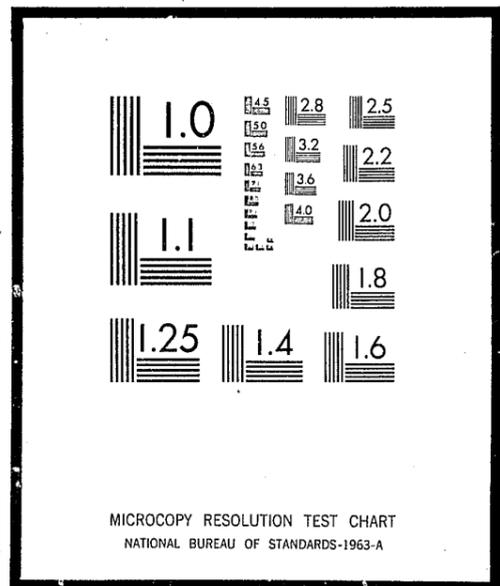


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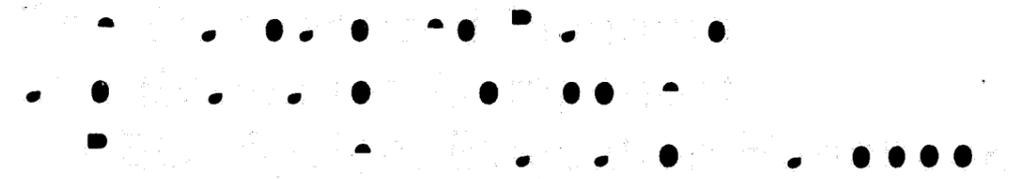


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THE STANDARDIZED PLANNING
AND EVALUATION COMPONENT
(SPEC) SYSTEM EVALUATION HANDBOOK

September 10, 1973

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PREFACE

This document has been prepared by the staff of the Institute for Research in Public Safety of Indiana University's School of Public and Environmental Affairs under a contract with the Indiana Criminal Justice Planning Agency for the development of a Criminal Justice Evaluation System.

The Standardized Planning and Evaluation Component (SPEC) System Evaluation Handbook was designed to aid criminal justice project directors in completing the evaluation requirements and to assist regional and ICJPA staff members in administering the evaluation system. The Handbook describes in detail the evaluation process, the reporting requirements and the reporting procedure.

Companion documents including the *Operations Manual of the Standardized Planning and Evaluation Component (SPEC) System for the Evaluation of Criminal Justice Projects* (Volumes I and II), *A Survey of Criminal Justice Evaluative Literature*, and *A Nationwide Review of Evaluation Procedures of State Planning Agencies* may be useful as supplemental documents for a complete understanding of the SPEC system.

1.0 Introduction

The purpose of the *Standardized Planning and Evaluation Component (SPEC) System Evaluation Handbook* is to provide a working guide for conducting the evaluation of criminal justice projects. An understanding of the evaluation data requirements is essential to proper grant application preparation and project design.

Section 2.0 provides a rationale for evaluating criminal justice projects and discusses the different uses of the evaluation results.

The purpose of Section 3.0 is to encourage a more objective, scientific attitude toward criminal justice projects. It describes alternative concepts of evaluation, then discusses the relationship between planning a project and evaluating it. Finally, a schema for evaluating projects is presented.

Section 4.0 explains the Standardized Planning and Evaluation Component (SPEC) system. The reporting requirements and the reporting procedure are discussed in detail.

Section 5.0 contains the program evaluation data requirements for 1973 ICJPA action programs. This section is designed to be amended on an annual basis as changes in programs dictate. The evaluation data requirements should be read in conjunction with the appropriate program descriptions in the 1973 ICJPA Comprehensive Plan. In addition to the evaluation data requirements, Section 5.0 provides a copy of standard reporting forms to be employed where appropriate. All required reporting forms will be provided to project directors upon project approval.

Section 6.0 outlines the specific reports required of each level of project. Copies of the reports are included.

2.0 Why Evaluate: Different Uses of Evaluation

Evaluation of public policies and programs is a fairly recent development. It is based on the simple and businesslike notion that only the best and most productive projects should be funded.

Since there is a limit on how much public money is available and seemingly no limit on the demand for it, policy makers must decide which projects should be supported and which ones should not. Increasingly, these decisions are being based on facts rather than on the opinions of people who stand to benefit in one way or another from support.

Those who are asking for or are already receiving public funds have an understandable, and usually honest tendency to put their programs in the best possible light. At the same time, they are often reluctant to do the detailed and unexciting work of collecting statistics and records to support claims they make. The federal government is, for these reasons, requiring an increasing amount of evaluation based on objective data as a condition for receiving federal support.

Evaluation requirements have often had the unfortunate effect of creating uneasy suspicions. Policy makers suspect project directors of supplying only the favorable figures or, worse, of fabricating the data in order to make themselves look good. Project directors suspect policy makers of being unrealistic in their demands or, worse, of being out to find some reason for cutting off support for their project. While such suspicions are usually unfounded, this general air of mistrust often tends to destroy the spirit of cooperation and to cloud some of the solid benefits of evaluation.

There are four main reasons for evaluating criminal justice projects:

- To assist project directors in managing their projects;
- To find out what effect projects have had;
- To plan the best way to spend future money;
- To fulfill federal requirements.

2.1 To Assist In Project Management

Some project directors who have extensive experience in their fields prefer to operate in a flexible, day-to-day fashion basing decisions on their own wealth of experience. Not infrequently, they view statistics, records, and evaluation as an impractical enterprise that fails to take into account the many problems and complexities of the real world.

In contrast, project directors striking out in new areas sometimes get so absorbed in providing new services to more and more clients that they see evaluation and reporting activities as an outside requirement diverting them from their main purpose.

The hard reality is that in most cases, the data required for evaluation are the very same data required for good management and control of a project. Project directors with long experience are, more often than not, astonished at how helpful gathering statistics and keeping records can be. Figures can provide pleasant surprises and

demonstrate unexpected benefits from a project. Often they yield whole new insights into the problem at hand.

Similarly, statistics can serve as a management tool so that, rather than going off in all directions at once with little noticeable effect, projects can concentrate on one portion of an overall problem and demonstrate the project's effectiveness in solving that portion. At the same time, the figures can show the need to address other portions of the problem and, therefore, the desirability of expanding the project in years to come.

It is important to remember that data required for evaluation are not really a separate, "outside" demand. The same data are required for good management. Time invested in gathering statistics and maintaining records reaps many dividends.

2.2 To Determine Project Effectiveness

Let us suppose that you run a sales firm. A man comes to you for a job as a salesman. When you ask what experience he has had, he replies that he was an excellent salesman at his last job but that the company did not keep any records on individual salesmen. You ask what education he has had. He replies that he was an excellent student and got especially good grades. Unfortunately, his school records were destroyed in a fire.

Would you hire him or look for someone else? What would you base your decision on? In this case, it might be said that if the man could sell himself, he could sell anything (though it might also be true that whoever bought his story, would buy anything).

The problem here is that there are not enough *reliable* facts about the man for you to make a decision. The only information you have is his own self description and your own impressions of him. You might telephone his previous employer to find out just what kind of a salesman the man was. But then, how much confidence can you put in the judgement of a businessman who does not keep records on his salesmen? And too, not knowing the reasons why the man left his previous job, just how much can you conclude from information supplied by his previous employer.

The point of this example is to demonstrate that

- (1) We tend to make our decisions on the basis of past performance in the belief that past performance is the best indicator of future performance.
- (2) When we look at past performance, we should look at objective records and figures in the belief that such data are more trustworthy than the personal opinions of those who are involved in some way in the decision.
- (3) Since objective data do not always tell the whole story, we usually consider any other information (including opinions) we can obtain and
- (4) When we make decisions, the responsibility for supplying adequate data usually falls on the party who stands to benefit from a favorable decision; the actual judgement is ours.

Criminal justice planners, in deciding which criminal justice projects ought to be continued, expanded, or duplicated in other communities, require information on the past performance and especially the effectiveness of projects under consideration.

Very often, planners are provided with nothing more than the opinions of the project director, regional staff member, or other person involved who, typically, report that the project is effective or ought to be effective. While such opinions are noteworthy, they are, as in the case of the salesmen, often inadequate for making a decision. What is needed are some objective data about project activities and accomplishments. Specifically, planners need to know how much of what kinds of things were done as well as how much of what kinds of changes resulted.

Combining this independent data with personal opinion (or subjective data) planners are in a position to compare a project's accomplishments with its objectives in order to determine the project's individual effectiveness. Further, planners can compare the accomplishments of similar projects in order to determine each project's relative effectiveness. Evaluation and soliciting data for evaluation are useful, then, in managing a project and in determining the effectiveness of a project.

2.3 To Determine Optimal Spending In The Future

Once the effectiveness of projects is known, a whole series of decisions can be made about the best way in which to spend future dollars. Of course any planning decisions begin with defining the problems we want to solve and the changes we want to make in the world. When we know the changes we want to make, the next question is how best to go about making them. It is at this point that the evaluations of past projects are very useful.

Criminal justice planners can, by examining evaluation results, determine:

- which program areas appear most effective,
- which programs within program areas appear most effective,
- which projects within programs appear most effective,
- which projects can be made more effective.

2.3.1 Selecting Alternative Program Areas

In confronting the problem of a particular crime, for example, there are several approaches that we might take. We might try to *prevent* the crime by a variety of projects aimed at likely offenders or victims. We might design projects to improve our *detection and apprehension* abilities on the theory that we can arrest the offenders. We might begin projects to change *adjudication* of such offenders on the theory that swifter trial or firmer sentencing might discourage crime. Or, finally, we might stress *corrections* projects so that offenders are more certainly rehabilitated rather than recycled.

These four possibilities, prevention, detection/apprehension, adjudication, and correction/rehabilitation, correspond roughly to LEAA program area guidelines. In order to decide which of these program areas to emphasize, we must refer to the evaluations of past projects. We may very well find in organizing past projects

according to program area that some program areas show a greater effect in reducing the specific criminal problem than others. We would then conclude, other things being equal, that the best approach to the problem is to concentrate on the most effective program area.

2.3.2 *Selecting Programs*

Once a program area has been selected for emphasis, the evaluation results enable us to choose, in similar fashion, a particular program within that area.

Let us suppose, for example, that the prevention area proved to be the most effective in combating a particular problem. There may be several types of prevention programs—community education, crisis center, special school programs, and so forth. Just as the evaluation results helped us to select the most promising program area, so they prove useful in selecting the most promising program type.

2.3.3 *Selecting Project Design*

Now that we have determined the program area and program type with the best record of combating the problem, the next question is how to design the project. Supposing that we selected the crisis center program. How should the crisis center be organized and run?

Once again, a careful review of evaluation results by the program coordinator will yield insights into which project designs provided the best results with the least money and difficulty. The new project director can, therefore, learn from the experience of others how best to design his project.

2.3.4 *Increasing Project Effectiveness*

Apart from the selection process for new projects described above, an evaluation system also provides ongoing assistance to projects already operating. Problems encountered by one project are likely to have been encountered by others. The same is true for honest mistakes.

Thus, in addition to the management tool that evaluation provides, directors of similar projects may share experience through the ICJPA state program coordinator and by doing so find solutions and new ideas that will improve the effectiveness of their projects.

2.4 *To Fulfill Federal Requirements*

The LEAA directives indicate that criminal justice projects must be evaluated. This is a requirement for receiving federal funds.

WHY EVALUATE?

- 1 TO ASSIST IN PROJECT MANAGEMENT
- 2 TO DETERMINE PROJECT EFFECTIVENESS
- 3 TO DETERMINE OPTIMAL SPENDING IN THE FUTURE
 1. Selecting Alternative Program Areas
 - Prevention
 - Detection and Apprehension
 - Adjudication
 - Corrections
 2. Selecting Programs
 3. Selecting Project Design
 4. Increasing Project Effectiveness
- 4 TO FULFILL FEDERAL REQUIREMENTS

3.0 What Is Evaluated: Projects as Experiments

The purpose of this section is to encourage a new attitude toward criminal justice projects—a more objective, scientific attitude.

LEAA and the state planning agencies were designed to support and assist state and local law enforcement agencies in finding ways to reduce crime. The ultimate objective of every project funded with LEAA money is to contribute in some way to a reduction in crime.

The hard reality is that no one really knows what causes crime; and without knowing the cause, no one really knows how to stop it. Instead of devoting millions of dollars to long range research into the causes of crime, Congress has chosen in part the more short term approach of funding a wide variety of criminal justice projects around the nation. They hope to take advantage of local experience and ideas for controlling crime. No one expects that each and every project will prove equally effective in combatting crime or in improving the criminal justice system. But by supporting and encouraging such a variety of projects, it seems reasonable to expect that some ideas will be very effective while others will at least be helpful.

When viewed in this light each criminal justice project becomes in a very real sense, an experiment. Such a view underscores the importance of evaluating project results so that we may discover what types of projects are most likely to have some effect on crime.

3.1 *The Concept of Evaluation*

The "evaluation" is used commonly to describe a variety of judgemental activities. There is no one generally accepted method of evaluating. But because evaluation is a process of coming to a judgment, the quality and reliability of that final judgment depends in large measure on the calibre of the process used.

There are three general but distinct types of evaluation:

- personal evaluation
- clinical evaluation
- scientific evaluation

Each of these types of evaluation is useful depending upon the importance of the judgment to be made, the reliability required, and the circumstances in which the evaluation takes place. Each type has advantages and disadvantages.

3.1.1 *Personal Evaluation*

Personal evaluation is, as the label implies, a highly individualized process. It is not necessarily an inferior one. Any manager or organization head must make day-to-day decisions regarding the operations of his organization. Typically, he has neither the time nor the obligation of documenting in painful detail why he makes each decision. In making decisions, managers go through a process of weighing and balancing—of evaluating. The advantage of this type of evaluation is that it is rapid and, in good organizations, informed. The disadvantage of this type of evaluation is that not every person would evaluate the situation in quite the same way, take the same matters into account, or, therefore, reach the same conclusion. Few people possess that

rare ability to take all aspects of a problem into consideration without bias and to do this consistently in every decision. The more crucial the decisions and the greater their number, the more this disadvantage is magnified. Corporate executives, professionals, and high governmental officials have increasingly come to distrust their own "gut reactions" and prefer a more elaborate form of evaluation. This type of evaluation might be called "clinical".

3.1.2 Clinical Evaluation

Clinical evaluation does not preclude an element of personal judgment. The distinction between clinical and personal evaluation is that clinical evaluation requires more precise data and information. Perhaps the best example of a clinical evaluator is the physician. Few physicians prescribe medicine or surgery without some form of examination of the patient. These examinations range from cursory (but informed) physical examinations, through complete and standardized physical examinations, to specialized scientific tests including x-rays and other technical or chemical tests. Still, in the final analysis, the judgment of the physician on the basis of all this data is the deciding factor. It is he who must assimilate this information in order to prescribe a remedy.

The term "clinical" somehow implies the field of medicine, but it is not really restricted to it. Most major decisions are clinical decisions. What competent executive, for example, would make a major decision regarding the production and sales of his product without first consulting production schedules, manpower and marketing information? Clinical evaluations are, then, personal evaluations based on some and usually a considerable degree of objective data. The advantage of a clinical evaluation is that two independent professionals are more likely to reach the same conclusion. It is, consequently, more reliable than personal evaluation. The disadvantage to clinical evaluation is that it requires a greater amount of time and a considerably greater amount of testing or data collection.

3.1.3 Scientific Evaluation

Scientific evaluation removes, as far as is humanly possible, any element of personal judgment. Criteria for conclusions are carefully defined in advance; all data to be considered are carefully defined in advance; and, normally, all data are quantified. Control groups are established and every effort is made to account for the influence of any factors not considered a substantive part of the project.

The clear advantage of scientific evaluation is certainty in results. The hallmark of science is replicability—that is, given the same project or experiment performed in exactly the same way, any person would achieve approximately the same results. While there are frequent disagreements among scientists, these disagreements usually concern the way in which the experiment was designed (methodology) or the interpretation of results.

The disadvantage of the scientific evaluation is the time, money, and effort required to perform it. Moreover, the application of scientific procedures to the field of human behavior has proved difficult. The quantification of human behavior presents serious

problems. More serious still is the difficulty of controlling for the myriad influences and changes in the social world that affect the outcome of social experiments. Control groups are not always possible, nor even ethical. Consequently, in addition to the time, money, and effort required for scientific evaluation, the lack of well developed methodologies is a considerable disadvantage to the scientific approach.

3.2 The Relationship of Evaluation to the Planning of Criminal Justice Projects

Planning and evaluation are closely intertwined. Each provides input to the other. Planning is a cyclical event in which the evaluation of past results and the development of future evaluation play an integral role at each step. The following six steps describe development of a project:

- Defining the problem to be solved
- Establishing goals and objectives
- Defining the alternative approaches to reaching objectives
- Selecting an approach from among the alternatives
- Implementing the program or project
- Evaluating the results of the program or project

3.2.1 Definition of the Problem

Defining a social or criminal problem to be solved does not, at first glance, seem to be a difficult task. But there is an important difference between simply identifying a problem and defining it. To say that there is a problem of juvenile delinquency, of burglary, or of organized crime, identifies the problem, but labeling the problem does not describe the nature of it. There are many types of juvenile delinquency or burglary, many contexts in which it can occur, and many places that it can affect more seriously than others. In defining a problem, these issues must be taken into account. Furthermore, problems should be defined in numerical terms so that from the very outset, the effect of any project on the problem can be easily detected.

3.2.2 Establishment of Goals

Establishing goals and objectives of programs and projects is an essential step; for having defined the problem, it is then necessary to determine precisely what should be done about it. In criminal justice planning, most program goals and objectives are a reduction in criminal behavior—whether by preventing it, detecting and apprehending the offender, reducing recidivism, or adjudicating it more swiftly. The goal of reducing some form of criminal behavior may be achieved by improving some aspect of the criminal justice system or by creating some new crime corrective program or both. In any case, the goal should be stated in precise and, where possible, numerical terms and should include: the types of criminal behavior to be reduced, the amount by which it is to be reduced, and the geographical location in which it is to be reduced.

There is a great deal of confusion in the field of criminal justice about goals and objectives. These same words are used to mean so many different things. So important is the concept of *immediate objectives* to the evaluation of projects that the subject warrants special attention.

For the purpose of evaluation, the term "immediate objectives" refers to the intended specific change—an increase or decrease in something—to be brought about in the real world as a result of the project.

3.2.3 Formulation of Alternative Approaches

Defining the alternative approaches to reaching the stated goal involves (1) identifying probable or contributory causes of the problem and (2) selecting or designing approaches that will effectively deal with some or all of these causes. Evaluation of past efforts plays a significant role in determining which approaches prove successful and which approaches have consistently failed. Detection and apprehension programs may, for example, prove effective in reducing some contributory causes but not in reducing other cases. Rehabilitation programs may prove, on the whole, more effective against the root causes than preventive efforts. Based on past evaluations, alternative approaches to reaching specified goals can be more clearly examined.

Each project is expected to contribute in some way to solving one of these problems:

- The prevention of crime
- The detection and apprehension of criminals
- The adjudication of criminal cases
- The correction and rehabilitation of offenders
- The research and evaluation of criminal justice activities.

The solutions for these problems may be divided into two general approaches:

- improving the criminal justice system so that it can perform normal activities better (called "systems maintenance projects");
- creating new activities to solve specific crime problems (called "crime correction projects").

Most equipment purchases and training projects are considered *systems maintenance projects* because they enhance or improve already existing agencies or facilities. The idea behind the systems maintenance approach is that if the whole criminal justice system is operating at its most efficient level, crime may be brought under control.

New activities, such as drug crisis centers or half-way houses, are considered *crime correction projects* because they create new agencies or facilities or use new techniques to solve a problem. The idea behind these projects is to bring new ideas and technical innovations into the criminal justice system.

All criminal justice projects may therefore be categorized according to their particular approach to a particular problem area as in Table 1.

In planning and evaluating criminal justice projects, this table may be helpful in identifying the immediate objectives of each project—that is, what changes in the system or in crime are expected in what part of the law enforcement system as a result of the project. Once the immediate objectives of a project are known, it can then be evaluated for its effectiveness in meeting its own *immediate objectives* rather than in meeting the overall objective of reducing crime. (To determine what effect all projects

TABLE 1

Problem Area	Prevention	Detection/ Apprehension	Adjudication	Corrections/ Rehabilitation	Research Evaluation
Systems Maintenance					
Crime Corrective					

have had on reducing overall crime is a task that may require years of experience and data.)

3.2.4 Selection of an Approach

The selection of one approach from among alternatives may be based upon past evaluations or upon a desire to try a completely new approach. In either case, the approach selected has a direct bearing on the future evaluation of the effort for it determines the "immediate objectives" of the future project—that is, it defines which problem causes are to be affected in what way. As with goals, the immediate objectives of the approach selected should be clearly specified in numerical terms wherever possible. The immediate objectives should include statements of what causes of the problem are going to be affected, how these causes are going to be affected, how much these causes are going to be affected, and in what geographical area they will be affected.

3.2.5 Implementation of the Project

The implementation of the project must also be the beginning of evaluation data collection. For only when proper baseline data are collected can the effect of the project be measured. In addition, many problems in implementing projects—such as delays in receiving equipment or delays in staffing— can be anticipated on the basis of past evaluation of similar projects.

3.2.6 Evaluation of the Results

The final step in planning is the actual *evaluation of the project* in order to assess its means, methods, and accomplishments. This evaluation is performed on the basis of data collected throughout the project and the results may then be compared with other projects and serve as input to the next planning cycle.

3.3 An Evaluation Schema for Criminal Justice Projects

Criminal justice projects, because they are experiments, can be evaluated in much the same way that a chemist or biologist would evaluate a laboratory experiment. The three important elements of an experiment are:

1. *The MEANS* -- the personnel and equipment brought together for the project
2. *The METHODS* -- the activities or operations performed by the personnel and equipment
3. *The ACCOMPLISHMENTS* -- the results of these activities and operations and the degree to which expected results were realized.

Figure 2 demonstrates how each of these elements leads to the next (and for our purposes it may be possible at some later date to determine how the accomplishments of projects lead to achieving the overall objectives of reducing crime).

In evaluating an experiment to (say) find a cure for some disease, a chemist would identify the means employed, the chemicals he uses, the equipment necessary and, of course, himself and whatever assistants he might have. He would then identify the methods he employed -- how the chemicals were mixed, in what amounts, and how they were injected into the test animal. He would then record the immediate results -- whether the animal recovered, died of the disease, died of the chemicals, or experienced side effects. Only later, after the chemical had been perfected on humans and widely distributed would it be possible to determine whether he had achieved the *overall* objective of curing humanity of the disease. But in evaluating the effectiveness of the experiment, it is enough to know whether he accomplished his immediate objective of successfully curing the test animal.

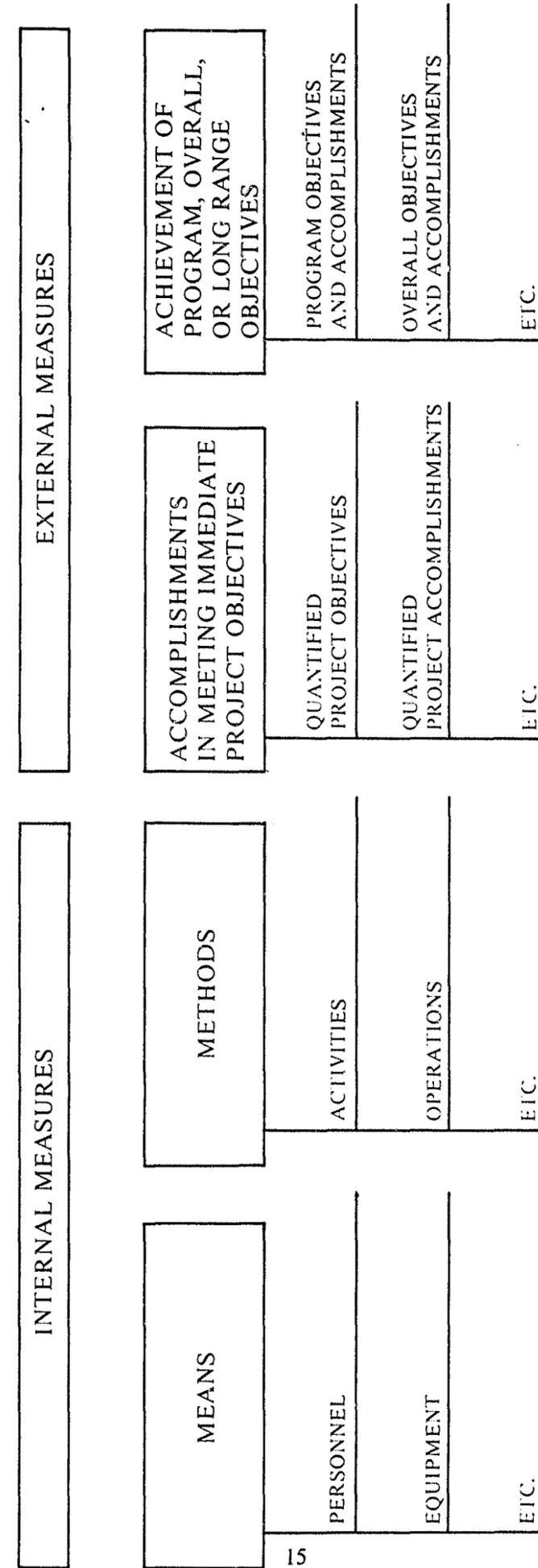
It is in just this way that so much progress has been made in the sciences; and it seems likely that in this way progress can be made in improving criminal justice.

Like the scientist in this example, we are, in a sense, working on one of two animals: either the animal called the criminal justice system or the animal called crime (or some specific crime). The immediate objectives of our projects are to bring about some change in the animal. The following examples will illustrate the point:

EXAMPLE #1 EQUIPMENT PURCHASES FOR POLICE DEPARTMENTS

In most cases, these projects fall under the category of detection and apprehension. More often than not, the equipment purchased is for systems maintenance -- such items as hand radios or other communications equipment. The objectives of such projects are *not* "to purchase X piece of equipment" just as it was not the objective of our scientist's experiment to purchase his chemicals. In both cases, these were *means*. In the case of equipment purchases, the methods of use are obvious and do not need to be specified. *The objectives of such equipment are typically to reduce response time and to reduce the amount of time that officers*

FIGURE 2
AN EVALUATION LOGIC SEQUENCE



are out of communication.

It is possible for equipment purchases for police departments to be crime corrective in nature. The purchase of new, non-standard equipment such as alcohol or drug detectors. Once again, the objective is *not* "to purchase X equipment." The equipment is a means. In this case, the method of using the equipment does need to be specified. *The objectives of this type of equipment are to increase the detection and apprehension of specific kinds of violations (e.g., alcohol and drug abusers).*

EXAMPLE # 2 TRAINING PROGRAMS

Training programs occur in all areas of the criminal justice system from prevention to corrections. In most cases training programs are systems maintenance programs in that they seek to improve functions already being carried out by the system. In the case of training, the *means* are the personnel to be trained. The *methods* are the type and extent of training. The objectives are *not* to send X persons for training. *The objectives of training programs are to improve the performance of the persons to be trained.* Such improved performance should be reflected in some concrete measure of the person's job performance — such as better arrests, better evidence collection, better report writing, a change in procedures for handling certain problems. Such changes in performance are observable and are evidence of the effectiveness of training.

EXAMPLE #3 SPECIAL TREATMENT CENTERS AND FACILITIES

Many projects involve the construction or development of special treatment centers such as crisis centers, drug rehabilitation homes, juvenile detention homes, PAL program, etc. These projects typically appear in prevention, rehabilitation, or occasionally the adjudication categories. They are nearly all crime corrective projects that attempt to redirect offenders or potential offenders away from unhappy contact with the criminal justice system. (An example of a systems maintenance project of this type would be the purchase of new facilities of some type for already existing institutions.)

In the case of crime corrective special treatment centers, the *means* are the people and facilities brought together in the project. The *methods* are the kinds of treatment or activities engaged in with offenders. The objectives are not simply to establish the center. Rather, the objectives of such programs are normally to reduce future criminal behavior. In order to demonstrate the effectiveness of such projects, it is clear that some follow-up will be necessary on those who were treated.

These examples are provided in the hope that they will be useful in clarifying the real objectives of planned projects. Since a clear statement of project objectives is required in grant application forms and since it is against those objectives that the effectiveness of projects will be measured, it might be helpful to refer back to FIGURE #2 and attempt to fill in the *means, methods, and accomplishments* for any project as it is planned.

WHAT IS EVALUATED?

1 THE CONCEPT OF EVALUATION

1. Personal Evaluation
2. Clinical Evaluation
3. Scientific Evaluation

2 THE RELATIONSHIP OF EVALUATION TO THE PLANNING OF CRIMINAL JUSTICE PROJECTS

1. Definition of the Problem
2. Establishment of Goals
3. Formulation of Alternative Approaches
 - Systems Maintenance
 - Crime Corrective
4. Selection of an Approach
5. Implementation of the Project
6. Evaluation of the Results

3 AN EVALUATION SCHEMA FOR CRIMINAL JUSTICE PROJECTS

1. The Means
2. The Methods
3. The Accomplishments

4.0 How Is It Evaluated: The Standardized Planning and Evaluation Component (SPEC) System

The ICJPA Standardized Planning and Evaluation Component System (SPEC) is designed to ensure that LEAA funded grants will yield an optimal level of law enforcement and crime prevention for each dollar spent. The evaluation system relies heavily on project directors for the timely and accurate submission of project information.

4.1 What SPEC Evaluates

There are three important features to any criminal justice project; and it is these three features that are evaluated in the SPEC system.

- Project management and organization
- Project effectiveness
- Project impact

4.1.1 Project Management and Organization

No project, however well conceived, is likely to improve the quality of the criminal justice system if it is not well managed. It is therefore vital to evaluate the management of projects and to ensure that each project begins on time, that it is organized and carried out in the manner explained in the grant application, that deadlines specified in the application are met, and that accurate reports are submitted on time.

The evaluation of project management is not merely a monitoring function. Indeed, the way a project is organized and managed may well determine its success or failure. In addition, there are occasional delays in beginning projects while some never get off the ground at all because of delays in receiving equipment or in finding qualified personnel for key slots. It is important to take note of these problems so that in planning for future projects of the same type, these delays may be avoided or at least anticipated. Similarly, there are often delays in submitting reports; and, whether through haste or disinterest, reports are at times vague or incomplete. It is especially important to evaluate the timeliness and completeness of project reports so that any incompleteness of information may be quickly corrected; for it is upon the timely and complete reporting of project information that the entire evaluation system rests.

4.1.2 Project Effectiveness

Simply put, the evaluation of project effectiveness is a comparison of what the project actually accomplished and set out to accomplish. The identification of real world accomplishments is, unfortunately, not simple.

Any change in the real world can, in theory, be measured and described in numbers. Further, any such change can, in theory, be shown to be the result of other changes. Theory is one thing; practice is another.

In the real world, there are so many complex interrelationships that it is usually

difficult to say with any great confidence that one change is the direct result of the other change we make. And too, the numbering or quantification of everything in the world — especially the social world — is at best difficult and at worst simply not worth the effort.

For these reasons, the SPEC system relies on both objective (numbered) data where possible and subjective (opinion based on experience) data where numbered data is impractical. The kinds of objective and subjective data required do, of course, vary according to the type of program and project. Data requirements for each program are listed in Section 4.0, Evaluation data requirements. These requirements have been examined by persons experienced in each program and are thought to be valuable not only in evaluating projects but also in managing and operating them. Collecting the data should therefore be viewed as an integral part of project activities: a tool and not a burden.

When evaluating the effectiveness of individual projects, the ICJPA evaluation staff will compare the *results* of a project with its *immediate objectives* as stated in the grant application. For that reason, it is desirable that the statement of immediate objectives in the grant application address all the items listed in the evaluation components. Any immediate objective mentioned in the application that does not directly correspond to an item listed in the evaluation component should be accompanied by an explanation of how the achievement of that objective will be measured.

Finally, knowing the immediate objectives and then the results of a project is not very useful unless the ICJPA Evaluation staff also knows the means and methods by which these results were achieved.

Therefore, a detailed explanation in the grant application of project personnel, equipment, design, organization, and projected activities is essential. Only when project means, methods, objectives, and results are compared can ICJPA plan future programs that yield the best results for the least public money.

4.1.3 Project Impact

The impact of a project refers to its consequences on the whole problem and the whole community. Impact is distinct from effectiveness; for while a project may prove very effective on a small scale, the problem in the community may be of such large scale that the project has very limited impact. In such a case, it may be desirable to increase the size of the project in order to handle the whole problem.

Another type of impact involves community reactions to the project. Certain types of projects may provoke strong community reactions — either favorable or unfavorable. It is obviously important to know when such reactions occur.

A third type of impact is the consequence of the project on other aspects of the criminal justice system. If by effectively apprehending more criminals, for example, a project overloads the prosecutor's office or the court docket, then such a project needs to be matched by other prosecution and court projects in order to have the greatest desirable impact. Conversely, a rehabilitation project, as another

example, may be of completely adequate size and so effective that prosecutor and court caseloads are substantially reduced. In either case, the consequences of a project on other aspects of the criminal justice system are important for future planning.

4.2 Reports of the SPEC System

4.2.1 The Purpose of the Reports

Because management, evaluation, and planning are so closely linked, the evaluation of the organization, effectiveness, and impact of the various criminal justice projects must take place within the Indiana Criminal Justice Planning Agency itself. The planning Agency has, for that reason, established an evaluation staff as a part of its Planning Division.

Due to a large number of criminal justice projects (nearly 1000 each year) it is physically impossible for the state evaluation staff or the regional staff to visit each and every project in order to collect the information necessary for a proper evaluation staff or the regional staff to visit each and every project in order to collect the information necessary for a proper evaluation. Consequently, a comprehensive system on project reports has been devised. These reports serve several purposes at once:

- they provide project directors with guidelines for data collection useful in the management of the project
- they provide fiscal administrators with sufficient information to review and record project expenditures
- they provide program coordinators with sufficient information to review and compare project problems and progress
- they provide the evaluation staff with sufficient information to evaluate and compare projects and programs.
- they provide regional administrators with sufficient information to review project management and performance.

The importance of these reports to all phases of the management, planning, and evaluation of Indiana criminal justice projects requires that all reports be submitted completely, accurately, and on time. Failure to submit required reports will reflect directly on the quality of project management and may produce unnecessary administrative and financial delays.

4.2.2 Types of Reports

The reports required in the SPEC System include the following:

1. Grant Application
2. Quarterly Reports
3. Effectiveness Report
4. Impact Report

4.2.2.1 A *Grant Application* will be required for each criminal justice project requesting funds from the Indiana Criminal Justice Planning Agency. (Copies of Grant Application Forms are available in Appendix A.) It is upon the basis of this application that funding will be awarded or denied; and it is upon the basis of information contained in this application that the evaluation staff will begin the evaluation procedure.

4.2.2.2 *Quarterly Reports* will be required from each criminal justice project. (Copies of the Quarterly Report Forms are available in Appendix B.) On the basis of these reports project expenditures, activities, and problems will be reviewed and compared to the Grant Application in order to determine the quality of project management and organizations.

4.2.2.3 An *Effectiveness Report* will be required of each criminal justice project. This report will contain information regarding the means, methods, and accomplishments of the project. It will be compared to the Grant Application and Quarterly Reports in order to determine the effectiveness of the project.

4.2.2.4 An *Impact Report* will be required of all criminal justice projects employing federal funds in excess of \$5,000. This report will be reviewed in order to determine the impact of the project on the problem, the community, and the criminal justice system.

4.3 Reporting Requirements

Evaluation is a costly and time-consuming enterprise. It requires project directors to collect data and file reports, regional staffs to assist project directors and review reports, and evaluators to examine and weigh the reports. Because some projects are relatively small, inexpensive and simple, while others are large, expensive and complex, it seems unreasonable to apply the same exhaustive evaluation effort (and cost) to each and every project. For that reason, the SPEC system distinguishes three levels of projects according to the amount of federal funding they receive:

- *LEVEL A PROJECTS* include those projects supported by less than \$5,000 of federal funds.
- *LEVEL B PROJECTS* include all those projects supported from \$5,000 to \$25,000 of federal funds.
- *LEVEL C PROJECTS* include all those projects supported by over \$25,000 of federal funds.

Each project level is evaluated with an intensity proportional to the amount of federal funding involved. In other words, the more federal money, the greater the evaluation effort. Consequently, reporting requirements vary slightly according to level of funding.

4.3.1 Reporting Requirements for Each Project Level

4.3.1.1 *Level A Projects* (under \$5,000 of federal funding) are required to submit the following reports:

- Grant Application
- Quarterly Reports
- LEVEL A Effectiveness Report

Because these projects are typically small equipment purchases or training projects, the LEVEL A Effectiveness Report (see Section 5.1) is a brief report on the outcome of the project and requires a minimum number of forms. Moreover, because these projects are limited in scope, no Impact Report is required.

4.3.1.2 *Level B Projects* (between \$5,000 to \$25,000 of federal funding) are required to submit the following reports:

- Grant Application
- Quarterly Reports
- LEVEL B Effectiveness Report
- Impact Report

Because these projects are significant in size and scope a considerably greater evaluation effort is expended. While the Grant Applications and Quarterly Report requirements remain the same as for LEVEL A, the Effectiveness Report for LEVEL B projects requires considerably more data to be reported. Not only must the project director respond to all questions on the LEVEL B Effectiveness Report (see Section 5.2), he must also supply, as part of the Effectiveness Report, all the data requested in the Evaluative-Data Requirements (Section 4.0) that pertain to his specific program. In addition, and with the assistance of the Regional Staff, he must submit a brief Impact Report (see Section 5.2).

4.3.1.3 *Level C Projects* (over \$25,000 of federal funding) are required to submit the following reports:

- Grant Application
- Quarterly Reports
- LEVEL C Effectiveness Report
- Impact Report

Because these projects are major efforts, they receive the maximum evaluation effort. It is anticipated that projects of this size will include an evaluation advisor as a staff member or consultant. Thus, the reporting requirements for LEVEL B Projects are identical to those for LEVEL C Projects with the exception that the LEVEL C Effectiveness Report and date requirements will be viewed as minimum requirements.

The grant application for projects over \$25,000 must be provided a specific description of an evaluation plan that will meet the minimum specific requirements.

Since in most cases the evaluation will be developed by professionals for the needs of the particular project it is expected that usually data in addition to the minimum requirements will be collected and reported. As with LEVEL B Projects, and Impact Report filled out (if necessary with the assistance of a consultant or the Regional Staff) is required.

4.3.2 General Content of Reports

We have identified the reports that are required of projects at each of the three funding levels, and we have identified how these reports will be used. We now turn to the content of each of the reports. Each report contains a wide variety of information about the project. Therefore, for the purpose of clarity, the following figures restrict themselves to the information from each report that will be used in the evaluation of the project. In order to further simplify matters, Figure 3 lists the evaluation content of reports required from LEVEL A Projects. Figures 4 and 5 list the evaluative content of reports required from LEVEL B and C Projects, respectively.

In order to supply this information completely and adequately, project directors may desire occasional assistance from regional or state staff. While such a reporting procedures may seem burdensome and time consuming at first glance, the advantages to be gained from carefully thinking the project out and accurately reporting its results have been proved time and again in science, in business, in industry, and in government.

4.4 Reporting Procedures

4.4.1 General

All required reports are generated at the project level. Project directors are responsible for the accurate and timely submission of each report. In order to simplify the process and avoid possible confusion over which reports and forms are required when, each project director will be given a reporting package at the time his project is approved for funding. This package will contain all Quarterly Report Forms required of him as well as all Effectiveness and Impact Report Forms appropriate to his project.

All reports will follow the same general flow: the project director will forward them to the regional office; the regional office will review them for completeness and forward them to the state office; the state office will review them, take any necessary action, and file them in the permanent record of the project. Much of the data will ultimately be filed in a computer for easy recall and rapid comparison. Summaries and analysis of the data will be provided to regional staffs, program coordinators, planners, and LEAA.

4.4.2 Specific

Just as projects differ in the amount of federal funding they involve, so do they differ in schedules. Some projects extend throughout the year. Others last only one or two months. For this reason it is worthwhile to explain in detail exactly when reports will be due from various projects.

4.4.2.1 *Grant Applications* are, of course, required at the outset of each project. This is a necessary first step. Grant Applications are typically filed in coordination with the regional staff.

4.4.2.2 *Quarterly Reports*, covering activities of the previous three months, are required at the close of each fiscal quarter — that is, quarterly reports are due on 1 October, 1 January, 1 April, and 1 July each covering the three months preceeding. The first quarterly report is due at the close of the *first full quarter* after the project approval date. Thus, project directors submit quarterly reports according to the following schedule:

PROJECT APPROVED IN:	FIRST QUARTERLY DUE
Jan, Feb, Mar.	31 MARCH
Apr, May, Jun.	31 JUNE
Jul, Aug, Sep.	30 SEPTEMBER
Oct, Nov, Dec.	31 DECEMBER

Similarly, the last quarterly report is due at the end of the quarter in which the project terminated. In order to simplify reporting dates, quarterlies will be marked with a due date when delivered in the reporting package to project directors. Because projects vary in lifetime, not all projects will submit the same number of reports. The reporting months, however, will remain the same. In the event a project requires a grant continuation, additional quarterly reporting forms will be provided upon approval of the continuation.

4.4.2.3 *The Effectiveness Report* is required along with the third or last quarterly report, whichever comes first. Thus, if a project extends for a full year, the Effectiveness Report is due along with the *third* quarterly. If, on the other hand, the project lasts from only three to six months (as is the case with many LEVEL A Projects), the Effectiveness Report is due along with the *last* quarterly. In the event a project requires a grant continuation, a new data will be set for submission of the Effectiveness Report.

4.4.2.4 *The Impact Report* required of LEVEL B and C Projects will in all cases be submitted with the Effectiveness Report. Special circumstances surrounding complex projects or those with an unusual time schedule may require deviation from the schedules identified above. In such cases a specific schedule will be developed in advance the consultation between ICJPA and the project staff. Absent such a specific advance agreement the routine reporting schedule will be followed.

4.5 Summary of the SPEC System

The Standardized Planning and Evaluation Component (SPEC) System is

designed to ensure that LEAA funded grants will yield an optimal level of law enforcement and crime prevention for each dollar spent.

In order to attain this objective, the SPEC system evaluates these aspects of each criminal justice project:

- project management and organization
- project effectiveness
- project impact.

Evaluation is performed by a special staff of the Indiana Criminal Justice Planning Agency on the basis of information provided to them by project directors through a comprehensive system of reports. These reports include:

- Grant Application
- Quarterly Reports
- Effectiveness Report
- Impact Report.

While the general reporting requirements apply to all projects, the extent of effectiveness and impact data required increases with the level of federal funding devoted to the project. Three levels of projects are established:

- LEVEL A PROJECTS (\$5,000 or less of federal funding)
- LEVEL B PROJECTS (\$5,000 to \$25,000 of federal funding)
- LEVEL C PROJECTS (\$25,000 of federal funding)

Each project director will be provided with a reporting package containing all required reports with due dates appropriate to the length of the project. All reports are forwarded to the ICJPA regional office and thence to the Central Office of the Indiana Criminal Justice Planning Agency.

Three features of a project are evaluated

EVALUATION



<p>Project Management And Organization</p> <ol style="list-style-type: none"> 1. Scheduling 2. Costing 3. Grant Application Guidelines 4. Personnel 5. Reporting 6. Accuracy 	<p>Project Effectiveness</p> <ol style="list-style-type: none"> 1. Accomplishments 2. Objective Data 3. Subjective Data 4. Objectives 5. Methodology 	<p>Project Impact</p> <ol style="list-style-type: none"> 1. Community 2. The Problem In General 3. Community Reactions 4. Other Parts Of CJS
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REPORTING REQUIREMENTS

PROJECT LEVELS

A PROJECTS RECEIVING LESS THAN \$5,000 FEDERAL FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL A Effectiveness Reports

B PROJECTS RECEIVING BETWEEN \$5,000 AND \$25,000 IN FEDERAL FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL B Effectiveness Report
4. Impact Report

C PROJECTS RECEIVING OVER \$25,000 FEDERAL FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL C Effectiveness Report
4. Impact Report

THE REPORTING PROCESS OF THE SPEC SYSTEM

1 THE PURPOSES OF THE REPORTS:

1. To provide project directors guidelines for data collection useful in the management of the project
2. To provide fiscal administrators sufficient information to review and record project expenditures
3. To provide program co-ordinators sufficient information to review and compare project problems and progress
4. To provide the evaluation staff sufficient information to evaluate and compare projects and programs
5. To provide regional administrators sufficient information to review project management and performance

2 THE TYPES OF REPORTS

1. Grant Application
2. Quarterly Reports
3. Effectiveness Report
4. Impact Report

REPORTING PROCEDURES

1 GENERAL

Project directors are responsible for accurate and timely submission of the reports. When a project is approved for funding, the project director receives an evaluation package containing all reports necessary for that project.

The project director submits all reports to the regional office.

The regional office reviews the reports and forwards them to the state office.

The state office reviews the reports, takes any necessary action and files the reports with the permanent record of the project.

2 SPECIFIC

1. GRANT APPLICATION

Filed at the outset of the project.

2. QUARTERLY REPORTS

Filed at the close of each fiscal quarter —
1 October, 1 January, 1 April, 1 July.

The first Quarterly Report is due at the close of the first full quarter after the project approval date.

The last Quarterly Report is due at the end of the quarter in which the project terminates.

3. EFFECTIVENESS REPORT

Filed along with the third or the last Quarterly Reports — whichever comes first.

4. IMPACT REPORT

Filed by LEVEL B and C projects with the Effectiveness Report.

FIGURE 3

CONTENTS OF LEVEL A REPORTS

GRANT APPLICATION	QUARTERLY REPORTS	LEVEL A EFFECTIVENESS REPORTS
Detailed statement and description of problem with statistical evidence where possible	A report on milestones and deadlines achieved including explanations of any delays	A report on the extent to which the project succeeded in meeting its immediate objectives
Outline of the overall goals of the project including how the project relates to program objectives	A report on methods organization, and activities developed to date	Appropriate training or equipment forms
Detailed statement and description of project's immediate objectives	A discussion of any problems encountered in implementing project activities	
A workplan of the project whereby the immediate objectives will be accomplished (including methods, organization, activities planned, dates, milestones, and deadlines)	A report of itemized expenditures to date	
A description of the methods evaluation information will be collected including the means by which the success of the project in meeting its immediate objectives will be measured, what data will be collected (See evaluation components), and how data will be collected	An explanation of any changes or deviations from the project workplan as submitted in the grant application form including changes in immediate objectives or changes in methods, organization, or activities	

FIGURE 4

CONTENTS OF LEVEL B REPORTS

GRANT APPLICATION	IMPACT REPORT	LEVEL B EFFECTIVENESS REPORT	QUARTERLY REPORTS
Detailed statement and description of problem with statistical evidence where possible	A report on milestones and deadlines achieved including explanations of any delays	A report on the extent to which the project succeeded in meeting its immediate objectives	A report of any notable consequences of the project on other agencies of the criminal justice system
Outline of the overall goals of the project including how the project relates to program objectives	A report on methods organization, and activities developed to date	All information requested in the program information requirement with appropriate forms	A report of any difficulties with criminal justice or community administration
Detailed statement and description of project's immediate objectives	A discussion of any problems encountered in implementing project activities	A report on any influences outside the project that might account for the positive or negative results	A report of any community reactions to the project — either positive or negative
A workplan of the project whereby the immediate objectives will be accomplished (including methods, organization, activities planned, dates, milestones, and deadlines)	A report of itemized expenditures to date An explanation of any changes or deviations from the project workplan as submitted in the grant application form including changes in immediate objectives or changes in methods, organization, or activities		A report on the size of the project compared to the size of the problem in the target community
A description of the methods evaluation information will be collected including the means by which the success of the project in meeting its immediate objectives will be measured, what data will be collected (see evaluation components), and how data will be collected			A report on the willingness and ability of the community to support the project without Federal Assistance
			An indication of whether the project would be applied to other communities
			A report on whether the Project (A) developed new law enforcement resources or whether it (B) used existing resources (if A, the extent on new resources, if B, did the project reduce other activities)

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Figure 5

CONTENTS OF LEVEL C REPORTS

GRANT APPLICATION	QUARTERLY REPORTS	LEVEL C EFFECTIVENESS REPORT	IMPACT REPORT
Detailed statement and description of problem with statistical evidence where possible	A report on milestones and deadlines achieved including explanations of any delays	A report on the extent to which the project succeeded in meeting its immediate objectives	A report of any notable consequences of the project on other agencies of the criminal justice system
Outline of the overall goals of the project including how the project relates to program objectives	A report on methods organization, and activities developed to date	All information requested in the program information requirement with appropriate forms	A report of any difficulties with criminal justice or community administration
Detailed statement and description of project's immediate objectives	A discussion of any problems encountered in implementing project activities	A report on any influences outside the project that might account for the positive or negative results	A report of any community reactions to the project — either positive or negative
A workplan of the project whereby the immediate objectives will be accomplished (including methods, organization, activities planned, dates, milestones, and deadlines)	A report of itemized expenditures to date	All additional evaluative information provided by project evaluation advisor or consultant	A report on the size of the project compared to the size of the problem in the target community
A description of the methods evaluation information will be collected including the means by which the success of the project in meeting its immediate objectives will be measured, what data will be collected (see evaluation components), and how data will be collected	An explanation of any changes or deviations from the project workplan as submitted in the grant application form including changes in immediate objectives or changes in methods, organization, or activities		A report on the willingness and ability of the community to support the project without Federal Assistance
			An indication of whether the project could be applied to other communities
			A report on whether the Project (A) developed new law enforcement resources or whether it (B) used existing resources (if A, the extent on new resources, if B, did the project reduce other activities)
			All additional evaluative information provided by project evaluation advisor or consultant

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5.0 Program Evaluation Data Requirements for FY73 Programs

ICJPA offers a wide variety of criminal justice programs. Because the programs differ widely from each other, the information required to evaluate each program differs. Therefore, the Effectiveness Report required of Level B and C Projects varies in content from program to program. Questions that can be asked of *all* projects are listed on the Effectiveness Report form. Information that can be asked only of projects in a single program are listed on the Program Evaluation Data Requirements. Thus, the Level B and C Effectiveness Reports are composed of two parts:

1. General questions listed on the Effectiveness Report (see Section 6.2 and 6.3)
2. Specific program data requirements appropriate to the project (see particular program in this section)

The reporting package delivered to Level B and C Project Directors will therefore include:

- All required Quarterly Reports
- Effectiveness Report (including data requirements for the appropriate program)
- Impact Report

This section focuses on and provides the data requirements for FY73 programs.

Questions asked on the *Effectiveness Report* forms should be answered in essay form on separate paper. Items of information requested on the *Program Data Requirements* sheet may be supplied either by short answers on a separate sheet or by completing the data forms indicated and provided as a part of the requirements.

When the Effectiveness Report is returned to the Regional Office, it should include:

1. The Effectiveness Report Form
2. Written responses to the questions of the Effectiveness Report
3. The Program Data Requirements Form
4. All data forms requested in the requirements
5. Written response to these items required that do not have data forms provided
6. Any other information useful in evaluating the project.

Items of information listed on the Program Data Requirements form are organized according to the means employed by the project, the methods adopted by the project, and the accomplishments realized by the project. These items have been reviewed by persons experienced in the various programs who believe that each project can reasonably be expected to provide such data. It is worth noting that the kinds of data requested correspond very closely to the information requested in the Grant Application. For a further discussion of the importance of project identifying means, methods, and accomplishments, see section 3.3.

EFFECTIVENESS REPORT SHOULD INCLUDE:

1. The Effectiveness Report Form
2. Written Responses to the Questions of the Effectiveness Report
3. The Program Data Requirement Form
4. All Data Required by the Data Requirements Form
5. All Data Forms Requested by the Data Requirements Form
6. Written Responses to Required Items That Do Not Have Forms Provided
7. Any Other Information Useful in Evaluating the Project

6.0 Summary of Reporting Requirements

The purpose of this section is to provide a summary of project reporting requirements for quick and easy reference. Each of the following subsections contains a general description of reporting requirements for the three levels of projects. In addition, a summary sheet is available followed by copies of the appropriate Effectiveness and Impact Reports.

Because Grant Applications and Quarterly Reports apply equally to all projects, copies of these forms are made available in Appendix A and B respectively.

6.1 Reporting Requirements for Projects of Under \$5,000 in Federal Funding

Reports required from criminal justice projects supported by less than \$5,000 of federal funds include the following:

- Grant Application
- Quarterly Reports
- Level A Effectiveness Report

As a part of the effectiveness report, training forms or equipment forms will be required depending upon the nature of the projects.

Copies of the Level A Effectiveness Report and training/equipment forms are provided following Figure 6 which presents a summary of Level A reporting requirements.

6.2 Reporting Requirements for Projects Valued from \$5,000 to \$25,000 in Federal Funding

Reports required from criminal justice projects supported by from \$5,000 to \$25,000 of federal funds include the following:

- Grant Application
- Quarterly Reports
- Level B Effective Report
- Impact Report

As a part of the effectiveness report, the program evaluation data requirements appropriate to the project (as provided in section 4.0 above) are required.

Copies of the Level B Effectiveness Report and the Impact Report are provided following Figure 7 which presents a summary of Level B reporting requirements.

6.3 Reporting Requirements For Projects of Over \$25,000 in Federal Funds

Reports required from criminal justice projects supported by over \$25,000 of federal funds include the following:

- Grant Application
- Quarterly Reports

- Level C Effectiveness Report
- Impact Report

As a part of the effectiveness report, the program evaluation data requirements appropriate to the project (as provided in section 4.0 above) are required. Additional information regarding project effectiveness is anticipated from projects of this size. Copies of the Level C Effectiveness Report and the Impact Report are provided following Figure 8 which presents a summary of Level C reporting requirements.

FIGURE 6 SUMMARY OF LEVEL A REPORTING REQUIREMENTS

REPORT REQUIRED	ORIGINATOR	DATE DUE	DELIVERY POINT
Grant Application	Project Director with Assistance from Regional Staff	Prior to Project Approval	Regional Office/ State Office
Quarterly Reports	Project Director	Each Fiscal Quarter Beginning with First <i>Full</i> Quarter; Ending with Quarter in Which Project Ends	Regional Office/ State Office
Level A Effectiveness Report	Project Director	With Third or Last Quarterly Report — Whichever Comes First	Regional Office/ State Office

FIGURE 7 SUMMARY OF LEVEL B REPORTING REQUIREMENTS

REPORT REQUIRE	ORIGINATOR	DATE DUE	DELIVERY DATE
Grant Application	Project Director with Assistance from Regional Staff	Prior to Project Approval	Regional Office/ State Office
Quarterly Reports	Project Director	Each Fiscal Quarter Beginning with First <i>Full</i> Quarter; Ending with Quarter in Which Project Ends	Regional Office/ State Office
Level B Effectiveness Report (including evaluation data requirements)	Project Director	With Third or Last Quarterly Report / Whichever Comes First	Regional Office/ State Office
Impact Report	Project Director with Assistance from Regional Staff	With Effectiveness Report	Regional Office/ State Office

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FIGURE 8 SUMMARY OF LEVEL C REPORTING REQUIREMENTS

REPORT REQUIRED	ORIGINATOR	DATE DUE	DELIVERY POINT
Grant Application	Project Director with Assistance from Regional Staff	Prior to Project Approval	Regional Office/ State Office
Quarterly Reports	Project Director	Each Fiscal Quarter Beginning with First <i>Full</i> Quarter; Ending with Quarter in Which Project Ends	Regional Office/ State Office
Level C Effectiveness Report (including evaluation data requirements and any additional evaluations data)	Project Director with Assistance from Evaluation Consultant or Regional Staff	With Third or Last Quarterly Report — Whichever Comes First	Regional Office/ State Office
Impact Report	Project Director with Assistance from Evaluation Consultant or Regional Staff	With Effectiveness Report	Regional Office/ State Office

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REPORTING REQUIREMENTS

PROJECT LEVELS

A PROJECTS RECEIVING LESS THAN \$5,000
FEDERAL FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL A Effectiveness Reports

B PROJECTS RECEIVING BETWEEN \$5,000 AND
\$25,000 IN FEDERAL FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL B Effectiveness Report
4. Impact Report

C PROJECTS RECEIVING OVER \$25,000 FEDERAL
FUNDING

Reports Required:

1. Grant Application
2. Quarterly Reports
3. LEVEL C Effectiveness Report
4. Impact Report

END

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