the compilation of the component plans into the State Comprehensive Plan. Thus, each grant was made within the context of a program structured and monitored at the State level and directly reflecting expressed local needs.

The primary goal of post-grant evaluation is to determine whether or not the results of the grant met expectations. Two important sets of expectations must be considered in the evaluation. First, since the recipient agency has its own goals, objectives, and perceived needs, grant evaluation must be concerned with how well the grant enabled the agency to pursue these targets. At the same time, grant evaluation must consider the overall program that expresses the goals and objectives of the Virginia Council on Criminal Justice. For many reasons, the two sets of evaluations may differ. Thus, post-grant evaluation involves two basic questions:

1. How much did the grant-assisted activity help recipient agencies?

2. To what extent did the grant promote the achievement of the goals set forth in the State Comprehensive Plan?

Field work for the post-grant evaluation was carried out jointly by SSDC and DJCP staff. At the time the site visits were scheduled only a limited number of grant projects were complete enough for evaluation. In addition, the evaluation of several completed projects was deferred. Thus, a set of 61 interviews were completed during this project. The program category and title are those defined in the State Comprehensive Plan for 1970. The interviewer guides are grouped, not by program and title, but by the nature of the grant-supported activities. The major guide classes are given below:

GROUP NUMBER	CODE	ACTIVITY SUPPORTED
1	TR	Training
2	PL	Planning
3	PR	Program
4	FY	Facility
5	EQ	Equipment
6	MS	Miscellaneous

The basic outline within each of these six major groups is augmented by additional inserts for specific sub-groups, identified in Table 3.

Table 1 (Chapter III) shows the relationships among the State Comprehensive Plan program categories and titles and the survey groups and sub-groups.

B. Ranking of Grants

At the end of each grant review, the interviewer was required to make four summary judgments concerning the grant-supported project. Instructions for making these judgments are given in Figure 8.

The three categories used to rate the achievement goals reflect three different aspects of success. For post-grant evaluation purposes, the order of importance of these three ratings is:

1. Achievement of State Comprehensive Plan goals

2. Achievement of agency goals

3. Achievement of program goals

Thus, any project that meets State Comprehensive Plan goals is a success; if it also attains agency goals, this is better. To a large extent, all three ratings tended to be similar for a specific grant. Projects that rate high in terms of State Plan goal achievement tend to achieve high

Table 3. Survey Sub-group Identification

Survey Sub-Group Identification		Primary Group	Sub-Group	
Group Number	Group Code	Activity	Code	Activity
1	TR	TRAINING	a c	Outside Agency Training Agency-Sponsored Training
2	PL	PLANNING	a b c d e	Communications Planning Drug Abuse Control Planning Electronic Information Retrieval Planning Civil Disturbance Planning State-wide Standards Planning
3	PR	PROGRAM	a b c d	Juvenile Delinquency Control Program Drug Abuse Control Program Community Based Correctional Program Community Relations Program
4	FY	FACILITY	a b c d	Halfway Houses Training Facility Correction and Rehabilitation Facilities Juvenile Detention Facilities
5	EQ	EQUIPMENT	a b c d e f	Communication Equipment Court Recording Equipment Crime Investigation, Detection, Prevention Training Aid Equipment Leasing EDP Equipment Mobile Crime Lab
6	MS	MISCELLANEOUS	a b c	Psychological/Psychiatric Counseling Criminal Justice Handbooks Audio-Visual and Printed Material

ratings in the achievement of agency and program goals. Following this rating procedure, the grants evaluated were placed in order and ranked. The highest ranking grants are those scoring 7, 7, 7 (on State Plan goals, agency goals, and program goals respectively). The second highest possible ranking contains grants ranked 7, 7, 6, and so on. The lowest possible rating (not given) would be 1, 1, 1.

The purpose of ranking the grant results on this basis is to provide a simple means of considering grant results in groups. Grants can be divided by program area, by PDC, by questionnaire, and in many other ways. By examining the rankings within sub-class, any existing problem areas can be identified. Grants rated 4, 4, 4 on State Plan goals, agency goals, and program goals are considered to have exactly met their targets, with no unusual elements of success or failure. Much of the

INSTRUCTIONS

Four levels of review and judgment are required for the proper evaluation of each grant. The interviewer must provide a brief informational summary of each grant and must rank the grant judgmentally (by circling the appropriate number) on each category using a scale from one to seven, wherein one is considered to be clearly inadequate and seven is considered to be a model for other grants. The four categories are described below.

PROJECT DIRECTION AND COORDINATION

Based on your judgment of the information elicited by the questionnaire, to what degree was good direction and coordination of the grant maintained? Was responsibility clearly delegated to a qualified person, and did this individual coordinate the work of the various agency interests involved?

ACHIEVEMENT OF PROGRAM GOALS

To what degree did the operation of the grant meet the needs that prompted the grant request? To the extent that the expression of need (not method of conduct of the grant) changed through amended applications, the amendment should be the base on which you rest your judgment.

ACHIEVEMENT OF AGENCY GOALS

From the understanding you have gained from the interview, to what degree were the *goals expressed* by the agency representative (not what you necessarily think they should be) aided by this grant?

ACHIEVEMENT OF STATE PLAN GOALS

From your understanding of the DJCP Virginia Comprehensive Plan, to what degree did the grant conform to the plan and its goals?

Since one of the primary purposes of this audit is to aid the DJCP in improving its ability to carry out the plan in each of the four categories described above, you also should provide suggested grant conditions or limitations that would serve to correct any deficiencies in future grants of a similar nature. For each of the four categories, identify also:

- The major problems affecting the success of the project
- How they could have been or were solved
- How they can be avoided in future projects

RATING SCALE DESCRIPTION

7 *Model Project:* excellent on any judgmental criteria chosen

6 *Very Good Project:* above average expectations on any criteria chosen with several excellent areas

5 *Good Project:* above average in most areas with no overwhelming inadequacies

4 *Average Project:* no outstanding characteristics, or a project with offsetting wide deviations above and below (explain in detail)

3 *Successful Project:* below average in most areas, but with no major shortcomings

2 *Moderately Successful Project:* below average in most areas with major deficiencies (explain)

1 *Poor Project:* wholly below average, in need of improvement

Figure 8. Project Evaluation Summary and Recommendation Instructions

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efforts of the Council and DJCP staff are directed to issuing grants that achieve ratings above this. Of the 61 separate ratings, 52 were scored above 4, 4, 4--the level of success considered as average. Only five grants were scored with a rating of less than "4" on the attainment of State goals. Overall, the DJCP and Council programs have been very successful in terms of their stated purposes. Table 4 shows the number and percent of grants rated "1 through 7" on the attainment of State goals. Table 5 shows the number of evaluations conducted within each State Plan program category and title. The bulk of the evaluations occurred in the following two program categories:

- Upgrading Law Enforcement Personnel

- Improvement of Detection and Apprehension

These two Program Categories accounted for 85 percent of the evaluations completed.

The three grants in Program E, Improvement of Prosecutions, Court Activities, Law Reform, and in Program F, Improvement of Correction and Rehabilitation, were highly rated. All three of these grants included training.

Table 4. State Program Goal Achievement Ratings

Rating*	Number Receiving this Rating	Percent Receiving this Rating	Number Receiving this Rating or Better	Percent Receiving this Rating or Better
1*	0	0	61	100
2	3	5	61	100
3	2	3	58	95
4	12	20	56	92
5	23	38	44	72
6	19	31	21	34
7	2	3	2	3

*1=Lowest rating possible
7=Highest rating possible

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Table 5. Mean Ranking by Program Category and Title

Program Category and Title	No. of Studies	Mean Rank
A. Upgrading of Law Enforcement Personnel		
1. Training and Education	16	27.7
2. Construction	1	13.0
3. Criminal Justice Management	1	60.0
Category Totals	18	28.7
B. Prevention of Crime		
1. Drug Abuse Control	3	46.3
Category Totals	3	46.3
D. Improvement of Detection and Apprehension		
1. Forensic Labs	2	28.5
2. Communications	28	32.7
3. Electronic Information Systems	2	28.5
4. Improvement of Crime Investigation, Prevention and Detection	2	52.3
Category Totals	34	33.3
E. Improvement of Prosecutions and Court Activities, Law Reform		
4. Judge's Training	2	4.5
Category Totals	2	4.5
F. Increase Effectiveness of Corrections and Rehabilitation		
3. In-service Training	1	7.0
Category Totals	1	7.0
I. Improvement of Community Relations		
1. Improvement	3	28.8
Category Totals	3	28.8
Grand Totals	61	31.0

Within Programs A and D, Program A appears to be meeting with slightly more success.

A second way of organizing the 61 grants is by the nature of the service supported by the grant. This is the basis on which the survey outlines were developed. Table 6 shows the number of grants and mean rank of ratings, by major survey outline group.

Most of the grants involved either equipment or training. The numbers in the remaining classes are too small to be significant in themselves. Generally, the grants involving training have been judged to be more successful than those involving equipment.

Table 6. Mean Ranking by Activity Group

Code	Group	Number Evaluated	Mean Rank
TR	Training	20	26.2
PL	Planning	3	24.5
PR	Program	4	38.5
FY	Facility	1	13.0
EQ	Equipment	33	32.3
	Totals	61	31.0

Chapter VII

RECOMMENDATIONS

A.   Evaluative Techniques

The post-grant interview technique can be supported by other eval-
uative techniques. For some projects no personal interviews should be
used. The conduct of an interview requires about 2 hours on the average.
In addition to the 2 interview hours, time is spent on travel, scheduling,
and post-interview analysis. Effectively, each grant interview involves
the direct expenditure of one-third to one-half a man-day plus travel and
living expenses. Thus, wherever less expensive alternative procedures
are satisfactory, they should be used. As an economy measure, related
grants may be grouped and the group treated as a single grant for the
purpose of evaluation. This technique was used, for example, in an eval-
uation that involved one police department that had received several
separate grants to purchase radio communication equipment, and also in a
case involving several police agencies that had received grants for
training in the same course. Thus, the 61 completed evaluations cover a
somewhat larger number of grants. Another economy technique, as yet un-
used, is to collect the post-grant evaluation data through self-reporting
mail questionnaires, telephone interviews, or both.

These techniques, selectively combined with the interview, will
yield almost as much information as a 100 percent interview census of
grants. Several factors affect the choice of evaluation technique.

One major consideration should be the number of interview evaluations
that have been conducted on similar grants and their results. After
several interview evaluations have been made on a specific type of grant,

key questions that identify the extent of success are plainly apparent; alternative ways in which the grant-supported products or services can be used have been identified; possible problem areas have been underlined; and the relative importance of detailed evaluations of additional grants of the same type is diminished.

A second major factor affecting the technique decision is the dollar value of DJCP support, both for the specific project and for the program category and title. In the case of small sub-grants, the cost of conducting an interview can be excessive relative to the amount of DJCP funds involved. Conversely, if large amounts of funds are involved, the relative cost of evaluation is less, and the information collected for evaluation is of proportionately greater importance.

A third factor to be considered in the selection of an evaluation technique is previous experience of the DJCP with the recipient agency. If possible, interviews should be scheduled with agencies that have not been interviewed previously or that have a record of relatively low goal achievement on project management. Otherwise a telephone interview or self-reporting questionnaire would be satisfactory.

Finally, the ease with which a given grant can be evaluated should be considered. In some cases, the purpose and anticipated results of a project are clear, objective, and tangible. These grants can be evaluated on the basis of unambiguous data that can be collected readily by telephone or mail. In other cases, the impacts of the grant-supported project are less easy to express, and the personal interview technique is more likely to be effective.

Just as there are grants that require something less than an interview for evaluation, there are others that require more than an interview. The interview technique alone is not sufficient on some kinds of grants; an interviewer cannot always collect enough hard data in cases that require complex evaluations. Often the interview technique will reveal

that a further in-depth review is required. In such cases, formal studies covering the grant or grants can be designed and carried out. At least two such projects are included in the grants already examined, namely, some aspects of the PLECS project and of the regional law enforcement training schools in Northern Virginia and Roanoke.

The PLECS system provides for mobile-to-mobile interjurisdictional police communications. Also under the PLECS project, communications systems for intra-agency communications were improved, and the necessary number of radio frequencies allotted. The aspect of PLECS that requires further review involves the sparce use of the interagency capabilities of the system. Study objectives should be, first, to determine why there is limited usage; second, what department requirements are met by the system; and third, what alternative methods are available to provide some level of interjurisdictional communication.

The training schools also should be compared and contrasted in a formal study. Both have evolved to meet the needs of police agencies for in-service training, but the organizational structures of the two training facilities differ. In all likelihood, the cost per student hour and total operating costs for the schools also vary. Both of these programs were very highly rated on the basis of interviews. The purpose of this formal study, therefore, is not to rank one program ahead of the other, but rather to describe the two structures and their relative advantages and disadvantages in terms that will provide guidelines for other regional training facilities.

In some areas, the interview technique is only a partial solution to the total problem of evaluation, and must be supported by additional evaluative information. As an example, while the interview technique does produce useful information about police-community relation projects, this method must rely on opinion as to the extent to which police-community relations have improved and as to the contribution a particular project has made to police-community relations. The development of firm

estimates of effectiveness in this area clearly will require major study. This probably should be undertaken at regional or even national levels and the results disseminated. Methods of improving the effectiveness of the interview technique in similar problem areas are discussed in the following section of this chapter.

In summary, while the evaluation procedures can rely primarily on a post-grant interview technique, other techniques also are required. As a matter of economy, less expensive methods can be used on some grants with satisfactory results. In more complex cases, formal in-depth studies are required for effective evaluation.

B. Use of Standards and Guidelines

The post-grant interview evaluation process itself can be made more effective in several ways. The most important of these is to use more extensively formal plans, standards, and guidelines, both for program planning and for project evaluation.

Many of these planning documents now exist, not only within agencies of the Commonwealth, but in professional organizations at the State and national levels. Standards, where they exist, are a particularly useful tool, since they can be used to diagnose deficiencies in existing systems, to serve as the basis of formal planning for corrective programs, and finally as the focal point for post-grant evaluation.

To achieve full effectiveness in all of these areas, the planning documents must be specific, factual, and concrete, rather than abstract or conceptual. A review of the FY 1969 and FY 1970 grants reveal that the majority of grants have been made in areas or for purposes that are or can be incorporated in concrete programs and plans. Moreover, this majority includes many of the grants that will prove difficult to evaluate effectively through the interview technique and without a standard, such as the police/community relations programs. With a standard to work against, the interview can focus on the extent of compliance to the standard of

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1 OF 2

evaluation. This separates the problem of program goal attainment evaluation from the problem of project goal attainment evaluation. To determine the effectiveness of a total program, formal studies must be undertaken.

C. Interview Guides

A second means of improving the interview technique is to improve the interview guides through review and analysis. For example, the question, "If this grant money had been awarded without restriction, how would you have used the money?" has not produced significant data in the interview to date. The intent of the question was to determine whether the comprehensive program was inducing recipient agencies to concentrate on secondary problems simply because funds were available. No indication that this is occurring is apparent. Thus, for the present, this question should be dropped entirely, or modified to inquire into the nature of the agency's most pressing identified problem.

There are other areas in which questions could be modified to sharpen the evaluation. These have been noted by the individual interviewers in their experience summaries.

D. Uses of Grant Evaluation

Finally, the effectiveness of the total post-grant evaluation program depends on the uses to which the evaluative information is put. The purpose of evaluation is to make the ongoing grant-supported programs more effective. Thus, significant evaluation results must be delivered both to the DJCP staff and to the Council on Criminal Justice to support program planning and grant approval activity. In this context "significant" implies useful information, either positive or negative. All grants receiving unusually high or low achievement ratings should be reviewed by DJCP staff to identify information transferable to other jurisdictions. The information can be useful in determining special grant conditions and in influencing recommendations for grants. This information also can be useful to grant applicants who can be referred directly

to a previous grant recipient with a grant experience that is likely to be useful. The DJCP can maintain lists of vendors, equipment, courses, and services to assist agencies in the selection of products and services. The DJCP also can recommend or require purchase procedures designed to eliminate unsatisfactory purchases.

In addition to a grant-by-grant review of evaluation results, the DJCP should review entire programs. If a series of grants in a given category and title tend to be low, the program itself should be reviewed to determine if there are alternative ways of reaching program goals. The low rating also may reflect the difficulty of achieving goals in a specific program area.

The DJCP staff should review grants in program areas where the agency and State goal achievement ratings differ substantially. Such a pattern implies that there is a significant difference between State and agency goals, and that one set of goals can be achieved independently of the other. In this case, program goals should be reviewed to ensure that harmony is established to the extent possible.

E. Implementing a Grant Evaluation Program in DJCP

The DJCP should plan to implement an evaluation program centered around the post-grant interviews as soon as possible. The rate at which grants are completed will rise rapidly in the next 12 to 18 months, and the evaluation data should be current to be of most value. The most pressing requirement is the procurement of interviewers. The rapidly increasing workload of the DJCP will prevent the use of current DJCP staff for this purpose. With the problems of initiating the program and related procedures, as well as actually conducting interviews, the post-grant evaluation program will require the equivalent of one staff member full time over the next year. However, rather than using one individual to conduct all interviews and develop all new survey forms, it is preferable to use the current staff in their own areas of expertise, and as-sign the additional staff member the primary responsibility for evaluation,

and secondarily some tasks assigned to current staff on an exchange basis.

In initiating the post-grant evaluation program, the following steps should be taken. First, the working papers from this project should be reviewed. A file of vendors, related products, and services should be created, and a procedure to make this information available to sub-grant recipients should be initiated.

The DJCP staff should review the five problem grants identified in the working papers. In addition to the measures suggested in the sum-maries of these grants, the DJCP should consider remedial actions for the communications equipment grants. The extent to which the DJCP should attempt to induce vendors to make good the equipment is a policy matter. However, the DJCP has the following options to consider:

- Obtain a quote from the vendor to repair the equipment and support this with a grant

- Ask the vendor for an allowance on the equipment; return the equipment; and support the purchase of new equipment from another vendor

- Approach the vendor directly and indicate that, since the equipment has proven unsatisfactory in use, unless is is re-paired the DJCP will not support additional purchases of similar equipment

The completed interview forms should be filed and indexed by vendor, by goods or services purchased, by recipient agency, and by program and title. A master list of unevaluated grants should be started and main-tained. The procedures for actually planning and conducting the inter-views are outlined in Volume III.

The DJCP also should consider the alternative and additional forms of evaluation suggested and the recommendation for improving the post-grant evaluation interview forms.