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LEAA
TWO-YEAR
EVALUATION
PLAN

(FY '77 - FY '78)

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OFFICE OF PLANNING AND MANAGEMENT
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
UNITED STATES DEPARTMENT OF JUSTICE



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LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

TWO-YEAR EVALUATION PLAN

FY'77 - FY'78

DECEMBER, 1976

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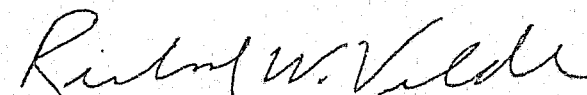
FOREWORD

Evaluation is an essential element of LEAA's program. Our mission is to help the States and local governments improve the effectiveness of their efforts to combat crime and improve the quality of justice. Innovative approaches to these problems must be carefully assessed in order to ascertain whether they are, in fact, efficient and effective ways of achieving the objectives set for programs and projects we support, whether their impact is adequate to the needs we face, and whether the responses are appropriate to our system of government and the rights of individuals - victims and accused alike - in a free society.

The importance of evaluation has been recognized by the Congress in LEAA's basic legislation. Evaluation was emphasized in the Crime Control Act of 1973 and reemphasized in the Act of 1976. LEAA heartily endorses that view and has continued to build and strengthen its own evaluation activities, encouraging at the same time State and local government evaluation initiatives.

This plan is the first publication of the overall evaluation program for the agency, describing in a single document major activities under our three evaluation subprograms. The Knowledge Program is designed to reduce the gap in what we know about effective responses to criminal justice problems. The Management Program guides LEAA in planning for and using evaluative information in directing the agency's programs. The Development Program provides technical and financial aid and assistance to State and local government criminal justice planning and operating agencies to help them develop the capabilities to meet their own needs in improving the performance and effectiveness of their programs and projects.

LEAA is confident that implementation of the activities described in this plan, which build on an already substantial record, will constitute a valuable aid to shaping society's response to crime and delinquency problems and actions to overcome the limitations in our criminal justice system's capacity to control crime and administer justice.


RICHARD W. VELDE
Administrator

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LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

TWO-YEAR EVALUATION PLAN

(FY '77 - FY '78)

I. INTRODUCTION

A. Purpose.

This two-year evaluation plan provides for the implementation of LEAA's evaluation program in FY 77 and FY 78. It is prepared pursuant to LEAA Instruction 2300.5: ADDITIONAL GUIDANCE TO SUPPORT THE CONTINUED IMPLEMENTATION OF THE LEAA EVALUATION PROGRAM. It sets forth LEAA's plan for pursuing evaluation policy goals through program evaluations, an evaluation assistance program to aid state and local criminal justice agencies build their evaluation capabilities and a system for analyzing, organizing, disseminating and utilizing evaluation results, both in LEAA and for the criminal justice community.

B. The Policy Goals of the LEAA Evaluation Program.

LEAA considers it to be of the highest priority that evaluation be made an integral part of the LEAA program at all levels. The measurement of the effectiveness of the programs supported by LEAA funds is one of the highest priorities. The objective of such evaluations is to learn whether programs and projects are having the effect intended, and whether they are cost-effective. The programs which LEAA supports are to be designed so that their results can be measured. The results will be made available to those who need them outside LEAA, and will also be used by LEAA managers to improve programs, in planning future research and evaluations, and in new program design and development. To accomplish this LEAA has adopted the following three policy goals for its evaluation program:

The KNOWLEDGE GOAL: To develop information on effectiveness of criminal justice programs and practices.

The MANAGEMENT GOAL: To have all LEAA program managers employ management practices which use evaluative information in formulation and direction of their activities.

The DEVELOPMENT GOAL: To encourage all agencies in the criminal justice system to develop and utilize such evaluation capabilities.

C. Objectives.

To implement LEAA's policy goals in FY 77 and FY 78
LEAA will --

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1. Increase the number of intensive evaluations of LEAA funded programs. (Knowledge Program)
2. Implement an improved system for analyzing, synthesizing and disseminating evaluation findings to the criminal justice community. (Knowledge program)
3. Undertake additional research to develop improved evaluation methodological approaches and techniques to meet criminal justice problems and program needs. (Knowledge Program)
4. Complete the implementation of an improved evaluation planning system to incorporate planning for evaluation activities into LEAA's Management-By-Objectives program planning cycle. (Management Program)
5. Implement an evaluation utilization system in LEAA in order to make evaluation results available to program planners and managers and to provide for the use of evaluative information in guiding technical assistance and program development, implementation and management. (Management Program)
6. Develop and implement criteria and standards for evaluation plans and procedures in comprehensive state criminal justice plans. (Management Program)
7. Provide evaluation training to LEAA, SPA, RPU and LPU personnel. (Development Program)
8. Provide increased technical assistance to encourage the development of state and local evaluation capabilities. (Development Program)
9. Provide increased financial support for high quality state and local evaluations to assist the development of their evaluation capabilities. (Development Program)

D. Resource Allocations.

Staff efforts and resources allocated to the achievement of these objectives are summarized in the following table. Staff efforts are reported in this and all subsequent tables in terms of professional person years, that is, 10 P/Y is equal to the full-time dedication of ten professional staff members for one year. Monies reported represent resources allocated to external assistance - consultants, grantees and contractors - and are exclusive of LEAA salaries and supporting services. FY 76 figures include the transitional quarter between the former Federal Fiscal Year (July-June) and the new Fiscal Year (October-September).

Budget Summary: LEAA Evaluation Program FY 77-FY 78
(\$ in thousands; LEAA staff in person/years)

	FY 76		FY 77		FY 78	
	\$	P/Y	\$	P/Y	\$	P/Y
Knowledge Program:	11,585	12.80	11,245	16.35	15,580	17.40
Management Program:	1,845	4.00	1,600	16.25	1,615	17.00
Development Program:	1,285	5.20	800	8.95	3,685	19.00
Totals	\$14,715	22.00	\$13,645	41.55	\$20,880	53.40

The full impact of intensified efforts is not reflected in FY 77 figures because redesign and development of major subprograms must be completed before full implementation can occur. This will be accomplished before FY 78 begins.

E. Expected Results.

LEAA's evaluation program, projected beyond this two-year plan, through the agency's current three year authorization to the conclusion of FY 79, should result in the following accomplishments:

1. Significantly narrowing the crucial gaps in knowledge about effective ways to deal with crime and delinquency problems and methods to improve the performance and quality of the criminal justice system. Critical areas include -

delinquency prevention and juvenile diversion, the relationship of drug abuse and crime, crimes against the elderly, effective police strategies and punishment policies that will deter crime, apprehension and incarceration of career criminals, reduction of court congestion, fair and effective approaches to pre-trial release and to probation, assistance to victims/witnesses of sensitive crimes (rape, child abuse, etc.), effective correctional programs in institutions, rehabilitation of ex-offenders, and parole policies.

In addition LEAA will have evaluated the cost/effectiveness of major law enforcement and criminal justice information systems and statistics programs. With LEAA support, a number of innovations of national importance and interest initiated at the state and local level will have been evaluated to assess their success.

Although significant progress will have been made in these areas by the close of FY 79, for the foreseeable future there will remain major gaps in knowledge in the more difficult fields such as crime deterrence, rehabilitation, correctional programs and delinquency prevention.

2. The criminal justice community and LEAA program managers will have ready access to current knowledge and data through a criminal justice information storage and retrieval system and data archives that have the ability to respond promptly to the needs of planners and operational agencies with relevant information in readily usable form. In addition, effective technical assistance will be available to aid in the use of that information in planning, analysis, and improvement of programs and operations.

3. Substantial improvement will have been made in techniques for developing needed data, in performance measurement of criminal justice programs, and for the analysis of crime and criminal justice data to detect changes and anticipate future needs and situations that will have to be planned for in order to continue to combat crime effectively and improve the quality of justice. However, some problems will still require extensive additional effort, particularly the problem of developing reliable measures in such behavioral areas as juvenile and criminal motivation and rehabilitation.

4. Routine planning for monitoring and evaluation of LEAA programs will be incorporated into LEAA program management in order to provide information needed to assess and improve program efficiency and effectiveness.

5. Use of research and evaluation findings by LEAA program developers, planners and managers will be routine, guiding program decisions and activities.

6. By the end of FY 79 LEAA will have supported the training of approximately 3,000 criminal justice personnel in a range of evaluation responsibilities, ranging from the conduct of intensive evaluations by professional staff to the use of evaluative information in program improvements and resource allocation decisions.

7. An effective system for assessing the likely effectiveness and impact of criminal justice programs supported by Federal funds will be institutionalized in LEAA's management of the block grant program.

8. There will be a substantial improvement in the evaluation capabilities of state and local planning agencies, sufficient to enable them to evaluate priority criminal justice programs, to monitor effectively all other programs covered in their comprehensive plans, and to support operating agencies who need evaluative information. The gap will not have been closed by the end of FY 79, but effective and useful evaluation activity will be a common and visible result, manifestly useful to those who desire systematic approaches to improving the performance of their operations.

9. There will be a substantial and effective partnership program that provides evaluation technical assistance to planning and operating agencies. It will help meet continuing efforts to improve criminal justice planning, management and operations, aid in efforts to improve state and local evaluation capabilities, assist in addressing special evaluation problems, and will help operational agencies obtain routine feedback on program activities and effectiveness. This technical assistance program will draw on government and external resources at all levels, and will increasingly be able to meet needs from state and local resources without federal assistance. Federal coordination and state and local mutual assistance programs will combine to meet special needs.

10. By the end of FY 79 LEAA will have provided approximately \$4 to 5 million in support of intensive evaluations undertaken by state and local agencies. This program of financial support, aided by evaluation technical assistance and training programs, will be designed to improve state and local capabilities as the evaluations themselves assess the effectiveness and impact of state and local initiatives to combat crime and improve the effectiveness of the criminal justice system.

II. BACKGROUND

A. LEAA's Mission. LEAA's two-part mission includes (1) financial assistance to state and local governments to help improve their capability in dealing with problems of crime and to improve the criminal justice system, and (2) research, development, and technical assistance relating to crime problems and the performance of the criminal justice system. The financial assistance mission, through the block grant program to the States, is linked to comprehensive state criminal justice planning, which requires the use of evaluations by states in order to determine the impact and value of their criminal justice programs. LEAA's research and development mission inherently requires evaluation to assess the effectiveness of replication through transfer and adaptation to differing state and local environments.

B. Evaluation and Intergovernmental Relations. The evaluation roles of LEAA and state and local agencies are influenced by the nature of this intergovernmental program. National level evaluations are mandated as the responsibility of LEAA in the Crime Control Act of 1973 as well as the 1976 Act. These include both evaluations of LEAA's discretionary program and national evaluations covering classes of programs and projects supported through the block grant program. State and local agencies conduct evaluations to serve their own needs and furnish the results to NILECJ for full dissemination to the interested criminal justice community.

C. Legislative Requirements for Evaluation in the LEAA Program.

1. The Crime Control Act of 1973 specifically mandates that NILECJ undertake evaluations to determine the effectiveness of criminal justice programs. The Act requires that comprehensive law enforcement and criminal justice plans provide for "such...monitoring and evaluation procedures as may be necessary". It also requires that the National Institute of Law Enforcement and Criminal Justice should undertake "where possible, to evaluate the various programs and projects" for the purpose of determining "their impact and the extent to which they have met or failed to meet the purposes and policies" of the Act. The Institute, in addition, is to receive and review the results of state and local evaluations. Evaluation results are to be disseminated to state planning agencies and, upon request, to local governments.

2. In 1974, the Congress passed the Juvenile Justice and Delinquency Prevention Act which gave further evaluation responsibilities to LEAA. The state plans required under this Act must provide for development of an "adequate evaluation" of JJDP program and project results. Further, the Act requires that programs funded under the Act are to continue unless a program's yearly evaluation is unsatisfactory.

3. The Crime Control Act of 1976 gave added emphasis to four elements of the legislative mandate for evaluation activities in the LEAA program: (1) LEAA is explicitly required to provide both technical and financial assistance for state and local government evaluations of their programs, (2) SPAs must develop and implement an evaluation plan and procedures as part of their comprehensive criminal justice plans, (3) NILECJ must not only make evaluations but also receive and disseminate state and local evaluations, and (4) criminal justice coordinating councils are given an evaluation role at the regional planning unit (RPU) level.

D. Management Mechanisms for Accomplishing LEAA's Evaluation Goals and Objectives.

There are four major management mechanisms which LEAA intends to develop and implement in order to accomplish its evaluation objectives:

1. A consistent Agency policy for developing and implementing evaluation program activities which specifies how each of the major evaluation objectives is to be accomplished and makes clear the roles of each organizational unit. LEAA has developed and issued detailed policy and procedural guidance in the form of an evaluation policy statement (Instruction 2300.5, See Appendix B) and guidelines for LEAA block and discretionary grant programs. For the block grant program this additional guidance is found in paragraphs on performance measurement plans, and performance measurement utilization, in the effective edition of Guideline Manual M 4100.1 - State Planning Agency Grants (See Appendix D). For discretionary grant programs this additional guidance is found in paragraphs on measurement of performance in the effective edition of Guideline Manual - M 4500.1 - Guide for Discretionary Grant Programs (See Appendix C, also see Appendix E which contains internal LEAA criteria for selection of programs and projects to be evaluated.)

2. LEAA has developed an evaluation planning cycle which will produce an annual Agency evaluation plan. The planning cycle will set evaluation goals and objectives and implement a system for reporting on progress and resolving issues which may arise as barriers to accomplishment.

3. A program of training, technical and financial support is being designed by LEAA to build the capabilities of state and local governments to plan, manage and utilize evaluation, and then to assure that such evaluation capabilities are maintained once LEAA support ceases.

4. The establishment within agency offices of systems and procedures, integrated into LEAA's Management-by-Objectives program, that will result in management processes which provide for evaluation planning, management and utilization in the direction of LEAA programs.

III. THE LEAA EVALUATION PROGRAM STRATEGY, COMPONENTS AND RESOURCE REQUIREMENTS

The first two-year LEAA evaluation plan specifies what evaluation activities will be carried out and indicates manpower and financial resources allocated to the three evaluation programs and to their component elements. It also specifies responsibilities within LEAA for the accomplishment of the tasks set forth for each program area in the annually updated plan.

The following summary descriptions of the three major evaluation programs identify responsibilities within LEAA and outline the strategies, major components and resource requirements of each. (Details of major evaluation activities initiated prior to FY 77 appear in Appendix A.)

A. THE KNOWLEDGE PROGRAM

The Knowledge Program is primarily the responsibility of the National Institute for Law Enforcement and Criminal Justice (NILECJ), LEAA's principal research and development arm. The Institute is specifically charged with program evaluation responsibility in the Crime Control Act of 1973 as amended by the 1976 Act. The Knowledge Program will follow a four-pronged plan of evaluation activities. It will be supported by research and development in methodology, enlisting and developing high caliber evaluation personnel. Talent and experience from the research and evaluation community will be drawn upon and the knowledge gained will be exchanged and disseminated.

The Knowledge Program has a strong national focus. Its results will be of use to a national audience of criminal justice system planners and decision makers. It will meet the Congressional mandate to identify what has been learned about reducing crime and improving criminal justice through the LEAA program.

Subprograms, summarized below, are designed as complementary components of the Knowledge Program.

1. National Evaluation Program (NEP) (NILECJ, Office of Research Programs (ORP)).

This program sponsors a series of phased evaluation studies of specific approaches and classes of programs already operating within the criminal justice system, including but not limited to those supported under the block grant program.

- a. Annual Survey. The program begins with an annual survey of every state criminal justice planning agency (SPA), and LEAA regional and national offices, to identify candidate "topic areas" for evaluation. Each topic area consists of on-going projects having similar objectives and strategies.
- b. Phase I Study. From the topic areas which have been identified through the Annual Survey, a selected number are chosen for a Phase I evaluation -- a 7-9 month study which identifies the key issues, assesses what is currently known about these issues

and about the operational effectiveness of projects in the topic area, and develops a design that could be used for a full-scale evaluation. Phase I evaluations are not definitive but should provide guidance, based on the state-of-the-art, for short term decision-making.

Twenty-seven Phase I studies were initiated during FY 75 and FY 76 (Topic areas detailed in Appendix A), and five new Phase I's are planned for FY 77 and for FY 78, with the number declining as topic areas are covered.

Topics that will be initiated in FY 77 are: Citizen-victim service projects, basic police training programs, crime-specific prosecution units, correctional data systems, and alternative schools for disruptive youth.

Resources (LEAA Staff in Person/Years (P/Y))

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,400,000	\$1,000,000	\$1,000,000
Staff P/Y	1.5	2.0	2.25

- c. Phase II Study. The Phase II study is a full scale national level assessment which consists of an intensive evaluation of the effectiveness and utility of a common type of project in a variety of situations. Detailed standards are specified for SPAs and operating agencies to use in assessing the effectiveness of similar programs which they fund or operate. The standards would address expected costs, level of effort, qualifications of personnel, program results, and likely effects of particular program variations.

Two Phase II studies were initiated in FY 76: Treatment Alternatives to Street Crime (TASC), to evaluate drug treatment services designed to reduce crimes committed by drug-dependent offenders; and Pre-Trial Release Projects, to evaluate recidivism and appearance for trial of arrestees who are released on recognizance after indictment while they await trial.

Two to four additional Phase II intensive evaluations will be selected and initiated in FY 77 and three to six in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,000,000	\$1,000,000	\$1,500,000
Staff P/Y	1.0	1.0	1.25

2. Program Evaluations (NILECJ, Office of Evaluation and National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP)). (Detailed descriptions in App. A)

LEAA program level evaluations under the Knowledge Program are of four types, each based on a particular opportunity to develop information on the effectiveness of criminal justice programs and practices.

- a. Evaluations of LEAA Discretionary (DF) and Other Priority Programs are undertaken in recognition of the unique opportunity which LEAA discretionary funding offers to develop sound demonstration program designs at the national level which will generate significant new knowledge. DF program evaluations are coordinated with NEP Phase II intensive evaluations.

Three DF Program evaluations were initiated in FY 76: the Career Criminals Program, to test whether speedy prosecution and incarceration of habitual offenders will reduce crime; the Criminal Justice Standards and Goals Program, to evaluate State projects designed to set and implement measurable objectives for criminal justice agencies in a planning process that includes public participation and interagency coordination;

and Treatment Alternatives to Street Crime (TASC), which was designed as a Phase II intensive evaluation under the National Evaluation Program.

Six DF Programs and one priority LEAA program have been selected for attention in FY 77. Each will be investigated to determine the feasibility and usefulness of an intensive evaluation. Evaluations will be initiated on at least three, and probably four, during FY 77, with a budget of \$1.8 million for this purpose. The remainder will be possible candidates for FY 78 evaluation initiatives, contingent upon feasibility and likely usefulness of such studies. The programs selected are: Integrated Career Criminal Apprehension (DF); Victim/Witness Assistance (DF); New Initiative to Reduce Court Delay (DF); New Community Anti-Crime Program (DF); New Corrections Program for Career Criminals (DF); New Parole Effectiveness Program (DF); and Law Enforcement Education Program (LEEP) (Priority Program).

Additional DF and major priority programs will be selected for initiation of intensive evaluations in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$950,000	\$1,800,000	\$4,000,000
Staff P/Y	.8	2.0	4.0

- b. Evaluations of Field Experiments

Evaluations are undertaken to assess the replicability and effectiveness of outstanding criminal justice projects which have demonstrated (with or without LEAA funding) significant benefits. Outstanding projects are identified through Institute research studies, the Prescriptive Package program, and the Exemplary Projects Program. A number of these are selected by NILECJ's Office of Technology Transfer for experimental demonstrations in a number of sites. These are evaluated by NILECJ's Office of Evaluation to assess both effectiveness and replicability in different situations.

NILECJ's Office of Technology Transfer will spend \$480,000 in FY 77 and the same amount in FY 78 validating and documenting Exemplary Projects. The Office of Evaluation will evaluate field experiments selected from these or other outstanding projects.

Three such evaluations were initiated in FY 76: Full Service Neighborhood Team Policing, Improved Lower Court Case Handling, and Jury Utilization and Management. Three additional replications are to be selected and evaluated in FY 77, and two in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,190,000	\$1,630,000	\$1,505,000
Staff P/Y	3.1	2.7	2.7

- c. State and Local Programs determined by LEAA to be of national importance are evaluated with support by NILECJ's Office of Evaluation in order to assess the impact of such major initiatives and innovations, and to provide a national audience with information about the experience and effects. This subprogram is designed to capitalize on major opportunities. Programs are selected to capitalize on opportunities as they arise. Eight priority program evaluations were initiated in FY 76. No major initiatives are specifically planned in this subprogram during FY 77 in view of the number continuing into FY 77 and the increased emphasis on the evaluation of LEAA discretionary programs. A budget is provided for additional opportunities in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,670,000	--	\$1,000,000
Staff P/Y	2.65	2.65	.8

- d. Evaluation of all Juvenile Justice and Delinquency Prevention Program Initiatives is mandated in the Juvenile Justice and Delinquency Prevention Act of 1974. Initiatives which began in FY 76 include evaluations of five programs: Deinstitutionalization of Status Offenders, Diversion of Juvenile Offenders from the Criminal Justice System, Prevention of Juvenile Crime and Delinquency through Youth Service Agencies, a program for Juvenile Restitution to Victims, and Reduction of School Crime. Three new initiatives are planned for FY 77: Prevention of Juvenile Crime and Delinquency, Youth Gangs, and a program for Serious Offenders in Institutions. Four additional initiatives are planned for FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$4,185,000	\$3,625,000	\$5,000,000
Staff P/Y	.60	2.00	3.00

3. NIJJDP Assessment Program

In addition the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP) undertakes a major, continuing assessment of evaluation requirements and overall design for evaluation of major initiatives and important projects. These studies are similar in purpose to the state-of-the-art surveys in the National Evaluation Program Phase I efforts. Four assessment studies were completed in FY 76. Additional topics will be selected in FY 77 and FY 78.

During FY 76 NIJJDP established three of four planned "assessment centers" (located at universities and research organizations) which are to serve as centers which assess, synthesize and disseminate knowledge in the juvenile justice field. Established in FY 76 were a Center for Assessment of the Juvenile Justice System, a Center for Assessment of Alternatives to the Juvenile Justice System, and a Coordinating Center. The fourth center will be established during FY 77. It will concentrate on delinquent behavior and prevention.

The assessment Program is not formally a part of the NIJJDP Evaluation Program and therefore neither the \$1,600,000 dedicated to the Assessment Program in FY 76 nor planned expenditures for FY 77 and FY 78 are included in the summary tables of this plan. However, assessment activities do play a major supportive role to evaluation planning and the synthesis and dissemination of evaluation results.

4. Project Evaluations (Office of Regional Operations (ORO), Program Evaluation and Monitoring Staff (PEMS))

In addition to national level program evaluations, LEAA requires intensive evaluations of approximately 25 projects each year that are supported with discretionary funds and are not selected for program level evaluations. Grantees are required to set aside up to 15% of their grant for an independent evaluation, with the additional requirement that LEAA approve the evaluation plan and the qualifications of evaluators.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget (15% of Grants)		(15% of Grants)	(15% of Grants)
Staff P/Y	1.5	1.5	1.5

5. Evaluation Research Methodology Development (NILECJ, Office of Evaluation)

The Institute supports a program of evaluation methodology development to advance the state-of-the-art in criminal justice system applications. Recognition is given to special difficulties encountered in this field. Ongoing projects continuing from FY 76 include Stochastic (Time Series) Modeling and Analysis of Crime, to develop techniques for predicting crime rates and detecting changes in crime trends; a survey of theories and models for analyzing Deterrence of Crime; Incapacitation and Deterrence, to analyze the deterrent effect on crime of increased police expenditures in comparison with the effects of different police strategies; Development of

Imprisonment Policies, to test the feasibility of developing empirically based models that will project the crime control effects of various imprisonment policies; and a Reverse Records Check Project, to compare crime incidents reported in official police files with crime reported in a victimization survey. During FY 76 NILECJ's Office of Evaluation initiated development of a criminal justice data archives services facility to support research, evaluation and planning. Primary responsibility has been reassigned to the Statistics Division, National Criminal Justice Information and Statistics Service (NCJISS), with the Office of Evaluation continuing in a support role.

Five evaluation methodology initiatives in FY 77 will focus on development and testing of Operational and Impact Indicators for Criminal Justice System Evaluations; a Major Deterrence Program to develop effective methodologies for detecting and measuring deterrent and incapacitation effects associated with efforts to control crime; a Program of Methodology Studies to support development and validation of new and improved methods of drawing inferences from criminal justice program experiences; a survey of the state-of-the-art and evaluation needs through a National Academy of Sciences Panel on Rehabilitation; and a project to determine the cost and utility of an LEAA standardized project data reporting system, including the range of currently used measures, commonality of measures used across programs, appropriate information flow, and frequency and channels of flow. The study will incorporate an evaluation of SPA/RPU capabilities intended as an objective assessment of the cost and utility of evaluation efforts being undertaken by LEAA with primary focus on block grant evaluations. Additional Methodology initiatives will be undertaken in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,110,000	\$2,115,000	\$1,500,000
Staff P/Y	1.25	2.1	1.5

6. National Evaluation Findings Conferences sponsored by NILECJ/OE are planned to bring together each year, beginning in FY 77, evaluators and interested criminal justice community personnel to examine significant criminal justice evaluations that have been completed in a number of specific areas. Proceedings of the conference will be published.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$80,000	\$75,000	\$75,000
Staff P/Y	.4	.4	.4

7. Evaluative Studies in Research Program

A substantial portion of the Institute's basic research program, managed by the Office of Research Programs (ORP), is evaluative in major respects and will contribute to evaluative knowledge in the areas of law enforcement, courts, corrections and community crime prevention. Selected research projects with a major evaluative contribution are described below. They are provided here as supplementary information and are not included in summary tables for the Evaluation Program.

Relevant research projects include the following:

- a. Survey of Correctional Facilities and Programs. This task is assigned to the Institute by the 1976 Act, to determine the extent to which current correctional facilities and programs provide adequate space now and will do so in the future. Estimated cost: \$850,000.
- b. Identification of Needs of Drug - Dependent Offenders. This task is also required by the Act of 1976. A major part of the task was initiated in FY 76 with the National Evaluation Phase II evaluation of Treatment Alternatives

to Street Crimes. In addition, in FY 77 NILECJ's Office of Research Programs staff will survey what is known about the relationships between drug abuse and crime. This task will aid the Institute in defining further research and evaluation needs and will also provide useful information to state and local governments seeking effective ways to coordinate drug abuse and criminal justice agency programs, which was also mandated in the Act. Estimated effort: 1/4 Person/Year.

- c. Evaluation of Residential Neighborhood Crime Control. This task will evaluate the effectiveness and impact of a three-pronged approach to reducing crime and the fear of crime in a residential neighborhood. The project to be assessed includes physical design of buildings and space according to the "defensible space" concept, and strategies for police and community organizations designed to provide constant observation and reduce opportunities for and vulnerability to crimes against persons and property. Cost: \$125,000
- d. Evaluation of Comprehensive Citizen Crime Prevention Programs. This study will evaluate a comprehensive approach to citizen crime prevention activities in order to develop guidelines to encourage citizen crime reporting and active participation in co-ordinated crime prevention programs. Cost: \$225,000.
- e. Cost Benefit Analysis of Community Corrections Projects. This project is a comprehensive assessment of community based corrections. This effort will extend previous research which examined the cost associated with implementing the correctional standards and goals recommended by the National Advisory Commission for halfway houses and pretrial diversion. The study will investigate the costs and benefits of other community based corrections activities such as release on recognizance programs, jails work-release and community restitution programs. Cost: \$300,000.

- f. Alternative Recidivism Measures: This research will include a state-of-the-art examination of existing recidivism measures and a synthesis of the best components of each. The objective is to develop a unique measure of recidivism which can be applied to evaluation of correctional projects in a standardized fashion. Cost: \$200,000.
- g. Correctional Implications of Fixed Sentences: This study will evaluate the impact fixed sentences have on correctional practices and will project the consequences of fixed sentences in terms of inmate populations, programmatic needs and subsequent criminal behavior. Cost: \$350,000.
- h. Speedy Trial Experiences in Selected States: This project will assess the successes and failures experienced in several states. The purpose is to determine what methods work most efficiently. Cost: \$300,000.
- i. Plea Bargaining in the United States: Phase II. The purpose is to determine the effect on efficiency and justice of various types of plea bargaining practices. Cost: \$350,000.
- j. Pilot Implementation of Performance Indicators for Courts and Prosecutors: This task will operationalize performance indicators with the objective of deriving a system of certification for those offices that meet minimum requirements. Cost: \$300,000.
- k. Omnibus Hearing Evaluation (Part II). This project will evaluate what effect the implementation of the Omnibus Hearing procedure has had on judicial delay and justice in two state courts. Cost: \$200,000.
- l. Split-Force Police Patrol Evaluation. The study will analyze the effect of full police service in a segment of a major city with officers operating in civilian dress and unmarked cars on crime rate, citizen satisfaction and perception of security, and police morale. Cost: \$300,000.

- m. Evaluation Design for San Francisco Community Board Dispute Settlement Project, to design an evaluation for a new forum for resolution of disputes now heard in criminal courts, but for which techniques such as mediation, conciliation and arbitration are more appropriate. Cost \$10,000.

These research projects total \$3,170,000 and are supported by 5.5 Person/Years LEAA staff effort in NILECJ/ORP.

8. Summary of Knowledge Program Resource Allocations

<u>SUBPROGRAMS</u>		<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
<u>National Evaluation Program:</u>	\$ Staff	\$2,400,000 2.5	\$2,000,000 3.0	\$2,500,000 3.50
<u>LEAA Program Evaluations:</u>				
a. DF Programs:	\$ Staff	\$ 950,000 .8	\$1,800,000 2.0	\$4,000,000 4.0
b. Field Experiment Evaluations	\$ Staff	\$1,190,000 3.1	\$1,630,000 2.7	\$1,505,000 2.7
c. Important State/Local Programs	\$ Staff	\$1,670,000 2.65	-- 2.65	\$1,000,000 .8
d. Juvenile Justice Initiatives	\$ Staff	\$4,185,000 .6	\$3,625,000 2.00	\$5,000,000 3.00
Subtotals	\$ Staff	(\$7,995,000) (7.15)	(\$7,055,000) (9.35)	(\$11,505,000) (10.50)
<u>LEAA Project Evaluations:</u>	\$(Grantee) Staff	-- 1.5	-- 1.5	-- 1.5
<u>Evaluation Methodology Development:</u>	\$ Staff	\$1,110,000 1.25	\$2,115,000 2.1	\$1,500,000 1.5
<u>CJ Evaluation Conferences:</u>	\$ Staff	\$ 80,000 .4	\$ 75,000 .4	\$ 75,000 .4
TOTALS	\$ Staff	\$11,585,000 12.80	\$11,245,000 16.35	\$15,580,000 17.40

B. THE MANAGEMENT PROGRAM

The Management Program is primarily the responsibility of the Office of Planning and Management (OPM), with responsibility for major subprograms and activities assigned to the National Institute (NILECJ), the Information Systems Division, Office of the Comptroller (ISD/OC), and program offices. The objectives of the Management Program are to integrate evaluation planning and utilization into the formulation and direction of programs at all levels in LEAA. They require the use of evaluative information and the incorporation of an evaluation component in LEAA's program development process and in the annual preparation of program plans and workplans. Based on these, an LEAA Evaluation Plan will be developed annually (of which the present plan is the first). The Management Program strategy also includes provision for analysis, reporting and an annual synthesis of evaluation findings. This information will be incorporated into LEAA's Management Information System and the Evaluation Clearinghouse, located in the National Criminal Justice Reference Service (NCJRS), for dissemination and use by program managers and decision makers at all levels of LEAA and the criminal justice community.

Three types of evaluative information will be maintained in LEAA's PROFILE system, which contains summaries of all LEAA program and project grants as well as subgrants by the states. At the completion of a project an assessment summary is prepared by the project or grant monitor. An evaluation summary is added to incorporate the findings whenever a formal evaluation occurs. Promising Project and Exemplary project summaries are also entered in the system for effective projects identified and validated through those programs.

In addition, the Management Program includes plans for management evaluations of LEAA programs by the LEAA Administration and major LEAA offices.

The Management Program focuses on LEAA rather than the national criminal justice community. The results are used primarily by LEAA planners and decision makers to improve the management and effectiveness of LEAA's program operations.

Management program objectives are accomplished by the implementation and utilization of the LEAA Management-by-Objectives (MBO) system. Two additional components are the development and implementation of an evaluation planning system as a part of the MBO system and the design and implementation of an evaluation utilization system.

1. The Evaluation Planning System.

The Evaluation Planning System is designed to incorporate evaluation planning into LEAA's program development process and the annual planning cycle, and to produce an annual evaluation plan for the entire agency. This plan will then be used for the allocation of agency resources among subprograms of the overall LEAA evaluation program. The system is implemented through the following steps:

- a. Guidance is given by OPM to each program office for the evaluation component of the program development process and the annual program planning exercise, detailing criteria to be used for the selection of programs and projects for evaluation, and the description of the evaluation plan for each program.
- b. Each program office prepares an evaluation plan as part of each workplan. These plans identify which programs/projects will be evaluated during the fiscal year and how that will be accomplished.
- c. OPM reviews each program office annual evaluation plan and develops an inventory of DF program evaluations planned by the agency.
- d. Based upon the review of program office evaluation plans, and supplemented by evaluation plans in the Knowledge and Development Programs, OPM prepares an annual agency-wide evaluation MBO planning process.
- e. Managers of programs selected for evaluation define information needs and use the agency's project implementation and monitoring process to obtain and use timely monitoring information on both positive and negative program and project performance and results.

Staff Resources (Person/Years)

<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
.5	1.0	1.0

2. The Evaluation Utilization System

The Evaluation Utilization System is designed to ensure the utilization of evaluation findings in agency decision-making and program development. Under the evaluation planning system, evaluations are planned and designed so that the answers that evaluations give are directly linked to program objectives and the questions to which agency managers need answers.

The further development of an evaluation utilization system during the FY 77 planning cycle and program year is based upon the following elements:

- a. Program design to ensure usable evaluation findings;
- b. Preliminary analysis of evaluation reports and data by relevant program office to assess findings and identify their implication for program decisions;
- c. Development of a standard reporting system for reporting program/project evaluation findings, incorporating the result in LEAA's Management information system (PROFILE).
- d. An annual national survey, through the SPAs, of promising projects in the criminal justice system, validating evidence of their benefits, and incorporating the resulting information in LEAA's management information system (PROFILE).

- e. A comprehensive analysis and integration of reported evaluation findings by the Institute and the production and dissemination to LEAA program offices and state and local agencies of an annual synthesis of what has been learned through evaluations of programs and projects.
- f. Utilization of available evaluative information in the program development process and in the annual program planning cycle.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$335,000	\$285,000	\$365,000
Staff P/Y	.25	2.0	3.0

3. Management Evaluations of LEAA Programs

Management evaluations of program operations for which LEAA is responsible assist in policy and program decisions, as well as insuring accountability to Executive Branch and Congressional oversight. Major program offices also use management evaluations in the management and direction of their operations. Subsequent to the Crime Control Act of 1973 the agency sponsored a major evaluation to assess the first six years of its operations, covering all significant aspects of the LEAA program.

Further administrative and program evaluations are planned for FY 77, FY 78 and beyond, to assess programs within the National Institute and the Office of Regional Operations. The Training Division, Office of Operations Support will evaluate LEAA training programs. The Office of Regional Operations will assess the operations and utility of selected DF projects.

Evaluation of statistics and information systems programs and specific provisions for implementing the results of such evaluations are built into the plans for these programs in the National Criminal Justice Information and Statistics Service (NCJISS).

The five-year plan for the Statistics Program (FY 77 - FY 81) provides for the staff to conduct evaluations in FY 77 covering user feedback concerning standard terminology in the first edition of the Dictionary of Criminal Justice Terms; the feasibility of implementing Attribute-Based Crime Reporting; statistical methodology, policy, and analytic utility of Comprehensive Criminal Justice Data System programs (Career Criminal History/Offender-Based Transactions System, State Judicial Information System, State Corrections Information System); production of national statistical reports from those systems; and formulation and testing of criteria for evaluating state Statistical Analysis Centers, which are the state units created to support criminal justice agencies with analysis from these standardized criminal justice data systems. The judicial statistics project of the National Center for State Courts will also be evaluated in FY 77.

Independent evaluations of two statistics programs will be initiated in FY 77: (1) the Uniform Parole Reports (UPR) program, with reference to both methodology and their value for policy purposes; and (2) a users' survey to assess needs and requirements of LEAA data consumers.

In FY 77 the Statistics Division will implement actions based on findings and recommendations of two major evaluations completed during FY 76: (1) A major effort to respond to the findings of the National Academy of Sciences (NAS) report concerning the ongoing LEAA victimization surveys conducted by the Bureau of the Census; (2) Actions in response to the Research Triangle Institute/Midwest Research Institute evaluation of the NCJISS program, conducted as an element of LEAA's evaluation of the first six years of the agency's program. Implementation plans are projected through the period of the five-year statistics plan; FY 77 - FY 81.

The Systems Division, NCJISS, similarly plans for FY 77 - FY 78 evaluations of telecommunications systems, CJ information and command systems, and computerized

systems for searching records and data. A major proportion of FY 77 activity in systems evaluation is a continuation of work under FY 76 grants and contracts, exceeding \$800,000, specifically allocated for evaluation in addition to sums for testing and demonstration phases (often provided for under the same grant or contract).

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,510,000	\$1,280,000	\$1,250,000
Staff P/Y	3.25	3.00	3.00

4. LEAA Evaluation of State Plan

The Crime Control Act of 1976 requires LEAA, prior to its approval of any state plan, to evaluate the plan's likely effectiveness and impact. It further requires that the agency develop criteria and procedures for this plan review, and directs the Institute to assist the Administrator in that responsibility, as well as to develop, with the SPAs, criteria and procedures to be used by the states in meeting their responsibilities to plan and implement evaluations of LEAA funded programs and projects.

In FY 77 LEAA will develop and implement an improved system of criteria, standards and procedures for reviewing state plans. The Institute's Office of Evaluation will also develop criteria and procedures, with the SPAs, for state use in designing and implementing evaluation plans in the comprehensive plan process. LEAA's regional offices will review state plans, using these criteria, and will monitor implementation of the plan, including its evaluation component.

Resources (LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>
Budget	\$35,000	--
Staff P/Y	10.25	10

5. Budget Summary, Management Program

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,845,000	\$1,600,000	\$1,615,000
Staff P/Y	4.00	16.25	17.00

C. THE DEVELOPMENT PROGRAM

Primary responsibility for the Evaluation Development Program was assigned beginning in FY '77 to the Office of Regional Operations, with the Training Division, Office of Operations Support (OOS, TD) assigned responsibility for the evaluation training subprogram. The development program is being redesigned during FY 77, and descriptive information contained herein is subject to change, contingent upon the final approved program design.

The strategy of the development program is to encourage and assist all state and local agencies in the criminal justice system to develop and use evaluative capabilities in comprehensive planning, program development and in the direction and improvement of program operations. The development program therefore has a strong state and local focus.

Development assistance will be provided through three principal interrelated subprograms: evaluation training, technical assistance, and financial support for evaluations undertaken by state and local agencies. The three subprograms are designed to be mutually supportive. Evaluation training will be followed up with onsite technical assistance. Training and technical assistance support will be provided for those evaluations which receive funding support under the development program. The experience of intensive evaluations will be used to improve state and local capabilities to undertake and complete such efforts successfully.

Although the development program is directed toward both planning and operating agencies, three factors dictate a primary emphasis on direct assistance to planning agencies.

Limited LEAA Resources vis-a-vis the Need. LEAA's total budget amounts to only about 5% of all annual criminal justice system expenditures. The criminal justice community includes more than 35,000 agencies, only one-tenth of which are large enough to be served by a full-time evaluator.

The Role of Planning Agencies. The potential envisioned by the Crime Control Act of 1973, and reemphasized in LEAA's 1976 reauthorization by Congress, is LEAA assistance to state and local jurisdictions in the advancement and institutionalization of serious comprehensive planning in criminal justice -- not just for federally supported activities. The Act contemplated a statewide assessment of critical problems and an evaluation of current performance against realistic goals and objectives, with the result that planning agencies exert a statewide influence on policy decisions and resource allocations. The 1976 Act delineates a similar evaluation role for Criminal Justice Coordinating Councils (CJCCs) for comprehensive planning at the local levels.

Level of Capabilities. Comprehensive planning and resource allocation decisions supported by high quality intensive evaluation generally require a higher level of technical capabilities than do the use of monitoring and evaluation undertaken only to improve performance in individual program operations.

Given these factors, the strategy of LEAA's development program is to focus primarily, but not exclusively, on state planning agencies and on regional and local planning units (CJCCs, RPUs/LPUs), with the intent that these planning agencies develop and utilize their capabilities to provide assistance and support to operational agencies, as well as to meet their own planning and evaluation needs.

Redesign of the Evaluation Development Program and its three subprograms was initiated by LEAA during FY 76, based on a needs assessment for evaluation training and technical assistance and an evaluation of the Model Evaluation Program under which twelve SPAs and RPUs were funded by the National Institute (NILECJ) in FY 75 and FY 76. (Described in Appendix A)

Evaluation Training and Technical Assistance Needs. State and local components of the criminal justice system include 55 SPAs and approximately 460 RPUs and LPUs supported by LEAA Part B (planning) grants. The table below gives estimates of staff size and staff time devoted to evaluation activities in these planning agencies, both in person-years (P/Y) and as a percentage of total staff time, for SPAs, RPUs and LPUs. In addition an estimate of the current level of contract evaluation support is provided in terms of professional person-years (one person-year equals \$50,000). All estimates are for actual activity during FY 76.

<u>Planning Agency Staff and Consultant Evaluation Effort FY 76</u>				
(FY 76)	<u>Total Staff</u>	<u>P/Y to Evaluation</u>	<u>% of Staff Time to Evaluation</u>	<u>Consultant P/Y on Evaluation</u>
SPAs	2,415	170	7.0%	110
RPUs	1,570	55	3.5	40
LPUs	1,905	15	.8	10

Approximately 25-30 percent of LEAA funded programs and projects are currently being assessed by SPAs and RPU/LPUs. Few of these are intensive evaluations that provide information on effectiveness, however.

In addition to planning agency needs, there are over 35,000 criminal justice operating agencies, most of which could but do not use evaluative information to improve operations and effectiveness. Only about one-tenth of these are likely to be large enough to be served by the equivalent of a full time evaluator.

In order to encourage and assist State and local criminal justice agencies at all levels to conduct and utilize evaluation to improve planning and operations, LEAA's Evaluation Development Program is being redesigned for full implementation by FY 78, to include the following subprograms for training, technical assistance, and support for high quality evaluations undertaken by state and local agencies:

1. Evaluation Training Program. Development of an Evaluation Training Program was undertaken during FY 76 by the Training Division, OOS. The Office of Regional Operations will assist in the the identification and recruitment of trainees.

Evaluation training is planned for 345 persons during FY 77 and 870 persons during FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$ 400,000	\$ 225,000	\$685,000
Staff P/Y	.3	2.3	3.0

2. Evaluation Technical Assistance (TA). During FY 77 Evaluation TA Program responsibility will be reassigned from the National Institute to the Office of Regional Operations, which has been assigned primary responsibility for the Development Program, previously assigned to NILECJ. The Program will be redesigned and implemented by ORO during FY 77 in close coordination with ORO's overall TA program covering all criminal justice functional areas. This subprogram provides technical assistance to evaluations undertaken by state and local criminal justice agencies.

\$500,000 will support the new evaluation TA effort in ORO in FY 77, with \$75,000 in continuing, interim TA by NILECJ.

Resources (LEAA Staff in Person/Years)

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$ 335,000	\$ 575,000	\$1,000,000
Staff P/Y	1.3	3.25	12.5

3. Support for State and Local Evaluations. This subprogram has been reassigned from the National Institute (NILECJ) to the Office of Regional Operations (ORO) with the reassignment of overall responsibility for the Evaluation Development Program to ORO. During FY 75 and FY 76 the Institute undertook a \$1,875,000 Model Evaluation Program under which planning agencies in twelve states were supported in various projects attempting to develop evaluation capabilities within SPAs and RPUs. (Detail in Appendix A.) The subprogram will be redesigned by ORO during FY 77 and the new program implemented in FY 78.

Resources (LEAA Staff in Person/Years)

	<u>FY 75</u>	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Budget	\$1,325,000	\$ 550,000	--	\$2,000,000
Staff P/Y	3.6	3.6	3.4	4.0

4. Evaluation Development Subprogram Budget Summary

	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Evaluation Training Budget:	\$ 400,000	\$ 225,000	\$ 685,000
Staff P/Y	.3	2.3	3.0
Evaluation TA: Budget	\$ 335,000	\$ 575,000	1,000,000
Staff P/Y	1.3	3.25	12.0
Evaluation: Support Budget	\$ 550,000	\$ --	2,000,000
Staff P/Y	3.6	3.4	4.0
Total Budget	\$1,285,000	\$ 800,000	\$3,685,000
Staff P/Y	5.2	8.95	19.0

IV. SUMMARY

This Two-Year LEAA Evaluation Plan provides for: (1) an accelerated Knowledge Program to learn more about effective ways to reduce crime and improve the performance of the criminal justice system, and to disseminate that information to the criminal justice community; (2) the development of an effective Management Program, to plan for and use evaluative information in the development and direction of LEAA programs at all levels; and (3) redesign and expansion of a Development Program to encourage and assist State and local criminal justice planning and operating agencies in the development and institutionalization of evaluation capabilities.

A. Summary

Staff and funding resources for these efforts are again summarized below:

Budget Summary: LEAA Evaluation Program FY 77-FY 78
(\$ in thousands; LEAA staff in Person/Years)

	<u>FY 76</u>		<u>FY 77</u>		<u>FY 78</u>	
	<u>\$</u>	<u>P/Y</u>	<u>\$</u>	<u>P/Y</u>	<u>\$</u>	<u>P/Y</u>
Knowledge Program:	\$11,585	12.80	\$11,245	16.35	\$15,580	17.40
Management Program:	1,845	4.00	1,600	16.25	1,615	17.00
Development Program:	1,285	5.20	800	8.95	3,685	19.00
Totals	\$14,715	22.00	\$13,645	41.55	\$20,880	53.40

B. Discussion

1. Staff requirements for conducting the Knowledge Program will increase in NILECJ/OE and ORO during FY 77 and FY 78 in order to design and obtain more high quality program and project evaluations.

The National Evaluation Program budget will increase from \$2 million in FY 77 to \$2.5 million in FY 78 as more intensive Phase II evaluations are undertaken and the number of Phase I surveys declines. The Program evaluations will double to \$2 million in FY 77 and again to \$4 million in FY 78 as DF programs are designed or redesigned for evaluation and other major LEAA program evaluations are initiated. Significant increases in staff and resources are expected for NIJJDP knowledge program activities from FY 76 to FY 77 and FY 78. RO planner/evaluators will devote increasing time to program evaluation activities in FY 77 over FY 76, and increase again for FY 78. Methodology research in FY 77 will be double the FY 76 budget for such research, at approximately \$2 million, and will decline by 25% to about \$1.5 million for FY 78.

2. Staff and budget requirements for the Management Program are increased in FY 76 and staff time will continue to increase in FY 77 and FY 78 in order to implement the evaluation planning cycle, to develop and implement evaluation components of LEAA management information systems and to develop and implement procedures for evaluating the likely effectiveness and impact of state plans. Management evaluation expenditures will remain at approximately \$.5 million per FY.
3. Staff efforts in the Development Program increased in FY 76 and will continue to increase in FY 77 in order to plan and implement the Evaluation Development Program in ORO. \$500,000 in transitional resources are required in FY 77 to initiate,

in ORO, evaluation TA activities that are being discontinued in NILECJ/OE (\$75,000 in FY 77). These will increase to \$1 million in FY 78, with full implementation of this subprogram. The Evaluation training budget will decline in FY 77 following development costs in the latter part of FY 76, and will increase in FY 78 with the full implementation of the evaluation training program. A DF Evaluation program will be initiated at approximately \$2 million in FY 78 for Evaluation Funding Support.

4. The overall budget for the LEAA Evaluation Program will decline by 5% in FY 77, down from \$12.4 million in FY 76 to \$13.9 million in FY 77, and will then increase by 50% in FY 78, rising to \$20.88 million. This pattern reflects (1) a decrease in support of state and local evaluations with the termination of the Model Evaluation Program in FY 76 and no funding for a redesigned program until FY 78; (2) funding in FY 76 only for contractual support for new initiatives in the Management and Development subprograms; (3) a lag in expenditures while the Development Program is under redesign; and (4) a major budget increase in both the Knowledge and Development Programs in FY 78.
5. LEAA staff devoted to evaluation activities will increase from 22 person years in FY 76 to 41.55 in FY 77, and with the full implementation of the Development Program in FY 78 will increase again to 53.40 person years of effort. The latter number reflects an increase of evaluation effort in the LEAA Regional Offices with the increase in evaluation technical assistance and renewed LEAA funding of evaluations by state and local planning agencies, as well as increased regional office staff time devoted to evaluation of comprehensive state plans. In addition to demanding increased time to evaluation activities, Regional Office planner/evaluator's added responsibilities place additional emphasis on their capabilities as evaluation specialists.

C. Recapitulation

1. Resource Allocations by LEAA Offices.

Although primary responsibility for each of the three major evaluation subprograms is assigned to a particular office of LEAA, these are coordinated programs requiring the contribution of several office. The table below shows estimated resources from each office allocated to evaluation activities and reflects reassignments and new initiatives.

Office/Program	Resources (\$ in thousands; LEAA Staff in Person/Years)					
	FY 76		FY 77		FY 78	
	\$	(P/Y)	\$	(P/Y)	\$	(P/Y)
<u>NILECJ:</u>						
Knowledge	\$7,400	(10.70)	\$7,620	(12.85)	\$10,580	(12.90)
Management	500	(.10)	65	(.10)	350	(1.60)
Development	885	(4.90)	75	(3.65)	---	---
<u>OJJDP:</u>						
Knowledge	\$4,185	(.60)	\$3,625	(2.00)	\$5,000	(3.00)
<u>ORO:</u>						
Knowledge		(1.50)		(1.50)		(1.50)
Management	\$ 330	---	\$ 100	(12.65)	\$ 200	(14.10)
Development	---	---	500	(3.50)	3,000	(14.50)
<u>OOS/TD:</u>						
Development	\$ 400	(.30)	\$ 225	(.30)	\$ 685	(.30)
<u>OPM:</u>						
Management	---	(1.00)	\$ 200	(1.00)	\$ 200	(1.00)
<u>NCJISS:</u>						
Management	\$1,010	(2.90)	\$ 950	(2.10)	\$ 500	(1.50)
<u>OC/ISD:</u>						
Management	\$ 5	---	\$ 285	(2.00)	\$ 365	(3.00)
TOTALS	\$14,715	(22.00)	\$13,645	(41.55)	\$22,880	(53.40)

2. Allocation by Types of Funds

The recapitulation below by budget categories does not include salaries for staff time estimated in preceding tables. It does include all the funding estimates previously given that are allocated to evaluation program activities.

<u>Budget Category</u>	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
Research & Evaluation	\$8,785,000	\$7,760,000	\$10,930,000
Technical Assistance	730,000	825,000	3,885,000
Juvenile Justice	4,185,000	3,625,000	5,000,000
Data Systems	1,010,000	950,000	500,000
Management & Operations	5,000	485,000	465,000
TOTALS	\$14,715,000	\$13,645,000	\$20,880,000

APPENDIX A

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

DESCRIPTION OF MAJOR LEAA EVALUATION ACTIVITIES

FY 73 - FY 76

Completed reports and LEAA publications identified in this document can be obtained from the National Criminal Justice Reference Service. Documents not available for general distribution can be obtained on a loan basis. Written requests for products of evaluation programs should be marked "Attn: Evaluation Clearinghouse."

National Criminal Justice
Reference Service
P.O. Box 24036
S.W. Post Office
Washington, D.C. 20024
(Attn: Evaluation Clearinghouse)
Telephone: (202) 755-9704

DESCRIPTION OF LEAA EVALUATION ACTIVITIES

LEAA's Evaluation Program includes three major subprograms: (1) the KNOWLEDGE PROGRAM, to develop information on the effectiveness of criminal justice programs and practices; (2) the MANAGEMENT PROGRAM, to plan for and utilize evaluative information in the formulation and direction of LEAA programs; and (3) the DEVELOPMENT PROGRAM, to encourage and assist all criminal justice agencies to develop and utilize evaluation capabilities.

Evaluation activities that have been undertaken by LEAA during preceding fiscal years are described in this Appendix.

I. NATIONAL EVALUATION PROGRAM (NEP)
(National Institute of Law Enforcement and Criminal Justice, Office of Research Programs)

This program sponsors a series of phased evaluation studies of specific approaches and classes of programs already operating within the criminal justice system, including but not limited to those supported under the block grant program. Summary reports of each completed project are published for distribution.

A. PHASE I STUDIES

Phase I studies are 7-9 month efforts which identify key issues, assess what is currently known about these issues and about the operational effectiveness of projects in the topic area, and develop a design that could be used for a full-scale evaluation. Phase I evaluations are not definitive but should provide guidance, based on the state-of-the-art, for short term decision-making.

From topic areas identified through an annual survey, 17 studies were initiated in FY75 and ten in FY76. Five additional Phase I studies will be initiated in FY77.

FY 75

<u>Topics</u>	<u>Reports Available</u>	<u>Printed Summary Publication</u>
<u>Citizen Participation:</u>		
Operation Identification Projects	YES	YES
Citizen Crime Reporting Programs	YES	Dec. '76
Citizen Patrol Projects	YES	Dec. '76
Security Survey: Community Crime Prevention Programs	YES	Dec. '76
<u>Law Enforcement:</u>		
Selected Patrol Strategies:		
Specialized Patrol Operations	YES	Dec. '76
Traditional Preventive Patrol	YES	YES
Team Policing Projects	YES	March '77
Early Warning Robbery Reduction Projects	YES	YES
Patrol Support Systems: Crime Analysis Units	March '77	June '77
<u>Courts:</u>		
Pretrial Screening Projects	YES	YES
Pretrial Release Programs	YES	March '77
<u>Corrections:</u>		
Treatment Alternatives to Street Crime (TASC)	YES	YES
<u>Juvenile Justice and Delinquency Prevention:</u>		
Prevention of Juvenile Delinquency	YES	March '77
Alternatives to Juvenile Incarceration	YES	YES
Juvenile Diversion	YES	YES
Youth Service Bureaus	Jan. '77	March '77
Detention of Juveniles and Alternatives to its use	Feb. '77	March '77

FY 76

<u>Topics</u>	<u>Reports Available</u>	<u>Printed Summary Publication</u>
<u>Law Enforcement:</u>		
Street Lighting Projects	June '77	Aug. '77
Policing Urban Mass Transit Systems	April '77	June '77
<u>Courts:</u>		
Court Information Systems	Dec. '76	Feb. '77
Intensive Special Probation	Mar. '77	June '77
<u>Corrections:</u>		
Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders	YES	Jan. '77
Institutional Furlough Programs	Jan. '77	Mar. '77
Coeducational Correctional Institutions	*	*
Institutional Education Programs for Inmates	Aug. '77	Oct. '77
Employment Services for Release in the Community	Mar. '77	May '77
<u>Juvenile Justice and Delinquency Prevention:</u>		
Police Juvenile Units	*	*

* To be scheduled.

B. PHASE II STUDIES

The Phase II study is a full scale national level intensive evaluation of the effectiveness and utility of the project type in a variety of situations, and would also contain detailed standards for SPAs and operating agencies to use in assessing the effectiveness of similar programs which they fund or operate. The standards would address expected costs, level of effort, qualifications of personnel, program results, and likely effects of particular program variations.

Two Phase II studies were initiated in FY 76. Two to four additional Phase II intensive evaluations will be selected and initiated in FY 77 and three to six in FY 78.

FY 76

1. Treatment Alternatives to Street Crimes (TASC). LEAA is providing \$210,000 in cooperation with the National Institute of Drug Abuse, for an intensive evaluation of this program, to evaluate drug treatment services designed to reduce crimes by addicts. In addition, an evaluation of the TASC referral process was initiated, to assess project operations and the process by which state and local support is obtained to institutionalize such projects, replacing Federal funds. This eighteen month study is estimated at \$250,000 - \$300,000. Final report due by the end of 1978.

These evaluations are designed to reduce three major knowledge gaps that were identified by the Phase I study:

- . the lack of data on client outcomes after completion of the TASC program, especially as compared with otherwise similar groups of non-participants;
- . the absence of standardized information on project operations, which could be used for cross-project comparisons of such items as the number of persons processed through various TASC stages and the associated costs of that processing; and
- . the lack of analysis of the institutionalization process by which projects obtain state and local funding to replace the initial Federal support.

The final report is scheduled for September, 1978.

2. Pretrial Release Projects. This Phase II study, funded at approximately \$500,000 is addressed to the following gaps in knowledge identified in the Phase I study and other research:

- . The frequency, types and seriousness of crimes committed by releasees during the period of release,
- . Failure-to-appear rates,
- . The basis (criteria) on which release decisions are made,
- . Effects of release programs on the criminal justice system (incorporation in the rest of the system and adaptation of other elements of the system to pretrial release),
- . Costs and effectiveness, and
- . Differences in the above among different types of release programs (release-on-recognizance, deposit bail, supervised release, money bail).

The final report is scheduled for September, 1978.

II. PROGRAM EVALUATIONS

(National Institute of Law Enforcement and Criminal Justice, Office of Evaluation)

LEAA program level evaluations under the Knowledge Program are of four types, each based on a particular opportunity to develop information on the effectiveness of criminal justice programs and practices.

A. DISCRETIONARY (DF) PROGRAM EVALUATIONS

Evaluations of LEAA Discretionary (DF) Programs are undertaken in recognition of the unique opportunity which LEAA discretionary funding offers to develop sound demonstration program designs at the national level which will generate significant new knowledge concerning criminal justice programs and practices.

1. High Impact Anti-Crime Program. LEAA initiated a major evaluation of this program in FY 72 with an initial grant of \$2,000,000 to the MITRE Corporation, continued with \$441,500 additional funding.

The Impact Program was an intensive planning and action effort designed to reduce the incidence of stranger-to-stranger crime and burglary in eight American cities through the use of crime-oriented planning and crime-specific programs. The National Level Evaluation of the Impact Program included nine tasks:

- 1) The study of crime-oriented planning and implementation in the eight cities,
- 2) An assessment of progress made by the Impact Program toward institutionalization within the criminal justice system,
- 3) A study of the TASC programs which were attempted by Impact cities,
- 4) A study of programs undertaken by the cities which are based on the assumption that:
 - a) police activity is related to crime rates, or
 - b) the intensity of supervision is related to recidivism,
- 5) An examination of innovation in the Impact Program,
- 6) The identification of transferable Impact Projects,
- 7) The identification of effective evaluation techniques,
- 8) The documentation of the Impact Program history in each of the eight cities and from a national perspective, and
- 9) A final report which brought together the broader Impact issues, receiving inputs from the eight other tasks and developing its own information as well.

2. Pilot Cities Program. This demonstration program was evaluated under a FY 74 grant of \$309,104 to the American Institutes for Research (AIR), to assess the effectiveness of a team concept which linked a small team of criminal justice experts, independent of specific agencies, with the criminal justice system in eight cities to stimulate change, provide technical assistance, and conduct research. The report, published in 1975, found that the team concept could work well and could be transplanted to other locales. The study also found that "innovation" and "improvement" are not necessarily reinforcing, and may actually compete with each other.

FY 76. Two DF Program Evaluations were initiated:

1. Career Criminal Evaluation. This \$384,480 twenty-four month grant with MITRE Corporation is evaluating the career Criminal DF Program which is testing whether speedy prosecutions and incarcerations of habitual offenders will increase crime reduction. Final report due January, 1979.
2. Standards and Goals Evaluation. This \$500,000 twelve month contract will be awarded by October, 1976. It will evaluate the Standards and Goals/DF Program implemented in 27 states. Final report due January, 1978.

B. EXEMPLARY PROJECT REPLICATION EVALUATIONS

Replications are undertaken to demonstrate the replicability and effectiveness of outstanding criminal justice projects (with or without LEAA funding) that had significant benefits. Projects designated as Exemplary and subsequently selected by NILECJ's Office of Technology Transfer for LEAA supported experimental demonstrations in a number of sites are evaluated by NILECJ's Office of Evaluation to assess both effectiveness and replicability in different situations. To date, twenty projects have been designated as Exemplary, of which seven have been selected for replication.

1. Designated Prior to FY 76

- a. Prosecutor Management Information System (PROMIS), District of Columbia.
- b. Community-Based Corrections Program, Polk County (Des Moines), Iowa.

- c. Citizen Dispute Settlement Program ("Night Prosecutor"), Columbus, Ohio.
 - d. 601 Juvenile Diversion Project (Under Section 601 of California Penal Code), Sacramento, California.
 - e. Providence Educational Center (PEC), St. Louis, Missouri.
 - f. Neighborhood Youth Resources Center (NYRC), Philadelphia, Pennsylvania.
 - g. The Public Defender Service (PDS), District of Columbia.
 - h. Volunteer Probation Counselor Program, Lincoln, Nebraska.
 - i. Fraud Division, King County (Seattle) Prosecutor's Office Fraud Division, Seattle, Washington.
 - j. Fraud Division, San Diego County District Attorney's Office, San Diego, California.
 - k. Street Crime Unit (SCU), New York City Police, New York, New York.
 - l. Central Police Dispatch (CPD), Muskegon County, Michigan.
 - m. Administrative Adjudication Bureau (AAB), New York State Department of Motor Vehicles.
2. Designated during FY 76
- a. Community-Based Adolescent Division Project, Champaign-Urbana, Illinois.
 - b. Ward Grievance Procedure, California Youth Authority.

- c. Police Legal Liaison Division, Dallas, Texas.
 - d. Parole Officer Aide Program, Ohio Adult Parole Authority, Columbus, Ohio.
 - e. Major Offense Bureau (MOB), Bronx County, New York.
 - f. Rape/Sexual Assault Care Center (R/SACC), Des Moines, Iowa.
 - g. Creighton Legal Information Center (CLIC), Omaha, Nebraska
3. Evaluations of Replications
- a. FY 75
 - (1) Community-Based Corrections. This \$442,333, thirty month study by Florida State University is evaluating the OTT Des Moines Exemplary Project Replication in five cities. Final report April 1977.
 - (2) Police Crisis Intervention. This \$262,027 twenty-four month grant to Human Resources Research Organization (HUMRRO) is to evaluate the replication of the Family Crisis Intervention Program Prescriptive Package in six demonstration sites. Final report completed August 1976.
 - b. FY 76
 - (1) Neighborhood Team Policing Evaluation. \$392,443, twenty-four month grant with Urban Institute is evaluating full service neighborhood team policing program demonstrations in six cities. Final report due September, 1977.
 - (2) Improved Lower Court Case Handling. This \$278,899, eighteen month grant with MITRE Corp., is evaluating in several sites the Improved Lower Court Case Handling Program from a variety of perspectives, each involving a quantitative and a qualitative aspect. Final report due August, 1977.

- (3) Jury Utilization and Management (JUM). This \$86,886 twenty-four month grant to Creighton University Institute for Business, Law and Social Research will evaluate the replication of JUM projects in ten of nineteen demonstration sites. Final report due November 1978.

C. EVALUATIONS OF IMPORTANT STATE AND LOCAL PROGRAMS

State and local programs determined by LEAA to be of national importance are evaluated with support by NILECJ's Office of Evaluation in order to assess the impact of such major initiatives and innovations, and to provide a national audience with information about the experience and effects. This subprogram is designed to capitalize on major opportunities and programs are selected as these opportunities arise. Eight priority program evaluations were underway in FY 76.

1. Mass. Gun Law Evaluation. This \$298,900 twenty-four month grant with Boston University is studying the effect on the level of gun related offenses of the new Mass. state provisions for handling cases involving guns by prosecutors and including mandatory sentences. An interim report is scheduled in July 1977; final Report May 1978.
2. New York State Drug Law Evaluation. This \$457,575 fourteen and 1/2 month grant with the NYC Bar Association and is evaluating the impact on crime of the 1973 NY State Drug Law. Final Report due November, 1977.
3. Alaska Plea Bargaining. This \$324,000 twenty-four month grant with the Alaska SPA is to evaluate Alaska's current policy for eliminating plea bargaining. Final report due April, 1978.

4. NYC Court Employment Study. This \$297,499 twelve month grant with the Vera Institute is assessing the performance of the NYC Court Employment Project in reducing recidivism and enhancing educational and occupational opportunities for participants. Final report due May, 1977.
5. Computers and Police. This \$38,755 twelve month grant with Professor Richard C. Larson Massachusetts Institute of Technology, is studying the utilization and impact of computers on police activities. Final report due early in 1977.
6. NGC Marijuana Study. This \$84,000 six month grant with National Governors Conference is studying the legislative and resource impact upon states that have sought changes in marijuana enforcement postures. Final report due January, 1977.
7. AVM System Evaluation. This \$150,000 eighteen month grant with Public Systems Evaluation, Inc., is the second phase of the evaluation of the efficiency of the automatic vehicle monitoring system in dispatching patrol vehicles in St. Louis. Final report due February, 1978.
8. Regulatory Policies and Crimes. This \$55,232 twenty-four month grant with Stanford Law School is preparing a series of monographs on how regulatory policies on heroin, alcohol and hand guns influence crime patterns. Final report due September, 1978.
9. The Impact of Decriminalization on the Intake Process for Public Inebriates. Under a twenty-two month \$269,553 grant, the Institute for Studies in Justice and Social Behavior, American University Law School, evaluated the impact of decriminalizing public drunkenness on the intake of public inebriates and on other components of the criminal justice system in five cities. A model mechanism for delivering public inebriates to treatment facilities is proposed in the final report, completed in December 1976.

D. EVALUATIONS OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACTION PROGRAMS

Evaluation of all Juvenile Justice and Delinquency Prevention Program Initiatives is mandated in the Juvenile Justice and Delinquency Prevention Act of 1974. Evaluations continuing from FY 76 include five program initiatives, as well as four individual projects being evaluated to increase our knowledge of the effectiveness of innovative juvenile programs.

OJJDP Initiatives:

1. Deinstitutionalization of Status Offenders Initiative. A national evaluation grant of \$445,285 to the University of Southern California and eight local evaluation grants (totaling \$1,574,036) covering nine projects have been awarded to evaluate Deinstitutionalization projects which focus on juveniles whose offenses would not be offenses if they were adults - truants, runaways, etc. Individual reports on the nine projects are scheduled for February 1978 and the final report on the national evaluation is scheduled for July, 1978.
2. Juvenile Diversion Initiative. This grant of \$474,327 to the Behavioral Research Institute is for a national evaluation of a program to divert juveniles from the criminal justice system in order to reduce the likelihood that their experience in the CJ system will only increase their chances of becoming career criminals. The final report is scheduled for March, 1978.
3. Delinquency Prevention Through Youth Servicing Agencies Initiative. This grant of \$693,777 to the National Council for Crime and Delinquency is for a national evaluation of youth service agencies designed to deal with juvenile problems that may otherwise lead youth to a life of crime. The final report is scheduled for October 1978.

4. Juvenile Restitution Initiative. This grant of \$472,069 to the Institute for Policy Analysis is for a national level evaluation of programs under which juvenile offenders are required to make restitution to their victims, and are assisted in finding work opportunities to enable them to do so. The final report is scheduled for October 1978.
 5. Reduction in School Crime Initiative. This grant of \$525,320 to the Social Action Research Center is for a national evaluation of programs designed to reduce the incidence, severity and consequences of school crime. The final report is scheduled for October 1978.
- E. NATIONAL INSTITUTE FOR JUVENILE JUSTICE AND DELINQUENCY PREVENTION (NIJJDP) PROJECT EVALUATIONS
1. Philadelphia Youth Services Center Research and Demonstration Program. A one-year grant of \$119,369 to the Management and Behavioral Science Center will produce an evaluation report in December, 1977.
 2. Camp Hill Deinstitutionalization Project. This \$23,163 contract to Abt Associates, Inc., will produce an assessment report on the first year's progress in November 1976 and includes a feasibility study for continuing evaluation during FY 77.
 3. Evaluation of Effects of Alternatives to Juvenile Incarceration - A Cohort Analysis. This grant of \$305,109 to Harvard University's Center for Criminal Justice is to evaluate projects testing the effectiveness of juvenile corrections programs that are alternatives to incarceration. The final report is scheduled for October 1977.
 4. Research and Demonstration Program on Learning Disabilities and Delinquency. This grant of \$808,110 to Creighton University's Institute for Business, Law and Social Research is to assess the effectiveness of projects designed to reduce the likelihood that youth with learning disabilities become behavior problems in schools and then become delinquents. The final report is scheduled for October 1978.

F. NIJJDP ASSESSMENT PROGRAM

1. Planning Assistance Program to Reduce School Violence and Disruption. A \$118,000 study by Research for Better Schools, Inc., was completed in 1976.
2. Assessment of Rehabilitation Approaches for the Dangerous or Violent Juvenile Offender. A \$112,000 study by the RAND Corporation, completed in 1976.
3. Survey of Juvenile Gang Activity, by Professor Walter B. Miller of Harvard University, completed a \$49,000 study in 1976 and initiated a second year of work on a \$72,000 task which will be completed in 1977.
4. An Assessment of the Relationship Between Learning Disabilities and Delinquency was completed in April 1976 by the American Institute for Research for \$90,000.

G. EVALUATION METHODOLOGY DEVELOPMENT

Evaluation methodology development projects address special difficulties of measurement and analysis in the criminal justice field. Recent projects supported by NILECJ's Office of Evaluation include:

1. Assessment of Computerized Criminal Justice System Models. An FY 76 grant of \$150,077 to RAND Corporation produced a report, Criminal Justice Models: An Overview (April 1976) based on a review of models intended to assist decision making by criminal justice agencies. Twenty such models are described and reasons for limited implementation and utilization are discussed.
2. Stochastic Modeling and Analysis of Crime. This \$204,990, two year grant to Georgia Institute of Technology is developing techniques for predicting recorded crime rates in various size geographical areas and for reliably detecting changes in processes generating these rates. Final report scheduled for March 1977.

3. Bibliography and Design Project on Deterrence. This \$43,625 twelve month grant with the Hudson Institute is preparing an annotated bibliography of deterrence literature. Final report scheduled for March 1977.
4. Incapacitation and Deterrence. This \$120,801 twelve month grant with the Urban Institute is an extension of an earlier grant. This effort will examine the effect on deterrence of increased police expenditures as opposed to the effects of different police styles. Final report scheduled for May 1977.
5. Reverse Records Check. This \$95,823 twelve month grant with the Oregon Research Institute is comparing the crime incidents reported in the official police files with crime reported in the 1974 Portland victimization survey conducted by ORP. Final report scheduled for May 1977.
6. Development of Imprisonment Policies. This \$143,666 twelve month grant with Carnegie-Mellon is a continuation of an earlier study. Under this grant the researchers are exploring the possibility of developing empirically based models to project the crime control effects of various imprisonment policies. Final report scheduled for August 1977.
7. Performance Measurement and the Criminal Justice System: Four Conceptual Approaches. This October 1976 publication contains four research design conceptualizations focusing on productivity evaluation and attendant problems of data analysis from a system-wide perspective. The working papers for the Office of Evaluation were published in a limited edition by the Institute.
8. Indicators of Justice: Measuring the Performance of Prosecution, Defense, and Court Agencies Involved in Felony Proceedings. Two volumes, subtitled A Guide to Practitioners and Analysis and Demonstration, published June 1976 by the RAND Corporation, resulted from a 1975 Institute grant to focus on the selection, estimation and analysis of performance measures as statistical devices that aid in the interpretation of data drawn from court system operations, that is, from case files and other records in court, prosecution, and public defender agencies.

H. EVALUATIVE STUDIES IN RESEARCH PROGRAM

1. Survey of Criminal Justice Evaluation Studies. This grant of \$148,610 to the Hudson Institute will search, compile, review and analyze all relevant research dealing with the effectiveness of correctional programs. It covers 1970-1975 studies, and will produce a report in June 1977.
2. Evaluation of Maine Criminal Code. This grant of \$236,083 to Pennsylvania State University is for a 21 month evaluation of sentencing changes and practices, and shifts in criminal justice personnel and prison populations, resulting from the new Maine Criminal Code, which abolishes parole and indeterminate sentencing, decriminalizes certain offenses, provides for restitution to victims as an option to imprisonment for some cases, and attempts to reduce sentence disparities. Final report due September 1978.
3. Evaluation of Restitution Projects. The primary purpose of this twenty-four month grant of \$367,141 to the Criminal Justice Research Center, Albany, N.Y., is to assess the effectiveness of restitution by offenders to victims as a tool for dealing with offenders, that is, under what conditions and in what ways it affects offender attitudes and behavior. It will also collect information on satisfaction to victims and impact on the criminal justice system. Final report due December 1978.
4. Kansas City Police Response Time Analysis. This three year grant of \$682,000 to the Kansas City Police Department is to identify operational problems related to police response time to calls for service (crime reports, reports of potential crimes, and emergency calls). It will attempt to clarify the effect of response time on various outcomes of police services, such as arrests, witness identification and their availability at the time of trial, and citizen satisfaction. Final report: December 1976.

5. A National Project to Develop Police Performance Measures. An earlier study developed a system of performance measures, corresponding to a hierarchy of police objectives and sub-objectives. This phase two study will implement, refine and evaluate the performance measurement system in four major cities in the country. The American Justice Institute is conducting this work for \$425,631. Four products are due in May 1978:
 - a. An introduction to the use of the Measurement System
 - b. The Measurement System (tools)
 - c. Guidelines for implementation and operation
 - d. Guidelines for understanding measures and interpreting police performance.
6. Rules for Internal Discipline. The primary objective of this project is to field test in three operational agencies the prototype rules of conduct and disciplinary procedures developed during the previously funded project. The IACP will conduct this research over the next 24 months at a level of effort of \$393,375. Two reports, a Capsule Evaluation of Model Rules and Disciplinary Prototype and a Final analytical report on the field test, are due in July 1978.
7. Effect of Adjudicative Process on the Amenability to Rehabilitation. This is a \$218,000 grant to Stanford University to develop a measure for determining the impact of the courts on crime reduction. It will evaluate the effect of the adjudication process upon those attitude structures relevant to criminal behavior and will describe the nature and determinants of defendant attitudes toward criminal justice institutions. A monograph - to allow for assessment of past services and what resources will be needed in the future, was completed in October 1976.

8. Evaluation Design for Indigent Defense Programs. This \$219,000 grant to National Legal Aid and Defender Association developed and tested two model evaluation designs for programs in the field of indigent criminal defense. Both evaluations consider personnel practices, supervisory systems, caseloads, program budgets, and record-keeping systems in addition to issues concerning the quality of representation provided to indigents. The final report was completed in October 1976.
9. In-Depth Analysis of National Defender Survey. This \$187,000 grant to the National Legal Aid and Defender Association is to analyze empirically indigent defense services in order to identify the most effective and efficient means of providing indigent criminal defense. Final reports dealing with plea bargaining, costs of assigned counsel and defender services use of support personnel and early appointment of counsel were completed in November 1976.

I. EVALUATIONS OF LEAA DISCRETIONARY PROJECTS

1. An Evaluation of the Technical Assistance Programs and Services Offered to Local Prosecutors by the Prosecution Assistance and Technical Services Bureau of the National District Attorneys of the National District Attorneys Association. This evaluation to determine the efficacy of the management and activities of the NDAA's Technical Services Bureau was conducted by the Public Administration Service. Funded in FY 75: \$5,000. Report completed April 1, 1976.
2. District of Columbia Superior Court Model Courtroom Evaluation. An evaluation to determine the efficacy of the model courtroom at the D.C. Superior Court, which was constructed under an LEAA grant, was conducted by the National Clearinghouse for Criminal Justice Planning and Architecture. Funded in FY 75: \$18,000. Final report completed February 1976.

3. Victim/Witness Assistance Program. This FY 74 grant of \$85,000 to the Vera Foundation Research Division and the State University of New York (SUNY), Stony Brook, evaluated a program designed to reduce witness waiting time, decrease the number of cases dismissed because witnesses failed to appear in court, and to develop experimental social service programs to assist crime victims and witnesses. Final report available.
4. Project Turnaround. A \$156,032 FY 74 contract with Evaluation/Policy Research Associates, Ltd., and Price Waterhouse and Co., is for an evaluation of a Milwaukee County project designed to increase responsiveness to the needs and problems of victims and witnesses as they come in contact with the criminal justice system, and to test action programs to increase citizen cooperation. Final report completed November 1976.

II. THE MANAGEMENT PROGRAM

Under the Evaluation Management Program assessments are initiated to evaluate the efficiency, effectiveness, adequacy, appropriateness and utilization of major LEAA programs. LEAA has undertaken a number of such evaluations.

A. SIX-YEAR EVALUATION OF LEAA'S PROGRAMS

In FY 75 LEAA initiated a major evaluation of the first six years experience of its principal programs. The components of this effort included the following.

1. Legislative History. Executive Management Services, Inc., under an \$8,650 task order, analyzed LEAA's legislative history on the intent of Congress and the objectives of the LEAA Program. The completed report is available.
2. The Impact of the Block Grant Program. The Advisory Commission on Intergovernmental Relations conducted a \$250,000 study of LEAA's block grant program to the States, assessing the uses to which LEAA monies have been put, the impact of the program, and the development of comprehensive criminal justice planning in the States. The report is being published by the Government Printing Office in November 1976.
3. Relationship of LEAA Block Grant Program and General Revenue Sharing. The Brookings Institution, under an \$8,300 task order, analyzed the relative impact on local criminal justice systems of general revenue sharing funds and grants made from LEAA funds. The report will be available early in 1977.
4. State Administrators' Perspective on Various Federal Funding Mechanism. Under an \$8,000 grant to Professor Deil Wright, University of North Carolina, analyzed state criminal justice administrators' awareness of the LEAA program and other funding mechanisms, the relationship of LEAA's program to the criminal justice system and requests for and allocations of LEAA funds at the state level. The completed report is available.

5. Research and Information Dissemination. The National Academy of Sciences, under a \$150,000 grant, assessed the quality, impact and administration of the NILECJ research and development program, and conducted a use and impact evaluation of the National Criminal Justice Reference Service. The completed report is scheduled for publication early in 1977.

6. Information Systems and Statistics. Under a \$163,000 contract, Research Triangle Institute assessed the quality, impact and utility of the statistical collection and analysis activities and the systems development programs of the National Criminal Justice Information and Statistics Service. The completed report is available.

B. OTHER LEAA PROGRAM EVALUATIONS

1. Comprehensive Data System (CDS) Cost and Benefits Study. Under a combination 2 1/2 year grant and contract, totalling \$480,000 (\$257,000 granted from FY 74 funds, \$223,238 in a contract from FY 75 funds), the Institute for Law and Social Research analyzed the cost and benefits of the CDS program with emphasis on the interstate exchange of criminal histories through the Computerized Criminal History (CCH) component. Annual development and operating costs for the entire CDS program were estimated for the 10 year period 1975-1984. The initial report was produced in June 1975 and subsequently updated and finalized in March 1976. The published report is available through NCJRS.
2. Evaluation of National Crime Panel (Victimization Surveys). Under a \$300,000 FY 74 grant, the National Academy of Sciences, with a panel of outstanding criminologists, statisticians and other social scientists, has undertaken an examination and evaluation of the National Crime Panel. The National Crime

Panel is the large statistical survey developed by NCJISS's Statistics Division to measure continuously the amount and nature of assaultive violence and common theft in the United States. The evaluation will appraise the survey's accomplishment of its stated objectives with completeness, accuracy, reliability, perceptive analysis, and careful dissemination, and assess the utility of the results in light of the statistical needs of present and potential users. A final report summarizing findings and recommendations was completed in September 1976. A program for implementing many of the recommendations has been incorporated into the Five Year Plan for LEAA's Statistics Program.

3. Demonstration and Evaluation of a Pilot Interstate Transportation Index Service (ITIS). An FY 76 grant of \$432,960 to the National Sheriff's Association was to implement and evaluate a pilot project to reduce the average per-person, interstate transportation costs in returning criminal defendants, convicts and witnesses from sister states. Final report scheduled September 1978.
4. Evaluation and Analysis of Technical SEARCH Systems in Identification. An FY 76 grant of \$81,408 to SEARCH Group, Inc., was to test, analyze and evaluate an Automated Technical Fingerprint Search System of the State of Arizona obtained from Sperry Rand Corporation. The evaluation will also assess local, state and Federal compatibility, as well as transferability of the system to other jurisdictions. Final report scheduled for April 1977.
5. State Level Computer Assisted Latent Fingerprint Identification System Demonstration. An FY 76 grant of \$392,778 to the New York State Division of Criminal Justice Services was for development, demonstration and evaluation to determine the cost/effectiveness of an innovative, computer-assisted, latent fingerprint search concept concerned by the grantee, and would result in a unique state level identification bureau. Final report scheduled for July 1978.

6. Evaluation of Digital Facsimile System for Fingerprint Transmission. Under a \$6,857 contract with the New York State Division of Criminal Justice Services, an independent evaluation of the feasibility of transmitting fingerprints on an intrastate basis using a prototype digital facsimile system was conducted on the use in New York of a system developed by the California Crime Technological Research Foundation. The final report is scheduled for early 1977.
7. Implementation, Test and Final Design of a Standardized Crime Reporting System (SCRS II). This FY 76 grant of \$226,836 to SEARCH Group, Inc., is for testing and evaluating the SCRS concept's implementation in five test sites. (The initial development of a conceptual design, data elements and a prototype crime reporting form was completed and reported in SEARCH Technical Report No. 9) This multi-organizational effort involves SEARCH Group, the International Association of Chiefs of Police, the Uniform Crime Reports Section of the FBI, LEAA (NCJISS) and law enforcement agencies in test site jurisdictions.
8. Advanced 911 Trial in Alameda County (Phase II). NILECJ and NCJISS have cooperated in the implementation and evaluation of the 911 Emergency Telephone Service in Alameda County, California. The project will assess cost/effectiveness, focusing especially on three features: selective routing, automated number identification, and automated location identification.
9. Evaluation of National Law Enforcement Telecommunications System (NLETS). An FY 76 award of \$9,854 to Systems Management Associates, Inc., is to determine if NLETS is capable of supporting interactive communications such as Automated Legal Research, direct access to the National Criminal Justice Reference Service and the Correctional Educational Network. New Jersey and Pennsylvania are test sites. The evaluation report is scheduled for March 1977.

10. Demonstration and Evaluation of an Automated Legal Research System. An FY 76 grant of \$51,265 to SEARCH Group, Inc., to evaluate an Automated Legal Research System utilizing the West Publishing Company automated legal data base, their WESTKEY legal retrieval software and the National Law Enforcement Telecommunications System communications capabilities.
11. Evaluation of Computerized Criminal History/Offender-Based Transactions System. Under a contract of \$9,980 with Dr. Charles Friel, Sam Houston State University, four state programs were evaluated and a methodology developed for future evaluations. (This methodology will be used by NCJISS staff in evaluations of four additional state CCH/OBTS systems during FY 77.)
12. Offender Based State Corrections Information System (OBSCIS) Phase II. An FY 75 grant of \$167,962 to SEARCH Group, Inc., included a detailed assessment of OBSCIS implementation, considering organization and control, data element identification, input methods and validation techniques.
13. Computerized Criminal History System Needs and Uses Study. A grant of \$164,868 to SEARCH Group, Inc., in FY 75 provided for an analysis of data flows, uses, availability, timeliness and potential accuracy. The project has been completed and the final report is being published.
14. A \$336,000 grant to the Urban Institute provides assistance in implementing and evaluating the success of the Model Evaluation Program (See Development Program). The funds also provide support for technical assistance to state planning agencies and Regional Office Planner/Evaluators and for the identification of evaluation research needs (See Development Program).

C. DISSEMINATION OF EVALUATION PUBLICATIONS

An evaluation clearinghouse has been established at the National Criminal Justice Reference Service, bringing together and disseminating all available information on evaluation activities at the Federal, state and local levels. LEAA evaluation reports and an evaluation bibliography are available through the Clearinghouse, and evaluation documents from State and local assessments are available on loan.

D. COMPENDIUM OF SELECTED CRIMINAL JUSTICE PROJECTS

In addition, LEAA initiated a two-pronged effort 1) to develop an inventory of the more promising LEAA-funded projects and 2) to develop a system for the routine identification, validation, evaluation and eventual transfer of particularly promising criminal justice operations. The initial inventory of 660 Promising Project abstracts was published by LEAA as A Compendium of Selected Criminal Justice Projects in June 1975.

III. THE DEVELOPMENT PROGRAMA. MODEL EVALUATION PROGRAM

NILECJ's Office of Evaluation awarded \$1,875,000 in twelve grants (seven to SPAs and five to RPUs) during FY 75 and FY 76 under the Model Evaluation Program for the development of model evaluation systems which can be used by groups of states or regions which share similar problems or characteristics. This experiment will encourage state and local agencies to generate and use evaluation information. In addition, a grant was awarded to the Urban Institute to provide technical assistance and to evaluate the Model Evaluation Program. The grants under this program were the following:

1. Alameda Regional Criminal Justice Planning Board. This \$143,873 twelve month project was to advance the evaluation capability of the Alameda Regional Criminal Justice Planning Board beyond the competent but isolated project-level evaluations being produced to a more comparative assessment of alternative approaches to similar objectives. This effort examines the cost effectiveness of LEAA-supported projects and more traditional criminal justice activities and will provide the resources necessary to expand the use of more rigorous evaluation designs.
2. Central Midlands, South Carolina Model Evaluation Program. This \$42,340 twenty-four month grant allowed the Central Midlands Regional Planning Council to implement a regional evaluation program. The project used and added extensively to an existing geographic data base. This data base was utilized to measure the independent effect of criminal justice projects on the incidence of crime. An evaluation director was hired and charged with developing standard evaluation procedures for project-level evaluations, produce crime-specific evaluation plans, a variety of measurement instruments, and a final report on the project's activities and findings.

3. Central Oklahoma Model Evaluation Program. This \$107,148 twelve month grant allowed the Association of Central Oklahoma Governments (ACOG) to set up an in-house evaluation system. The Association is the regional planning unit for the four-county central Oklahoma area, which includes Oklahoma City, plus 32 cities and towns, with a total population of 692,000. The ACOG hired an evaluation staff to design, conduct, and analyze evaluations of selected regional criminal justice projects. The information culled from the evaluations enables the staff to develop a reservoir of evaluation data and criteria for use in future ACOG evaluation and planning activities. Products from the grant include a number of project-level evaluations and the data collected during these evaluations, evaluation training programs for local evaluators, and a final report detailing the costs and benefits of the program.
4. Jacksonville, Florida Model Evaluation Program. This \$84,712 twelve month project was proposed by the Jacksonville metropolitan planning agency to examine the value of increased evaluation activity in an urban governmental setting organized in teams along traditional police, courts, and corrections program areas.

System level information about the criminal justice activities in Jacksonville (such as client flow and agency interactions) were developed for use by the Office of Criminal Justice Programs in its planning and funding decisions.
5. Ventura, California Model Evaluation Program. This \$74,130 twelve month project combined an in-house evaluation capability with an on-going standards and goals effort. The Ventura Region Criminal Justice Planning Board had already developed an extensive statement of local criminal justice standards and goals and had undertaken a modest (\$47,000 for fiscal year 1975) agency-based evaluation effort. With the support obtained under this Institute Model Evaluation Program grant, the Ventura RPU developed a model Evaluation Program

to work toward the establishment of intensive evaluation components for all LEAA and California Council on Criminal Justice projects in the Ventura Region. The effort provided local criminal justice decision-makers with the evaluation information they need to assess the achievement of both project and agency standards and goals.

6. Illinois Model Evaluation Program. Under this \$249,968 twelve month project, the Illinois Law Enforcement Commission (ILEC) provided direct technical assistance in the area of project evaluation to selected rural and urban regional planning units. This assistance involves the direct participation of ILEC evaluation specialists in the development of grant applications, regional plans, and data collection efforts.

The grant provides some support for ILEC's ongoing project data standardization activities. By incorporating standard data reporting procedures into the grant application evaluation components, ILEC established and maintained a computer based information system for the production, storage, and retrieval of evaluation analyses. The project staff complements these efforts with the establishment of a resource library on evaluation activities, methodology, and results in criminal justice.

An assessment of the effects of this project is being made by comparing the utility of evaluation materials produced in the regions receiving evaluation assistance and in those which do not. A handbook describing project activities and results will be produced for use by other State Planning Agencies.

7. Massachusetts Model Evaluation Program. The Massachusetts proposal was to test whether development of an evaluation capability to serve RPU and agency administrators would result in improved planning and decision-making at both the SPA and regional/agency levels. (A \$248,985, twenty-four month grant.)

Massachusetts placed evaluators in selected regions and criminal justice agencies to serve as "consultants" to region/agency administrators. As a consultant, the evaluator advised the administrator of evaluation findings, designed and monitored project evaluations, and made recommendations for utilizing evaluation results. This support was to enable the region/agency administrator to base more decisions on empirical information.

In addition, the project is expected to produce prototype evaluation strategies for assessing programs and to produce six to nine program evaluations.

8. Michigan Model Evaluation Program. This \$247,575 twenty-seven month project expands the evaluation capabilities of the Michigan criminal justice community by integrating the evaluation efforts and staff of the Michigan SPA with those of several RPUs, the Michigan State University School of Criminal Justice, and three criminal justice operating agencies: the State Departments of Corrections and Education, and the Wayne County Sheriff's Department. These agencies work together toward the development of evaluation training programs, the planning and implementation of agency based evaluation programs, and the improved use of evaluation information in criminal justice planning. In order to accomplish these goals, professional staff members were hired and graduate internships were created. This effort, if successful, will be a valuable contribution to the knowledge about the utility of cooperative SPA-Operating Agency-University evaluation activities.
9. Pennsylvania Model Evaluation Program. Pennsylvania seeks to establish a three-level evaluation system to provide data regarding projects, programs, and their impact on the total criminal justice system. The capability of the Pennsylvania Regions is being improved through SPA training of staff, technical assistance, and standardization of methodology and data items. The findings of the project evaluations will be synthesized with evaluation results of SPA studies to form program level evaluations. The program is supported by a \$261,162 twenty-four month grant.

The SPA will utilize the program evaluations to assess the problems and functioning of the total Pennsylvania criminal justice system. It is expected that this information will result in improved planning and administration at both the SPA and regional/agency levels.

10. Virginia Model Evaluation Program. The purpose of the Virginia project is to develop an alternative to their current monitoring-evaluation system. The Virginia system consisted of obtaining outside professional judgement of a particular project after it is completed.

The alternative system developed under this \$177,148 twenty-four month grant is based on data items that are identified by the users and are quantified and amenable to computer processing. Development of such a system will enable the Virginia SPA to make program and project evaluations.

A test of the utility of the old (professional judgement) and new (quantifiable data) system will be conducted. This will be done by submitting actual evaluations of five projects, each evaluated by both methods, to five decision-makers for their judgement of the usefulness of each.

11. Washington State Model Evaluation Program: Field Training for Project level Evaluation. Under a \$202,866, twenty-four month grant, the Washington Law and Justice Planning Office is building upon their current evaluation activities and developing a statewide criminal justice evaluation training and support program. The capacity of the Washington SPA staff is currently limited to the review of proposals and rarely is able to go beyond attempts to improve the quality of grant applications. With the support of the Model Evaluation Program, the SPA, through a contract, is developing and implementing a field-centered training and support program to improve the evaluation efforts of state and local criminal justice personnel. This project is expected to result in more competent project evaluations at the local and agency levels and permit the SPA evaluation unit to spend more time on broader, policy-related issues of

program evaluation. This project provides the Model Evaluation Program with a training-oriented approach to the development of evaluation capability in local criminal justice agencies.

12. New Hampshire Model Evaluation Program. A twenty-four month grant of \$183,086, to the New Hampshire Governor's Commission on Crime and Delinquency. This grant provides assistance to develop ten to twelve standardized evaluation modules which can be utilized by the New Hampshire SPA to assess 400 individual projects. The data items for these evaluation modules will be prepared in machine readable form to permit easy storage and recall for comparison with similar projects. This will permit the New Hampshire SPA to produce project-level and program-level evaluations.
13. Assistance in Developing Appropriate SPA and LEAA Evaluation Systems. A \$336,036 grant to the Urban Institute provided assistance to the Office of Evaluation in the development of effective evaluation programs both at the State Planning Agency (SPA) and Regional Planning Unit (RPU) levels, as well as within LEAA itself. The grantee undertook three major tasks in support of this objective:
 - ° Assist LEAA in developing, implementing, and assessing the Model Evaluation Program.
 - ° Provide advice and assistance to SPAs and RPUs in developing evaluation and monitoring systems (as a follow-up to the evaluation and monitoring Prescriptive Packages now being developed for SPAs).
 - ° Assist LEAA in developing and critiquing evaluation designs, proposals, and RFPs as required by the National Institute.

B. EVALUATION TRAINING

1. Evaluation Training Program. An FY 76 grant of \$383,991 was awarded to the American Institutes for Research to develop, test and replicate a series of comprehensive evaluation training programs for SPA, RPU, and LPU supervisory boards, managers, monitors and evaluators. This project, which began September 1, 1976, will be completed in October 1977 and will prepare five training teams to deliver the training through five training centers established by LEAA throughout the country.
2. Training in Evaluation of Corrections. A grant of \$282,931 to the Center for Human Services in FY 75 provided for training approximately 500 correctional administrators and evaluators in corrections evaluation as a management, planning and decision making tool. Workshops were held in various Regions, based on an LEAA Prescriptive Package, Evaluation Research in Corrections - A Practical Guide. Followup training has been provided to participants implementing or improving evaluation efforts in their agencies.
3. Evaluation Management Workshop. A grant of \$33,000 to the National Conference of State Criminal Justice Planning Administrators in FY 75 supported an Evaluation Management Seminar for SPA directors and evaluators.
4. Evaluation Seminars. Evaluation seminars have been conducted by LEAA regional offices in Chicago, Denver and Philadelphia for LEAA, SPA and RPU planners and evaluators during FY 75 and FY 76.
5. Criminal Justice Planning Course. An evaluation module is included in this course, which has been developed and delivered by the Criminal Justice Planning Institute, University of Southern California, in a training program given to over 400 LEAA, SPA RPU and LPU managers, planners, evaluators and program staff from 1974 through FY 76.

APPENDIX BTO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

LEAA EVALUATION POLICY:

INSTRUCTION I 2300.5: ADDITIONAL POLICY GUIDANCE TO SUPPORT THE CONTINUED IMPLEMENTATION OF THE LEAA EVALUATION PROGRAM.

UNITED STATES
DEPARTMENT OF JUSTICE

LAW ENFORCEMENT ASSISTANCE
ADMINISTRATION

Instruction

I 2300.5

May 20, 1976

Subject: ADDITIONAL POLICY GUIDANCE TO SUPPORT THE CONTINUED
IMPLEMENTATION OF THE LEAA EVALUATION PROGRAM

1. PURPOSE. This Instruction has the following purposes:
 - a. To emphasize that LEAA management considers it to be of the highest priority that evaluation be made an integral part of the LEAA program at all levels;
 - b. To define the three evaluation policy goals which should guide the LEAA evaluation program;
 - c. To define the three LEAA evaluation program components which have been initiated to achieve the three evaluation policy goals;
 - d. To provide further policy and procedural guidance to relevant LEAA offices in order to ensure continued development of the LEAA evaluation program; and
 - e. To define individual office roles and responsibilities in the implementation of LEAA evaluation policy.
2. SCOPE. This Instruction applies to the professional staff in the Office of Planning and Management, the Office of Regional Operations, the Office of Operations Support, the National Institute of Law Enforcement and Criminal Justice, the National Criminal Justice Information and Statistics Service, the Office of Juvenile Justice and Delinquency Prevention, the Office of the Comptroller and all ten Regional Offices, and is of general interest to all LEAA professional personnel.
3. BACKGROUND.
 - a. Although significant LEAA evaluation efforts preceded the enactment of the Crime Control Act of 1973, the amendments to the agency's legislation (P.L. 93-83) contained in the 1973 Act provided further impetus to the development of an agency evaluation program. The 1973 Act requires that comprehensive law enforcement and criminal justice plans provide for "such ... monitoring and evaluation procedures as may be necessary", and it also requires that the National Institute of Law Enforcement and Criminal Justice should undertake "where

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possible, to evaluate the various programs and projects" for the purpose of determining "their impact and the extent to which they have met or failed to meet the purposes and policies" of the Crime Control Act. The results of evaluations are to be disseminated to State Planning Agencies and, upon request, to local governments.

- b. Following the enactment of the new evaluation mandate in the Crime Control Act of 1973, LEAA established an evaluation task force whose task it was to develop recommendations for evaluation policy, programs, and responsibilities within LEAA and in the State Planning Agencies. The task force was instructed to build upon previous LEAA evaluation efforts and respond directly to the new requirements for evaluation mandated by the Crime Control Act of 1973. The task force was authorized to develop a comprehensive evaluation program which would enable LEAA to identify valid, successful criminal justice programs and practices and would further the state of the art in evaluation of Federal social programs. This task force completed its work and submitted a final report in March, 1974. This report proposed three evaluation policy goals for LEAA and developed a comprehensive evaluation program for the achievement of those goals.
- c. In 1974, the Congress added evaluation responsibilities to LEAA when it passed the Juvenile Justice and Delinquency Prevention Act. The State plans required under this Act must provide for development of an "adequate evaluation capacity" within the State, and for an annual analysis and evaluation of program and project results. Further, the Act requires that programs funded under the Act are to continue unless the yearly evaluation of programs is unsatisfactory.
- d. In September, 1975, an Evaluation Policy Working Group was established with the specific mandate of building on the earlier work of the Evaluation Policy Task Force (March, 1974), and making recommendations for the resolution of evaluation policy issues which had been identified. This Working Group submitted its final report in January, 1976. Some of its major recommendations were to:
 - (1) Issue an agency-wide evaluation policy statement to codify agency evaluation policy;
 - (2) Reaffirm the evaluation policy goals proposed by the Evaluation Policy Task Force in March, 1974;
 - (3) Define clearly the three LEAA evaluation programs which had been initiated to achieve the evaluation policy goals;
 - (4) Assign specific responsibility and accountability to the appropriate LEAA offices for each of the evaluation programs and their components; and

- (5) Clearly define individual office roles and responsibilities in the implementation of LEAA evaluation policy.

This Instruction is specifically designed to achieve these purposes.

4. THE POLICY GOALS OF THE LEAA EVALUATION PROGRAM.

- a. LEAA considers it to be of the highest priority that evaluation be made an integral part of the LEAA program at all levels. The measurement of the effectiveness of the programs supported by LEAA funds is one of the highest priorities of LEAA management. Every effort must be made to learn whether programs and projects are having the effect intended, and whether they are cost-effective. The programs which LEAA supports must be designed so that their results may be measured, the measurement effort must be fully supported within LEAA and by its grantees, and the results of measurement must be made available to those who need them outside LEAA and used by managers in improving programs, in making program decisions, in the design of research and future evaluations, and in program design and development. To accomplish this LEAA has adopted the following three goals as the policy goals of its evaluation program:
 - (1) To develop information on the effectiveness of criminal justice programs and practices -- the KNOWLEDGE GOAL;
 - (2) To have all LEAA program managers employ management practices which use evaluative information in the formulation and direction of their activities -- the MANAGEMENT GOAL; and
 - (3) To encourage all agencies in the criminal justice system to develop and utilize such evaluation capabilities -- the DEVELOPMENT GOAL.
- b. To accomplish these three goals LEAA has developed three separate evaluation program components - one for each of the evaluation goals. In addition, LEAA has developed and issued further detailed policy and procedural guidance in the form of evaluation guidelines for LEAA block and discretionary grant programs. For the block grant program this additional guidance is found in Part II - Section 6 - Performance Measurement Plans, paragraphs 44-48 and Part III - Section 4 - Performance Measurement Utilization, paragraphs 64-68 of Guideline Manual M 4100.1E - State Planning Agency Grants (January 16, 1976). For discretionary grant programs this additional guidance is found in Part I, Chapter 3 - Measurement

of Performance: Evaluation and Monitoring of Discretionary Grants, paragraphs 31-43 of Guideline Manual - M 4500.1D - Guide for Discretionary Grant Programs (July 10, 1975). Moreover to ensure the implementation of LEAA evaluation policy, the agency has developed an evaluation planning cycle which will produce an annual agency evaluation plan. This annual plan specifies what evaluation activities will be carried out during the year and indicates precisely what the cost in manpower and dollars will be for the evaluation effort. It will also specify responsibilities within LEAA for the accomplishment of the tasks set forth in the annual plan.

5. EVALUATION PROGRAM COMPONENTS. The major components of the LEAA evaluation program are the following:

- a. The Knowledge Program. The Knowledge Program has a strong national focus in its operation and utility. Basically, it recognizes that certain types of information can best be produced through a nationally coordinated evaluation. Yet it is designed to capitalize on the action grant program by building the evaluation designs around the operating projects. The results of the program are expected to be of use to a national audience of criminal justice system planners and decision makers and to meet the Congressional mandate to identify what has been learned about reducing crime and improving criminal justice through the LEAA program.

(1) National Evaluation Program: This program sponsors a series of phased evaluation studies of specific approaches and programs already operating within the criminal justice system, including those supported under the block grant program. This program consists of the following specific phases:

- (a) Annual Survey. The program begins with an annual survey of every SPA to identify candidate "topic areas" for evaluation. Each topic area consists of on-going projects having similar objectives and strategies. Other topic areas are contributed by the Regional Offices and national LEAA offices and the results grouped into identifiable project types.

- (b) Phase I Study. From the topic areas which have been identified through the Annual Survey, a selected number are chosen for Phase I evaluation -- a 7-9 month study which identifies the key issues, assesses what is currently known about these issues and about the operational effectiveness of projects in the topic area, and develops a design for a full scale evaluation. Phase I evaluations are not meant to be definitive but should provide guidance based on the state-of-the-art, for short term decision-making.
 - (c) Phase II Study. The Phase II study is a full scale evaluation which would consist of a full assessment of the utility of the project type under a variety of situations, and would also contain detailed standards for SPAs and operating agencies to use in assessing the effectiveness of similar programs which they fund or operate. The standards would address expected costs, level of effort, qualifications of personnel, program results, and likely effects of particular program variations.
- (2) Program Evaluation. In addition to the National Evaluation Program, LEAA also undertakes selected program level evaluations specifically designed to develop information on the effectiveness of criminal justice programs and practices. Program level evaluations are undertaken in recognition of the unique opportunity which LEAA discretionary funding offers to develop sound program designs at the national level which will generate significant new knowledge concerning criminal justice programs and practices, knowledge which should be of use for future program development at all levels of the criminal justice system. These program level evaluations are joint NILECJ/program office undertakings.
- (3) Evaluative Research is also undertaken in order to develop new methods for assessing the effectiveness of criminal justice programs. Evaluative research concentrates on methodology standardization and the creation of a data center to give LEAA the capability to analyze existing and future criminal justice data bases to answer specific research and evaluation questions.

b. The Management Program.

- (1) The program for the Management Goal is designed to ensure that evaluation becomes an integral part of the management process for each administrative level of LEAA. Basically the objectives of this program are to:
 - (a) Provide well-defined measurable objectives for every LEAA component, program, and project;
 - (b) Provide accurate and timely information to assess the results of activities carried out to achieve those objectives;
 - (c) Ensure the consideration of evaluative information in all planning and decision-making.
- (2) Essentially, these objectives are accomplished by the implementation and utilization of the LEAA Management-by-Objectives (MBO) system. However, two additional components recently added to the Management Program are the development and implementation of an evaluation planning system based upon the MBO system and the design and implementation of an evaluation utilization system. Each of these additional components are detailed below:
 - (a) The Evaluation Planning System is basically designed to aid in the development of an LEAA capacity to produce an annual evaluation plan for the entire agency which would then be used for the allocation of agency resources to the evaluation program. Such a planning system is presently under development and is envisioned as consisting of the following specific steps:
 - 1 The OPM would issue clear guidance to each program office as part of the annual program planning exercise detailing criteria to be used for the selection of agency DF programs and projects for evaluation.
 - 2 Each program office would prepare as part of each workplan an evaluation plan. These plans should identify which DF programs/projects will be evaluated during the fiscal year and how that will be accomplished.
 - 3 OPM should review each program office annual evaluation plan and develop an inventory of planned agency DF evaluations.
 - 4 Based upon the review of program office evaluation plans, and supplemented by the NILECJ's evaluation plans in view of its accountability for the Knowledge Program, OPM

should prepare an annual agency-wide evaluation strategy as part of the overall MBO planning process.

- 5 OPM and OE will utilize the information gathered in steps 3 and 4 to work with selected program managers to help them define information needs and show them how to obtain and use timely monitoring information on both positive and negative program and project results.
- 6 OPM should also prepare an agency evaluation budget crosscut for presentation with recommendations to the Administrator as part of the annual budget process.

The result of these steps would be the production of an annual plan for evaluation of LEAA programs, indicating programs to be evaluated, costs and manpower requirements. A much more important result will be the development of enough information on evaluation plans to permit the Office of Planning and Management, in conjunction with the Office of Evaluation, to give direct assistance to program managers in the development of understanding about how to build evaluation into programs, how to ask the right questions, and how to obtain timely, usable information on program results.

- (b) The Evaluation Utilization System is basically designed to ensure the utilization of evaluation findings in agency decision-making. LEAA has found that the only way to guarantee that evaluation findings are used is to make sure that the answers that evaluations give are directly linked to the questions to which agency managers need answers. The way to assure that this happens is to arrange for dialogue between those who are planning programs and those who are able to ask questions about what program planners hope to learn, what hypotheses they are testing, and how they intend to use the results. Therefore the development of an evaluation utilization system is to be based upon the following specific elements:
 - 1 The active involvement of the National Institute (NILECJ) with the program offices in program design to ensure utilizable evaluation findings;
 - 2 The preliminary analysis of evaluation findings by relevant program office;

- 3 The development of a standard reporting system for reporting program/project evaluation findings to NILECJ;
- 4 The undertaking of a comprehensive analysis and integration of reported evaluation findings by NILECJ and the production of an annual synthesis of what has been learned about the criminal justice system through evaluation of LEAA funded programs.

Both of these two additional components of the Management Program are presently under development in OPM.

- c. The Development Program. The Development Program is aimed at building evaluation capabilities in LEAA and in the entire criminal justice system. The program is designed to incorporate and coordinate a variety of activities, including training, technical assistance, and supporting model evaluations at various levels of LEAA and in the criminal justice system. All of the activities of the Knowledge and Management Programs are structured to be maximally useful to the criminal justice community. Specifically, the objectives of this program are to:

- (1) Provide the means for a long-term continuing increase in the capability of criminal justice agencies to conduct and utilize evaluations.
- (2) Provide the means for the sharing of evaluation expertise within LEAA - both between Federal and State levels and between separate units at each level; and
- (3) Provide leadership to criminal justice agencies in evaluation.

6. DESIGNATION OF LEAD OFFICE RESPONSIBILITIES FOR EVALUATION PROGRAM COMPONENTS. In order to ensure the effective implementation of the LEAA evaluation program as well as the close coordination of the various program components, the Office of Planning and Management is hereby designated as the lead office for providing general oversight of the program as well as for monitoring the overall implementation and coordination of the program. See Figure One for the offices designated as lead offices responsible for the effective implementation of each of the respective evaluation program components:

FIGURE 1. LEAD OFFICE

<u>PROGRAM COMPONENT</u>	<u>RESPONSIBILITY</u>
a. Knowledge Program	NILECJ
b. Development Program	
1. Evaluation Training	OOS (Training Division)
2. Evaluation Technical Assistance and Other Capacity Building Activities	ORO (when this program is more completely developed and resources have been assigned to it)
c. Management Program	OPM

INDIVIDUAL OFFICE ROLES AND RESPONSIBILITIES IN THE IMPLEMENTATION OF THE LEAA EVALUATION PROGRAM. To further aid the implementation of the LEAA evaluation program, the individual roles and responsibilities of each respective LEAA office are detailed as follows:

- a. The Office of the Administrator shall:

- (1) Exercise overall responsibility for LEAA evaluation program;
- (2) Approve and issue LEAA evaluation policy and administrative requirements;
- (3) Allocate resources to the LEAA evaluation program;
- (4) Approve the EAA annual evaluation plan; and
- (5) Be responsible for making decisions regarding policies for the dissemination of evaluation findings.

- b. The Office of Planning and Management shall:

- (1) Develop and recommend agency-wide evaluation policy to the Office of the Administrator;

- (2) Develop agency discretionary and SPA evaluation guidelines for approval by the Administrator;
- (3) Establish criteria for the selection of discretionary programs for evaluation;
- (4) Develop in cooperation with NILECJ and each of the program offices an annual agency evaluation plan with recommendations for approval by the Administrator;
- (5) Develop and interpret requirements established for all components of LEAA under the management program;
- (6) Monitor and assess compliance with the requirements and report findings to appropriate office heads as well as to the Administrator;
- (7) Assess the effect of the evaluation program on management and decision-making by the various organizational units;
- (8) Monitor and coordinate the entire LEAA evaluation program;
- (9) Consult frequently with and provide assistance to relevant LEAA offices in the implementation of all approved evaluation policy working group recommendations, and coordinate the implementation of those recommendations.

c. The National Institute of Law Enforcement and Criminal Justice shall:

- (1) Implement national evaluation program phase one studies (state of current knowledge assessments);
- (2) Conduct national evaluation program phase two evaluations (intensive evaluations of selected phase one areas);
- (3) Design and fund evaluation of the Office of Technology Transfer replications;
- (4) Undertake the development of and improvement of evaluation methodologies;
- (5) Disseminate evaluation results to users within and outside LEAA;
- (6) Exercise lead role in the design of and the evaluations of selected experimental programs;
- (7) Develop recommendations to the Administrator on priorities for and selection of other experimental projects and programs;

- (8) Assist OPM and the program offices in the development of an annual agency evaluation plan for approval by the Administrator;
- (9) Develop designs for evaluation and demonstrations on a selected basis as these are generated from earlier knowledge program activities;
- (10) Develop and maintain capability to analyze, i.e. interpret the meaning of and make recommendations about use of evaluation results for research program development and management decision-making; and
- (11) Continue to provide evaluation technical assistance and other evaluation capacity building services to SPAs/RPUs until this function is transferred to ORO.

d. The Office of Regional Operations shall:

- (1) Ensure that selected ORO and Regional Office DF projects and programs are designed so that they can be evaluated;
- (2) Perform or request NILECJ to perform intensive evaluations of selected major ORO DF programs and projects;
- (3) Support OPM and NILECJ in the development of the annual agency evaluation plan;
- (4) Analyze present and projected evaluation results of those ORO and Regional Office DF projects and programs in which the evaluation design has been the responsibility of either ORO or one of the Regional Offices, with the analysis aimed at providing useful information to program desks and Regional Offices about the meaning and future use of those results;
- (5) Maintain liaison with the Planner-Evaluators in the Regional Offices with respect to the evaluation functions and activities of those persons;
- (6) Provide advice on evaluation training to the Training Division (OOS) through the LEAA task force on SPA/RPU training; and
- (7) Manage the evaluation technical assistance program and other evaluation capacity building activities, when those activities are transferred to ORO.

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e. The Office of Operations Support (Division of Training) shall:

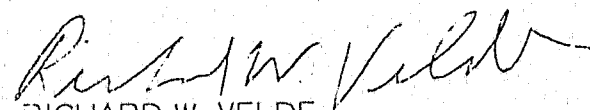
- (1) Develop and implement an evaluation training program for LEAA/SPA/RPU personnel;
- (2) Coordinate through a training task force all LEAA (central and regional) evaluation training activities to ensure consistency with agency evaluation policy; and
- (3) Support OPM and NILECJ in the development of the annual agency evaluation plan.

f. The Office of the Comptroller shall:

- (1) Provide support to OPM and NILECJ in the development of the budget component of the annual agency evaluation plan; and
- (2) Develop in cooperation with OPM and NILECJ the mechanisms necessary to ensure the incorporation of significant evaluation findings into the GMIS data base.

g. All other offices shall:

- (1) In cooperation with NILECJ, ensure that selected programs which they fund or operate are designed to ensure that they are evaluable;
- (2) Perform, or request NILECJ to perform, intensive evaluations of selected major programs and projects;
- (3) Support OPM and NILECJ in the development of the annual agency plan;
- (4) Utilize the results of evaluation activities in their own program decisions; and
- (5) Analyze and report results of evaluation activities to NILECJ (OE) for integration and synthesis.


RICHARD W. VELDE
Administrator

APPENDIX C

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

GUIDELINES FOR PERFORMANCE MEASUREMENT (MONITORING
AND EVALUATION) FOR LEAA DISCRETIONARY GRANT
PROGRAMS

The following guidelines for monitoring and evaluation requirements for the preparation of LEAA discretionary grant program applications appear in the January 16, 1976 edition (4500.1E) of Guideline Manual: GUIDE FOR DISCRETIONARY GRANT PROGRAMS.

(PLANNING GRANT APPLICATIONS)

SECTION 6. PERFORMANCE MEASUREMENT PLANS

44. PLANS FOR MONITORING AND EVALUATION.

- a. Act Requirement. The Crime Control Act and the Juvenile Justice and Delinquency Prevention Act require that State Planning Agencies make provision for monitoring, evaluation, and audit of the performance of subgrantees. The purposes of performance measurement are both to assure compliance with the requirements of the Act and to establish a basis upon which technical assistance and other kinds of aid may be given both by LEAA and by SPA and local planners to the subgrantees. This paragraph deals with the requirements for monitoring and evaluation.
- b. Purpose of Monitoring and Evaluation. The monitoring and evaluation requirements set forth in this paragraph are designed to assure that information is systematically generated for the SPA and local planners about the level of and reasons for the success or failure which is achieved by projects and programs funded by the SPA with LEAA monies. These requirements, therefore, are specifically designed to aid in the achievement of three broad purposes:
 - (1) The increased utilization of performance information at each level of the law enforcement assistance program in planning and decision making in order to assist program managers in achieving established goals;
 - (2) The acquisition and dissemination of information on the cost and effectiveness of various approaches to solving crime and criminal justice system problems; and
 - (3) The gradual development within State and local criminal justice system units of an increasingly sophisticated evaluation capability as part of their management systems.
- c. Definitions of Monitoring and Evaluation. For the purposes of the requirements specified below the following critical distinction is drawn between monitoring on the one hand and evaluation on the other:
 - (1) Monitoring: Monitoring involves describing planned project results and comparing these planned results with actual project achievements. Monitoring, therefore, provides current information on project performance (resources expended, activities implemented and objectives achieved), comparing project performance with some relative or absolute standard of expected performance to determine to what extent project

objectives are being met.

- (2) Evaluation: Evaluation involves a much more intensive analysis, utilizing more accurate or conclusive information that infers a causal relationship or that changes or achievements are, in fact, attributable to project activities. Evaluation, therefore, is designed to determine to what extent a specific set of program/project activities can be said to be directly related to the accomplishment of program objectives. The crucial difference between evaluation and monitoring is that monitoring is designed to measure outputs, whereas evaluation is designed to determine the extent to which those outputs resulted from the project or program or can be attributed directly to the program or project. Intensive evaluation, unlike monitoring, is not required on all projects. The SPA is required to evaluate only selected projects or groups of projects according to its planning needs and such evaluation must incorporate sound evaluation methodologies including, for example, experimental designs developed prior to project implementation, control groups, and independent data collection and analysis.

- d. Application Requirement for Monitoring and Evaluation Strategy. In its application the SPA shall develop a State strategy for monitoring the implementation, operation, and results of all the projects it supports and for intensively evaluating the results and impact of selected activities. The extent to which there has been local participation in the development of the strategy must be indicated. This strategy shall include a description of how the SPA plans to fulfill the following minimum requirements:

- (1) The SPA shall allocate sufficient resources to adequately carry out its monitoring and evaluation responsibilities.

- (a) The SPA shall identify the resources available for its monitoring and evaluation:

1 The amount and source of funds allocated in planning year for evaluation (Part B, C, E, and JJDP funds) and grant monitoring and the administration of the evaluation program (Part B funds).

2 The number and position of those persons responsible for planning, administering, and conducting evaluation and monitoring activities.

- (b) The SPA shall describe the organization of the evaluation and monitoring functions and how they are structured within the SPA.
- (c) The SPA is actively encouraged to delegate those monitoring and/or evaluation responsibilities to Regional Planning Units, or local units of government which the SPA deems to be appropriate for them. Systematic comparative evaluations of like projects throughout the state would not be candidates for delegation to local or regional agencies. Where the SPA elects to retain monitoring and/or evaluation responsibilities, the SPA must furnish local governments with monitoring and evaluation reports on a timely basis of those projects and programs operating within or affecting local jurisdictions. A description of the delegation of these functions, if any, is required, along with a description of the method for furnishing monitoring and evaluation reports to affected local jurisdictions. (See paragraph 44g)

- (2) The SPA shall insure that the subgrant application and the subgrant process provide the prerequisites for an internal assessment of each project by the subgrantee as well as more intensive monitoring and evaluation activities as determined by the SPA. The SPA shall indicate whoe will be responsible for reviewing applications to assure that these prerequisites exist for each subgrant, and when this review takes place in the grant process. These prerequisites shall include:

- (a) The identification of the problem in measurable terms;
- (b) Well defined objectives of the project stated in measurable terms;
- (c) Specific indicators and measures to be used to assess the results of the project;
- (d) Means of collecting data and information to assess the project's performance.

- (3) The SPA shall require subgrantees to conduct as part of the management of the project an internal assessment of their own project results. The internal assessment shall include:

- (a) An analysis of the results and impact of the project;
- (b) A comparison of the problem before and after the project;

- (c) A description of the implementation and operation of the project over time;
 - (d) Modifications of program activities called for by the assessment findings.
- (4) The SPA shall monitor the implementation, operation, and results of all the projects it supports. Such monitoring must compare actual activities carried out and results achieved with the activities and results originally specified in the grant application.
- (a) Such monitoring must include:
- 1 Periodic site visits and interviews with project staff and clients;
 - 2 An examination of the results of the project;
 - 3 An assessment of the progress and the problems of the project to date;
 - 4 Effective reporting procedures documenting project performance.
- (b) The purpose of the monitoring requirement is to insure that the SPA generates adequate information to carry out its management responsibilities. The SPA shall describe its monitoring system including:
- 1 What monitoring activities will be carried out;
 - 2 When monitoring activities will be carried out;
 - 3 Who will be responsible for monitoring activities;
 - 4 What type of data and information will be collected through the monitoring process;
 - 5 How and when monitoring information will be used to modify the operations of projects and affect the planning and funding decisions of the SPA.

- (5) The SPA shall intensively evaluate, either with its own staff or contracted evaluators or through arrangements with Regional Planning Units, selected projects or groups of projects according to its own and/or RPU planning needs. Intensive evaluations shall incorporate sound methodologies including, as appropriate experimental designs developed prior to project implementation, control groups, and independent data collection and analysis. The SPA shall;
- (a) Indicate the criteria which will be used to select the projects or programs to be intensively evaluated and the resources allocated to this level of evaluation. The criteria for selection may include:
- 1 Size of Grant: As a general rule, large projects should be evaluated, because of the potential significance and impact of the expenditure of large amounts of resources.
 - 2 Innovative Character: If a project appears to be representative of a relatively new approach, or one which has yet to be tested, an intensive evaluation should be conducted. Early intensive evaluation of new approaches should aid in the much more systematic development of the "state of the art" in criminal justice programs.
 - 3 Replicability or Transferability: If demonstrated to be successful, many projects can be replicated widely in other jurisdictions and agencies. In those instances where a project holds great potential for replication and transfer to other jurisdictions, an intensive evaluation should be strongly considered.
 - 4 Controversial Nature: In those instances in which a project or program is expected to be particularly controversial, an intensive evaluation should be conducted to permit the objective analysis of the project and its results.
 - 5 Priority Projects: Those activities which are related directly to high priority State goals and objectives should be given high priority for intensive evaluations.

- 6 Duration and Continuation: Short term projects which are not expected to be continued by the SPA or other agencies SHOULD NOT ordinarily be intensively evaluated. Similarly, those projects which expect to apply for continuation funding SHOULD be considered for intensive evaluation to insure that information about the project's performance is available upon which to base a decision concerning continuation funding. If a strong monitoring effort can provide sufficient information upon which to base a decision on continuation funding, then an intensive evaluation may not be warranted.
- 7 Nature of Project: Some projects because of their nature may not require an intensive evaluation. Large equipment purchases or the construction of facilities may be examples. The emphasis here should be placed on evaluating the NEED for the equipment or facility before awarding the grant. It is appropriate to consider an intensive evaluation of the USE of the equipment or the facility when they are directly related to a program with specified objectives.
- 8 Cost and Difficulty of the Evaluation: Certain projects, by nature are methodologically far more difficult and/or costly to evaluate than others. In some instances, to obtain information sufficiently accurate and complete to warrant a reasonable level of confidence, it is necessary to allocate more for the evaluation of the project than appears reasonable. The results obtained from such an evaluation may not warrant the expense.
- (b) Describe the process in which intensive evaluations are planned and implemented (including the way in which contracted evaluators are selected, if they are used);
- (c) Describe the relationship between intensive evaluation and planning including:
- 1 Procedures for reporting, corroborating, and utilizing evaluation findings in the planning and funding decisions of both the SPA staff and the supervisory board.

- 2 Measures taken to insure the independence of the evaluators from the project, the objectivity and accuracy of the evaluation, and the timely submission of evaluation reports.
- (6) The SPA staff and the Supervisory Board are required to take account of the results of the national evaluation program and its own evaluations in planning its future activities and to forward copies of all final reports of intensive evaluations to the LEAA Regional Office and to the National Institute.
- e. Application Requirements for Evaluation Needs Assessment. The SPA shall:
- (1) Identify its own chief evaluation needs including:
- (a) The need for evaluation training,
- (b) The need for qualified evaluation specialists,
- (c) Funding for evaluation,
- (d) Authority to conduct evaluation.
- (2) Describe the SPAs plans for meeting its own needs;
- (3) Describe any evaluation assistance the SPA plans to offer local criminal justice agencies this year, including:
- (a) Training assistance (conferences, workshops, etc.)
- (b) Anticipated projects to develop research and evaluation units within local agencies,
- (c) Technical assistance, and
- (d) Ways in which Federal level assistance is needed for these activities.
- f. Application Requirements for Support of the National Evaluation Program.
- (1) The SPAs are expected to describe their activities in response to the national evaluation program which have included:
- (a) Identifying candidate projects and programs for evaluation in the national evaluation program;
- (b) Cooperating in developing and implementing the evaluation design;

- (c) Serving as liaison between NILECJ, its contracted evaluator, and the subgrantee;
 - (d) Providing requested data; and
 - (e) Monitoring the project and the evaluation.
- (2) In its application the SPA shall specify those evaluation efforts planned for the year which are expected to have significant new knowledge of interest to a national audience.

(COMPREHENSIVE STATE PLAN)

63. COMPREHENSIVE COVERAGE AND ALLOCATION TO SUBSTANTIVE AREAS OF LAW ENFORCEMENT AND CRIMINAL JUSTICE.

- a. Comprehensive Coverage of System and Elements. The comprehensive plan must contain, as paragraph 74 requires, full coverage of all elements of the criminal justice system. The annual action program, which provides for the allocation of funds granted by LEAA, should demonstrate that the needs of the criminal justice system as a whole have been considered in the decisions made about allocation of funds. A brief narrative explanation must be presented which indicates that a rational and equitable allocation has been made, taking account of the needs identified in the analysis section of the plan.
- b. Allocation to Substantive Areas. Major law enforcement and criminal justice elements or agencies or activities may not be included in significant degree or at all in the annual action program. An explanation of the basis for the allocation made must be provided either here or elsewhere in the plan, with the explanation linked to the analysis made of needs and also to the analysis of how the criminal justice system as a whole is allocating funds.
- c. If any major law enforcement and criminal justice element (corrections, courts, police, prosecution, etc.) is not included in significant degree in the annual action program, an explanation of the basis for the omission must be provided here or elsewhere in the plan.

SECTION 4. PERFORMANCE MEASUREMENT AND ITS UTILIZATION

64. SPECIFIC PLANS FOR INTENSIVE EVALUATION. The Crime Control Act and the Juvenile Justice and Delinquency Prevention Act require the State Planning Agency to monitor and/or evaluate programs and projects funded under the Act and permit other evaluations as well. The definitions of monitoring and evaluation set forth earlier in this Guideline Manual in paragraph 44 apply to this paragraph. The SPA is required to evaluate intensively, either with its own staff or contracted evaluators, selected projects, groups of projects, or programs according to its planning needs. Intensive evaluations shall incorporate sound evaluation methodologies including, as appropriate, experimental designs developed prior to project implementation, control groups, and independent data collection and analysis. The SPA shall herein describe its evaluation action program for the planning year. The SPA shall:

- a. Indicate the projects or programs to be intensively evaluated, the criteria by which they were chosen, and the resources allocated to this level of evaluation, and whether they are wholly or partially funded by the SPA or by other sources.
- b. Describe the process in which these intensive evaluations are planned and implemented (including whether the evaluation will be undertaken by SPA staff or contracted evaluators. If contracted evaluators are used, the way in which the contracted evaluators were selected must be included).

65. RESULTS OF MONITORING AND EVALUATION (PROGRESS REPORT). The measurement of the results achieved by programs and projects undertaken with LEAA funds should produce information of value to the State Planning Agency, and to LEAA. The purpose of the progress report required by this paragraph is to provide a report of those results in summary form so that its utility will be maximized. The State comprehensive plan must contain a progress report which meets the requirements in a. and b. below:

- a. Provide a progress report for each program for the last complete funding cycle in the State, but not for a year earlier than 1974. The progress report must include the following elements for each program:
 - (1) Title and amount of funding.
 - (2) Short statement of the goal.
 - (3) A description or assessment of:
 - (a) The impact of the program on the criminal justice and juvenile justice systems.
 - (b) The impact of the program on a specific crime problem.
 - (c) The extent to which continuation support for each program and project no longer to be funded with State block grant action monies has been sought and obtained or will be sought during the period of the current year's plan. Specifically, the following data must be provided:

- 1 The numbers and types of projects continued from among the total number of projects supported by LEAA funds;
 - 2 The level of government (state, county, city) involved in providing continuation of financial support;
 - 3 The level at which the funding and operations of the project are continued compared to its original scope; and
 - 4 The criteria used in deciding continuation of project support after Federal funding ceases.
 - (d) The problems encountered in the implementation of the program.
 - (e) The findings of any intensive program and project evaluations which the SPA may have undertaken in the program in the last complete funding cycle.
- b. Provide, for the last complete funding cycle in the State, but not for a year earlier than 1974, specific reports on 10-20 selected projects which have produced substantial evidence of having had a measurable impact in either the reduction of crime or the improvement of the criminal justice system and which evidence particular promise of future success and possibilities for replication elsewhere. The State Planning Agency must supply for each selected project:
 - (1) Title and amount of funding.
 - (2) A clear statement of the objectives of the project.
 - (3) A detailed description of the activities performed or services provided by the project.
 - (4) A quantified statement of the impact of the project.
 - (5) A description of the data available to substantiate that the project has had a measurable impact in either the reduction of crime or the improvement of the criminal justice system.
 - (6) A description of how the State Planning Agency has monitored the project's operations and reported results.

- (7) If the project has been intensively evaluated, a detailed description of the evaluation conducted. This description must include:
- (a) A description of the process by which the intensive evaluation was planned and implemented (including whether the evaluation was undertaken by SPA staff or contracted evaluators. If contracted evaluators were used, the way in which the contracted evaluators were selected must be described.)
 - (b) A description of the evaluation methodology employed.
 - (c) A clear statement of the findings of the intensive evaluation.
- (8) A list of references to responsible persons involved in the project who could attest to the impact of the project.

c. Alternative Progress Report. Usually State Progress Reports are prepared for special legislative, public information or other purposes. To the extent such reports, as approved by the LEAA Regional Administrator, can provide a complete program by program view of past funding results and a showing of the uses of these results in plan development and implementation, they may be used in lieu of the format set forth in this section. However, such State Progress Reports shall be approved by the LEAA Regional Administrator as an alternative progress report only if they include each of the elements required in paragraph 65 a and only if they include the specific project reports required under paragraph 65 c. If the State Progress Reports satisfy the requirements of paragraph 65 a but do not include the specific project reports required under paragraph 65 b, the specific project reports may be submitted as a supplement to the State Progress Report.

d. Limits to Coverage. The requirements for Progress Reports are primarily concerned with annual action program content and the use of program results in feedback for future plan development. State Planning Agency operations, activities of supervisory boards, regional or local fund distribution, grant administration, etc., are functions which are subject to Part B planning grant reporting requirements.

66. USES OF PERFORMANCE MEASUREMENT DATA FROM AUDITS, AND FROM MONITORING AND EVALUATION RESULTS. Results of audits and of monitoring and evaluation activities of the State Planning Agency are available to the State Planning Agency and to others for use in the development and improvement of programs, in the development of plans for the assumption of costs, in the development of proposals for second or third year project funding, and in the development of plans for the delivery of technical assistance. The plan must indicate how these performance measurement results have been used. If other sections of the plan or planning grant meet this requirement, a summary page reference is all that is needed here. If they do not, a description of the uses of performance measurement results is required here.

APPENDIX D

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

PERFORMANCE MEASUREMENT

(MONITORING AND EVALUATION)

GUIDELINES
FOR
STATE PLANNING AGENCY GRANTS

(Guidelines Manual M4100.1E)

APPENDIX 4. MEASUREMENT OF PERFORMANCE: EVALUATION
AND MONITORING OF DISCRETIONARY GRANTS

1. BACKGROUND. The measurement of performance of discretionary grants by LEAA has been clearly mandated by the Crime Control Act of 1973 and the Juvenile Justice and Delinquency Prevention Act of 1974. Performance measurement is required because it is essential to know which programs are working and which programs are failing and why. LEAA considers it to be of the highest priority that performance measurement be made an integral part of the LEAA program at all levels. Every effort must be made to learn whether programs and projects are having the effect intended and whether they are cost effective. It is therefore LEAA policy that every application for discretionary funds contains a fully developed plan for generating on a regular basis sufficient performance data to allow LEAA to closely monitor grant progress. In addition for certain programs, selected on an annual basis as part of the annual LEAA agency-wide evaluation plan, it is LEAA policy that applications contain separate and distinct evaluation plans which fully meet the criteria set forth in this chapter and which enables LEAA to intensively evaluate grants for those projects and programs in addition to the normal monitoring of grant activity.
2. THE FOUR TYPES OF PERFORMANCE MEASUREMENT. The performance measurement requirements set forth in this chapter are designed to assure that information is systematically generated about the level of, and the reasons for, the success or failure which is achieved by projects and programs funded with LEAA monies. More specifically, the purpose of these requirements is to provide for a process which permits determination of the extent to which discretionary fund projects are contributing to LEAA program objectives, general objectives, and overall goals. Finally, these requirements are designed to determine the relative effectiveness and costs of different approaches to the same objectives. Grantees can expect that the measurement of performance of projects funded with Discretionary Funds will be undertaken in as many as four ways. These include:
 - a. Self-Assessment through which all recipients of discretionary funds assess their own project results in accordance with an assessment plan approved by LEAA.
 - b. Monitoring through which projects supported by Discretionary Funds are closely monitored by appropriate SPA and LEAA personnel.
 - c. Program Evaluation through which selected LEAA programs, consisting of groups of similar projects or of projects of different kinds aimed at achievement of the same objectives, are evaluated by

independent evaluators selected by LEAA in accordance with an evaluation design approved by LEAA. Only a limited number of LEAA programs will be selected each year for this type of intensive program level evaluation. These programs will be selected as part of the development of an annual LEAA agency-wide evaluation plan.

- d. Intensive Project Evaluation through which selected projects are intensively evaluated by an independent evaluator approved by LEAA and in accordance with an evaluation plan approved by LEAA.

3. PERFORMANCE MEASUREMENT PREREQUISITES FOR ALL DISCRETIONARY GRANTS.

Each grant application for discretionary funds must provide the following minimum prerequisites for self-assessment by the grant recipient and for monitoring by LEAA and SPA's of the activities to be carried out by the grantee.

- a. The identification of the problem which the grant addresses in measurable terms.
- b. A clear statement of project goals or objectives in tangible, measurable terms. The goals or objectives should denote the project's impact on the reduction of crime and/or delinquency, prevention of juvenile delinquency, or the improvement of the criminal justice system.
- c. A statement of the hypotheses and working assumptions which provided the conceptual foundation and thrust for the project.
- d. Specific indicators and measures to be used to assess the results of the project against its own objectives, and also to be used in assessing its contribution to the program.
- e. A description of the means to be used in collecting data and information needed to measure and assess project performance. All these elements must be combined into a performance measurement plan which must be a part of each grant application. This performance measurement plan is to be included in Part IV, Program Narrative of the grant application, under Section 3, Approach. (See Appendices 7 and 8). This plan should form the basis for grantee self-assessment as well as LEAA project monitoring as described in the paragraphs below.

4. SELF-ASSESSMENT.

- a. Assessment by the grantee of his own performance, or self-assessment, shall include:
- (1) An analysis of the results and impact of the project on the problem including the extent to which specific objectives were achieved.
 - (2) A comparison of the status of the problem before and after the project, and a quantitative description of the nature of the change.
 - (3) A description of the implementation and operation of the project.
 - (4) Modifications of program activities called for by the self-assessment findings and by any monitoring findings.
- b. Progress Reports (Self-Assessment Reports) shall be submitted by the grant recipient quarterly to the LEAA Regional Office and the appropriate SPA in the form specified in Appendix 3, Paragraph 7a.

5. LEAA PROJECT MONITORING.

- a. All projects supported by Discretionary Funds will be monitored by LEAA and SPA's on a periodic basis. Monitoring involves reviewing planned project results and comparing these planned results with actual project achievements. Monitoring, therefore, provides current information on project performance (resources expended, activities implemented and objectives achieved), comparing project performance with some relative or absolute standard of expected performance to determine to what extent project objectives are being met. Projects can expect that monitoring will include:
- (1) A comparison of actual activities carried out and the results actually achieved with the activities and results originally specified in the grant application.
 - (2) An examination of the objective and subjective results and impacts of the project on project and program objectives, and on the specific problems addressed by the project.
 - (3) LEAA assistance when appropriate in solving implementation problems.

- b. Monitoring will involve periodic site visits by LEAA project monitors and interviews with project staff and clients.
 - c. Monitoring will be based on the grantee's Performance Measurement Plan required in Appendix 4, Paragraph 3.
6. EVALUATION REQUIREMENTS. In addition to the performance measurement requirements for all discretionary grants, discretionary grants in certain selected LEAA programs will be intensively evaluated by an independent evaluator either as part of an intensive program level evaluation or individually as intensive project level evaluations. Evaluation involves much more intensive analysis than monitoring and utilizes more accurate or conclusive information that infers a causal relationship or that changes or achievements are, in fact, attributable to project activities. Evaluation, therefore, is designed to determine to what extent a specific set of program/project activities can be said to be directly related to the accomplishment of program objectives. The crucial difference between evaluation and monitoring is that monitoring is designed to measure outputs, whereas evaluation is designed to determine the extent to which those outputs resulted from the project or program or can be attributed directly to the program or project. Evaluations will be undertaken each year only in selected program areas which have been determined as part of the process of developing the annual LEAA agency-wide evaluation plan. In such cases where intensive project or program level evaluation is required, the grantee will be required to submit as part of the discretionary grant application an evaluation plan in addition to the assessment plan required for all discretionary grants. This evaluation plan is to be included in Part IV, Program Narrative, of the grant application, under Section 3, Approach (see Appendices 7 and 8). The required components of the evaluation plan are defined for both program level evaluation and project level evaluation in paragraphs 7 and 8 below.
7. PROGRAM EVALUATION. Those major LEAA programs which have been selected for program level evaluation according to the LEAA annual evaluation plan will be evaluated in depth by the National Institute of Law Enforcement and Criminal Justice or the National Institute of Juvenile Justice and Delinquency Prevention. The programs which have been selected this year for national program level evaluation are indicated in the appropriate program descriptions (Chapters 1 through 4). These evaluations will be carried out in accordance with an evaluation plan developed by the National Institute and by an independent evaluator selected competitively by LEAA. Such program level evaluation should be funded by the National Institute but may, if the

relevant LEAA program office so desires, be funded by that office. Although these programs will be evaluated in accordance with an evaluation plan developed by the National Institute and by the independent contractor, applicants for grants in these programs must submit as part of the discretionary grant application a proposed evaluation plan for their particular projects. This proposed evaluation plan is to be included in Part IV, Program Narrative, of the grant application, under Section 3, Approach (see Appendices 7 and 8). This evaluation plan must:

- a. Propose the measures of effectiveness that should be used to evaluate the project (e.g., the number of addicts drug free or employed six months after release from treatment; the percent reduction in court backlog; etc.), and why these indicators are accurate measurements of the impact of the project.
- b. Describe the data and information which should be necessary for evaluation, including:
 - (1) The kinds of data to be obtained;
 - (2) The source and date of the data (e.g., police records, court files, project forms);
 - (3) The extent to which the data is expected to be accurate and its expected relevance to the measurement of project results and impact; and
 - (4) The frequency and format in which the data can be collected. Where possible, examples of all forms that can be used in collecting data and information should be included with the application attached to the Evaluation Plan.
- c. Indicate what steps should be taken to provide regular reporting of evaluation findings to the project and the uses to which evaluation results are likely to be put.
- d. Propose an evaluation design, the evaluation activities which should take place (site visits, interviews with staff and clients, record-keeping and data collection, submission of reports, etc.), and who should be responsible for these activities.

Although only a limited number of LEAA programs will be subjected to this level of evaluation each year, all projects related to the program being evaluated will be required to provide each of the elements of the evaluation plan indicated above and in addition will be required to modify their proposed evaluation plan as necessary in order to be integrated into national level program evaluation to be undertaken by the nationally selected independent contractor. All

projects related to the program being evaluated will be required to indicate in advance their willingness to cooperate fully with the national contractor and to participate in the program evaluation.

8. INTENSIVE PROJECT EVALUATION.

- a. In addition to the major program level evaluations which are undertaken by LEAA each year, selected projects for which more definitive information is desired than routine monitoring can provide will be selected by LEAA for intensive impact and cost-benefit evaluation. These are indicated in the program descriptions (Chapters 1 through 4).
- b. Each application for a grant under a program for which intensive project evaluation is required must contain a separate Evaluation Plan. This Evaluation Plan is to be included in Part IV, Program Narrative of the grant application, under Section 3, Approach (see Appendices 7 and 8). The Evaluation Plan must:
 - (1) state the project objectives or goals in terms of tangible measurable impacts on criminal justice improvement;
 - (2) nominate for LEAA approval an independent professional evaluation subcontractor, selected by the grantee and paid out of grant funds; evidence must be presented to show that the people responsible for conducting the evaluation portion of the project have specific education and experience in the design and conduct of experiments, objective measurement and data collection, statistical analysis, and cost analysis;
 - (3) contain an evaluation plan agreed to by the evaluator which specifies:
 - (a) what data will be collected;
 - (b) how the data will be collected;
 - (c) how the data will be analyzed;
 - (d) what schedule of events will be followed; and
 - (e) what reports, including quarterly and final evaluation reports as a minimum, will be made during the course of the project being evaluated and after its other activities have been completed.

Project evaluations shall incorporate sound evaluation methodology including control groups and independent data collection where appropriate.

- c. Services of evaluators will be obtained in conformity with the requirements of LEAA Guideline Manual M 7100.1 (effective edition), with respect to obtaining competition to the maximum extent practical. The costs of intensive project evaluations shall be included in the project budget and identified as a separate additional grant activity on LEAA Form 4000/3 (Appendix 10). In general, the costs of intensive project evaluation should not exceed 15% of the total project cost. Budget allocations for evaluation may not be changed by the grantee without prior LEAA approval.
- d. Although only a limited number of projects are selected each year for intensive project level evaluation and these are indicated in the program descriptions (Chapters 1 through 4), applicants may include an evaluation component in any grant application to the extent to which the applicant believes that an evaluation effort would assist to improve the project or to improve decisions relative to future resource allocations.

APPENDIX E

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

LEAA CRITERIA FOR SELECTION OF
PROGRAMS AND PROJECTS TO BE EVALUATED
INTENSIVELY

CRITERIA FOR LEAA SELECTION OF PROGRAMS AND PROJECTS TO BE
EVALUATED INTENSIVELY

Criteria to be used in LEAA for selecting LEAA programs and programs and projects for intensive evaluation include:

- a. Priority Projects. Those activities which relate directly to LEAA high priority goals and objectives should be given high priority for intensive evaluations.
- b. Importance of Problem. If the problem which the program or project addresses is an important problem of crime reduction or criminal justice system performance, an intensive evaluation should be given high priority for intensive evaluations.
- c. New Initiatives. A high priority will be placed on selecting those programs which are undergoing substantial revision. A sound evaluation design is most easily incorporated at the beginning of the program development cycle. All Juvenile Justice initiatives are required to be evaluated by the enabling legislation.
- d. Innovative Character. If a program or project appears to be representative of a relatively new approach, or one which of a relatively new approach, or one which has yet to be tested adequately an intensive evaluation should be conducted. Early intensive evaluation of new approaches should speed the systematic development of the "state of the art" in criminal justice programs.
- e. Controversial nature. In those instances in which a program or project is expected to be particularly controversial, an intensive evaluation should be conducted to permit the objective analysis of the program/project and its results.
- f. Congressional or Public Interests. If Congressional or public interest in a particular program area is high, pertinent programs or projects should be evaluated.
- g. Replicability of Transferability. If demonstrated to be successful, many projects can be replicated widely in other jurisdictions and agencies. In those instances where there is great potential for replication and transfer to other jurisdictions, an intensive evaluation should be strongly considered.

- h. Size of Grant. As a general rule, all large projects should be evaluated, because of the potential significance and impact of the expenditure of large amounts of resources.
- i. Duration and Continuation. Those projects which expect to apply for continuation funding should be designed to insure that information about the project's performance is available upon which to base a decision concerning continuation funding. A strong monitoring effort may provide sufficient information upon which to base a decision on continuation funding, but an intensive evaluation may be necessary if effectiveness measures are important to the continuation decision. Short term projects which are not expected to be continued by LEAA or other agencies should not ordinarily be intensively evaluated.
- j. Nature of Project. Some programs and projects because of their nature may not require an intensive evaluation. Large purchases of equipment that has already been evaluated or the construction of facilities may be examples. The emphasis or the construction of facilities may be examples. The emphasis here should be placed on evaluating the need for the equipment or facility when they are directly related to a program with specified objectives.
- k. Cost and Difficulty of the Evaluation. Certain programs and projects by nature are methodologically far more difficult and/or costly to evaluate than others. In some instances, to obtain impact information sufficiently accurate and complete to warrant a reasonable level of confidence, it is necessary to allocate more for the evaluation than appears reasonable for the project. The results obtained from such an evaluation may not warrant the expense. If undertaken, such evaluations must begin with a feasibility study.
- l. Feasibility. If it appears to be infeasible to conduct an evaluation that will produce meaningful results, given the program design and anticipated difficulties of conducting an evaluation in the field, an intensive evaluation should only be attempted if there are overriding considerations, and the evaluation must begin with a feasibility study.
- m. Redundancy. If there is little likelihood that a major evaluation will produce answers that are not

- m. Redundancy. If there is little likelihood that a major evaluation will produce answers that are not already known or that are not self-evident, an intensive evaluation is probably not warranted.

These criteria are to be used as a set of considerations. No single criterion is overriding in all cases. For example, a large and expensive initiative in a high priority area of need will not require evaluation if prior studies have already answered important questions. Such a situation may occur with the launching of a major demonstration program based on a proven approach. Intensive monitoring might be sufficient under these circumstances.

APPENDIX F

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 77 - FY 78

DEFINITIONS

DEFINITIONS

The following terms, as used in this document, have the primary meanings defined below. As with any terms, the meanings and interpretations in a particular application may vary. However, the context in which they are used herein will usually remove any ambiguity which might arise from different uses of the same term.

1. Evaluation. The Crime Control Act of 1976, LEAA's current basic legislative authorization, defines "evaluation" as "the administration and conduct of studies and analyses to determine the impact and value of a project or program in accomplishing the statutory objectives of this Title." (That is, of the Act.) LEAA directives and guidelines define the term further. The term "intensive evaluation" is used to distinguish between "monitoring" assessments, which are defined below, and those assessments which not only measure performance and outcomes, but are designed with sufficient rigor to attempt to establish a cause and effect relationship between program or project activities and results.

2. Monitoring involves describing planned project and program results and comparing these with actual achievements. This includes not only fiscal and administrative information, but also substantive activities planned to achieve a certain result. The purpose of monitoring is to ascertain whether they occur as planned and with what results, to the extent these can be directly reported on an ongoing basis.

3. Performance measurement is used to include all systematic assessments, both monitoring and evaluation, whether performed by LEAA, a grantee or an independent third party paid by either LEAA or a grantee. LEAA's guidelines identify four types of performance measurement for discretionary grants:

- a. Self-Assessment through which all recipients of discretionary funds assess their own project results in accordance with an assessment plan approved by LEAA.
- b. Monitoring through which projects supported by Discretionary Funds are closely monitored by appropriate SPA and LEAA personnel.
- c. Program Evaluation through which selected LEAA programs, consisting of groups of similar projects or of projects of different kinds aimed at achievement of the same objectives, are evaluated by independent

evaluators selected by LEAA in accordance with an evaluation design approved by LEAA. Only a limited number of LEAA programs will be selected each year for this type of intensive program level evaluation. These programs will be selected as part of the development of an annual LEAA agency-wide evaluation plan.

- d. Intensive Project Evaluation through which selected projects are intensively evaluated by an independent evaluator approved by LEAA and in accordance with an evaluation plan approved by LEAA.

4. Assessment is the most general term used in this context. Unlike evaluation, monitoring or performance measurement, assessment does not necessarily imply systematic collection of measurement data although it also includes such analyses. It includes as well any judgmental description of the impact and value of a project or program, in whole or in part.

5. Management evaluation is used in this plan to refer to evaluations of programs or projects for which LEAA is directly, operationally responsible, in distinction from evaluations of programs or projects conducted under the operational responsibility of grantees such as state and local planning and operating agencies. The term is not meant to imply that such evaluations are limited to management aspects of the program or project. Substantive activities and results may be and often are among the subjects of "management" evaluations as the term is used here. The distinction is made in the plan because LEAA is primarily an agency established to assist state and local law enforcement and criminal justice agencies, and the legislative mandate for evaluation specifically focuses on questions of the effectiveness, impact and value of state and local criminal justice operations. Management evaluations define those studies and analyses assessing the effectiveness and value of LEAA operations.

6. Management-By-Objectives (MBO). The MBO system, which has been implemented by LEAA, is a systematic approach to managing the organization's programs and activities through a comprehensive process of planning, organizing, implementing and controlling resources and activities in terms of specific, measurable objectives and the strategy, tactics, programs and methods for achieving those objectives. LEAA's Evaluation Management Program integrates evaluation into this process in order to insure that evaluation planning and utilization serve the intended purposes of informing program planning, development, management and review.

7. State Planning Agency (SPA). State planning agencies were mandated in LEAA's basic legislation, when the block grant program to the states was created, as the state level planning and administrative vehicle for receiving and administering LEAA grants to the states. In order to be eligible for block grants, which are made on the basis of a population formula, each SPA must prepare a comprehensive state law enforcement and criminal justice plan. Upon receipt of the block grant the SPA then allocates the funds to subgrantees, principally operating agencies and Regional or Local Planning Units, to carry out approved programs and projects. SPAs also have either an administrative or a coordinating role for LEAA discretionary grants to state and local criminal justice agencies. The actual title of the SPA varies from state to state and is assigned in the legal action by the states that create the SPA as a state government entity.

8. Regional/Local Planning Unit (RPU/LPU). The Act also makes provision for criminal justice planning units in regions within states (RPUs) and in single units of general local government (LPUs). Their plans are reviewed by the cognizant SPA and, as approved, incorporated into the state comprehensive plan. Formal titles vary from state to state, and are designated in the legal actions creating them in each instance.

9. Supervisory Board. SPA supervisory boards are required by the Act to be representative of the components of the law enforcement and criminal justice system. They serve as an executive board to the SPA. Actual titles are assigned by the states, and normally correspond with the title of the SPA which they supervise.

10. Criminal Justice Coordinating Council (CJCC). A criminal justice coordinating council is any body so designated which serves a unit of general local government or any combination of such units within a State, with a population of 250,000 or more; and which has responsibility for assuring improved planning, for the coordination of local criminal justice agencies within its jurisdiction, and for monitoring and evaluation.

LEAA ORGANIZATION CHART

