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BJA Bureau of Justice Assistance

A REPORT TO THE ATTORNEY GENERAL

**AN INSTITUTIONALIZATION STUDY OF FY 1991
BYRNE FORMULA GRANT-FUNDED PROJECTS**

MARCH 29, 1996

AN INSTITUTIONALIZATION STUDY OF FY 1991 BYRNE FORMULA GRANT-FUNDED PROJECTS

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EXECUTIVE SUMMARY

This study, for the first time, has enabled the Bureau of Justice Assistance (BJA) to document in a systematic way the extent to which projects initiated using Byrne Formula Grant Program (Byrne) funds have become institutionalized. It addressed the question "What happens to Byrne-funded projects when Byrne funding ends?" Project institutionalization was determined by whether these subgrantees continued to receive the benefits of or services provided through the project after Byrne funding ceased.

This Study covered only those projects supported with Fiscal Year (FY) 1991 Byrne funds, but will serve as the prototype for future annual BJA studies and reports. The study began with an examination of all 3,630 FY 1991 subgrant projects reported to BJA as of late October 1995, and involved a two-part mail and telephone survey to obtain more detailed information on these projects.

Both the State agencies administering the Byrne Program (SAA's) and subgrant recipients were surveyed. BJA was able to obtain information and provide analysis for 396 projects that were intended to be of a long-term nature, to determine their current status and level of activity and the reasons for their continuation or cessation. In addition, this report includes analyses of a number of different subsets of the 3,630 FY 1991 Byrne-funded projects.

The study provides a significant indication of the success of the Byrne Program in meeting its primary goal, which is to provide support to its constituency group of the State and local criminal justice agencies to initiate innovative projects that respond effectively to crime problems and improve the operations of the Nation's criminal justice system.

In addition, the study illustrates the flexibility within the Byrne Program to be responsive to different types of State and local needs. Byrne recognizes the need for both long-term and short-term projects.

It allows promising project ideas that subsequently prove unsuccessful to be weeded out, while allowing maturation time for transition of successful projects from Federal support to State and local support.

The information and insights obtained in this first study of the institutionalization of Byrne-funded projects will lead to modifications in the planned survey of FY 1992 subgrants to be conducted next year, and will serve as the basis of a growing body of knowledge and data pertaining to the Byrne Program.

The key findings from this study are as follows:

- o Of 3,630 projects supported with Byrne funds in FY 1991, 80.1 percent (N=2,908) were re-funded through Byrne in a subsequent fiscal cycle and 19.9 percent (N=722) were not re-funded. The 722 Projects Not Re-Funded were divided into Long-Term Projects expected to continue after Byrne support ceased (N=480, or 66.7 percent) and Short-Term Projects (N=242, or 33.3 percent) not requiring continuation.
- o Short-Term Projects provided a measure of flexibility within the Byrne Program. They were intended to benefit the recipients, but not to require long-term operation or funding. Examples include evaluations, training seminars, planning grants, backlog-reduction projects, and responses to emerging crises such as serial homicide investigations.
- o BJA obtained information on 396 of the 480 Long-Term Projects. Of these 396 Study Projects, 73 percent (N=289) were still operating, many for as long as 3 to 4 years after Byrne funding ceased.
- o The factor with the strongest relationship to whether or not a project continued after Byrne funding ceased appeared to be the type of project. In general, projects normally associated with corrections (e.g., correctional improvements, alternatives to incarceration, and

treatment) and prevention/education (especially D.A.R.E. projects) showed somewhat higher than expected continuation rates. Law enforcement projects showed little deviation from expected rates in the aggregate, but more task forces were re-funded and many more general law enforcement improvement projects were short-term than was expected. Prosecution and adjudication projects also appeared to have slightly lower than expected rates, but their numbers were too small for confirmation. Analyses by type of implementing agency were consistent, and showed the same types of slight variations among the different system components implementing the projects.

- o Other than project type, most of the other project data used to analyze the survey results did not differ in any notable way from subset to subset. That is, State identification, government level of recipient, funding level, and reasons for SAA discontinuation of funding did not appear to affect the distribution of numbers of projects within the various subsets. However, in many cases, the low numbers of projects available for analysis made definitive findings impossible.
- o Of the 396 Study Projects, 33.9 percent reported that the reason for not continuing the project or for continuing it at a lower level of activity was their inability to obtain sufficient resources, rather than a lack of interest in continuing the project or because the project was not achieving its goals.
- o Failure to achieve project objectives was cited as a reason by the SAA's for not re-funding projects for only 8.3 percent of all projects expected to be continued (Long-Term Projects); subgrant recipients cited this reason for project discontinuation or lower-level project operation for only 6.3 percent of all Study Projects.

WHAT HAPPENS TO PROJECTS FUNDED UNDER THE BYRNE FORMULA GRANT PROGRAM WHEN BYRNE FUNDING CEASES?

**(AN INSTITUTIONALIZATION STUDY OF FY 1991
BYRNE FORMULA GRANT-FUNDED PROJECTS)**

Section I. STUDY PURPOSE

This study addresses the question "What happens to projects funded under the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant Program (hereinafter, Byrne) when Byrne funding ceases?" This project was specifically undertaken at the request of the Attorney General. It addresses a need the Bureau of Justice Assistance (BJA) had earlier identified as critical to demonstrating the value of the Byrne Program in a more systematic way than had been possible through individual evaluations or anecdotal evidence already available.¹ This study covers only those projects supported with Fiscal Year (FY) 1991 Byrne funds, but will serve as the prototype for future annual BJA studies and reports.

¹ A telephone survey of State agencies administering the Byrne Program was conducted by BJA in August 1995 (hereinafter, Informal Survey). Although not prepared for publication, this survey provides a wealth of anecdotal and opinion-based information that allows some comparisons with, and qualitative additions to, this current study.

Section II. STUDY SCOPE AND METHODOLOGY

In all, 3,630 FY 1991 subgrant projects had been reported to BJA and entered into its Individual Project Report (IPR) System as of October 23, 1995.² Starting at that time, BJA conducted a two-part mail and telephone survey to obtain more detailed information on these projects.

The first part of this survey (hereinafter, Survey Part I) was responded to by all State Administrative Agencies (SAA's).³ They identified which of these FY 1991 projects were re-funded through Byrne after the FY 1991 cycle, and which were not.

In the second part of the survey (hereinafter, Survey Part II), BJA attempted to follow up on all of those projects not re-funded that were intended to be of a long-term nature, to determine their current status and level of activity and the reasons for their continuation or cessation. The following methodology was used in conducting the study:

Sample selection. FY 1991 was chosen for this survey because it was the most recent fiscal year for which virtually all Byrne funding had ended.⁴ At the time this study was initiated (October 1995), over 20,000 individual projects funded from FY 1987 through FY 1995 had been recorded

² The BJA IPR System is primarily a tracking system for recording basic information on subgrants made by States with their Byrne funds; it was not intended as a research tool, but served as a sufficient database from which to obtain certain project information needed for this study.

³ SAA's are agencies designated by the Chief Executives of the 50 States, the District of Columbia, and the five Territories (hereinafter, all referred to as "States") to receive and distribute Byrne funds.

⁴ The Virgin Islands requested that remaining FY 1991 funds be made available to them after the recent devastating hurricane, and this grant was extended by the BJA Director. All other FY 1991 grants are either closed or pending closure following their legislatively prescribed grant periods and any extensions made by BJA.

in the IPR System. It was not practicable to pursue the outcome of all of these projects.⁵ FY 1991 subgrants had been completed far enough in the past to have had their Byrne funding discontinued. At the same time, subgrant completion would not be so distant that SAA staffs and subgrant recipients could not recall the details of the transition from Federal to other sources of support, or the reasons why some projects were not being continued using State and local funding.

Two-part followup survey process. Although many SAA's maintain stability of staff over time, others experience high turnover, especially following political changes in their States. Thus, BJA felt it was unlikely that it could rely solely on SAA staff to conduct a study of these projects.⁶ Accordingly, we adopted a bifurcated followup survey process in which we first asked States to separate the 3,630 awarded subgrants into those for which FY 1991 was not the last year of Byrne support (Projects Re-funded) and those for which it was the last year of Byrne support (Projects Not Re-funded). We also asked for other information, including the primary reason why certain projects were not re-funded and whether, at the time of initial funding, the SAA expected the projects would be continued after Byrne funding ceased, i.e., Long-Term Projects. The SAA part of the survey (Survey Part I) was performed primarily by mail, with a few followup calls to SAA's as needed for clarification. The instructions and coding scheme for Survey Part I are provided in Appendix A.

Following this initial separation of Projects Re-funded from Projects Not Re-funded, BJA staff attempted to contact all Projects Not Re-funded identified by the SAA's in Survey Part I, as initially "expected to be continued by State or local recipients after Byrne funding ceased."⁷ For this second

⁵ However, a decision was made to establish FY 1991 as the first year of an annual survey process, with FY 1992 projects being surveyed next year, FY 1993 projects the following year, etc., so that an accumulation of information could be obtained within a reasonable period of time.

⁶ It should be noted that some SAA staff members demonstrated substantial institutional memory of prior years' activities and were able to provide us with details about some subgrants that greatly illuminated this process.

⁷ The question here was not whether the SAA staff who made the initial or final funding decisions did or did not personally believe that the recipient State or local agency would pick up the project. Rather, the question was "Would a reasonable SAA staff person, at the time of the initial funding

part of the survey, after mailing or faxing out the survey instrument, we primarily made telephone contact, although many subgrant recipients also sent the completed survey forms back to us. We asked subgrantees to describe their level of current activity, if any, and, if none, why the project had not been continued. The instructions and coding scheme for Survey Part II are in Appendix B.

Definitions used. This study is about "institutionalization" of Byrne projects. The key question to be answered is whether or not subgrantees receiving Byrne funds became institutionalized, i.e., continued to receive the benefits or services of the project after Byrne funds ceased. The concept of "services provided or benefits resulting from" the project is one BJA adopted in recognition that, although many projects involve actual services to new or existing criminal justice system populations, other projects involve such overall benefits as improvement in procedures or addition of equipment that have a long-term positive impact on the recipient's ability to serve or process its target population.

Similarly, we felt that the level of project services or benefits that continued (i.e., enhanced, the same, or lower) also is important, and is distinct from the level of project funding. A substantial portion of projects begun with Federal support do not need the same level of funding to continue their activities successfully; many projects have high startup costs (e.g., due to equipment purchases, training of core staff, or renovation of facilities) that are nonrecurring.

Byrne funds have been especially important in establishing the capacity of criminal justice agencies to perform services and provide benefits that were not possible before the subgrants because the State or local agency recipient could not meet the high startup costs. Once off and running, however, these projects can be maintained, as Long-Term Projects, at essentially the same level of benefits or services at a substantially lower cost. Thus, our distinction between level of benefits or services and level of funding is highly consistent with the mission of Byrne, which is primarily a "seed money" program. It is aimed at innovation and filling of gaps in overall criminal justice system operations. It is not

decision, have expected that, once started on Federal funds, this type of project would become operational and eventually be continued by the recipient State or local agency?"

intended to be a source of continuing support for operational programs.

We also recognized a category of projects for which Byrne funding was not intended to lead to ongoing services or benefits. These Short-Term Projects were useful to the recipients, but were never intended to involve a continuing cost. Because our core distinction rests on continued benefits or services, rather than on what the Byrne funds or recipient funds specifically paid for, this was a small category. Most evaluation and training efforts, backlog-reduction projects, and a few other types of activities would be considered Short-Term Projects. However, this subset does not include projects where large equipment purchases were essential to achieve the goals of the project, if that equipment was still being used for the original purpose. Nor, for example, would it include training curriculum development, if the curriculum was still being used.

Once we established these three subsets through Survey Part I, we used Survey Part II to learn more about the Long-Term Projects. As expected, some of these projects had been continued by the recipients after Byrne funding ceased, and some had not. We call these respectively "Projects Continued" and "Projects Not Continued." We were primarily concerned with how many of all the Long-Term Projects also were Projects Continued. However, because not every Long-Term Project that was contacted responded, we had a smaller subset (N=396) of the Long-Term Projects to work with. We called this category "Study Projects."

In sum, we have established a set of definitions to govern our separation of the 3,630 FY 1991 Byrne-funded projects into a number of subsets relevant to the study goals; and we have named these subsets to enhance clarity in our discussion of study findings. These subsets are as follows:⁸

- o Projects Re-funded: Projects supported by Byrne funds after FY 1991.

⁸ More detailed instructions were included with Survey Part I (see Appendix A) and Survey Part II (see Appendix B). Later in this report, we will also provide some additional definitions related to level of services and benefits for Projects Continued.

- o Projects Not Re-funded: Projects receiving no more Byrne funds after FY 1991.
- o Short-Term Projects: Projects not re-funded that, due to the short-term nature of their objectives, were not expected to require recipient support after FY 1991.
- o Long-Term Projects: Projects not re-funded that were expected to continue providing services or benefits to the recipients after Byrne funding ceased in FY 1991.
- o Study Projects: Long-Term Projects that responded to Survey Part II with information on their current status of operations.
- o Projects Continued: Long-Term Projects that are ongoing or are still realizing benefits.
- o Projects Not Continued: Long-Term Projects that are not currently ongoing.

The flow chart on the following page summarizes the distribution of FY 1991 projects into these subsets, as determined from Survey Part I and Survey Part II.

Analysis of the data. The data obtained from Survey Part I and Survey Part II have been compared to key project data contained in the IPR System, including State, government level of subgrantee recipient, purpose area (i.e., general type of project), type of implementing agency, and end date of Federal funding. A copy of the IPR form on which project information is filed into the IPR System by the SAA is included in Appendix C.

Section III. BRIEF DESCRIPTION OF ALL FY 1991 SUBGRANT PROJECTS

In FY 1991, 3,630 individual projects were supported with Byrne funds. Through Survey Part I, we determined that, of these, 722 (19.9 percent) were not re-funded through Byrne in a subsequent fiscal cycle, and 2,908 projects were re-funded. Of the 722 Projects Not Re-funded, 480 (66.7 percent) were considered by the SAA's to be of such a nature that they should have been continued by State or local recipients after Byrne funding ceased (Long-Term Projects); 242 (33.3 percent) were intended to be Short-Term Projects.

Although the primary focus of this study is on the Long-Term Projects, this section briefly compares the three subsets comprising all FY 1991 subgrants (i.e., Projects Re-funded, Long-Term Projects, and Short-Term Projects) and provides additional definitions of categories used throughout the study to illuminate differences in the various subsets examined.

Overall, 2,908 of the FY 1991 projects (80.1 percent) were re-funded under Byrne. This high level of Projects Re-funded is consistent with the overall purpose of the Byrne Program. That is, Byrne is based on a "seeding" concept that encourages innovative or gap-filling projects to be funded, then allows them time to mature before funding is discontinued. It is common for a State to fund the same project for three or four fiscal cycles to allow this maturation process to occur. Thus, one would expect at least two-thirds and perhaps as many as three-fourths of all projects funded in any given cycle not to be in their final year of funding.⁹

In general, a cap of 4 years (48 months) of continuous funding is established by the legislation governing the Byrne Program. However, multijurisdictional drug task forces may be exempted from this "Four-Year Rule," and many task forces are given the advantage of this exemption by the

⁹ Further, significant increases in funding levels in FY 1990 allowed more States to start new programs that year than at any time since FY 1987. Thus, many FY 1991 subgrants were in only their second year of funding.

SAA's.¹⁰ Because 27.4 percent of all FY 1991 projects fell into a category primarily comprised of multijurisdictional task forces (purpose area #2), the high percentage of these types of projects undoubtedly contributes to the 80.1 percent re-funded rate.

Both by definition and by SAA identification, 242 projects fell into the subset of Short-Term Projects. There was no attempt to follow up with these subgrantee recipients, because these projects were neither re-funded nor currently operating.

Funding level. The following pie charts present the breakout by dollar amount and number of the 3,630 total projects funded under Byrne for FY 1991 by the three subsets identified by the SAA's as part of Survey Part I.

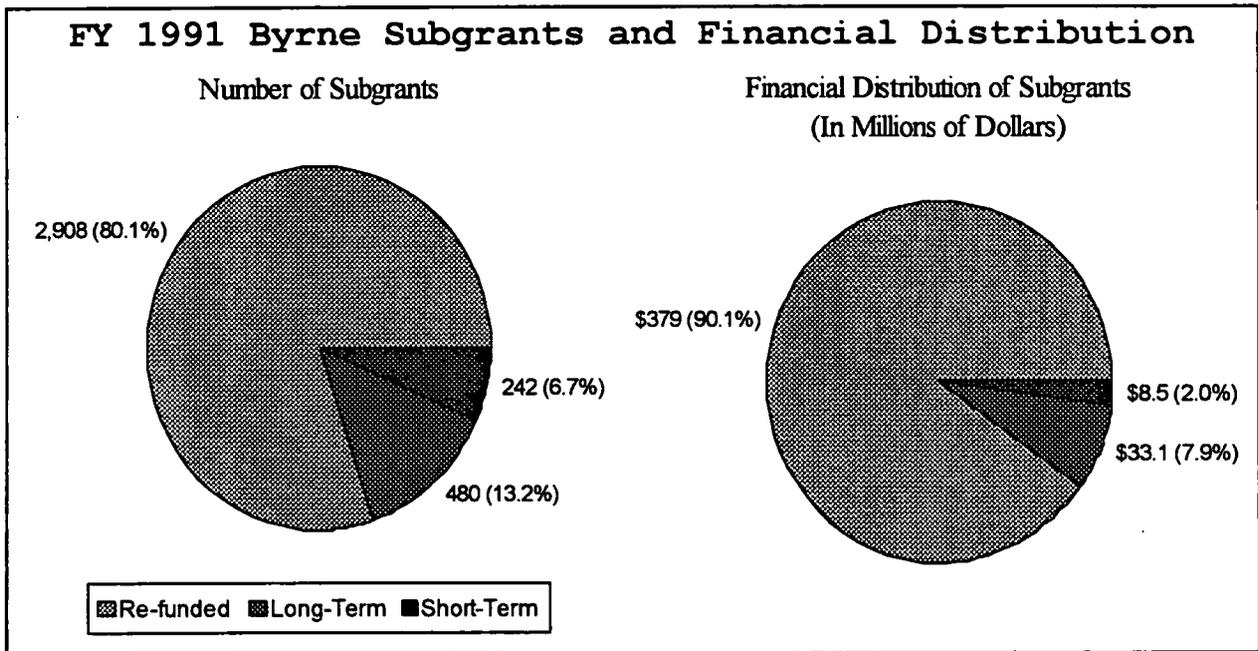


Figure 2

Although the dollar breakout among these three subsets differs proportionally from the breakout of

¹⁰ In FY 1991, only this exception existed. At a later time, exceptions were added to the law for gang task forces and victim services.

project numbers, the reasons for this difference are not readily apparent, other than the possibility that the small dollar investment made in Short-Term Projects artificially inflated the other dollar figures.¹¹

We do not hypothesize that subgrant dollar amount is in any significant way related to subsequent Byrne funding or project continuation by recipients.

State-by-State distribution. No clear pattern appears when comparing Byrne Projects Re-funded to those not re-funded (i.e., Long-Term and Short-Term Projects combined). Three States re-funded all FY 1991 projects in the next cycle; 2 States re-funded less than 50 percent of their FY 1991 projects. Excluding these States, 30 re-funded more than 80 percent of their projects and 21 re-funded fewer than 80 percent. A State-by-State comparison chart provided in Appendix D includes these three Survey Part I subsets, as well as the other subsets used in this study. Separate analysis of the Long-Term Projects is deferred until Section VI; some additional information on Short-Term Projects is provided below.

Only 37 States reported having any Short-Term Projects. Four had more Short-Term than Long-Term Projects and two States, California and New York, accounted for 109 (45.0 percent) of all the Short-Term Projects. Together with Connecticut, Minnesota, and West Virginia, these States accounted for 59 percent of such projects. A look at these five States offers insight into this subset.

The New York Short-Term Projects arose from a program aimed at assisting smaller, mainly rural police departments with purchasing specialized equipment needed for undercover and other drug surveillance. Individual subgrant amounts ranged between \$1,000 and \$31,000. No major investment was needed, because the State provides manpower assistance through a large State Police task force and the recipients in many instances agreed to pool equipment with that purchased by neighboring jurisdictions.

¹¹ The average project dollar amount for Projects Re-funded was \$130,312, whereas for Long-Term Projects it was \$68,989 and for Short-Term Projects it was \$35,165. However, the range of funding for individual projects within these subsets was so broad that we cannot attribute any importance to these averages.

The Short-Term Projects for West Virginia consisted almost entirely of single-agency drug enforcement projects. The State provided funding to police departments for 1 or 2 years, under the condition that they move toward the development of multijurisdictional drug task forces.

In the other three States, there is no single type of project accounting for the large numbers of Short-Term Projects. California's projects fall into several purpose areas, in no apparent pattern. In Minnesota, a number of subgrants were made to communities to conduct crime prevention planning and to cover startup costs associated with neighborhood-based prevention projects. The fifth State, Connecticut, used short-term funding to provide a quick response to emerging crises, such as serial murder and auto theft; funding was also used to develop a master plan for providing alternatives to incarceration for juvenile offenders.

Recipient level. Only State and local units of government are eligible subgrant recipients under the Byrne Program. The above graphic presents analysis of the government level of this official recipient of Byrne funds. It showed no notable differences among the three subsets (Projects Re-funded, Long-Term Projects, and Short-Term Projects), except for a slightly higher percentage of State agency recipients within the Short-Term Projects.

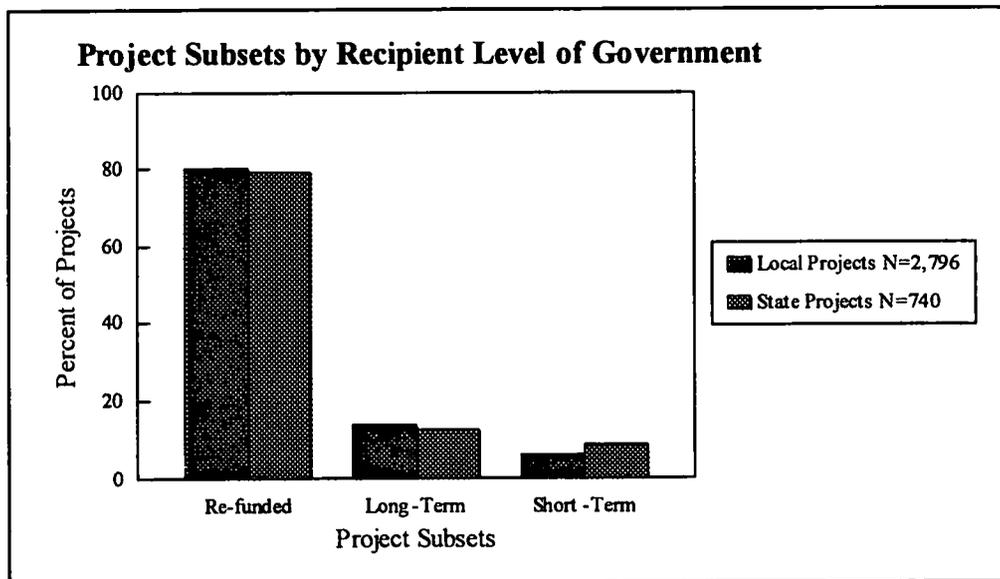


Figure 3

The distribution among subsets does not differ from what would be expected, based on aggregate percentage distribution of all 3,630 projects, when one looks at the likelihood of a project being at the State or local level. That is, approximately 80.0 percent of both State and local projects were Re-funded Projects, whereas about 13.0 percent were Long-Term Projects. The smaller numbers overall of Short-Term Projects gives rise to a small spread from 5.8 to 8.5 percent, but this is not significant.¹²

Purpose area. This study's analyses utilize the 21 legislatively authorized Byrne "purpose areas" that were in effect in FY 1991. Although BJA is moving shortly toward a more specific coding system based on program type as well as on purpose area, this new coding is not yet part of the automated IPR system. The sometimes broad and overlapping nature of the purpose areas precludes total precision in defining what types of projects fall within them, although general areas of project type (e.g., law enforcement or corrections) can be pinpointed. Therefore, for example, although most task forces fall within purpose area #2, not all purpose area #2 projects represent task forces. We do not attempt to collapse these 21 purpose areas into the more generic categories such as law enforcement or corrections, but do refer to them by fairly generic labels that do not convey all possible variations within them, e.g., "#13-Treatment." A list of the purpose areas and the types of projects funded under them is provided in Appendix E.

Only slight differences in purpose areas appear between the Projects Re-funded and the two subsets of Projects Not Re-funded (i.e., Long-Term and Short-Term Projects combined). Whereas #5-Stolen Property and #19-Evaluation were the only purpose areas with more Projects Not Re-funded than Re-funded, other purpose areas had unexpectedly high numbers of Projects Not Re-funded, including #4-Crime Prevention, #7-General Law Enforcement, #13-Treatment, and #15-System

¹²The distribution of Short-Term Projects into State and local levels is interesting, however, because all but two of the projects for the five States described in the preceding State-by-State distribution subsection were at the local level. That is, 61 of the 63 State-level projects were in States other than the 5 States having the largest numbers of Short-Term Projects overall. Because these 61 projects fall into many different States and purpose areas, there is no readily apparent explanation.

Improvements.¹³

The category with the lowest percentage of Projects Not Re-funded was #2-Task Forces. Overall, 996 of all projects funded in FY 1991 fell into this purpose area. Of these, 891 (89.5 percent) were re-funded and 105 (10.5 percent) were not. Other purpose areas with unexpectedly low numbers in the Projects Not Re-funded subset included #10-Adjudication, #14-Victims Services, and #17-Public Housing Enforcement.

In looking exclusively at the Not Re-funded subsets, some differences appear between the Long-Term and Short-Term Projects. Purpose area #3-Domestic Drug Supply Reduction and #20-Alternatives to Incarceration projects appear almost exclusively in the Long-Term Projects subset, whereas #19-Evaluation and #7-General Law Enforcement appear in more Short-Term than Long-Term Projects. The latter finding is explained by the New York, West Virginia, and other State Short-Term Projects discussed earlier in this section.

Implementing agency type. Often the agency (e.g., law enforcement or courts) implementing a project is not the one initially receiving the Byrne funds. This is true particularly if the agency or organization ultimately receiving funds is a private nonprofit group, such as a treatment provider or a community-based group. Also, law enforcement agencies are likely to implement projects that fall into a large number of purpose areas--such as D.A.R.E. projects, which we normally categorize as "prevention/education" projects. Therefore, we attempted analysis by implementing agency type. Unfortunately, this analysis was hampered throughout our study by the large number of projects for which this type of information either was missing or did not readily fall into a standard criminal justice system category.

¹³ For the purposes of this and other analyses, the term "unexpectedly" means that the percentage of projects falling into one subset over another is noticeably higher or lower for a particular factor than is the overall percentage of the aggregate projects when comparing one subset to another. In some cases, there were too few actual projects falling within that factor to make such analysis feasible.

We do attempt to collapse this type of information in the analysis of Projects Continued, as discussed in Section V, but here, we found only one readily apparent deviation from the expected breakouts. That is, whereas all projects being implemented by a "treatment" agency were distributed as expected between the Re-funded and Not Re-funded subsets, all but one of the 47 Projects Not Re-funded was a Long-Term Project. This finding is interesting in light of the results of the purpose area analysis above where Alternatives-to-Incarceration projects were nearly all Long-Term, because both types of projects tend to fall within the general area of "corrections."

Section IV. ANALYSIS OF REASONS GIVEN BY SAA'S FOR NOT RE-FUNDING LONG-TERM PROJECTS WITH BYRNE FUNDS AFTER FY 1991

Under Survey Part I, BJA asked the SAA's why the 480 Long-Term Projects that were identified as expected to be continued were not re-funded. Five options were offered.¹⁴ The following chart presents the breakdown of answers given:

Reasons Why Projects Were No Longer Byrne Funded

Reasons Provided by SAA's	Number	Percent
Four-year funding rule	92	19.2%
SAA funding limitation rule	80	16.7%
Shift in State priorities	40	8.3%
Project not implemented successfully	40	8.3%
Subgrantee action	226	47.1%
Other reason	2	.4%
TOTAL	480	100.0%

Figure 4

The finding related to the legislatively-mandated Four-Year Rule is not surprising. Together with SAA funding limitation rules, which are used by a few States,¹⁵ law and policy limitations on

¹⁴ In the initial survey of SAA's, BJA provided only four options and an "other" category. Our review of the answers provided in the "other" category led us to recode (often after doublechecking with the SAA's) most answers into an additional category called "subgrantee action." SAA staff responding to the survey were quite forthcoming with written explanations for why projects were discontinued, when the BJA-provided options were not sufficient. Therefore, from a research standpoint, this later recoding appears quite valid.

¹⁵ The SAAs' funding limitation rules were identified during Survey Part I. Only three States (Maryland, North Carolina, Pennsylvania) have across-the-board limitations for virtually all projects;

continued Federal funding account for over one-third (35.9 percent) of all Long-Term Projects not re-funded.¹⁶

Forty projects were coded as "not implemented successfully," pursuant to our instructions that the SAA's choose this option if their funding decision rested on a belief that the project was not meeting its intended goals. This number represents only 8.3 percent of all Long-Term Projects. This finding is not unexpected given the emphasis on innovative projects inherent in the Byrne Program.¹⁷ Forty more projects were discontinued because the State changed its priorities and wanted to use its scarce Byrne resources in other areas.

Two hundred twenty-six projects (47.1 percent) were not re-funded because the subgrantee recipients did not reapply. This was an unexpectedly high percentage. The reasons for not reapplying could represent either a positive finding (e.g., the subgrantee obtained funding elsewhere) or a negative finding (e.g., they could not obtain match or their jurisdiction had changed its priorities). In some cases, the SAA's told us that the concept of the projects themselves changed substantially or were enhanced in such a way that the SAA's no longer considered them in need of funding. The following

North Carolina generally funds only for 2 years, whereas Maryland and Pennsylvania indicate their normal cycle is 3 years. Wisconsin indicated they fund most projects for 2 years and South Carolina indicated their limit is 3 years, although both States allow exceptions, e.g. for multijurisdictional task forces. A large number of States indicated they had funding limitations for certain types of project purpose areas, particularly D.A.R.E. (Colorado, Idaho, Oklahoma) and certain law enforcement projects (Alaska, West Virginia). A few States indicated they are planning to institute a rule more restrictive than 4 years. However, most of the States indicating they have some type of State policy that is more restrictive than the Federal rule did not specifically state that their SAA rule was in effect in FY 1991. Thus, the correlation with study results is not exact.

¹⁶However, the SAA's responding to an Informal Survey question about the utility of the Four-Year Rule split between those that thought it promoted continuation (N=16), those that thought it prevented high survival rates (N=15), and those that thought it made no difference or depended on the individual project (N=21).

¹⁷ Further, 11 of these 40 projects were identified during Survey Part II as ongoing; see last subsection in Section V.

analysis in Section V of the 396 Study Projects for which Survey Part II responses were obtained will provide further examination of the reasons these projects did not reapply for Byrne funds.

Section V. ANALYSIS OF LONG-TERM PROJECTS INTENDED TO BE CONTINUED BY RECIPIENTS WHEN BYRNE FUNDING CEASED

Information was obtained in Survey Part II from the actual subgrant recipients for 396 of the 480 Long-Term Projects identified by SAA's during Survey Part I as having been intended to be continued by the State and local recipients when Byrne funding ceased. This number represented a response rate of 82.5 percent. The following discussion will focus on these 396 Study Projects, examining them both in the aggregate and by subsets defined in this section.¹⁸

One of the most important findings in our study is that 289 of the 396 projects (73.0 percent) that were intended to be continued were in fact still ongoing—some for as many as 4 years after Byrne funding ceased.¹⁹

The primary type of analysis applied to these 396 Study Projects was a comparison of the 289 Projects Continued having project services or benefits ongoing after Byrne funding ceased with those 107 Projects Not Continued that were no longer operational or had no continuing benefit at the time our study was conducted. We looked at comparisons of these two subsets by such factors as: current level of operation, State-by-State distribution, recipient level (State versus local government), purpose area, type of implementing agency, and length of time ongoing after Byrne funding ceased. We also examined the reasons some projects either were no longer ongoing or were operating at lower levels than when they were Byrne funded.

Current level of operation for projects still ongoing. The 289 Projects Continued fell into

¹⁸ Reference is also made to definitions provided in Section II and illustrated in Figure 1.

¹⁹ These results are remarkably consistent with the Informal Survey, in which SAA's were asked to estimate the extent to which their subgrant projects continued after Byrne funding ended. Their responses, although ranging from 10.0 percent to 100 percent, clustered primarily at the higher end of the scale, between 50.0 percent to 100 percent, with a mean response of 70.0 percent. Seven of the 56 States did not answer this question.

three levels of operation. One hundred twenty-two projects (42.2 percent) indicated their operations were at an enhanced level, greater than that during the period of Byrne funding; 114 (39.4 percent) indicated their project was operating at the same level; 53 (18.3 percent) indicated their project was still operating, but at a lower level than during the Byrne funding period.

State-by-State distribution. A State-by-State analysis of this information was hampered by the low numbers of Long-Term Projects identified in Survey Part I for most States. Analysis was further hampered by the unevenness of the response rates for different States in Survey Part II.²⁰ However, some positive results can be highlighted. All of North Dakota's 15 projects were continued, 21 of Colorado's 24 Study Projects were Continued Projects, and 11 of Missouri's 12 Study Projects were Continued Projects. Only 4 States had at least 20 projects each among the 396 Study Projects; for these 4, the continuation rate ranged from 66.7 percent to 87.5 percent, as compared to the 73.0 percentage rate for all Study Projects. See Appendix D.

Recipient level. The question of whether the level of government receiving project funding has any relationship to project continuation was examined. Again, level of government here includes two categories: State agencies and local agencies (i.e., city/towns, counties, and Indian tribes). Data regarding government level was available for 385 of the 396 Study Projects. Of these 385 projects, 314 (81.6 percent) represented subgrants to a local agency and 71 (18.4 percent) represented subgrants to a State agency. For both government recipient levels, approximately three-quarters of the 385 projects, continued at some level of operation or benefit.

However, as is demonstrated in the following chart, it appears that State agency projects, if ongoing at all, were slightly more likely to continue at the same or enhanced levels than were local projects.

²⁰ The actual number of Study Projects per State varied widely, from none for seven states (Arkansas, American Samoa, Delaware, Georgia, the Northern Mariana Islands, Puerto Rico, Wyoming) to 41 for one State (North Carolina). Only 15 States reported 10 or more projects, and only 4 (Colorado, Florida, Louisiana, North Carolina) had over 20 projects. Two States with relatively large numbers of Long-Term projects (Ohio, Texas) also had high numbers of nonresponses.

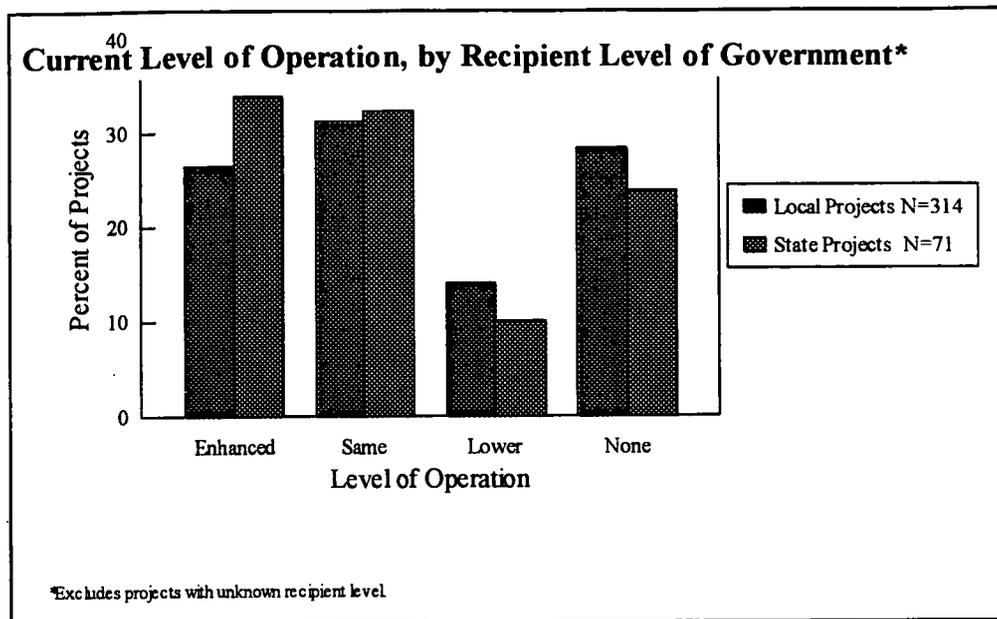


Figure 5

Purpose area. Although purpose area data was available for all of the 396 Study Projects, only 18 of the 21 purpose areas are represented by these 396 projects. In all but 2 of the 18 purpose areas for which there was data, more projects fell into the Projects Continued subset than into the Projects Not Continued subset. For the other 2 purpose areas, the numbers were evenly distributed between these subsets.²¹

Examining only those purpose areas applicable to at least 20 of the 396 Study Projects reveals that for one category--#11-Correctional Improvements--33 out of 37 projects (89.2 percent) were continuing at some level of services or benefits. Other purpose areas with higher than expected numbers of Projects Continued were #1-Demand Reduction Education, #4-Community-based Prevention, and #15-Information Systems. Again, "higher than expected" means that the percentage

²¹Missing purpose areas are #5-Stolen Property, #6-White Collar Crime, and #12-Prison Industries; those with even distribution are #16-Innovative Programs and #17-Public Housing.

of projects in the subset (i.e., Projects Continued) for that purpose area exceeded the mean rate for project continuation of 73.0 percent for all 396 Study Projects in the aggregate.

Purpose Area #2-Task Forces showed only 37 projects continuing out of 65 (56.9 percent). This purpose area showed the lowest rate of continuation. #10-Adjudication also had sufficient data to determine that its rate of continuation was unexpectedly low.²²

Type of implementing agency. Unlike the purpose area analysis, it was necessary to group implementing agencies into broader categories for analysis; the categories include prevention/education, law enforcement, prosecution, courts, corrections, treatment/youth services, and "other." Type of implementing agency data was available for 330 of the 396 Study Projects. The following chart portrays the various rates and levels of continuation by type of implementing agency:

Type of Implementing Agency by Level of Operation*

Type of Implementing Agency	Projects Continued at Some Level								Projects Not Continued		GRAND TOTAL	
	Enhanced		Same		Lower		Subtotal		#	%	#	%
	#	%	#	%	#	%	#	%				
Prevention/ Education	0	0.0%	3	50.0%	2	33.3%	5	83.3%	1	16.7%	6	100%
Law Enforcement	60	26.1%	71	30.9%	35	15.2%	166	72.2%	64	27.8%	230	100%
Prosecution	0	0.0%	8	57.1%	2	14.3%	10	71.4%	4	28.6%	14	100%
Courts	6	50.0%	0	0.0%	1	8.3%	7	58.3%	5	41.7%	12	100%
Corrections	14	46.7%	11	36.7%	0	0.0%	25	83.3%	5	16.7%	30	100%

²²In the Informal Survey, a number of SAA's suggested a key factor relating to institutionalization was program type. For example, whether it was "one shot" funding (Short-Term); or was an "excepted" (from the Four-Year Rule) project; or, was in a specific system area such as prevention/education (specifically, D.A.R.E.) or corrections or law enforcement. Some respondents indicated level of operation for projects which "survive" varied by type of program/system component.

Treatment/ Youth Services	11	39.3%	1	3.6%	8	28.6%	20	71.4%	8	28.6%	28	100%
Other	5	50.0%	0	0.0%	1	10.0%	6	60.0%	4	40.0%	10	100%
TOTAL	96	N/A	94	N/A	49	N/A	239	N/A	91	N/A	330	N/A

*Excludes projects with unknown type of implementing agency.

Figure 6

A large majority of the projects implemented by corrections agencies (83.3 percent) were continuing at some level of operation. This is consistent with the purpose area finding reported above. Although there were only 6 prevention/education implementing agencies, too few to draw any conclusion, we determined that 36 of the 230 projects implemented by law enforcement agencies were conducting D.A.R.E. projects, which we normally treat as prevention/education projects. Adding these 36 to the 6 other prevention/education projects, and comparing continuing to not continuing projects, results in a very high continuation rate (83.3 percent). This finding is consistent with the previous purpose area analysis. Excluding these 36 D.A.R.E. projects leaves a continuation rate for the remaining 194 projects implemented by law enforcement agencies at 70.1 percent, which is somewhat lower than would be expected.

Length of time project has continued since Byrne funding ceased. The initial award period for a Byrne Formula Grant is 3 years, but most of the FY 1991 grants received an additional 1-year

extension and some received two extensions. This means that the SAA's could have made subgrants at any time during a 4- or 5-year period, and that some of these subgrants could have end dates as recent as September 30, 1995. As the above chart illustrates, our data shows that the Study Projects had end dates ranging from as recently as 10 months prior to September 30, 1995, to as long ago as 51 months before that date. **In fact, over a third (106 of 289) of the Projects Continued had been operating 3 or more years after Byrne funding ceased.**

Reasons why some projects are no longer operating or are operating at lower levels than when Byrne funded. Twenty-seven percent of the Study Projects (N=396) either are no longer operating or are operating at a reduced level of services or benefits. The reasons given by Study Projects responding to Survey Part II are shown in the following pie charts:

Figure 8

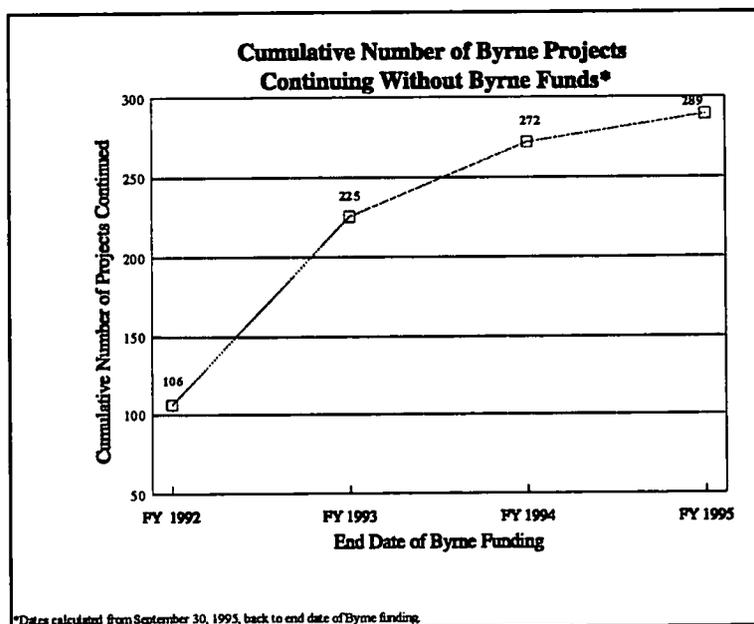
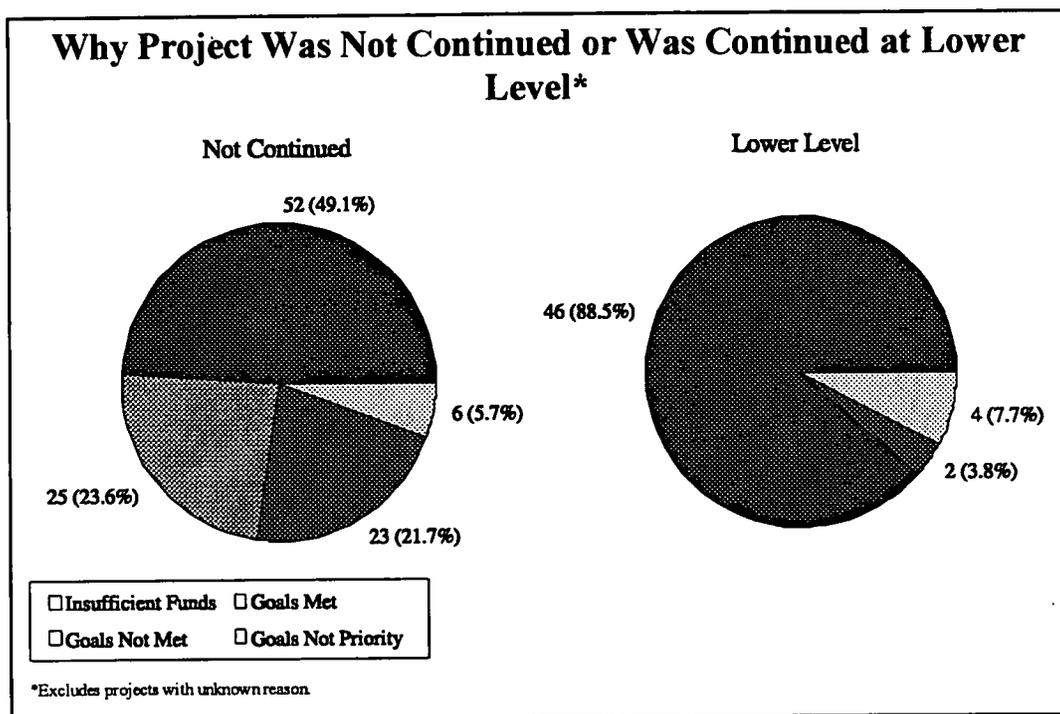


Figure 7

Nearly half (49.1 percent) of the 107 Projects Not Continued cited lack of financial resources as the reason the projects had to be terminated. Had sufficient funding been available, these projects could have continued to provide needed benefits and services to their jurisdictions.

On a more positive note, nearly one-quarter (23.6 percent) of the projects stopped operating because they achieved their goals and moved resources to other initiatives. Further analysis of these successful projects revealed no distinguishable pattern in either the type of project being funded or the State responsible for the funding. The projects were funded in 18 separate States and in 5



different criminal justice areas: law enforcement, treatment, courts, information systems, and crime prevention. Some projects involved training rather than operational services.

However, nearly an equal percentage of Projects Not Continued (21.7 percent) indicated they were no longer operating because they did not achieve their goals. Here again, no distinguishable pattern

could be found either by State or type of criminal justice project. These unsuccessful projects were funded in 17 separate States in 4 criminal justice areas: law enforcement, treatment, information systems, and evaluation. Again, a few of these were training projects. The importance of this finding is that of the 107 Projects Not Continued, only these 23 (21.5 percent) ended because they were not being successfully implemented.

Approximately one-fifth (18.4 percent) of the 289 Projects Continued were operating at a lower level of services or benefits as compared to when they were receiving Byrne funding. The above pie chart also shows the three reasons given by these subgrantees for their reduced operations. The results are very similar to those for the Projects Not Continued. Eighty-eight-and-one-half percent of the Projects Continued at a lower level cited lack of adequate financial resources. Only 3.8 percent of the projects reduced their operating level because of an inability to achieve their goals.

Examining the two subsets of Projects Not Continued and Projects Continued but operating at a lower level together, we have 98 projects citing insufficient resources (See Figure 8). Analysis of these projects by such factors as, e.g., State or purpose areas, failed to reveal any patterns that might suggest reasons beyond those given by subgrantees.²³ Thus, we find for both subsets that the ability to procure sufficient financial resources is paramount in maintaining a consistent level of project services or benefits, even when the project itself is achieving its objectives.

Relationship of continuation rates to reasons why the project were not re-funded under Byrne.

Drawing on and comparing data from Survey Part I and Survey Part II, this section examines the continuation rates for Projects Continued and Projects Not Continued to the reasons these projects were not re-funded by the SAA's.

²³ In the Informal Survey, when asked for reasons that programs were not continued, SAA's often mentioned "money" first. However, they also cited other factors, including: not planning for institutionalization or not being aware of where to get funding; lack of community support; lack of proper "packaging" to demonstrate the success of a project or ensure a "positive awareness" of its value; project did not work out; project no longer consistent with the current political priorities or the recipient's assessment of needs; lack of pressure on the project to succeed at the recipient level.

Reasons Why Projects Were No Longer Funded, by Level of Operation

Reasons Provided by SAA's	Projects Continued at Some Level								Projects Not Continued		GRAND TOTAL	
	Enhanced		Same		Lower		Subtotal		#	%	#	%
	#	%	#	%	#	%	#	%				
Four-year funding rule	24	33.3%	25	34.7%	8	11.1%	57	79.2%	15	20.8%	72	100%
SAA funding limitation rule	20	27.8%	22	30.6%	13	18.1%	55	76.4%	17	23.6%	72	100%
Shift in State priorities	10	27.8%	10	27.8%	7	19.4%	27	75.0%	9	25.0%	36	100%
Project not implemented successfully	3	9.4%	5	15.6%	3	9.4%	11	34.4%	21	65.6%	32	100%
Subgrantee action	57	31.1%	59	32.2%	22	12.0%	138	75.4%	45	24.6%	183	100%
Other reason	0	0.0%	1	100.0%	0	0.0%	1	100.0%	0	0.0%	1	100%
TOTAL	114	N/A	122	N/A	53	N/A	289	N/A	107	N/A	396	N/A

Figure 9

As the above chart indicates, none of the reasons given by SAA's appears to lead to deviation from the expected distribution into different subsets other than the obvious reason, i.e., that the SAA felt a project was "not implemented successfully." Here, 75.0 percent of projects so characterized were either Projects Not Continued or Projects Continued at a lower level. Yet, interestingly, 11 of the projects characterized as "not implemented successfully" by the SAA's were found to still be operating.

Section VI. SUMMARY OF KEY FINDINGS

- o Of 3,630 projects supported with Byrne funds in FY 1991, 80.1 percent (N=2,908) were re-funded through Byrne in a subsequent fiscal cycle and 19.9 percent (N=722) were not re-funded. The 722 Projects Not Re-Funded were divided into Long-Term Projects expected to continue after Byrne support ceased (N=480, or 66.7 percent) and Short-Term Projects (N=242, or 33.3 percent) not requiring continuation.
- o Short-Term Projects provided a measure of flexibility within the Byrne Program. They were intended to benefit the recipients, but not to require long-term operation or funding. Examples include evaluations, training seminars, planning grants, backlog-reduction projects, and responses to emerging crises such as serial homicide investigations.
- o BJA obtained information on 396 of the 480 Long-Term Projects. Of these 396 Study Projects, 73 percent (N=289) were still operating, many for as long as 3 to 4 years after Byrne funding ceased.
- o The factor with the strongest relationship to whether or not a project continued after Byrne funding ceased appeared to be the type of project. In general, projects normally associated with corrections (e.g., correctional improvements, alternatives to incarceration, and treatment) and prevention/education (especially D.A.R.E. projects) showed somewhat higher than expected continuation rates. Law enforcement projects showed little deviation from expected rates in the aggregate, but more task forces were re-funded and many more general law enforcement improvement projects were short-term than was expected. Prosecution and adjudication projects also appeared to have slightly lower than expected rates, but their numbers were too small for confirmation. Analyses by type of implementing agency were consistent, and showed the same types of slight variations among the different system components implementing the projects.

- o Other than project type, most of the other project data used to analyze the survey results did not differ in any notable way from subset to subset. That is, State identification, government level of recipient, funding level, and reasons for SAA discontinuation of funding did not appear to affect the distribution of numbers of projects within the various subsets. However, in many cases, the low numbers of projects available for analysis made definitive findings impossible.

- o Of the 396 Study Projects, 33.9 percent reported that the reason for not continuing the project or for continuing it at a lower level of activity was their inability to obtain sufficient resources, rather than a lack of interest in continuing the project or because the project was not achieving its goals.

- o Failure to achieve project objectives was cited as a reason by the SAA's for not re-funding projects for only 8.3 percent of all projects expected to be continued (Long-Term Projects); subgrant recipients cited this reason for project discontinuation or lower-level project operation for only 6.3 percent of all Study Projects.

Section VII. CONCLUDING OBSERVATIONS

This study, for the first time, has documented in a systematic way the extent to which projects initiated using Byrne Program funds have become institutionalized. The study results are gratifying. Seventy-three percent of all projects for which FY 1991 was the last Byrne-funded year, that were expected to be continued by the State or local recipient after Byrne funding ceased, did in fact continue. A significant portion of these projects are operational or still providing benefits to the recipients as long as 4 years after Federal support ended. Certainly, this is an indication of the success of Byrne in meeting its primary goal, which is to provide support to its constituency group of State and local criminal justice agencies, to allow them to initiate innovative projects that respond effectively to crime problems and improve the operations of the Nation's criminal justice system.

Further, we found that a few projects expected to continue (N=25 or 6.3 percent) were no longer operating only because the goals established for these projects were achieved at some point after Byrne funding ceased. These were successful projects. A third category that we believe has contributed substantial benefits to the Byrne constituency group is short-term projects not expected to continue after Byrne funding ceased. However, during this study, we did not obtain sufficient information on this category to provide hard evidence of its impact. For next year's study of FY 1992 subgrants, we will look more closely at the short-term projects.

In addition to demonstrating some of the benefits of the Byrne Program, the study illustrates the flexibility within Byrne to be responsive to State and local needs. Recipients whose projects are going well generally have a good chance of receiving Federal assistance over a 2- to 4-year period. This allows the projects to "prove themselves" and, in so doing obtain from the recipients' own budgets the level of support required for continuation. Ideas that initially appear promising but subsequently prove unsuccessful can be weeded out. Needs that are short term also can be accommodated without unnecessary financial burden on the recipients. Most importantly, ideas that work and improvements that become integral to the recipient's operations can survive and continue without perpetual Federal support.

This first study of the institutionalization of Byrne-funded projects has provided BJA with a number of insights into the ways in which Byrne funds are used and into the reasons for project continuation after Byrne funding ceased. This knowledge will lead to modifications in the planned survey of FY 1992 subgrants, to be conducted next year. Questions we want to pursue more specifically at that time are why funding decisions are made and why successful projects are successful.

For example, this year we asked why some projects did not survive; we did not ask why the other projects did survive. Next year's institutionalization study will include focus on the "why successful" question. However, some answers given by SAA's in our earlier Informal Survey shed light on what these agencies feel is important. Projects that both meet the needs of the community and demonstrate that they meet these needs tend to survive. This means the projects must actually meet needs that are perceived by the community as problems and be properly documented and communicated to the public and decision-makers. We believe this combination is a function of good management and good evaluation.

Also in the Informal Survey, the SAA's frequently mentioned that new projects must fit within the overall organization and subculture of the recipient's criminal system. If an innovation is perceived as being "too outside" the normal experiences or traditional methods used by criminal justice practitioners, despite its ability to meet real needs, it may not survive.

The SAA's also had some insightful ideas on how their own actions contribute to and encourage institutionalization. They can: require a commitment from applicants up front to institutionalize or to provide a plan for continuation after Byrne funding ceases; emphasize the Four-Year/SAA funding limitation rules at project initiation to ensure the applicant knows that Federal funding will end within a few years; help subgrantees identify alternative sources of funding, including assisting them in presentations to budget authorities (e.g, State legislature or city manager); require recipients to document their projects' progress and successes throughout, to build the case for their survival; and, consider individual subgrantee performance each year before re-funding.

Finally, as part of this study's survey of SAA's, we asked in Survey Part I if they were conducting or had conducted an institutionalization study themselves. A few States indicated that they had looked at this issue and had some statistics, at least for some individual projects. Several other States indicated they had recently undertaken or were planning to perform such a study. BJA will incorporate information from these single-State studies into its future institutionalization studies as data becomes available.