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LEAA TWO-YEAR EVALUATION PLAN

(FY '78 - FY '79)

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



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LAW ENFORCEMENT ASSISTANCE
ADMINISTRATION

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NCJRS

MAY 28 1978

ACQUISITIONS

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

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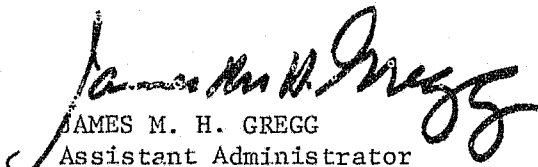
FOREWORD

Evaluation is critical to the success of our efforts to combat crime and improve the quality of justice. Innovative as well as traditional approaches to the nation's crime and criminal justice problems must be carefully assessed, not only to ascertain whether the basic concepts we apply are valid, but also to determine whether the programs we mount are efficient and effective ways to organize and implement action. Indeed, one of the primary objectives of our evaluation program is to help improve the operational performance of the programs LEAA sponsors.

LEAA's basic legislation, the Omnibus Crime Control and Safe Streets Act of 1968, as amended, emphasizes the importance of evaluation and requires substantial evaluation efforts of LEAA and of the States. LEAA is vigorously implementing that policy and is continuing to build and strengthen the agency's evaluation program and the procedures in order to support the effective accomplishment of LEAA's mission and goals.

The evaluation activities reflected in this plan constitute an ambitious program designed to strengthen the contribution of evaluation to improving LEAA's assistance to State and local governments and to overcome the common obstacles which inhibit obtaining timely, meaningful and useful information from evaluation studies and putting that information to effective use.

As this plan is prepared, LEAA is on the threshold of reorganization. Many of the details in the plan may change. Whatever the changes, however, this plan provides the foundation for continued, meaningful evaluation as an inherent element in the development and testing of techniques and approaches designed to improve the criminal justice system, to integrate evaluation planning and results into the program at all levels, and to assist State and local criminal justice agencies in developing the capability to make effective use of evaluation in their programs.


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CONTENTS

	<u>Page</u>
Foreword	i
Contents	ii
 I. <u>INTRODUCTION</u>	 1
A. PURPOSE	1
B. THE POLICY GOALS OF THE LEAA EVALUATION PROGRAM	1
C. AGENCY AND PROGRAM REORGANIZATION	2
D. OBJECTIVES	2
E. RESOURCE ALLOCATIONS	3
F. EXPECTED RESULTS	4
 II. <u>BACKGROUND</u>	 8
A. LEAA's MISSION	9
B. EVALUATION AND INTERGOVERNMENTAL RELATIONS	9
C. LEGISLATIVE REQUIREMENTS FOR EVALUATION IN THE LEAA PROGRAM	9
D. IMPLICATIONS OF LEAA/DEPARTMENT OF JUSTICE REORGANIZATION PLANS FOR THE EVALUATION PROGRAM	9
E. MANAGEMENT MECHANISMS FOR ACCOMPLISHING LEAA's EVALUATION GOALS AND OBJECTIVES	9
 III. <u>THE LEAA EVALUATION PROGRAM COMPONENTS AND RESOURCE REQUIREMENTS</u>	 11
A. THE EVALUATION KNOWLEDGE PROGRAM	12
1. National Evaluation Program	12
2. Evaluation of Program Tests	14
3. Evaluation of National Discretionary (DF) and Categorical Programs	15
4. Other Priority Evaluations	16
5. Evaluation of Juvenile Justice and Delinquency Prevention Program Initiatives	16
6. OJJDP Assessment Program	17
7. Discretionary Grant (DF) Project Evaluations	18
8. Evaluations of Criminal Justice Information Systems and Statistics Programs	19
9. Identification and Documentation of Outstanding Programs, Projects and Practices	20
10. Evaluation Research Methodology Development	20
11. Annual Synthesis of Knowledge	21
12. Evaluation Clearinghouse	21
13. National Evaluation Conferences	22
14. Evaluative Studies in NILECJ Research Program	22
15. Evaluative Studies in OJJDP Research Program	26
16. Summary of Evaluation Knowledge Program Resource Allocations	27

	<u>Page</u>
B. THE EVALUATION MANAGEMENT PROGRAM	28
1. The Evaluation Planning System	29
2. Management Evaluations and Program and Project Reviews	30
3. Analysis of Evaluation Results	34
4. Evaluation Component of LEAA's Management Information System (PROFILE)	34
5. The Evaluation Utilization System	35
6. The Evaluation Program Review and Monitoring System	35
7. LEAA Evaluation of State Plans	35
8. The State Evaluation Plan Review and Monitoring System	36
9. Annual Reports of Evaluation Reports	36
10. Summary of Evaluation Management Program Resource Allocations	37
C. THE DEVELOPMENT PROGRAM	38
1. Evaluation Training Programs	39
2. Evaluation Technical Assistance (TA)	40
3. Institute Program of State and Local Assistance	41
4. The Evaluation Manpower Development Program	41
5. NCJISS State Assistance Projects	42
6. OJJDP's Technical Assistance Program	43
7. Summary of Evaluation Development Program Resource Allocations.	44
IV. <u>FY '78 TASKS TO CONTINUE THE DEVELOPMENT AND IMPLEMENTATION OF LEAA's EVALUATION SYSTEM</u>	45
V. <u>SUMMARY</u>	47
A. SUMMARY OF RESOURCES	47
B. DISCUSSION	47
1. Resources and Programs	47
2. Improvements in LEAA's Evaluation Program Processes and Procedures	49
3. Impact of Reorganization	50
C. RECAPITULATION	50
1. Allocations by Type of Funds	51
2. Level of Effort for Evaluation Program by LEAA Offices	52
 <u>APPENDICES</u>	
A. MAJOR SOURCES OF EVALUATION INFORMATION AND ASSISTANCE	
B. INSTRUCTIONS FOR PREPARING PROJECT EVALUATION SUMMARIES	
C. PERFORMANCE MEASUREMENT GUIDELINES FOR DF PROGRAMS (M4500.1F)	
D. PERFORMANCE MEASUREMENT GUIDELINES FOR SPA's (M4100.1F)	
E. CRITERIA FOR SELECTION OF LEAA PROGRAMS AND PROJECTS FOR EVALUATION	
F. DEFINITIONS	

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
TWO-YEAR EVALUATION PLAN
FY '78 - FY '79

I. INTRODUCTION

A. Purpose.

LEAA's second annual evaluation plan provides for the implementation of the agency's evaluation program in FY 78 and FY 79. It is prepared pursuant to LEAA Instruction I 2300.5A - POLICY GUIDANCE FOR THE LEAA EVALUATION PROGRAM.

The plan sets forth LEAA actions for pursuing evaluation policy goals through a program of evaluation studies; a system for analyzing, organizing, disseminating and utilizing evaluation results -- both in LEAA and in the criminal and juvenile justice community; and an evaluation development assistance program to aid State and local criminal and juvenile justice agencies to build and utilize their evaluation capabilities.

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, and that meaningful assistance be provided to the States to encourage the development and use of evaluation capabilities in the planning and management of their criminal justice responsibilities. Measuring the impact and value of programs supported by LEAA funds is essential to the success of the agency's mission. The objective of such evaluations is to learn whether programs and projects are having the intended effects, whether they are cost-effective, and how they can be improved.

To accomplish these purposes LEAA has adopted the following three policy goals for its evaluation program:

The KNOWLEDGE GOAL: To develop information on the efficiency, effectiveness, adequacy and appropriateness of criminal and juvenile justice concepts programs and practices.

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

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

Programs which LEAA supports are to be designed so that their activities and results can be measured. Evaluations are to be designed to meet high standards of quality and utility. The results are to be used by LEAA managers to improve programs, in planning future research and evaluations, and in new program design and development, and are also to be made available to the criminal justice community.

Ultimately the success of State and local jurisdictions in raising the standards of performance in law enforcement and justice requires effective use of evaluative information to assess the impact of their initiatives and improve operational performance. LEAA's evaluation program provides national leadership and perspective on significant evaluation questions. It cannot and should not meet all the evaluation needs of State and local government. Although it is an important stimulus to the criminal justice system, LEAA's total program contributes only about four percent of the total funds committed by State and local governments to criminal justice.

C. Agency and Program Reorganization.

This evaluation plan was prepared early in the process of LEAA's planned reorganization and in advance of virtually all the changes emanating from Executive Branch, Department of Justice and Congressional reorganization decisions. It is not anticipated that the reorganization will substantially alter either the evaluation policy goals of the agency or the principal programmatic thrusts toward their achievement. Nor are specific program evaluations to which the agency is already committed likely to be changed.

The plan does reflect the more careful and intensive use of evaluation in the thorough testing and development of national model programs, consistent with the recommendations of the DOJ/LEAA Study Group Report to the Attorney General and his recommendations to the President. It also looks toward thoughtful integration of evaluation training and technical assistance with a more complete and coherent agency strategy for all capacity building efforts, with a view to more constructive assistance to those States committed to the development and institutionalization of planning and evaluation functions dedicated to the comprehensive improvement of their criminal justice system.

D. Objectives.

To implement LEAA's policy goals in FY 78 and FY 79 the evaluation program's objectives are to:

1. Increase the number of intensive evaluations of LEAA funded programs and projects. (Knowledge Program)
2. Thoroughly integrate evaluation into the development of new national model programs. (Knowledge and Management Programs)
3. Continue to improve its system for analyzing and synthesizing evaluation findings and disseminating them to the criminal justice community. (Knowledge program)
4. Undertake additional research to develop improved performance measurement systems, methodological approaches and techniques to meet criminal justice problems and information needs. (Knowledge Program)

5. Continue the development of an improved evaluation planning system to incorporate planning for evaluation activities into LEAA's Management-By-Objectives program planning cycle. (Management Program)
6. Continue the development of an evaluation utilization system in LEAA in order to make evaluation results available in useful form to program planners and managers and to provide for the use of evaluative information in guiding program development, implementation and management, as well as technical assistance and training programs. (Management and Knowledge Programs)
7. Develop and assist the States in implementing criteria and procedures for the conduct and reporting of evaluations by the States. (Development Program)
8. Provide evaluation training to LEAA, SPA, RPU, LPU and operating agency personnel. (Development Program)
9. Provide increased technical assistance to encourage the development of State and local evaluation capabilities. (Development Program)
10. Provide technical and financial support to high quality State and local evaluations to assist the development of evaluation efforts that can serve as a model for other jurisdictions. (Development Program)
11. Encourage long-term professional development of criminal justice system personnel involved in the planning, conduct and utilization of evaluation. (Development Program)

E. 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. (1 P/Y is equal to the full-time dedication of one professional staff member for one year.) Monies reported represent resources allocated to external assistance - consultants, grantees and contractors - and are exclusive of LEAA salaries and supporting services.

In the Resource tables throughout this plan, monies are shown in the fiscal year in which they are obligated, not necessarily the year in which they were authorized or in which program planning occurred. As a result FY 78 estimates appear deceptively high in comparison with actual expenditures in FY 77 and estimates for FY 79, principally because FY 78 expenditure estimates include a large number of activities planned in FY 77, while FY 78 planning initiatives are expected to result in FY 78 obligations.

The majority of evaluation studies for which funds are obligated in FY 78 will continue into or beyond FY 79, with the result that a larger number of evaluations will be underway in FY 79 than during any preceding year, even though funding estimates for FY 79 are lower than those for FY 78.

Budget Summary: LEAA Evaluation Program, FY 77, FY 78 and FY 79
(\$ in thousands; LEAA staff person/years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Knowledge:			
Budget	\$8,041	\$18,967	\$12,265
Staff P/Y	14.87	22.78	23.66
Management:			
Budget	454	1,289	1,040
Staff P/Y	4.85	51.52	50.92
Development:			
Budget	\$ 349	1,970	\$ 1,530
Staff P/Y	4.63	6.33	2.51
TOTALS			
Budget	\$8,844	\$22,226	\$14,835
Staff P/Y	<u>24.35</u>	<u>80.63</u>	<u>77.09</u>

The full impact of reorganization is not reflected in FY 78-FY 79 figures because realignment of some major subprograms will occur throughout the remainder of LEAA's current authorization through FY 79.

F. Expected Results.

LEAA's evaluation program, projected through the agency's current authorization to the conclusion of FY 79, should accomplish the following:

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

- o apprehension and incarceration of career criminals
- o effective police strategies and punishment policies that will deter crime
- o reduction of court congestion
- o effective correctional programs in institutions
- o deinstitutionalization of status offenders
- o delinquency prevention and juvenile diversion
- o the relationship of drug abuse to crime
- o fair and effective approaches to pre-trial release and to probation
- o assistance to victims/witnesses of sensitive crimes (rape, child abuse, etc.)
- o community crime prevention activities
- o youth advocacy
- o school violence and vandalism
- o crimes against the elderly
- o rehabilitation of ex-offenders
- o parole policies
- o neighborhood justice centers
- o restitution
- o sentencing 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 and juvenile justice communities and LEAA program managers will have ready access to current knowledge and data through criminal justice information storage and retrieval systems 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 program designs and operations.

3. Substantial improvement will have been made in techniques for developing needed data, in performance measurement of criminal and juvenile 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 and in the development of an efficient and reliable system for monitoring performance of the criminal justice system.

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, helping to guide program decisions and activities.

6. By the end of FY 79 LEAA will have supported the training of approximately 3,200 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 and juvenile justice programs supported by Federal funds will be institutionalized in LEAA's management of the financial assistance program.

8. There will be a substantial improvement in the evaluation capabilities of State and local planning agencies and larger operating agencies, sufficient to enable them to evaluate priority criminal justice

programs, to monitor effectively other programs covered in their 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 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 close of FY 79 LEAA will have implemented, in addition to evaluation TA and training, a more effective support program for capacity building assistance in planning, analysis, monitoring and evaluation, with incentives to those planning agencies that are committed to improving their ability to undertake high quality evaluations intended for use in meaningful ways by policy makers, planners and operational managers.

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 delinquency and to improve the criminal and juvenile 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 and the requirement that the States evaluate their criminal justice programs in order to determine their impact and value. LEAA's research and development mission inherently requires evaluation to assess the effectiveness of and to provide documentation supporting 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 LEAA's intergovernmental program. National level evaluations are mandated as the responsibility of LEAA in the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. 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 LEAA for full dissemination to the interested criminal justice community.

C. Legislative Requirements for Evaluation in the LEAA Programs.

1. The Crime Control Act of 1973 specifically mandated 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. The Juvenile Justice and Delinquency Prevention Act of 1974, 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 all programs funded under the Act are to be evaluated. The Juvenile Justice Amendments of 1977 reaffirmed these requirements.

3. The Crime Control Act of 1976 gave added emphasis to 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 receive and disseminate State and local evaluations, (4) NILECJ is to develop in cooperation with the SPA's criteria and procedures for the conduct and reporting of evaluations by the States, and (5) criminal justice coordinating councils are enabled to undertake an evaluation role.

D. Implications of LEAA/Department of Justice Reorganization Plans for the Evaluation Program.

One of the top priorities of the Department of Justice is to improve the efficiency and effectiveness of the Federal Government's program to assist States and local governments in crime control and criminal justice system improvement. On November 21, 1977, the Attorney General submitted a comprehensive proposal to the President which, among other significant changes in organization and program structure, would strengthen the Federal government's programs in justice research, development and evaluation. The principal implication of the proposed reorganization for the evaluation program is the increasing importance of evaluations of carefully developed and tested national model programs, both to assure their effectiveness and to document successful implementation and operation for use in replication by a wider audience of interested agencies. A secondary effect of the reorganization plan is to give increasing priority to the evaluation development program's assistance to local planning and operating agencies in support of heightened assistance to local planning and operations.

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

There are four major management mechanisms with which LEAA will accomplish its evaluation objectives:

1. A consistent agency policy for developing and implementing evaluation program activities. This 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 2300.5A. Forthcoming) 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 the 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's evaluation planning cycle produces the annual agency evaluation plan. Evaluation goals and objectives are set; programs, activities and resources to support them are specified, and implementation plans are prepared for each.

3. A program of training, technical and financial support is being implemented 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 can be maintained once LEAA support ceases.

4. The establishment within agency offices of evaluation 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. During FY 78 and FY 79 special emphasis will be given to the detailed development of these systems and procedures in order to improve the efficiency and performance of the evaluation program in the agency and to establish a pattern of evaluation activities that will guide staff efforts through the reorganization changes with a minimum of disruption and delay, leaving fully effective evaluation processes and procedures in place and functioning to support the agency's mission, goals and objectives. Plans for further development of these processes and procedures are described in Section IV of this document.

III. THE LEAA EVALUATION PROGRAM COMPONENTS AND RESOURCE REQUIREMENTS

The annually updated two-year LEAA evaluation plan specifies the agency's evaluation strategy, 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.

The following summary descriptions of the elements of the three major evaluation programs identify program responsibilities within LEAA and outline the strategies, major components and resource requirements of each. Plans for further development of the evaluation system's processes and procedures are described in Section IV.

A. THE EVALUATION KNOWLEDGE PROGRAM*

The Knowledge Program is primarily the responsibility of the agency's two institutes: the National Institute of Law Enforcement and Criminal Justice (NILECJ), LEAA's principal research and development arm, and, for the Office of Juvenile Justice and Delinquency Prevention's program, the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP). NILECJ is specifically charged with a number of evaluation responsibilities in the Omnibus Crime Control and Safe Streets Act of 1968, as amended; NIJJDP is assigned all juvenile justice evaluation responsibilities by the Juvenile Justice and Delinquency Prevention Act of 1974, as amended.

The Evaluation Knowledge Program includes a variety of programs for conducting evaluation studies, supported by evaluation methodological research and the synthesis and dissemination of results. The program also aims to increase the interest of talented and experienced social program evaluators in criminal and juvenile justice problems.

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

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

1. National Evaluation Program (NEP) (NILECJ, Office of Program Evaluation (OPE)).

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

- a. Annual Survey. An annual survey of State criminal justice planning agencies (SPA's) and LEAA offices helps identify candidate "topic areas" for evaluation. Each topic area consists of on-going projects or practices having similar objectives.

* The Evaluation Knowledge Program is but one element of the agency's overall Knowledge Program, which also includes all other research and development, statistics, program and project documentation and survey activities -- any LEAA activity designed to accumulate knowledge about law enforcement, criminal and juvenile justice concepts, approaches, techniques and practices, criminal behavior, and research, evaluation, survey and statistical methodologies for their measurement and analysis.

- b. Phase I Study. From the topic areas identified through the annual survey a selected number are chosen for a Phase I evaluation -- a survey study which identifies the key issues, assesses what is currently known about these issues and the operational effectiveness of projects in the topic area, and develops a design that could be used for a more intensive evaluation. Phase I evaluations are not definitive but provide guidance, based on the state-of-the-art, for short term decision-making. Results will be used to support the careful development and testing of program models, to serve as the survey phase or process evaluation phase for subsequent discretionary program impact evaluations, and to identify notable projects worthy of broader replication, as well as providing a basis for selection of topics for NEP Phase II intensive evaluations.

Twenty-eight Phase I studies were initiated during FY 75, FY 76, and FY 77. Four topics selected in FY 77 will be initiated in FY 78 with \$1 million in carryover funds, and four or five additional topics will be selected for initiation in FY 78 with \$1 million in FY 78 appropriations. For FY 79 four or five Phase I studies are also planned.

FY 78 studies selected in FY 77 are:

Victim/Witness Assistance Projects
Police Training Programs
Prosecutors Management Information Systems (PROMIS)
Correctional Data Systems

Additional topics will be announced when selected.

Also in FY 77 an assessment of the NEP program was completed, and an NEP Program Manual of Evaluation Standards was initiated to publish high quality evaluation design materials from selected Phase I studies.

Resources (\$ in thousands; LEAA Staff in Person/Years (P/Y))

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$200	\$1,994	\$1,000
Staff P/Y	1.5	1.4	1.2

- c. Phase II Study. The Phase II study is an intensive national level evaluation of the effectiveness and utility of a common type of project in a variety of situations.

Two Phase II studies were initiated in FY 77: 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.

One or more Phase II intensive evaluations will be selected and initiated in FY 78 and one or more in FY 79.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$833	\$1,000	\$1,900
Staff P/Y	1.00	.70	1.30

2. Evaluations of Program Tests (NILECJ, Office of Program Evaluation (OPE)).

This element of the evaluation program has been modified for FY 78 to include evaluations of program tests based on models developed by NILECJ's Office of Development, Testing and Dissemination to assess and document the efficiency, effectiveness or equity of selected criminal justice projects, techniques or procedures. The evaluation of these national program models in two to four sites will form the basis for validated program designs for national level demonstration phases and the encouragement of replication by State and local jurisdictions through a new LEAA incentives program.

Five evaluations of field tests initiated in FY 76 and FY 77 will continue in FY 78: Community Based Corrections, the replication of the Des Moines Community Correctional Program in five other communities; Managing Criminal Investigations, improved means of police investigations (greater use of patrol officers involving case screening, case monitoring and police/prosecutor liaison in seven police departments; Neighborhood Team Policing, full service neighborhood team policing program demonstration; Improved Juror Utilization, improved jury management procedures in twenty test sites; and Improved Lower-Court Case Handling, the NILECJ field test demonstrations of a national level program to improve case handling in lower courts.

Four test evaluations are scheduled for FY 78: Pre-Release Centers, to determine the cost-effectiveness of half-way houses as an alternative to the later stages of incarceration for selected groups of prisoners; Police Patrol Allocation, to determine the efficiency and impact of this innovative means of allocating police patrol resources; Neighborhood Justice Centers, to assess the capability of the test centers to handle "neighborhood" disputes, provide settlement services, and arrive at fair and lasting resolutions; and Differential Probation (Improved Correctional Field Services), to assess the impact of varying levels of field supervision and control upon selected groups of criminal offenders.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$486	\$2,150	\$1,900
Staff	2.70	3.6	3.6

3. Evaluation of National Discretionary (DF) and Categorical Programs (NILECJ, Office of Program Evaluation)

Evaluations of national discretionary (DF) and categorical action programs are undertaken in recognition of the unique opportunity which LEAA discretionary and other categorical action programs offer to conduct national level evaluations which could generate significant new knowledge and provide documentation useful to other jurisdictions interested in their replication.

FY 78 activities in this element of the Evaluation Knowledge Program include the initiation of six DF program evaluations by NILECJ and technical evaluation assistance and funding support for two other categorical programs, and the continuation of three DF program evaluations initiated in FY 76 and FY 77.

New evaluations to be initiated in FY 78 include: Integrated Criminal Apprehension Program (ICAP) (DF); Family Violence Program (FVP) (DF program; evaluation jointly supported by NIJJDP); Treatment and Rehabilitation of Addicted Prisoners (TRAP)(DF); Anti-Fencing Program (STING)(DF); Model Procurement Code Implementation (Office of General Counsel); and the second phase of the Law Enforcement Education Program (LEEP) evaluation, for which the first phase was completed in FY 77. An evaluation of the Reduction in Court Delay Program (DF), planned in FY 77, will be initiated in FY 78. Evaluations of the Prosecutorial Career Criminal Program (DF) and the Standards and Goals Program (DF), initiated in FY 76 and FY 77 respectively, will be ongoing or completed in FY 78. Evaluation of the Community Anti-Crime Program (CACP) (DF), initiated in FY 77, will continue through FY 78 into FY 79. (The DF Integrated Police and Prosecution Witness Assistance Program will be evaluated under one of the NEP Phase I studies selected for FY 78; resources are included in Phase I table, p. 13.)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$1,086	\$1,625	\$1,300
Staff	1.3	3.63	3.5

4. Other Priority Evaluations (NILECJ, OPE)

This element of the evaluation program permits the assessment of other high priority or especially significant program or policy innovations in the criminal justice system, not included in other evaluation categories. Evaluations are selected to capitalize on opportunities as they arise in the form of State and local program or legislative initiatives.

Six studies initiated in prior years are continuing into FY 78: the Automatic Vehicle Monitoring System used to dispatch patrol vehicles in St. Louis; an analysis of the effect of increased police expenditures on deterrence in comparison to the effect of different police deterrent strategies; an analysis of how regulatory policies on heroin, alcohol and hand guns influence crime patterns; evaluation of the effects of the Massachusetts Gun Law to assess the effects of legislatively imposed restrictions on the discretion of prosecutors and judges in firearms cases; an evaluation of the New York City Court Employment Program, an employment based pre-trial diversion program; and an assessment of the decriminalization of the intake process for public inebriates.

One study, selected in FY 77, will be initiated in FY 78 to evaluate in Wayne County (Detroit), Michigan, the impact of mandatory sentencing requirements and plea bargaining practices in firearms related cases under the Michigan Gun Law. Additional evaluations may be initiated during FY 78 as significant opportunities arise.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$323	\$1,025	\$300
Staff	.6	1.0	.4

5. Evaluation of Juvenile Justice and Delinquency Prevention Program Initiatives (OJJDP, NIJJDP)

All JJDP initiatives are evaluated, as mandated by the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. Evaluation plans are developed by NIJJDP prior to program implementation. Evaluations continuing into FY 78 include five programs which began in FY 76 and three initiated in FY 77. FY 76 continuations include Deinstitutionalization of Status Offenders, Diversion of Juvenile Offenders from the Criminal Justice

System, Prevention of Juvenile Crime and Delinquency through Youth Service Agencies, Juvenile Restitution to Victims, and Reduction of School Crime. Each of these evaluations is a three or four year effort and therefore involves continuation funding in FY 77 or FY 78. At least three additional initiatives are planned for FY 78.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$3,625	\$6,000	\$3,000
Staff	2.00	3.00	3.00

6. OJJDP Assessment Program

In addition the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP, OJJDP) 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.

During FY 76 and FY 77 OJJDP established four "assessment centers" (located at universities and research organizations) which 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 established in FY 77, is the Center for Delinquent Behavior and its Prevention.

Four assessment studies were completed by other consultants in FY 76 and three in FY 77. Future assessments, selected in FY 78 and FY 79, will be done by the assessment centers.

The Assessment Centers Program is a major component of OJJDP's knowledge synthesis and dissemination program and is therefore not formally a part of the NIJJDP Evaluation Program. Neither the \$2,100,000 dedicated to the Assessment Program in FY 76 and FY 77, nor planned refunding (two year grants) of \$2,200,000 in FY 78 and \$675,000 in FY 79 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 designs, measures, methodological problems, and results of research and evaluations.

7. DF Project Evaluations (Office of Criminal Justice Programs, Program Development and Evaluation Staff)

In addition to national level program evaluations, LEAA's Office of Criminal Justice Programs 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.

OCJP plans for selected project level evaluations in FY 78, with estimated costs from selected project budgets, include:

Fundamental Court Improvement Program, \$215,000 (Part C)
 Drug Enforcement Program, \$35,000 (Part C)
 Prison Industries, \$100,000 (Part E)
 Indian Tribal Programs, \$75,000 (Part C)
 Treatment Alternatives to Street Crime (TASC), \$75,000 (Part E)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Project Budgets	*(5-15% of grants)	*(500,000 (Part C, E)	*(5-15% of grants)
LEAA Staff	1.5	2.0	2.0

(*Funds from project grants not included in LEAA Resource Summaries)

In addition, a new strategy integrating an intensive "process" evaluation into the TA support effort for all projects in the Integrated Criminal Apprehension Program will be initiated in FY 78 by OCJP. In addition to project funds dedicated to evaluation tasks by the grantee, approximately \$300,000 in TA funds will be used by the TA contractor supporting ICAP implementation to provide continuing evaluative feedback to the projects and LEAA to help improve program and project design, implementation, management and performance. Data and analyses generated by the project evaluation activities and the TA contractor will be provided as well to the NILECJ national program level impact evaluation effort. (FY 78 project funds for evaluation, \$40,000; FY 78 funds for process evaluation, \$300,000.)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget:			
TA (Eval)	--	\$300	\$150
*(Project)	*(4% of grant \$)	*(4% of grant \$)	*(4% of grant \$)
Staff	.02	.10	.10

(*Funds from project grants not included in LEAA Resource Summaries)

8. Evaluations of Criminal Justice Information Systems and Statistics Programs (National Criminal Justice Information and Statistics Service (NCJISS), Systems Development Division and Statistics Division)

NCJISS evaluations occur in two general contexts: systems development programs/projects of a type that typically requires development and testing against technical performance standards of systems and equipment; and assessments of statistical as well as systems programs/projects in terms of utility and impact on the problems addressed. Evaluations conducted or managed by NCJISS in FY 78, continuation efforts and new initiatives, include the following knowledge building efforts:

Continuations, No New Funding

Computer Assisted Transportation Index Service (CAPTIS): to complete evaluation of a pilot CAPTIS information system designed to facilitate transportation of prisoners and witnesses. (FY '76, \$151,000)

Quad Cities 911 System. To evaluate alternative technologies for providing regional advanced 911 service and to document comparative costs of these alternatives. (FY '77, \$88,000)

FY 78 Funding

Microcomputers and Criminal Justice. To assess and identify uses of microcomputers by criminal justice communities and to evaluate their impact when implemented. (FY '77, \$87,717; FY '78, \$50,000)

State Level Computer Assisted Latent Fingerprint Identification System. To evaluate the cost-effectiveness of a demonstration of an innovative, computer assisted latent fingerprint search concept. (FY '78, \$20,000)

Dial 911 Systems Assessment. To document costs and benefits of existing 911 systems, develop a cost model for estimating further systems' costs and the transfer of technology for 911 systems. (FY '78, \$225,000; FY '79, \$75,000)

FY 79 Funding

Advanced 911 Systems. As a continuation of the 911 Systems Assessment from FY 78, advanced 911 system trial demonstration projects in Alameda County, California, and Chicago will be evaluated in FY 79. (FY '79, \$75,000)

Standard Crime Reporting System (SCRS III). To evaluate a test of the conceptual design implemented in five sites. The evaluation was designed in FY 77. (FY 79, \$60,000)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$188	\$295	\$135
Staff	.10	.10	.06

9. Identification and Documentation of Outstanding Programs, Projects and Practices (NILECJ, Office of Development, Testing and Dissemination)

This program identifies outstanding criminal justice projects that have demonstrated significant benefits, validates evidence of their effectiveness, and documents their implementation and activities to assist other agencies to understand the concepts and adapt the projects in their own communities. Products include Exemplary Projects, based on individual projects, and program models synthesized from the best aspects of several similar projects. These programs may subsequently form the basis for LEAA testing, training or demonstration efforts.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$750	\$600	\$1,000
Staff	2.75	2.75	3.0

10. Evaluation Research Methodology Development (NILECJ, Office of Research and Evaluation Methodology)

The Institute supports a program of evaluation methodology development to advance the state-of-the-art in the development and identification of measurement techniques of greater efficiency and reliability. Recognition is given to special difficulties encountered in this field. Ongoing projects continuing from FY 77 include Stochastic (Time Series) Modeling and Analysis of Crime, to develop techniques for predicting crime rates and detecting changes in crime trends; a critical survey of theories and models for assessing the impact on crime of deterrent and incapacitative effects associated with criminal justice policies and strategies; a crime indicator development program to build a comprehensive data set of crime related indices for Los Angeles City and County and to analyze the practicality and utility of this approach to criminal justice research, evaluation and planning.

New funding in FY 78 will further develop three areas of the deterrence program in deterrence theory development and model validation, development of estimators of prevalence of criminality, and assessment of the magnitude of the deterrence effect in quasi-experimental ("natural variation") settings. Stochastic Modeling Research to cover multiple time series and to package analytic software for general dissemination will also be extended in FY 78.

Another project will investigate key design flaws of traditional evaluation approaches through an analysis of the National Criminal Justice Reference Service Evaluation Clearinghouse holdings followed by research to develop new evaluation design approaches with increased flexibility in application. A study is also underway of the evolution and use of the New Jersey SPA's automated evaluation system. Support is offered for a long range program of fundamental research to develop measures of system performance and to understand the relationships existing between various measures of activity and measures of output. In addition the Office of Research and Evaluation Methodology is initiating in FY 78 a program to solicit and fund up to eight proposals per year for a broad range of studies of high technical quality aimed at the development and testing of methodological innovations of significant potential utility to CJ evaluations.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$475	\$3,797	\$1,500
Staff	1.0	4.0	5.00

11. Annual Synthesis of Knowledge (NILECJ, Office of Program Evaluation)

In FY 78 the holdings of the Evaluation Clearinghouse of the National Criminal Justice Reference Service will be reviewed and a report will be prepared summarizing the results of those studies that exhibit a level of quality to merit inclusion. (A parallel synthesis of the results of research will also be accomplished by NILECJ. When the results of these separate syntheses are available they will be reviewed to determine whether they would be more useful as separate products or as an integration of results from both research projects and programmatic evaluation knowledge.)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 78</u>	<u>FY 79</u>
Budget	\$91	\$90
Staff	.10	.10

12. Evaluation Clearinghouse (NILECJ, Office of Program Evaluation)

The Office of Program Evaluation, NILECJ, maintains a special Evaluation Clearinghouse within the National Criminal Justice Reference Service, which is funded and managed by the Office of Development, Testing and Dissemination to provide comprehensive information services and to act as international clearinghouse for criminal justice information.

During FY 78 the approximately 3,600 items in the Evaluation Clearinghouse holdings will be reviewed for quality and utility, substandard items will be purged, and the results of useful studies of high quality will be summarized as described immediately above. Resources are included in the table for the Annual Synthesis, above.

13. National Evaluation Conferences (NILECJ, Office of Research and Evaluation Methods).

A special national conference/workshop is held annually to present new developments in evaluation methodology, techniques, and the results of interesting, significant and useful evaluation studies to a selected audience of evaluators and researchers. Proceedings of the conference are published to provide an additional mechanism for dissemination of the papers to the criminal justice community.

Resource (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$75,000	\$90	\$90
Staff	.40	.40	.40

14. Evaluative Studies in NILECJ Research Program (NILECJ, Office of Research Programs)

A substantial portion of the Institute's applied research program, managed by the Office of Research Programs (ORP), is evaluative in major respects and contributes to evaluative knowledge in the areas of law enforcements, courts, corrections, community crime prevention and equipment performance and standards. 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. Police Research

(1) Replication of Kansas City Patrol Experiment.

The Kansas City preventive patrol experiment has cast serious doubt on the effectiveness of traditional police prevention patrol. However, the validity of the study has been criticized. The replication of the study will be based on an improved research design, taking into account the criticisms and the suggestions that have been made about the earlier experiment. (FY 79, \$450,000)

- (2) Response Time Analysis Study: Phase II. This grant is a follow on to the initial effort to analyze the relationship between response time and outcomes. This phase is intended to analyze the bulk of already gathered data on Part II Crimes, potential crime calls, non-crime medical emergencies, and general service calls. (FY 77, \$452,021).
- (3) A National Project to Develop Police Performance Measures. An earlier study (FY 75) developed a system of performance measures, corresponding to a hierarchy of police objectives, sub and lower level objectives. This phase two study will implement, refine and evaluate the performance measurement system in three major cities in the country. (FY 76, \$425,631).
- (4) Implementation and Evaluation of Prototype Rules and Procedures for Police Discipline. The objective of this effort is to field test the prototype rules of conduct and disciplinary procedures developed during the first phase. (FY 76, \$390,375).

b. Adjudication Research

- (1) Sentencing Guidelines Research and Evaluation. The purpose is to examine the effects of sentencing guidelines on courts that have implemented them. Special attention will be paid to charging, plea bargaining, delay and number of jury trials. (FY 78, \$200,000)
- (2) Analysis of State Speedy Trial Provision. Project will identify and analyze effectiveness of various types of speedy trial provisions and make recommendations as to which may be better and why. (FY 77, \$254,371)
- (3) Misdemeanor Court Management. This will assess existing innovative management programs in misdemeanor courts and develop, field test, and evaluate management techniques and innovations specifically aimed at remedying management problems commonly found in the lower courts. (FY 76, \$303,086).

c. Corrections Research

- (1) Analysis of Data Base: Survey of Criminal Justice Evaluation Studies. Under grant 76-NI-99-0023, a comprehensive data base was developed which will be re-analyzed to study what types of correctional programs are effective with what type of offender. (FY 78, \$200,000)

- (2) Cost Benefit Analysis of Community Corrections Projects.
This project is designed to address one of the major research priorities identified by LEAA's Blue Ribbon Committee on Corrections, (i.e., a comprehensive assessment of community based corrections). This effort would broaden and extend previous Institute funded research which examined costs associated with implementing the correctional standards and goals recommended by the National Advisory Commission which included reports on halfway houses and pretrial diversion (74-NI-99-0042). This effort would investigate the costs and benefits of other community based corrections activities such as release on recognizance programs, jails, work-release and community restitution programs. An important product would be a cost-benefit analytical model which can be applied to community correctional programs (FY 79, \$300,000).
- (3) Correctional Implications of Determinate Sentences:
This project will analyze and assess the impact fixed sentences have on courts and correctional policies, practice and administration and will project the consequences of fixed sentences in terms of inmate populations, programmatic needs and on subsequent criminal behavior. (FY 77 carryover, \$600,000)
- (4) Evaluation of Maine Sentencing. This project is a continuation of 76-NI-99-0142 (same title). It is a case study of how corrections in Maine was affected by that state's adoption of a determinate sentencing code. (FY 78 supplement, \$200,000)
- (5) Evaluative Analyses of Restitution Project Data.
This is a continuation of 76-NI-99-0127. In this second year of this project data collected from the LEAA funded sites will be analyzed. This project differs from the earlier in that this effort is not a study of specific restitution models.

The initial project assessed system wide impact and effectiveness of restitution programs in six cities participating in the LEAA Restitution Initiative.
(FY 78 supplement, \$200,000)
- (6) Exploration of Alternative Programs for Female Offenders.
A previous Institute project (74-NI-99-0052) compiled a data base describing characteristics of female offenders and of the institutions which house them. This project will continue the previous effort and will assess the effectiveness of special treatment and programming efforts for women offenders. (FY 77 carryover, \$115,000)

- (7) Evaluation Project: Massachusetts Community Assistance Parole Program. This project is an evaluation of the effectiveness of volunteers in assisting paroled offenders who are either mentally retarded or of below average intelligence. (FY 78, \$73,481)
 - (8) Alternatives to 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 correctional projects in a standardized fashion. This objective is consistent with recommendations made by LEAA's Blue Ribbon Task Force on Corrections. (FY 77, \$224,981)
 - (9) Survey of Correctional Facilities and Programs. This task, assigned to the Institute by the 1976 Act, is to determine the extent to which correctional facilities provide adequate space now and will do so in the future, and to assess correctional programs. The preliminary survey of correctional facilities and populations was made in FY 77. Further analysis of facilities and populations and the assessment of correctional facilities' programs will be undertaken in FY 78. (FY 77, \$1,279,619)
- d. Community Crime Prevention Research
- (1) Residential Neighborhood Crime Control. This Phase II grant to the Hartford Institute of Criminal and Social Justice involves the evaluation of the comprehensive neighborhood crime control program developed in Phase I. (Continued from FY 75, \$418,881)
 - (2) Environmental Design Assessments. This project will assess the impact of environmental design work in at least two of the following four sites: Minneapolis, Portland, Chicago, Broward County, (FY 77 carryover, \$200,000)
- e. Equipment and Standards Research.
- (1) Police Car Survey. To determine the use and experience with compact police cars. (FY 77, \$46,000)
 - (2) Cargo Security System Field Test. To test and evaluate the LEAA developed cargo security system. (FY 73, \$511,000)

15. Evaluative Studies in OJJDP Research Program (NIJJDP)

These research projects are supported by \$1,965,000 in FY 78 funds, \$4,075,000 in ongoing projects initiated during prior fiscal years, and will be supported by 3.6 Person/Years by NILECJ/ORP staff during FY 78. Because this research was not initiated under LEAA's evaluation program, these figures are not included in any of the summary resource tables in this plan.

- a. Deinstitutionalizing the Chronic Juvenile Offender: the Unified Delinquency Interventions Services Program (UDIS), in Chicago, Illinois. This project expands an earlier evaluation of the UDIS Program in order to test the proposition that serious juvenile offenders can be handled effectively by means other than incarceration. UDIS is a deinstitutionalization program for chronic inner-city juvenile offenders who would otherwise be committed to the Department of Corrections. The evaluation will expand the sample sizes, lengthen the follow-up time and add a second control group of youth who received less drastic dispositions. (FY 78, \$110,000)
- b. Assessment of California legislative changes affecting the juvenile justice system. In 1977 California enacted Assembly Bill 3121 in order to make major changes in the handling of juvenile offenders. Changes which are being examined include: the use of nonsecure facilities for status offenders; new procedures regarding waiving of juveniles to adult court; a greater role for the District Attorney and greater use of informal probation. (FY 77, \$172,000)
- c. Evaluation of Massachusetts Deinstitutionalization Experiment This project completes a more than five-year evaluation study of state-wide deinstitutionalization of juvenile corrections in Massachusetts carried out between 1966-1971. (FY 76, \$305,000)

These juvenile justice research projects are evaluative in nature, but were not initiated under OJJDP's evaluation program. Funding is not included in any of the summary resource tables in this plan.

16. Summary of Evaluation Knowledge Program Resource Allocations
(\$ in thousands; LEAA Staff in Person/Years)

<u>SUBPROGRAMS</u>	<u>\$</u> <u>Staff</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
NEP Phase I	\$	\$ 200	\$1,994	\$1,000
	Staff	1.50	1.40	1.20
NEP Phase II	\$	833	1,000	1,900
	Staff	1.00	.70	1.30
Evaluation of Program Tests	\$	486	2,150	1,900
	Staff	2.70	3.60	3.60
Evaluation of DF Programs	\$	1,086	1,625	1,200
	Staff	1.30	3.63	3.50
Other Priority Evaluations	\$	323	1,025	300
	Staff	.60	1.00	.40
Evaluation of JJDP Initiatives	\$	3,625	6,000	3,000
	Staff	2.00	3.00	3.00
DF Project Evaluations	\$	--	300	150
	Staff	1.52	2.10	2.10
Systems and Statistics Evaluations	\$	188	295	135
	Staff	.10	.10	.06
Model Program Documentation	\$	750	600	1,000
	Staff	2.75	2.75	3.00
Methodology Development	\$	475	3,797	1,500
	Staff	1.00	4.00	5.00
Annual Synthesis	\$	--	91	90
	Staff	--	.10	.10
Evaluation Conference/ Workshop	\$	75	90	90
	Staff	.40	.40	.40
 TOTALS	 \$	 \$8,041	 \$18,967	 \$12,265
	Staff	14.87	22.78	23.66

B. THE EVALUATION 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), the Office of Audit and Investigation (OAI), and action program offices.

The central objective of the Evaluation Management Program is to ensure that evaluation becomes an integral part of the planning and management process for each administrative level of LEAA. This purpose has two major dimensions:

- (1) The first derives from LEAA's basic mission of development assistance, through research and development, demonstration programs and technology transfer, to improve the criminal justice systems in State and local government. Evaluation is inherent in the programmatic accumulation and dissemination of such empirically based program knowledge. The Evaluation Management Program provides for the overall policy and planning direction and coordination for evaluation activities that perform this basic mission.
- (2) The second major dimension of the Management Program focuses on providing LEAA management with evaluative information that will inform agency policy, program and budget decisions. It provides for evaluative management information from the perspective of LEAA's programs and operations.

The specific objectives of the Evaluation Management Program, involving the overall direction and coordination of a complex and ambitious agency evaluation effort, are to:

- (1) Provide for the overall planning, management, coordination and monitoring of the agency's evaluation program;
- (2) Establish the evaluation program's management structure, and its planning and management processes and procedures;
- (3) Ensure that well-defined, measureable objectives are provided for every LEAA component, program and project;
- (4) Establish criteria for selection of programs and projects to be evaluated by LEAA;
- (5) Ensure that accurate and timely evaluative information is provided about activities carried out to achieve program and project objectives;

- (6) Assure that LEAA evaluations address management questions at all levels as well as the program concepts;
- (7) Assure the appropriate involvement of State and local users in the identification and definition of needs to be addressed by LEAA evaluation activities;
- (8) Provide for the analysis of evaluation results for their program and policy implications;
- (9) Ensure that LEAA's management information system provides access to available evaluative information for program planning and management in all program offices;
- (10) Ensure the utilization of available evaluative information in all planning and decisionmaking in LEAA;
- (11) Assure that LEAA programs facilitate CJ agency use of evaluative information developed or received by LEAA;
- (12) Provide for evaluative information needed for LEAA management decision at all levels; and
- (13) Assure that evaluative information generated by LEAA and the States is provided for and used in LEAA's annual report to the President and the Congress.

Essentially, the evaluation program's management objectives are accomplished as an integral part of the program budgeting, planning and development process. The components are designed to support evaluation planning and utilization: the evaluation planning system, analysis of results, the evaluation component of LEAA's management information system, and the system for assuring the utilization of evaluative information.

1. The Evaluation Planning System is designed to develop an annual evaluation plan for the entire agency, identifying the programs and projects to be evaluated, the evaluation development assistance programs, and the support functions for the evaluation program. The plan includes the allocation of staff and monies to planned activities under the responsibility of designated offices.

Staff Effort (In Person/Years)

<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
1.0 P/Y	2.0 P/Y	2.0 P/Y

2. Management Evaluations and Program and Project Reviews are planned on an annual basis, designed to provide evaluative information to inform LEAA management decisions. Assessments are also initiated to meet special needs for evaluative information required by the Administration as needs arise.

- a. Management Evaluations for the Administration of LEAA. 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. In FY 78 an overall evaluation of LEAA's development assistance programs will be initiated to help guide the agency's efforts to support the development and utilization of planning, analysis, evaluation and management capabilities in State and local planning agencies. Other management evaluations may be undertaken as required by the Administration.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 78</u>	<u>FY 79</u>
Budget	\$200	\$200
Staff P/Y	.20	.20

- b. Program/Project Reviews were initiated in FY 77, with the discontinuance of LEAA's regional offices and their monitoring, to provide LEAA management with short term evaluative information on designated projects and programs. The Office of Planning and Management conducted five project reviews in FY 77 and will conduct a limited number in FY 78. The Program Development and Evaluation staff, OCJP, conducted one project review in early FY 78. Primary responsibility for program and project reviews is assigned to the Office of Audit and Investigation beginning in FY 78. Other offices conduct reviews as assigned.

Eight programs have been selected for national level review by OAI in FY 78:

Court Fundamental Improvement Program (DF)
Victim/Witness Assistance Program (DF)
Indian Tribal Criminal Justice Programs (DF)
Corrections - Part E (DF)
Citizens Initiative Program (DF)
Technical Assistance Programs (TA)
Comprehensive Data Systems (Statistics)
Juvenile Justice and Delinquency Prevention (Block)

In addition, as staff time is available, each OAI Area Office will initiate project level reviews that may lead to program reviews within the region served by the Area Office.

Staff Effort (LEAA Staff in Person/Years)

<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
.5 P/Y	45 P/Y	45 P/Y

Evaluative information is also obtained from functional audits performed by OAI. Whereas program/project reviews emphasize the achievement of results and functional audits emphasize efficiency and economy in the use of resources, the differences are in part a matter of emphasis.

Nine areas have been selected for OAI functional audits during FY 78:

Subgrant Administration of Block Grants
Planning Processes in the SPA's
Privacy and Security Regulations
Assumption of Costs by State and Local Jurisdictions
Fiscal Control and Accounting by State and Local Jurisdictions
JJDP Special Requirements
LEEP Institution Grants (Meeting Program Criteria)
SPA Audits of Subgrants
SPA Contracting Process

Staff Effort (LEAA Staff in Person/Years)

<u>FY 78</u>	<u>FY 79</u>
*(55 P/Y)	(55 P/Y)

(* Functional audit staff effort not included in Evaluation Program Summary Tables.)

- c. The National Criminal Justice Information and Statistics Service (NCJISS) will undertake three management evaluations in FY 78 and continue one initiated in FY 77.

State Privacy and Security Implementation Evaluation.

To obtain data on current and projected levels of State compliance with LEAA privacy and security regulations, review State TA needs for privacy and security evaluation reporting, and to help guide the development of LEAA TA program. (FY 77, \$139,000)

Evaluation of SEARCH Group Clearinghouse. To evaluate the effectiveness of the clearinghouse in identifying criminal justice information systems which have been successfully operating, and in providing technical assistance in the transfer of such systems to other agencies. (FY 78, \$50,000) During FY 78, the Office of Management and Finance, U.D. Department of Justice, will evaluate the overall effectiveness of SEARCH Group as a forum for identifying systems needs and problems in the criminal justice field and the impact of SEARCH Group projects on the systems projects to which they are addressed.)

Analysis of the Utility and Benefits of the National Crime Survey. To determine the present and potential uses of victimization data for public and private criminal justice decision making and other purposes. (FY 78, \$92,000)

Analysis of Utility, Benefits and Priorities for LEAA Statistical Programs. To evaluate the uses and benefits of LEAA statistical program products, identify potential uses and estimate additional benefits from such uses, and to develop a method for setting statistical program priorities on the basis of needs, uses and expected benefits. (FY 78, \$150,000)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$139	\$292	\$100
Staff P/Y	.20	.30	.20

- d. The Office of Juvenile Justice and Delinquency Prevention, NIJJD, will conduct in FY 78 a management evaluation of the OJJDP Assessment Center Program.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 78</u>	<u>FY 79</u>
Budget	\$65	\$100
Staff	.02	.02

- e. The Office of Criminal Justice Programs plans a management evaluation of courts training (\$350,000) and technical assistance (\$250,000) programs in FY 78 which will be provided for from TA grant funds. Additional management evaluations are anticipated for FY 79.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 78</u>	<u>FY 79</u>
Budget	\$600	\$500
Staff	.10	.10

- f. The Office of Operations Support (OOS) plans management evaluations in two program areas in FY 78:

The Air Commerce Security Program will be evaluated by the Federal Aviation Administration, which conducts airport security training for State and local law enforcement and foreign national airport security personnel with LEAA support. LEAA's project monitor will provide advice. The evaluation is to be completed prior to the decision as to whether LEAA will provide continuation funding for FY 79.

Internal training programs for LEAA staff are subjected to immediate post-program evaluation, and follow-up impact evaluations are conducted on selected programs using the JETS System implemented by DOJ in FY 76. New internal staff training programs developed by LEAA are subjected to pilot program test evaluations and modification prior to replication, to immediate post-program evaluation, and for selected training courses an impact type follow-up evaluation will also be conducted.

Evaluation training for LEAA staff has been provided for through limited participation in the evaluation training course given by the five Criminal Justice Training Centers supported by OOS/TD for SPA/RPU/LPU staff training; Program Development Training for LEAA staff (96 trainees in FY 77, additional sessions scheduled for FY 78); and Program Review training for OAI staff (over 100 participants in FY 78).

The Training Division's training program to build planning agency capabilities in planning, analysis, evaluation and management are subjected to pilot tests, evaluation and modification prior to replication; to immediate evaluation at the end of each course; and to follow-up impact evaluations performed four to twelve months after training. Evaluations are estimated at ten percent of costs during development and five percent of costs during delivery.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	--	\$132	\$140
Staff	.40	.40	.40

3. Analysis of Evaluation Results. Policy and Program Implications Memoranda (PIMs), containing an analysis of evaluation results, their implications for agency policy, program design and management, research, technical assistance and training needs and opportunities, and potential dissemination and utilization will be prepared by responsible offices at the following times:

- Upon completion of each evaluation study.
- To support the annual program planning process by synthesizing implications of relevant studies.
- During preliminary development of new programs and in the preparation of decision memoranda proposing the development of new programs, to synthesize implications.
- To meet the need for evaluative information for management decisions as policy and program issues arise.

Detailed instructions for preparing PIMs are in an Instruction entitled Guidance for Analyzing Results of Research, Evaluations, Program Reviews and Monitoring Information for Policy and Program Implications, Utilization and Dissemination, which is forthcoming. (Staff time shown under pertinent evaluation studies.)

4. Evaluation Component of LEAA's Management Information System (PROFILE). Grant Managers Assessment Reports are entered in PROFILE at the time of grant closeout. If a formal evaluation of a grant has been performed by an independent evaluator, either as a selected project level evaluation or as part of a national program level evaluation, the project monitor will prepare a summary of the evaluation for entry into PROFILE. A special file has been created for "Notable Project" summaries, which contains summaries of Promising Projects nominated in the past by SPA's and verified by LEAA, and Exemplary Projects selected by NILECJ. In addition, LEAA is developing a performance information system for active grants, to provide for inclusion in PROFILE of periodic information on the status and results of ongoing projects.

Resources (LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Staff	\$315	--	--
Budget	2.0	1.0	1.0

5. The Evaluation Utilization System is designed to ensure the use of evaluative information in agency decisionmaking at all levels. Effective utilization is based on efficient access to evaluation results and their analyses for policy and program implications. Program plans, decision memoranda, and policy and program option papers are required to identify prior research and evaluation findings relevant to current or new programs and to specify how these findings are being used, or why they are not, with respect to directly pertinent issues in program plans and designs and in proposed options.
6. The Evaluation Program Review and Monitoring System includes two principal elements:
 - a. The Evaluation Policy Working Group, with representatives of all offices that have evaluation program responsibilities, reviews the overall agency evaluation policy and programs annually in order to facilitate agency-wide coordination of evaluation plans and activities consistent with agency policy goals, to review evaluation policies and programs for the Administration, to recommend actions which will assure the continued improvement of the program, and actions needed to meet changing needs and circumstances during the agency's reorganization.
 - b. The Evaluation Program Monitoring System is used by OPM to provide the LEAA Administration and office heads with continuous review of the implementation, operation, results and utilization of LEAA evaluation programs and supporting activities, to identify problems that may require corrective action, and to assure that the components of the evaluation program continue to make progress toward achievement of LEAA's evaluation policy goals.

Staff Effort (LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Staff	.75	2.50	2.00

7. LEAA Evaluation of State Plans

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.

In FY 77 LEAA initiated development and implementation of an improved system of criteria, standards and procedures for reviewing State plans. The system and procedures will be further refined during FY 78.

8. The State Evaluation Plan Review and Monitoring System is designed to review the evaluation component of State comprehensive plans, monitor the implementation of evaluation plans by the States, and to receive and review the results of State and local evaluations conducted under those plans. The system is also designed to help identify evaluation training and technical assistance needs and opportunities. State Evaluation Plan review is primarily the function of the Office of Criminal Justice Programs. The results of this review are used by offices with evaluation training and technical assistance responsibilities in planning and managing those programs. Area offices of the Office of Audit and Investigation have primary responsibility for monitoring implementation of State evaluation plans. Evaluation reports are forwarded by the SPA's to LEAA for inclusion in the Evaluation Clearinghouse of the National Criminal Justice Reference Service, and for use by the Institute in its statutory responsibility for reviewing, reporting and disseminating the results of evaluations conducted by the States.
9. Annual Reports of Evaluation Results that have been generated by LEAA and the States are integrated into LEAA's Annual Report to the President and the Congress. Evaluation results are summarized in PROFILE by LEAA grant managers, and are reported by the States under their Section 519 reporting requirements. The Administration of LEAA prepares and submits the annual report through the Department of Justice.

10. Summary of Evaluation Management Program Resource Allocations
(\$ in thousands; LEAA Staff in Person/Years)

<u>SUBPROGRAMS</u>	<u>\$</u> <u>Staff</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Evaluation Planning	Staff	1.00	2.00	2.00
Admin., Mgmt Evaluations	\$ Staff	-- --	\$200 .20	\$200 .20
Program/Project Reviews	Staff	.50	45.00	45.00
NCJISS Mgmt Evaluations	\$ Staff	\$139 .20	\$292 .30	\$100 .20
OJJDP Mgmt Evaluation	\$ Staff	-- --	\$65 .02	\$100 .02
OCJP Mgmt Evaluations	\$ Staff	-- --	\$600 .10	\$500 .10
OOS Mgmt Evaluations	\$ Staff	-- .40	\$132 .40	\$140 .40
Evaluation Summaries (PROFILE)	\$ Staff	\$315 2.00	-- 1.00	-- 1.00
Review & Monitor Evaluation Program	Staff	.75	2.50	2.00
TOTALS	\$ Staff	\$454 4.85	\$1,289 51.52	\$1,040 50.92

C. THE DEVELOPMENT PROGRAM

Primary responsibility for coordination of the Evaluation Development Program was assigned beginning in FY '77 to the Office of Criminal Justice Programs, with the Training Division, Office of Operations Support (TD/OOS), assigned responsibility for the evaluation training subprogram. The Evaluation Development Program's TA component was redesigned during FY 77, and two new components of the development program were initiated: (1) to develop criteria and procedures for use by the SPA's in the conduct and reporting of State evaluations, and (2) curriculum development in planning and evaluation for institutions of high education.

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.

Although the development program is directed toward both planning and operating agencies, three factors dictate a primary emphasis on direct assistance to planning agencies, with a secondary emphasis on operating agencies in jurisdictions of over 250,000 population.

Limited LEAA Resource Vis-A-Vis the Need. LEAA's total budget amounts to only about 4% 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 and Safe Streets Act as amended, 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, in jurisdictions of 250,000 population or more. The proposed LEAA reorganization gives even greater emphasis to assistance to major urban jurisdictions.

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 initial strategy of LEAA's development program is to focus primarily, but not exclusively, on State planning agencies and on regional and local planning and coordinating units (RPU/LPU, CJCCs), with the intent that these 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. However, operational agencies that have planning and analysis units may send trainees to the courses as space is available.

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 further developed during FY 78, to include the following subprograms for training, technical assistance, manpower development, and the development of resource materials and special evaluation guides. Grant programs to support high quality evaluation and evaluation system development by State and local agencies are also under consideration.

1. Evaluation Training Programs

- a. Implementation of the LEAA Evaluation Training Program during FY 78 by the Training Division, OOS, through the five area Criminal Justice Training Centers will provide evaluation training for approximately 475 persons in FY 78 and 600 in FY 79. An additional 930 persons will receive some evaluation training in FY 78 as participants in the training courses for planning and for analysis, and in FY 79 approximately 800 persons will participate in these complementary courses. (Evaluation training: FY 78, \$470,000; FY 79, \$685,000.)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
<u>Trainees:</u>			
Evaluation	60	470	600
Planning	515	600	400
Analysis	150	330	400
Total	<u>725</u>	<u>1400</u>	<u>1400</u>

Additional evaluation training development costs are also scheduled for FY 78 to transfer the courses for monitors and evaluators to training teams in the CJTC's and to complete work on the evaluation courses for managers and policy makers. (FY 78: \$135,000 for transfer; \$90,000 course development)

Courses are subjected to pilot tests, evaluation and modification prior to replication; to immediate evaluation at the end of each course; and to follow-up impact evaluations performed four to twelve months after training. Evaluations are estimated at ten percent of costs during development and five percent of costs during delivery. These evaluation costs are shown under the Management Program on p. 34.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	--	\$695	\$685
Staff	1.0	2.0	.5

- b. The Office of Juvenile Justice and Delinquency Prevention will provide specialized evaluation training in FY 78 to 800 participants from juvenile delinquency and youth serving agencies, under OJJDP's legislative mandate for training. The training will focus on management oriented evaluation and is specifically tailored to managers of delinquency prevention projects. (FY 78, \$178,000)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	--	\$178	\$100
Staff	.05	.05	.05

2. Evaluation Technical Assistance (TA). During FY 78 the Evaluation TA program will be implemented by OCJP in close coordination with LEAA's overall capacity building program. This subprogram provides technical assistance to evaluation activities of State and local criminal justice agencies with an emphasis on building capabilities and their meaningful utilization. Evaluation TA Resource Centers will be colocated with the Criminal Justice Training Centers to provide maximum coordination for these complementary assistance activities.

An initial allocation of \$500,000 will support the new evaluation TA effort in FY 78. \$550,000 is projected for FY 79.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$10,000	\$490	\$550
Staff P/Y	1.5	1.5	1.5

3. An Institute Program of State and Local Assistance. To develop special program evaluation guides and resources that will better enable State and local officials to evaluate their criminal justice programs and operations. This program was initiated in FY 77 in response to the mandate in the Crime Control Act of 1976 for the Institute to develop, in consultation with the SPA's, criteria and procedures for the conduct, reporting and utilization of evaluations by the States. The handbooks and other materials for use by State and local criminal justice agencies will include:

An LEAA Evaluation Handbook for State and Local Agencies
(\$58,579)

A Handbook that will detail procedures employed in a relatively new evaluation approach based on priorities and expected utility of results. (\$78,000)

Additional projects will be undertaken in FY 78 and FY 79 to develop special evaluation guides and resource materials in response to needs identified by SPA officials (\$150,000 per year).

In addition, the Model Evaluation Program (MEP), was initiated by NILECJ in FY 75 with additional grants in FY 76 and FY 77. The program will be closed out with completion of the last projects during FY 78. Projects in twelve States were supported under this \$1,875,000 program in varying approaches attempted to develop evaluation capabilities within SPA's and RPU's. Documentation and assessment of the MEP was initiated in FY 77 and will be used by LEAA during FY 78 in planning the further improvement of the agency's overall approach to evaluation capacity building assistance to the States.

Resources (LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Budget	\$319	\$228	\$150
Staff P/Y	2.00	2.45	.15

4. The Evaluation Manpower Development Program will encourage the inclusion of high quality evaluation courses by institutions of higher education in programs in the administration of justice. OCJET will support evaluation curriculum development for this purpose with a grant

of \$325,000 to a university for a two year curriculum development project for planning, analysis, evaluation, research and management courses at the graduate level.

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 78</u>	<u>FY 79</u>
Budget	\$325	--
Staff	.27	.25

5. NCJISS State Assistance Projects. All systems implementation project grants awarded by NCJISS include a plan for self-assessment of project implementation by the grantee in recognition of the inherent requirement for testing performance in the development and implementation of technical systems. In addition, NCJISS TA programs supporting the implementation of systems projects include assessment support.

Two NCJISS systems projects are specifically designed to assist States in the implementation and evaluation of State level information systems:

- a. State Judicial Information System (SJIS III & IV): To assist States in the development, implementation and evaluation of a model judicial information system. (Evaluation assistance, \$20,000 of \$404,592 in project grants; SJIS cost-benefit study, \$9,000.)
- b. Offender Based State Corrections Information System (OBSCIS III): To assist States in the development, implementation and evaluation of a model corrections information system. (Evaluation assistance, \$25,000 of \$170,000 in project assistance grants.) (This activity continues an assessment program begun in FY 76 with a \$50,000 assessment of the ten States then participating.)

Resources (\$ in thousands; LEAA Staff in Person/Years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Eval. Support Staff	\$20 .03	\$54 .06	\$45 .06
*(Project Self-Assessment)	*(40)	*(390)	*(390)

- * (Figures reflect approximately 10% of total SJIS and 20% of total OBSCIS project grants that is used by projects for self-assessment of implementation. These funds are not reflected in summary resource tables for the Evaluation Development Program or the overall LEAA Evaluation Program.)

6. OJJDP's Technical Assistance program includes evaluation TA under each of the three TA contracts in areas of major emphasis programs: Deinstitutionalization and Diversion, the Formula Grant Program, and Delinquency Prevention. Approximately 7% of the TA provided involves evaluation technical assistance to project and program level management. Approximately \$4 million annually supports TA provided under the three OJJDP TA contracts.

7. Summary of Evaluation Development Program Resource Allocations
(\$ in thousands; LEAA Staff in Person/Years)

<u>SUBPROGRAMS</u>	<u>\$ Staff</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Evaluation	\$	--	\$ 695	\$ 685
Training (CJTC's)	Staff	1.00	2.00	.50
JJDP Evaluation	\$	--	\$ 178	\$ 100
Training	Staff	.05	.05	.05
Evaluation TA	\$	\$10	\$ 490	\$ 550
	Staff	1.50	1.50	1.50
State & Local	\$	\$319	\$ 228	\$ 150
Assistance	Staff	2.00	2.45	.15
(NILEJ)				
Evaluation	\$	--	\$ 325	--
Curriculum	Staff	.05	.27	.25
Development				
NCJISS State	\$	\$20	\$ 54	\$ 45
Assistance		.03	.06	.06
TOTALS	\$	\$349	\$1970	\$1530
	Staff	4.63	6.33	2.51

IV. FY '78 TASKS TO CONTINUE THE DEVELOPMENT AND IMPLEMENTATION
OF LEAA'S EVALUATION SYSTEM

LEAA's Evaluation Policy Working Group (EPWG II) was convened by the Acting Administrator in September 1977 to review the agency's evaluation policy, programs and procedures and to recommend additional steps that would assure the continued strengthening of the program. The following tasks, recommended by the Group, were approved for action in FY '78 to be coordinated by the EPWG:

1. Review FY '79 plans of all offices for evaluation activities for consistency with agency policy, priorities, and objectives, and act as a forum for facilitating mutual support and coordination among related programs and activities.
2. Review the structure and functions of the evaluation program and the roles and responsibilities of present offices with the purpose of developing options for the nature and location of evaluation functions under the proposed LEAA reorganization.
3. Review LEAA's monitoring and evaluation systems and develop a plan for rationalizing and integrating these systems for measuring performance of LEAA programs and projects.
4. Develop preliminary planning and budgeting procedures to assure that all priority programs initiated in LEAA are adequately evaluated.
5. Develop standard language for use in evaluation grants and contracts to assure that products specified for delivery to LEAA respond to evaluation needs and intended uses.
6. Develop additional guidance for LEAA evaluation grantees and contractors to describe fully what the agency expects with respect to the scope, focus, methodology and the end products of evaluation studies of various types.
7. Develop specific procedures that will assure the participation of evaluation specialists in the joint development by program and knowledge office staff of any program for which an evaluation is planned with the intent to produce results contributing to the Knowledge Program.
8. Develop criteria to be used by LEAA staff in assessing the evaluability of programs for which evaluation is planned, with flexibility in the application of criteria so that the primary purposes and intended uses of proposed evaluations are appropriately reflected in the evaluability assessments.

9. Review the Evaluation Development Program's present components to consider whether LEAA should develop an additional mechanism for supporting the development and institutionalization of evaluation systems in SPA's and, if so, how such a program should be integrated into LEAA's new plans to encourage SPA institutionalization in State governments.
10. Develop a plan and procedures for improving LEAA's review of the evaluation component of State comprehensive plans, monitoring their implementation by the States, receiving and reviewing evaluation reports produced by the States, and processing and disseminating their findings.
11. Assess the adequacy of the space allotted in PROFILE for storage and retrieval of evaluation summaries and the utility of those summaries for intended utilization.
12. Review LEAA evaluation information and clearinghouse arrangements and develop recommendations for improving access, efficiency, utility and utilization, coordinating this task with other activities underway to assess the numerous clearinghouse arrangements supported by LEAA.

EPWG special activities for FY 79 will focus primarily on adapting LEAA's complex evaluation program to the requirements and opportunities presented by LEAA's reorganization. Other tasks will be undertaken as assigned by the Administration.

(Staff effort shown under Management Program, Evaluation Program Review and Monitoring).

V. 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 further 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) implementation of a Development Program to encourage and assist State and local criminal justice planning and operating agencies in the development, use, and institutionalization of evaluation capabilities.

A. SUMMARY OF RESOURCES

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

Budget Summary: LEAA Evaluation Program, FY 77, FY 78 & FY 79
(\$ in thousands; LEAA staff in person/years)

	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Knowledge:			
Budget	\$8,041	\$18,967	\$12,265
Staff P/Y	14.87	22.78	23.66
Management:			
Budget	\$ 454	\$ 1,289	\$ 1,040
Staff P/Y	4.85	51.52	50.92
Development:			
Budget	\$ 349	\$ 1,970	\$ 1,530
Staff P/Y	4.63	6.33	2.51
	<hr/>	<hr/>	<hr/>
	\$8,844	\$22,226	\$14,835
	24.35	80.63	77.09
	<hr/>	<hr/>	<hr/>

B. DISCUSSION

1. Resources and Programs.

- a. Substantial reprogramming of FY 77 carryover funds to evaluation activities, bolstering important elements of the Evaluation Knowledge and Development Programs, places the agency's overall evaluation program in a solid position to produce a major increase in results in FY 79 and beyond.
- b. Budgetary support for the Knowledge Program will be at about \$12 1/4 million by FY 79, with program results increasing substantially because of evaluations initiated in FY 76 and FY 77 and because of major

investment of reprogrammed FY 77 carryover funds into evaluation efforts in FY 78. LEAA staff dedicated to Evaluation Knowledge Program activities will increase from approximately 15 P/Y in FY 77 to 23 P/Y in FY 78 and will be maintained at that general level in FY 79.

- c. Evaluation Management Program funding will increase from under \$500,000 in FY 77 to \$1 1/4 million in FY 78 and will level off to about \$1 million in FY 79. A dramatic increase in LEAA staff time, from 4.4 P/Y in FY 77 to over 50 P/Y in FY 78 and FY 79, primarily reflects the addition of the Office of Audit and Investigation's program and project review function to LEAA activities that are designed to produce timely evaluative information to the LEAA Administration and to program managers at all levels. Program offices are also increasing the level of management focused evaluations, particularly studies to assess the efficiency and cost effectiveness of support activities funded by their offices.
- d. Evaluation Development Program funding will increase from approximately \$350,000 in FY 77 to \$2 million in FY 78 supporting new initiatives. Approved development programs are projected for \$1 1/2 million in FY 79. New initiatives in this area are under consideration during FY 78 and are likely to increase FY 79 funding to over \$2 million.
- e. FY 78 NILECJ plans for evaluating test programs developed in the Institute initiates a new evaluation subprogram in support of the action program development process adopted in LEAA to develop national model programs. This process, for the first time in LEAA, closely integrates evaluation into a careful development and testing process for social programs.
- f. Beginning in FY 78, all priority programs supported by LEAA's discretionary funds will be evaluated.
- g. With the implementation of LEAA's new evaluation training program and the redeveloped evaluation TA program, the agency is in FY 78 in a position to provide a more adequate response to the needs and opportunities for assisting State and local criminal and juvenile justice agencies to develop and utilize evaluation capabilities in a meaningful way.

2. Improvements in LEAA's Evaluation Program Processes and Procedures

- a. The Evaluation Management Program will achieve a new stage of maturation in FY 78 with the initiation of integrated and concurrent program and evaluation planning for FY 79. This change, replacing the prior procedures in which evaluation decisions followed program planning decisions by several months, now allows a more coherent decision process for establishing agency program and evaluation priorities in relation to each other.
- b. In FY 78 for the first time, annual program planning for all priority LEAA programs will include plans for an evaluation, with provision for evaluation staff participation or coordination in early stages of program development and implementation.
- c. For FY 78, also for the first time, the planning process for DF program evaluations was accomplished in a multi-year planning context. That is, the decision was made to initiate an evaluation by NILECJ for all DF programs nominated, under a strategy which provides for intensive process evaluations in the first year of new programs to provide the base for impact evaluations under subsequent year funding if the first year effort indicates that these are feasible and warranted and to assure the development of baseline data for impact evaluations.
- d. In FY 78 significantly closer coordination is being initiated between program and project level evaluations in those programs selected for intensive national level evaluation by NILECJ.
- e. During FY 78, LEAA will initiate in selected programs a new strategy to integrate intensive "process" evaluations into the TA program supporting implementation of action programs. This new approach to evaluation during the startup and implementation of program and project designs, implementation, management and performance by providing more extensive and timely information on problems and progress.

- g. The decision to collocate Evaluation Technical Assistance Resource Centers with the five Area Criminal Justice Training Centers that deliver capacity building training in planning, analysis and evaluation to planning agencies initiate a more coherent approach that will improve the coordination between the closely related and complementary assistance activities of training and TA.
- h. Efforts in FY 78 to review, purge, synthesize and improve access to and dissemination of holdings of the Evaluation Clearinghouse in the National Criminal Justice Reference Service should greatly increase the utility of this resource to State and local users.

3. Impact of Reorganization

The impact of LEAA's reorganization on evaluation programs and activities could not be predicted with any accuracy as this plan was being prepared. However, it is expected that there will be changes in functions, their location in the agency, and in the budgets supporting various activities. During the course of reorganization planning and implementation close attention will be given not only to assuring the continuity of any evaluation activities that are affected by program and organizational changes, but also to opportunities afforded by reorganization to improve the efficiency, effectiveness, productivity and utility of the agency's evaluation program.

C. RECAPITULATION

Although primary responsibility for coordination of each of the primary evaluation programs is assigned to a particular LEAA office, each program requires the coordination and contributions of several offices. Several types of funds are employed for evaluation activities, and evaluation is a support activity that contributes to most LEAA program objectives as these are defined in the agency's program pyramid.

The following two tables summarize:

- (1) Allocations by types of funds; and
- (2) Allocations by LEAA Offices.

1. Allocations by Type of Funds
(\$ in thousands; LEAA Staff in Person/Years)

<u>Budget Category/Program</u>	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
Research & Evaluation			
Knowledge	\$4,228	\$12,372	\$8,980
Development	319	228	150
TOTAL	<u>\$4,547</u>	<u>\$12,600</u>	<u>\$9,130</u>
JJDP Research & Eval.			
Knowledge	\$3,625	\$ 6,000	\$3,000
Management		65	100
Development		178	100
TOTAL	<u>\$3,625</u>	<u>\$ 6,243</u>	<u>\$3,200</u>
TA			
Knowledge		\$ 300	\$ 150
Management	\$ 240	732	640
Development	10	1,085	1,235
TOTAL	<u>\$ 250</u>	<u>\$ 2,117</u>	<u>\$2,025</u>
Systems & Statistics			
Knowledge	\$ 188	\$ 295	\$ 135
Management	139	292	100
Development	20	54	45
TOTAL	<u>\$ 347</u>	<u>\$ 641</u>	<u>\$ 280</u>
402(b)6			
Management	\$ 75		
Development		\$ 100	
TOTAL	<u>\$ 75</u>	<u>\$ 100</u>	
Part C			
Development		\$ 325	
TOTAL		<u>\$ 325</u>	
M & O			
Management		\$ 200	\$ 200
TOTAL		<u>\$ 200</u>	<u>\$ 200</u>
TOTALS	<u>\$8,844</u>	<u>\$22,226</u>	<u>\$14,835</u>

2. Level of Effort for Evaluation Program by LEAA Offices
(\$ in thousands; LEAA Staff in Person/Years)

<u>Office/Program</u>	<u>FY 77</u>		<u>FY 78</u>		<u>FY 79</u>	
	<u>Budget</u>	<u>Staff</u>	<u>Budget</u>	<u>Staff</u>	<u>Budget</u>	<u>Staff</u>
NILECJ	\$4,547	12.90 P/Y	\$12,600	20.73 P/Y	\$9,130	19.20 P/Y
OJJDP	,625	2.15	6,243	3.37	3,200	3.27
OCJP	250	6.02	1,390	6.30	1,200	6.05
NCJISS	347	.48	641	.76	280	.62
OOS	-	1.40	827	2.45	825	.95
OCJET	-	.05	325	.32	-	.30
OPM	-	1.00	200	1.50	200	1.50
OAI	-	.30	-	45.10	-	45.10
OC	75	.05	-	.10	-	.10
	\$8,844	24.35	\$22,226	80.63	\$14,835	77.09

APPENDIX A

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 78 - FY 79

MAJOR SOURCES OF EVALUATION INFORMATION AND ASSISTANCE

SUPPORTED BY LEAA

MAJOR SOURCES OF EVALUATION INFORMATION AND ASSISTANCE
SUPPORTED BY LEAA

1. Evaluation Clearinghouse, National Criminal Justice Reference Service (NCJRS). NCJRS, which is supported by LEAA's National Institute of Law Enforcement and Criminal Justice, serves as an international clearinghouse for research, evaluation and other documents on crime, delinquency and the criminal and juvenile justice system. Evaluation materials are maintained in a special Evaluation Clearinghouse. Documents not available for general distribution can be obtained on a loan basis. Written requests for evaluation products should be marked "ATTN: Evaluation Clearinghouse."

National Criminal Justice Reference Service
P. O. Box 6000
Rockville, MD 20850
ATTN: Evaluation Clearinghouse
Telephone (202) 862-2900

2. Evaluation Training and Technical Assistance. Because of the complementary nature of training and technical assistance, the five Area Criminal Justice Training Centers maintained by the Training Division, OOS, and the five Evaluation Technical Assistance Resource Centers supported by Office of Criminal Justice Programs are collocated in five universities. The training center and the TA resource center at each site are under a common director. The centers are located at:

Northeastern University
360 Huntington Avenue
Boston, MA 02115
Telephone (617) 437-3619

School of Social Welfare
University of Wisconsin/Milwaukee
Milwaukee, WI 53201
Telephone (414) 963-6030

School of Criminology
Florida State University
Tallahassee, FL 32306
Telephone (904) 644-1298

Washburn University of Topeka
Criminal Justice Division
17th and College
Topeka, KA 66621
Telephone (913) 295-6410

University of Southern California
School of Public Administration
University Park
Los Angeles, CA 90007
Telephone (213) 741-6762

3. Office of Juvenile Justice Technical Assistance. OJJDP's program of technical assistance for juvenile justice and delinquency prevention programs and projects in special emphasis programs includes provision for evaluation TA in Deinstitutionalization and Diversion, the Formula Grant Program, and Delinquency Prevention.

Requests for evaluation technical assistance in these program areas should be directed to:

Formula Grant and Technical Assistance Program
Office of Juvenile Justice and Delinquency Prevention
Law Enforcement Assistance Administration
633 Indiana Avenue, N.W.
Washington, D.C. 20531
Telephone (202) 376-2211

4. Juvenile Justice and Delinquency Prevention Assessment Centers. The OJJDP Assessment Centers Program provides OJJDP with a continuing assessment of evaluation requirements and with overall designs for evaluations of major initiatives, including JJDP special emphasis programs. The Centers also serve to assess and synthesize completed research and evaluation and provide OJJDP with current information on the state-of-the-art in assigned subject areas. Although the Assessment Centers do not provide technical assistance to the field, they are sources of available design and substantive information.

Inquiries concerning the Assessment Centers should be directed to:

The Assessment Centers Program
National Institute for Juvenile Justice
and Delinquency Prevention
Office of Juvenile Justice and Delinquency Prevention
Law Enforcement Assistance Administration
633 Indiana Avenue, N.W.
Washington, D.C. 20531
Telephone (202) 376-3660

The four Assessment Centers supported under the program are:

Center on the Juvenile Justice System
American Justice Institute
10007 - 7th Street
Sacramento, CA 95814

Center on Alternatives to Juvenile Justice
System Processing
School of Social Service Administration
University of Chicago
969 East 60th Street
Chicago, IL 60637

Center on Delinquent Behavior and its Prevention
Center for Law and Justice
University of Washington
Seattle, WA 98195

Coordinating Assessment Center
National Council on Crime and Delinquency
Continental Plaza
411 Hackensack Avenue
Hackensack, NJ 07601

5. Technical Assistance on Evaluation of Information Systems.
NCJISS supports TA on two kinds of assessments of criminal justice information systems: assessing the transferability of existing systems to new sites, and TA to sites to help them evaluate performance of systems that are being implemented. TA includes technical advice but does not include the conduct of evaluations by the TA contractor.

Questions and requests for TA should be directed to:

SEARCH Group, Inc.
1620 - 35th Avenue
Suite 200
Sacramento, CA 95822
Telephone (916) 392-2550

SEARCH Group maintains a clearinghouse of information on criminal justice information systems that have been developed and documented.

6. National Criminal Justice Data Archive. NCJISS also supports a data archive for the criminal justice community through the Interuniversity Consortium for Political and Social Research, headquartered at the University of Michigan. The project has three principal functions: (1) to serve as a data repository for national criminal justice statistics and for data sets produced by research and evaluation studies; (2) to provide consultation services for researchers in the field and for criminal justice planning and evaluation units; and (3) to provide training, both in the use of the data in research and analysis and in the management of such data sets and assistance to users. Training sessions are held during the summer. Application forms are available.

Direct requests to:

National Criminal Justice Data Archive
ICPSR
P. O. Box 1248
Ann Arbor, MI 48106
Telephone (313) 763-5199

LEAA supports a number of additional activities that can be of assistance in meeting specialized evaluation information needs for criminal justice programs and projects. These may be identified through LEAA program managers or through the evaluation TA Resource Centers listed in this appendix.

APPENDIX B

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 78 - FY 79

INSTRUCTIONS FOR PREPARING PROJECT EVALUATION
SUMMARIES FOR LEAA'S MANAGEMENT INFORMATION
SYSTEM (PROFILE)

(HB4500.2A, PROCEDURES FOR ADMINISTRATION OF
CATEGORICAL GRANTS, DECEMBER 2, 1977, pp. 74-6)

PROJECT EVALUATION SUMMARIES6. Grant Evaluations

These instructions are provided to assist the grant monitor in writing a summary of major evaluation findings for those grants which have been formally evaluated by an independent grantee/contractor either as a selected project level evaluation or as part of a national program level evaluation funded by the National Institute for Law Enforcement and Criminal Justice (NILECJ). This summary contains specific information on the funding level of the completed evaluation, the contractor/grantee selected for the evaluation, the purpose and objectives of the evaluation, the evaluation methodology and the major findings of the evaluation. Evaluation findings summaries are included in the LEAA Grant Program File (PROFILE) and they are intended to make available to the users of PROFILE a concise statement of the findings of formal project and program level evaluations. PROFILE reports will present for each grant in the system a project summary which outlines the project objectives; an assessment summary which indicates the project's accomplishments or lack thereof; and an evaluation findings summary, if the project did contain a formal evaluation component. These reports will be used by criminal justice planners and LEAA management and staff.

The following are the specific components which must be included in the evaluation findings summary. You may use up to 1,440 characters (approximately 200 words). Since the evaluation findings summary is brief, your statements must be clear and the points you make must be concise.

The brevity also means that you must be selective about the statements you choose to include. Your goal should be to summarize for the reader precisely who conducted the evaluation; what the purposes and objectives of the evaluation were; what evaluation methodology was employed; and what the findings of the evaluation were.

The following components must be included in the evaluation findings summary:

(a) Title of the Evaluation:

State the title of the evaluation grant or contract.

- (b) Funding level of Evaluation, Selection of Grantee/Contractor, and Source of Funds:

Describe briefly the funding level of the evaluation, the source of funding and method for selection of the evaluator. In particular, specify whether the source of funding was a percentage earmark of the grant for evaluation with the contractor selected by the grantee, or whether the evaluation was conducted under separate grant for LEAA with the grantee selected by LEAA or whether the evaluation was conducted under contract for LEAA with the contractor selected competitively by LEAA.

- (c) Purpose and Objectives: State Briefly the purpose or main thrust of the evaluation, i.e. social impact, process, cost-benefit; and specific evaluation objectives. Since project objectives are sometimes in part not readily evaluable, briefly state how the specific evaluation objectives correspond to project/program objectives.

- (d) Evaluation Methodology:

1. List indicators and measures used to assess results of the project against its objectives.
2. List sources of data and means of collection.
3. Briefly describe the methods of analysis utilized and present a general schema that represents the evaluation design as is appropriate, for example, for (a) process, (b) impact and (c) cost-benefits evaluation. State hypotheses tested.

- (e) Evaluation Findings:

Briefly summarize the findings of the evaluation in terms guided by the above considerations and also including significant "side effects or unintended results" identified. This should include results especially pertaining to: (a) tests of underlying hypotheses and (b) the environmental situation, political support, resources, organization effectiveness, and leadership and (c) recommendations and conclusion

- (f) Documents Produced: Describe any documents or reports produced by the evaluation and indicate where they can be obtained.

APPENDIX C

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 78 - FY 79

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 December 21, 1977
edition (4500.1) of Guideline Manual: GUIDE FOR
DISCRETIONARY GRANT PROGRAMS.

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 1976 and the Juvenile Justice and Delinquency Prevention Act of 1977. 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 paragraph 6 of this appendix and which enable 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 appendix 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 and program/project review through which projects supported by discretionary funds are subject to periodic review or checking on implementation of operations and results of projects 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. SELF-ASSESSMENT. Requirements for developing a self-assessment plan are contained in Appendix 5, Paragraph 4b(5). The self-assessment plan is used as the basis for preparing quarterly progress reports to LEAA.
4. LEAA PROJECT MONITORING.
- a. All projects supported by discretionary funds will be monitored by LEAA and SPAS 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 Grant Implementation Plan and Self-Assessment Plan described in Appendix 5, Paragraph 4.
 - d. Program/Project Review is the gathering and assessment of monitoring information at a particular point in time for management review.
5. 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 activities and outputs, whereas evaluation is designed to determine the extent to which those outputs and their impact on the problem can be attributed directly to the program or project when that cannot be directly and conclusively ascertained by direct measures from monitoring. 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. The required components of the evaluation plan are defined for both program level evaluation and project level evaluation in paragraphs 6 and 7 below.
6. PROGRAM EVALUATION.
- a. Those major LEAA programs which have been selected for program level evaluation according to the LEAA annual evaluation plan will usually 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 6). These evaluations will be carried out in accordance with an evaluation plan developed by the appropriate Institute and conducted by an independent evaluator selected competitively by LEAA. Program level evaluations not selected for implementation by the National Institute may, if the relevant LEAA program office so desires, be funded by that office.

- b. Although these programs will be evaluated at the national level in accordance with an evaluation plan developed by the appropriate Institute or the cognizant office, and conducted by an 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. This evaluation plan must:
- (1) Specify any assumptions on which the project is based:
 - (a) about the need or target population;
 - (b) about the existence and function of the organizational unit that will implement the project; and
 - (c) assumptions about the immediate social environment on which the project is premised, if any.
 - (2) Specify the cause-effect hypothesis underlying the project concept. This is usually based on the objectives and strategy contained in the program description in Chapter 1 through 6 of this Guide.
 - (3) Propose the measures of effectiveness that should be used to evaluate the impact of 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.
 - (4) Describe the evaluation data and information which should be necessary to establish a cause-effect relationship between project inputs and activities and the achievement of objectives, and to test the assumptions identified in a. above. These should include:

- (a) The kinds of data to be obtained to test or measure --
 - 1 Assumptions;
 - 2 Inputs and activities that the underlying hypothesis states will lead to the achievement of objectives;
 - 3 Organization and procedures constituting the delivery system through which the treatment or service is to be provided; and
 - 4 Elements of the social and organizational environment (that is, elements not under the control of the project) that are important to project success.
- (b) The source and date of the data (e.g., police records, court files, project forms);
- (c) The extent to which the data is expected to be accurate and its expected relevance to the measurement of project results and impact; and
- (d) 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.
- (5) 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.
- (6) Propose an administrative plan and conceptual model for the evaluation.
 - (a) The administrative plan should include evaluation activities such as site visits, interviews with staff and clients, record keeping and data collection, submission of reports, etc., and who should be responsible for these activities.
 - (b) The conceptual model describes how the evaluation will measure and analyze project performance against the underlying hypothesis. It should identify the questions to be answered by the evaluation, the logical cause-effect

flow of all elements of the project, and the methodology for analyzing the data in order to answer the evaluation questions.

- c. 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 by providing data, records and reports generated by the project and facilitating additional site visits and data collection by the contractor.

7. 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 6).
- 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. 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 at a minimum, will be made during the course of the project being evaluated and after its other activities have been completed.
 - (4) 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 the application form. 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 6), 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 D

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 78 - FY 79

PERFORMANCE MEASUREMENT

(MONITORING AND EVALUATION)

GUIDELINES

FOR

STATE PLANNING AGENCY GRANTS

(Guidelines Manual M4100.1F)

(CHAPTER 2. PLANNING GRANT APPLICATION REQUIREMENTS)

SECTION 4. PERFORMANCE MEASUREMENT PLANS

19. PLANS FOR MONITORING AND EVALUATION

- a. Act Requirement. Section 303(a)(17) of the Act requires that the State Planning Agency provide for the development and, to the maximum extent feasible, implementation of procedures for the evaluation of programs and projects in terms of their success in achieving the ends for which they were intended, their conformity with the purposes and goals of the State plan, and their effectiveness in reducing crime and strengthening law enforcement and criminal justice.
- b. Purpose of Monitoring and Evaluation. Section 601(q) of the Act defines evaluation as the administration and conduct of studies and analyses to determine the impact and value of a project or program. The monitoring and evaluation requirements set forth in this paragraph are designed to meet the requirements of the Act and 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. For the purposes of these requirements the following distinction is drawn between monitoring and evaluation (more complete definitions of these activities are included in Appendix I of this guideline manual):
 - (1) Monitoring: Monitoring involves describing planned project results and comparing these planned results with actual project achievements.
 - (2) Evaluation: Evaluation involves a much more intensive analysis, using more accurate or conclusive information that permits inference of a casual relationship, or permits inference that changes or achievements are, in fact, attributable to project activities.
- c. Application Requirement. In its application the SPA shall develop in consultation with local criminal justice agencies 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 SPA is actively encouraged to delegate these monitoring and/or evaluation responsibilities to regional planning units, criminal justice coordinating councils or local units of government. This strategy shall include at a minimum a description of the following:
 - (1) The developmental process resulting in the state strategy as well as the procedures that ensure local participation in the development of the strategy.
 - (2) The resources allocated by the SPA for the execution of its monitoring and evaluation responsibilities.

- (3) The organization of the evaluation and monitoring functions and how they are structured within the SPA.
- (4) How the SPA shall monitor the implementation, operation and results of all the projects it supports.
- (5) How the SPA shall evaluate intensively, either with its own staff or through contracted evaluators or through arrangements with Regional Planning Units or local governments, selected projects, groups of projects or programs. The SPA shall decide which programs or projects to evaluate, but must conduct some intensive evaluations.
- (6) The relationship between monitoring, intensive evaluation, and planning within the SPA including the procedures which the SPA has developed for reporting, corroborating, and utilizing evaluation findings in the planning and funding decisions of both the SPA staff and the supervisory board.
- (7) The SPA's procedures for making the results of monitoring and evaluation available to agencies and units of government.

(CHAPTER 3. THE COMPREHENSIVE PLAN)

(SECTION 1. Par. 31. CONTENTS OF A COMPREHENSIVE PLAN)

- f. Plans for utilization of results of measurement of performance, including the results of audit, monitoring, and evaluation;

SECTION 8. DESCRIPTIONS OF PROGRAMS FUNDED THROUGH THE LEAA BLOCK GRANT AND OJJDP PROGRAMS

42. PROGRAM DESCRIPTIONS.

- b(3)(c) Measurable Objectives in Subgrant Applications. Measurable statements of objectives should be built into subgrant application requirements so that a base for evaluation can be developed which will enable the SPA to provide the National Institute of Law Enforcement and Criminal Justice with the necessary data and information to evaluate the programs and projects carried out under the Act.

SECTION 9. SPECIAL REQUIREMENTS TO BE MET IN THE COMPREHENSIVE PLAN

52. SPECIAL REQUIREMENTS FOR PARTICIPATION IN FUNDING UNDER
THE JUVENILE JUSTICE AND DELINQUENCY PREVENTION ACT OF 1974

h. Research, Training and Evaluation Capacity.

- (1) Act Requirement. Section 223(a)(11) requires that the State Plan provide for the development of an adequate research training, and evaluation capacity within the State.
- (2) Plan Requirements. The State Plan must provide for the development of an adequate research, training, and evaluation capacity within the State.

...

n. Analysis and Evaluation

- (1) Act Requirement. Section 223(a)(20) requires that the State Planning Agency will from time to time, but not less often than annually, review its plan and submit to the administrator an analysis and evaluation of the effectiveness of the programs and activities carried out under the plan, and any modifications in the plan, including the survey of State and local needs, which it considers necessary.
- (2) Plan Requirements. The SPA shall, not less than on a yearly basis, review its plan and incorporate the results of evaluation and monitoring activities including the survey of State and local needs. The results of this analysis and evaluation should serve as an integral part of the planning process for the next year's comprehensive plan.

o. Continuation Support.

...

(2) Plan Requirements.

...

- (e) Termination. An award shall terminate automatically upon completion of the period set forth in the final application, unless extended. In addition, a project may be terminated prematurely, if:

...

- 3 The applicant fails to receive a satisfactory yearly evaluation.

- (f) Satisfactory Yearly Evaluation. For purposes of this section, the term "satisfactory yearly evaluation" shall refer to those activities defined as "monitoring" in accordance with paragraph 19 of this manual.

SECTION 11. PERFORMANCE MEASUREMENT AND ITS UTILIZATION

61. SPECIFIC PLANS FOR INTENSIVE EVALUATIONS.

- a. Act Requirement. Section 303(a)(17) of the Act requires that the comprehensive plan must provide for the development and to the maximum extent feasible, implementation of procedures for the evaluation of programs and projects in terms of their success in achieving the ends for which they were intended, their conformity with the purposes and goals of the State plan, and their effectiveness in reducing crime and strengthening law enforcement and criminal justice. In implementation of this statutory requirement LEAA requires that the State Planning Agency monitor all of the programs and projects which it funds and intensively evaluate the results and impact of selected activities. (Evaluation and monitoring are defined in paragraph 19(d) of this guideline). The State planning agency shall decide which programs or projects to evaluate, but must conduct some intensive evaluations. 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.
- b. Plan Requirement. The State Planning Agency shall either here or in the body of the comprehensive plan describe its evaluation program for the planning year. The State planning agency shall:
 - (1) 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.
 - (2) 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).

62. USES OF PERFORMANCE MEASUREMENT DATA FROM AUDITS, AND FROM MONITORING AND EVALUATION RESULTS.

Results of audits, 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 E

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 78 - FY 79

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 on 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 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 78 - FY 79

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 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." LEAA directives and guidelines provide additional definitions designed to give more specific guidance to performance measurement activities, including monitoring as well as evaluation, intended to serve a number of different, specific needs. The following definitions reflect other specific legislative requirements, different time frames, levels of scientific rigor, and differing intended applications. Included are the four types of performance measurement identified in LEAA's DF Guidelines (self-assessment, monitoring, program evaluation, and project evaluation) along with several other terms commonly used in the LEAA system.
2. Assessment is the most general term. It includes any judgmental description of the performance, impact or value of a project or program, in whole or in part, as well as systematic quantitative measurement and analysis.
3. Performance measurement is used in LEAA guidelines to include self-assessment, monitoring and evaluation, whether performed by LEAA, a grantee or an independent party.
4. Intensive evaluation is used to define those assessments which not only measure performance and outcomes, but are designed with a sufficiently rigorous approach to permit an attempt to establish a cause and effect relationship between program or project activities and results.
5. Program evaluation refers to intensive evaluation of LEAA supported grant programs.
6. Project evaluation refers to intensive evaluation at the individual project rather than the program level.
7. Impact evaluation (or impact assessment) is a technical term that is generally synonymous with intensive evaluation, but the term "impact" implies a specific emphasis on impacts rather than on the process by which impact objectives are achieved.

8. Process evaluation emphasizes measurement and assessment of the change process in the course of program and project implementation, and such short term results as are feasible to measure, focussing on whether and how well the change process is occurring in relation to planned activities and expected results, and whether the results indicate that the approach is likely to be an adequate, appropriate and effective response to the problem it addresses.

9. Management evaluation is used in LEAA 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. The distinction is made because LEAA's legislative mandate for evaluation specifically focuses on questions of the effectiveness, impact and value of State and local criminal justice programs and projects funded under the Act. Management evaluations are defined here as those studies and analyses assessing the effectiveness and value of LEAA operations.

10. Monitoring refers to periodic or continuous review or checking on the implementation, operation and results of projects throughout the life of the grant, comparing actual activities and results with the planned activities and results specified in the grant or project plan.

11. Program review refers to the gathering and assessment of monitoring information at a particular point in time. Program reviews are intended to identify design and implementation issues and provide information useful for program development, management or restructuring.

12. Project review refers to individual project assessments at a particular time.

13. Self-assessment refers to self-monitoring activities by the grant or project, in accordance with an assessment plan approved by LEAA, designed to provide project management with information about progress, problems and performance of the project against planned activities and results.

14. 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.

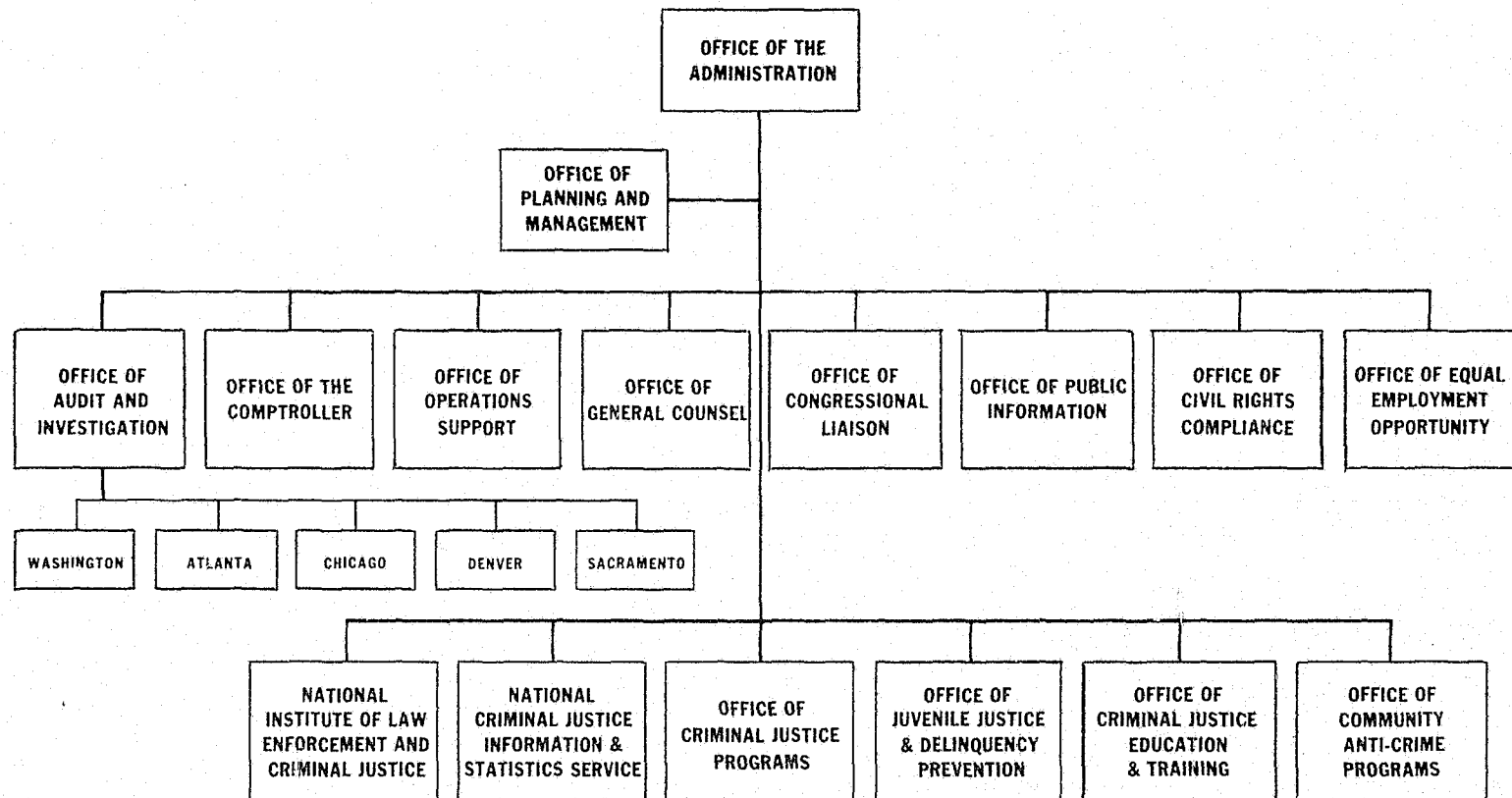
15. State Planning Agency (SPA). State planning agencies were mandated in LEAA's basic legislation, when the block grant program to the states was created, as the state level planning and administrative vehicle for receiving and administering LEAA grants to the states. In order to be eligible for block 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.

16. 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.

17. 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.

18. 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



END