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STRATEGIC EVALUATION PLAN

Volume II

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STRATEGIC EVALUATION PLAN -

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By

The Strategic Evaluation Planning Project,
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PREFACE

This volume, the second of two that describe the Strategic Evaluation Plan (SEP) developed for the Office of Criminal Justice Planning, provides the detailed documentation for SEP's conclusions and recommendations. Here, the extensive scholarly research, which went into the project, is set forth. For example, the Plan is based on a thorough search of the relevant literature; references to these sources are cited and such sources are listed in the bibliography at the end of the volume.

The Office of Criminal Justice Planning (OCJP) is sometimes referred to in this volume as the California Council on Criminal Justice, CCCJ. At present, OCJP is an administrative agency for CCCJ; at the time much of the research was done, OCJP had not yet been created from CCCJ.

We wish to acknowledge, with our thanks, the valuable contributions made to the Plan by the following persons: Members of the Steering Committee, in addition to the undersigned: Barbara K. Boxer, Robert Emrich, Thomas Galloway, G. Brian Jones, Solomon Kobrin, and Ruby Yaryan. Technical staff, in addition to James G. Fisk and Marvin Hoffenberg: Donald Atwater, Barbara K. Boxer, and Rakesh Sarin. Technical consultants: Robert Emrich, G. Brian Jones, and Solomon Kobrin. Bibliographer: Eric MacDonald. Coordinator of

the technical staff and consultants: G. Brian Jones. Support staff supervisor: Thomas B. Moule. The Regional Directors, representing the counties of California. Representatives of operating agencies in the California criminal justice system and of local units of government who participated in workshops and group discussions held in the early stages of the project. The authors of working papers in the early stages of the Project: James Dyer and Joseph Fielding, Llad Phillips and Harold L. Votey, Solomon Kobrin, and Mary Hruby.

The authors of Volume II were also the contributors to Volume I.

James G. Fisk, Project Director

Marvin Hoffenberg, Technical Director

Charles R. Nixon, Faculty Adviser

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THE BACKGROUND OF THE EVALUATION PLANNING PROJECT
AND THE STRATEGIC EVALUATION PLAN

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THE BACKGROUND OF THE EVALUATION PLANNING PROJECT
AND THE STRATEGIC EVALUATION PLAN

This paper presents the historical highlights of the project and comments on some of its findings. The main subjects are: the legislative mandate, selection of a task force manager, the phases of the Strategic Evaluation Plan (SEP), groundwork for the SEP, the University as project manager, and a look toward future UCLA-Office of Criminal Justice Planning (OCJP) cooperation.

The Legislative Mandate

Federal Legislation and Administration

The Omnibus Crime Control and Safe Streets Act, contained in Public Law 93-83, requires that the annual approved comprehensive plan of each state shall:

Provide for such fund accounting, audit, monitoring, and evaluation procedures as may be necessary to assure fiscal control, proper management, and disbursement of funds received under this title.

The Law Enforcement Assistance Administration (LEAA) makes a more specific requirement:

Each State Planning Agency shall assume the responsibility for undertaking effective evaluation of its funding decision, not for its own sake but for the purpose of improving future planning. Therefore, each action project, administered by the State Planning Agency, shall be evaluated if it at least meets one of the following criteria:

1. If it proposes to reduce the incidence of a specific crime or crimes;
2. If it purports to produce quantifiable improvements of some aspect of the criminal justice system;
3. If there is potential for technology transfer.

Evaluation shall be defined as determining whether the project or program accomplished its objectives, in terms of either preventing, controlling or reducing crime or delinquency or of improving the administration of criminal justice within the context of the State Comprehensive Criminal Justice Plan. Such evaluation shall include, whenever possible, the impact of the project or program upon other components of the criminal justice system (National Conference of State Planning Directors, 1973).

Public Law 93-83 also requires each state planning agency to provide information and data as required by the National Institute for the Law Enforcement and Criminal Justice (NILE) so that it may conduct evaluations and studies of the programs and activities assisted by the Omnibus Crime Control Bill.

California Legislation

Penal Code Section 13823 subsection (a)(6) simply requires the OCJP to "conduct evaluation studies of the programs and activities assisted by the federal acts" (Deering's California Codes, 1974).

The OCJP's Evaluation Needs

The mission of the OCJP is:

to be a catalyst in the reduction of crime in California by assisting all criminal justice agencies in planning for the future, by acting

as a clearing house and creator of projects for improved methods of preventing crime and returning offenders safely to society and by marshalling resources to make Californians safe from crime in their streets, neighborhoods and countryside (California Council on Criminal Justice, 1972a, p. 3).

To fulfill this mission, the OCJP expressed its evaluation needs in a Notice of Intent to Contract (California Council on Criminal Justice, 1972b):

As part of its responsibilities to administer funds under the Omnibus Crime Control and Safe Streets Act, the [OCJP] is responsible for the evaluation of programs and projects initiated under the State Comprehensive Plan. The [OCJP] itself has evidenced great interest in this area and is desirous of such information to assist in guiding program direction, providing funding decision data, and recommending improvements in the operation of the criminal justice system. It is manifestly important that both the Regional boards and the [OCJP], as well as operating agencies, have available the results of project and program evaluation to provide guidance for future planning. It is also true that substantial funds have already been invested in evaluation efforts. We must begin to integrate these available data into our current efforts. As a first step in establishing a capable evaluation program, the [OCJP] seeks to develop a five-year strategic plan for the evaluation area.

Planning is a key word in this notice and in the OCJP mission statement because the planning process is the context within which evaluation is discussed in the SEP. Planning stresses the choice of future actions through a systematic evaluation of alternatives. Programming stresses the specifics of resource use --manpower, supplies, and capital equipment required for implementing an activity after it is selected. Evaluation stresses the process of assessment

designed to provide information about past and present operations and effectiveness. When planning-programming-evaluations is seen as a circular process, evaluation becomes an indispensable part of decision making. Evaluation is seen as feedback in the planning process --it closes the loop. The evaluation process provides the information necessary to decide about the funding of new projects or the refunding of old. This concept was basic to the UCLA response to the Notice of Intent (California Council on Criminal Justice, 1972b).

Selection of a Task Force Manager

The options the OCJP considered before it selected UCLA are discussed in the Notice of Intent:

The decision to place this effort in a university as opposed to a private research firm rests upon the desire of the [OCJP] to establish the planning task force upon neutral ground, such that individuals with relevant technical experience from any kind of public or private organization could potentially be a member of such a task force. It is our belief that no single institution, whether it be a research corporation, a university, or a public agency has the breadth and range of professional experience to produce a plan of sufficient quality. Our concern, therefore, is to locate the planning task force in a setting which provides the greatest flexibility in attracting professionals to the task force. It is our belief that the university offers an appropriate setting for drawing together not only university faculty, but also experienced individuals from private research corporations and from the government agencies to create the broadest

possible team. Furthermore, universities have many other advantages which are unique to this category of institutions, including: (1) the broadest possible range of professional disciplines are represented, (2) graduate students are available to assist either individually as research assistants or collectively as a laboratory class, (3) excellent library resources, and (4) immediate and personal access to the informal advice of leaders in each of the team member's fields across the nation, through the communality which characterizes the academic disciplines.

The decision to locate the project on a university campus reflects the possibility that this planning effort might represent the first step in the evolutionary development of a research institute designed to support the continuing technical needs of the [OCJP].

The OCJP-UCLA "Joint Venture"

The Notice of Intent, which was dated December 18, 1972, was circulated by the OCJP to those universities it considered to be contenders. UCLA had expressed interest in the project in April of 1972. After on-site visits by OCJP staff, UCLA was notified March 19, 1973 that it had been selected to undertake the development of the SEP. During the following several months, representatives of the University and the OCJP jointly prepared a grant application for the Evaluation Planning Project. We call this a "joint venture" because UCLA and the OCJP anticipated that, beginning with the grant application, the OCJP would make significant contributions to the SEP.

The formal beginning date for the project was June 15, 1973, and the final product was due nine months later, on March 15, 1974. Since a letter of intent was received on June 12, 1973, there was no lead time. This letter authorized the expenditure of funds to acquire necessary staff, equipment, and supplies to begin the project. The most significant effect of this short lead time was that it did not give faculty members enough advance notice to rearrange their teaching schedules. Consequently, at least two key faculty members were not able to make time available for the project.

Two directors, Prof. Marvin Hoffenberg and Mr. James Fisk, were designated for the project. Each was initially funded by the project for 25 percent of his time, but this was increased on October 1, 1973 to 50 percent for each. Also on October 1, the University underwrote the other 50 percent of Mr. Fisk's time, securing his undivided attention to the project.

Prof. Hoffenberg's responsibility was for the development of the substance of the plan, in conjunction with consultants and a Project Steering Committee. Mr. Fisk was responsible for the general management of the project and for relationships with external agencies. Perhaps the most significant intent of his role was that of interpreter: helping to translate abstractions into meaningful terms to decision makers operating the agencies in the field of criminal justice.

The Steering Committee

Technical guidance, substantive advice on development of the five-year SEP direction, and formal review on all major policy decisions were provided to project staff by a Project Steering Committee, initiated by UCLA. This group originally consisted of Prof. Charles Nixon, Mr. Thomas Galloway, Dr. Robert Emrich, and Dr. Solomon Kobrin. Later they were joined by Dr. Ruby Yaryan of the OCJP (as project monitor) and then by Dr. Brian Jones (who also became a project consultant). Prof. Hoffenberg, Mrs. Barbara Boxer, and Mr. Fisk, as staff members, participated in the committee's deliberations. This committee played a particularly important role as coordinator in assisting the University as project manager.

The Phases of the SEP

The SEP evolved in phases. One of these was the development of alternative plans and recommendations to be submitted to the OCJP for approval. This phase was to have been concluded on September 15, 1973 with the submission of these alternatives. However, it turned out that the report submitted on that date was the first of three versions developed during the next two months, and that the last version provided the basis for the development of the final SEP.

An initial search of the literature revealed that a project of this sort was unprecedented. Therefore, certain assumptions were

made which influenced the intellectual direction of the preliminary phases. The first of these assumptions was that planning evaluation must take into account certain environmental realities. To explore some of these realities, technical papers were commissioned. These papers were as follows:

"State of the Art in Social Program Evaluation with Implications for Criminal Justice System Evaluation," Dr. James Dyer and Mr. Joseph Fielding;

"System Level Evaluation," Dr. Solomon Kobrin;

"A Review of Goals, the Information Flow Process, Evaluation Technology, Existing Evaluation Capabilities and Future Evaluation Strategy Recommendations," Profs. Llad Phillips and Harold L. Votey, Jr.;

"Constraints on Evaluation," Miss Mary Hruby.

(Copies of these papers are available from the Evaluation Planning Project.)

Prof. Hoffenberg then developed a more complete description of the elements about which the strategic plan was developed:

1. Value structures - what is wanted, and criteria for choice. Organizational members, subgrantees and the wider society judge actions by various and often contradictory norms. They also may want different objectives or different means for achieving the same objective.
2. Organizational - the organization(s) for whose future the planning is undertaken. Many decisions made within the organization are the result of institutional decision making rather than that of a single individual. For the OCJP one important problem is how the organization is defined, e.g., are the Regional organizations part of the organization or not.

3. Environmental - the physical and social context of the organization. Planning is done within the context of changing socio-political and economic conditions. Of importance to the OCJP is the changing Sacramento and Washington rules and environment of the subgrantees. What a constraint or what a variable is changes over time.
4. Technical - the methodologies available for planning and for evaluation. The ideal case in evaluation is the project with one output and one decision maker whose values are explicitly stated. Much of the OCJP's projects involve many outputs, many decision makers who value differently. The outputs are uncertain with various probabilities of success.
5. Effectiveness - how to integrate and implement the various strategic decisions.

In another 1973 memorandum, describing the inseparability of planning and evaluation, Professor Hoffenberg made the following observations about planning, which provide a needed background for understanding the final version of the SEP:

Planning is an interventionist strategy and a guided set of actions to achieve a predetermined end. This is so, since the purpose of planning is to alter the flux of events from what they would otherwise be. Some important decisional aspects of the planning process are:

1. To plan means to know what is wanted. Consequently, planning starts with an examination of present and future goals and translates such goals into specific, and, where feasible, operational objectives.
2. Planning means examining the future consequences of present major decisions and determining what changes, if any, are required for achieving desired objectives.
3. Since decisions are required only for the future and only if there are alternatives, the planning process considers a spectrum of alternatives for a chosen objective and determines the basis on which choices are made.

4. Long-range planning covers an extended period and aids in determining at what times various decisions must be made.
5. Since an extended period is used, the plan must explicitly deal with problems of uncertainty.
6. The planning process involves the continuous participation of those for whom plans are made and an incentive system for them to accept the plan. Without them planning tends to be a vacuous process.

This background material, in conjunction with the Notice of Intent, resulted in an inventory of tasks that provided the basis for the various assignments to members of the staff and consultants. The development of the task structure was a disciplined intellectual exercise wherein each scholar sought to identify all the theoretical implications of an issue whose dimensions continued to expand. This structuring was assisted by a computer program that clustered task relationships at several levels of aggregation.

More than thirty tasks, grouped according to their relation to the five objectives, were assigned. Tasks involved in assessment of the state of the art covered, for example, a review of the extensive literature on evaluation, including the evaluation of programs to effect social change, and the feasibility and/or applicability of work elsewhere in the field of criminal justice and in other fields to the evaluation needs of the OCJP.

These tasks and the four commissioned technical papers helped the project get under way and resulted in the preliminary version of the plan submitted to the OCJP on September 15, 1973. (Copies

are available from the Evaluation Planning Project.)

In December 1973 the OCJP approved the basic concept of the SEP as it was presented in a November 13, 1973 document prepared by Mr. Galloway (available from the OCJP) which in turn was largely based upon the October 23 document included in this volume. In January 1974 the Steering Committee decided upon a format for the final plan. This format provided the structure and specified the substance of the SEP. Members of the project staff and consultants were assigned responsibility for certain subjects by the Steering Committee. These assignments were as follows:

Fisk: Background of the project and of the plan

Hoffenberg: Conceptual framework of the plan

Kobrin: Higher level evaluation

Jones: Project and program evaluation

Boxer: Dissemination of the results of evaluation

Emrich: Diffusion of the results of evaluation

Sarin and Atwater: Evaluating the plan

Hoffenberg (and the OCJP Evaluation Unit): Cost and organizational implications of the plan.

The production of the plan was greatly assisted by the participation of Dr. Brian Jones as coordinator of the technical staff and the consultants, and Mr. Thomas Moule as support staff supervisor.

A draft of the final version was submitted to the OCJP Evaluation Unit on February 25, 1974. They responded promptly with suggestions that were incorporated in the final SEP submitted on March 15, 1974.

The plan also benefited from the input of Regional Directors at a day-long conference in Sacramento on February 20, 1974, as discussed below.

OTHER GROUNDWORK FOR THE SEP

In the preceding section we discussed the phases through which the format and content of the SEP evolved, and important contributions that were made by various participants in the Evaluation Planning Project. Significant contributions to this evolutionary process were also made by representatives of the criminal justice system, with whom workshops and group discussions were held to obtain their inputs into the SEP.

Workshops and Group Discussions

One of the objectives of the project was to bring together representatives of criminal justice agencies and administrators from other parts of the governmental structure, concerned with criminal justice, with project staff, to familiarize them with the development of the plan and to obtain their inputs. Another objective was to obtain similar feedback from Regional Directors. It was also hoped that by conducting these workshops and group discussions the plan would gain some acceptance by its eventual users and doers even prior to its final adoption by the OCJP.

Four workshops were held: three on the UCLA campus and one in Sacramento. Efforts were made to obtain representation of each

major type of agency in the field of criminal justice. Two group discussions took place, both in Sacramento.

July 1973 Workshop: The first was a two-day, overnight meeting at UCLA. It was attended by representatives of each type of agency except the courts. This was intended for orientation; Mr. Fisk described the project, Professor Hoffenberg presented and discussed a list of first-phase tasks, and Mrs. Boxer administered a questionnaire survey.

September 1973 Workshop: This one-day workshop was held at UCLA to orient local law enforcement agencies to the project.

September 1973 Group Discussion: Mr. Fisk made a brief presentation about the project to a monthly meeting of Regional Directors in Sacramento. This led to a discussion of the relevance and practicality of the plan.

October 1973 Workshop: During the second two-day overnight workshop at UCLA, Professor James Dyer discussed the state of the art of evaluation, as presented in his technical paper. System level evaluation was discussed by Professor Solomon Kobrin, on the basis of his technical paper. Participants completed a second questionnaire. (The results of the July and October questionnaires are presented in "Evaluation Expectations of OCJP and CJS Representatives," in this volume.)

February 1974 Group Discussion: Going down to the wire (five days before delivery of a draft SEP on February 25), Mr. Fisk and Dr. Jones made another check with Regional Directors. They sought

reactions and suggestions to the subject of greatest concern to the directors, "Improving Project and Program Evaluation." Significant changes were made as a result of this meeting.

Participants

Representatives from the following types of California criminal justice operating agencies participated in one or more of the three campus workshops: law enforcement, prosecution, the courts, corrections, and probation.

A representative from each of the following organizations also participated in one or more campus workshops: Southern California Association of Governments, City Managers Association, California State Legislative Analyst's Office, City of Los Angeles Administrative Officer, Los Angeles Mayor's Office, and City of San Francisco. Some were invited because of their affiliation with professional law enforcement groups. Officials of these groups were informed of the workshops by letter and invited to participate.

Members of the staffs of the project and of the OCJP, as well as Regional Directors, attended workshops.

(Rosters of participants in the workshop and group discussion are presented in an appendix.)

What We Learned

From the workshops we learned a little about evaluation planning and much about holding such workshops, and it is to the latter we give attention here. The lessons we learned were of five general kinds:

1. Only persons with similar backgrounds and interests should attend each workshop. For example, invite representatives of law enforcement agencies to one workshop; decision makers in criminal justice agencies to another workshop; and administration officials in other parts of government to yet another workshop. Otherwise, interactions between participants are inhibited because each one feels the others don't understand or aren't addressing his problems.

2. Content and presentation should be related to participants' interests and ways of thinking. One of the workshops for law enforcement people illustrates this lesson. This workshop relied on lecture-type presentations of two technical papers by their authors, followed by open-ended discussion. Policemen, in particular, want a goal to be identified and a plan of action to reach that goal to be made specific. The two professors who presented the papers and led the discussion were accustomed to a less-structured, seminar-type approach. The contents of the papers were generally relevant to the theory of evaluation but were not responsible to the practitioners' sense of need. The presentation and discussion, although generally concerned with a plan, did not seem to be goal oriented to the practitioners. Consequently, the practitioners became impatient and did not see the workshop as worthwhile. (It did, however, serve a useful purpose by giving many of them an opportunity to vent their feelings about the OCJP.)

3. In a project such as this, which begins by considering concepts, ideas and reactions should not be solicited at the outset

from people concerned with operating problems.

4. Successful (effective) presentations and discussions require special skills. The former involves the use of well-prepared visual (and perhaps also audio) materials, and the latter, techniques of dealing with group dynamics.

5. The final lesson had to do with clarifying our own goals when undertaking a course of action. When these workshops were first proposed, they were thought of as a method of producing "match" (matching funds); other benefits were considered to be secondary. The indirect attempt to solve a fiscal problem created other, much more serious problems in the formulation of the project.

The University As Project Manager

This project sought to use the University in a novel way and create a structure through which its peculiar resources could be of service to operating agencies of this state more directly than heretofore.

The special characteristics of the University lie in the variety of activities and organizational patterns and talents it has developed. These give it great flexibility in developing ways to meet newly recognized needs and puzzling problems of public operating agencies.

Its special resource is its research faculty who are knowledgeable about the ways in which problems of organization, management, and evaluation have been dealt with by various public and private

organizations in our society and the way in which different sorts of programs have been subject to planning and evaluation. Moreover, the research faculty are especially adept in the arts of examining problems for which the solutions are not clear, and of appreciating how what is now known in related areas could be imaginatively applied to serve as a solution for newly recognized problems. The special contributions of a research faculty lie in the ability to transfer the pertinent experience and the ideas from one field of endeavor to another, as well as in the capacity systematically to examine and analyze what is really happening in many ranges of activities normally taken for granted. Much trial and error, exploration of various alternatives, and foreseeing and analyzing subsequent consequences of new policies, programs, or techniques, are involved in this process.

In working on problems of the criminal justice system or of other public operating agencies, however, it is important that faculty closely cooperate with those whose main responsibilities lie in the field. Those who operate the agency or private consultants have developed an experience and a perspective on the special problems of a particular type of public agency which the faculty with their sometimes more abstract, theoretical, and more general knowledge may lack. Ultimately the new solutions which are generated by the processes of research and analysis need to be disseminated to those who are working in the field, in this case among a variety of criminal justice agencies.

In developing cooperative relationships with outside consultants and public agency personnel, and in mounting a variety of educational and training programs, the University's organizational and intellectual flexibility made it an appropriate center for coordinating the study and serving as project manager. In this capacity it assumed a responsibility for relating its own talent to the stated concerns of the OCJP, and of the talents of outside consultants drawn either from other Universities or from private research firms. In addition, it provides a medium through which continued work on the project problems and ongoing production of a variety of educational and training programs required in the field of evaluation may be developed by building on the results of the initial strategic evaluation project. The challenge of determining what a strategic evaluation plan might be, of formulating an effective one for the field of criminal justice, poses one of those puzzling problems which serve as a real challenge to faculty talent.

The whole problem of evaluation of programs and projects in the field of criminal justice is sufficiently undeveloped to suggest a need for continuing work for several years. Such work must necessarily call for close collaboration between those who are the users and doers of evaluation in the field and those who study the processes of evaluation, assess the experience with its strategies and procedures in many fields, and thus are enabled to improve and advance the state of the art. The institutional setting of the University provided for the combined use of its own faculty talents,

and those of people outside the University, to construct a working relationship with the operating agencies in a way which promises them continuous service in dealing with the problems of evaluation for which relatively few guidelines exist. It is in respect to precisely those problems where guidelines are few, experiences limited, and puzzles and uncertainties many, that this cooperative relationship between the University and the public agencies is especially warranted. Among its other advantages, this project, therefore, serves as an experiment in which the University as project manager uses its internal and external resources, even drawing on the OCJP itself, to achieve a cooperative endeavor.

A Look Toward Future University-OCJP Cooperation

The experience of this cooperative effort between the University and an operating agency like OCJP, suggests that several tasks must be planned for in both the project's budget and time schedule. The first task is finding technically sound solutions to the puzzling problems which are posed by the operating agency. In this case, what a strategic evaluation plan was and what its fundamental structure should be constituted the technical problem. The faculty most productively found answers, expressed in technical terms. The second task was the translation of these technical answers into policies and position papers expressed in the normal communication media of the operating agencies. This second task was not initially planned

for in the present project, and some delays were caused by this failure. In future programs the organization budget should provide for both kinds of work, recognizing the distinctive talents appropriate to each. Yet building both into the same organization will greatly facilitate not only the development of significant solutions to problems faced by public agencies, but also the translation of those solutions into terms which public agencies can effectively use.

The success of cooperative relationships between the University and a public operating agency, such as OCJP, depends on several factors. There must be a recognition of the distinctive talents, interests, and responsibilities of the operating agencies and their personnel on the one hand, and University faculties' talents, interests, and career patterns on the other. They are not normally interchangeable, but certain critical problems, which pose puzzles for operating agencies and challenges to University faculty, appropriately evoke a mutual interest and concern. It is in tackling these kinds of problems that the collaboration can contribute and be relevant both to the career patterns of the University faculty and the needs of the operating agency. The second factor is to recognize that the University as an institution is a very flexible agency. It may seek new institutional arrangements to tackle new problems, and these arrangements may involve many more talents than those provided by regular faculty and research personnel. This project demonstrates the potential for a collaborative relationship built on these principles.

Perhaps the forward view of the University is best evidenced by two specifics. It has established a multidisciplinary Faculty Committee to guide the building of an institutional capacity such as that envisioned by the OCJP. Chairman of this committee is Norman Abrams, Professor of Law. And it has submitted a proposal to elaborate upon the SEP and to assist in its implementation. One of the objectives stated in the proposal is "the development at UCLA of a capability for providing continuous support to the OCJP in its implementing and communication of the SEP."

Appendix

Participants in Workshops and Group Discussions
Conducted by the Evaluation Planning Project

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Eureka Police Department

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Campbell, John R.
Lieutenant, Los Angeles County Sheriff Department

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Sheriff, Stockton

Carter, Ken
Office of the Legislative Analyst, Sacramento

Casagrande, Howard
Regional Director, California Council on Criminal Justice
Oroville

Chambers, William E.
Regional Director, California Council on Criminal Justice
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Clark, Bernard J.
Sheriff, Riverside

Concannon, Keith
Regional Director, California Council on Criminal Justice
Santa Ana

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Ellis, Robert P.
Sergeant, Compton Police Department

Gain, Charles R.
Chief of Police, Oakland

Galvin, Raymond T.
Consultant

Garcia, Lou
League of California Cities, Berkeley

Glavas, James
Chief of Police, Oakland

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Specialist (Detective), Gardena Police Department

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California Youth Authority, Sacramento

Harvey, Wesley S.
Police Commander, Los Angeles Police Department

Hayden, Honorable Richard
Judge of the Superior Court, Pasadena

Hill, Robert V.
Deputy Chief, Long Beach Police Department

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Chief of Police, San Diego

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Kenney, William
Chief of Police, Sacramento

King, Mel
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Lang, A.E. Ray
Captain, Culver City Police Department

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Chief of Police, Culver City

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Mundy, Gil
Regional Director, California Council on Criminal Justice
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Pallas, George R.
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Parsell, Dr. Alfred
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Pipkin, Chief George
Sheriff's Office, Los Angeles

Post, Allan
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Department of Corrections, Sacramento

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Chief of Police, Cypress

Scarzi, Julie
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Schander, Mary
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Chief of Police, San Francisco

Sears, Robert S.
Chief of Police, Arcadia

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Shain, I.J. "Cy"
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Shannon, George
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Stark, Tom

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Strozier, Kathy

Administrative Assistant to Chief of Police, Cypress

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Taylor, Arthur

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SYSTEM LEVEL EVALUATION

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SYSTEM LEVEL EVALUATION

This technical paper deals with the task of system level evaluation. System level evaluation is first distinguished from project and program evaluation, and its purpose is defined in terms of the information needs of the Office of Criminal Justice Planning (OCJP) and of the planning personnel throughout the OCJP Regional network. The subsystems of criminal justice, through which its goals are implemented, are then identified, and procedures are recommended for the evaluation of efforts to improve their functions. The next section examines the problem of evaluating the progress of OCJP in assisting the State's criminal justice system to increase its crime control effectiveness, and proposes a strategy for accomplishing the evaluation of this mission. The final section demonstrates the utility of information generated by function and mission evaluation for project and program planning.

As will be seen, the information generated by system level evaluation has direct and practical application to some of the major decision problems of planners. Effectively conducted planning must be capable of anticipating changes in the crime picture. Needed for this purpose, in addition to continuously updated information on crime rates, are reliable data to track both general and specific changes in the characteristics of populations, of communities, and of types of locations --changes that have been known to result in increases or decreases in crime. Such information is

particularly valuable in the planning of enforcement projects and programs. Other types of information produced by system level evaluation will help planners anticipate more accurately the effects of changes in the procedures and policies of courts and corrections agencies on the efficiency of their operations and on their effectiveness in reducing recidivism.

Evaluation is conducted for the purpose of furnishing information about the results of projects funded by OCJP. This information is needed by planners who must make decisions about the kinds of activities that are most likely to improve the performance of the criminal justice system. With respect to any specific funded project, planners need to know what, precisely, its objectives are; the level of effort that went into achieving these objectives; how successful that effort has been in reaching the stated objectives; what specific features of project activity were responsible for whatever success was attained in reaching these objectives; and whether reaching project goals has in fact improved the crime control effectiveness of the criminal justice system.

Some of these planning information needs are furnished by well designed project level evaluation. Project evaluation provides information on the level of effort required to meet project objectives successfully, and the specific character of project operations responsible for such success.

Beyond this, project evaluation also serves as the foundation for planning decisions respecting funding in certain typical

criminal justice problem areas. OCJP funds many projects which have similar objectives. Information about each project enables planners to determine what features of project activity and organization have or have not been effective in achieving their common objectives. Shared objectives across projects, such as the prevention of delinquency, upgrading the efficiency and competence of criminal justice personnel, reducing police response time, reducing the recidivism rate of released offenders, and the like, all represent programs with clear and distinctive goals. Information furnished by evaluations of similar projects may be brought together for purposes of program evaluation. Program evaluation enables planners to determine the allocation of scarce resources most likely to foster the achievement of program goals.

Two further kinds of evaluation information are needed by planners. Both require data other than that generated by project and program evaluations. The work of the criminal justice system and the implementation of its crime control goals are carried out by the agencies in its subsystems. These include the subsystems of enforcement, adjudication, and corrections. Their main functions are prescribed by law: the apprehension and charging of those suspected of offense; their prosecution; the determination of guilt; and the administration of legally prescribed penalties. Each of these subsystems also performs functions regarded as supportive of its crime reduction goals: crime prevention activities by the police; the mitigation or increase of penalty in sentencing;

and programs to foster the rehabilitation of convicted offenders. OCJP funds many projects designed to improve the effectiveness of these supportive subsystem functions. With respect to such projects planners need to know more than whether and how they achieved their stated objectives. They need also to learn whether the achievement of project or program objectives had a crime reduction payoff. They further need to know whether such success created other, unintended, problems for the agency involved or for agencies in other criminal justice subsystems, with the net effect of reducing the crime control effectiveness of the system as a whole. How this may occur is described below. As the first of two types of system level evaluation, such highly useful planning information is made available by function evaluation. The section on function evaluation presents a strategy for the development of the tools to provide the requisite information.

The second type of system level evaluation is directed to what must be the ultimate concern of OCJP and of planners throughout its Regional network. The statutory mission of OCJP is to reduce crime across the State of California. Mission evaluation, then, must be designed to provide information that will enable planners to make informed estimates of the crime reduction impact of its total operation, as well as of the specific types of its funded projects and programs.

To conduct competent mission evaluation it will be necessary to

create an information base that goes beyond the data of crime and of the operations of agencies in the criminal justice system. Essential for this purpose will be data that reflect the impact of other major social systems and institutions on the crime problem. The degree of attainable crime reduction success in any given locale, with respect to particular segments of a population or with respect to specific types of criminal offenses is limited or enhanced by a host of factors beyond the reach of OCJP funded activities. These factors must be identified and their impact on the crime problem measured if valid judgments are to be made of the crime reduction success of OCJP.

Presented in the section on mission evaluation are a more detailed exposition of the need for a social data information base, and a strategy for its development in a form responsive to the needs of criminal justice planners.

It is important to note, finally, that the Strategic Evaluation Plan (SEP) is a program for the creation of competency-based evaluation, requiring phased development over a five-year period. No element of the plan can escape the need for repeated field testing and refinement to bring it into fully operational form. This feature of the SEP applies with particular force to the development of system level evaluation. The building of the methodology and the measurement tools to conduct effective function and mission evaluation is a complex enterprise without substantial precedent in the criminal justice field. But the skills needed to accomplish this pioneering task are available, and the product of the undertaking will be a crucial contribution to the OCJP evaluation capability.

Function Evaluation

Current State of the Art

It was noted earlier that criminal justice planning is necessarily directed to the improvement of the crime reduction effectiveness of the specific agencies which administer the system. Also noted was the fact that attempted improvements must be assessed as well for possible unintended and unexpected negative effects on the overall performance of agency functions. Considered here is the question whether the technical tools to accomplish these purposes are at hand.

The activities of police, prosecutors, courts, and correctional agencies are commonly and correctly perceived as having a crucial effect on the level of the crime problem. However, there exists virtually no information concerning the effect on crime of changes in the policies, procedures, and programs of enforcement, court, and corrections agencies. Information currently generated by criminal justice agencies is designed to serve administrative and/or public relations needs. Required for internal control purposes, such information is included in standard form reports on crimes,

arrests, crime clearances, arraignments, convictions, and sentences. However, the statistics of these activities remain unexploited as a set of data elements for the construction of measures of agency operations which may be related to measures of crime and recidivism.

Measures of agency activity would enable evaluators and planners to answer some of the following questions. Does an increase in the arrest rate reduce crime, and if so, what types of offenses are most readily reduced by this means and to what extent? What is the effect on various types of crimes of changes in plea-bargaining practices? Do severe sentences have an equally deterrent effect on all types of offenses or with respect to all types of offenders? What kinds of juvenile offenses should be dealt with by diverting youth out of the juvenile justice system to reduce repetition of offense? What changes in parole policies are effective in reducing recidivism rates?

These questions can be answered satisfactorily only if there are standard, continuously available, and cross-jurisdictionally comparable measures of arrests, charge reduction, sentence severity, juvenile diversion, and recidivism. Confident answers to these and similar questions are not now available because measures of the case transaction activity of criminal justice agencies have yet to be developed. The existing state of the art in such measurement construction has been limited to initial exploratory work using enforcement and adjudication case transaction data (Kobrin, Lubeck, Hansen, and Yeaman, 1972), and to the examination of the effects on

the recidivism of adult offenders of prison and parole policies (Glaser, 1964). The substantial body of parole prediction work has limited utility for this purpose. It is relevant to the decision problems of corrections agencies alone, and it focuses not on the policies and procedures of corrections agencies, but on the personal and social characteristics of individual offenders. A technology fully adequate to the need for function evaluation remains to be developed.

Improvement Needs

Two types of resources are required to initiate improvement in function level evaluation. The first resource is a more expansive and more detailed level of data on criminal justice agency operations. The second resource is the conceptualization of agency activity in a form yielding an operational basis for its measurement.

Currently available data on a statewide basis in California, compiled by its Bureau of Criminal Statistics (BCS), are reported mainly in summary statistics on a county basis and are limited to crime report and case disposition data. Not included are the data on correctional agency disposition decisions (with minor exceptions) and the crucial elements of disposition decisions at the prosecution and sentencing stages. All data elements must be in a form capable of disaggregation to police jurisdictions and smaller jurisdictional units and to specific populations and offender groups.

With such data fully available, there remains the further need

to devise a method of measurement capable of providing an estimate based on a standard scale. Needed is a "yardstick" that can be used in every jurisdiction and across time to measure the degree to which criminal justice agencies have applied their principal means of crime control (arrests, arraignments, convictions, sentences, time served) to the cases they have processed.

With a standard for measuring agency activity it becomes possible to interpret any improvement effort as a change (an increase or a decrease) in the use of specific features of the agency's crime control capability. It then becomes possible to determine whether specified changes in agency activity have had crime reduction results, since all other kinds of agency action, having been similarly measured, may be statistically controlled. For example, if OCJP funds a seemingly successful project to reduce burglaries in a jurisdiction by increasing the arrest rate of burglary suspects, it is necessary to be certain that this outcome could not also be accounted for by simultaneous changes in police-charging practices, charge acceptance at the prosecution and lower court stage, convictions, or the severity of sentences. With these agency actions subjected to measurement, it would be possible to determine with substantially increased certainty whether the crime reduction result was indeed an outcome of an increased arrest rate.

In addition to conducting their legally mandated functions, criminal justice agencies also conduct a variety of programs designed to increase their operational efficiency and to reduce the

occurrence of criminal offenses. The evaluation of OCJP funded efforts to improve the crime control impact of such programs is properly carried out at the project and program level, and in part at the mission level. Programs of this type include reducing police response time, intensifying police-community relations efforts, or allocating increased manpower to crime prevention activities and to the rehabilitation of released offenders. These activities are also subject to measurement in ways appropriate to project and program evaluation.

As stated, two resources must be improved to foster adequate function evaluation: more extensive detail on criminal justice agency operations; and the measurement of agency action. Each of these problems is treated separately.

Alternative Approaches: Data Requirements

With reference to data needs, the following three choices are available:

1. Current BCS reports may be used, supplemented to a limited degree by whatever more detailed unpublished data BCS may have which may be provided within the limits of its restricted budget. This is the least costly approach, but the information furnished will have sharply reduced applicability to small territorial units and to specifiable population and offender groups.

2. Data obtainable from BCS, primarily at the county level, may be supplemented by each regional criminal justice planning council

receiving the detailed statistics of police, court, and corrections agencies in its region. This task may be accomplished by a small staff of specialized personnel attached to each regional council, with a substantial increase in cost over alternative one, presumably to be funded by OCJP. However, this approach is also likely to create problems of cross-jurisdictional uniformity in the classifications used for data reduction, seriously affecting the utility of the information for system level evaluation and planning.

3. As the established state agency for the collection and compiling of standardized items of criminal justice data, BCS may be required to expand the level of detail in its data collection and holdings and to make available on request special tabulations related to the entire range of planning and evaluation needs. The BCS possesses two assets supportive of such a role: a technically competent staff under skilled leadership and statutory authority to obtain uniform reports from all jurisdictions in the state.

This alternative is the most costly, although not necessarily for OCJP. In some part, the expansion of the BCS budget to perform the task may be absorbable by its parent agency, the State Department of Justice, a move perhaps requiring legislative initiative.

Alternative Approaches: Measurement Requirements

With reference to the problem of measurement, there exist two alternatives with no substantial problem of cost differential. The measurement of agency action may be normed in either of the following two ways:

1. At each stage of the criminal justice process a single indicator of agency action may be selected as a summary expression of its performance and, with the use of appropriate denominator data, normed by conversion to a rate. For example, at the police phase of the enforcement stage, either the ratio of felony crime arrests to felony crime reports or the ratio of clearances to reports may be used. Similarly, the ratio of convictions to initial felony charges placed by the police may provide a normed measure at the adjudication stage. However, the shortcoming of this approach is that whatever the unique indicator selected to represent the action at each stage, it is likely to tap only a limited segment of the range of discretion available to the several agencies in case disposition. Any effort to examine comparatively the level of action across the agencies constituting the criminal justice system of any jurisdiction, important in assessing response patterns having optimal deterrent effect, will be limited by the bias of the selected indicator.

2. An alternative measurement method designed to meet this problem utilizes all measurable components of agency action at each stage of the justice process, which are considered as rates. The rates are then converted to an index, normed to a scale representing a conceptual expression of the social function of criminal justice. This function is defined as the deployment by agencies of criminal justice of the resource of coercive sanction in the interest of crime control; that is, the legal power to arrest, convict, and

impose penalties. The agencies are endowed with a legally specified scope of discretion to vary the imposition of sanction in accord with the judgment of its functionaries of what constitutes appropriate action.

Thus, it is hypothetically possible for each agency to impose the maximum sanction which it has available. For specified agencies the imposition of maximum sanction is represented in ways consonant with their separate functions. In the case of felony crimes, for example, the maximum sanction for police agencies would be represented by an arrest for each felony crime reported and the placing of a felony charge against each suspect. At the pretrial adjudication stage, maximum sanction would occur with the acceptance by both the prosecutor and the judge of the arraignment court of the police felony charge, with movement of the case to disposition in the criminal court.

Actually, rates of agency action at each stage of the justice process are a fraction of the possible sanction that can be imposed at that stage. This procedure yields an index number comparable both across agencies of different types as well as among those of the same type for the uniform measurement of agency action. One study using BCS data for the 1968-70 period at the county level attempted to develop such an index for the police sanction level with respect to felony crimes as illustrated below (Kobrin et al., 1972):

$$\text{Police Sanction Level} = \frac{\Sigma A(1) + \Sigma B(2) + \Sigma C(3)}{\Sigma D(3)}, \text{ where,}$$

A = number arrested on suspicion of felony crime and released at station level

B = number arrested for felony, but charged with misdemeanor

C = number arrested for felony and charged with felony

D = number of Uniform Crime Reports felonies reported to police

(1 ... 3) = weights

The product is an index number which will vary between 0 and 1. In this study the police sanction level among California counties during the 1968-70 period was found to range from a high of .55 to a low of .14.

Appropriately adapted to reflect the case transactions of each of the major criminal justice agencies, this model can serve a number of important evaluation and planning purposes. First, it provides a quantitative expression of the use an agency makes of its crime control powers, and a precise picture of how such use is organized. For example, it is customary to compare police departments along lines of how far, within legal limits, they push their discretionary power to arrest and charge. Currently, this can be done only impressionistically, "tough" departments are contrasted with "lenient" ones.

The use of a carefully developed index to measure the basic elements of police action gives precise content to such important

but ambiguous terms, and makes it possible to compare police work across jurisdictions by using a single, uniformly applicable scale. The same is true of the performance of probation and parole agencies, or of the sentencing practices of courts through the use of indexes that measure the components of their action in terms of sanction imposition ratios. Further, such net measures may be "decomposed," that is, analyzed with respect to how the crime control powers of an agency are carried out. In the case of a police agency, its policy emphasis may be discovered and described by examining comparatively its arrest rate, its release rate, and the measure of concordance between charge at arrest and charge filed on. This provides at least a gross means of characterizing police agency policy in terms of a set of standard measures that opens the way to valid comparisons among jurisdictions.

The usefulness of this kind of information for function evaluation and, consequently, for the planning of function improvement, is that it furnishes a needed "baseline" set of agency action measures. Whether OCJP funded projects and programs which attempt to introduce changes in agency policies and practices actually succeed may then be determined in a reasonably precise way. The means is an examination of changes in measures of agency action subsequent to the operation of the project or program. Moreover, other information is also provided by the use of index measures. It can be determined what, if any, consequences of accomplished changes there may have been, of either a positive or negative

character, for other important aspects of agency activity and for the operations of other justice agencies. For example, changes in police and prosecution policies may have important effects on the performance of judicial and corrections functions by increasing or decreasing the size and composition of the cases they must handle.

The second important value of an index for the measurement of agency function is the opportunity it affords for determining the relationship of changes in these measures to changes in crime measures. The problem of accounting for reductions or increases in crime is extremely complex, as will be seen in the section on mission evaluation. Clearly, however, a major factor in the magnitude of a jurisdiction's crime problem is represented by the operational patterns of its criminal justice agencies. Any change in operation pattern, such as new undertakings funded by OCJP, is highly likely to impact the crime problem, but it need not do so. It is essential that planners be provided with evaluation information which will enable them to ascertain with some accuracy whether OCJP funded innovations in agency functions have had an effect on the crime problem.

In cases where it can be established that innovations have reduced crime, planners need to know in addition what kinds of offenses have had a favorable change in rate. Most important is knowing the magnitude of change in the particular agency function, as measured by an index, that has such a favorable effect, and on

the types of offenders affected. The need for such planning information may be illustrated by a familiar problem, representative of a large class of similar decision problems with which planners are confronted.

It is currently widely expected that the diversion of youthful offenders from the juvenile justice system will reduce their recidivism. What is not known, however, is what rate of diversion with respect to what kinds of offenses and offenders and what types of neighborhood and community contexts produce the expected reduction in recidivism. An index measure of diversion applied under the variety of conditions suggested and related to measures of recidivism can provide planners with the level of detailed evaluation information of highest utility for decision making.

The principal issues open to exploration and development in the use of this measurement approach include the calibration of the weights assigned in the sanction gradient by methods of empirical validation and the inclusion of "low visibility" decision making in establishing charges and in determining sentences. Beyond these, there remain a variety of technical problems with the use of this method, such as adjusting for the event-person heterogeneity in rate calculations, for which solutions are required.

Recommendations

The recommendations which follow are directed at improving the evaluation of the basic functions of criminal justice

enforcement, adjudication, and corrections. Residual functional areas defined by offense types and by administrative, organizational, personnel, and agency-public interaction are regarded as open to program level evaluation technology as well.

Major recommendations concern improvement in data availability required to conduct function evaluation and the development of measurement methodology for the utilization of these data. Each recommended course of procedure will be presented with respect to a proposed strategy including task assignment, required organizational changes, estimates of time involved in development, and Provisional cost estimates are given in Volume I.

Data Resource Expansion

1. It is recommended that OCJP engage in an effort to locate responsibility in BCS for the collection, compilation, and tabulation of the data base required for the conduct of function evaluation.

Strategy

Acceptance of this responsibility by the BCS is a matter of administrative decision on the part of the State Department of Justice. What is proposed in this recommendation represents no more than an amplification of functions long established in the BCS. The need, therefore, is for the mobilization of agreement to the proposal by gaining acceptance by the Department of Justice leadership of the urgency of meeting the evaluation needs of the state's criminal justice system. The task may entail enlisting the interest and assistance of

policy makers in the Office of the Governor, as well as in the legislature. Responsibility for implementing this recommendation should be assigned to the evaluation unit of OCJP.

Organizational Changes

The principal organizational change implicit in this undertaking is the relatively minor one of increased staffing for the BCS, including budget expansion. In addition, there is likely to be a need to set up systematic liaison between the evaluation unit of OCJP and the BCS by including this task in the work load of an evaluation unit staff member.

Timetable

The full development of BCS capability in providing the needed data base for function evaluation will require three years. It is estimated that the first year will be absorbed in efforts to obtain the series of endorsements and policy decisions needed to institute and fund the expansion of BCS operations. During the second year the revised BCS operation will be put into the field with appropriate revision of its data forms. Much of the second year will be needed to monitor the completeness and accuracy of jurisdictional reporting, entailing spot check validations through field visits by BCS personnel. At the end of the third year it is reasonable to expect that the data base for function evaluation, tested for validity and reliability, will be fully available for use by planners and evaluators.

Development of Measurement Methodology

2. It is recommended that OCJP initiate the development of an index to provide a standard measure of the level of sanction imposed by criminal justice agencies. The component elements of the index should be capable of tapping all significant case disposition decisions at each stage of the criminal justice process. The measure should permit cross-agency and cross-jurisdictional comparability through its source in a unitary scale. Restated, the rationale supporting the need for this measure is that it will provide a quantitative transformation of the transactional statistics of criminal justice, enabling evaluators and planners to assess with some precision the effects on crime problem levels of innovation in each of the functional areas of crime control.

Strategy

This recommendation should be implemented by the formulation of a Request for Proposal (RFP) by OCJP, to be disseminated among university and private research organizations, specifying requirements to be met in the development of an index to measure the action of criminal justice agencies. The requirements should include, as well, the responsibility of the grantee to transfer the technology of index use to planners and evaluators in the OCJP network.

Organizational Changes

None specifically required.

Timetable

Estimated time for the development, testing, and validation of the index is one year.

Function Evaluation Recommendations Restated

Two major recommendations have been proposed to create an OCJP capability for evaluating the effects on crime and on the internal organization of the criminal justice subsystems of funded efforts to improve the administration of their functions. The recommendations are:

1. OCJP engage in an effort to locate in the BCS responsibility for the collection, compilation, and tabulation of the data base required for the conduct of function evaluation;
2. OCJP initiate the development of an index to provide a standard measure of the level of sanction imposed by criminal justice agencies.

MISSION EVALUATION

System level evaluation is designed to assess the impact of the various systems and subsystems which provide significant inputs to the crime control problem and are, in turn, affected by efforts to reduce crime. Evaluation at this level faces two directions and has two distinct components.

Function evaluation focuses on the subsystems of criminal justice to ascertain whether efforts to improve the administration of the several basic functions of enforcement, adjudication, and corrections yield significant payoff in crime reduction at reasonable costs in money and in organizational maintenance. As the term suggests,

mission evaluation addresses the fundamental question of the OCJP success in reducing crime in California.

To answer this question in a reasonably definitive way, mission evaluation focuses on the input to the crime problem that has its source in social and institutional systems which lie outside and beyond the control of the criminal justice system. The level of crime that confronts criminal justice agencies in various jurisdictions is determined not alone by their efficiency and effectiveness, but by the capacity as well of other social and institutional systems to generate a law-abiding population. To determine in any instance whether a crime reduction effort has had significant payoff requires information concerning the weight of crime-generating factors external to the criminal justice system. As a crucial component at the system level, mission evaluation thus provides the information required by planners to assess realistically the crime reduction outcome of OCJP funded projects and programs. Such judgments, aggregated over time and over the variety of the state's local criminal justice systems, will also enable OCJP to assess the net adequacy of its performance in relation to its crime reduction goal.

Current State of the Art

Mission evaluation is concerned with assessing progress in reducing the incidence of crime and delinquency in the state. The objective of the OCJP is to help increase the effectiveness of the crime control activities of the California criminal justice system in ways that are consonant with the demands of efficiency and justice.

Mission evaluation may be distinguished from project, program, and function evaluation. The latter are more immediately focused on assessing the achievement of objectives that presumptively have crime reduction effects. Important at these levels are evaluation criteria related to the implementation of procedures designed to gain such intermediate goals. In terms of the evaluation criteria suggested by Suchman (1967), evaluation below the mission level necessarily emphasizes assessments of effort, efficiency, and process.

For mission evaluation, the adequacy of performance criterion becomes central. In the context of the crime control problem, the performance adequacy criterion refers to the success of criminal justice agencies in achieving reductions in the incidence and seriousness of criminal offenses. While it is important to employ this criterion in project and program evaluation, its use is not uniformly feasible or valid, as in the case of personnel improvement projects. The performance adequacy criterion is more frequently applicable in function evaluation, although here, too, there may be instances in which the other criteria may have a prior claim.

The emphasis on performance adequacy in mission evaluation is not to be construed as a denial of the relevance of the other criteria. It may often be the case that projects and programs potentially effective in performance terms fail because the effort has been desultory; because intermediate goals essential to crime reduction have not been reached; or because their objectives have been attained at an excessively high cost in monetary and other values.

The current customary means of evaluating the performance of the criminal justice system is to take note of short- and long-run trends in crime measures. The assumption implicit in the wide publicity accorded such information is that increases in crime rates are, in some unspecified part, attributable to declines in crime control effectiveness, with the reverse true for reductions in crime rates. Technical inadequacies of this widely used performance measure, furnished by the Uniform Crime Reports of the Federal Bureau of Investigation, include the aggregating, unweighted as to seriousness, of a list of felony offenses, and tabulation by jurisdictional units heterogeneous with respect to social composition (Sellin and Wolfgang, 1964).

An even more important deficiency as a measure of performance is its failure to take into account the fact that crime rate fluctuations are affected by social and demographic factors beyond the control of criminal justice agencies. As has been indicated, the crime reduction capabilities of local criminal justice systems can operate only within the limits imposed by the crime-generating conditions that exist in their populations. While some of these conditions may be under the control of criminal justice agencies, such as reducing opportunities for criminal acts by increased police surveillance or by campaigns to induce the public to increase personal and property security, the major crime-generating conditions are not.

The information which reflects the extent to which these conditions exist is provided by the data on the age structure of the

population (is there a disproportionately large number in the younger and more crime prone age groups?); and by the data on how the population is distributed along occupation, income, education, and similar lines. Both types of information, age structure and social composition, are known to be related to crime problem levels. As to effect of age structure, two recent studies have demonstrated that in substantial part the increase in the crime rate over the past decade was attributable to the larger numbers in the younger age groups (Wellford, 1973; Ferdinand, 1970).

Mentioned above are some of the main factors of social composition which are known in urban jurisdictions to be associated with crime levels in a sufficiently consistent manner to create a strong presumption of causal relationship (Schuessler, 1962; Shaw and McKay, 1942; Mayhew, 1861-62). These may be supplemented by more sensitive indicators of crime-generating factors in ethnic subcultures, in neighborhoods, and within families, to provide a set of "predictor" variables useful in establishing an expected level of crime for the populations of various territorial units. But as is true for age composition, these factors also undergo change over time and thus alter the crime problem levels they generate. Hence, to conduct mission evaluation, which must ascertain the crime reduction impact attributable only to OCJP funded activities, it is necessary to obtain full and updated information on those changes in the demographic and social factors which may also induce a reduction in crime.

Concretely, with such information in hand it would be valid to judge an improvement effort accompanied by a rise in crime as successful if that increase remained below a level consistent with the intensity of the crime-generating potential of the population involved. Similarly, in other cases a reduction in crime could reasonably be assessed as less than successful if the decrease did not fall to the level warranted by the crime prediction factors. It is especially noted here, however, that this kind of mission evaluation capability assumes that the extensive research and development work necessary to solve the problems of creating, testing, and validating an appropriate set of crime prediction models has been successfully accomplished.

With respect to the current state of the art in the undertaking, there exist procedures appropriate for estimating the predictive reach of each crime-generating factor in relation to the crime rate of a territorial unit or a population group. The statistical technology of prediction modeling has been established in economics and other fields, and is available for application in estimating the effects of a wide range of input variables on crime problem levels. The procedure requires estimation of the strength and direction of the association between values of predictor variables and crime problem levels as these have been established on a continuously updated experience, or actuarial, basis. The basic method in this approach is the use of some form of multiple regression. This permits

estimation of predicted values of crime measures from the values of the total set of crime-generating factors, as well as from specific factors. For example, regression analysis may be used to predict not only the expected crime level for an ethnic population, but their various expected crime levels under conditions of high, intermediate, or low income. It further provides for estimation of interaction effects as well; that is, the increased increment of effect on crime rates of certain factors in combination, as for example may be the case for low income together with a low level of education.

An illustration is here provided of an approach to crime prediction modeling for the purpose of assessing the performance of the criminal justice system relative to the offense-generating potential of the populations of jurisdictions. It is drawn from a study based on recent California crime, criminal justice, and social data, and represents no more than an initial attempt to create a useful crime prediction model (Kobrin et al, 1972). By characterizing the current status of measurement technology in this area, the illustration is useful as an indication of the development task that lies ahead.

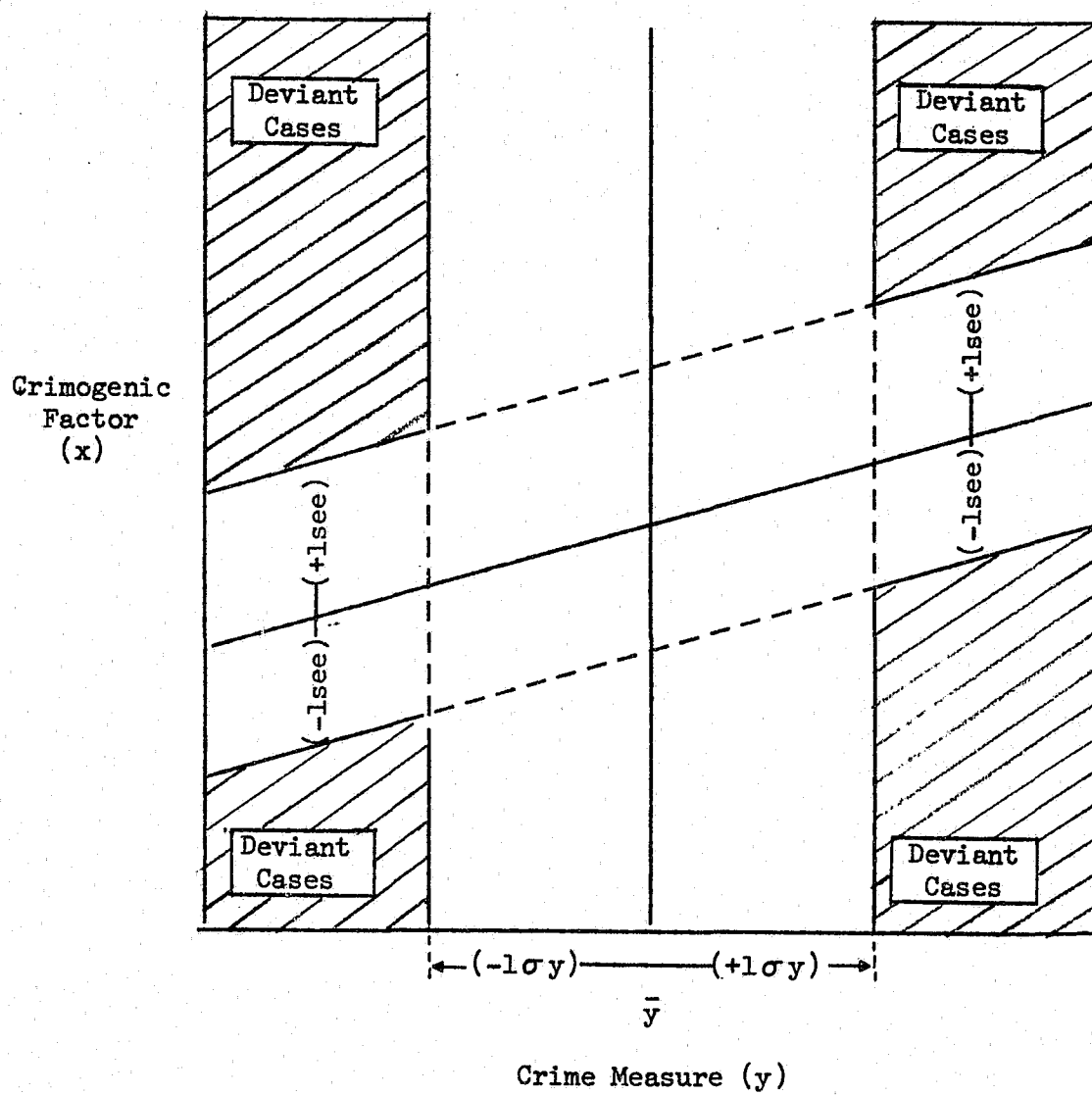
Using counties as the unit of analysis, the first step in the study procedure was to classify the fifty-eight counties by four categories of population size. The classification was based on the assumption that the criminogenic effects of social and demographic factors differed by size of county populations. Second, those counties with extremely high or low crime measures in relation to the

statewide range were identified. Third, a series of bivariate regressions were calculated within each population grouping to determine the degree to which extreme measures of crime were attributable to population characteristics. The regression slopes were used to predict each of three crime measures used (the rate, seriousness, and an interaction measure of rate and seriousness) on the basis of seven population variables. The eighty-four bivariate scatterplots permitted identification of county jurisdictions that exhibited extreme errors of prediction; that is, those counties whose highly deviant crime measures were not predicted by the values of the social and demographic variables. The format for the identification of deviant cases is presented in figure 1. Counties defined as deviant were those having a high error of prediction from population variables (plus or minus one standard error of the estimate), plus having extreme scores on a given crime measure (plus or minus one standard deviation).

Crime measures were accurately predicted in 85 percent of California counties. The deviance of the rest, that is, the failure of their social and demographic factors to predict their crime measures, suggests the possibility that some feature of their criminal justice systems might account for their higher or lower than expected crime problem levels. For example, one possible reason for a deviantly high crime measure in a county may be accounted for by antagonism between its police agencies and the lower court judiciary. In an excessive proportion of cases, consequently, the judiciary might

Figure 1

Format for the Analysis of Deviant Cases



have decided that the charges brought by police against suspects did not warrant arraignment for trial. This situation might have had the effect of reducing the deterrent capacity of the county's criminal justice system.

The study was directed to discovering those features of justice agency activity that might account for enhanced or reduced deterrent effectiveness. Primarily, however, the study was an exploration in the development of a crime prediction model which might provide statistical control for extraneous population variables. There was little expectation that it would yield conclusive findings, given the limitations of the data.

First, the data were cross-sectional rather than diachronic, excluding opportunity to examine changes over time in crime measures in relation to changes in both the predictor variables and agency action variables. Second, since data to measure specific offense types were not then available, the entire set of felony was treated as a single pool. Response modes to different types of offenses are likely to vary widely in their control effectiveness. Third, the county as the unit of analysis is much too heterogeneous in its population characteristics to function satisfactorily for the purpose at hand. In brief, the current state of the art with respect to crime prediction modeling for the evaluation of performance, or crime control effectiveness, may be described as promising, at best.

Improvement Needs

This illustration also suggests that with more extensive and detailed data on population characteristics that may serve reliably as crime predictors, and with a similar level of data on justice agency action, it is likely that the technology required to assess crime control effectiveness can be developed. This is the principal need that must be met in order to conduct mission evaluation.

Specifically, there is required an expanded scope of population data, with particular attention to ascertaining those variables which may serve as reliable indicators of variation in the effectiveness of informal social control. These variables are likely to be in the form of indexes based on interaction effects among what are considered fairly standard social indicators. A number of recent developments in techniques of ascertaining the structure of sets of predictor variables, such as the Automatic Interaction Detector (AID) package developed at the University of Michigan, are promising tools in this connection.

Second, data files must be developed in a format capable of aggregation to a wide range of territorial units, from census tracts through every jurisdictional level of the criminal justice system. This requirement is essential if the information is to be ultimately usable in relation to mission evaluation needs. Evaluation of the OCJP mission --the assessment of its effectiveness in helping to reduce crime and delinquency-- can be accomplished only by pooling these assessments across the variety of funded projects and programs.

With some exceptions, these evaluations are typically targeted on specific jurisdictions, communities, populations, or offender and offense groups. The data relevant to the measurement of their mission related performance adequacy must thus be capable of aggregation or disaggregation to these entities.

Third, data files must be so constructed as to provide linkage among the various sources of social data having crime prediction potential on the one side and, on the other, justice agency data.

Fourth, there is the further need to provide for the dissemination of an adequate technology for acquiring, maintaining, and using data which are developed, to planning and evaluation personnel throughout the OCJP network.

With respect to the entire set of requirements, it should be especially noted that given the relatively undeveloped state of crime prediction modeling, there is need for a preliminary stage pilot effort to test, modify, and refine the procedures for data acquisition, file formatting, and linkage construction. One of the state's metropolitan counties should be selected as the test site for the pilot effort.

Alternative Approaches

There are two choices with respect to meeting these requirements as follows:

1. The first choice is to locate responsibility for data acquisition and formatting at the regional level. Regional criminal justice planning councils would, under this approach, contract with academic

or private research agencies to provide evaluation relevant to data files based on accessible social and criminal justice information resources, and on the development of a crime prediction model. Following the RFP procedure and using appropriate consultative help both in the formulation of the RFP and in the selection of the grantee, the Regional councils would be required to specify in detail the technical requirements to be met. In order to assure minimal uniformity of both procedure and quality, a preferred source of consultative help, in using this alternative, is the evaluation unit of OCJP. Issues of efficiency and economy, such as whether to use specialized OCJP staff or contracted consultants for this function, would be resolved by the evaluation unit.

2. An alternative approach is based on recognition of the need for a phased development of the technology required for effective mission evaluation. Under this alternative, responsibility for such development would be located in OCJP. Following either an RFP or sole source procedure, OCJP would contract with a research facility selected for (a) its background of experience and demonstrated skill in producing effective methods for the acquisition, processing, and linkage of large-scale data files; (b) competence in the reconstruction of such files for user needs; and (c) capability in the construction of indexes for the measurement of crime-related social indicators.

The commitment should be to a multiyear effort; the first phase would be devoted to the development of the basic procedures in a selected metropolitan test site. Successive phases, extending to a

fourth and possibly a fifth year, should be designed to continue the refinement of file acquisition, linkage procedures, and index construction at the initial test site; to initiate and carry through the transfer of the system to other metropolitan areas; to organize user groups within criminal justice agencies at both the test and the transfer sites; to conduct workshops to accomplish the task of technology transfer; and to monitor user application of the system until competent utilization is assured.

Recommendations

The recommended course of procedure will deal with issues of strategy including task assignment, required organizational changes, estimated time of accomplishment, and provisional cost estimates.

It is recommended that OCJP assume responsibility for the phased development of the technology required for effective mission evaluation. Its advantage in relation to the first alternative is that it is based on an acknowledgment of the complexity of the task and of the need for assuring access to the requisite type of skill.

Strategy

Because the development envisioned in this undertaking is crucial to the creation of a mission evaluation capability, responsibility for its initiation and continuous monitoring should be located in the evaluation unit of OCJP. An essential feature of the strategy is the identification of a contractor with the required capability and the establishment of a continuing relationship that will assure successful

completion of the task.

Organizational Changes

These changes are likely to be of two types. First, it would be desirable to have available in the OCJP staff at least one person with a substantial background in demographic statistics as well as in criminal justice for assignment to the monitoring function. The second type of organizational change implicit in the recommended alternative arises from the need to create user groups for the proper utilization of the data resource to be developed at the various sites. The basic membership of user groups should be drawn from the several criminal justice agencies in each of the major metropolitan jurisdictions of the state. Added to them from time to time may be evaluation personnel attached to specific improvement projects or programs. It would be expected that the justice agency personnel would be those assigned to planning functions. Such user groups will be expected to assume responsibility for establishing and maintaining data systems relevant to their planning and evaluation tasks. To the extent that the needed collaboration and cooperation among members of user groups will entail a time cost, some modifications of personnel assignment and work load may well be required of some of the participating agencies.

Timetable

As indicated in the description of the recommended alternative, the mission evaluation capability will require from four to five years to become fully operational. Thus, it is in phase with the five-year

time span estimated for the development of the OCJP SEP.

Recommendations for Function and Mission Evaluation

Three recommendations are proposed for the accomplishment of effective function and mission evaluation. It is recommended that:

1. OCJP engage in an effort to locate in the BCS responsibility for the collection, compilation, and tabulation of the data base required for the conduct of function evaluation;
2. OCJP initiate the development of an index to provide a standard measure of the level of sanction imposed by criminal justice agencies;
3. OCJP assume responsibility for the phased development of the technology required for effective mission evaluation.

Function and Mission Evaluation as a Planning Base

Function and Mission Evaluation Restated

Function evaluation focuses on the effectiveness of the primary criminal justice tasks of enforcement, adjudication, and corrections in the control of crime. This type of evaluation is specifically concerned with the assessment of the contribution of functional activities to the goal of crime reduction, and with the feedback effects of improvement efforts on agency efficiency and on the operations of other criminal justice agencies.

On the other hand, mission evaluation focuses on the degree to which the state planning agency achieves its general objective of reducing the incidence and seriousness of criminal offenses in the state. Its specific concern is the measurement of crime reduction impact in relation to the offense-generating potential of various population elements by virtue of their social and demographic characteristics.

Planning Uses of Function Evaluation

A major purpose of function evaluation is to furnish information on the crime reduction consequences of innovation in policy and procedure. This information can be obtained only through the use of data that measure crime reduction relative to given, expected levels of crime for particular communities, sites, or offender and offense types. With the use of these data, the effectiveness of innovation in policy or procedure may be continuously monitored, and the results fed back into the planning process to suggest further improvement in selected procedures. For example, the California study (Kobrin, et al, 1972) measured the association between two features of police activity and the crime rate. It was found that, with some exceptions, reduced crime rates were more strongly related to higher rates of police charge acceptance at the pretrial stage than to higher arrest rates.

A second example, this one hypothetical, is the assessment in the adjudication function of innovation in sentencing practices. Changes

in recidivism rates for specific offense and offender types could then be ascertained through the use of data generated by mission evaluation. Such other issues in the adjudication function as changes in plea-bargaining practices, such as reduction in its use, would require evaluation first of consequences for case loads in the criminal courts; second, of the effects of increased court time in case processing on the level of conviction, and third, of the impact of conviction level on the severity of the crime problem. From the planning standpoint, evaluation of each of these types of consequences becomes crucial and brings together in a single process both function and mission evaluation.

Uses of Function and Mission Data for Project/Program Planning

Project/Program Impact on Crime and Delinquency

Some proportion of the projects funded by OCJP will have specific crime reduction objectives. Simple before-and-after evaluation designs are frequently inadequate to determine the project's crime or delinquency reduction achievements. The information needed to provide statistical control of variables extraneous to intervention procedures can be provided only through data developed in conjunction with mission and function evaluation. Knowledge of specific crime-related social, demographic and administrative contexts can furnish the information required by planners to make choices among possible types of projects and programs best calculated to promote crime reduction objectives.

A FIVE YEAR PLAN FOR IMPROVING THE FRAMEWORK OF
PROJECT AND PROGRAM EVALUATION AND DECISION-MAKING
IN CALIFORNIA'S CRIMINAL JUSTICE SYSTEM

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MAKING IN CALIFORNIA'S CRIMINAL JUSTICE SYSTEM

Definitions, Objectives, and Organization

Definitions and Relationships

Basic Assumptions

Objectives of the Plan

Evaluation Planning Model

Guide to the Evaluation Framework Outline

Recommendations for an Improved Framework

Improving the Framework of Project and Program Evaluations

Current Status of the Evaluation Framework

Desired Status of the Framework

Recommendations for Improving the Framework

Evaluation Framework Outline

Product Objectives

- 1: To Standardize the Evaluation Planning Process
- 2: To Build Staff Competence
- 3: To Provide Controls and Incentives
- 4: To Employ More Rigorous Acceptance Standards
- 5: To Implement Improved OCJP Monitoring Assistance
- 6: To Increase the Number of Program Evaluations
- 7: To Use Third-Party Evaluations More Judiciously
- 8: To Expedite the Storage and Retrieval of Information
- 9: To Establish an Evaluation Resource Service

Definitions, Objectives, and Organization

In this paper, a plan is understood to include statements of needs and recommended approaches for resolving those needs. A need is a discrepancy between the current state and the desired state of any variable of interest. The recommendations presented here outline a comprehensive evaluation planning model for criminal justice agencies, the purpose of which is to stimulate successive improvements in evaluation in these agencies. In this flexible model, evaluation is defined as a systematic process of acquiring, disseminating, and using information to ease decision making, improve reduction and control of crime and delinquency, and maximize the effectiveness of criminal justice agencies. Evaluation tries to improve, more than it tries to prove. It summarizes the extent to which an agency's objectives are being achieved and also reveals unanticipated effects produced, both positive and negative. The plan for evaluation improvements presented here assumes that evaluation is desirable and feasible for criminal justice agencies; no attempt is made in this paper to defend that assumption.

Definitions and Relationships

As part of a five-year plan for improving evaluation in the network of California's Office of Criminal Justice Planning (OCJP) and in criminal justice agencies throughout the state, this paper focuses on two components of the Plan: project evaluation and

program evaluation. In addition, it briefly addresses the relationship these two components should have with higher-order evaluations conducted in the mission and function components (discussed in "System Level Evaluation" by Solomon Kobrin). As stated there, if OCJP clearly identifies explicit statements of its high-priority functions and mission, then program and project evaluation planning can be conducted more systematically within those limits. The following terms are fundamental to the Plan outlined here:

- Outcome is an observed result, anticipated or unanticipated, produced by an identified activity.
- Objective is a statement describing an expected, measurable outcome expected to happen to someone or something, the situation in which it is expected, and how it will be measured.
- Intervention is a series of planned activities involving people (e.g., youth on probation, police officers, or community members with whom they relate) or operations (e.g., court processing procedures, coordination of police communications, or legislation related to juvenile probation procedures) designed to meet specific and related objectives.
- Project is the use of one or more interventions to produce change.
- Program is a group of projects sharing common or closely related objectives.
- Functional category is one or more programs designed to have

impacts that are more general than any project or program objective. The functional categories used throughout this paper are listed below.

- Mission is a statement of the general purpose of an agency. For example, two missions of the Law Enforcement Assistance Administration (LEAA) are to reduce crime and to control crime. These missions are called general or ultimate goals but they can be broken down into more immediate subgoals within functional categories, such as those listed in category V (see list of functional categories). These subgoals can be further specified by listing the specific outcomes to be experienced by persons or operations and by outlining through measurable project and program objectives the conditions necessary for achieving these outcomes.

The interrelationship of the terms defined above is summarized in figure 1 below.

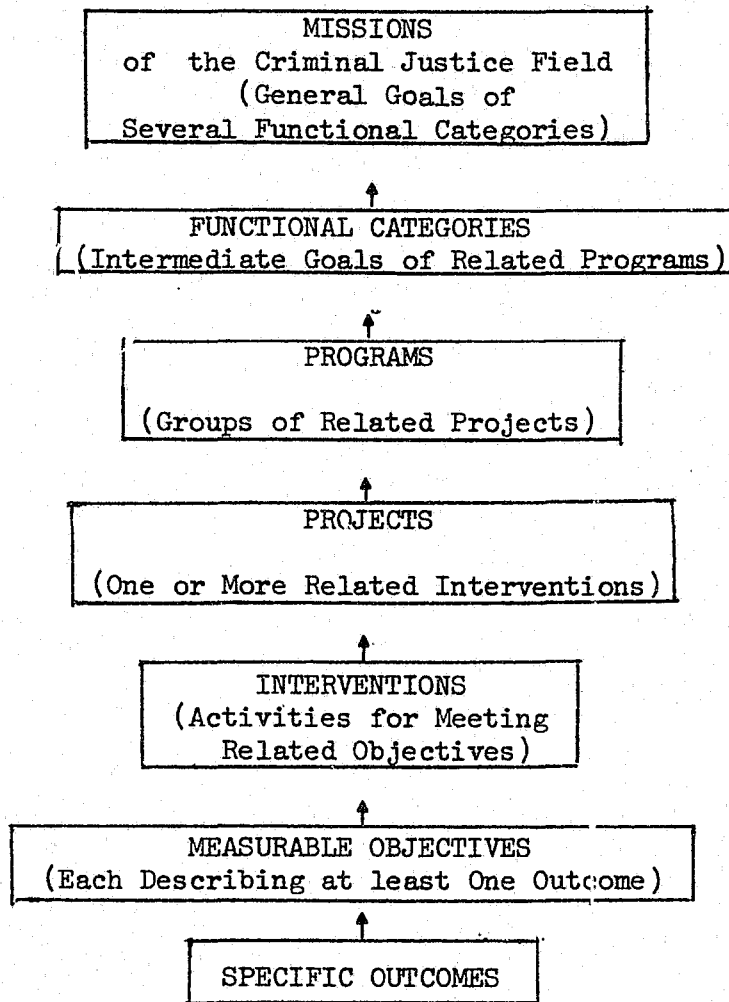


Fig. 1. Relationships in criminal justice planning

Functional categories in criminal justice can be classified in various ways: by types of crime, by the purposes of the projects and programs they contain, by the types of interventions they propose, or by the nature of the target audiences or operations on which those interventions focus. Classifying projects by their purposes, OCJP (Emrich, 1973 b, p. 23 ff.) derived the categories listed below from close inspection of project objectives identified in the annual plans of OCJP Regions and the descriptions of projects funded in California's twenty-one Regions. These categories are used throughout this paper because they are such comprehensive and viable groupings, and are thus recommended for use until empirical studies suggest a better classification.

Fig. 2. Functional Categories

Category I. Crime Prevention and Rehabilitation

- A. Alcoholism
- B. Drug Rehabilitation and Prevention
- C. Methadone Maintenance
- D. Corrections
- E. Prevention of Juvenile Delinquency
- F. Youth Service Bureaus
- G. Crisis Intervention
- H. Diversion

Category II. Criminal Justice/Community Relations

- A. Community Service Officers
- B. Law Enforcement/Community Relations
- C. Law Enforcement/Youth Relations

Category III. Personnel Considerations

- A. Upgrading Law Enforcement Personnel
- B. Other Personnel Considerations

Category IV. Administration of Criminal Justice

- A. Administration of Justice
- B. Police Legal Advisors

Category V. Detection and Apprehension

- A. Police Communications
- B. Police Operations
- C. Criminalistics
- D. Information Systems and Operations Research
- E. Research, Development, and Planning
- F. Narcotics Enforcement
- G. Organized Crime Enforcement

Category VI. Prevention of Specific Crimes

Category VII. Consumer Fraud

In addition to the terms, relationships, and functional categories defined so far, it is important to understand the following terms in reading this plan:

Monitoring is the process of reviewing current project activities to determine the degree to which project staff are meeting their contractual obligations, both fiscally and in terms of their program activities. Monitoring does not provide data on project or program performance related to predetermined objectives and unexpected side effects; these data result from evaluation activities. Monitoring does concentrate on general progress related to milestones, deadlines, deliverables, and fiscal commitments.

Evaluation as recommended here should devote equal attention to the anticipated and unanticipated effects of project and program interventions.

Project evaluations identify which objectives are being met, which are not, and the side effects that occur when each intervention is implemented. Results from a project-level evaluation may be applied generally only if that project is evaluated under controlled conditions (for example, using an experimental evaluation design with at least random selection and/or assignment of subjects) or if it

shares common objectives with other projects in a functional program area.

Program evaluations study effects that apply to circumstances and conditions more general than those of project evaluations. They serve as foundations for higher-order evaluations at functional category and mission levels and they lead to conclusions about important interactions between people (or operations) and interventions. In other words, if program evaluations are well designed and conducted, they can help criminal justice personnel identify those interventions that work successfully with certain people (or operations) when administered by certain staff under specific conditions. Such conclusions are rarely possible from typical project evaluations.

The identification of these interactions (between people and interventions, or between operations and interventions) is extremely important to the improvement of crime reduction and control. For example, evidence indicating that ethnic minority police officers are most effective in reducing crime ratios in communities populated mainly by persons from their ethnic group has significant implications for continued progress in those neighborhoods --and is a guide to officer recruitment, selection, training, and assignment. Such interactions are the most sophisticated and desirable data that can be provided for project and program evaluations; the information helps criminal justice agencies capitalize on the component relationships and supplements evidence produced by higher-order evaluations. For example, if function and mission evaluations at higher levels explore census data, they should be able to find relationships among population characteristics and crime that apply to specific geographic areas. Then, program evaluation conclusions could be

compared with such environmental data and this comparison would help criminal justice planners identify those interventions that would be most likely to succeed with persons or target operations in a specific geographic area. This kind of planning is possible if program evaluations demonstrate that those interventions have worked with similar clients or objects in other areas. Sophisticated planning to control and reduce crime will occur only if concentrated efforts are made to coordinate project and program evaluations with higher-order functional category and mission evaluations.

Basic Assumptions

The concepts of project and program evaluations presented above are based on the following assumptions:

1. Evaluation must be rational. It must be a rational process of systematically planned activities.
2. Evaluation must produce data for decision makers. Data must be produced for at least three types of decision makers: OCJP staff and council members, Regional staff and board members, and project and program subgrantees and their leaders in criminal justice agencies throughout California, as well as representatives of the local units of government to whom subgrantees are responding. Such evaluation data must be received by these decision makers

at appropriate times to meet their changing decision-making needs.

3. Evaluation must be adapted to each project and program.

An acceptable level of evaluation must be defined and evaluation objectives must be specifically stated. Then, at least one staff member (preferably the director or evaluator of each project or program) must assume responsibility for evaluation tasks, whether these activities are completed by other staff or by an independent third party.

4. Evaluation must be conducted by trained staff. Persons

assigned responsibilities for evaluation must receive evaluation-skills training in order to assure high quality evaluations. Such training must emphasize a comprehensive evaluation planning process that covers all aspects in the life cycle of a project or program. In each phase of this process, equal attention must be given to anticipated and unexpected side effects.

5. Evaluation must be an integral part of project and program

planning. Evaluation and planning activities must be integrated; an evaluation must be planned at the same time an intervention is. In this way, the project's or program's design can accommodate the evaluation requirements.

These assumptions form the basis for the ideas discussed previously and become the underpinnings for the Plan discussed subsequently. With this necessary background, attention can now be turned to the purposes for improving project and program evaluations.

Objectives of the Plan

The general products or outcomes anticipated from improved project and program evaluations in California's criminal justice system should benefit, at least, the three groups of decision makers mentioned earlier: personnel in criminal justice agencies, Regional staff and boards, and OCJP staff and council members. Listed below are six objectives toward which improvements in the OCJP network should be directed over the next five years, objectives derived from a review of critical issues. The balance of this paper presents a plan for approaching and achieving these five-year objectives.

A Systematically Organized Framework for Project and Program Evaluations

OCJP will have an explicit statement of its evaluation rationale. It will also provide specific mechanisms for implementing, and financial incentives and controls for subgrantees to implement, a continuous evaluation-planning process using alternative levels of evaluation (differing in the degree of rigor and costs) in the six evaluation areas (summarized below) for each criminal justice functional category.

OCJP and Regional Staff Competence in Evaluation Planning

After receiving appropriate training, 75 percent of OCJP program-planning and Regional evaluation-planning staff will demonstrate skills necessary to improve project and program evaluation in California's criminal justice system in the ways summarized here.

Competence of Operating Agencies in Evaluation Planning

After receiving competency-building assistance from the trained staff members, 75 percent of the prospective subgrantees seeking LEAA project and program funds in California will demonstrate their evaluation-planning skills by submitting in their proposals an approved design and a schedule for an appropriate level of evaluation (criteria for assessing the performance of these skills are discussed later).

Incentives (Rewards) for Operating Agencies to Produce High-Quality Evaluation Information

Presuming that an incentive and control system is developed by OCJP and Regional evaluation-planning staff, at least 50 percent of all LEAA-funded subgrantees in California will conduct quality evaluations. These evaluations must produce information aiding the decision making of at least 75 percent of the key evaluation customers (identified by subgrantees and verified by OCJP or Regional staff) of their investigations.

Model Demonstrations of Project and Program Evaluations

By providing effective training and monitoring assistance to

subgrantees, OCJP and Regional evaluation-planning staff will ensure that two exemplary project evaluations yielding cost-effectiveness evidence (indicating the relationship between project costs and impact) and two exemplary program evaluations yielding cost-efficiency evidence (comparing costs and effects of different interventions based on similar objectives) exist in each of the seven major functional categories of criminal justice programs. These evaluations will serve as models for practical step-by-step procedures which can be duplicated in each functional category in California's criminal justice system.

A System for the Storage and Retrieval of Evaluation Information

The OCJP network will have a statewide accountability (to local, Regional, and state personnel) system for (a) processing vital evaluation information collected from projects and programs in the criminal justice system, (b) providing relevant information in a timely manner for critical decision making, and (c) relating such information to that produced by higher-order evaluations on the criminal justice mission and functions.

Recommended Evaluation-Planning Model

The OCJP network needs a flexible plan to initiate progress toward the objectives listed above. As mentioned earlier, a plan entails statements of needs as well as recommended approaches for resolving those needs. The second half of this paper discusses

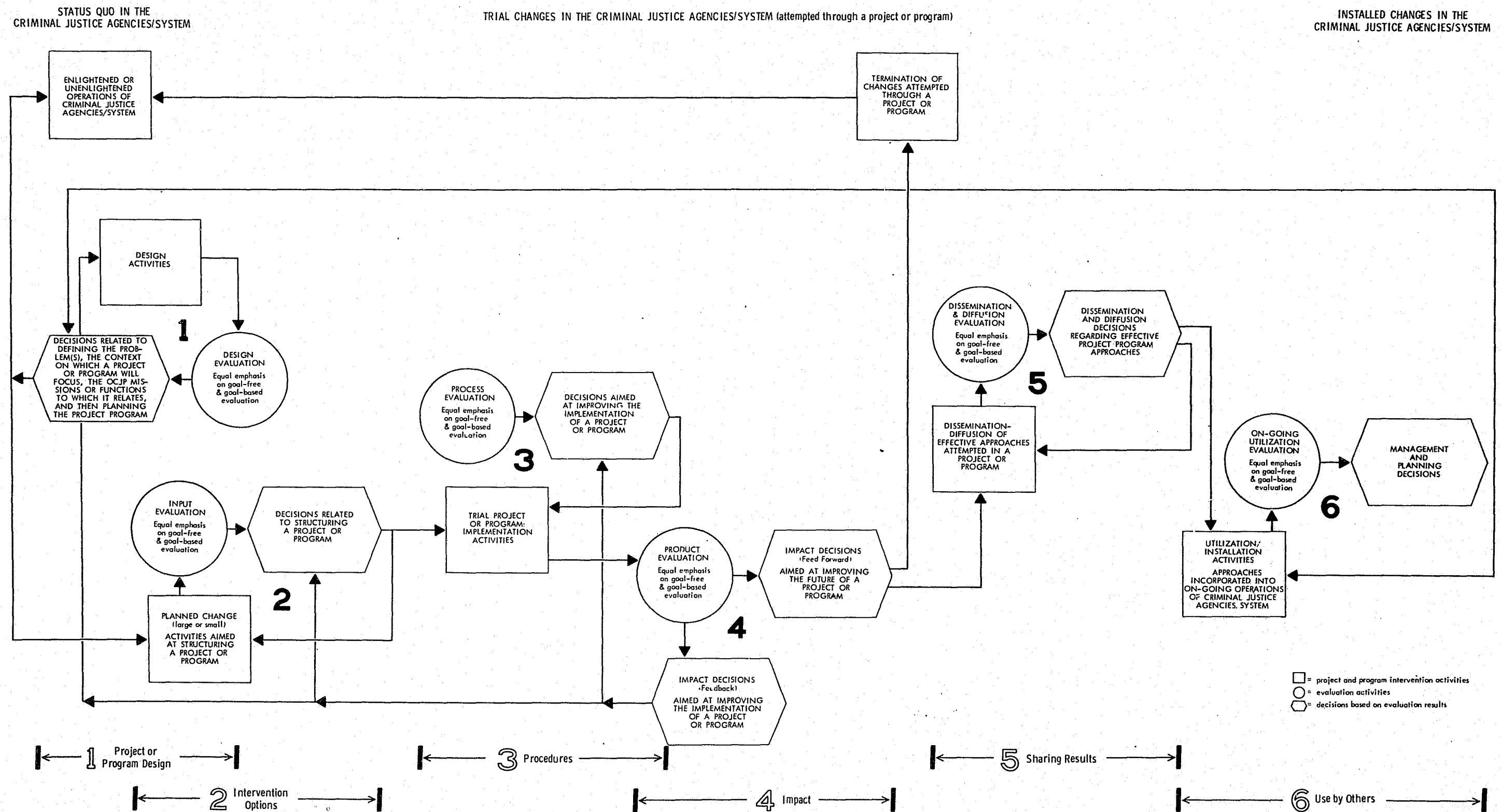
possible improvements in the general framework of comprehensive evaluation planning of projects and programs in California's criminal justice system and outlines specific needs that must be met during the next five years if systematic improvements are to be made. A forthcoming paper will present alternatives for improving six broad areas of evaluation planning within this framework, but a review of these areas is provided here.

The evaluation-planning model represented by these areas is adapted from the work of Stufflebeam and his colleagues (Phi Delta Kappa, 1972) and has a number of desirable features. First, the model is comprehensive. It covers evaluation at all phases of a project or program. Second, the model is practical. It provides for the generation and use of evaluation information at times when important decisions must be made. Third, it is developmental. It integrates planning and evaluation in a way that facilitates the improvement of projects and programs. Figure 3 summarizes this model in diagrammatic form. The flowchart depicts the six areas of evaluation planning on a continuum, progressing from an investigation of the current status, through experimental changes made by projects and programs, to a desired end state (which includes the installation of the successful changes in the operations of criminal justice agencies). Continuous evaluation throughout is included as part of this continuum.

Each area of evaluation planning in the model is structured

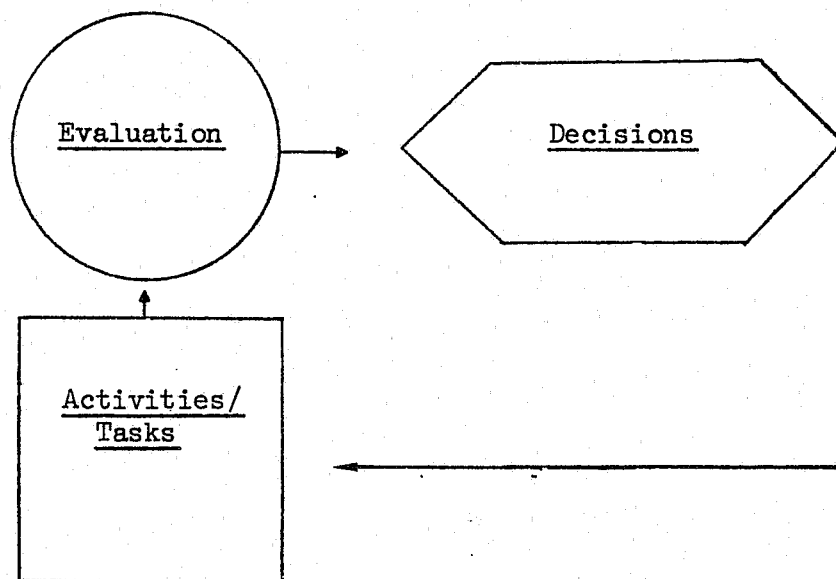
Figure 3

RECOMMENDED EVALUATION MODEL TO FACILITATE DECISION MAKING & IMPROVE CRIMINAL JUSTICE PROJECTS & PROGRAMS



around a loop as diagrammed in figure 4. The diagram reinforces the point that evaluation must supply information useful to the changing needs of decision makers, needs that encompass not only program and project activities but also any type of important activity in criminal justice agencies.

Fig. 4. Evaluation/decision-making loop for programs and projects



Using this concept of an evaluation/decision-making loop, each of the six areas of evaluation is intended to provide useful information for a unique group of decisions. In this way, information is continuous through all phases of a project or program. In general, the loop in each evaluation area joins those of other areas when decisions feed forward into the activities of the next area or feed

backward into the decisions of a preceding area. The six areas and their related decision needs are listed below, not in the order they are diagrammed in figure 3 but with the "impact" evaluation first. In the criminal justice system this area of determining costs, effects, and relationships between costs and impact must consistently receive top priority attention. This priority is not disputed here, but it is strongly recommended that the other five areas receive evaluation attention also. If not, impact will either be reduced or problems will result in determining how project or program impact was created, disseminated, and utilized. Each of the following six evaluation/decision-making areas are to be described and illustrated in detail in a forthcoming paper.

Impact

Product Evaluation → Impact Decisions

A wide range of decisions has to be made here. They all involve answering the question which cannot be ignored: "Did it make any difference?" Comprehensive answers require data on costs, effects, and their relationships (i.e., cost-effectiveness ratios indicating the relationship of project costs and impact, and cost-efficiency ratios comparing costs and effects of different interventions based on similar objectives).

Project or Program Design

Design Evaluation → Design Decisions

These decisions define the problem(s) that the project or program will attempt to solve, relate the problem(s) to OCJP high-priority functions and missions, describe the context --environmental, political, etc.-- in which changes will be attempted, and state the basic purposes of the project or program.

Intervention Options

Input Evaluation → Structuring Decisions

Option decisions must be made if project and program personnel are to consider alternative interventions, select one or more strategies that have high success probabilities, and make them workable.

Procedures

Process Evaluation → Implementation Decisions

These decisions help answer the questions: "Did the project or program staff do what they promised?" and "Did they make necessary modifications as needs and conditions changed during the project or program schedule?"

Sharing Results

Dissemination and Diffusion → Transferability Decisions
Evaluation

These decisions influence what is done with the intervention(s) attempted and the change process used in

implementing them. Hopefully, something (even failures and mistakes) will have transfer value to other settings. Dissemination decisions produce techniques for "spreading the word"; diffusion decisions attempt to develop a receptive audience that will not only receive the dissemination message but will also initiate changes in criminal justice agencies because of it.

Use by Others

Ongoing Utilization Evaluation → Management and Planning
Decisions

The ultimate purpose of criminal justice projects and programs is to test interventions that can be adopted by operating agencies and used to further reduce or control crime. Management and planning decisions lead eventually to long-range and comprehensive use of successful strategic activities. Such utilization is the fulfillment of the dissemination and diffusion activities noted above. Ultimately, the results of the evaluation of utilization activities must reenter earlier evaluation-planning areas in order to facilitate ongoing, responsive planning of projects and programs in the criminal justice system.

Guide to the Evaluation Framework Outline

The second half of this paper begins with an outline of the evaluation framework of projects and programs in California's criminal justice system. The evaluation areas presented are more specific than the six just reviewed, but the approach to evaluation is the same. Each area is considered in three parts. The first part lists different aspects of the present state of the art of evaluation theory and practice in criminal justice agencies, projects, and programs. These current status items summarize conclusions drawn from an extensive review of the literature and from the several

investigations and techniques recommended by federal, state, or local government agencies, including some incorporated into actual projects and programs. Eight survey documents provide most of the foundation for these conclusions: California. Council on Criminal Justice (1973); Dyer & Fielding (1973); Emrich (1973a, 1973b); Indiana Criminal Justice Planning Agency (1973); Jones, Rhetts, & Wolff (1971); Jones (1972); Kimberling & Fryback (1973).

Following the current status items is a list summarizing the desired status of evaluation activities if evaluation-planning improvements are implemented over the next five years. This is the "ideal state," outlined in the form of desired outcomes, for optimal evaluation planning of projects and programs in California's criminal justice system. These outcomes give greater detail to each of the five-year objectives of the Plan.

The third part of each area's presentation identifies recommended strategies for achieving the desired improvements in the framework of evaluation planning.

Following the Evaluation Framework Outline is a section on product objectives, in which a more detailed discussion of each recommendation is given in order to review the critical needs that must be met during the next five years if project and program evaluation improvements are to be accomplished. The recommended strategies are listed in the order they should receive attention; each strategy outlines steps necessary to progress beyond current conditions toward the desired outcomes.

CONTINUED

CONTINUED

FOUR

To provide a working plan for improving project and program evaluations, each recommendation is described in the form of a product objective to be met by an OCJP staff member (or an outside consultant), a Regional staff member (or an outside consultant), or a subgrantee. For each recommendation, a few of the procedural objectives (process objectives) that must be reached to achieve each product objective are identified. These include tentative time deadlines that must be met if the five-year schedule is to be maintained.

Recommendations for an Improved Framework

Improvements in each of the evaluation areas cannot be made in a vacuum. These improvements assume that a supportive climate exists in the OCJP network to facilitate area-specific modifications, but such is not the case at this time. Therefore, changes must first be implemented in certain factors common to all areas. Such factors include financial support; the number of available staff; the competence of available staff and subgrantees; the organizational/managerial structure necessary to maintain evaluation activities; support services available to help programs improve their evaluations; a system for collecting and disseminating evaluation information; and better evaluation designs, instruments, and procedures appropriate to the criminal justice field. Elaboration of these considerations, which outline a climate more conducive to successful evaluations in this field, are presented in the product objective section. In

effect, this section also integrates recommendations made in the six sections incorporated into the separate (forthcoming) paper on the six broad evaluation areas.

Even though the current weak status of project and program evaluation in criminal justice agencies emerged poignantly during the literature review for this paper, the weaknesses are not unique to this field. Guba (1969) summarizes educational evaluation studies as lacking in: (1) knowledge about decision processes and related information requirements before an evaluation is designed, (2) adequate taxonomies for educational decisions, (3) methodologies linking evaluation to identifiable decision needs, (4) techniques appropriate to differentiated evaluation levels, (5) observation of fundamental methodological assumptions, and (6) explicit criteria for making judgments about data collected through evaluation efforts. Johnson (1970) and Hawkrige (1970) reiterate some of Guba's concerns in their reviews of evaluation in the whole field of social action.

Obviously, criminal justice personnel are not alone in battling frustrating evaluation problems; the many hurdles prevalent in their field are present in other fields. At the same time, if the OCJP is willing to take the risks involved in attempting some of the improvements recommended here for resolving the criminal justice evaluation problems, it can produce breakthroughs of widespread impact. The balance of this paper presents recommendations for guidelines and

priorities for such an attack at the project and program levels.

Improving the Framework for Project and Program Evaluations

Current Status of the Evaluation Framework

Numerous statements can be made regarding the current general status of the milieu for project and program evaluation in the criminal justice field. Some of the more important evaluation conditions are listed in the Evaluation Framework Outline. The first part of each series of statements in the outline itemizes these conditions in such a way that they can be related to desired outcomes and recommendations for improvements in the framework.

Desired Status of the Framework

If systematic improvements are made in the evaluation planning of criminal justice projects and programs, five years from now (1979) what outcomes and products should exist? The middle part of each series in the outline summarizes some of the more important desirable outcomes. Compare these outcomes with the current conditions upon which they should improve and with the recommended strategies for making the necessary improvements.

Recommendations for Improving the Framework

Over the next five years, achievements of a series of product objectives should improve the framework of project and program

evaluation in California's criminal justice system. These objectives are summarized at the end of each series in the outline and the actual objectives are then discussed in the product objective section. Each product objective is followed by a group of procedural (process) objectives describing interim activities that should be conducted in order to progress toward the outcomes summarized in the product statement. Neither the product nor the process objectives are presented in a rigid order outlining the chronological sequence in which they should be accomplished. However, a preliminary attempt has been made to list them in their order of importance beginning with objectives addressing the highest priority needs.

Evaluation Framework Outline

I. EVALUATION PLANNING PROCESS, AREAS, AND LEVELS

A. Current Status

1. A narrow, operational definition of evaluation which pays little attention to systematic planning (e.g., assessing needs, setting priorities, stating objectives) or the integration of planning and evaluation activities.
2. After-the-fact evaluation that ignores the need for a continuous flow of evaluation information to improve planning and implementation of interventions.
3. Ignorance of the multiple payoffs (especially in aiding critical decision making) that might come from well-designed and systematically conducted evaluations. Too often evaluation energies are wasted on concern for evaluation methodology while the decision needs that must govern the evaluation are ignored.
4. Little agreement about the most useful types of evaluation information which should be collected and the decision-making purposes they can serve.

5. Lack of decision-making results from evaluation activities that decision makers can use to make day-by-day decisions regarding cost-benefit relationships and improvements in criminal justice agencies.
6. Inability to identify and accept diverse levels of evaluation and monitoring and to relate each level to appropriate strategies and instruments.

B. Desired Status

1. A model integrating evaluation and planning activities throughout the life cycle of each project and program by making evaluation data available for decision making.
2. A standardized evaluation planning process used as a general guideline for making evaluations of projects and programs.
3. Evaluation results that "make a difference"; they are used by local, Regional, and state customers to make priority decisions in their organizations.
4. Self-monitoring milestones for each project and an evaluation design appropriate to both the resources available and the project's significance (i.e., importance of the investigation, duration of the project, potential replicability of its findings, and funds involved).

C. Recommendations

1. Standardize the evaluation planning process, areas, and levels.

(See Product Objective 1)

II. STAFFING

A. Current Status

1. Few people are trained to plan and conduct evaluations for projects and programs, and funds allocated to evaluation planning and its staffing are severely limited.
2. Too much dependence lies on evaluation and planning technical assistance provided by academic researchers

who frequently recommend the investigation of narrowly defined issues and the production of data that either are not responsive to real needs or are not delivered in time to meet evaluation deadlines.

3. No practical, applied-skill training exists to help staff acquire and practice evaluation planning competencies.
4. There is a lack of the following resources which should be available, especially when pre- and in-service staff training is not possible: (a) standards for selecting evaluation objectives, methods, and instruments; (b) guidelines/manuals to help design and conduct evaluations; and (c) well-structured technical assistance provided by competent and motivated personnel.

B. Desired Status

1. Optimal numbers of OCJP and Regional staff members who: (a) are assigned at least three-quarter time in the area of project and program evaluation planning; (b) are trained in the skills necessary to implement this evaluation planning model and to use an individualized, competency-based staff development program to train subgrantees in the application of this model; and (c) can apply related technical assistance.
2. Significantly more evaluations conducted by project and program staff with direct technical assistance and management from Regional personnel (supported where necessary by outside consultants) and indirect assistance and management from OCJP personnel at both the proposal and intervention stages. From their Regions, these project and program staff will have received competency-based training, guidelines and manuals on evaluation planning technology, and supportive monitoring based on explicit, publicized criteria for selecting and using evaluation planning alternatives.
3. Coordinated evaluation planning and monitoring activities across the OCJP network resulting from improved communications and regular in-service training.

C. Recommendation

1. Build staff competence for evaluation planning and technical assistance.

(See Product Objective 2)

III. MOTIVATION

A. Current Status

1. Project subgrantees have limited motivation for designing, conducting, reporting, and using results from reputable evaluations of their efforts.

B. Desired Status

1. Subgrantees adhering to this model because of many incentives, one of which will be their dedication to the production of timely information for the decision-making needs of the key customers they have identified for their projects and programs.

C. Recommendation

1. Provide controls and incentives for encouraging subgrantee evaluation competence, commitment, and action.

(See Product Objective 3)

IV. STANDARDS AND REVIEW

A. Current Status

1. Confusion of evaluation and monitoring. In some cases, monitoring is treated as synonymous with evaluation. In other cases, it is separated from evaluation and includes such varied activities as reporting field observations, determining the degree of grant compliance, receiving written or oral progress reports from project or program staff, and conducting project auditing.
2. Lightweight monitoring activities because of staffing problems in conducting monitoring and lack of specific standards and guidelines.

B. Desired Status

1. Experimentation with explicit criteria, and a related set of controls available to judge and shape project and program proposals. Acceptable project and program results and products.

C. Recommendations

1. Employ more rigorous acceptance standards for proposals,

interim evaluation reports, and evaluation products.

2. Implement improved OCJP monitoring assistance to maintain better subgrantee evaluation activities.

(See Product Objectives 4 and 5)

V. PROGRAM EVALUATIONS AND MODELS

A. Current Status

1. Few reputable evaluation studies serve as models to stimulate improved project and program evaluations, let alone provide relevant, timely information for their own decision-making customers.
2. No program evaluations exist and far too many project evaluations produce uncomparable results that have limited generalizing ability beyond their product-specific conditions.
3. No program evaluations exist because of (a) an inability to specify common objectives and evaluation designs across projects, (b) a lack of instruments appropriate for assessing such objectives across two or more projects, (c) a lack of resources (staff and finances) for reputable program evaluation studies, and (d) political opposition.

B. Desired Status

1. Demonstration models (emphasizing "how to do it") of project and program evaluations available in each functional category.
2. At least two key program evaluations conducted in each functional category of the criminal justice system and a significant reduction in the number of projects that produce results having a limited scope of generalization.

C. Recommendation

1. Increase the number of program evaluations and demonstration models.

(See Product Objective 6)

VI. THIRD-PARTY EVALUATIONS

A. Current Status

1. Overreliance on third-party evaluations coupled with a belief that in-house evaluations conducted by OCJP staff, Regional staff, or project and program personnel are unacceptably subjective and biased.

B. Desired Status

1. Third-party evaluations used either for summative evaluations or when project, Regional, or OCJP staff cannot perform the evaluation tasks.

C. Recommendation

1. Use third-party evaluations more judiciously.

(See Product Objective 7)

VII. EVALUATION DATA BASE

A. Current Status

1. No Regional or statewide data processing-based information system for collecting, organizing, and disseminating evaluation results on projects and programs investigated.

B. Desired Status

1. All evaluations producing information that can be incorporated into a statewide accountability system using the most up-to-date data processing equipment and techniques.

C. Recommendation

1. Expedite the storage and retrieval of evaluation information.

1. (Continued)

(See Product Objective 8)

VIII. EVALUATION TECHNOLOGY TRANSFER

A. Current Status

1. No services available to subgrantees of criminal justice interventions who want to share tested resources such as measurable objectives, evaluation instruments and procedures, and data analysis techniques.

B. Desired Status

1. A resource bank coordinated at a central location for collecting and disseminating printed and audiovisual resources that can assist subgrantees' evaluation activities.

C. Recommendation

1. Establish an Evaluation Resource Service.

(See Product Objective 9)

Product Objective 1: To Standardize the Evaluation Planning Process, Areas, and Levels

To standardize the evaluation planning process, areas, and levels, two ad hoc OCJP-Regional committees (evenly staffed from these two sources, with Regional persons appointed by the Regional Directors Association) coordinated by an independent agency (for example, UCLA) should produce the following publications: two annual reports and a final, approved statement of the rationale and model as well as the recommended technology for conducting project and program evaluation planning in California's criminal justice system.

Process Objective 1.1. Between July 1, 1974 and October 31, 1974,

OCJP's Evaluation Unit should establish the membership, purposes, working guidelines, and work schedule for an Ad Hoc Committee on the Evaluation Planning Process. The object of this committee will be the specification of a standardized evaluation planning process that has illustrated applicability for each functional category of criminal justice and can be adapted to local evaluation constraints. This committee should adopt the categories listed at the beginning of this paper if the classification of one variable is acceptable and a more appropriate classification scheme cannot be found.

The following steps of an evaluation planning process, and any alternative approaches, should be given close consideration.

1. Identify the evaluation customers and their needs and wants for decision-making information. For example, OCJP is a customer of all evaluations. Three standardized decision needs have been listed for OCJP (see Emrich, 1973a): information on which to base decisions regarding funding for the second and third years of a project, information summarizing whether or not the project's intervention was effective and should be replicated, and information stating whether or not that intervention was cost-efficient in a particular setting when contrasted with other alternatives. Also, the primary evaluation customers, Regions and the county boards of supervisors and city councils to which they are responsible, have additional

decision-making needs that must be determined and met.

Therefore, a needs assessment should be conducted in each of the twenty-one Regions.

2. Specify measurable evaluation objectives that must be achieved to supply the necessary decision-making information.
3. Develop the evaluation methodology necessary to measure achievement of these objectives. Alternative evaluation models, designs, procedures, and instruments must be considered before first choices are made. The criterion used in this selection process must be the ability of each alternative to supply data related to customers' decision needs and wants. Also included in developing evaluation methodology are the tasks of adopting, adapting, or constructing the necessary instruments and procedures. Additional tasks include the identification of needed resources and the roles necessary to implement the evaluation, to collect data, and to analyze them.
4. Implement the selected evaluation methodology.
5. Collect and analyze data.
6. Provide and use the evaluation results by employing effective dissemination and diffusion strategies.

Process Objective 1.2. Between November 1, 1974 and February 28, 1975, OCJP's Evaluation Unit should establish the membership,

purposes, working guidelines, and work schedule for an Ad Hoc Committee on Evaluation Planning Areas and Levels. The object of this committee will be to analyze the six evaluation planning areas, recommended in the first half of this paper, as well as alternative approaches emphasizing other or fewer areas. The appropriateness of these areas to each functional category of criminal justice projects and programs should be empirically validated. Then, within the selected areas, an analysis should be made of the desirability and feasibility of each level of evaluation and monitoring such as those listed below.

- unstructured monitoring (goal-free monitoring is not directed toward explicit, predetermined goals)
- structured monitoring (goal-based monitoring focuses on identified, preselected goals)
- impressionistic, intuitive evaluation (goal-free or goal-based evaluation for formative or summative purposes)
- a simple correlational study (goal-free or goal-based evaluation or both for formative or summative purposes)
- a single or multiple regression equation study (goal-free or goal-based evaluation or both for formative or summative purposes)
- a criterion-referenced study (goal-free or goal-based evaluation or both for formative or summative purposes)
- a quasi-experimental study (goal-free or goal-based evaluation or both for formative or summative purposes)

- a true experimental study (goal-free or goal-based evaluation or both for formative or summative purposes)

These items are included here not to confuse the reader with ambiguous jargon but to illustrate that a range of levels is possible. Such levels should vary along dimensions of project significance (e.g., importance of the study, its direction, replicability of its findings) and available resources (finances and expertise) for evaluating and monitoring activities. Specific examples of the application of each appropriate level should be identified and validated for each accepted evaluation planning area for each functional category.

Process Objective 1.3. Between November 1, 1974 and June 30, 1977, OCJP's Evaluation Unit should coordinate and facilitate the work of each of the committees so that committee members receive input from other resources developed through implementation of the Plan recommended in this paper, field-test committee products, produce their committee's annual reports by June 30, 1975 and 1976, and produce their final products by June 30, 1977.

Product Objective 2: To Build Staff Competence for Evaluation Planning and Technical Assistance

To build staff competencies for evaluation planning and technical assistance, the OCJP network should have the following as soon as possible: (a) optimal staffing in OCJP's Evaluation Unit and in the Regions to improve evaluation planning and monitoring at the project and program levels, (b) OCJP and Regional staff members with evaluation planning and technical assistance competence, and (c) training packages and guidelines for subgrantees in criminal

justice agencies and representatives from the agencies and local units of government with whom these subgrantees relate and who request such training because they seek to improve the evaluation planning of their services.

Process Objective 2.1. During 1974-75, some staff of OCJP's Evaluation Unit should be assigned at least three-quarter time to project and program evaluations. These persons should receive informal training and should then work with a consultant group or the UCLA staff noted in Process Objective 2.6. Their tasks should focus on the development and implementation of a series of competency-based staff-development packages for training project and program personnel in evaluation planning skills. More specifically, this should include the design, pilot-test and revision, field-test (in 1975-76) and revision, and dissemination of these packages (including technical assistance) tailored to those Regional staff members who are working on evaluation planning activities. The content of these packages should be based on input from the two committees recommended in Product Objective 1 and on an analysis of effective techniques for providing technical assistance.

Process Objective 2.2. Additional OCJP staff members should be added to the above group working on project and program evaluation planning in 1975-76, and others should be added in 1976-77 and 1977-78. Thus, the final year (1978-79) of this plan will involve a full-fledged field trial of this staff capability. During the fourth

and fifth years, at least two-thirds of these staff members should devote three-quarters of their time to these tasks, and the remaining one-quarter should be spent relating their project and program domains to the function and mission domains of system impact evaluations.

Process Objective 2.3. During 1974-76, more resources should be allocated to enable Regional staff members assigned to project and program evaluations on a half-time or more basis to join with OCJP Evaluation Unit staff in the above activities. In other words, these Regional personnel should be given released time to work with the OCJP staff on the two committees as well as on the development and pilot test of the staff development packages.

Process Objective 2.4. During 1974-75, more resources should be allocated to as many Regions as possible contingent on their needs and the financial resources available so that they can add staff for project and program evaluation planning. It is assumed this strategy would add staff to eleven more Regions than the four that currently have such personnel.

Process Objective 2.5. During 1975-76, an additional sum should similarly be used to build the staffs of the remaining Regions. All new staff members should field-test the staff-development program for evaluation planning skills and technical assistance competencies. They should then begin to administer the evaluation planning training program to subgrantees in their Regions and representatives of local units of government and criminal justice agencies with whom these

subgrantees relate. At first, the training should be provided on a field-test basis, during which these Regional staff members should document, disseminate, and use any results concerning positive and negative, anticipated and unanticipated effects of the training.

Process Objective 2.6. An annual sum should be assigned in each of two years, 1974-75 and 1975-76, for an outside agency to work with OCJP and Regional staff (perhaps through the UCLA Evaluation Planning Project) on evaluation planning training at the project and program levels. If possible, work on this staff development training program should begin immediately. The program should involve the development and field-testing of the competency-based packages. After this time period, the OCJP Evaluation Unit and Regional staffs should take over the staff-development program and administer it to subgrantees and other local representatives. One approach that should be considered in establishing the purpose, content, and format of this staff development program is outlined below.

- Its purpose should be to help subgrantees (as well as OCJP and Regional staff) acquire, practice, and apply evaluation planning competencies appropriate to the project and program domains. The object of this training should be that subgrantees will be able to produce an approved evaluation and monitoring design and schedule for their projects or programs.

The training should concentrate on evaluation planning improvements in large-scale, long-term projects and programs in each functional category of criminal justice.

- The content of this training should focus on the evaluation-planning processes, areas, and levels recommended (or under investigation) by the two committees outlined in Product Objective 1. It should be based on improvements of evaluation methodology achieved through program and cluster evaluations currently being conducted in the OCJP network. In order to draw up the content specifications for this series of evaluation training packages, the following activities should be considered:

- (1) Identify general evaluation planning and monitoring tasks that must be performed in order to implement the standardized process in each functional category of criminal justice projects and programs --i.e., conduct a task analysis.
- (2) Specify competencies needed to perform these tasks and improve all aspects of project and program evaluations --i.e., conduct a competency analysis.
- (3) Select and design assessment strategies by which evaluation competency can be measured. What performance-based assessment techniques exist, what techniques are presently under development, and how can

they best be adapted? Such techniques must assess the evaluation planning skills each trainee has, those he or she needs to develop, and those he or she wants to acquire and practice --i.e., staff assessment.

- (4) Design and evaluate performance-based training packages that provide learning experiences appropriate to the competencies selected.
- (5) Determine how to evaluate the effectiveness of the procedures.
- (6) Pilot-test, revise, and field-test the packages. Then, revise them again before using them in regular staff and subgrantee development sessions.
- (7) Validate the competencies produced by using experimental and quasi-experimental designs appropriate for determining the relationship between evaluation competencies and project/program evaluation improvements.
- (8) Conduct data analyses to determine what techniques are most suitable for specific groups of people. That is, analyze the kinds of problems that commonly arise and how they might be avoided or corrected.
- (9) Conduct program evaluations by selecting appropriate criteria for assessing the success of the training series. Provide for the formative evaluation of the series of packages used in the field.

A similar group of activities should be considered in drafting specifications for a series of packages focusing on the acquisition and practice of the technical-assistance skills. OCJP and Regional staff will need to train subgrantees effectively and efficiently. Here, the task analysis should identify staff activities involved in successfully providing technical assistance to subgrantees at all stages, from proposal conception and development through project or program completion. The competency analysis should specify skills that staff members need to perform the beneficial activities. With information from these two sources, persons designing the staff-development program would have the basic elements needed to produce packages for building technical assistance competencies. The format of this staff-development program should have a number of characteristics. First, the training should be competency based (i.e., performance-based); it should emphasize the development of measurable skills rather than the acquisition of facts and information. In other words, each package should be designed to go beyond the cognitive level and produce actual skills useful in practical situations. Second, the training should be individualized, so that subgrantees (as well as Regional and state staff) who already possess some of the requisite skills will concentrate their attention only on areas they have yet to master. This should involve the use of diagnostic pretests to pinpoint

such skill areas. Individualization should also enable trainees to work on their own and at their own pace. Third, the packages should be supported by technical assistance provided as an additional learning resource for trainees. Each trainee should be able to work individually most of the time but should have access to consultation at appropriate learning and testing times.

Fourth, the complete program should be transportable so that it can be used in a variety of instructional settings (e.g., conferences, pre-service classrooms, in-service workshops, and independent study) and geographic locations. Fifth, the complete program should be introduced by a tape-slide orientation and a flowchart of the comprehensive evaluation planning process. Sixth, each package should be a multimedia presentation containing: goals and objectives summarizing the measurable skills that trainees should be able to demonstrate once they complete the package; instructional materials, progress checks, group activities; simulation activities built on actual studies of project and program evaluations conducted in each criminal justice functional category; application procedures; a posttest with complete feedback, and references if further study is desired. The completion of each package's activities should take between fifteen and twenty hours of the average trainee's time.

Initially, this type of staff and subgrantee development program should be validated for in-service training purposes. If that application proves successful, it should be expanded to a preservice training program used on an experimental basis at UCLA or USC. Studies of the usefulness of this training approach should be conducted and experimental investigations of the effectiveness of prototype packages should be made. Support for these studies should be requested from LEAA's National Institute of Law Enforcement and Criminal Justice.

Process Objective 2.7. Starting July 1, 1974, an ad hoc Committee on Standards and Guidelines, comprised of six OCJP and Regional staff (evenly distributed between these two sources, with Regional persons appointed by the Regional Directors Association) assisted by subgrantees and evaluation consultants selected by the committee should produce annual revisions of the following three products once their real usefulness for the evaluation staff of projects and programs has been demonstrated: (1) evaluation planning standards, (2) guidelines for improved evaluation planning, and (3) structured checklists specifying product and process objectives to be met by OCJP and Regional staff and outside consultants providing technical assistance to subgrantees as they develop proposals and initiate projects that demand identifiable evaluation planning skills.

These three products should be modified by successive approximations each year over the five-year period so that improvements are gradually made in the project and program evaluations to which they relate. The content of these products should be compatible with that of the competency-based staff and subgrantee development program recommended in Process Objective 2.6. Thus, the recommendations of the two standing committees about the evaluation planning process, areas, and levels appropriate to criminal justice projects and programs would be included in the content of the three products.

The production of all three products should be monitored by the project and program evaluation staff recommended for OCJP's Evaluation Unit in Process Objectives 2.1 and 2.2. This staff should also validate and revise these products. The Regions should handle dissemination of standards and guidelines for project evaluation while sharing the dissemination of program evaluation standards and guidelines with the Evaluation Unit (all program evaluations will be interregional). Regional and OCJP staff members should cooperate in monitoring subgrantee implementation of the standards and guidelines recommended each year. In carrying out these monitoring responsibilities, they should use the structured checklists for technical assistance.

Standards should specify criteria to be employed each year in judging evaluation planning components in (1) proposals,

(2) the records and activities of ongoing projects and programs, and (3) the deliverables (i.e., reports and other products) of completed project and program evaluations. The standards should describe and illustrate what must be contained in these components.

Guidelines must be available to help subgrantees meet these standards. The only available document resembling this recommended annual product is OCJP's July 1973 edition of Grant Application Information and Instructions. This sixteen-page document provides inadequate guidance in the area of evaluation planning because it concentrates on project evaluations only and gives superficial treatment to project objectives and project-evaluation design. Guidelines should define, discuss, illustrate and provide additional references for all aspects of the evaluation planning of projects. In addition, they should focus on each of the three standards and guidelines and products, not just on proposal preparation. The guideline documents should be incorporated as key instructional materials in the competency-based packages recommended in Process Objective 2.6.

Two means of using guideline documents should be available to subgrantees so they can meet the evaluation planning standards. Those who need to acquire and practice identifiable evaluation planning skills should be referred to appropriate training packages. Others should receive technical assistance more consistent and more standardized than that typically provided to

subgrantees. This standardization should enable technical advisers (OCJP and Regional staff or outside consultants) to guarantee that their assistance achieves specific measurable outcomes. Two ways to accomplish this standardization are (1) ensure that each adviser has an optimal level of technical assistance skills, which can be accomplished by referring those who lack requisite competencies to the appropriate training packages, and (2) to use the aforementioned checklists, which outline a basic series of outcomes advisers should produce and procedures they should use when they attempt to provide technical assistance. If these desired outcomes and procedures are stated as measurable objectives (i.e., product and process objectives), then both the adviser and the person or persons receiving technical assistance have standards by which to judge the effectiveness of such assistance.

Product Objective 3: To Provide Controls and Incentives for Encouraging Subgrantee Evaluation Competence, Commitment, and Action

Through an orderly process over the next five years, current OCJP Evaluation Unit and Regional staff working on project and program evaluations (as well as any personnel added because of recommendations summarized under Product Objective 2) should gradually evolve an integrated set of incentives and controls to help subgrantees and personnel from local units of government and criminal

justice agencies develop additional skills in evaluation planning, become more committed to designing and implementing reputable evaluations, and be more active in evaluating their projects and programs. The incentives and controls will include at least the factors discussed in the following process objectives.

Process Objective 3.1. OCJP and Regional staff should suggest that all subgrantees improve their evaluation planning competence by encouraging them to assess their current skills, challenging them to accept training in areas where they lack skills needed for their project or program evaluations, and providing them with consultation while they take their training. Whenever appropriate, materials and techniques developed for Product Objective 2 (i.e., the competency-based packages, evaluation planning standards, related guidelines, and correlated, measurable technical assistance) should be used to improve subgrantee competence.

Process Objective 3.2. Through selected dissemination activities (discussed in the technical paper on dissemination in this volume) OCJP and Regional staff working on project and program evaluations should help subgrantees adopt positive attitudes toward at least the following aspects of evaluation planning. First the most useful evaluations attempt to improve rather than prove interventions used in projects and progress. Second, such evaluations must collect, disseminate, and promote the use of information that enables key decision makers in criminal justice agencies to make critical decisions.

Process Objective 3.3. Regional staff should require that each project proposal contain an approvable decisions-based evaluation design and schedule as a prerequisite for funding. Similarly, staff in the OCJP Evaluation Unit should maintain this same control over all proposals for program (interregional) evaluations. In both cases, the evaluation planning standards (described in Process Objective 2.7) accepted for the year in which the proposals are reviewed will be used by the staff making these decisions.

Also in both cases, part of each subgrantee's contract will specify that at least the following preliminary information be available for the evaluation design:

1. At least one key customer (besides OCJP central and Regional staff) of that project or program evaluation.
2. At least one top-priority need for decision information of that customer, the OCJP, and the Regional staff.
3. The evaluation objectives the subgrantee agrees to achieve in order to produce the required information.

For project evaluations, examples of decision needs of the OCJP are listed under Process Objective 1.1. Additional information needs of the local planning board must be identified by each subgrantee. Invariably, from the Regions' viewpoint the top-priority needs must be ones held by the county board of supervisors or city council, and the criminal justice agency most involved in the proposed project also must be specified and met by the subgrantee. Staff

from each Region should help their subgrantees assess and specify the decision needs of these various groups if such groups are agreeable to this assessment and can be helped to identify their needs.

It is hoped that the above regulation will have a positive effect on subgrantees' evaluation commitments and actions. If subgrantees receive OCJP training and encouragement to implement this decision-based approach to evaluation, they should recognize that these additions increase the relevance and long-range usefulness of their projects' results. They should realize also that the required evaluation planning activities force them to look ahead to specify the desired effects they would like to produce and to monitor their progress in terms of those desired outcomes. In other words, they should realize that they, too, are important customers of their evaluations and should be able to use timely information to improve their project effort and impact.

Process Objective 3.4. Regions should require that selected project subgrantees produce, by the end of the fourth month of the first year of the contract, an acceptable, updated evaluation design and schedule, including milestones by which the implementation of that design can be monitored. Evaluations should be designed to supply the decision-making needs of OCJP, the Regions, and subgrantees (as well as the local units of government and criminal justice agencies they represent). A subgrantee who does not produce

evidence that his or her proposal's design and schedule have been updated and are now feasible and desirable should receive no fiscal support beyond that 120-day limit until the requirement has been met. OCJP staff should establish a similar requirement for subgrantees of program evaluations.

Process Objective 3.5. Regional staff members should require that each selected grant shall have an evaluation administrator who will be held accountable for the evaluation planning products and schedule of activities specified in the OCJP contract.

Process Objective 3.6. Regional staff members should require that each selected project has at least a three-member Evaluation Planning Review Panel that meets at least twice a year with project staff. These meetings should be coordinated by the project's evaluation administrator. After each meeting, panel members should submit copies of their individual reports to the project staff and the project monitor from the Regional office. Similar requirements should be established for program evaluations conducted under OCJP's Evaluation Unit. In all cases, the panel should provide general technical monitoring, review of evaluation methodology, and independent review of key technical decisions. Panel recommendations should be advisory only; however, the project or program evaluation administrator should respond to each recommendation, regardless of whether or not it will be followed.

Process Objective 3.7. OCJP and Regional evaluation planning staff should verbally encourage subgrantees who recognize and use

the following two incentives for improved project and program evaluations:

1. The levels of evaluation and monitoring recommended by the ad hoc Committee on Evaluation Planning Areas and Levels. The alternatives identified and validated by this committee should stimulate subgrantees once they recognize that rigorous evaluation designs are not necessary for each project. In fact, little more than structured monitoring might be appropriate in many instances.
2. The results of Product Objective 6, which include models of evaluation planning activities conducted in each functional category of criminal justice. Such models will demonstrate the "dos and don'ts" of project and program evaluations and their primary purpose will be to illustrate that evaluation planning can be done in each functional category and can produce useful information.

Product Objective 4: To Employ More Rigorous Acceptance Standards for Proposals, Interim Reports, and Evaluation Products

Through regularly scheduled meetings over the next five years, current staff of the OCJP Evaluation Unit and the Regions (as well as any personnel added because of recommendations summarized under Product Objective 2) should develop and consistently use rigorous criteria for determining the acceptability of the evaluation aspects of proposals, evaluation interim reports, and final reports or other products of project and program evaluations.

Process Objective 4.1. OCJP and Regional staff assigned to develop the above criteria should make them consistent with evaluation planning standards designed for subgrantee use and produced by the Ad Hoc Committee on Standards and Guidelines. The format of these criteria will fit the design of instruments that the staff can use in applying the standards to evaluation sections in proposals as well as evaluation products of all types. Such techniques will include detailed checklists and rating systems with scales graded according to explicit, objectively observable characteristics of proposals or reports. All criteria should be made available to subgrantees so that they will know how their products will be judged and can determine whether their contract's objectives have been satisfied.

Process Objective 4.2. Selected project and program evaluation personnel in the OCJP Evaluation Unit and the Regions should be assigned responsibility for ensuring that every proposal, report, and other evaluation product is reviewed and assessed on the basis of the above evaluation planning standards. Staff should be allocated so that this 100 percent review process gradually becomes a reality. Ultimately, proposals, reports, and other evaluation products not meeting the above criteria should not be accepted. In the case of proposals, funding possibilities should be delayed or

dropped; in the case of reports, continued funding should be terminated and contractual obligations should be designated as unfilled. Alternatives should be explored for (1) taking legal action against contractors who do poor evaluation work and (2) providing subgrantees with a process for appealing OCJP decisions.

Process Objective 4.3 All selected personnel should be trained to employ the criteria in a standardized manner so that each proposal or evaluation product receives similar attention.

Product Objective 5: To Implement Improved OCJP Monitoring Assistance to Maintain Better Subgrantee Evaluation Activities

To maintain better subgrantee evaluation activities, Regional staff responsible for project evaluations should provide monitoring assistance for the evaluation-planning activities of each selected project discussed in Process Objective 3.4. Staff of the OCJP Evaluation Unit should maintain similar monitoring responsibilities for all program evaluations and be available to assist Regional staff on project evaluations whenever necessary. In all cases, these monitors of evaluation components should coordinate their efforts with regular Regional and OCJP central staff members who monitor all projects and programs. The OCJP Evaluation Unit should be the coordinator of the evaluation monitoring process. The staff of this unit should use the program specialty talents of OCJP personnel who have demonstrated expertise and familiarity with the projects and programs being monitored.

Process Objective 5.1 The basic evaluation monitoring provided by these staff members should be fairly routine if the recommendations embodied in Process Objectives 3.4 through 3.7 are accepted. These recommendations should lead to greater and earlier specification of evaluation-planning parameters, strategies, and schedules for project and program evaluation. In these cases, monitoring would be facilitated, thereby involving little more than progress checking, and further facilitated if subgrantees' contracts specify the methods to be used in monitoring their progress, including the number and dates of required site visits. Since contracts are complicated, specifics such as these must be given priorities along with other basic information.

Process Objective 5.2 Critical in the type of monitoring noted above is the provision of technical assistance that helps project and program evaluation staff improve their activities during each phase of their efforts. Process Objective 2.7 recommends that evaluation staff of the Regions and the OCJP Evaluation Unit be trained to provide this type of monitoring assistance and to use checklists built on objectives to structure and standardize the help provided. In addition, these staff members should take competency-based training that orients them to the administration of contracts and increases their skills in handling problems of contract performance. The total effect of this approach to monitoring will emphasize a helping, rather than a policing, role for monitors.

Product Objective 6: To Increase the Number of Program
Evaluations and Demonstration Models

To increase the number of program evaluations and demonstration project and program evaluations, the OCJP Evaluation Unit working closely with evaluation staff members from the Regions over the next seven years should produce ten three-year program evaluations (evenly distributed among the criminal justice functional categories) and ten demonstration project evaluations, similarly distributed, that can serve as models (printed, audiovisual, or visitation) for how to improve evaluation methods and results at the project level.

Process Objective 6.1 Working closely with evaluation staff members from the Regions, the OCJP Evaluation Unit should initiate two new program evaluations in two additional functional categories each year for the next five years. These should not be confused with the cluster evaluations being conducted during 1973-74; program evaluations should be more rigorous. At least one program evaluation should be conducted in each of the seven functional categories, and the remaining three evaluations will be assigned to categories I, II, and V. The two studies for 1974-75 have already been proposed, in the areas of community-based alternatives to incarceration and juvenile delinquency diversion. However, these will evaluate existing projects. Efforts should be made in subsequent program evaluations to include projects prior to contract formulation.

Process Objective 6.2 Working closely with evaluation staff members from the Regions, the Evaluation Unit staff should ensure that the remaining eight program evaluations capitalize on the procedures of the two initiated in 1974-75. In addition, in co-operation with the Regions, they should attempt to use a Request for Proposals (RFP), rather than a sole-source approach in funding. That is, public or private agencies should compete for funds to conduct these studies. State government agencies should be preferred but should have to demonstrate their expertise as rigorously as any other competitor.

Process Objective 6.3 In designing these program evaluations, Evaluation Unit and Regional personnel should meet at least the following requirements.

1. At least ten projects will be involved in each study.
2. These ten projects will be selected from at least five Regions, each of which must place high in their Regional funding priorities the functional category of the program evaluation.
3. Each participating Region, using the priorities stated in its Regional plan, will seek subgrantees to initiate the project or projects that will participate in each program evaluation. Regional funds will be used to fund the action components of these projects; OCJP funds will be used to support the evaluation components. The components must also meet the evaluation

requirements of the Regions.

4. The evaluation staffs of all Regions will participate in the project selection.

5. Each program evaluation will be jointly monitored by the OCJP Evaluation Unit and by the evaluation personnel in the Regions where component projects are located.

6. The general purpose of each program evaluation will be to establish a series of comparable project evaluations so that, for each functional category, OCJP can identify exactly what interventions work with whom (or what operations) and under what conditions.

Process Objective 6.4 In addition to the above program evaluations, the OCJP Evaluation Unit and Regional evaluation personnel should cooperate to select and monitor ten project evaluations as prototypes for improved project evaluations proposed and conducted by subgrantees (or their consultants). These ten studies, and the program evaluations, should also be distributed among the seven functional categories.

Process Objective 6.5 During each of the next five years, Evaluation Unit and Regional evaluation staff should identify, from among those project proposals being considered by Regional planning boards, a group of projects having a high probability of successful impact. These should be large two-year projects having possibilities for wide application and generalization. Each year these staff members should select two projects for which the

subgrantees are willing to improve their proposed evaluation designs to provide models of cost-effectiveness, cost-efficiency, and cost-benefit analyses.

Process Objective 6.6. Using dissemination and diffusion techniques (such as those suggested in the technical paper on dissemination in this volume) OCJP Evaluation Unit and Regional evaluation personnel should ensure that the results of the ten prototype project evaluations are used to improve other project evaluations in the process or planning stage across the OCJP network.

Product Objective 7: To Use Third-Party Evaluations More Judiciously

By July 1, 1977, project and program evaluation planning staff of OCJP's Evaluation Unit and of the Regions should have encouraged the adoption of a policy restricting the use of outside or third-party (that is, nonprofitor nonprogram staff) evaluations throughout the OCJP network.

Process Objective 7.1. Between July 1 and December 1, 1974, a task force of Evaluation Unit and Regional evaluation staff should cooperate to survey the current and the desired use of third-party evaluators in criminal justice agencies in each region.

Process Objective 7.2. By December 31, 1974, the OCJP Evaluation Unit staff and this task force should produce a report of this

survey's results, conclusions regarding the pros and cons of the use of third-party evaluators, and recommendations for regulating future evaluations of this type. This task force should consider the possibility that there has been indiscriminate use of third-party studies and that such practice seems to have been based on a belief that "outside" evaluators are the only persons who are both qualified and objective enough to conduct well-designed evaluations. In fact, it may be found that the majority of OCJP central and Regional staff and subgrantees propose third-party evaluators as the panacea for any and all evaluation problems. Overuse of such studies seems to have contributed to the proliferation of poorly designed, conducted, and reported evaluations. Many outside evaluators seem to have conducted premature summative evaluations of the overall worth of projects that are only embryonic. In these cases, it would have been better to perform formative evaluation studies to assist project staff in improving their interventions and procedures.

One of the recommendations this task force should consider is to restrict outside evaluators to only the following types of investigations:

1. Summative evaluations to judge the overall "worth" of a project's interventions after staff members have implemented formative evaluations allowing them to revise and improve their interventions.
2. Project evaluations when it is impossible for the Regional or OCJP Evaluation Unit staff assigned to train and assist project personnel to conduct their own formative evaluations.

3. Program evaluations such as those discussed under Product Objective 6.

Process Objective 7.3. Between January 1, 1975 and July 1, 1977, Evaluation Unit and Regional evaluation staff should train subgrantees to acquire and practice skills for conducting formative evaluations of their own projects and interventions. Training alternatives specified under Product Objective 2 should be used in this process. Included should be the use of an apprenticeship model; subgrantee evaluation staff should work closely with qualified Evaluation Unit and Regional consultants to improve evaluation planning. During the same period, these OCJP personnel should seek adoption of a policy for all OCJP network third-party evaluations that will be used only as indicated in Process Objective 7.2 and only through a competitive bidding process. In all such cases, OCJP staff members will closely supervise the writing and distribution of the RFP's, the development of detailed criteria for choosing contractors, the use of bidders' conferences, and the selection of the outside evaluators.

Product Objective 8: To Expedite the Storage and Retrieval of Evaluation Information

To expedite the storage and retrieval of evaluation information during 1974-75, a twelve-month study of the feasibility of a state-wide accountability system should be completed. This system would produce relevant and timely data for overall impact evaluation of projects and programs across the OCJP network as well as data for

local project revisions and improvements and would supply information accountable to the evaluation decision needs and objectives of (1) leaders in local units of government and criminal justice agencies, (2) Regional staff and board members, and (3) OCJP staff and council members. During 1975-76, if the feasibility study is successful, monies should be allocated for the design and pilot-test of a prototype system in three Regions of varying levels of complexity during 1975-76. If this pilot-test works, additional sums should be assigned in each of the next three years to revise and expand this system to additional Regions in 1976-77 and to the balance of the Regions in 1977-78. A full-fledged trial should be possible in 1978-79.

Process Objective 8.1. During 1974-75, a task force of project and program evaluation staff members from OCJP's Evaluation Unit and the Regions should assign adequate personnel (at least a systems analyst and a computer programmer) to work on the feasibility study to be completed during that year. They should investigate a statewide accountability system that has at least the following characteristics:

1. It is basically a composite of twenty-one regionwide accountability systems.

2. It uses the following types of reliable data which subgrantees (who have received the type of competency-based training described under Product Objective 2) are required to produce:

- (a) the measurable impact objectives of each project, (b) the

characteristics of the intervention(s) actually implemented,
(c) the characteristics of the target persons or operations,
(d) objectives-related results obtained by these persons or operations, and (e) unanticipated side effects that were produced.

3. It compares the above data to information collected on each Region's general goals and annual priorities, to help Regional staff determine whether or not they have met their priority objectives (and progressed toward their goals) and what their next year's priorities should be.

4. It should protect the confidentiality of individuals involved in project and program evaluations.

5. It necessitates redesign of grant application forms, redesign of interim and end-of-year reporting procedures and forms, and the development of a capacity within the OCJP central and regional offices for processing and storing in master files the information on these forms. It encourages OCJP development of a complete project-and-program auditing capacity to include not only a fiscal audit but an audit of each subgrantee's degree of compliance with the reporting procedures developed for item 4 above.

6. It employs the most up-to-date data-processing equipment and techniques.

Process Objective 8.2. By July 1, 1975, the OCJP executive staff should receive the task force's reports and debriefing on the feasibility study and should decide whether or not Phase II

--a pilot-test of a prototype accountability system in three Regions-- will be initiated. Similar decisions should occur respectively by July 1, 1976, 1977, and 1978 in regard to Phase III, a pilot-test in some of the Regions; Phase IV, a pilot-test in all twenty-one Regions; and Phase V, a field-test of the complete statewide system.

Process Objective 8.3. If approval is obtained for one or more of Phases II through V, the same task force and the accountability system staff members should slowly evolve the regionwide and statewide systems. Benefits produced should include:

1. An increased awareness of outputs (accountability for results or benefits) among local, Regional, and state decision makers, who in the past seem to have focused their attention only on inputs (for example, costs, staff activities, staff operation).
2. The establishment of a data bank from which meaningful research evidence can be generated indicating what effects a given intervention can be expected to have when implemented in a given manner under given conditions.

Product Objective 9: To Establish an Evaluation Resource Service

The OCJP Evaluation Unit coordinating with evaluation planning staff in the Regions should establish an Evaluation Resource Service at a central location in the state. This service should assist criminal justice personnel from any local, Regional, or state agency in California in finding resource materials and persons to

help improve their evaluation planning efforts.

Process Objective 9.1. Between September 1 and November 30, 1974, a task force of OCJP and Regional personnel (composed primarily of project and program evaluation staff from the Evaluation Unit and the Regions) should design a set of guidelines for the proposed Evaluation Resource Service and a job description and competency analysis for staff to initiate and maintain the service. The equivalent of a full-time material-and-media specialist and a full-time secretary/clerk should be recommended. An annual budget should be allocated for the materials search, purchase, and reproduction process.

Process Objective 9.2. Between December 1, 1974 and January 31, 1975, alternate sites for the service should be explored, a site selected, the facilities equipped, and staff recruited.

Process Objective 9.3. The service should begin February 1, 1975 by initiating a statewide and nationwide search-and-see process for resources related to the evaluation planning of criminal justice projects and programs. A resource bank should be established for the purpose of assessing, organizing, cataloging, and disseminating printed or audiovisual products in areas such as the following:

1. Statements of measurable outcomes, objectives, and goals for each functional category in the criminal justice field.
2. Measurement techniques, instruments, and procedures keyed

to appropriate objectives identified for item 1.

3. Data analysis techniques appropriate for measurement strategies identified for item 2.

4. Manuscripts and reference books on introductory concepts and principles of evaluation planning.

5. Similar resources at more advanced levels.

6. Competency-based training packages, guidelines, and standards documents produced under Product Objective 2.

DISSEMINATION OF EVALUATION RESULTS THROUGHOUT
CALIFORNIA'S CRIMINAL JUSTICE SYSTEM AND
WITHIN CALIFORNIA'S OFFICE OF CRIMINAL JUSTICE PLANNING

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Dissemination of Evaluation Results Throughout
California's Criminal Justice System and
Within California's Office of Criminal Justice Planning

Evaluation results are items of information that can be very useful to decision makers. In this sense evaluation has been called a decision-making tool (Wholey, Scanlon, Duffy, Fukumoto, and Vogt, 1973, p. 46). However, evaluations are not intended to render decision making a mechanical process -- "the need is not for studies that tell what to decide, but rather for studies that provide information useful to the people who make policy and program decisions" (Wholey et al., 1973, p. 48). Therefore, if we assume that evaluation results do provide information for action by decision makers, why does the current gap between evaluation and its use exist?

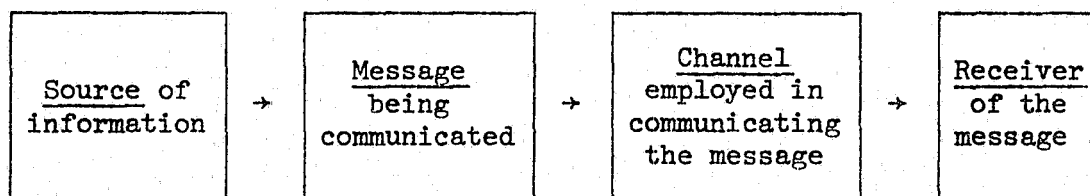
The basic premise of this discussion is that the gap between evaluation and its implementation can at least partially be explained by the lack of information reaching actual decision makers, or "receivers." As Wholey et al. (1973, p. 50) have stated, one of the reasons for low utilization of evaluation is the lack of dissemination; the relevant receivers are not briefed on the results of useful studies. In other words, the actual presentation strategy employed affects the speed with which the outcome of research is picked up by decision makers. However, merely supplying evaluation results to the decision-action foci of organizations does

not guarantee their utilization. In order to enhance the probability for utilization of evaluation results it is also necessary to create and maintain a demand for such information.

Diffusion approaches are helpful in creating and maintaining a demand for information; dissemination methods are useful in ensuring a constant supply of the desired information. Therefore, diffusion of evaluation results is the subject of another technical paper in this volume. The subject matter of this paper is how an organization like the Office of Criminal Justice Planning (OCJP) can ensure that evaluation results are supplied or disseminated to the decision makers in its network. This discussion shall outline ways in which the actual technical presentation strategy can increase the probability that evaluation results will be communicated to users.

In order to understand the basic concepts of presenting and disseminating information, it is necessary to recognize that a process is involved.

Communication has been viewed by Lindzey and Aronson (1968, vol. 3, p. 136) as a process involving the four major factors illustrated below.



Evaluation results are information; the aim is to transport this information from its source to a receiver by the most effective means. The following pages are devoted to discussing these major factors as they pertain to the selection of effective communication strategies. The four basic factors are discussed in the following order: (1) characteristics of the source, (2) characteristics of the channel to be used for dissemination, (3) requirements of the message to be disseminated, and (4) characteristics of the receiver. The final section of this paper makes recommendations on which dissemination strategies the OCJP should employ, and these recommendations are derived from the conclusions reached in regard to the major factors reviewed.

There are various other technical papers in this volume that discuss certain aspects of the message to be communicated and the receiver of the message. In this discussion we shall focus on channel or medium factors. The discussion will not go as far as McLuhan (1964, p. 7) and claim the "medium is the message," but it will review the salient factors of a medium or dissemination strategy which determine its effectiveness. As previously mentioned, we are discussing the dissemination strategy not in isolation, but as a factor in the communication process. Nevertheless, the dissemination strategy will be treated in terms of it being a technology of transporting the message: "evaluation results" go from the source, OCJP, to the receiver, the OCJP network.

Characteristics of the Source

The source or communicator of information influences how the information will be received, whether it will be accepted and understood. The communicator's effectiveness must be discussed in terms of three characteristics --credibility of the source, rapport of the source, and authority of the source.

There will be more opinion change in the desired direction if the communicator has high credibility than if he has low credibility (Zimbardo & Ebbesen, 1970, p. 20). Credibility is composed of expertise and trustworthiness. In this context, expertise is knowledge of a subject and trustworthiness is the motivation to communicate knowledge without bias. Therefore, if our primary objective is to convince and persuade the audience, we should use a source of high credibility.

Another important characteristic of the communicator is his rapport with the audience. In other words, the more the source and receiver have in common, the more inclined the receiver is to accept the conclusions and information offered. Often a communicator's effectiveness is increased if he initially expresses some views that are held by his audience (Zimbardo & Ebbesen, 1970, p. 20). It becomes a useful technique to establish some identity or solidarity with one's audience. Hence, evaluation information presented by criminal justice personnel is more likely to be

accepted by representatives of the criminal justice system than is information presented by an evaluation expert. Ideally, evaluation information should be presented by an evaluation expert who has considerable rapport with criminal justice personnel.

A characteristic also related to effectiveness is the authority of the source. If the source has authority to provide positive or negative reinforcements and if he can determine whether the receiver has complied with certain rules, then the source can use this authority to maintain a particular attitude. For example, the OCJP can use its financial leverage to force Regions and subgrantees to comply with various evaluation standards and guidelines.

Characteristics of the Channel

The choice of channel or medium used for disseminating evaluation information is contingent upon several factors. One factor has to do with general channel characteristics. These characteristics include differences in reach, speed of distribution, efficiency of transmission, personal skills required, appeal of content presentation, directness of the communication, emotions evoked, and amount of attention elicited between and within the various channels. Using the channel of print takes more time and reaches fewer people than using the audiovisual channel (Lindzey & Aronson, 1968, p. 79). Within the channel of print there are

considerable differences. The time involved in disseminating evaluation results via technical papers and reports versus brief summaries, memoranda, and critical reviews varies considerably. Brief summaries and critical reviews of significant evaluation studies are usually more effective than technical reports -- such summaries take less time to read and may be all that decision makers find time for (Wholey et al., 1973, p. 51).

The ability of the medium to make the message vivid and immediate will heighten its effectiveness. Thus, many researchers have shown that visual demonstration increases learning, interest, and persuasion to varying degrees. The audiovisual media can induce a sense of personal contact with what is being presented. This involvement enhances the effectiveness of the channel to the extent that "seeing is believing" (Lindzey & Aronson, 1968, p. 82). In other words, channels that encourage active participation can increase learning. In this connection it has been said that a lecture allows less participation and thus less learning than a seminar, just as a book allows less than dialogue (McLuhan, 1964, p. 23).

Other considerations involved in heightening the effectiveness of a channel are its accessibility and the amount of skill required in using one medium versus using another. Research has shown that an individual tends to choose that which is most accessible and requires the least skill (Educational Policies Commission, 1958, p. 8).

As a consequence, cassette recordings are communication devices easy to use and widely accessible which could be quite effective in disseminating evaluation results to decision makers.

The channel or medium with the greatest active participation by the receiver, best feedback obtained by the source, and most direct contact (intimacy and attention) is face-to-face communication. Such communication allows less opportunity for selective avoidance than does any other communication channel. The communicator can perceive his audience's characteristics and take steps to adapt to them. If he becomes aware of blank looks of incomprehension he can use another illustration; if he notes drowsiness he can take a break or change his voice pattern. He not only emits messages but constantly receives them (feedback), even though his audience remains silent. The face-to-face channel allows for rapid adjustment by the source to the receiver's responses. However, despite its apparent advantages, it is not possible to conclude that face-to-face communication is the dissemination channel the OCJP should employ. The choice of channel is limited by and dependent upon two other considerations: first, the type of evaluation information to be disseminated; second, the evaluation information needs of the receiver of this information.

Requirements of the Message

The type of evaluation results will determine where the information falls on a comprehension-awareness spectrum. For instance, evaluation information on program or project progress may require less technical levels of communication than information on program or project achievement. At one end of the spectrum, the receiver is required to have an acquaintance with an idea or a conclusion in its simplest form; at the other extreme, the receiver is asked to study an idea or conclusion in great depth in order to develop a deeper understanding. The resulting distinction is between awareness of general information and comprehension of specific, highly detailed information. Comprehension used in this context is intended to connote more than just basic understanding. It is understanding that leads to application of the comprehended material. In other words, comprehension has meaning as part of the classical education process of understanding information so that information leads to action by its application to other situations.

When dealing with basic results of evaluation studies, mere awareness of these general data may suffice --such awareness may be the level of communication for which OCJP is striving. However, when dealing with detailed concepts derived from the analysis, synthesis, and application of the evaluation study, a higher level of communication is required --comprehension is necessary.

Therefore, the type of evaluation information that needs to be communicated specifies the level of communication involved, and thus helps specify the appropriate dissemination strategy the OCJP may choose. For example, the OCJP must first determine whether brief summaries of useful evaluations are all that is needed because the objective is awareness, or whether the choice should be made independently by each element in the network. Regardless of who makes the choice the following holds true: if the objective is awareness of certain evaluation results, then a newsletter or clearinghouse --an information system of useful evaluation results-- would be the appropriate channel. If the objective is comprehending and absorbing the implications of the evaluation results, a technical assistance program would be more appropriate.

When dealing with comprehension versus awareness, different channel characteristics become crucial in assessing the appropriateness of one channel over another. For example, if the OCJP need is to create widespread awareness that evaluation information exists, then the channel characteristics --speed of distribution and ability to reach large segments of the target audience-- become paramount. On the other hand, if the OCJP desire is for comprehensive understanding of the evaluation results, then the channel characteristics --clarity, attention, and active participation-- become paramount concerns. The differences in the two OCJP goals are that with awareness the situation is an informative one,

whereas with comprehension the situation is an educational one. Thus, prior to choosing the appropriate dissemination strategy, OCJP must determine which type of evaluation results are to be disseminated on an informative level and which on an educational level. There currently also exists a need for greater analysis on the effectiveness of various dissemination strategies in terms of the type of information being disseminated.

Characteristics of the Receiver

Before OCJP can select the dissemination strategies best suited for its evaluation information needs, there must be some identification of the evaluation information needs of the OCJP network, the Regional boards and subgrantees --the receivers of the evaluation message. Evaluation problems probably differ for corrections and for law enforcement since their projects and programs are different. Therefore, it is desirable to classify the evaluation needs of each criminal justice subsystem. Based upon this classification of evaluation needs, the OCJP would be greatly aided in its selection of the most effective dissemination strategy.

Development of a taxonomy of evaluation needs would involve two distinct phases. The first phase requires identification of the various decision needs of the network. The product of this

analysis would be a classification of evaluation needs based on the stated decision needs. For example, it is desirable to know what decisions are necessary and therefore what kind of evaluation information is needed to aid these decisions. The second phase requires classification of dissemination needs based on the evaluation information needs established in the first phase. Furthermore, by ascertaining the kind of evaluation information needed one can classify the need in terms of awareness or comprehension and thus ultimately assign the appropriate dissemination strategy. For example, a police chief faced with the decision to continue or terminate a particular project needs evaluation information that is brief and concise, primarily for awareness of project results; the appropriate dissemination instrument for the police chief would be a summary of the project's impact.

The Evaluation Planning Project attempted to identify the decision, evaluation-information, and dissemination needs of OCJP and criminal justice representatives by employing a survey questionnaire. As the discussion of the questionnaire sample in the technical paper on evaluation expectations illustrates, before identifying evaluation needs one has to categorize the target receptor population on several dimensions. One dimension is whether the person is a "user" (a policy decision maker) or a "doer" (an operational person who actually conducts the study) of evaluation. A police chief or policy administrator is a user of evaluation

results; line personnel are doers of evaluation. In general, users of evaluation results will be concerned with acquiring awareness of this information, whereas doers need to acquire comprehension of evaluation information. Similarly, finding out that the receptor audience is impervious to bulky reports and journal articles is an important guide in the selection of the appropriate dissemination strategy.

One other receiver dimension that needs to be clarified is identifying the opinion leaders in the various criminal justice subsystems. Opinion leaders are informal communication channels and thus are crucial to the discussion of dissemination strategy. The influence opinion leaders can have and have had, is related to the discussion of the superiority of face-to-face communication, above. The particular effectiveness of opinion leaders is directly related to the personal relationship binding the participants -- the perceived status and credibility of the opinion leaders in the eyes of the OCJP network receptors.

Summary: Communication Strategies

As the preceding discussion has delineated, the choice of the communication strategy cannot be viewed in isolation. Who is disseminating the message, what is to be disseminated, and to whom it goes are crucial factors in choosing the appropriate strategy.

It was also pointed out that selection of a dissemination strategy is conditioned by the OCJP demand for awareness and comprehension of evaluation information as well as comprehension and awareness of how the evaluation information can be applied to decision makers' needs and problems.

One implicit objective of choosing the appropriate communication strategy is the development of a feedback mechanism on evaluation results from the projects and programs of the OCJP network. Such a mechanism should fit the OCJP funding decision schedule and provide the OCJP network, Regional boards, and sub-grantees with information at a time when it can be used for planning and establishing funding priorities.

Recommendations

The underlying premises of the following recommendations are (1) that the OCJP network currently lacks an evaluation planning information system and (2) that the OCJP network needs an operating information system if its evaluation planning efforts are to be successful.

The following recommendations are numbered in terms of the recommended application sequence rather than in order of importance, since we are concerned with a step-by-step process to disseminate evaluation information to OCJP and network decision

makers. Each recommendation is introduced by a description of the current state of affairs and of a desired state of affairs five years from now. Each recommendation also includes a discussion of how it relates and resolves certain aspects of the four major factors reviewed in the first section of this report. For example, the recommendations are categorized in terms of the requirements of the evaluation information; whether OCJP desires awareness of its target decision makers to the existence of evaluation results, or whether OCJP desires comprehension about the content of evaluation results. The recommendations are also phrased in terms of the identity of the target decision makers; not only the user and the doer of evaluation but also opinion leaders are considered.

Therefore, the precise recommendations as to channel selection remains sensitive to the boundaries imposed by the OCJP information requirements as well as the network's information requirements. Furthermore, the communication strategy is recommended in terms of meeting these requirements and on the basis of its particular communication characteristics.

Recommendation #1

Current Status

No complete documentation of OCJP and OCJP network evaluation needs exists; only the limited assessment of needs made by the Evaluation Planning Project Staff.

Desired Status

A taxonomy of OCJP and OCJP network evaluation needs matched with the appropriate dissemination strategy.

Recommendation #1

The OCJP should set up a task force composed of survey communication experts and OCJP representatives to investigate and document OCJP and network evaluation needs and set up a taxonomy of these needs.

Procedural Objectives

A task force should document OCJP and OCJP network evaluation needs plus reactions to the SEP and set up a taxonomy of these needs and reactions. The final product would be matching these various needs with the appropriate dissemination strategy to ensure the success of OCJP dissemination efforts. Since each subsystem of criminal justice addresses different evaluation problems and thus has different evaluation information needs, the OCJP staff itself must classify these needs and select the dissemination strategy most appropriate. This recommendation includes clarification of the objectives served by disseminating evaluation results and the decision as to which strategy is the most effective for each objective. The analysis we recommend should be conducted rather quickly, and should just outline these needs. Perhaps three months would suffice. On the basis of this first analysis, many key dissemination capabilities could be developed and implemented.

Subsequently, to improve these capabilities, some additional, more detailed analyses may be required.

Major Issues Served by This Recommendation

1. Source characteristics --OCJP can enhance its rapport with its network.
2. Channel characteristics --selection of the appropriate dissemination strategy based on empirical evidence of the decision makers' information needs.
3. Message requirements --selection of the message (awareness, comprehension) based on empirical evidence of the decision makers' information needs.
4. Receiver --allows in-depth consideration of the needs of OCJP staff, network, and opinion leaders.

Recommendation #2

Current Status

OCJP network decision makers are unaware of useful evaluation results because the OCJP has published only a limited review in a technical report consisting of thirty-eight funded projects in 1972.

Desired Status

Awareness and accessibility by the OCJP staff, Regional boards, and subgrantees to all useful evaluation results.

Recommendation #2

The OCJP should support rapid development of the computerized

Grants Management Information System (GMIS) to include useful evaluation results. In other words, a clearinghouse or information system of evaluation information should be developed.

Procedural Objectives

The OCJP evaluation staff should be held responsible for formulation of a clearinghouse. Currently, all subgrantees are required to send completed evaluations of their projects to the OCJP. These results need to be centralized and a formal system for abstracting them needs to be formulated. The abstracting services should be based on the Regional program and project categories. The OCJP could initiate the dissemination of this information by sending out a newsletter to its Regional offices containing a description of the clearinghouse service and an example of an abstract, or it could take a passive role and wait for requests by its network for the information contained in the clearinghouse.

The information system should have the following characteristics:

1. Present evaluation information in brief summaries and critical reviews of significant evaluation results.
2. Provide evaluation information to criminal justice personnel on a regular basis, primarily at the awareness level.
3. Permit individuals to register their interests so that they could be made aware, selectively, of new developments.

4. Permit individuals, already aware of an item of interest, to request further information at their own initiative, specifying the level of detail desired.
5. Ask individuals to specify the use they made of the information received, so that the system could continually update its files.
6. Continually monitor the customers' satisfaction and frustrations in order to regularly make improvements on the quality of service.
7. Eventually transfer the most significant evaluation results to an auditory device. For example, recording the summaries and reviews on cassettes. Cassettes can be sent to a policy or program manager who can listen to them in a group or on the way home from work. Cassette recordings have been shown to be a valuable and welcomed alternative by decision makers already overburdened with written material.

Major Issues Served by This Recommendation

1. Source characteristics --OCJP can enhance its credibility and rapport with its network.
2. Channel characteristics --greater accessibility of evaluation results and wider communication reach for evaluation results.
3. Message requirements --awareness and comprehension of

evaluation results by OCJP staff and its network through a centralized nontechnical communication device.

4. Receiver --all interested OCJP staff and criminal justice network representatives. A clearinghouse was one of the information needs most frequently stated by OCJP and network representatives in the survey questionnaire (see technical paper on evaluation expectations).

Recommendation #3

Current Status

There exists no OCJP document on how to do evaluations for the OCJP network.

Desired Status

An OCJP authorized document on how to evaluate, providing information about the rudiments of project and program evaluation.

Recommendation #3

The OCJP evaluation staff should prepare an evaluation "how to do it" or "it works" booklet for the OCJP network, especially the subgrantees.

Procedural Objectives

A case study or studies used in the booklet could be selected from the critical reviews which result from carrying out recommendation #2. The evaluation staff should select examples to illustrate how to conduct a good evaluation and contrast these with less satisfactory examples. The existence of such a booklet can

serve as a guide; the evaluator knows that after initiating a project or program there exist evaluation tools for reference. The evaluation staff should continually update the case study or studies used in the booklet.

Major Issues Served by This Recommendation

1. Source characteristics --involves a credible source because design of the booklet has to be by someone with evaluation expertise and knowledge of California's criminal justice system.
2. Channel characteristics --booklet is attention eliciting because evaluation is made graphic through illustration of its concepts and application.
3. Message requirements --comprehension of evaluation process and implications.
4. Receiver --booklet is actually geared for subgrantees but has generalizing properties for users of evaluation: Regional boards, policy makers, and opinion leaders. The booklet was one of the stated network evaluation information needs in the survey questionnaire (see technical paper on evaluation expectations).

Recommendation #4

Current Status

No formal OCJP technical assistance program exists for its network.

Desired Status

Establishment of a technical assistance program for the OCJP network, the purpose of which is the creation of an evaluation capability within the network.

Recommendation #4

OCJP should sponsor a technical assistance program for its network by (1) conducting skill-building workshops and (2) developing training packages that involve a learning-by-doing process.

Procedural Objectives

The OCJP should develop and support a technical assistance program. The two parts of the technical assistance program emphasize evaluation skill building. More specifically, the workshops can be extensions of the evaluation booklet and provide a liaison function between OCJP and its network. The workshops can function as information briefing sessions (utilizing audiovisual aids on the current thrust of OCJP evaluation planning activities). However, these conferences or workshops can emphasize the type of evaluation skills the OCJP wants and plans to develop in the network. The workshops can also serve as a feedback mechanism for the network on evaluation planning needs and difficulties. Thus, workshops are a useful two-way communication device.

Development of training packages for utilization by the OCJP network should be designed by someone with expertise in this area as well as thorough knowledge in criminal justice. The training

packages can be based on OCJP and OCJP network evaluation needs established by recommendation #1. The training packages should be designed to go beyond awareness and comprehension of evaluation, to produce actual evaluation planning skills particularly useful to doers of evaluation. The packages should emphasize the development of measurable skills rather than the mere acquisition of facts and information.

Employment of the training packages will serve several functions. Learning is by doing. The research and evaluation projects are performed by the normal administrative and operating personnel of the agency. As a result of learning by doing, the agency personnel better understand how evaluations are designed and carried out, the limitations of the techniques used, and the difficulties encountered during the evaluation in terms of the other operations of the agency.

Major Issues Served by This Recommendation

1. Source characteristics --OCJP's rapport and credibility will be increased through the skill-building workshops. The design of training packages will involve a credible source because the person has expertise in evaluation, training, and knowledge of criminal justice.
2. Channel characteristics --there is active participation required in all parts of the program. A face-to-face communication situation exists with the workshops.

3. Message requirements --the programs have comprehension of evaluation procedures and results as their ultimate goal. The workshops establish a direct dialogue between OCJP and its network on evaluation needs, plans, and activities. The training packages provide comprehension and also an evaluation capability in the network.
4. Receiver --OCJP network, particularly the subgrantees.

Recommendation #5

Current Status

There is no OCJP sponsorship of a demonstration evaluation project.

Desired Status

Production of a film demonstrating the problems of planning, implementing, and evaluating a project.

Recommendation #5

That the OCJP sponsor and help in the production of a demonstration film.

Procedural Objectives

The OCJP should sponsor and help develop a demonstration film. Approximately an hour in length, the film should be produced to demonstrate the various problems one might encounter in the planning, implementation, and evaluation of a project. The OCJP evaluation staff could select an ongoing project or modify an existing one to serve as the demonstration project. The film

should be made available for OCJP network showing. Some arrangement with the public broadcasting stations might be made to air the film.

Major Issues Served by This Recommendation

1. Source characteristics --involves a credible source because the film will be developed by the OCJP evaluation staff in conjunction with evaluation experts and will be sponsored by the OCJP.
2. Channel characteristics --the film creates a more vivid extension of the evaluation booklet, to the extent that seeing is believing. A film elicits attention, and certain degrees of active participation and simultaneous viewing by numerous individuals.
3. Message requirements --a demonstration film is geared to achieve awareness and comprehension of the complete process of project development, process, and evaluation.
4. Receiver --OCJP staff and network personnel plus opinion leaders. This could be a very useful method to illustrate and disseminate innovative or creative project and program ideas.

EVALUATION EXPECTATIONS OF
OCJP AND CJS REPRESENTATIVES

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EVALUATION EXPECTATIONS OF
OCJP AND CJS REPRESENTATIVES

In an attempt to assess the evaluation expectations and needs of people in the OCJP (Office of Criminal Justice Planning) and CJS (Criminal Justice System), two separate questionnaires were administered at two information workshops conducted by this project's staff and held in July and October of 1973.* The following discussion focuses on the results of the questionnaires, the problems associated with the design, sample, and administration of the questionnaires, and recommendations and modifications of the questionnaires for future use.

Participants:

July workshop:
16 Total participants

10 Law enforcement personnel
1 CCCJ representative
1 Regional representative
(Region not specified)
1 Probation representative
1 Court representative
1 Corrections representative
1 Private research representative

*At the time of the workshops, OCJP was called California Council on Criminal Justice. CCCJ is, therefore, often used in this report.

October workshop:	5 Law enforcement personnel
9 Total participants	2 Probation representatives
	1 Court representative
	1 Legislative representative

As the above figures indicate, the two samples were composed mainly of law enforcement personnel (N=15).

Methodology

Since two different questionnaires were administered on two separate occasions, the data collected have been analyzed separately to distinguish between the two instruments. The July questionnaire (Appendix A) was passed out and answered the same afternoon. Unfortunately, the same procedure was not possible with the October questionnaire (Appendix B), which was passed out one day and returned the next.

Both questionnaires were composed of multiple-choice questions with "other" as one of the choices and other questions requiring a written answer. None of the questions were deliberately designed to confuse the participant.

A discussion of participants' reactions to each questionnaire followed. During this feedback session, an attempt was made to learn whether there were objections to any questions and whether any questions were especially difficult to answer and, if so, why. Reactions to the July questionnaire produced significant modifi-

cations in certain questions in the subsequent October questionnaire. The results of each questionnaire are discussed in turn.

July Questionnaire

Question 1a. Of the respondents 50 percent said they were aware of written documents or criteria for determining the quality of a grantee's evaluating design; 50 percent were unaware of such documents. Those people who were aware of the documents identified, as the most important one, the grant application's internal instructions pertaining to statements on objectives and evaluation plans of a project.

Question 1b. Only six people answered this question and all felt that the shortcomings of the grant application instructions were their lack of clarity as to what is expected of the grantee in terms of evaluation. Also, the mere existence of these instructions provided no basis for determining the quality of evaluation design expected. It was generally felt that these instructions about an evaluation statement were too shallow and not designed for implementation or for any true measurement procedures.

Question 1c. All participants answered this question, and all expressed the need for "how to do it" guidelines. Major concerns were definitions of the objectives that are considered measurable and pertinent and how extensive an evaluation should be. More specifically, most participants wanted to know the how, when, and what of evaluation: how to design an evaluation, when to involve

professional researchers, and what type of data to provide.

Question 2. Every participant felt that an evaluation plan should be developed from the beginning as an integral part of an application. The most frequently expressed answer to this question was that the evaluation plan should be developed in conjunction with the project's objectives.

Question 3. When participants were asked what role outside evaluators have played in projects, 73.5 percent responded that outside evaluators evaluate the project after completion; 26.5 percent responded that outside evaluators develop project objectives.

Question 4. As to the role the evaluator should play, most respondents answered that he should plan the evaluation of the project and design the methodology for the evaluation. Once again, the answer expressed least was that the evaluator should develop project objectives.

When the results of questions 3 and 4 are combined, several things become apparent: the participants who answered these questions feel that the outside evaluator presently enters the process at the tail end and prefer that the evaluator be involved at an earlier, more technical stage. However, there is general agreement that the evaluator neither is presently nor should be involved in developing project objectives. The general sense of the answers is that outside evaluators are viewed as technical experts.

Question 5. It is quite interesting that most people could not state any existing criteria for evaluation or monitoring. Most simply answered that they did not know. Many admitted not even knowing the meanings of the two concepts. Concerning the criteria that should be used, most answers were quite definite. Most participants concluded that certain projects such as those concerned with "motherhood" issues or equipment should not be evaluated. Evaluation was defined as a process to assess the impact of grants. Thus, only projects with measurable objectives that could provide quantified results should be subject to evaluation. On the other hand, it was felt that most grants should be monitored, monitoring being defined as a process to assess the integrity or honesty of the grantee. Monitoring would thus include a dollar audit and a progress audit. In other words, administrative and fiscal accountability can be obtained via monitoring grants.

Question 6a. When asked about the quality of data presently generated by evaluations, 86.5 percent felt that the quality was inadequate. The type of data presently provided which was deemed adequate (by 13.5 percent of the respondents) was information on whether the target group was reached and on client attitude toward the project. Data on recidivism, crime levels, and delinquency were judged adequate by a few respondents.

Question 6b. In ranking types of data according to their usefulness, 56 percent preferred data on results that could be used to make changes in future operations, 40 percent preferred cost-effectiveness data, and 4 percent preferred data on the degree of duplication of services with existing agencies.

Question 7. Most respondents did not know what ranking to assign to the various evaluation purposes under "the current practices" category. This suggests that most such people do not have a perception of what the current practices are or what governs these practices. Those participants who had some perception of the practices believed they were for refunding decisions or accountability of grantees.

As to the proper purpose of evaluation, most respondents chose "measuring impact of project." Three chose "forcing agencies to set objectives" as the proper purpose of evaluation under current practices.

Question 8. The greatest technical difficulty was the lack of "know-how" to show that a project did something. Lack of technical expertise included how to generate valid data, keep adequate record systems, and establish researchable objectives. As one person said, "There are no hard-and-fast technical rules to follow."

Question 9. The organizational problem most often stated with respect to implementing evaluation was the project staff's failure to think in terms of evaluation, especially to agree on

objectives and on what constitutes valid data. Most respondents believed this problem was due to project staff's vested interest, that is, their general distrust of any evaluation of their projects.

Question 10. The greatest political problem concerned the distrust of evaluation because of the possible threatening implications of evaluation results for politicians on all levels. The mere fact that someone is keeping score (doing an evaluation) could have damaging effects--might result in the denial of refunding and in all the subsequent bad public relations effects of such action. Therefore, there seems to be a general lack of flexibility in accepting evaluation attempts because of the political "realities" involved.

Question 11. The greatest financial problem was lack of monies to do longitudinal studies and general lack of time to generate meaningful results because of the granting process. In other words, by the ninth month of a project's life span there is a rush to complete evaluation in order to start obtaining second-year funding. Therefore, the resulting analysis is superficial or inadequate.

Question 12. The greatest personnel problem, respondents generally agreed was a lack of technical expertise on the part of project, regional, and state staffs. Many expressed the opinion that there was also a lack of qualified outside evaluators familiar with the criminal justice area.

Question 13. In expressing their own views, most people were quite definite about what CCCJ's appropriate role should be. In general, CCCJ is seen as a central coordination agency; consistent with this view respondents believed that CCCJ's job is to provide technical assistance or at least to direct agencies to the appropriate experts on a regional and local level. CCCJ is regarded as a central clearinghouse, able to articulate and disseminate information throughout California's criminal justice network. The end product of this view is a dialogue within the California criminal justice network which would aid the network in better use of its resources. Many respondents felt that CCCJ should be responsible for complex (cluster) evaluations, but that the ultimate goal of CCCJ planning should be project self-evaluation. The regions are viewed as determining their own needs and special problem areas. A major concern was to have all components (agencies, regions, CCCJ) work as a team, with CCCJ as the central organizational body.

October questionnaire:

Question 1. Respondents were asked to check the type of assistance they would use in five evaluation issues. (a) how well project's objectives and problems were defined, (b) what was project's impact, (c) how well were project's operational activities carried out, (d) how was project's evaluation design implemented, and (e) how could results of the project be used.

For each issue, they were given the choice of using (1) written guidelines, (2) direct CCCJ staff support (technical assistance), (3) training, or (4) outside evaluators.

The results indicate that no matter what level of evaluation one is talking about, the respondents needed or would use written guidelines or an outside evaluator.

Evaluation Level	Method Most Desired	
	Written Guidelines	Outside Evaluator
	%	%
Definition of project objectives and problems	88	55
Project impact	66	66
Project operational activities	66	55
Implementation of project's evaluation design	44	44
Use of results	44	44

It is interesting to note that the respondents felt they needed the least amount of help on how to use the results of a project.

Question 2. All the participants felt that an evaluation design should be developed before starting a project.

Question 3a. When asked "What should be the role of an evaluator?" the choice was either to "help, assist" or "do, develop."

Method		
Help	Do	Evaluation Issues
%	%	
62	50	Implementation
	87	Operation
	100	Impact
50	50	Use of results

Clearly, the respondents felt that an evaluator should do the evaluation of project operation and impact and only aid or help in the evaluation of project implementation and utilization of results.

Question 3b. The respondents were asked their preference for internal (by project or CCCJ staff) or external (by outside contracted person) evaluation. Internal evaluation was preferred by 37.5 percent, external by 62.5 percent.

Question 3c. This question asked whether this preference (for external evaluators) applied to all evaluation issues.

Implementation	75%
Operation	100%
Impact	100%
Use of Results	50%

Again, it is clear that police personnel want evaluators definitely for operational and impact evaluation, and almost as much for implementation evaluation, and least of all for the evaluation of the utilization of results.

Question 4. The respondents were asked to rank the importance or usefulness of various types of data for their decision-making process. Respondents had the same difficulty with this question that they experienced on Question 6 in the July questionnaire--the usefulness of the data depended on the type of project.

However, six people did answer this question and all of them ranked the "relationship of costs and impact data, = cost effectiveness data" as the most important. In other words, six out of six people choose this type of data for one of their rankings. Half the group ranked "data proving target group was reached" as being useful. A third ranked "data on extent project problems were defined clearly" as being important.

It was impossible to give the different types of data rank numbers, because the sample was too small. However, 50 percent did rank cost-effectiveness data as the second most important type of data.

Question 5. When asked what service CCCJ could best perform now and in five years, the following results were obtained:

What service could CCCJ best perform?

Now

In 5 years (if necessary changes occurred)

___ Evaluate selected programs across regions

50%

___ Develop standardized report format for evaluation results

<u>Now</u>	<u>In 5 years (if necessary changes occurred)</u>
_____	_____ Develop standardized effectiveness measures
<u>50%</u>	_____ Develop standardized cost reporting for projects
_____	_____ Develop and clarify evaluation methodologies
<u>62.5%</u>	<u>37.5%</u> Build a mechanism for developing and using evaluation results within CCCJ
<u>50%</u>	<u>37.5%</u> Build a mechanism for developing and using evaluation results throughout CJS
_____	_____ Train evaluation analysts
<u>62.5%</u>	_____ Review regional evaluations
<u>50%</u>	_____ Evaluate planning
_____	_____ Administer and evaluate selected projects normally done for regions without the capability
_____	<u>37.5%</u> Maintain an evaluation plan
_____	<u>50%</u> Follow up and assess use of evaluations

Therefore, the services which the respondents feel CCCJ could best perform now are:

Develop a standardized reporting format for evaluation results

Develop standardized cost reporting for projects

Build a mechanism for developing and using evaluation results within CCCJ

Build a mechanism for developing and using evaluation results throughout the CJS

Review regional evaluation activities

Evaluate planning activities

Disseminate evaluation results.

Most respondents felt that the most important things CCCJ could perform now, in the following order, were (1) dissemination of evaluation results, (2) review of regional evaluations, and (3) design of a mechanism for developing and using evaluation results within CCCJ.

The things CCCJ could best do in five years were (in order of highest percentage responses): (1) disseminating evaluation results, (2) maintaining an evaluation plan, and (3) design a mechanism for developing and using evaluation results within CCCJ.

Question 6.

What service could regional boards best perform?

<u>Now</u>	<u>In 5 years (if necessary changes occurred)</u>
_____	<u>50%</u> Selected project evaluations within regions
<u>83%</u>	_____ Design and provide technical assistance to grantees
<u>83%</u>	_____ Review grantees' evaluation proposals
<u>66%</u>	<u>66%</u> Administer and monitor project evaluation
_____	_____ Develop mechanism to use evaluation results in planning process

Therefore, the respondents felt that the regional boards could now best: (1) design and provide technical assistance to grantees, (2) review grantees' evaluation proposals, and (3) administer and monitor project evaluation. In five years the boards could best administer and monitor project evaluation.

Question 7.

What service could grantees best perform?

<u>Now</u>	<u>In 5 years (if necessary changes occurred)</u>
<u>66%</u>	_____ Conduct project evaluation
_____	<u>50%</u> Develop a mechanism to use evaluation results in planning process
<u>66%</u>	_____ Where capable work with regions
<u>66%</u>	_____ Design evaluable project objectives

The respondents felt that the grantees could now best do project evaluation, work with regional boards, and design evaluable project objectives. In five years, respondents felt that grantees could best develop mechanisms to use evaluation results in the planning process.

Discussion of Questionnaire Techniques and Data

The Sample

There are several problems with the two groups of persons who responded to the two questionnaires. Obviously, a population of twenty-six people was too small to use for generalizations. Further, within the population, there was a dominance of law enforcement personnel.

The most crucial problem, however, was the inability to know whether each respondent was a "user" or a "doer" of evaluation.

In other words, no attempt was made to identify whether the respondent was a policy decision maker or an operational-level person who actually conducted the evaluation of a project. Clarification as to whether the respondent was a user or doer is necessary in order to assess the differences in the evaluation needs and expectations of these two groups of people.

Related to the issue of assessing differences in evaluation needs is another problem with the sample: no attempt was made to analyze the questionnaire data in terms of the different professional groups represented. Although this sample was too small for such a breakdown, analysis by profession is necessary to truly assess any differences in the evaluation needs and expectations throughout various levels of the CJS.

Finally, a preselection bias existed in the sample. The respondents were those individuals interested in attending the workshops. In other words, no attempt was made to arrive at a random sample of CCCJ and CJS representatives. Because the respondents represent a select group of individuals from the CCCJ and CJS, the whole population is small; this may account for the inability to make it truly representative.

Question Construction

Some respondents noted that question 1 on the October questionnaire was difficult to read and follow. An adjustment was made (see Appendix C, question 1) to clarify this question.

It is interesting to note that the respondents to question 1 on the October questionnaire desired the least amount of help in using results (44% desired either written guidelines or an outside evaluator as compared with 88% and 66% for all other levels of evaluation; see October questionnaire 1 discussion). These results raise the question, Why do respondents desire help in certain levels of evaluation but not in others? To answer this question data are needed on the incentives or motivation for doing evaluation. It is recommended that an additional question (see Appendix C, question 6) addressing this issue be asked in any future questionnaires.

Respondent feedback also indicated that question 4 on the October questionnaire (and question 6, July questionnaire) was difficult to answer, because the usefulness of data depends on the type of project. Therefore, a suggested revision of this question appears in Appendix C (question 4).

In regard to questions 5 through 7 on the October questionnaire, an unintentional bias might have resulted. There are more possible choices available under question 5 about CCCJ services than under either question 6 or 7 about regional and grantee services. One might conclude that the CCCJ should and can provide more services than can either the regional boards or subgrantees. The answers indicate that the respondents reached such a conclusion, but their decision may be due to this oversight during questionnaire construction.

Recommendations for Future Questionnaire Administrations

1. That the sample size be increased to ensure a more representative group of respondents.
2. That the respondents be identified as either "users" or "doers" of evaluation, and that a significant number of each be included in the sample.
3. That all professional groups in the CJS be proportionately represented in the sample.
4. That an attempt be made to arrive at a true representative sample instead of a biased (in terms of interest) pre-selected group of individuals.
5. That revisions be made in certain questions (See Appendix C) to ensure that clear and precise questions are asked.

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APPENDIX A

July Workshop Questionnaire

The purpose of this questionnaire is to provide executives and other officials in the criminal justice system to make a direct input into the Strategic Evaluation Planning Project of the California Council on Criminal Justice which is under contract to UCLA. The project summary reads as follows:

This project is specifically intended to fulfill the CCCJ intention, as set forth in the 1972 Comprehensive Plan, to develop a strategic five-year plan for evaluation to which the Council itself has had direct input, and to which the Council can be committed. The plan will provide a feasible means for assuming that public decision making in the field of criminal justice will be based more upon quantified experience in programs and projects than upon subjective factors which currently is dominant in the process.

Toward this end the University of California at Los Angeles will serve as a base of operations, and provide a project director to a team of renowned specialists drawn from universities, government, and the private sector. As a team, or task force, this group will:

- a. develop, recommend, and seek Council approval of a statement of overall mission in evaluation areas.
- b. identify the needs to be met in the evaluation
- c. set forth, for Council approval, a set of goals in the evaluation areas
- d. plan, develop, and recommend a set of evaluation programs
- e. identify the resources necessary to implement the program plan
- f. develop alternative organizational models for evaluation
- g. project the impact of implementing the plan and devise and recommend a means for evaluating the evaluation strategy itself.

This particular questionnaire stresses your perceptions about how certain aspects of the existing evaluation process works now (we are not here concerned with the written procedures or how the process is supposed to work) as well as ascertaining your judgments about how it ought to work and can be improved. Please note that there is no reference to auditing or fiscal accountability which are topics beyond the scope of this study.

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May I thank you for your assistance and cooperation in this important undertaking and let me assure you that your responses will be taken seriously by the study team.

Sincerely,

James G. Fisk
Director

From what level and component of the Criminal Justice System is this questionnaire being answered?

Level: city _____
county _____
state agency _____
regional staff _____
regional board _____
CCCJ board _____
CCCJ staff: Programs and Standards _____
Planning Operations _____
Executive _____
Administration _____

Criminal Justice System Component:

law enforcement _____
courts _____
corrections _____
prosecution _____
public defender _____
corrections _____
probation _____
parole _____
other (please specify) _____

1. Are there any written documents or written criteria for determining the quality of a grantee's evaluation design?

Yes _____ No _____

- a. If "yes," which are the most important?

- b. What are the shortcomings, if any, of these documents?

- c. What kind of written guidance for designing project evaluations would you like to have?

2. To what extent (in your opinion) should an evaluation plan be developed prior to the start of a project?

3. What role do outside evaluators play in projects with which you are familiar? (Check all that apply)

☐ plans the evaluation of the project
☐ designs the methodology for the evaluation
☐ develops project objectives
☐ recommends project modification
☐ becomes involved in the evaluation when the project is near completion
☐ evaluates project after completion

4. What should be the role of an outside evaluator?

☐ plans the evaluation of the project
☐ designs the methodology for the evaluation
☐ develops project objectives
☐ recommends project modification
☐ becomes involved in the evaluation when the project is near completion
☐ evaluates project after completion

For the purposes of the next question, evaluation refers to systematic and, as appropriate, quantitative study and analysis of the extent to which a project achieved its objectives. Evaluation seeks to provide knowledge which serves a practical purpose for decision makers. Monitoring will be used to refer to auditing, administrative reports, etc. It does not imply systematic study or analysis.

5. We are interested in the criteria which are presently used for determining which projects are or should be evaluated and which are or should be monitored. Would you fill in the following matrix by listing the criteria which (to the best of your knowledge) are governing evaluation at present as well as the criteria which you think should be used. Please list the criteria in descending order of importance.

	Evaluation	Monitoring
Existing Criteria	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.
The Criteria you think <u>should</u> be used	1.	1.
	2.	2.
	3.	3.
	4.	4.
	5.	5.

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6. We are also interested in the kinds of data which evaluations generate. We are particularly anxious to find out about the quality of data presently generated by evaluations and about the kinds of data which you deem important and useful.
- a. Please indicate, by placing a check in the appropriate box, your judgment about the quality of the following kinds of data which is now being generated through evaluation.

	Excellent	Adequate	Inadequate
cost effectiveness data			
data about results which is useful in making changes in future operations			
data proving target group was reached			
data on client attitude toward project			
data on community's attitude toward project			
data on degree of duplication of services with existing agencies			
data on recidivism			
data on crime levels			
data on delinquency			

6. (continued)

- b. Please rank (in the spaces provided) the importance or usefulness of the following as information for your decision making processes (1 = most useful or important; 2 = next most useful or important; etc.)

cost effectiveness data

data about results which is useful in making changes in future operations

data proving target group
was reached

data on client attitude
toward project

data on community's
attitude toward project

data on degree of duplication
of services with existing
agencies

data on recidivism

data on crime levels

data on delinquency

7. We would like to know your perception about the purposes of evaluation under current practices as well as what you think the purposes of evaluation should be. In the spaces provided, please rank (1 through 10) the purposes of governing current evaluation practices as you perceive them and then indicate what you think the proper ranking (1 through 10) should be. (1 = most important; 10 = least important)

	Current Practice	Your judgment about the proper purpose
measuring impact of project		
aid in refunding decisions		
developing data base		
aid to CCCJ planning		
aid to Regions' planning		
aid to agency operational planning		
accountability of CCCJ		
accountability of Regions		
accountability of grantee		
forcing agencies to set objectives		

8. What has been your greatest technical (statistical knowledge, etc.) problem associated with implementing evaluation?

9. What has been your greatest organizational (staff, lack of authority, etc.) problem associated with implementing evaluation?

10. What has been your greatest political (state, regional, etc.) problem associated with implementing evaluation?

11. What has been your greatest financial (resources, etc.) problem associated with implementing evaluation?

12. What has been your greatest personnel (expertise, availability, etc.) problem associated with implementing evaluation?

13. Finally, we are interested in any view which you may have about the appropriate role of the CCCJ, the Regions and operating agencies in the various aspects of the evaluation process. If you have any strong views about what the various levels should or should not do with respect to the evaluation

process (for example, regarding determining project objectives, developing guidelines for design of evaluations, determining the appropriate evaluation methodologies, setting guidelines for the kinds of data which should be collected, providing technical assistance in the process of evaluation, and so forth) please indicate them in a paragraph or two.

APPENDIX B

October Workshop Questionnaire

The letter written by Project Director James Fisk --and reproduced at the beginning of Appendix A-- was also read by each respondent in the October workshop before answering the following questions.

From what level and component of the Criminal Justice System is this questionnaire being answered: (It is possible that some people will answer this questionnaire from two perspectives.) Please check which level and component.

Level: City_____)
County_____) Size of population_____
State agency_____
Regional staff_____
Regional board_____
CCCJ board_____
CCCJ staff: Programs and Standards_____
 Planning Operations_____
 Executive_____
 Administration_____
Other (please specify)_____

Criminal Justice System Component:

Law enforcement_____
Courts_____
Corrections_____
Prosecution_____
Public defender_____
Probation_____
Parole_____
Legislator_____
Executive_____
Other (please specify)_____

1. What kind of assistance for designing, conducting and using project evaluation would you use if they were available (please check)

_____ none

_____ written guidelines for evaluating how well my project's objective(s) or problem(s) are defined

_____ CCCJ staff support (technical assistance) to evaluate how well my project's objective(s) or problem(s) are defined

_____ training so I can evaluate how well my project's objective(s) or problem(s) are defined

_____ outside evaluator to evaluate how well my project's objective(s) or problem(s) are defined

_____ other (please specify) _____

_____ written guidelines for evaluating my project's impact

_____ CCCJ staff support (technical assistance) to evaluate my project's impact

_____ training so I can evaluate my project's impact

_____ outside evaluator to evaluate my project's impact

_____ other (please specify) _____

_____ written guidelines for evaluating the operational activities of my project

_____ CCCJ staff support (technical assistance) to evaluate my project's operational activities

_____ training so I can evaluate my project's operational activities

_____ outside evaluator to evaluate my project's operational activities

1. (continued)

_____ other (please specify) _____

_____ written guidelines to implement my project's evaluation design

_____ CCCJ staff support (technical assistance) to implement my project's evaluation design

_____ training so I can implement my project's evaluation design

_____ outside evaluator to implement my project's evaluation design

_____ other (please specify) _____

_____ written guidelines on how to use the results of my project

_____ CCCJ staff support (technical assistance) on how to use the results of my project

_____ training so I can know how to use the results of my project

_____ outside evaluator who knows how to use the results of my project

_____ other (please specify) _____

2. To what extent (in your opinion) should an evaluation plan be developed prior to the start of a project?

(Continued, next page)

3. What should be the role of an evaluator?

a. help, assist do, develop

_____ (help)	_____ (do)	evaluation of project's implemen- tation
_____	_____	evaluation of project's operation
_____	_____	evaluation of project's impact
_____	_____	evaluation of project's utilization of results

b. Do you prefer internal (by project or CCCJ staff) or
external (by outside contracted person) evaluation?

_____ internal _____ external

c. Does your choice from 3b apply to all areas of evaluation?

_____	applies to evaluating project's implementation
_____	applies to evaluating project's operation
_____	applies to evaluating project's impact
_____	applies to evaluating project's utilization of results

4. Please rank (in the spaces provided) the importance or usefulness of the following as information for your decision-making processes. (1 = most useful or important; 2 = next most useful or important, etc.)

	<u>Rank</u>	<u>Example of type of project which this data would be useful in</u>
data about results which are useful in making changes in future operations		
data proving target group was reached		
data on client attitudes toward project		
data on community's attitudes toward project		

(continued, next page)

Rank

Example of type of project which
this data would be useful in

data on degree of
duplication of
services in exist-
ing agencies

data on recidivism

data on crime
levels

data on delinquency

data on project costs

data on nature,
extent of project
impact

relationship of
costs and impact
data = cost effect-
iveness data

data on extent pro-
ject implemented what
it was supposed to

data on extent project problems were defined clearly

data on extent pro-
ject utilized its
results

* data on extent pro-
ject operated
smoothly

Data on extent of
project's planning
activities

[illegible]

5. What service could CCCJ best perform?

<u>Now</u>	<u>in 5 years (if necessary changes occurred)</u>
<input type="checkbox"/>	<input type="checkbox"/> Evaluation of selected programs across regions
<input type="checkbox"/>	<input type="checkbox"/> Develop standardized report format for evaluation results
<input type="checkbox"/>	<input type="checkbox"/> Develop standardized effectiveness measures
<input type="checkbox"/>	<input type="checkbox"/> Develop standardized cost reporting for projects
<input type="checkbox"/>	<input type="checkbox"/> Develop and clarify evaluation methodologies
<input type="checkbox"/>	<input type="checkbox"/> Mechanism for developing and using evaluation results within CCCJ
<input type="checkbox"/>	<input type="checkbox"/> Mechanism for developing and using evaluation results throughout CJS
<input type="checkbox"/>	<input type="checkbox"/> Train evaluation analysts
<input type="checkbox"/>	<input type="checkbox"/> Review regional evaluations
<input type="checkbox"/>	<input type="checkbox"/> Evaluate planning
<input type="checkbox"/>	<input type="checkbox"/> Administer and evaluate selected projects normally done for regions without the capability
<input type="checkbox"/>	<input type="checkbox"/> Maintain an evaluation plan
<input type="checkbox"/>	<input type="checkbox"/> Follow up and assess use of evaluations
<input type="checkbox"/>	<input type="checkbox"/> Dissemination of evaluation results
<input type="checkbox"/> Other	Other (please specify) _____
(please specify)	
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

6. What service could regional boards best perform?

<u>Now</u>	<u>in 5 years (if necessary changes occurred)</u>
<input type="checkbox"/>	<input type="checkbox"/> Selected projects' evaluations within regions
<input type="checkbox"/>	<input type="checkbox"/> Design and provide technical assistance to grantees
<input type="checkbox"/>	<input type="checkbox"/> Review grantees' evaluation proposals
<input type="checkbox"/>	<input type="checkbox"/> Administer and monitor project evaluation
<input type="checkbox"/>	<input type="checkbox"/> Develop mechanism to use evaluation results in planning process
<input type="checkbox"/> Other (please specify)	<input type="checkbox"/> Other (please specify) _____
_____	_____
_____	_____
_____	_____
_____	_____

7. What service could grantees best perform?

<u>Now</u>	<u>in 5 years (if necessary changes occurred)</u>
<input type="checkbox"/>	<input type="checkbox"/> Project evaluation
<input type="checkbox"/>	<input type="checkbox"/> Develop mechanism to use evaluation results in planning process
<input type="checkbox"/>	<input type="checkbox"/> Where capable regions and proponents (grantees) work together
<input type="checkbox"/>	<input type="checkbox"/> Design evaluable project objectives
<input type="checkbox"/> Other (please specify)	<input type="checkbox"/> Other (please specify) _____
_____	_____
_____	_____
_____	_____

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APPENDIX C

Revised Questionnaire
(Recommended for Future Use)

1. What kind of help would you use to evaluate how well your project's objectives or problems are defined: check all that apply

☐ written guidelines
☐ CCCJ staff support (technical assistance)
☐ training so you can do the evaluation
☐ outside evaluator
☐ other (please specify) _____

What kind of help would you use to evaluate project's impact: check all that apply

☐ written guidelines
☐ CCCJ staff support (technical assistance)
☐ training so you can do the evaluation
☐ outside evaluator
☐ other (please specify) _____

What kind of help would you use to evaluate project's operational activities: check all that apply

☐ written guidelines
☐ CCCJ staff support (technical assistance)
☐ training so you can do the evaluation
☐ outside evaluator
☐ other (please specify) _____

What kind of help would you use to implement project's
evaluation design: check all that apply

- ☐ written guidelines
- ☐ CCCJ staff support (technical assistance)
- ☐ training so you can do the evaluation
- ☐ outside evaluator
- ☐ other (please specify) _____
- _____
- _____

What kind of help would you use to use the results of the
project: check all that apply

- ☐ written guidelines
- ☐ CCCJ staff support (technical assistance)
- ☐ training so you can do the evaluation
- ☐ outside evaluator
- ☐ other (please specify) _____
- _____
- _____

4. Match the type of data most useful in terms of the type of project, by putting the type of project letter in the box provided. You may use the letters as often as you like.

<u>Type of Data</u>	<u>Useful in</u>	<u>Type of Project</u>
data on nature, extent of project impact		a. <u>Prevention of Specific Crimes</u>
relationship of costs and impact data = cost effectiveness data		b. Community Relations
data on extent project implemented what it was supposed to		c. Upgrading Law Enforcement Personnel
data on extent project problems were defined clearly		d. Rehabilitation of Offenders
data on extent project utilized its results		e. Administration of Justice via the Courts
data on extent project operated smoothly		f. <u>Detection of Specific Crimes</u>
data on extent of project's planning activities		g. Research, Development and Planning
data about result which are useful in making changes in future operations		h. Juvenile Delinquency Projects
data proving target group was reached		i. All Projects
data on client attitudes toward project		
data on community's attitudes toward project		
data on degree of duplication of services in existing agencies		
data on recidivism		
data on crime levels		
data on delinquency		
data on project costs		

5. From the previous question list the three types of data that are generally the most useful in the majority of projects.

1. _____
2. _____
3. _____

6. What would be your primary purpose or motivation for using evaluation results in terms of your agency: rank your answer (1 as the most important reason; 2 as second most important and so on)

- _____ for justifying refunding of project
- _____ monitoring of project staff; their efficiency and ability
- _____ for planning and developing new projects, programs to be used by agency
- _____ to fulfill CCCJ mandate for evaluation
- _____ to generate new data on various approaches, methods used in the field
- _____ as political leverage against opponents of agency activities
- _____ as an avenue for experimentation of new staff ideas
- _____ to bring additional funds into the agency from sources other than CCCJ
- _____ to achieve status and impress my peers
- _____ other _____
- _____
- _____
- _____

GUIDELINES FOR EVALUATING
THE STRATEGIC EVALUATION PLAN

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GUIDELINES FOR EVALUATING
THE STRATEGIC EVALUATION PLAN

Current State of Evaluation of Social Action Plans

Desired SEP Evaluation Products

Recommended SEP Evaluation Approaches

Evaluating the Design of SEP

- Central Idea
- Description of the Methodology
- Information Collection
- Analysis
- Products

Monitoring Planning Evaluation Improvements Related to
SEP

- Central Idea
- Description of the Methodology
- Information Collected
- Analysis
- Products

Evaluating Planning Evaluation Improvements Related to
SEP Goals

- Central Idea
- Description of the Methodology
- Information Collected
- Analysis
- Products

Appendix A A Preliminary Form

Appendix B Criteria for the Evaluation of Evaluation

To evaluate the Strategic Evaluation Plan (SEP), one must literally do an evaluation of an evaluation plan. In particular, four major questions must be addressed in the SEP evaluation: Why do an evaluation? How determine what SEP is before the Plan is finalized? What is the role of the SEP evaluation? and What are the goals of the SEP evaluation?

The SEP evaluation is necessary for two basic reasons: it is a contractual obligation of the project and it will provide information for decision makers. It is, therefore, important to understand what information the evaluator can provide and who will receive its products (reports, feedback, and data). Both topics are discussed in this paper. The determination of what SEP is before final approval has been generally solved through discussions with SEP staff and by assimilating information from its Steering Committee reports and working papers. The role of the SEP evaluator is related to the goals and purposes of the evaluation. The only a priori limitation on this evaluation is that its cost must not be prohibitive.

The goals of SEP are expressed by the guidelines described in this paper. The SEP evaluation has only two primary goals: (1) to provide a flexible set of alternative strategies for evaluating and increasing the evaluating capabilities of SEP and (2) to provide a useful information system for decision makers on all levels of the Office of Criminal Justice Planning (OCJP) network.

In this paper there is a short section on current literature and a formal statement of the purposes, objectives, criteria, and methodologies necessary to do the evaluation. Emphasis is on the feedback between recommendations of SEP, decision-making functions, and the costs of the evaluation at several stages in the five-year period.

Current State of the Evaluation of Social Action Plans

A search of the literature provided no useful approach which could be directly applied to the SEP evaluation. However, Levine and Williams (1971) do provide a starting point in developing guidelines for the evaluation of evaluation planning (not specific plans). In addition, if one considers SEP as a social program plan, there are several social program evaluations that investigate planning and the plans of state and local programs. As stated in Hatry (1969), the concept of social planning evaluation relies on the development of measurable factors that result from the specified plan. These measurable factors are called outputs. In social programs such as SEP, the outputs are not clearly observable. In particular, tangible outputs, such as the decreased number of crimes committed, can result from SEP or numerous other unanticipated sources such as the energy crisis, population immigration, and economic factors. Thus, the current literature on outputs is of little use in the development of

SEP impact evaluation.

When outputs are unclear, the literature on the evaluation of plans takes refuge in the structure and process that combine during the implementation of the Plan. Hereafter, these factors are termed inputs. Numerous articles on this approach are found in Haveman and Margolis (1970) and other collections that evaluate Planned Program Budgets (PPB). In particular, the article by Carlson, "The Status and Next Steps for Planning, Programing, and Budgeting" stipulates the components of the PPB system and describes how they can be monitored and evaluated (Haveman & Margolis, 1970, pp. 367-412). Inputs in the SEP evaluation would include formative or process evaluations-- a viable possibility at this time.

One final reference in the area of evaluation of evaluations represents a slightly different concept. The OCJP document, Evaluation of Crime Control Programs in California: A Review, constructs a framework that categorizes selected evaluations according to predetermined criteria related to subgrantee evaluations (California Council on Criminal Justice, 1973). The direct inputs in this review are, thus, the structure of the evaluation. This methodology is cited in one component of the SEP evaluations.

In summary, there are numerous potentially relevant evaluation works, but no current references develop adequate output measures or rigorously investigate a social program through inputs at a reasonable cost, or appropriately relate inputs to outputs for the

desired evaluation. It should be noted that SEP does not attempt to solve these problems and neither do we pretend to fill this gaping hole. We do provide technical ideas and alternatives that are financially feasible, clearly stated, and can be developed into flexible, workable strategies for the SEP evaluation.

Outputs of SEP in this evaluation are the planning evaluation capabilities, including a planning evaluation information system. The three alternative SEP evaluation frameworks emphasize these outputs, the processes of SEP (where necessary), and the traditional framework for evaluation (purposes, criteria and methodologies).

Desired SEP Evaluation Products

In planning evaluation studies, it is often easier to discuss the desired products of the analysis prior to the processes. Recognizing both this fact and the limited state of the art of evaluations designed for social action plans and the desire to moderately fund the SEP evaluation, the planning evaluation capabilities and information system products of the SEP evaluation should contain the following data:

1. Anticipated (as defined by the Evaluation Planning Project's objectives and OCJP executive staff's needs and constraints) and unanticipated process and product outcomes occurring during the preparation of SEP up to

March 15, 1974.

2. Anticipated (as defined both by the Project's recommendations and recommendations OCJP decision makers select from that list) and unanticipated process outcomes occurring during the implementation of SEP between July 1, 1974 and June 30, 1979.
3. Anticipated (as defined by impact statements contained in the SEP recommendations that OCJP decision makers select) and unanticipated impact outcomes (related to their costs, products, and cost-effectiveness ratios) occurring as a result of SEP -- short-term results occurring between July 1, 1974 and June 30, 1979 as well as long-term effects produced by June 30, 1979.

Recommended SEP Evaluation Approaches

Any evaluation of SEP will certainly involve a substantial number of skilled man-hours and, therefore, high costs. To be viable, this investment should meet the stated purposes and needs of the evaluation, provide the desired information, and follow flexible, yet well defined, guidelines geared to achieving the goals of the program. Recalling the two goals of the SEP evaluation and the products desired from the system, it is now possible to formulate three distinct SEP evaluation strategies that fulfill the stated

prerequisites. Each recommended approach includes the following five components of the framework:

1. Central idea: A brief description of what the recommended approach purports to do and the purpose it fulfills.
2. Description of methodology: A detailed description of the approach including relevant criteria, how the approach should be implemented, who should implement it, and who the participants are.
3. Information collection: The relevant data or information to be collected and appropriate data collection instruments.
4. Analysis: The collected data should be analyzed using appropriate techniques so that the analysis answers the basic questions of the evaluation. Additional information can be equally useful.
5. Products: A procedure for reporting the results of analysis, including the recipients of the report and an examination of defined actions.

Evaluating the Design of SEP

Central Idea

Starting July 1, 1974 the OCJP is scheduled to begin implementation of SEP. Before the Plan is initiated and OCJP commits its resources, OCJP should ascertain whether implementation of SEP in its present form is a correct decision. Called ex ante evaluation, it

simply means that the OCJP staff should not automatically assume that SEP will attain the objectives which they have in mind. Since the OCJP decision makers, the SEP staff, and staff from both groups have coordinated in determining objectives, it is important to define which objectives are being investigated.

In determining if the OCJP objectives for SEP have been attained, previous relevant statements by the three groups should be examined. Table 1 lists both the initial objectives of the Request for Proposal (RFP) and the initial objectives set by the SEP staff before SEP was started. Other relevant statements that resulted from the interactions of the two staffs are not presented but may be important. Table 1 presents stated goals or objectives and does not include objectives implied "between the lines." The objectives that should be evaluated are, of course, the final objectives that OCJP has accepted and found to be consistent with the stated initial objectives.

Table 1

Predetermined SEP Objectives*

<u>RFP Objectives</u>	<u>SEP Staff Objectives</u>
Overall: to obtain the services of a highly skilled, technically relevant task force over a nine month period at maximum cost of \$125,000	Overall: to identify critical issues, objectives, and strategies for development and use of evaluation plan by OCJP
to produce a statewide strategy for the evaluation of programs, projects and other evaluation efforts relevant to OCJP	<u>Four Specific Objectives:</u> 1. To develop (with OCJP) the role and mission of OCJP evaluation (consistent objectives and priorities)

Table 1 (continued)

to cover a span of at least five years (1-74 to 12-78) <u>Minor Objectives:</u> explore possibilities of an institute with defined goals	2. Assess "state of the art" in evaluation and to match this with OCJP's needs for evaluation 3. To determine defined and potential constraints on an evaluation plan 4. Develop alternative strategies that meet numbers 1-3 and review and assess the final evaluation plan
*Summarized but not quoted	

Two factors are specifically relevant to this type of SEP evaluation. First, the stated objectives of the RFP are so general and subjective that attainment can almost be construed and proof, in any scientific or technical sense, is not an appropriate question. Second, the key SEP staff objective is the fourth item in table 1, in which the flexibility of SEP is emphasized.

In addition to the formal, stated objectives, OCJP should also evaluate the SEP design to determine if it provides an incentive to decision makers on various levels of the network to use it and if it can be implemented within present organizational, political, and legal constraints.

The principal question regarding RFP objectives, which again results from the desired flexibility of SEP, is: Has there been a determination of current OCJP planning evaluation needs and can these dynamic needs (especially informational requirements) be fulfilled within the present design of the Plan?

Beyond determining if the objectives have been met, OCJP should be aware that SEP could offer valuable but unrequested information in addition to formal requirements; although most such results could be included under the "other evaluation efforts relevant to OCJP" objective. This aspect of the evaluation is important. It partially determines whether SEP should be implemented in its present form or needs further modification. OCJP should then be able to initiate the plan in its most desired form in relation to the needs of the network. Such a procedure could, additionally, lead to a deeper understanding and appreciation of the alternative direction that OCJP could take in the next five years.

Finally, the SEP evaluation before implementation does not guarantee continued consistency throughout the scheduled program and activities of the five-year SEP. An evaluation during implementation will consider these additional factors.

Description of the Methodology

The development of a meaningful methodology for evaluating the design of SEP also depends on the delineation of criteria that helps determine whether the current SEP is the best available plan, or whether further modifications should be made. To specify what an evaluation plan like SEP should address requires both practical considerations and expertise in the field of evaluation. We recommend that the following primary criteria be used to evaluate SEP before

implementation:

Does SEP meet the stated objectives of OCJP before initiation of the Plan? In particular, is SEP a logical, consistent document?

Does SEP meet the additional needs, if any, of OCJP?

Do persons experienced in the fields of social program and criminal justice evaluation consider SEP a good, viable plan?

These criteria are qualitative or subjective and are not quantifiable since each criterion depends on the nature of the objective it measures. It is clear that much information will be lost in any attempt to specify quantifiable criteria to measure these ex ante objectives of SEP.

Unfortunately, the simple observation that criteria are a major determinant of methodology has often been over-looked by researchers as well as practitioners of evaluation, as pointed out by Dyer and Fielding (1973). Therefore, the choice of qualitative or subjective criteria in the ex ante evaluation of SEP determines that qualitative methodologies be used. In light of these criteria, we recommend two methodologies to evaluate SEP. More appropriately, these two methodologies (evaluation of OCJP staff and evaluation by experts) should be considered as two phases of one methodology which can be called the Group Discussion Approach. Detailed descriptions of the two phases of the ex ante evaluation of SEP follow. It should be noted, however, that ex ante evaluation is being partially conducted prior to the final submission of SEP.

In Phase 1 we recommend that an evaluation of SEP by the OCJP staff be conducted. The methodology for Phase 1 consists of two parts. In part one, a few decision makers at the highest level of OCJP should reconsider the role of evaluation in the OCJP network. They should then assess the present status of evaluation in OCJP. To aid them in this assessment, a summary of Berkowitz's paper (California Council on Criminal Justice, 1973.) and Emrich's paper (1973b) should be provided. In light of their practical knowledge and experience with the status of evaluation in OCJP, guided by the recommendations of the two cited authors, these decision makers should review what kinds of questions or issues they want SEP to answer.

In part two, the decision makers at OCJP should meet to review SEP. This meeting should also include one member from each Region who would be responsible for implementing the plan in his Region. In this joint review, gaps between the recommendations of SEP and their expectations should be emphasized. The group should also be free to suggest modifications, additions, or deletions in the recommendations of SEP. They should discuss the priorities for each recommendation of SEP to find out whether their priorities differ from the priorities suggested by the SEP task force.

Evaluation planning for a complex social system such as the criminal justice system is a far from trivial task, and evaluation of evaluation planning is still more difficult. To more accurately determine a priori how well SEP will turn out requires expert review

in fields of social program evaluation and criminal justice. Therefore, we recommend that experts in the field of social program evaluation and criminal justice evaluation and the OCJP staff and representatives of the SEP task force should review SEP. This review is Phase 2 of the ex ante evaluation of SEP.

A single joint review meeting of the OCJP decision makers, experts, and the SEP task force is recommended. We suggest that five experts, two from the field of social program evaluation and three from criminal justice evaluation, be invited. Two members of the SEP task force and five members from the OCJP staff should also be present in the session. The experts should be encouraged to state their feelings about SEP and how they view its impact on OCJP and the criminal justice system, in general. This discussion should be followed by the experts' specific reactions to the recommendations of SEP and to the priorities attached to the recommendations.

It is advisable to hire an independent contractor (from April 1 to July 1, 1974) to collect appropriate information in phases 1 and 2, especially comments and recommendations, and to analyze the Phase 1 activities. The duties of the contractor should include the following:

1. Development of specific and comprehensive criteria related to the three primary criteria. Criteria might include such questions as:
 - (a) Is the current SEP flexible enough to adjust to the changing decision-making needs of evaluation customers?

- (b) Does SEP represent a useful means (planning document) for increasing the evaluation capabilities and information transmitted throughout the OCJP network?
 - (c) Does SEP provide incentives to stimulate OCJP and Regional decision makers to seek increased evaluation capabilities?
 - (d) Is the SEP evaluation prior to implementation a cost-effective means to fulfilling current and long-run projected needs of the network?
- 2. Development of an instrument (checklist) to record behavioral statements on each of the stated criteria. The use of an interval scale procedure, such as a Guttman scale, is recommended. Validity and reliability testing should be included, if possible.
- 3. Instruction for a staff of four to six experienced persons in the criminal justice field. This staff would administer the checklist and enumerate the results.
- 4. Development of a short (less than one hour) questionnaire which can be administered by trained researchers. The questionnaire should include the following:
 - (a) Effective components of SEP should be identified.
 - (b) Ineffective components of SEP should be identified.
 - (c) Unanticipated affects should be listed.
 - (d) Suggestions, recommendations, impracticalities, and priorities should be available.
- 5. Identification, listing and sampling of persons involved in the development and appraisal of SEP by administering the questionnaire, compiling and analyzing the responses, and

by producing a comprehensive report.

A sample questionnaire is included in Appendix A. The contractor should develop the instrument within its defined guidelines.

We recommend that the top-level review of the role of evaluation in the OCJP network should take place in the last week of March 1974. The joint review of SEP by the OCJP staff should be some time in the first week of April 1974, and SEP should be revised by the SEP task force by the end of that month.

The appropriate timing of the Phase 2 review is after the revisions in SEP, based on Phase 1 suggestions, have been completed. This review should take place preferably in the first week of May 1974. Thus, it is hoped that by mid-May the SEP document, in its final form, would be available for implementation.

The final recommendations of SEP should, thereafter, be fully approved by top decision makers at OCJP. OCJP should then begin to implement the SEP recommendations. How OCJP should go about implementing the recommendations of SEP is covered elsewhere and is not a subject matter of this report. Nevertheless, this methodology does give OCJP sufficient time to make preparations (one to one-and-a-half months).

Information Collection

The basic types of information collected in this methodology can be classified as identifiable suggestions and recommendations on

the proposed design of SEP, additions and deletions to the current plan, and priorities from two divergent and qualified groups. Written information should be given a much higher priority than recorded or verbal data, which could be used to complement the questionnaire.

Analysis

The compilation and testing of the information (especially the interval procedure) should be predetermined. As mentioned, monitoring and evaluation could be mixed to produce a comprehensive report.

Products

A single, comprehensive report, within the preceding guidelines, containing the monitored recommendation and evaluated behavioral responses should be summarized and distributed to all participants. The format of the report should be understood by the top decision makers in the OCJP network. It should lead to further discussions and serve as a starting point for communications among levels in the network during the implementation of the Plan. Finally, it should be a guideline for further expert assessment and response throughout the planning-evaluation period.

Monitoring Planning-Evaluation

Improvements Related to SEP

Central Idea

The probability that SEP will have a positive impact on all levels of the OCJP network increases if it is carefully implemented. To assure that SEP is implemented in a correct way, continuous monitoring of the Plan and the implementation process is required. This procedure is termed formation evaluation. It is, of course, assumed that SEP will be implemented and that the diffusion and dissemination of information on the Plan (see dissemination technical paper) have occurred. As the implementation progresses, more information on the planning-evaluation steps and implementation processes will become available. This information can be used to modify either SEP or the process of implementation. The implementation process involves changes in the decision-making system (organization) and in the decision-making process.

The flexibility of the Plan and informational needs become polarized at this stage. Some flexibility is sacrificed for a more definite information system. One side effect is that decision makers can become too burdened with SEP functions and have little time left for other activities. These side effects may warrant modifications in SEP or in the process of implementation. Thus, the formative evaluation should explicitly consider the impact of

side effects; it is important in monitoring the implementation of SEP as well as in determining the continuation or modification of SEP and/or the process of implementation.

Again, the dynamic nature of the implementation procedures can be used as a learning process with defined alternatives. The changing needs of the OCJP network should be identified in this process and the plan augmented to fulfill the requirements of the period.

Description of the Methodology

Since the purpose of evaluating SEP during implementation is twofold: (1) to monitor the implementation schedule of recommendations and (2) to modify SEP or the process of implementation, emphasis when checking the implementation schedule, should be placed on the extent to which such activities are achieved rather than their precise timing. We recommend the following criteria to evaluate SEP during implementation:

Is SEP meeting the recommended implementation schedule?

Are there any side effects which warrant a modification in SEP, even if the recommendations are implemented on schedule?

In addition to these criteria, cost effectiveness (which is a statement that SEP is the most comprehensive plan that the allocated funds could support) is an important factor. The costs of SEP are: opportunity costs (which alternatives plans were foregone);

transaction costs (what costs can be identified with the employed transactions and activities in the project); and information costs (the costs of providing, disseminating and utilizing the information provided by SEP). Unlike the first recommended evaluation procedure in which minimal costs are incurred, the second and third recommended evaluation techniques require cost standards.

The components of SEP have been currently examined for cost effectiveness and cost efficiency because one of the screening processes dictates certain standards. As the Plan is implemented, however, and the SEP evaluation leaves the first stage, cost effectiveness factors should be reexamined. Therefore, a third criteria should be added to the primary criteria:

Are SEP and the SEP evaluation cost-effective procedures?

Assigned staff from the OCJP Evaluation Unit should be responsible for implementing, monitoring, and reporting to decision makers on the planning-evaluation activities; for investigating the causes of discrepancies in desired schedules; and for keeping adequate records of the implemented SEP. In addition, a Planning-Evaluation Review Panel is necessary to provide an assessment of planning-evaluation activities.

The OCJP Evaluation Unit staff should:

1. be aware that implementation is a five-year process;
2. be composed of personnel with a thorough understanding of the organizational behavior of project management and have a certified knowledge of evaluation;

3. be able to establish communication and informational ties with top decision makers in the OCJP network so that informational needs and availability (diffusion and dissemination) are coordinated;
4. be aware of both anticipated and unanticipated factors in the system;
5. immediately identify tasks, deadlines for tasks, and persons responsible for performing the defined tasks; and
6. be required to monitor implementation activities.

The Planning Evaluation Review Panel should:

1. meet at least quarterly to discuss and assess the planning-evaluation activities that have been implemented;
2. be composed of OCJP administrators, Regional decision makers and directors, appropriate criminal justice agency representatives, and subgrantee agency personnel who request or have been asked to present relevant materials;
3. be concerned primarily with cost-benefit types of questions; and
4. be able to request the additional technical and supportive manpower required to observe activities within the OCJP network.

Information Collection

Collected information should include assigned tasks and achieved tasks, special requests of panel members and other decision makers, monitoring activities, and notations for unanticipated effects which affected the implementation of SEP.

Analysis

The OCJP staff members who oversee the implementation of SEP

should continually assess progress and analyze the causes of discrepancies between actual and recommended implementation. They should also analyze the general reactions of Regions and agencies, make useful progress reports, and assist the panel in its duties.

Products

The annual summary progress reports (July 1974 to July 1979) should be sent to top decision makers and should include all implemented changes in SEP. The decision makers should then modify either SEP or the process of implementation.

We recommend that a monitoring report be submitted once every three months. A serious discrepancy between actual and recommended schedule (activity as well as timing) or a strong reaction to implementation by Regions or agencies should be immediately reported to top decision makers at OCJP. Review Panel reports should be annually compiled and distributed to all levels of the system.

Evaluating Planning-Evaluation

Improvements Related to SEP Goals

Central Idea

Having implemented SEP in its most desired form by modifying it before and during implementation, OCJP could logically be interested in measuring the impact of SEP during a prior, defined period and on a defined subset of levels within the OCJP network.

Cost considerations and desired scales of this evaluation are relevant considerations. Of course, the more extensively the impact is investigated, the more expensive SEP becomes. Recursive methods -- building on past designs and aggregating former structures-- is the least expensive cost alternative. Therefore, determining total impact (including side effects) is a logical first stage, followed by determining component or lower level impacts. This framework allows flexibility in both cost and impact dimensions.

The theoretical problems associated with this SEP evaluation are difficult but not unworkable. The major questions are: What differences can be technically associated with the SEP package? and Which differences are the most relevant to decision makers?

A single impact study is of little value because the total impact will change and combined (and perhaps inseparable) component changes will occur as the planning-evaluation activities are implemented. Short-term and long-term impacts of SEP should be studied, if possible, as well as the combined short-term processes that give meaning to the long-term effects.

The relevance of the impact evaluation, therefore, can be viewed as determination of satisfaction by decision makers and a provision of future information for similar planning-evaluation frameworks.

Description of the Methodology

In order to establish criteria for evaluating the impact of SEP, extreme care must be taken in selecting indicators (outputs or inputs) that measure the impact. SEP doesn't directly intend to reduce or control the crime rate; although indirectly, via the choice of good projects and programs, it should make a positive contribution toward this goal. Thus, crime statistics are an inappropriate indicator of SEP's impact. Appropriate indicators measure its effects relative to SEP goals (on the decision-making information process and evaluation capabilities at specified (all) levels of OCJP). There are, again, unanticipated side effects of SEP and they should also be given equal consideration in impact evaluation. We recommend that the following primary criteria be considered for the short-term/long-term impact evaluation of SEP:

Did the Plan bring about improvements in the evaluation capabilities at all levels of OCJP?

Did the Plan improve the decision-making process at specified (all) levels of OCJP?

Did the users of the Plan consider it useful?

Were the planning-evaluation activities and SEP evaluation techniques cost-effective?

We recommend the following methodologies for evaluating the impact of the planning-evaluation:

1. A questionnaire survey followed by a personal interview of decision makers at various levels of OCJP should be conducted to determine if the process of decision making was improved.

2. A questionnaire survey of all users of the plan should be conducted to determine whether the users consider the plan helpful.
3. A review of a selected group of programs and projects should be conducted at the end of every year to determine:
 - (a) Do subgrantees have better evaluation proposals built into their project proposals for funding?
 - (b) Is the state of the art of evaluation in the field of criminal justice improving? This question can be answered by conducting more program level evaluations; more projects with well defined objectives and criteria; better analytical techniques; or better dissemination of evaluation results.

Without the SEP baseline data or the attitudes of users and decision makers toward evaluation, results may be biased. Thus, a survey of decision makers and users of SEP should be conducted before the implementation of SEP if such baseline data is not available.

The following duties for an independent agency, assisted by at least one OCJP evaluation staff member, are recommended:

1. Development of the questionnaires, the pretesting of the instruments, and the administration and analysis of the questionnaires.
2. Establishment of procedures for selecting and evaluating a representative sample of program and project evaluations.

Final criteria to review evaluations should be developed by OCJP. (California. Council on Criminal Justice, 1973 provides an initial guideline; some additional specified criteria for evaluating projects are presented in Appendix B.)

3. Consideration of the anticipated and unanticipated effects observed, especially as they related to recommendations stated in Jones's technical paper, "A Five-Year Plan for Improving the Framework of Project and Program Evaluation and Decision Making."
4. Notation of short-term and long-term effects over the five-year period.
5. Distribution of useful data on the cost-effectiveness of specific planning-evaluation changes to decision makers throughout the OCJP network.
6. Correlation of the impact results with SEP goals, which are: to improve evaluation capabilities in the OCJP network, to provide flexibility in the Plan, and to institute a useful information system which meets the needs of decision makers and users in the network.
7. Development and testing of both output variables that are related to the stated goals and input variables that are costs, staffing, input-output relationships, and other means by which OCJP can measure increased evaluation capabilities.

Information Collection

The collected information should basically be the reactions of the participants on the current impact of SEP at various levels of the network, what should be done to increase the effectiveness of SEP, and evaluation, in general. Other information on the defined inputs and outputs within the defined decision-making process is also important. Data on implemental recommendations are a third factor. (See the objectives listed in paper 3.) Finally, survey data on dynamic impact assessments by decision makers and users should be collected.

Project evaluation information should include the status of evaluation in OCJP, measured by the well defined objectives and criteria of projects reviewed, the appropriateness of the level of evaluation employed, the adequacy of the methodology, the appropriateness of the statistical tests, instruments of data analysis, and the extent of use for the results of the evaluations.

Analysis

The analysis of the questionnaires should consist of summary reports of the reactions and recommendations of the participants. The 1974 baseline data should be compared against current output variables, input variables, and previously defined relationships. Similarly, project evaluations should include nonsectional (inter-project comparisons) and dynamic (project comparisons over time) considerations.

Products

The summary findings of the analysis, the surveys, behavioral reactions of users and decision makers, and recommendations should be reported annually (in July) to the top decision makers. In addition, the final three reports should include long-run factors. The decision makers should then take appropriate steps to institute whatever changes are desirable. Typical changes may involve the organizational structure, the process of conducting evaluations, the recommendations of SEP, and the identification of further research needs.

Again, we recommend that the questionnaire surveys be conducted annually. The review of programs and projects should also be conducted at the end of every year.

- APPENDIX A-

A Preliminary Form for Evaluating the Design of SEP

Name

Address

Please make your detailed suggestions.

What recommendations of SEP need to be modified? Suggest the modification.

What recommendations of SEP need to be dropped and what recommendations do you think should be added?

What should be the top ten priority recommendations of SEP (please include your own recommendations also)

1

2

3

4

5

6

7

8

9

10

Any other suggestions.

- APPENDIX B -

Criteria for the Evaluation of Evaluation

Evaluation of evaluation should be conducted before resource allocation to the project is made as well as after the project is completed. The following criteria are pertinent in evaluating an evaluation before the resource allocation (funding) decision.

1. Is evaluation an integral part of decision making?
 - (a) Did project subgrantee study the effectiveness of the project in relation to the objectives of the criminal justice system?
 - (b) Does the subgrantee intend to use the evaluation in modifying the project as more information becomes available?
 - (c) Would evaluation correctly measure impact of the project?
 - (d) Would evaluation yield some information that can be used to make better decisions in future or in other jurisdictions?
2. Is the level of evaluation clearly stated?
 - (a) Is the evaluation used for monitoring?
 - (b) Is the evaluation used for assessment?
 - (c) Is the evaluation used for evaluative research?
3. Are objectives of the project and criteria to measure these objectives clearly stated?

4. Is proper methodology adopted?
 - (a) Is the appropriateness of the approach and assumptions for ex ante evaluation clearly stated?
 - (b) Is the feedback mechanism for modification of decision for monitoring or compliance control evaluation clearly stated?
 - (c) Is the appropriateness of statistical tests and the selection of control groups for ex post evaluation clearly stated?
5. Are baseline data and data collection instruments adequate?
6. Are results of data analysis valid? (Criteria to use after funding decision is made.)
7. Are results of evaluation used most effectively? (Criteria to use after funding decision is made.)
 - (a) Are results used for satisfaction?
 - (b) Are results used for learning?
 - (c) Are results used for dissemination?
 - (d) Are results used for capability building (data base, state of the art)?

FIVE YEAR STRATEGIC EVALUATION PLAN:

THREE ALTERNATIVES

(October 23, 1973)

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FIVE YEAR STRATEGIC EVALUATION PLAN:
THREE ALTERNATIVES

A strategic evaluation plan (SEP) should answer the following basic questions on evaluation efforts: who should evaluate; for whom is evaluation done; for what purposes; under what organizational structure; under what criteria; and by what methods. This interim report deals with all but the last two questions (which will be treated elsewhere).

The reason for dealing with questions on who should evaluate and the purpose of evaluation is that evaluation is an integral part of the decision-making process. As such, it should be discussed, planned for, and carried out only in this context. Evaluation should result in purposeful and useful information for decision makers. For operating agencies there is a difference between what is nice to have and what is essential. Unless evaluation feeds back into the decision-making process it is not essential information. Consequently, the UCLA task force decided to start evaluation planning by focusing on the functional goals, objectives, and organizational structures of the Office of Criminal Justice Planning (OCJP) network for evaluation efforts.

The purpose of this interim report is to present alternative plans for the OCJP to organize evaluation efforts for its network, and, depending on which choices are made, to provide a basis for the UCLA task force to complete its work in developing an SEP.

The alternative plans are best described as frameworks for answering questions on who should evaluate, for what purpose, for whom, and under what organizational structure.

The choices --with recommendations for each-- to be made by the OCJP center around the following:

The OCJP evaluation mission

Functional goals and objectives for evaluation-planning

The type of evaluation work appropriate for each level of the OCJP network

A OCJP organizational structure for evaluation-planning

Time-phasing and resource requirements for implementing the chosen plan

This report consists of a summary with an appendix of ten detailed figures. The latter show the logic of the steps involved in developing the alternative plans, and the resource requirements and calendar time-phasing of the recommended plan. The summary is built about the meaning of each figure for the proposed alternative plans.

Outline of the Report and Some Definitions

Figure 1 is the table of contents for this report. In diagrammatic form, it shows the systematic integration of evaluation

goals and objectives with organizational structures, as well as the tasks necessary to carry out the plan. This integration is the Phase I of the UCLA task force efforts and is the basis for developing alternative plans and the recommended one. The Phase II tasks represent a feasible time-phasing for implementation accompanied by estimates of financial and manpower requirements. The logical structure was designed as a framework for choices on the part of the OCJP and not as task force decisions. Of course, in the actual workings of the task force one step did not necessarily follow another as shown in the figure. Rather the process was one in which forward and backward steps were taken when work in a later sequence meant revisions in a prior one.

OCJP's goal statement "to have an evaluation and planning capability developed and operating" is analogous to the goal statement "to have an adequate house." In order to build an adequate house it is necessary to specify the objectives and functions of this house, e.g., does it meet the needs of family size, does it protect against heat and cold, and so forth. Similarly, if an evaluation-planning capability is to be built, it is necessary to specify what functions and objectives are served. These functions and objectives are listed in figure 2. It should be noted that when speaking of the OCJP network, we are including the three main customers for an evaluation-planning capability: the OCJP and the Law Enforcement Assistance Administration (LEAA) considered as one, the Regions, and the subgrantees.

Figure 2 also contains some definitions, which, because of their critical importance to the understanding of this report, are repeated here.

Macrosystems Evaluation focuses on the impacts of activities of the criminal justice system, on the problems of crime in the community, as well as looking at the impacts of relevant crime related systems such as education, health, welfare, etc. Macrosystems evaluation aims at a more general level of social activity than microevaluation although the two levels complement each other. Microlevel Evaluation is narrower in purpose and focuses on how the impact of OCJP resources through specific projects and programs can be maximized along both effectiveness and efficiency dimensions. In summary, macrosystems evaluation looks at the multisystem dimension of crime, delinquency, and the recidivism while microevaluation is limited to specific activities with their specific resources used within the multisystem community. The functional goals of macrosystem evaluation-planning include the microapproach.

Formative Evaluation is usually referred to as evaluation that will provide results during the period of project operation. It is an evaluation process that utilizes the project's interim results as feedback information. It is a way of improving project performance during the project's lifetime.

Major Relationships Between Functional Goals and Objectives

In figure 3 the UCLA task force starts its effort to describe the logical, interrelated conceptual framework for the alternative plans presented in this report (see figure 7). Functional goals and objectives for each level of the OCJP network are related to each other and the reasons for bringing them together are presented. The major themes that run through the justifications relate to informed and improved decision making for the field of criminal justice through: (1) a meaningful data base; (2) an integrated evaluation-planning process at the macrolevel that allows the OCJP to concentrate on the fulfillment of its statutory mission; (3) the development of an effective mechanism to utilize evaluation during the life span of a project in order to improve its efficiency and effectiveness; (4) the assignment to each level of the OCJP network its most effective evaluation role; and (5) the improvement of problem understanding through the controlled and closed planning-evaluation information network that binds together the three tiers of the OCJP network and their decision points through common information.

Although resources may be allocated for a functional goal they are used in specific projects or programs. Such specific activities have more definite objectives--as shown in figure 3--that are linked to functional goals. Consequently, activities

for specific functional goals contribute to specific objectives, in a two-way simultaneous process. However, in a complex system such as the criminal justice system, the relationship between functional goals and objectives may not be unique. Efforts for meeting one functional goal may contribute to more than one objective, the spillover effect. Such is the case in the relationship shown in figure 3. For example, both functional goals, OCJP Macrosystems Evaluation-Planning and Regional Planning, relate to the objective, Planning Effectiveness at the OCJP (LEAA) level. This spillover effect is an important attribute of macro-system evaluation-planning.

Task Requirements for Functional Goals and Objectives

The task requirements laid out in figure 4 serve two main purposes. First, and more important, they indicate what must be done in order to build the capability needed to achieve the stipulated functional goals. Secondly, the required tasks include the necessities for completing the UCLA task force's SEP. As previously emphasized, the present report offers a framework for OCJP decisions, for an evaluation plan. As in the analogy of building a house, tools and materials are needed. These tasks are the tools and materials needed to complete the SEP and build an OCJP evaluation-planning capability.

For the sake of brevity, the task requirements in figure 4 can be grouped together under the following broad headings.

Technical: The tasks here can be grouped as either those dealing with evaluation methodologies or with data systems. The "state of the art" in evaluation technology needs analysis beyond what has so far been done in the UCLA task force efforts along certainty and efficiency dimensions. Criteria for what activities within the OCJP network are both worthwhile and feasible need further exploration. Standardized effectiveness measures, data elements, project cost reporting and report formats for evaluation results need development. These standardized reports and measures result in specific data specifications. For macro-evaluation, the Census Use Study and related data need further analysis and specifications for OCJP network usages. Also, crime indicators need development.

Organizational: In order to improve the cost effectiveness of the OCJP network, an evaluation-planning system must be integrated with the organizational network as it has been formed. What is the organizational structure that will maximize the production, use, and dissemination of evaluation-planning information? There are internal organizational constraints that will have to be relaxed in order to achieve the OCJP evaluation mission. The OCJP is an administrative institution working in conjunction with other such organizations under administrative rulings and interrelationships. Such administrative rules and relationships may limit or expand the potentials of the proposed evaluation-planning system.

Political-Legal: As a public agency working with the criminal justice system the legal frameworks of governments are pertinent to OCJP's activities. How do the various legal systems affect evaluation-planning activities? As a politically constituted agency, OCJP must

maintain its political credibility with the federal government, the State of California, and local governments. Again, how do the political relationships of the OCJP influence evaluation-planning and vice versa.

The detailed tasks in figure 4 are not an exhaustive inventory of what is needed in understanding the questions implied in the above nor a complete list for capability building. Rather, what is indicated are the directions in which to go and the structure of needed work. If the above tasks are done, the capability is likely to have been developed.

OCJP Organizational Structure for Evaluation and Related Planning

The report to this point has laid a general basis for determining who should evaluate; for whom evaluation is done; and for what purposes. The next logical step is to be more specific in treating these questions for the OCJP. An organizational structure with allocated functional goals and objectives is required for the OCJP to fill in the outlines of the roles to be performed in the implementation of the evaluation mission. Figures 5 and 6 describe such a structure and the reasons why the UCLA task force made the allocations. The proposed organizational structure is restricted solely to evaluation and related evaluation-planning needs.

The current organizational structure of the OCJP is sufficiently viable and adaptive to absorb the few suggested changes. This means that only incremental budgetary and staff increases are required over the five-year implementation period (see figure 8). The formation of two new major units is suggested, a Macro-systems Evaluation Unit and a Policy Development Unit, and the discontinuation of the current Planning Unit. The new units would be partially staffed through transfers of personnel and budget used to maintain the Planning Unit. The largest budgetary impact of the proposed organization will result from the increased support the new staff units will give to operational units; namely, the Programs and Standards and Planning Operations units.

The organization is structured so as to maximize the production and flow of useful evaluation-planning information throughout the OCJP, the activities it supports, and the criminal justice system generally. The suggested organization has the following characteristics and effects that will facilitate the achievement of OCJP's statutory mission:

Increase the capabilities of the director's staff and thereby improve his ability to control and coordinate the operational (line) units.

Shifts OCJP evaluation-planning to the macro-level that is more congruent with meeting its statutory mission.

Develops a capability for assessing developing problems and formulating policies to solve them.

Develops a data base for evaluation planning through the Census Use Study and related social and demographic data and macroevaluation measures and results.

Develops a capability for research and development and technical assistance to Regions and subgrantees for evaluation purposes.

Integrates the OCJP, Regions, and subgrantees into a systematic and purposeful evaluation-planning system and thereby provides a means for using evaluation-planning information in its whole network and throughout all operations in the field of criminal justice.

The prior step-by-step formulation of mutually consistent functional goals and objectives for the three levels of the OCJP network has been supplemented by the proposed OCJP evaluation-planning organizational structure. This formulation and structure comprise the basis for developing strategic evaluation plans. The plan for building the house is now complete.

Alternative Plans for Major Evaluation Functional Goals

The alternative plans and how each meets functional goals of the OCJP (LEAA), Regions, and subgrantees are shown in figure 7. (The functional goals are listed in order of priority, with those of the OCJP [LEAA] ranked as one and two.) No one plan completely

meets all functional goals. The reason for this failure is simply that in the opinion of the UCLA task force, the limitations of money, trained personnel, and time, require concentration on functional goals rather than a too thin spreading of resources during the five-year implementation plan. Subsequently, other functional goals may be considered. However, the spillovers resulting from meeting one functional goal mean that an omitted functional goal is partially affected. For example, in Plan I, work on the OCJP (LEAA) functional goal Macrosystems Evaluation Planning is likely to spillover on the subgrantee functional goals Impact Evaluation and Planning, which are not indicated as being met by Plan I. Since the alternative plans meet different combinations of functional goals, there are differing relationships between the levels of the OCJP network and different centers of power for evaluation-planning.

Plan I (OCJP and Regions) is the recommended plan and satisfies the functional goals of the OCJP and the Regions as well as the subgrantees' top priority functional goal. Consequently, the major emphasis by the OCJP on macrosystems is complemented and supplemented with microsystems evaluation for important needs of the OCJP network. Evaluation-planning information is produced and used throughout the OCJP network thereby satisfying the goal of evaluation information use. Full authority is given to the OCJP since OCJP macrosystems evaluation-planning coordinates and

controls information flowing upward from the Regions' and subgrantees' evaluation and planning. Regional and subgrantee evaluation and planning can occur but cannot be integrated into the OCJP efforts in these areas without the information produced at the top by the OCJP.

This plan is recommended since it alone of the alternatives meets the top functional goals priorities and integrates evaluation-planning throughout.

Plan II (OCJP and subgrantee) tightly knits together the OCJP and the subgrantees in a planning-evaluation system dominated by the OCJP. Since, for all practical purposes, the Regions are bypassed in the evaluation-planning loop, their functional goals are basically not fulfilled. The complete information flow that results from Plan I is short circuited since program evaluation is minimally done.

Plan III (Regions and subgrantees) ties together the Regions and the subgrantees and places the OCJP in a passive evaluation-planning role. None of the OCJP functional goals is met through this plan. The crucial linkage here is between levels of micro-evaluation and of a loose, uncoordinated coupling with whatever macrosystems evaluation is done by the OCJP. In Plan III, the

Regions would, for all practical purposes, control evaluation-planning information flows.

Time-Phasing of Organizational Units and Resource Requirements

Time-phasing and resource requirements were done only for the proposed organization (see figures 5, 6, and 8) and for Plan I (see figures 7, 9, and 10). Implementation begins July 1, 1974 with development of the Macrosystems Evaluation (7-1-74 to 7-1-75) units, the two new major units required. These units are essential to the OCJP movement to higher levels of evaluation-planning than it is currently performing. Next in the implementation process is the creation of the Microevaluation Division (1-1-75 to 7-1-75) in order to place an evaluation capability in the division that is currently in direct contact with the Regions and subgrantees. Other OCJP internal support activities are activated in the initial year of implementation. The Research and Development unit created to disseminate OCJP technical knowledge is the last activity to be implemented (7-1-75 to 7-1-76).

Resource requirements --funds and personnel-- are geared to the implementation phasings (see figure 10). Budgetary requirements during the first six months of buildup (1-1-74 to 7-1-74)

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amount to \$820,000, buildup to \$1,710,000 in the six-month period beginning 1-1-78, and continue at this level through 7-1-79. At full operational levels, the recommended plan requires annual expenditures of \$3,420,000. This sum includes what is currently spent on evaluation-planning in the OCJP network as well as any additions required by the plan. Since the OCJP network is limited in its own staffing, much of the \$3,420,000 is earmarked here for the purchase of outside services.

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APPENDIX

Figures 1-10

Figure 1

Structure of the Strategic Evaluation Plan (Phase One)
(Contents of Report)

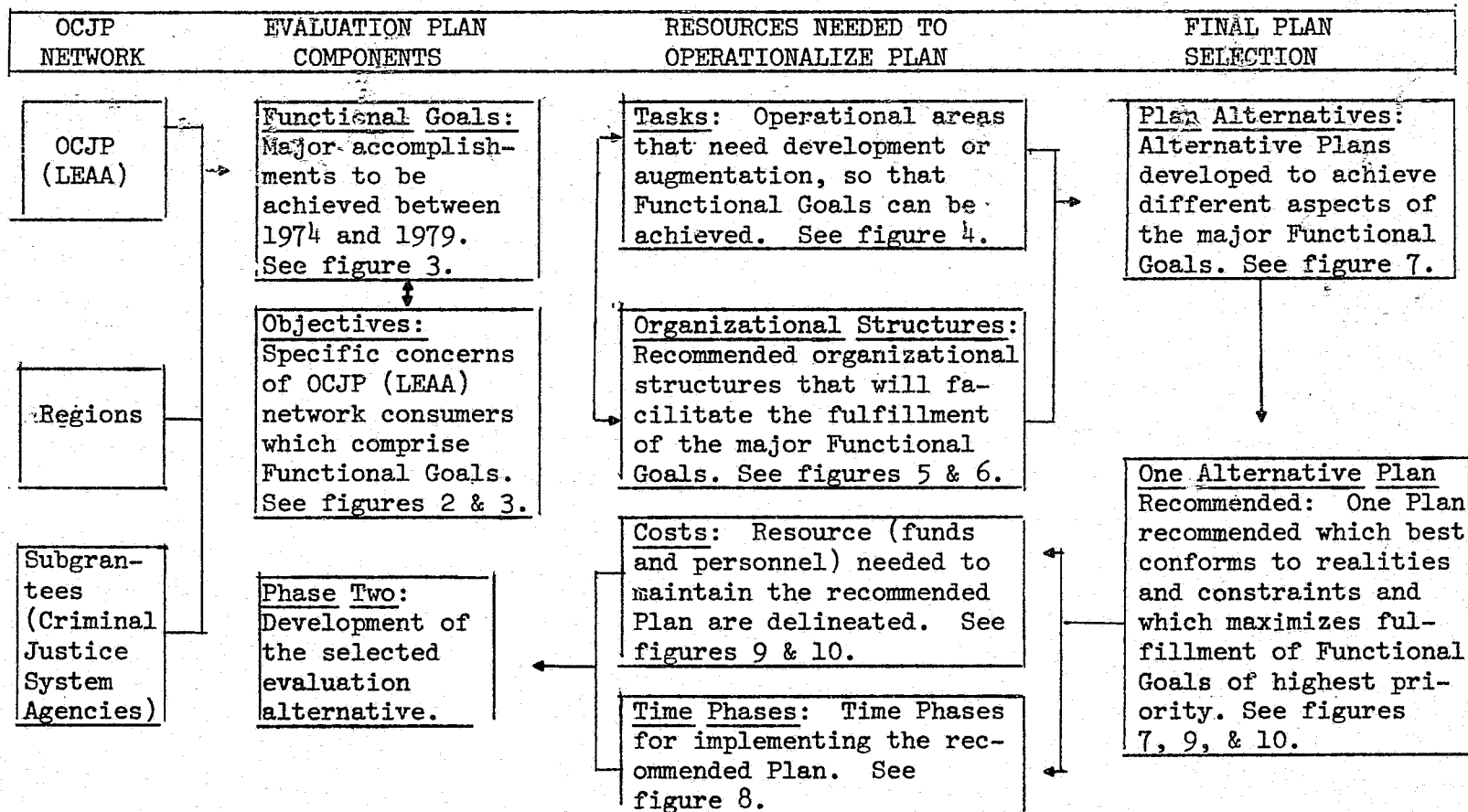


Figure 2

Since the evaluation must relate to purpose to be useful, the OCJP must have an evaluation goal. Its overall goal is to support improved decision making by the OCJP, the Regions, and the subgrantees in order to:

- *MAXIMIZE THE IMPACT OF RESOURCES USED ON THE PREVENTION AND REDUCTION OF CRIME, DELINQUENCY AND RECIDIVISM IN CALIFORNIA.
- *IMPROVE PERFORMANCE BY INTEGRATING EVALUATIVE INFORMATION INTO ALL PLANNING AND OPERATIONS FOR ALL ACTIVITIES SUPPORTED BY THE OCJP AND FOR THE CRIMINAL JUSTICE SYSTEM GENERALLY.
- *INCREASE THE COST-EFFECTIVENESS AND THE CREDIBILITY OF THE OCJP AND THE CRIMINAL JUSTICE SYSTEM.

There are specific concerns of the three major customers for evaluation (OCJP, Regions, subgrantees) that must be met by the evaluation plan. These concerns or objectives are:

OCJP OBJECTIVES:

1. Mission Definition
2. Mission Fulfillment
3. Problem Understanding
4. Planning Effectiveness
5. Program Effectiveness
6. OCJP Credibility
7. Cost Effectiveness
8. Organizational Soundness

9. Support Regional Evaluation
10. Subgrantee Self-Evaluation
11. Evaluation Plan

REGIONAL OBJECTIVES:

1. Mission Definition
2. Mission Fulfillment
3. Problem Understanding
4. Planning Effectiveness
5. Project Effectiveness
6. Regional Credibility
7. Cost Effectiveness
8. Organizational Soundness
9. Regional Evaluation

SUBGRANTEE OBJECTIVES:

1. Funding Decision Information
2. Mission Definition
3. Mission Fulfillment
4. Problem Understanding
5. Formative Evaluation
6. Project Credibility
7. Planning Participation
8. Evaluation Competency

The necessary means to accomplish the overall goal are the following seven FUNCTIONAL GOALS:

1. OCJP Macrosystems Evaluation-Planning
2. OCJP and Regional Cost-Effectiveness Evaluation
3. Regional Planning
4. Regional Evaluation
5. Subgrantee Formative Evaluation
6. Subgrantee Impact Evaluation
7. Subgrantee Planning

The seven functional goals contain key words which need further explanation for this report.

Macrosystems Evaluation focuses on the impacts of activities of the criminal justice system on the problems of crime in the community as well as looking at the impacts of relevant crime-related systems such as education, health, welfare, etc. Macrosystems evaluation aims at a more general level of social activity than microevaluation although the two levels complement each other. Microlevel Evaluation is narrower in purpose and focuses on how the impact of OCJP resources through specific projects and/or programs can be maximized along both effectiveness and efficiency dimensions. In summary, macrosystems evaluation looks at the multisystem dimension of crime, delinquency, and recidivism while microevaluation is limited to specific activities with their specific resources used within the multisystem community.

The functional goal of macrosystem evaluation-planning includes the microapproach.

Formative Evaluation is usually referred to as evaluation that will provide results during the period of project operation. It is an evaluation process that utilizes the project's interim results as feedback information. It is a way of improving project performance during the project's lifetime.

Figure 3

Summary Chart Illustrating the Major Relationships Between Functional Goals and Objectives for Each Level of the OCJP Network and Their Justifications

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
1. <u>OCJP Macrosystems</u> <u>Evaluation Planning</u>	Mission Definition Mission Fulfillment Problem Understanding Planning Effectiveness OCJP Credibility Program Effectiveness Evaluation Plan	Mission Definition Mission Fulfillment Problem Understanding Regional Credibility	Problem Under- standing

An integrated planning-evaluation system on the macrosystem level will facilitate analysis of the multisystem nature of crime problems and lead to a better understanding of the role that each level of the OCJP network can play in dealing with crime in the community. A comprehensive data base that integrates crime data with Census Bureau demographic and social data will provide a base for developing and validating crime indicators and available community resources and permit a targeting of OCJP resources to fill specific and identifiable needs. This, in turn, will sharpen mission definition; facilitate fulfillment of the statutory mission; increase planning (including evaluation planning) and program effectiveness; and enhance OCJP and Regional credibility.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
2. <u>OCJP Cost Effective- ness Evaluation</u>	Cost Effectiveness Organizational Sound- ness	Cost Effectiveness Organizational Sound- ness	

An integrated planning evaluation information network, with information flowing from the bottom of the criminal justice system as well as from the top down, will aid in further development of OCJP and Regional operations into a better coordinated process, and eliminate needless duplication of effort. Increased operational efficiency will result in more being done with the same budget resulting in greater impacts with no cost increases. Improved information at the macrosystem level accompanied by more effective planning and evaluation, results in improved policy analysis for dealing with the future problems of the OCJP and the Regions. Such foresight allows for organizations to be flexible and adapt themselves to emerging problems and changing environments. Their survival depends upon this ability.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
3. <u>Regional Planning</u>	Planning Effectiveness	Planning Effectiveness	Funding Decision Information Project Credibility

For OCJP to plan effectively, the Regions must transform a rather ad hoc series of activities into a mutually consistent set of planned activities and objectives. Planning-evaluation information should be directly tied to decision making at all levels of the criminal justice system through a comprehensive and integrated feedback process. Through such a closed network the subgrantees will receive timely and appropriate funding information which will result in better project selection. This in turn, will provide a closer linkage between the OCJP's statutory mission and project impacts which will enhance project credibility.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
4. <u>Regional Evaluation</u>	Support Regional Evaluation	Project Effective- ness	Project Credibility Formative Evaluation

Increased Regional evaluation capabilities aids in a more effective division of evaluation activities. The OCJP can develop macrosystem level evaluation and policy planning which provide greater clarification of the problems of crime in the community. In so doing, OCJP will be able to identify the evaluation needs of all consumers and give them needed support. The Regions, in turn, can concentrate on evaluating project effectiveness with the knowledge that OCJP can provide the linkage between project effectiveness and system impact. The Regions, through the closed evaluation information network, can aid and support the subgrantees during the lifetime of a project thereby enhancing the credibility of projects.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
5. <u>Subgrantee Formative Evaluation</u>	Program Effective- ness	Project Effective- ness	Formative Evaluation

Continuous informational feedback on project operations and project outcomes will assist subgrantees in modifying project activities and their staff organization so as to increase efficiency, lessen the chances of failure, and to maximize project effectiveness. Since programs are combinations of projects, OCJP network programs will have increased impact.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
6. <u>Subgrantee Impact Evaluation</u>	Subgrantee Self-Evaluation	Subgrantee Self-Evaluation	Evaluation Competency

Increased subgrantee impact evaluation competency will give subgrantees direct and immediate feedback on the impact of their projects and thus provide useful information and additional professional expertise throughout the OCJP and criminal justice system networks. The increased ability of the criminal justice system to evaluate itself will provide feedback on the effectiveness of both OCJP's and Regional planning-evaluation efforts, and in subgrantee skills in planning evaluation. Such capabilities will aid in maximizing the impacts of criminal justice system activities and thus directly contribute to OCJP mission fulfillment.

Figure 3 (Continued)

Functional Goals (In Priority Ordering)	OCJP Network		
	OCJP (LEAA)	Regions	Subgrantees
7. <u>Subgrantee Planning</u>	Planning Effectiveness	Program Effectiveness	Mission Ful- fillment Planning Participation

Definition of subgrantee mission provides the OCJP network with greater clarification of the problems projects are addressing. It also encourages coordination between all levels of the OCJP network and provides a base for a comprehensive planning-evaluation effort.

Figure 4

Task Requirements to Achieve
Functional Goals and Related Objectives

Functional Goal 1 - OCJP Macrosystems Planning-Evaluation

OCJP	
Objectives	Tasks
Mission Definition	Formulate OCJP mission statement and see if it is operational by linking it to evaluation measures of effectiveness.
Mission Fulfillment	Develop valid crime indicators from Census Use Study and other data, if necessary. Create organizational structure for planning-evaluation efforts. Evaluate selected programs across Regions. Administer and evaluate selected projects normally done for Regions that lack evaluation capability. Follow up and assess uses of evaluation information. Evaluate planning. Develop computerized system to process, store, and analyze evaluation data. Review regional evaluations.
Problem Understanding	Analyze the multisystem dimension of crime, delinquency, and recidivism.

Figure 4, continued

Functional Goal 1, Continued

OCJP, Continued	
Objectives	Tasks
Problem Understanding, continued	<p>Classify evaluation needs</p> <p>Classify criminal justice activities that are technically feasible to evaluate.</p> <p>Classify problems in evaluation studies.</p> <p>Guide entry points into OCJP network for upgrading evaluation studies.</p>
Planning Effectiveness	<p>Analyze use of evaluation activities within OCJP.</p> <p>Analyze internal OCJP network limitations on using evaluation studies.</p> <p>Describe the OCJP and Regional organizational and staffing for evaluation activities.</p> <p>Evaluate planning.</p> <p>Be responsible for maintaining the evaluation plan.</p> <p>Devise a mechanism for developing and using evaluation results within OCJP (especially in general planning) and throughout the criminal justice system.</p>
Program Effectiveness	<p>Formulate criteria for selection and ordering evaluation efforts.</p>

Figure 4, Continued

Functional Goal 1, Continued

OCJP, Continued	
Objectives	Tasks
Program Effectiveness, Continued	<p>List effectiveness measures to be used in evaluations.</p> <p>Standardize effectiveness measures, data elements, projects, cost reporting, and report format for evaluation results.</p> <p>Train analysts and develop a research capability.</p> <p>Develop and clarify evaluation methodologies.</p> <p>Follow up and assess uses of evaluation information.</p> <p>Disseminate information -- technical knowledge transfer.</p> <p>Evaluate selected programs across Regions.</p>
OCJP Credibility	<p>Analysis of the political constraints in using results of evaluation studies.</p> <p>Detail external organizational constraints that hinder OCJP from doing evaluation studies.</p>
Regions	
Objectives	Tasks
Mission Definition	<p>Formulate Regional Mission statement and see if it operational by linking it to evaluation measures of effectiveness.</p>

Figure 4, Continued

Functional Goal 1, Continued

Regions, Continued	
Objectives	Tasks
Mission Fulfillment	<p>Evaluate projects within region.</p> <p>Review project evaluations.</p> <p>Design and give technical assistance, i.e., review subgrantees evaluation proposals.</p> <p>Administer and monitor project evaluations.</p>
Problem Understanding	<p>Review project evaluations.</p>
Regional Credibility	<p>Detail internal organizational constraints on using evaluation studies.</p> <p>List subgrantee purposes for carrying out evaluation.</p>
Subgrantees	
Objectives	Tasks
Problem Understanding	<p>Evaluate project.</p>
Planning Participation	<p>Develop mechanism to use evaluation results in planning process.</p> <p>Where capable, work with Regions.</p> <p>Create taxonomy of evaluation needs.</p> <p>Create typology of problems in evaluation of project.</p>

Figure 4, continued

Functional Goal 2 - OCJP and Regional
Cost Effectiveness - Evaluation

OCJP	
Objectives	Tasks
Cost Effectiveness	Heed resource limitations on doing evaluations.
Organizational Soundness	Inspect to monitor soundness of OCJP including cost effectiveness of money distributed. Construct "program budget" for purposes of resource allocation.
Regions	
Objectives	Tasks
Cost Effectiveness Organizational Soundness }	Make estimates for alternative types of project evaluations.
Subgrantees	
Objectives	Tasks
Cost Effectiveness	Ensure efficient project.
Organizational Soundness	Construct project budget.

Figure 4, continued

Functional Goal 3 - Regional Planning

OCJP	
Objectives	Tasks
Planning Effectiveness	Evaluate planning.
	Describe use of evaluation activities within OCJP.
	Analyze internal OCJP network constraints on using evaluation studies.
	Describe the OCJP and Regional organization and staffing for evaluation studies.
Regions	
Objectives	Tasks
Planning Effectiveness	Create typology of problems in Regional evaluation studies.
	Devise mechanism to use results in the planning process.
	Create a taxonomy of Regional evaluation needs.
Project Effectiveness	Evaluate projects within Region.
	Review project evaluations.
	Administer and monitor project evaluation.

Figure 4, continued

Functional Goal 3, Continued

Regions, Continued	
Objectives	Tasks
Project Effectiveness, continued	Design and give technical assistance, i.e., review sub- grantees' evaluation proposals.
Subgrantees	
Objectives	Tasks
Funding Decision Information	Work with Region where capable. Describe methods used in analyzing and evaluating projects. Make inventory of who is supposed to use project evaluation results.
Mission Fulfillment	Devise mechanism to use results in planning process. Evaluate project.
Project Credibility	Design mechanism to use evaluation results in planning process. Design project objectives. Describe methods used in analyzing and evaluating projects.

Figure 4, Continued

Functional Goal 4 - Regional Evaluation

OCJP	
Objectives	Tasks
Support Regional Evaluation	List effectiveness measures to be used. Develop criteria for selection and ordering evaluation efforts. Standardize effectiveness measures, data elements, project cost reporting, and report format for evaluation results. Develop and clarify evaluation methodologies. Train analyst and develop a research capability. Follow up and assess uses of evaluation information. Be responsible for maintaining evaluation plan.
Regions	
Objectives	Tasks
Project Effectiveness	Evaluate projects within Region. Review project evaluation. Design and give technical assistance. Develop mechanism to use evaluation results in planning process.

Figure 4, continued

Functional Goal 4, Continued

Subgrantees	
Objectives	Tasks
Project Credibility	Design project objectives
	Describe methods used in analyzing and evaluating project.
Get Formative Evaluations	Do project evaluations.

Figure 4, continued

Functional Goal 5 - Subgrantee Formative Evaluation

OCJP	
Objectives	Tasks
Program Effectiveness	Develop criteria for selection and ordering evaluation efforts.
	List effectiveness measures to be used in evaluations.
	Standardize effectiveness measures, data elements, project cost reporting, and report format for evaluation results.
	Train analysts and develop a research capability.
	Develop and clarify evaluation methodologies.
	Follow up and assess uses of evaluation information.
	Disseminate information-technical knowledge transfer.
	Evaluate selected programs across Regions.
Regions	
Objectives	Tasks
Project Effectiveness	Evaluate projects within Region.
	Review project evaluations.

Figure 4, continued

Functional Goal 5, Continued

Regions, Continued	
Objectives	Tasks
Project Effectiveness, continued	Administer and monitor project evaluation.
	Design and give technical assistance, i.e., review subgrantees' evaluation proposals.
Subgrantees	
Objectives	Tasks
Get Formative Evaluations	Devise mechanism to use evaluation results in planning.
	Design evaluation project objectives.
	Do project evaluations.
	Describe methods used in analyzing and evaluating project.

Figure 4, continued

Functional Goal 6, Subgrantee Impact Evaluation

OCJP	
Objectives	Tasks
Field of Criminal Justice Self-Evaluation	List effectiveness measures to be used in evaluations. Standardize effectiveness measures, data elements, project cost reporting, and report format for evaluation results. Develop criteria for selection and ordering evaluation efforts. Develop and clarify evaluation methodologies. Train analysts and develop a research base. Be responsible for maintaining evaluation plan. Devise mechanism for developing and using evaluation results within OCJP and throughout field of criminal justice. Transfer technical knowledge. Follow up and assess uses of evaluation information. Evaluate planning.

Figure 4, continued

Functional Goal 6, Continued

Regions	
Objectives	Tasks
Field of Criminal Justice Self-Evaluation	Design and give technical assistance.
	Develop mechanism to use results in planning process.
Subgrantees	
Objectives	Tasks
Evaluation Competency	Develop mechanism to use results in planning.
	Evaluate project.
	Design evaluation project objectives.
	Work with region where evaluation capability exists.
	Describe methods used in analyzing and evaluating project.

Figure 4, continued

Functional Goal 7, Subgrantee Planning

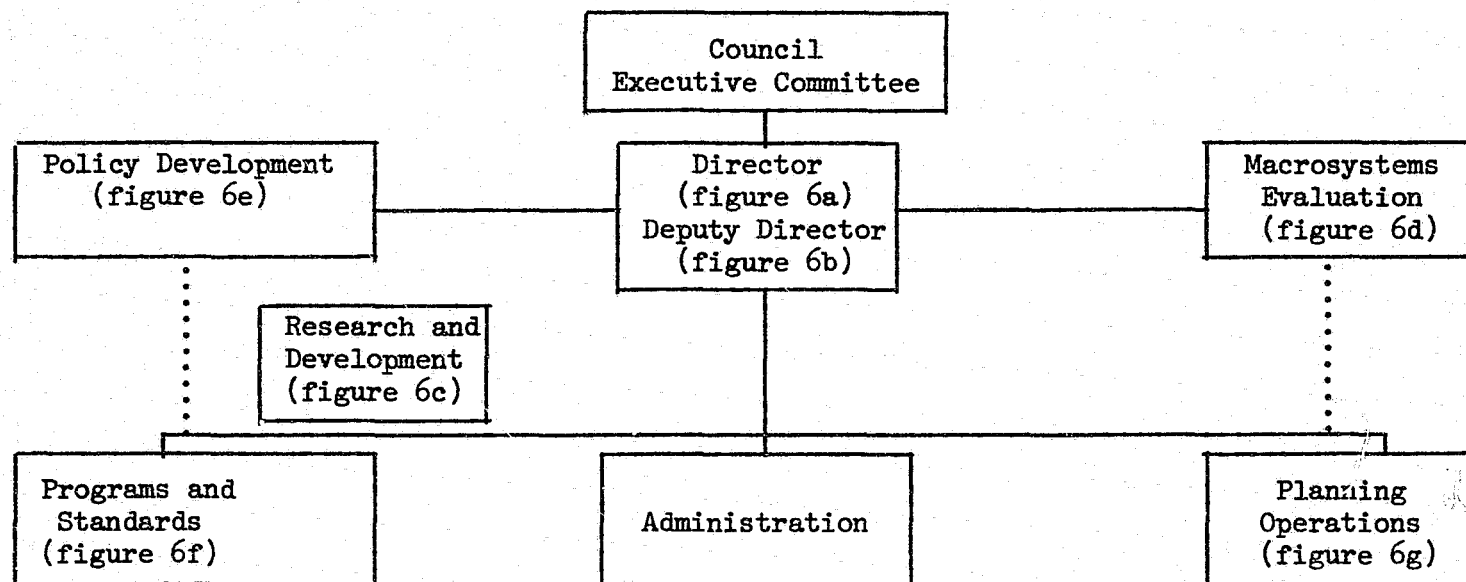
OCJP	
Objectives	Tasks
Planning Effectiveness	Evaluate planning.
	Describe use of evaluation activities within OCJP.
	Analyze internal OCJP network constraints on using evaluation studies.
	Describe the OCJP and regional organization and staffing for evaluation studies.
Regions	
Objectives	Tasks
Planning Effectiveness	Create a typology of problems in regional evaluation studies.
	Create a taxonomy of regional evaluation needs.
Subgrantees	
Objectives	Tasks
Mission Fulfillment	Evaluate Project.

Figure 4, continued

Functional Goal 7, Continued

Subgrantees, Continued	
Objectives	Tasks
Planning Participation	Devise mechanism to use results in planning process. Work with region, where evaluation capability exists. Create a taxonomy of project evaluation needs. Create a typology of problems in evaluation of project.

Figure 5
Major Evaluation and Evaluation Related Planning*--
Organizational Structure of the Proposed Plan
(Evaluation-Planning Responsibilities Detailed in Figures 6a-g)



*We have not discussed planning in depth but it is related to evaluation, so planning functions are included in this chart.

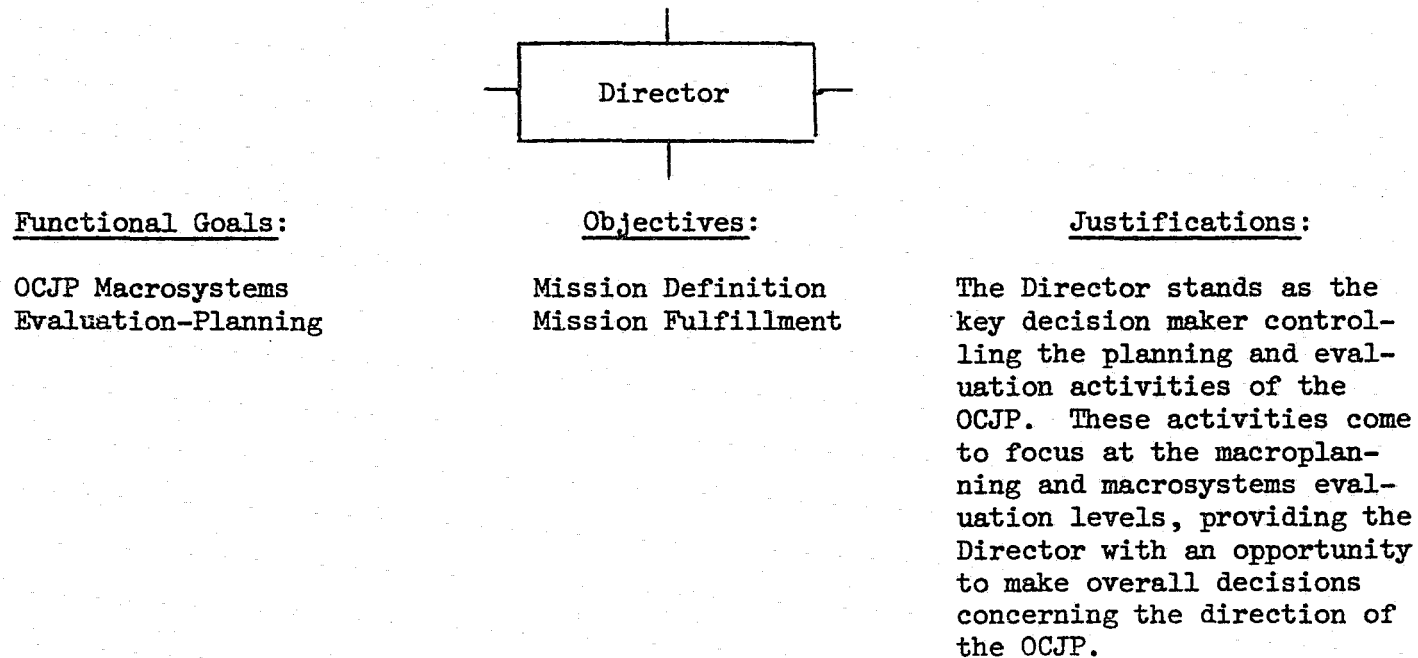
CONTINUED

CONTEXT

FILE

Figure 6a

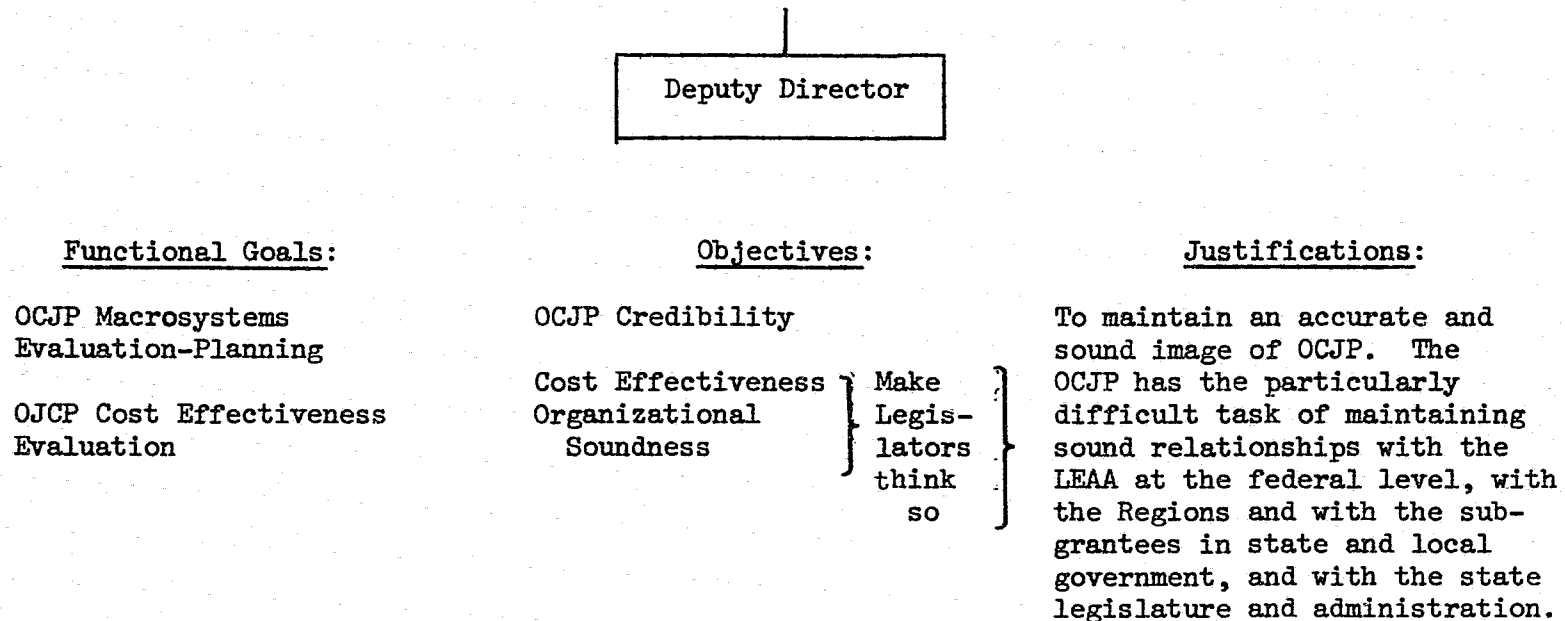
Breakdown of Evaluational Functional Goals and Objectives by Organizational Level*



*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6b

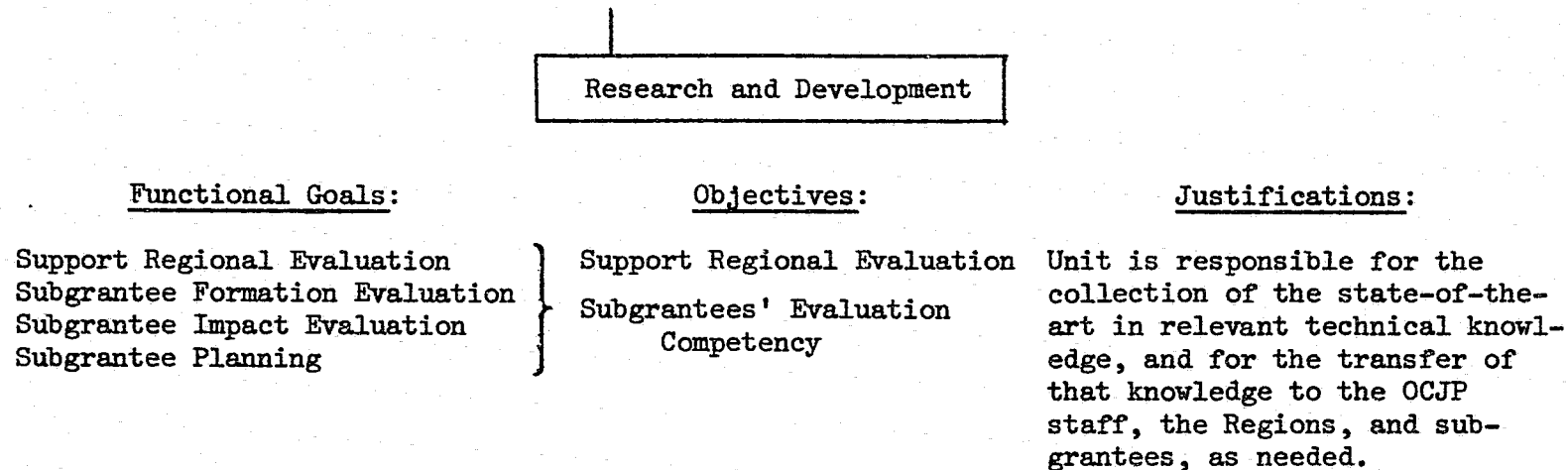
Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*



*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6c

Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*



*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6d

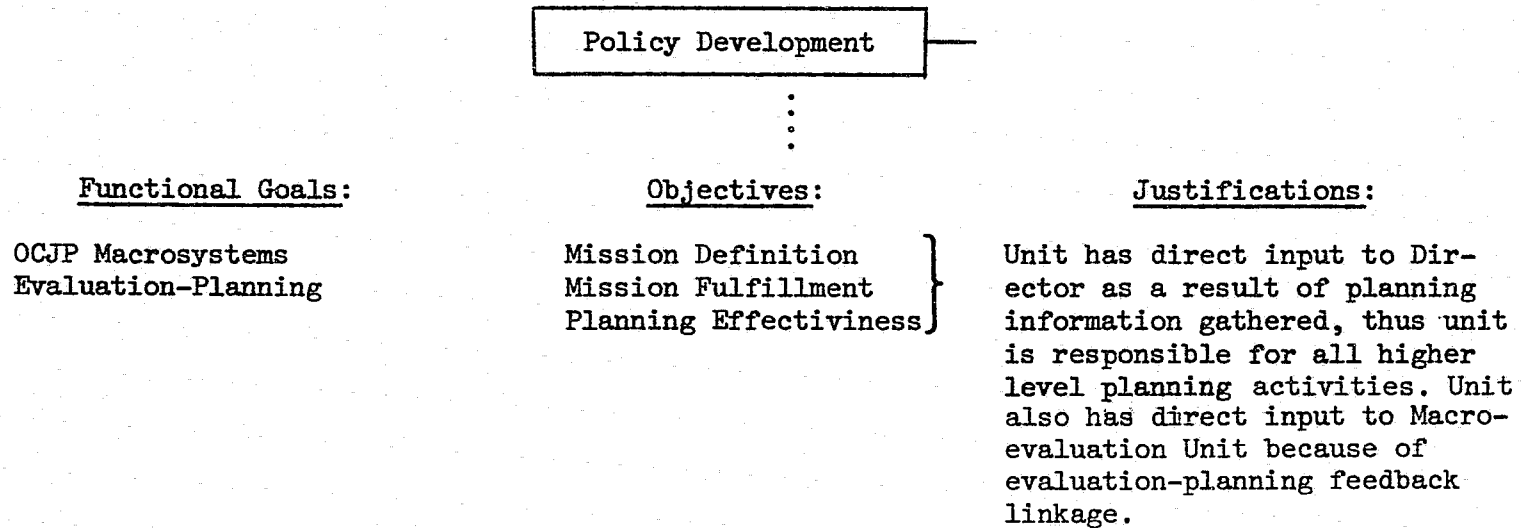
Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*

Macrosystems Evaluation		
<u>Functional Goals:</u>	<u>Objectives:</u>	<u>Justifications:</u>
OCJP Macrosystems Evaluation- Planning }	Mission Fulfillment Problem Understanding Planning Effectiveness Program Effectiveness Evaluation Plan }	Unit is responsible for all higher level evaluation activities, and has direct input to the Director. Unit also has direct input to policy development unit, to support the evaluation-planning feedback. This unit provides the necessary information base to permit the Director to coordinate all of the activities of the OCJP.

*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6e

Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*



*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6f

Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*

Programs and Standards

Functional Goals:

OCJP Macrosystems Evaluation-
Planning

Objectives:

Mission Definition
Problem Understanding }

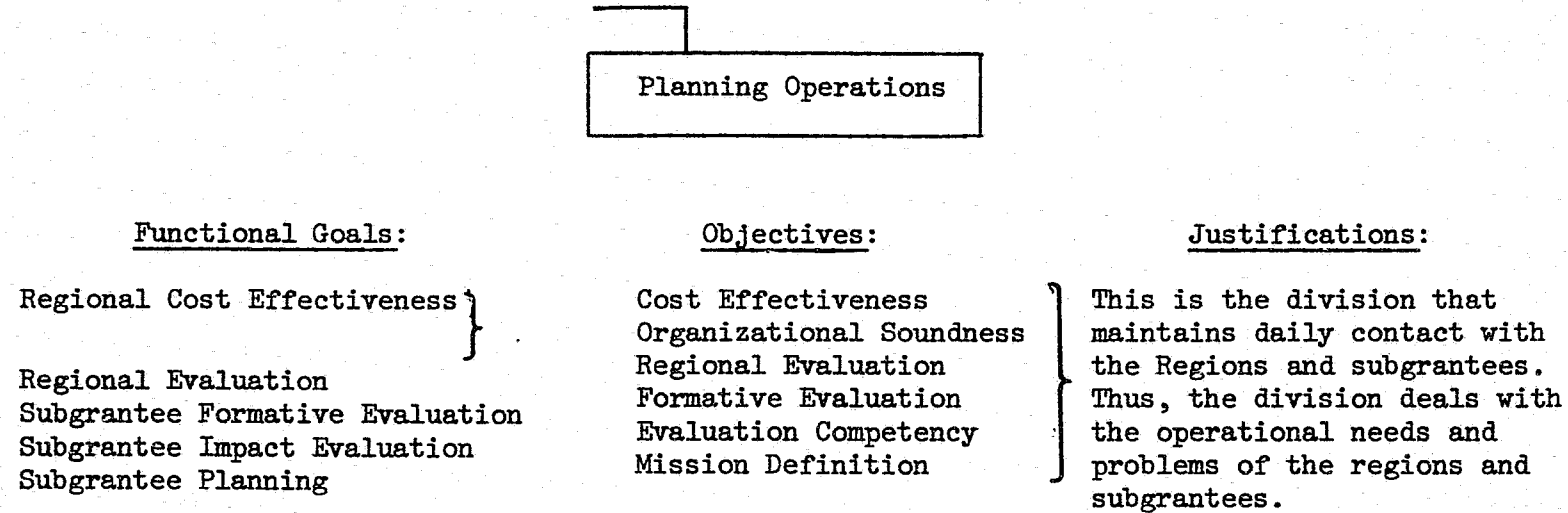
Justifications:

This Unit is in charge of
coordinating the conceptual
studies to support the planning
process.

*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 6g

Breakdown of Evaluation Functional Goals and Objectives by Organizational Level*



*Only evaluation-related functional goals and objectives are described. Other activities, not related to evaluation, are not covered in this figure.

Figure 7

Alternate Plans for Major Evaluation Functional Goals*

FUNCTIONAL GOALS IN PRIORITY ORDERING		PLAN I: RECOMMENDED	PLAN II	PLAN III
		Focus on OCJP and Regions	Focus on OCJP and Subgrantees	Focus on Regions and Subgrantees
OCJP (LEAA)	Macrosystems Evaluation-Planning	X	X	
	Cost Effectiveness Evaluation	X	X	
Regional	Regional Planning	X		X
	Regional Evaluation	X		X
Subgrantees	Formative Evaluation	X	X	X
	Impact Evaluation		X	X
	Planning		X	

*X means functional goals fulfilled, and a blank space means functional goals not fulfilled.

Figure 8

Time Phasing of Organization Units

Organization Unit Affected	Nature of Change	Justification	Total Time Period for Change
Macrosystems Evaluation Unit	Incorporation of current evaluation unit into higher level macrosystems evaluations. Results of macroevaluations provide direct feedback linkage to Policy Development Unit and thus planning. Macro-Systems Evaluation Unit also reports directly to the Director.	This will increase the Director's capability to perform macroevaluation studies and coordinate evaluation into all planning and operational activities. Shift from project to program and higher level evaluation in order to feed into policy development.	1 year 7-1-74 to 7-1-75
Policy Development Unit	Current planner incorporated into this unit. Planning policy provides feedback linkage to Macrosystems Evaluation Unit. Policy Development Unit also reports directly to the Director.	Increases the Director's capability to perform systematic planning at highest levels. To ensure more effective use of evaluation feedback in the planning process.	6 months 7-1-74 to 1-1-75
Microevaluation Division	Creation of Microevaluation Unit as part of Planning Operations Division. Staff support to Macrounit. Project level evaluations.	To place an evaluation capability in the division that is presently in direct contact with the Regions and subgrantees.	6 months 1-1-75 to 7-1-75

Figure 8, continued

Organization Unit Affected	Nature of Change	Justification	Total Time Period for Change
Programs and Standards Division	Staff support to Policy Development Unit	Increases planning support responsibilities of div- ision which is currently responsible for the de- velopment of program planning.	6 months 1-1-75 to 7-1-75
Macrosystem and Policy Development Staff	Use of two staff units to increase the integration of the two operating div- isions (Programs and Stan- dards and Planning Opera- tions).	Results in integration of planning and evaluation at all levels is currently insufficient. Thus, it is proposed that the two staff units will augment the Di- rector's capability to accomplish this integra- tion.	
Research and Development	Unit collects state-of-the- art technical knowledge and transfers this know- ledge to OCJP staff, the Regions, and subgrantees.	Need for technically cap- able unit to organize and disseminate the technical knowledge of the OCJP.	1 year 7-1-75 to 7-1-76

Figure 8, continued

Organization Unit Affected	Nature of Change	Justification	Total Time Period for Change
Deputy Director	Increase the legitimacy and credibility of the OCJP by maintaining an accurate and sound image of OCJP with the LEAA at the federal level, with Regions and sub-grantees at the state and local levels.	Need to translate new knowledge generated by increased evaluation capability to improve the image of OCJP to the legislature and public.	

Figure 9

Estimated Average Annual Costs of Recommended Plan at Full Operational Levels

Functional Goal 1: OCJP Macrosystems Evaluation Planning				
Objectives	Personnel (numbers)		Electronic Data- Processing Costs (in thousands of dollars)	Total Costs* (in thousands of dollars)
	In House	Outside		
Mission Defined	3	0	0	150
Mission Fulfillment	5	3	90	550
Problem Understanding				
Planning Effectiveness				
Program Effectiveness	2	0	0	1,300**
OCJP Credibility	1	0	0	50
Evaluation Plan	2	0	0	100
Functional Goal 2: OCJP Cost Effectiveness				
Cost Effectiveness	0	1/2	0	35
Organizational Soundness	0	1/2	0	35
Functional Goal 3: Regional Planning				
Mission Fulfillment	4	2	60	400
Problem Understanding				
Project Planning				
Project Credibility				
Functional Goal 4: Regional Evaluation				
Regional Evaluation	4	2	60	400
Project Effectiveness				
Functional Goal 5: Subgrantee Formative Evaluation				
Formative Evaluations	4	2	60	400
TOTALS	25	10	270	3,420

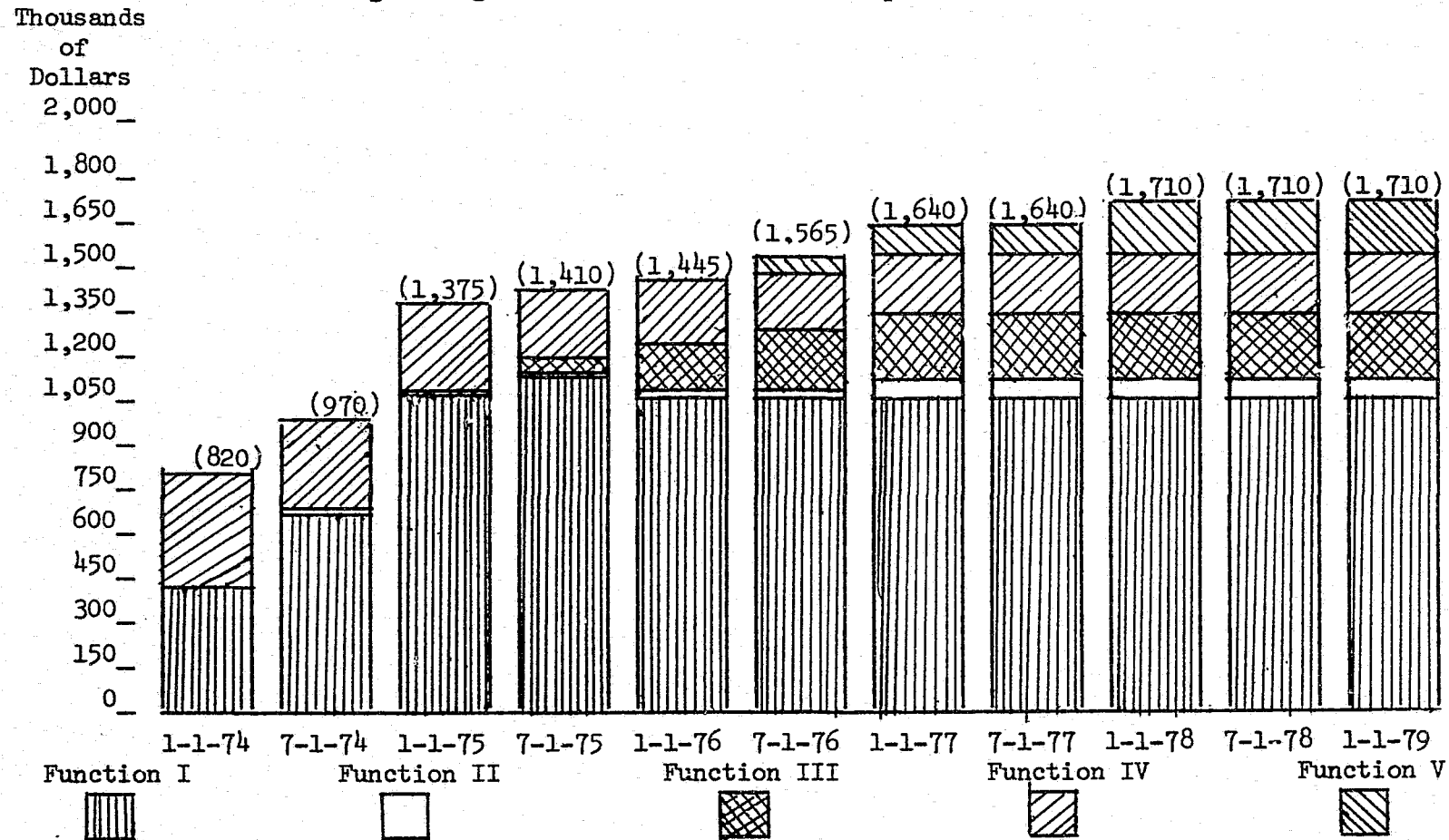
*Personnel costs estimated at \$50,000 for each in-house professional
\$70,000 for each outside consultant

** Most of these costs will be contracted out.

Figure 10

Time-phased Schedule in Six-month Intervals of Cost Allocations to Implement Recommended Plan

(The dollar levels are for six-month levels of expenditures; doubling them gives the annual level of expenditures for evaluation)



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