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Descriptions and Assessments of the Model Evaluation Program Projects

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U. S. Department of Justice
Law Enforcement Assistance Administration
National Institute of Law Enforcement and Criminal Justice

Law Enforcement Assistance Administration
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National Institute of Law Enforcement
and Criminal Justice
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ASSESSMENTS OF THE MODEL EVALUATION PROGRAMS:

The Illinois Law Enforcement Commission

The Michigan Office of Criminal Justice Programs

The Pennsylvania Governor's Justice Commission

The Alameda (California) Regional Criminal Justice Planning Board

The Association of Central Oklahoma Governments

The Columbia, S.C. Central Midlands Regional Planning Council

The Jacksonville Office of Criminal Justice Planning

The Ventura Criminal Justice Planning Board

PREFACE

In the Fall of 1974, the National Institute of Law Enforcement and Criminal Justice (NILECJ) announced the Model Evaluation Program (MEP). Through the program, 12 grants were awarded to state and local agencies to develop and demonstrate model evaluation approaches. One such grant for $249,968 was awarded to the Illinois Law Enforcement Commission. The grant initially was for a one year period.

The MEP grantees were selected through a competitive process from proposals submitted by State Planning Agencies (SPAs) and Regional Planning Units (RPUs). The SPAs and RPUs are agencies established by the Omnibus Crime Control and Safe Streets Act of 1968 to carry out the planning and funding process authorized by the Act. During recent fiscal years, these agencies participated in the annual expenditure of over six-hundred million dollars in grants for projects at the state and local levels of government. In many cases, the SPAs and RPUs are components of state and regional organizations performing other functions than those authorized by the Safe Streets Act. For example, the RPU is part of a Council of Governments or some other regional organization of local governments.

The SPAs and RPUs have responsibility for developing comprehensive plans for the expenditure of funds awarded to them, and for administering the award and expenditure of grants created with those funds. The specific roles and responsibilities of the SPAs and RPUs vary among states and regions. The professional staffs of SPAs range from four to nearly seventy. Funds are awarded to states on a formula basis, with the larger states receiving the largest allocation.

The Law Enforcement Assistance Administration (LEAA) has overall responsibility for administering the Omnibus Crime Act. The authorizing legislation and LEAA placed monitoring and evaluation requirements on the SPAs, who in turn place requirements on or receive cooperation from the RPUs. Over the years, LEAA, the SPAs and RPUs have emphasized evaluation, and have invested heavily in it. The Model Evaluation Program is but one of the LEAA and National Institute efforts to affect performance in the criminal justice area through evaluation.

In developing proposals for the $2,000,000 set aside for MEP grants, SPAs and RPUs were given extensive freedom. As stated in the Program Announcement, "Any proposal to develop a system for generating information

on the results, costs and effectiveness of criminal justice projects, programs and activities is eligible."[1] The program objectives were:

- encourage state and local agencies to generate and use evaluation information; and
- test in what ways the effective use of evaluation information can help state and local agencies achieve their objectives.

Additional criteria and instructions were given in the announcement, but the freedom to propose what the SPAs or RPUs believed most appropriate was maintained and exhibited in the variety of proposals funded.

The Urban Institute was selected to document and assess the MEP. The work performed in that capacity included assistance and documentation of the individual grantee activities, and synthesizing the experiences and results of all the grantees.

The documentation of individual grants is contained in a series of eight case studies prepared on those grants that were completed by the Fall of 1977, and a summary report. This report is one of those case studies.

Each of the case studies begins with a brief summary of the activities funded and the results achieved. The second chapter presents the evaluation system that was to be developed and the system tested. In some cases the system planned and the system built were quite different. The third chapter describes the strategy followed by the grantee to develop and test the system and the experiences encountered. A final chapter presents the outcomes of the grantee's MEP efforts.

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1. Model Evaluation Program Announcement, Washington, D.C., Law Enforcement Assistance Administration, Fall 1974.

ACKNOWLEDGMENTS

These reports prepared on the eight completed Model Evaluation Program (MEP) grants and the summary report on the program are based on the experiences of grantees who developed and implemented their approaches to evaluation. Without their willingness to experiment with new approaches and be subject to evaluation themselves, this report and the lessons contained in it would not have been possible.

The authors wish to recognize the MEP participants for their openness and cooperation in this program. They provided extensive documentation on their projects, and submitted to extensive interviews and surveys. The authors are grateful for the time and effort expended. Unfortunately, the list of persons who provided information over a several-year period is too numerous to give here.

The MEP and this assessment also depended on the efforts and staff of The National Institute of Law Enforcement and Criminal Justice (NILECJ). The initial grant to The Urban Institute was awarded when Gerald Caplan was Director of the National Institute, and was continued by Blair Ewing. The principal NILECJ staff member on the MEP was Dr. Paul Lineberry, who expended many hours with the authors and in overseeing the grantees. He provided many insights into the management and evaluation activities studied, and continually pushed for a synthesis that would provide useful guidance to all government managers and evaluators.

Other National Institute personnel contributing to the MEP and this effort are: Joel Garner; Victoria Jaycox; Richard Rau; and John Spevacek. Their support and cooperation were essential and are appreciated.

Finally, many members of the Program Evaluation Research Program of The Urban Institute contributed to the MEP and this report by performing field work or reviewing products. They include: Richard Schmidt; Joseph Wholey; and Sumner Clarren.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE ILLINOIS LAW ENFORCEMENT COMMISSION

by
John D. Waller
John W. Scanlon
Paul G. Nalley

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I. INTRODUCTION AND SUMMARY

The Illinois Law Enforcement Commission (ILEC) is the State Planning Agency (SPA) for Illinois. The Commission is responsible for developing a comprehensive plan for expending the Law Enforcement Assistance Administration (LEAA) block grant to Illinois, and for awarding subgrants from the block grant. In 1974 the Commission began to develop a new evaluation system to be used by the Commission staff. The evaluation system was to use two types of data: project data reported by subgrantees using ILEC provided forms standardized for similar projects; and data on project environment obtained by ILEC from existing sources. With these data, the Evaluation Unit was to produce: (a) several multi-project impact/outcome analyses; and (b) single project analyses.

The Illinois Law Enforcement Commission primarily used the Model Evaluation Program (MEP) to accelerate the development and test of the new evaluation system. The key steps in the development of the new evaluation system were the in-house production of standardized data collection instruments and analysis procedures for similar projects, and the packaging of existing socioeconomic data for in-house use. In the year prior to receipt of the MEP grant, the ILEC Evaluation Unit had developed data collection instruments and analysis procedures for several sets of projects. The MEP grant provided the resources for a temporary augmentation of the Evaluation Unit staff to complete these development processes and initiate the new system on a comprehensive basis within one year.

The augmented ILEC staff did develop the standardized evaluation packages, but experienced implementation problems and did not obtain the desired socioeconomic data bases. Implementation problems were encountered in convincing projects to provide data, processing the obtained data and ensuring the quality of the data, conducting analyses, and preparing reports. Portions of the system as initially proposed were never implemented. Near the end of the year of MEP funding, the Evaluation Unit decided that there were insufficient resources available to overcome the data problems and operate the systems as designed.

The Evaluation Unit also decided that even if the data problems could be remedied, the type of evaluation results that could be produced did not warrant the expenditure of the resources required to do so. In particular, with the multiproject evaluations, the Evaluation Unit had hoped to produce information on the relationship between project activities and impact on crime or the criminal justice system. However, the Evaluation Unit's experience in attempting to perform such evaluations convinced it that there was too much variation among projects to produce such information.

On the basis of their experiences in attempting to develop and implement the new evaluation system, the ILEC Evaluation Unit decided to abandon several components of the new system and reduce the extent of utilization of the remaining components. About half of the data collection instruments that had been developed were dropped, and the remaining were modified to focus on documenting process activities for monitoring purposes. The Evaluation Unit returned to the practice of conducting a limited number of special in-house and contract studies to produce information on the effectiveness and impact of projects.

What the ILEC staff attempted to accomplish with MEP funds, their experiences, and the results achieved are discussed in the next three sections. The presentation briefly documents what occurred, and attempts to highlight problems and lessons that are thought to be of value to other agencies considering the development of a similar evaluation system. Two major issues that stand out from the ILEC grant are:

- the need to not over-estimate what can be accomplished with available resources, and to plan carefully for the use of available resources and develop data processing procedures before backlogs develop; and
- the standardized data approach did not work and was judged inappropriate for producing impact results or increasing confidence in evaluation results for LEAA projects.

II. THE ILEC EVALUATION SYSTEM DESIGN AND RATIONALE

The evaluation system that ILEC proposed to develop and implement with the aid of MEP funds is illustrated in Figure 1. As the project was actually implemented, several portions of the system were not developed. The system that was partially developed is given in Figure 2. The various components of of the systems, proposed and developed, and the reasons for developing them, are described in the following sections.

A. RATIONALE FOR DEVELOPING THE NEW SYSTEM

For several years prior to 1974, ILEC evaluation staff had conducted, or contracted for, individual project and multi-project evaluations. Those evaluations were considered useful by ILEC management, and there were several instances cited of results from the evaluations being used to modify project designs and support planning, policy and funding decisions. However, for each of those evaluations, a new evaluation design with unique data collection instruments and analysis procedures was developed. Such an approach was considered by ILEC management to be too limited since:

- only a limited number of multi-project evaluations could be attempted with available funds; and
- data from the individual evaluations could not be aggregated over similar projects to provide information on project types and isolate factors affecting program performance.

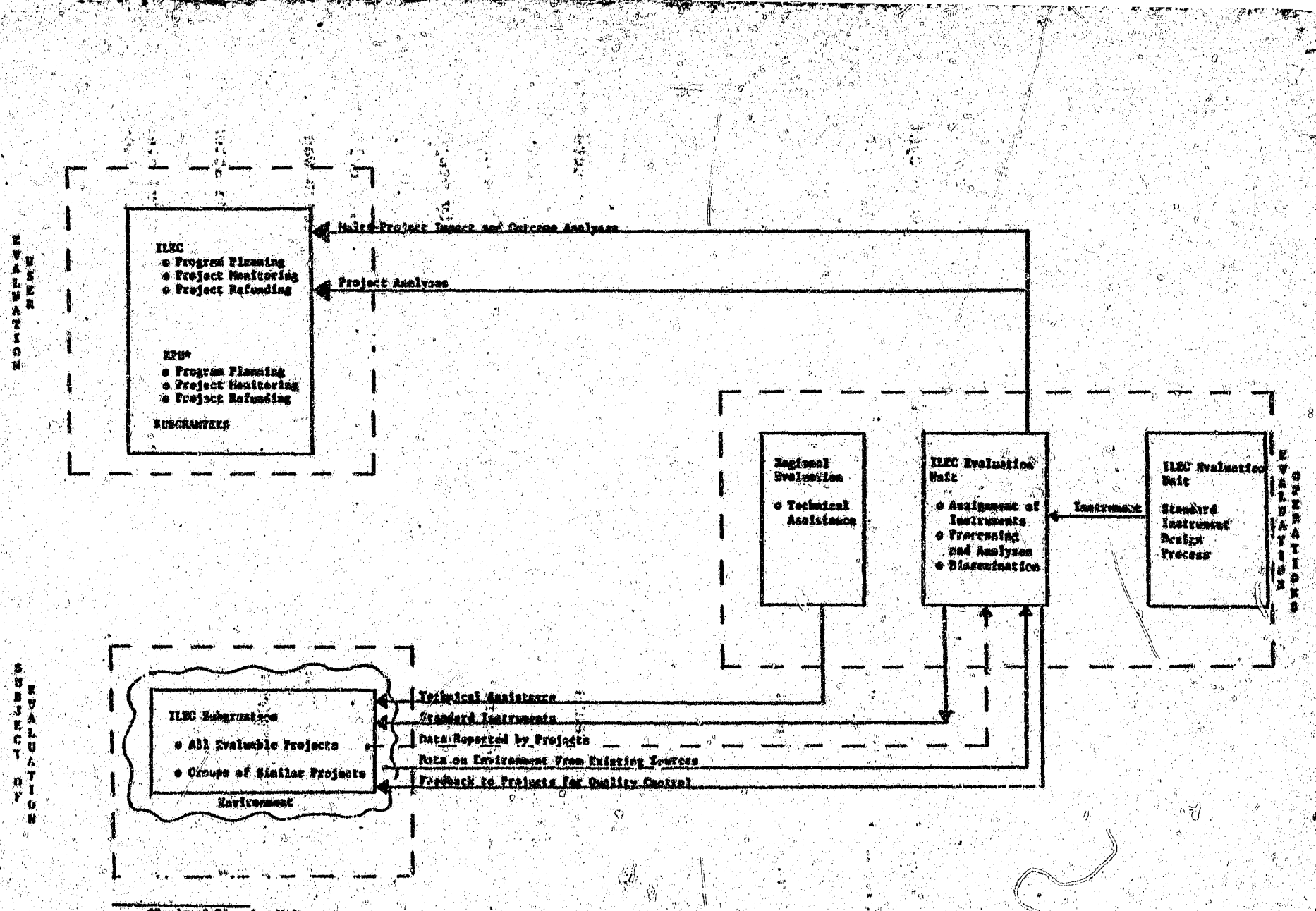


FIGURE 1: ILEC EVALUATION SYSTEM AS PLANNED

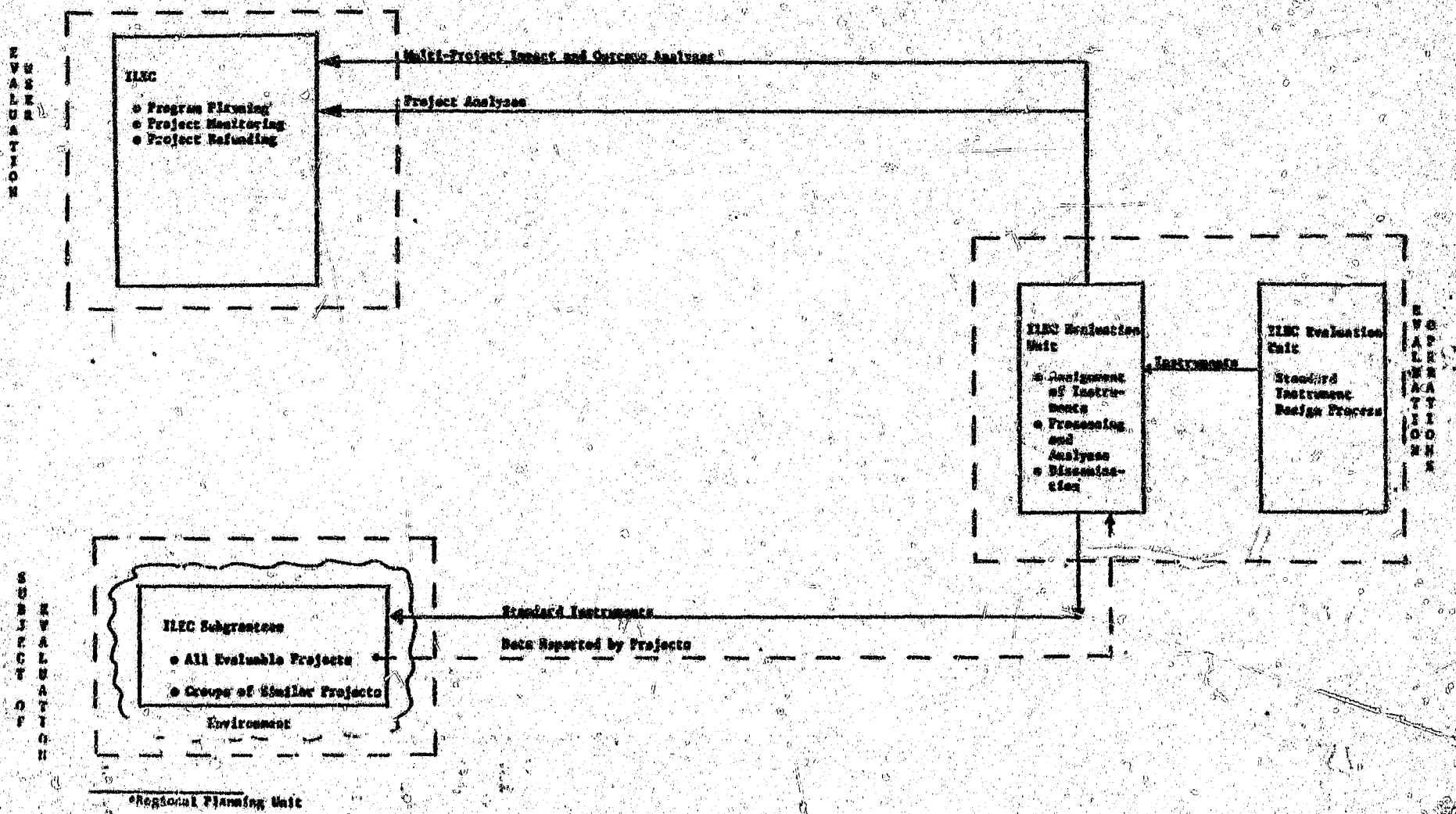


FIGURE 2: ILEC EVALUATION SYSTEM AS OPERATED

Development of a new evaluation system using standardized evaluation designs was begun to provide a means of remedying these limitations. That is, the Evaluation Unit expected to be able to achieve some "economy of scale" cost savings in conducting evaluations, and increase the amount of knowledge produced on project operations and effects.

The next chapter describes the strategy followed by the Evaluation Unit to develop and institutionalize the new evaluation system.

B. THE PROPOSED AND DEVELOPED EVALUATION SYSTEMS

The proposed evaluation system and the one actually developed during the period of MEP funding differed on users served, what was evaluated, and evaluation activities performed. Elements of the proposed system given in Figure 1 that were not developed and have been eliminated in Figure 2 are:

- involvement of Regional Planning Units (RPUs) in operation of the system and use of evaluation information produced;
- involvement of projects being evaluated in verification and use of information produced; and
- utilization of data beyond that produced by the evaluated projects.

Also, the proposed system was to cover most of the subgrants awarded by ILEC, and emphasize both multi-project and single project evaluations. The development effort that did occur covered a smaller set of subgrants than originally intended, and primarily resulted in single project evaluations.

1. USERS AND USES

The three principal users of the proposed evaluation system were:

(I) ILEC--the Commission and staff,

(2) Regional Planning Units--councils and staff, and

(3) Projects--staff and local agencies through which the projects function.

As the system was developed during the MEP grant, the principal user was the ILEC staff as it performed the function of reviewing applications for subgrant renewal.

In the proposed system, the ILEC staff expected to use the information in:

- The formal and informal processes which involve decisions on the projects evaluated (technical assistance, continuation funding) and future funding levels for similar projects and programs (preparation of the comprehensive plan, funding of new subgrants).
- Support of its staff role as criminal justice program experts (e.g. providing advice on program design to subgrantees, to state and local criminal justice agencies).
- General dissemination of evaluation results to criminal justice agencies.

Data submitted by projects were to be immediately made available to grant monitors in ILEC (called the technical assistance staff) for monitoring purposes. This occurred, but little actual use could be demonstrated. The Evaluation Unit expected to periodically comply with requests from the technical assistance (TA) staff to compile all data submitted by a project to create a progress report useful for making continuation funding decisions. These compilations did occur, were used in reviews of requests for refunding of some subgrantees, but had little effect on the refunding process. Data from several similar projects and socioeconomic data bases were to be used to produce evaluations supporting program planning activities of the Commission. Very little of this type of use occurred.

The RPUs were expected to, but did not, use information from the system to:

- monitor LEAA projects operating within a region and
- support decisions on future project designs and funding priorities.

They were to receive copies of the data submitted by the projects, reports prepared on individual projects, and the multi-project evaluations.

Projects were expected to use the information provided by the evaluation system to assess their progress, design future activities, and support funding requests. The project staff were to receive and review copies of the data they submitted after they had been formatted for computer storage and analysis by the ILEC Evaluation Unit. Quality control for the processing system was to be achieved by quickly feeding the processed and formatted data back to projects for verification. Also, it was expected that the data would be useful to the projects for management purposes if returned quickly. However, this use was not tested. Neither data or reports were sent to the projects.

The evaluation staff consistently expressed the intent of using the evaluation information to be produced to support resource allocation and refunding decisions. However, several grant monitors had assured the projects they worked with that no refunding or allocation decisions would be made on the basis of the data the projects provided through the new system. Those grant monitors characterized the requested information as necessary for future planning and for determining appropriate project modifications. As discussed later, the system was not used to alter funding patterns, and only in a few instances was it used to modify project designs.

2. WHAT WAS EVALUATED

The proposed evaluation system was to provide information solely on ILEC

funded projects. Analysis was to be conducted on both "programs" (sets of similar projects) and individual projects. Both types of evaluation were attempted, but the majority of the evaluations focused on individual projects.

The action component of the ILEC comprehensive plan is organized according to "program categories." Each program category is distinguished by a description of a type of project that will be funded under the category. The degree of specificity of "project models" varies between categories and from year to year. In some cases, specific projects are described--activities, expected outcomes, sponsoring agency, location of operation, cost, etc. In other cases, a general description of either the problem area, allowable activities and/or the expected results are provided, along with an estimated number of projects to be funded. In all cases, a specific amount of funds are designated for each program category. When an individual subgrant is awarded, it is with funds allocated to one of the program categories.

It was expected that a standard evaluation package--consisting of data collection instruments and analysis procedures--would be applicable to all projects in a program funding category. Also, once developed for a category, a package was expected to be useable for several years. The data collected were to be tabulated for each individual project and for projects from the same program category. In this manner, the system would produce project and program evaluations. The aggregation of data across projects proved to be more difficult than anticipated.

3. EVALUATION OPERATIONS

As indicated in Figures 1 and 2, the proposed evaluation system was

to be operated by the ILEC Evaluation Unit staff, with the cooperation and assistance of regional evaluators and grantees. The grantees were to periodically submit project data to ILEC using data collection instruments provided by ILEC at the time of grant award. The instruments were to be the same for all projects in a program area of the comprehensive plan. Those Regional Planning Units with evaluators were expected to provide technical assistance to grantees in making project designs compatible with the evaluation design, and in meeting the data requirements. During the MEP grant, a comparison was to be made of the data submitted from projects in regions with evaluators and from those in regions without evaluators. It was expected that detectable differences would exist in the quality of data submitted from projects in the regions with evaluators when compared with data from regions without an evaluator. As the system was operated during the MEP, the regional evaluators rarely became involved with the data collection and analysis.

Once submitted to ILEC, the data were to be coded and entered on a computer data base. Three types of subsequent analysis and products were envisioned:

- Project feedback of submitted data: After data from a given grantee was stored on the computer data base, copies of the submitted data--as processed and formatted by the ILEC staff --were to be fed back to the respective subgrantee for validation and use.

- Project (mini) evaluations: As needed, data on a specific project would be compiled into a report on the grantee's activities and achievements to date. The main use of such reports was expected to be subgrant refunding decisions.

- Multi-project impact evaluations: The data from projects in a given program area of the comprehensive plan, along with socio-economic data from existing sources, were to be analyzed to determine relationships among various project activities, outcomes, and impacts.

Once the developmental phase of producing and introducing new evaluation packages was completed, the Evaluation Unit expected to coordinate the data flow, conduct the analyses, and produce reports with a staff of from four to six professionals. Annually, the staff expected to modify or develop at most a few evaluation packages. Once developed, the packages were expected to be applicable for about five years.

During the MEP grant period, the Evaluation Unit expected to notify the subgrantees shortly after the funding of their application of the need to participate in the system. Notification was to be through a letter from the Director of Evaluation referencing a general special condition to all grants requiring grantee cooperation on evaluations. Eventually the Evaluation Unit expected a requirement of cooperation and data collection instruments to be included in information provided prospective subgrantees, and the need to comply included as a standard condition to the subgrant.

Submission of data was to be enforced through monitoring and follow-up by the Evaluation Unit of recalcitrant subgrantees. When possible, the Evaluation staff would work through or request the assistance of the subgrant monitors and RPU staffs. Eventually a system of making disbursement of subgrant funds contingent on receipt of the required data was to be developed. But at the time the system was introduced, the ILEC management did not believe the capability existed to administer such a contingency arrangement. The Deputy Director expressed the belief that there would be too many errors of the type where funds were released even though the required reports had not been submitted, or where project funds were not released even though reports were already submitted.

As part of the development effort, procedures and computer programs for automating the processing and analysis of data were to be developed. All data submitted by projects were to be coded and stored on state-owned computers by ILEC staff and through ILEC-controlled terminals. Once stored, automated processing of the data would be available.

As discussed next, major problems were encountered in the processing and storage of data. The projects did submit the data that were collected, but in several instances no data were obtained. The RPU evaluator did not become involved in processing of data, and the expected level of computer utilization did not occur. Much of the analysis was conducted without the aid of the computer. However, the data processing and analysis that were conducted were handled, as planned, by in-house ILEC staff.

III. ILEC's MEP STRATEGY-- EXPECTATION AND EXPERIENCES

ILEC originally intended to develop the new evaluation system discussed in the last chapter over a several year period with the evaluation staff that existed prior to the MEP. During the phase of developing evaluation packages and procedures, the staff was to continue to respond to information requests levied by managment, conduct some in-house program area or project specific evaluations, and contract for other evaluations. Using available staff, the development process was expected to take several years. With the availability of MEP funds, ILEC attempted to accelerate the development process sufficiently to complete the development phase and test the use of RFU evaluators by July 1976.

As discussed below, the bulk of the MEP funds supported a doubling of the ILEC staff for one year and the funding of four RFU evaluators. While ILEC did not completely develop and test the system as initially envisioned, they did achieve sufficient experience with the approach to convince them that the proposed system was not feasible or useful. Following the MEP, ILEC dropped much of the system that had been developed, and returned to an evaluation strategy similar to that was used prior to the MEP.

A. ILEC's DEVELOPMENT STRATEGY

Prior to receipt of the MEP grant, the ILEC Evaluation Unit had initiated a development process that involved:

- the in-house design of data collection instruments and analysis procedures (the evaluation packages) using a prescribed process; and
- the working out of procedures for the adoption and use of the packages as they were initially introduced to subgrantees.

When the MEP grant was initiated in July of 1975, the Evaluation staff had developed or was developing 17 evaluation packages, and had begun to use them in 13 program areas covering slightly more than 100 projects. Analysis was underway on data from two program areas.

With receipt of the MEP grant, the development process was to be expanded through the temporary expansion of the staff, and the value of utilizing RPU evaluators in the operation of the system was to be tested. The ILEC MEP strategy for developing the desired evaluation system is characterized here in terms of five major steps:

- Augmentation of ILEC staff.
- Test utilization of RPU evaluators.
- Development of standardized evaluation packages.
- Development of socioeconomic data bases for ILEC use.
- Utilization of the evaluation packages and data bases.

Three of the steps were to be operational only during the one-year period of MEP funding--the staff augmentation and development of evaluation packages and data bases. The two other components were expected to result in on-going activities similar to those conducted during the period of MEP funding.

B. ILEC's EXPERIENCES WITH THE SYSTEM DEVELOPMENT STRATEGY

Tables 1 through 4 summarize the ILEC expectations and experiences for each of the five major steps of the ILEC development strategy. The symbols

"+," "0," and "-," are used to indicate the extent to which ILEC achieved what they attempted to accomplish with each component. The general criteria used in developing the summary indicators are:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted or producing intended effect.
- "-": Not attempted, or few instances of achieving intended effects.

Table 2 and the following discussion provides some of the rationale for the indicators by summarizing the degree of success achieved, major problems encountered in implementing the components, and the significance of the outcome on the evaluation system and developmental efforts. The schedule of events followed in implementing the five major components are given in Table 3, and Table 4 provides information on costs associated with several of the components.

1. STAFF AUGMENTATION

The MEP provided funds for the ILEC staff to increase for a one-year period from five to nine full-time professional positions. Also, funds were provided for two part-time positions. The purpose of the temporary augmentation was to develop, within the year, the tools needed for the new evaluation system, while allowing the permanent staff to maintain existing responsibilities and to begin to utilize the new system.

Table 5 represents the staffing patterns of the Evaluation Unit over the last two years. As demonstrated in the table, a staff augmentation did occur, but it reduced through time. The permanent SPA funded staff size was increased by two at the completion of the MEP. No employees

TABLE 1: ILEC's EXPECTATIONS FOR EACH COMPONENT

	Result Expected from Component	Components Expected To Be Part of Ongoing System if Successful
I. Augmentation Evaluation Unit Staff	Temporarily increase Evaluation Unit staff size and make proportionate amount of staff time available for developmental activities. (0)	No continuation of new slots. (-)
II. RPU Evaluators	Hire four regional evaluators and develop their role in the new evaluation system. (-)	Continuation and expansion of position to other RPUs. (0)
III. Develop Standardized Package	Develop standard packages for all evaluable projects. (0)	Further development of packages as a low level activity (two to three packages per year). (-)
IV. Develop Socioeconomic Data Bases	Computerized socioeconomic data base adopted for use with standard packages. (-)	Data base maintenance. (-)
V. Utilization of Evaluation Packages	Evaluation analyses produced and used for all available projects in a program area. (-)	Continued use of the packages and procedures developed. (-)

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

TABLE 2: ILEC's EXPERIENCE WITH EACH COMPONENT

	Degree of Success with Component	Major Problems Encountered with Component	Significance of the Experience with Component
I. Augmentation of Evaluation Unit Staff	(0) Staff were hired and integrated into ongoing staff. The increase in manpower was not devoted to developmental activities to the extent planned.	Evaluation staff had other duties, as well as the development of the new system. No mechanism to assure that the development activities received priority.	Resources required to implement the system not made available.
II. RPU Evaluators	(-) Evaluators hired. Did not participate in the use of standard packages.	High turnover in positions. No guidance or control from ILEC Evaluation Unit. Evaluators given tasks by RPU directors; many unrelated to evaluation.	Regional evaluator component not tested as part of the system.
III. Development of Standard Packages	(0) Packages developed for about 60 percent of projects. Packages did not always contain analysis plans. Impact analysis and use of socioeconomic data bases not accounted for in designs.	Proposed development steps only partially followed --field test and consultations usually dropped.	Sufficient number of packages were developed to test the system. Identification of potential data collection and analysis problems delayed until implementation.

TABLE 2: ILEC's EXPERIENCE WITH EACH COMPONENT (Cont'd.)

	Degree of Success with Component	Major Problems Encountered with Component	Significance of the Experience with Component
IV. Development of Socioeconomic Data Base	(-) Census data modified for use on ILEC computers. Other data sources not developed. Analysis plans for using socioeconomic data in evaluation not developed.		One of major objectives, to do impact evaluations, was not achieved.
V. Utilization of Evaluation Packages	(-) Evaluation packages sent to 169 projects. Most packages could be used by at most one project; thus data could not be aggregated over groups of projects for most evaluations. Compounding problems in reporting, processing and analyses resulted in few analyses being done.	Anticipated data flow not established. Many problems with data, no capability to assure quality, data suspect. Analyses turned out to be difficult to do because of data quality and lack of analysis plans.	System experienced difficulties in the data collection and analyses stages.

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

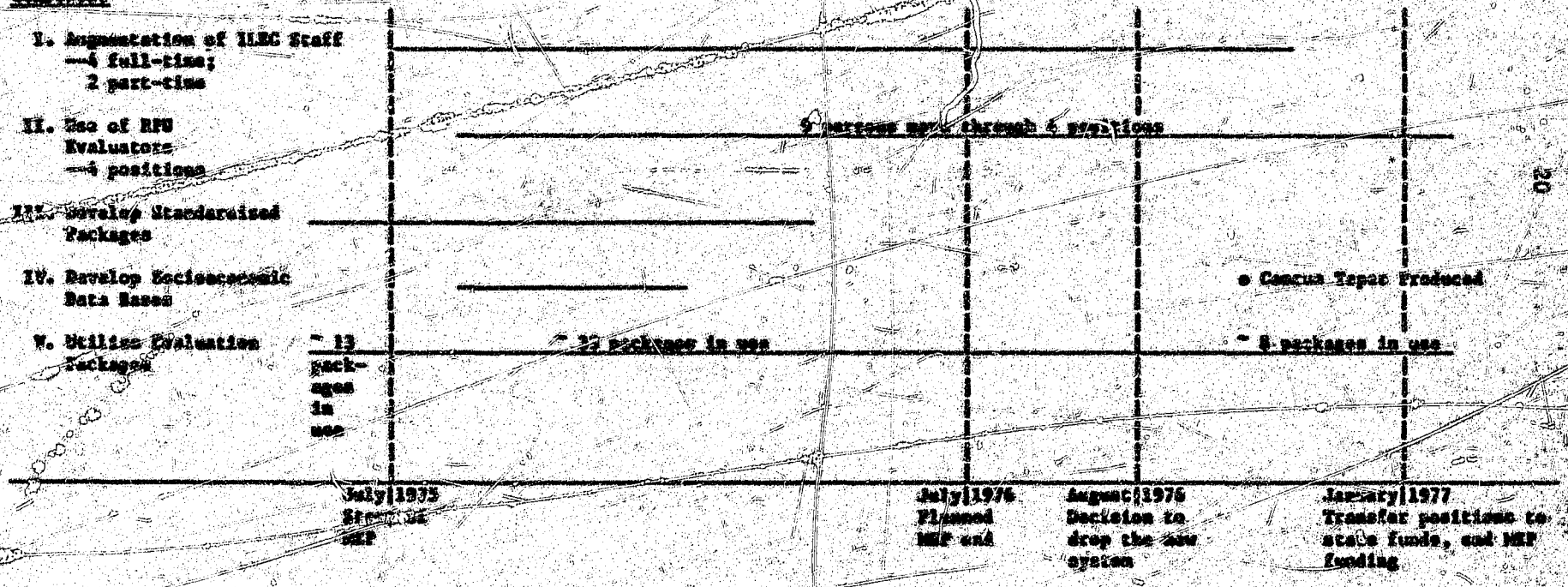


TABLE 3: ILEC SCHEDULE

TABLE 4: MEP COSTS INCURRED

Component	In-house Staff	Contract/ Consultant
I. Augmentation Evaluation Unit Staff	Time expended in obtaining authorization, recruitment, management: one to two man-months. ILEC in-house staff: Budgeted: $73,824; Average salary: $18,456	
II. RFU Evaluators	Four RFU evaluators: Budget: $115,326 Salaries: metro - Two at $19,500 per year each; non-metro - Two at $10,000 per year each	
III. Develop Standardized Packages	Average staff time required to develop one package estimated at 21 person-days (based on samples of 22 packages).	
IV. Develop Socio-economic Data Bases	Greater than three man-months of one part-time person.	Small contract to University of Illinois to produce modified census tape per ILEC's instruction.
V. Utilization of Evaluation Packages	All costs cannot be broken out. Packages were implemented by Evaluation Unit staff as part of normal activity. One full-time professional for developing computer routines for data entry and analysis, and two to three part-time persons worked on data entry.	
Total Grant: $249,468		

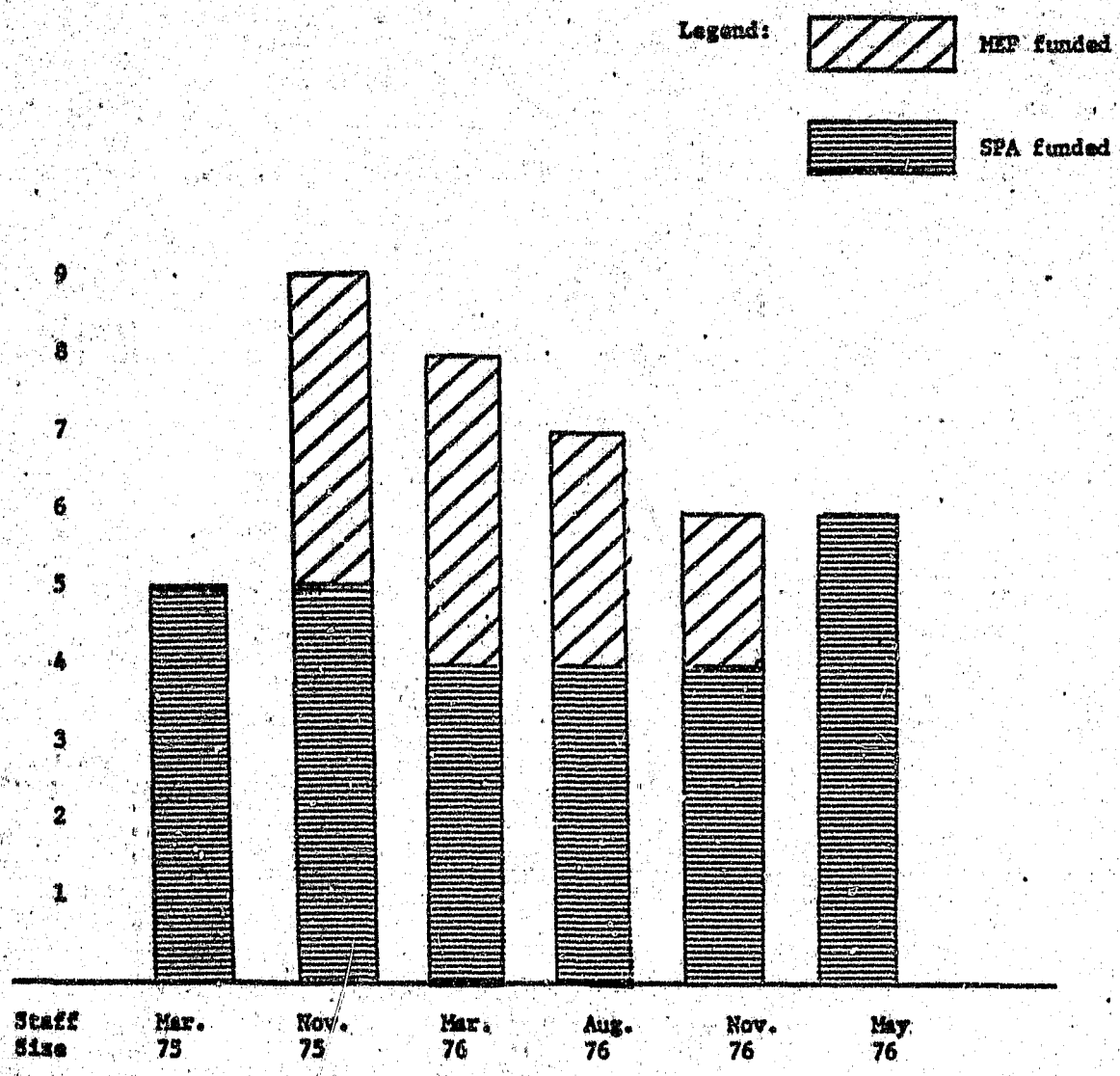


TABLE 5: ILEC EVALUATION STAFFING PATTERNS
(FULL-TIME PROFESSIONALS)

were let go at the end of the MEP grant for lack of funding. Two persons funded under the MEP moved into permanent staff positions, and the attrition that did occur in both the MEP and SPA supported staff was due to persons assuming other professional positions or resigning for personal reasons.

The Evaluation staff consider themselves generalists, and did not organize into specialties--such as contract monitors, data collectors or analysts in specific components of criminal justice work. Consequently, the additional staff supported with MEP funds was integrated into the permanent staff and assigned responsibilities similar to the permanent staff. This arrangement spread all responsibilities--developmental and ongoing--among the entire staff. This had the effect of defusing the focus of the MEP staff to other tasks than developing the new evaluation system.

During the MEP grant period, the Evaluation Unit was requested to perform a variety of functions other than developing the tools for the new system. MEP and non-MEP staff were utilized to perform those functions at the expense of time expended on the new evaluation system. Consequently, portions of the developmental and initial implementation work on the new system could not be staffed, backlogs developed, and it became necessary to abandon the effort. The Evaluation Unit Director eventually decided that the staff was not large enough to meet management requests and develop or operate the new system. The Unit then attempted to negotiate with management a statement of what the Unit was to accomplish in the future in order to provide a mechanism for setting priorities on their work and avoiding future diversions of staff.

2. RPU EVALUATORS

The SPA issued contracts to four RPUs, providing funds for the regional units to hire evaluators. The distribution of positions, turnover and personnel costs are shown in Table 6. The high rate of turnover in Region 1 was attributed to low salaries, and in Regions 2 and 5 to "political" problems not related to the MEP.

During the MEP grant period, the RPU evaluators performed a variety of tasks:

- developing evaluation procedures for the regions,
- helping develop and process grant applications,
- conducting some evaluations and
- supporting planning, administration and public relations functions of the regions.

The regional evaluators were used only sporadically in the development and test of the new evaluation system. They were not consulted on most evaluation designs, were not routinely provided copies of data submitted by grantees through the system, and except in a few instances, were not called upon to obtain data from subgrantees. Furthermore, the formal assessment of their value to the new evaluation system in comparison with RPUs without evaluators was not performed. However, at the end of the MEP grant period, the need to have someone involved at the regional level in evaluation was judged to still exist by the SPA, and a decision was made to request refunding for the positions. Since the continuation role was not originally planned under the MEP or related to the proposed or tested evaluation system, the continuation effort is not listed in Table 2 as a success in terms of the expected outcome of the ILEC MEP strategy.

TABLE 6: REGIONAL PLANNING UNIT
MEP EVALUATION STAFFING PATTERNS

Region	MEP Professional Positions	Number of Persons Who Passed through Positions
#1	1	3
#19	1	1
#2 and #5 (shared evaluation)	2	5
Total	4	9

3. DEVELOPMENT OF STANDARD PACKAGES

The ILEC grant application for MEP funding identified an 11 step process that was being followed to produce the evaluation packages. The steps, and the extent to which they were utilized during the MEP, are given in Table 7. The staff generally followed through on the steps involved with reviewing the literature, developing draft packages in-house, and checking with other ILEC staff on their information needs and the acceptability of the packages. But the interaction with subgrantees and others in the criminal justice system dropped off rapidly as the effort proceeded. The main reasons cited for the deviations were lack of time, lack of interest from other participants, and lack of resources.

The SPA initially expected to produce evaluation packages to cover all evaluable projects--estimated at 80 percent of the funded projects. Projects were considered unevaluable if the project staff could not readily think of a method to be pursued for evaluating them. Among the projects excluded were those in training and equipment. Eventually they also decided to exclude court projects involving staff augmentations.

Table 8 summarizes the number of packages developed during various time periods over the last two years. In all, 36 packages were prepared which were thought to cover 173 projects--about 60 percent of all funded projects.

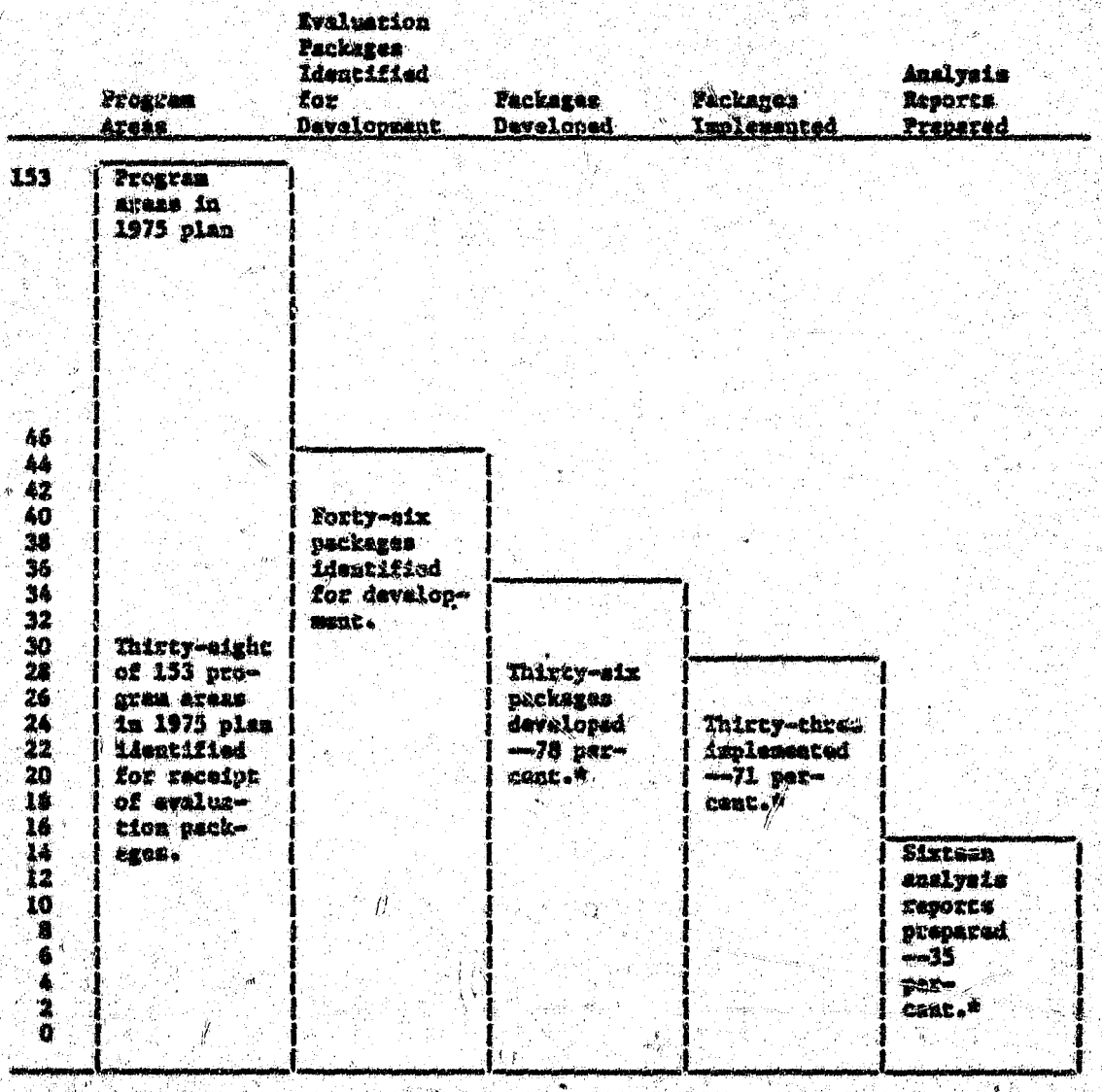
The packages varied in content and evaluation design characteristics. All packages included data collection instruments to be used by projects to submit data to the SPA. About 50 percent of the instruments collected data on individual clients served by the project. All of the packages collected summary data on project activities, clients served, and personnel

TABLE 7: STEPS OUTLINED FOR ILEC's DEVELOPMENT PROCESS

	Percent Time Development Steps Utilized
1. Literature search for comparable evaluation activities elsewhere.	100%
2. Detailed discussions with the responsible technical assistance personnel of ILEC.	100%
3. Interviews with operating project personnel.	71%
4. The evaluation unit then develops an evaluation strategy and designs a draft of the data collection form.	90%
5. Invitations are sent out to potential project operators to attend or send a representative to a meeting in the ILEC offices to discuss data reporting needs and methodology, as well as the draft form.	33%
6. At the meeting, after much discussion, the attending personnel and ILEC reach agreement on how to test a pilot version of the form.	24%
7. The forms are put into use by selected projects. At this stage, much technical assistance is provided by the evaluation unit to the projects.	14%
8. Letters go out to the potential project operators inviting them to attend another meeting for discussing the strengths and shortcomings of the pilot data collection instrument.	9.5%
9. After lengthy discussions, the form is substantially revised and a new committee appointed to put the final touches on the form.	14%
10. The form is then sent out for general use of all applicable projects--even for programs not funded by ILEC.	38%
11. Another series of letters are sent to appropriate criminal justice agencies and projects funded by ILEC to attend a training session on the use of the forms.	9.5%

*Based on a sample of 21 packages identified by ILEC staff. Calculations are made June 28, 1976.

TABLE 8: PATTERN OF DEVELOPMENT
OF THE EVALUATION PACKAGES
(as of February 4, 1977)



*Percentages are percent of those identified for development, that is, n = 46.

4. DEVELOPMENT OF SOCIOECONOMIC DATA BASES

Over the years the Evaluation Unit periodically utilized data from existing sources, such as the Unified Crime Reports. In the new evaluation system, the staff was to have such data stored in computers accessible through terminals at ILEC. Candidate data for reformatting and storage by ILEC included: crime statistics, criminal justice system activity data, and census data.

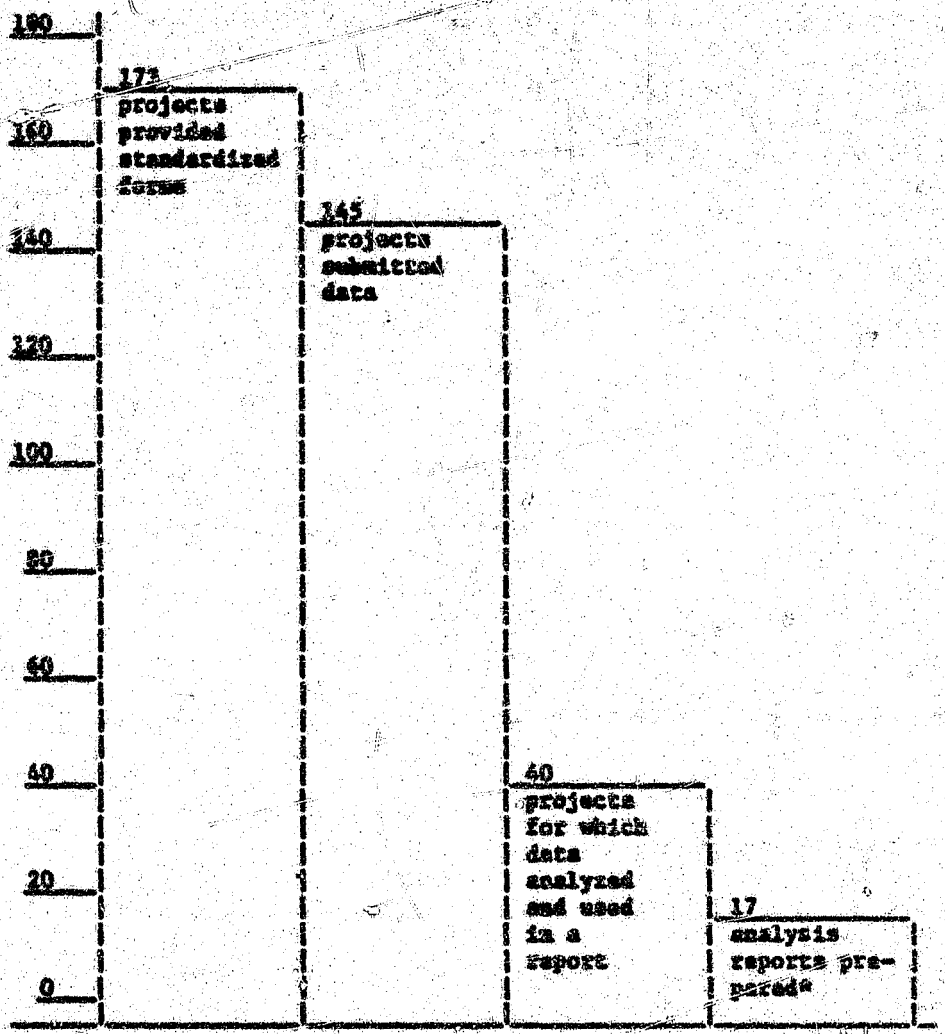
During the MEP one part-time staff member reviewed the existing data sources, reviewed data needs with the staff, and began the task of reformatting the data for direct ILEC access. The work focused only on the census data and did result in data tapes being restructured and delivered to ILEC for use with state computers. The restructuring of the census tapes was performed through a contract to the University of Illinois at Chicago Circle. However, by the time the tapes arrived for ILEC use, the decision to abandon the new system had been made, and the person developing the file had resigned for personal reasons. The tapes were then turned over to the Statistical Analysis Center of the SPA for whatever use they choose to make of them.

The outcome of this component had little effect on the development effort, since the evaluation packages did not contain specific uses for the socioeconomic data.

5. UTILIZATION OF THE EVALUATION PACKAGES

The extent of utilization of the evaluation packages is summarized in Table 9, which displays the number of projects that: were provided

TABLE 9: NUMBER OF PROJECTS INVOLVED IN USE OF THE EVALUATION SYSTEM



*One multi-project; sixteen single project.

packages; submitted data; and for which reports were produced. The extent of coverage rapidly drops off as one progresses from receiving data instruments to producing an evaluation report.

a. Introduction of the Evaluation Packages to Projects

In the proposed and developed evaluation systems, collection and submission of data for analysis were the responsibility of the projects to be evaluated. The data to be provided and the format in which they would be submitted were specified by ILEC. The project was provided forms to be used to record and transmit the requested data to ILEC.

The original process for the development of the evaluation packages included the involvement and training of project personnel. This process was not maintained, however, and most projects were not involved. During the MEP, the evaluation staff utilized a variety of techniques to introduce the projects to the use of the evaluation packages:

- telephone contacts;
- personnel meetings;
- training sessions; and
- the mail.

The data collection forms were accompanied by instructions on the use of them, and a letter from the Director of evaluation. The letter requested cooperation and offered assistance in the use of the form.

With new or renewal grants, the data collection forms and a letter were sent to the grantees within a week of award. Initially the evaluation staff did not have a reliable means of identifying grant awards or existing grants for which evaluation packages were available. Eventually in-house record systems were identified or developed to remedy the identification problems.

The use of the evaluation packages was never made a conditional requirement for receipt of a subgrant. The evaluation staff referenced a general grant requirement to cooperate in ILEC evaluations when requesting grantee participation. The plan for subsequent years was to:

- identify the data collection and submission requirement in the SPA Comprehensive Plan and in grant application instructions;
- make receipt of a grant conditional on agreeing to provide the requested data;
- issue the data collection forms and instructions with the notice of grant award and requirements; and
- not honor requests for payments until required data were submitted.

These procedures were not developed, however, before the overall system was dropped.

A major factor in the decision to develop the evaluation packages was to have data collection and analysis instruments that could be used by sets of similar projects. The availability of such instruments was expected to permit aggregation of data from similar projects and permit more projects to be evaluated. Eleven of the packages were utilized on more than one project, but twenty-two were used only once.

b. Data Collection and Analysis

Data were to come from two sources: projects and existing data bases. As discussed earlier, the existing data bases of criminal justice events, census statistics and other demographic environmental information were not formated for use in the proposed evaluation analysis. Such data were utilized occasionally, but not as a routine part of the impact analyses as originally intended.

Project data were to be submitted directly to the ILEC Evaluation Unit, coded for computer processing, processed on state computers, and copies of the processed data returned to the projects for utilization and verification. Analysis of the data from single projects and for groups of similar projects was expected to occur periodically.

The majority of the projects cooperated in submitting some data, but processing and analysis procedures and resources were not sufficient to carry out the intended evaluations. The Evaluation Unit experienced difficulty in all phases of the evaluation process.

- At least one-third of the projects initially refused to provide data, and twenty-four never submitted data.
- Another one-third provided data that were incomplete or showed that they did not understand how to use the standardized data collection instruments.
- For about six months, nearly all the data received by the Evaluation Unit were "filed" by stacking reports in various analysts' offices.
- The backlog of data eventually became too large to enter in computer data bases or analyze.
- There was no feedback to the projects of processed data for verification of accuracy.
- Quality control measures within the Evaluation Unit were not uniformly established. Consequently, the quality of the data received from the projects was unknown. However, sufficient errors were detected to make the staff wary of utilizing much of the data.
- As the analyses began on data that had been coded and entered in computer data bases, it was decided that much of the data could not be used as formatted. Additional data collection or restructuring of the data as filed was necessary.
- Analysis focused on process activities, since little impact or output data were available. Part of this problem was due to the failure of projects to provide some of the requested data, but much of the problem was due to the fact the data were not included in the data collection instrument.

In general, the evaluation process was initiated, but sufficient bottlenecks developed in the collection, processing, and analysis of data to force a decision to abandon the system before most of the collected data could be utilized. The bottlenecks appear to be a mixture of: not anticipating and planning for processing problems; defusing availble staff to other activities; evaluation designs that did not specify analysis plans; and data problems. The data problems included gaps in data due to both the failure of the data collection instruments to request certain data, the non-compliance of some projects with the data requirements, and the lack of the socioeconomic data bases that were to have been created.

c. Dissemination of Evaluation Results

Three methods of dissemination of information to users occured during the MEP:

- provision of copies of completed project data forms to the technical assistance personnel (grant monitors) responsible for the projects;
- development and provision of reports on individual projects for use by in-house staff reviewing applications for refunding;
- development of multi-project evaluations with dissemination to ILEC and RPU staff for general information purposes.

The expected dissemination results to projects being evaluated and to RPUs for use in planning and managing functions did not occur.

When completed project data forms were received at ILEC, copies were made for simultaneous delivery to the Evaluation Unit and the technical assistance staff. The technical assistance staff could do what they wanted with the forms. Three different uses that occurred are:

- reading the forms as received;
- filing of the forms for future reference if needed; and
- throwing them away as received.

The technical assistance staff that read the reports claimed to do so in order to remain current on all submissions by projects to ILEC. They did not want the projects reporting or proposing things without them knowing of it. Occasionally the technical assistance staff contacted the project in regards to something reported on the forms, but the incidence of this was small.

The single project reports were prepared in response to requests for information on a project's previous performance for use in ILEC staff reviews of applications for continuation funding. The review involved planning, evaluation and technical assistance staff. For these reviews, the Evaluation Unit representative compiled collected data on a project and presented them to the review group. The information was presented in the form of a memorandum that varied in length from five to twelve pages, with most under ten. The information primarily consisted of data on the extent to which: promised activities had been carried out; intended clients had been served; and expected immediate outcomes had occurred. The reports were descriptive and, for the most part, limited to planned versus achievement analyses. During the MEP, 16 such reports were produced. Table 10 presents samples of the contents of the reports.

The reports were used used to support selected special conditions added to subgrants to motivate performance of activities not adequately performed previously. None of the reports recommended against refunding.

The one multi-project report completed during the MEP involved the performance of the RPUs. The report provided descriptive information on the activities of the RPUs, and contained correlations between various characteristics and outputs of RPUs. The stated purpose of the report prepared from the analysis was to determine answers to three questions:

TABLE 10: SAMPLE OF RESULTS FROM ILEC PROJECT EVALUATIONS

Type of Project	Example Results
Juvenile Treatment	Recommended priority be given to serving juveniles with present or prior law enforcement contacts.
Diversion	Tables showing comparisons of experimental and control groups for offense, education, marital status, income and sex variables.
Crime Prevention	Statements that clients are well satisfied, and descriptive data on level of service provided.
Deferred Prosecution	One-half page of description of typical client; seven pages of tables showing demographic cross-classifications.

(1) How does the regional staff distribute time over various tasks?

(2) Does the allocation of staff time to various tasks differ among regions?

(3) What are the relationships among the allocation of staff time to various tasks and the characteristics and performance of the regions?

The analysis involved correlation of data for variables representing different parts of these questions. Typical of the results produced are:

(1) regions which expend proportionately more staff time on reviewing applications prior to submitting them to ILEC appear to have somewhat more success in getting those applications funded;

(2) regions whose time allotted to travel for participation in the planning process appear to be more successful in terms of completing the planning requirements; and

(3) travel is not highly correlated with geographic area.

The multi-project evaluation was distributed to ILEC and RPU staff as a piece of information that might be of use to them for planning purposes. The information was excluded from use for funding decisions.

At the conclusion of the MEP grant period, the Evaluation Unit was still attempting to analyze much of the collected data and complete several additional multi-project analyses. The success of those attempts or the use of subsequent reports is not addressed here.

IV. OUTCOME OF THE MEP

The ILEC MEP Project was part of an effort to develop a new evaluation system. Thus, the outcome of the MEP is tied to the outcome of the entire development effort. Some specific outcomes expected from the MEP involvement did occur. For example, as intended, the rate of developing evaluation packages did increase over what had been planned. However, the overall outcome of an operating system producing certain types of evaluation information did not result.

A. USER REACTION TO THE NEW SYSTEM

In order to obtain user reaction to the new evaluation system, Urban Institute personnel periodically interviewed ILEC:

- Evaluation Unit staff (seven);
- senior managers (two);
- technical assistance staff (five);
- RFU personnel (from three RFUs).

Most staff view the experience as a valuable and necessary learning experience. The Director of Planning and Research summarized their experiences as:

> When we started we were shooting for the moon, but we didn't have a rocket or know how to build one. Now our sights are set lower but we know how to get there.

The Director of the Evaluation Unit stated that the experience during the MEP had convinced him that:

> It would take a lot more resources than they could expend to make the system work (in particular, much more effort would be required to obtain data of known reliability and validity); and
>
> the projects funded by ILEC did not provide an opportunity to produce knowledge on project processes and effects through multi-project evaluations.

The latter conclusion was based on the fact that projects operated under the same program, and the environments in which they operated, varied too much to permit the isolation of cause and effect relationship through evaluation research techniques.

The technical assistance staff did not provide evidence of utility of the system to them in their monitoring and assistance roles. All staff interviewed claimed they did not read information provided or did not use the system as a means of obtaining needed information on projects.

The persons participating in reviews of grant renewal applications found the information produced from the system useful in the review process. Those interviewed claimed that the information had been used to formulate special conditions to grant renewals. The special conditions involved the identification of components of projects that were previously not implemented at an acceptable level, and were to be given special attention in the future operations.

Less than 1 percent of the grant applications processed by the SPA were involved in this process, and even in those cases the effect of the new information is not certain. Information from the evaluation system is included with information from other sources to provide a basis for funding recommendations from the staff to ILEC management and the Commission. A Deputy Director of ILEC stated that her

- had not detected a noticeable change during the MEP in the quality and quantity of information presented in support of recommendations;
- had not identified portions of the information as coming from the Evaluation Unit's new system; and
- did not have problems with the data provided.

In short, from his perspective, he had not noticed any outcome which he attributed to the MEP.

B. CONTINUING EFFECTS

As a result of the experience with the development effort during the MEP, the ILEC Evaluation Unit proposed to eliminate evaluation requirements on about half the Commission's projects, collect data for process purposes on about one-fourth of the projects, and evaluate the remaining through special studies. Some of the developed packages will be used in the monitoring and special study efforts, but most have been eliminated. The principal continuing activity from the development effort is the monitoring of a portion of the projects with data collection instruments developed during the MEP.

In summary, the ILEC development effort funded through the MEP did meet its objectives of producing a number of evaluation packages and partially testing their use. Evaluation reports were produced and can be associated with decisions to add special conditions to some refunded grants. But the desired evaluation system was not put in place, and the major long-term result appears to be the lessons learned on the problems of operating such a system.

C. SUMMARY FINDINGS

The ILEC Evaluation Unit utilized the MEP grant to increase the evaluation staff at the SPA level and create four regional evaluator positions. The staff were obtained to accelerate the development and implementation of a particular type of evaluation system. The system was not fully developed, and further development of the original concept has been abandoned.

The ILEC experiences, however, demonstrate some findings that may be useful to other agencies attempting to develop evaluation capabilities, and partially explain the outcome of their development effort.

Having resources is not sufficient to ensure a successful development effort. ILEC doubled the size of the Evaluation Unit and the number of RPU evaluators. The increased resources did result in an acceleration of the development process, but the staff did not develop sufficient momentum to prevent diversion to other tasks. There were not sufficient mechanisms available to keep the staff focused on the new evaluation system, and little of the RPU resources were not utilized for developing and implementing the new system.

Without planned, well managed processing procedures, high volume data systems quickly become unmanageable. The evaluation packages were to contain procedures for analysis. Also automatic data processing procedures were to be established. These procedures were developed prior to the time data being produced, and the procedures were to be used. Problems in developing the procedures quickly developed, and backlogs resulted which were never eliminated. The Evaluation Unit did not adhere to a previously proposed development process, and development became ad hoc.

Quality control and data analysis are expensive. Having data processing procedures developed in advance would not have solved all the processing problems encountered. In those cases where data were analyzed, it was discovered that unavailable and sizeable staff resources would be needed to exercise quality control on the data collection and processing activity, and to extend the analyses conducted to the number of projects originally to be covered.

The amount and type of information that can be produced through a standardized system is limited. The Evaluation Unit concluded that variation in project operations and environments prevent the aggregation of data from similar projects to improve confidence in evaluation results. In fact, most standardized packages were limited to use on at most one project due to lack of standardization among projects. The LEAA environment is not conducive to the type of system attempted.

A demand for evaluation information was not demonstrated. The primary needs to be served by the evaluation system involved the functioning of the LEAA grant funding and monitoring process. The evaluation system output had at most a small role in less than 1 percent of the projects processed through the funding process, and was not utilized in the monitoring process. Yet the funding and monitoring processes continued to function, and exhibited little demand for the expected information output.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE MICHIGAN OFFICE OF CRIMINAL JUSTICE PROGRAMS

by
John D. Waller
John W. Scanlon
Paul G. Nalley

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I. INTRODUCTION

Michigan's Office of Criminal Justice Programs (OCJP) received a two year Model Evaluation Program (MEP) grant, September 1975 to November 1977, for $247,575. OCJP's objective was to make the design and use of evaluation a responsibility and on-going activity of the OCJP planning and grants management staff.

OCJP implemented two evaluation systems and was able to demonstrate that the information was used. One system was continued after the MEP, the other system was not continued as tested.

Prior to the MEP, OCJP had an evaluation system on paper, but had not uniformly implemented it across programs and projects. The system consisted of project monitoring and data collection using a set of standard evaluation measures. The Comprehensive State Plan identified evaluation measures (inspection factors and evaluation factors) for each type of program in the plan. Subgrantees were asked to submit summary data quarterly. However, there were no uniform reporting requirements placed on subgrantees. Implementation of evaluation requirements was left to the discretion of individual OCJP grant managers. OCJP management felt that the existing evaluation system was not producing sufficient evaluation information. Its decentralized nature led to uneven implementation and utilization. With the MEP, OCJP intended to give the evaluation responsibilities of in-house staff higher priority and more central direction and quality control.

II. MICHIGAN OCJP's MODEL EVALUATION PROGRAM

A. BACKGROUND AND RATIONALE FOR THE MEP

Prior to the MEP, OCJP evaluation consisted of:

(1) a system in which all projects funded within a program element were to be measured on selected "evaluation factors" and "inspection factors" listed in the Comprehensive State Plan, and

(2) the occasional letting of contracts to evaluate some set of OCJP projects.

Table 1 illustrates the evaluation and inspection factors.[1]

The OCJP had no Evaluation Unit or budget. The grants management staff was responsible for completion of the inspection factors (effort and input measures). The subgrantees were responsible for collecting data on the evaluation factors (effect, output or change measures). Data were tabulated and submitted by the subgrantees in quarterly and final reports. Reporting by subgrantees was considered to be spotty.

OCJP had let several contracts for evaluation studies in the past. There was, however, no policy on the frequency and conditions under which such studies would be done, nor a set-aside budget for evaluation studies.

OCJP identified in their MEP proposal six limitations of this existing system:

- Most projects are not evaluated; the number of quality evaluations is not sufficient to meet the needs of decision makers.

---

1. Source: 1976 Michigan Comprehensive Law Enforcement and Criminal Justice Plan. Only certain factors would be applied to a project type.

TABLE 1: MICHIGAN OCJP - SELECTED EVALUATION AND INSPECTION FACTORS

Evaluation Factors

1. Number, type and disposition of formal consumer complaints processed
2. Number of investigations conducted
3. Number, type and disposition of criminal fraud warrants authorized
4. Number and type of public presentations, and the number of persons in each audience

•
•
•

73. Number of clients served
74. Impact upon caseload and dispositions
75. Percent of persons arrested for subsequent offenses while in program
76. Compare recidivism rates before and after.
77. Cost benefit analysis

•
•
•

87. Average length of time between referral and initiation of services for youth referred to other agencies
88. Reduction in number of status offenders placed in detention or jail
89. A longitudinal measurement indicating outcomes and the number appearing for adjudication

•
•
•

Inspection Factors

1. Verify employment of project staff.
2. Completion of major project tasks identified in application is on schedule
3. Administrative organization is adequate.
4. Verify availability of service to those requesting it.
5. Obtain subjective evaluation from project personnel.
6. Review procedure for compiling statistical data.

•
•
•

42. Examine for compliance with pertinent regulations.
43. Examine documentation and/or method of selecting target population.
44. Ascertain increased capability to respond to crime.
45. Verify availability of services to those requesting them.

- Current evaluation activities are practiced unevenly by staff; implementation of evaluation requirements and use of evaluation lacks uniformity.
- There is no long-term evaluation strategy.
- Staff and project access to evaluation training has been limited.
- The procedures for incorporating evaluation findings in the decision-making process are loosely structured and dependent upon the predictions of each staff member. Some staff have only a marginal interest in evaluation.
- Coordination of OCJP evaluation efforts with other groups is inadequate.

In interviews, OCJP management stressed changing the decentralized nature of the current evaluation system that had led to a wide variation in evaluation practices among staff, and to very little evaluation being done.

The MEP was designed to increase the evaluation capability of the staff, and to institutionalize the design and use of evaluation as a staff function. The MEP was also to develop a long range evaluation policy, and establish a central OCJP Evaluation Unit with control over the reporting system and contract evaluation.

B. THE EVALUATION SYSTEMS PLANNED AND TESTED

1. DESCRIPTION

OCJP tested two evaluation systems: intensive evaluations carried out by contractors, and standard evaluations produced by OCJP from data reported by projects and data collected by OCJP staff. Under these systems, evaluation activities--design, analysis, dissemination, utilization--were to be built into the OCJP staff functions, thereby increasing OCJP in-house evaluation capability and institutionalizing the production and use of evaluation information.

The MEP was expected to result in:

- Active participation of OCJP staff in the design, implementation and use of standard and intensive evaluations.
- A common evaluation framework used by all staff.
- A set of standard evaluations produced from data collected and reported by projects using standard instruments designed by OCJP evaluation and program staff.
- A set of intensive evaluations carried out under contract, but with the participation of OCJP staff in the design phase.
- An OCJP evaluation policy establishing control and responsibility for the evaluation functions and its role in OCJP.

The MEP was to have the two evaluation systems operating independently and concurrently. Figures 1 and 2 are simplified illustrations of the evaluation systems envisioned by OCJP.

For standard evaluations, Figure 1, the evaluation design would be developed jointly by the OCJP program specialists and the evaluation unit. The program specialists and the evaluation unit were to design standard data collection instruments and analysis plans for projects of a given type. Group sessions, called "application groups," were set up to carry out the design function. Once the designs were produced they would be implemented by the evaluation unit. This part of the evaluaton system relied on data collected and reported by projects.

For intensive evaluation, Figure 2, Michigan State University's Criminal Justice Systems Center was used as a contractor. The contractor was to produce a design following interaction with an OCJP staff group. A group consisting of program specialists and the evaluation coordinator was formed to work with the contractor.

The two planned systems were refinements of existing OCJP practice. They were, in fact, an attempt to proceduralize and formalize two mechanisms

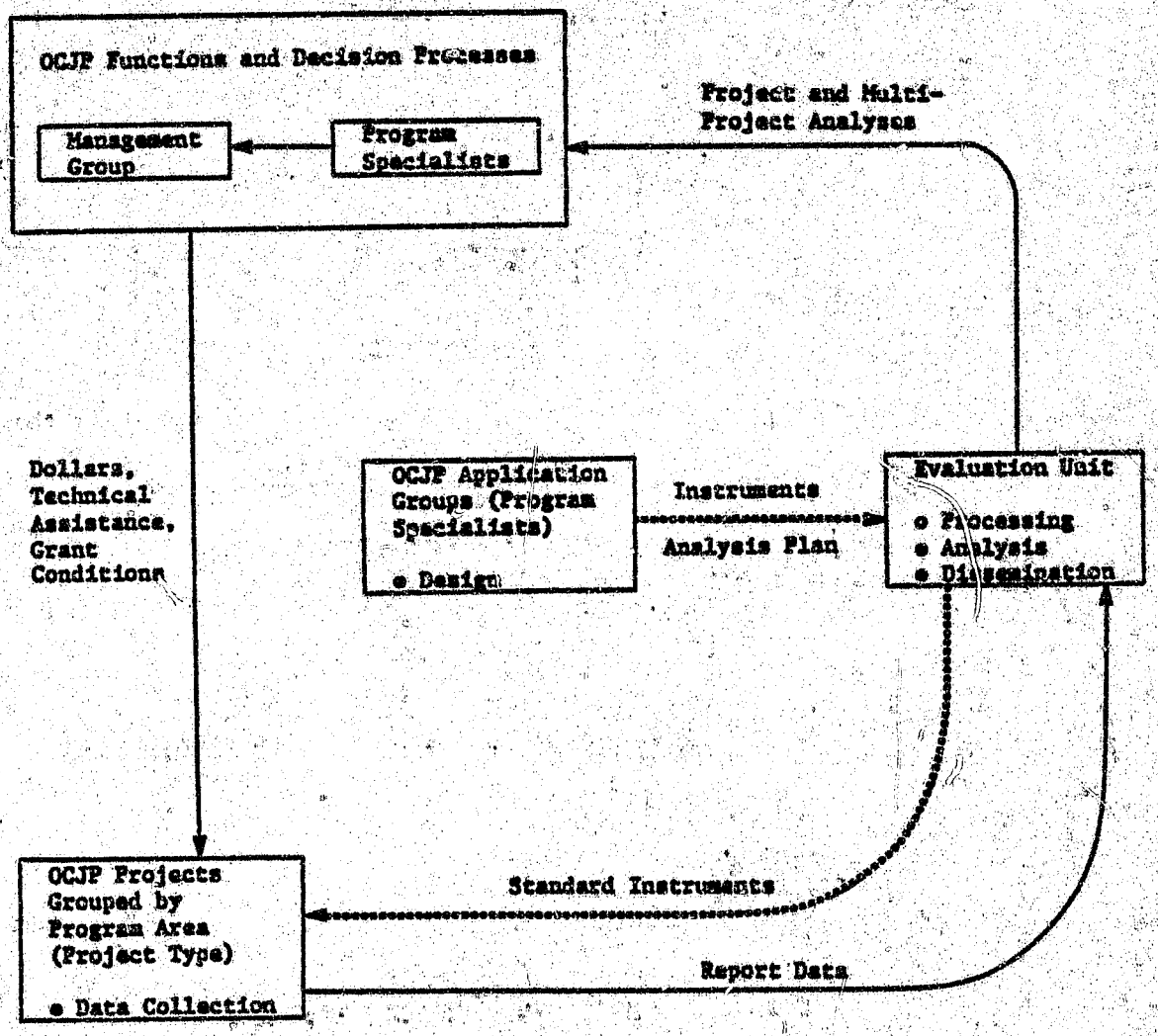

FIGURE 1: MICHIGAN's STANDARD EVALUATION

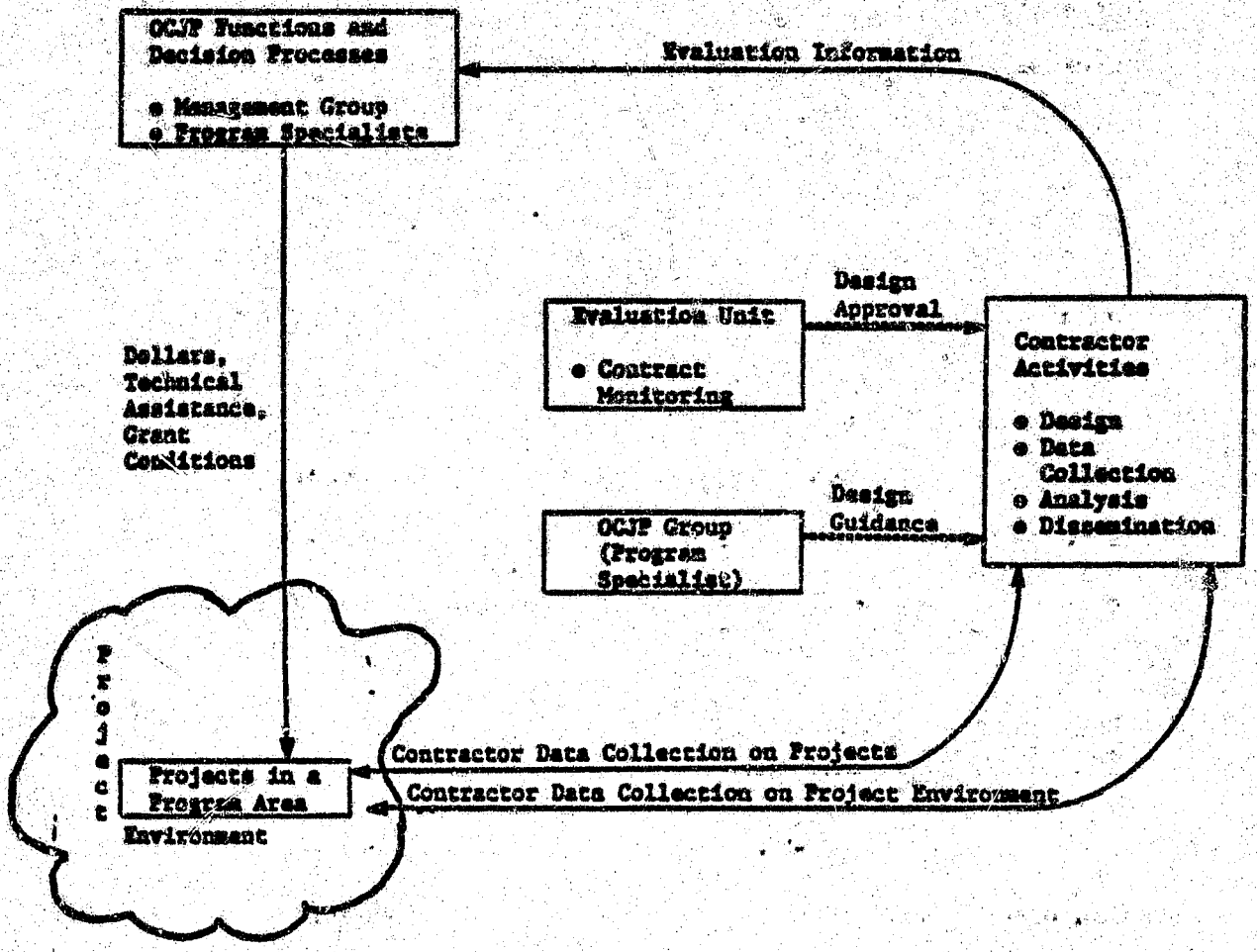

FIGURE 2: MICHIGAN's INTENSIVE EVALUATION

in place--the contract studies and the evaluation and inspection factors--in order to increase the production and utility of evaluation information. Table 2 identifies the major characteristics the MEP was expected to add to the existing system. For standard evaluation, the MEP planned to add four types of characteristics:

- formal uniform reporting requirements on projects;
- analysis plans that integrate all data collection and reporting;
- a centralized data processing and analysis system; and
- OCJP management review and control over staff design of evaluations and staff use of evaluations.

For intensive evaluations, the major changes planned were:

- OCJP participation in the design work with the contractor, and
- a policy of routine intensive evaluation of program areas.

2. DECISION-MAKING PROCESS AND FUNCTIONS THE EVALUATION SYSTEM PLANNED TO SUPPORT

At the start of the MEP, OCJP was able to identify the user, the decision processes and functions the evaluation information was to support. While it was able to say where it would be used, it was not able to say how the data would be used, the findings expected, or the difference evaluation would make. The test of its worth to OCJP would be how useful participants in the decision processes judged evaluation to be.

The user of evaluation was to be OCJP staff. OCJP is involved in a number of decision processes (e.g., application review) and functions (e.g., technical assistance to subgrantees) which were expected to benefit from evaluation. The primary link between evaluation and the decision processes and functions was to be the "program specialist." At the start

TABLE 2: CHANGES IN OCJP EVALUATION PRACTICE THAT MEP PLANNED TO TEST

Characteristics of the Evaluation Systems	System Prior to MEP	System under MEP Plan
Standard Evaluation		
• Measures for Project Types	Yes	Yes
• Analysis Plan (Project and Program)	No	Yes
• Standard Project Reporting Instruments	No	Yes
• Formal Project Reporting Requirements	No	Yes
• OCJP Staff on-site Data Collection	No	Yes
• Central Computerized Data Processing	No	Yes
• Quality Control over Data	No	Yes
• Routine Project and Program Analyses and Reports	No	Yes
• Use of Evaluation by OCJP Staff	Some	Yes
• OCJP Review of Staff Designs and Staff Use of Evaluation	No	Yes
• Access to Staff Training in Evaluation	No	Yes
• Standard Evaluation Designs for all Program Areas	No	Yes
Intensive Evaluation		
• Contractor Analysis of OCJP Information Needs	No	Yes
• OCJP Staff and Contractor Develop the Evaluation Designs	No	Yes
• Contractor Implementation of Designs	Yes	Yes
• Review of Evaluation Results by OCJP	Yes	Yes
• Routine Intensive Evaluation of Program Areas	No	Yes

of the MEP, OCJP reorganized the state staff. Grants managers who reviewed and audited grants were combined with functional area specialists who wrote the plan. This new division of 16 program specialists was organized along functional lines--a.g. police, juvenile justice, corrections. These people were responsible for managing grants, program development, writing the comprehensive plan, technical assistance. They also brought forward evaluation information, as needed, into the formal OCJP decision processes.

Michigan SPA is unique in that the Commission has delegated much of the real decision-making authority to the SPA. Thus, the OCJP management are the key decision makers when it comes to planning and funding decisions. The internal OCJP decision process can be characterized as follows. The key actors are a group called "top management" and, when appropriate, the program specialist. The management group consists of the administrator, deputy administrator plus the division supervisors (seven to nine people in all). The program specialist prepares material and recommendations for review by the management group. In this role, they are responsible for bringing together available evaluative information. The management group considers this information, along with other information individual members may contribute, and decides.

OCJP identified a number of decision processes and functions for which they expected to use the evaluation information. Four internal OCJP decision processes in which evaluation could be used were described:

- Decisions on whether to recommend to the Legislature continuation of state agency projects with state funds.
- Decisions on program elements to go in the state plan.
- Decisions on programmatic changes to require of applicants during application review.

- Decisions on adequacy of project progress and adherence to grant conditions.

OCJP is also the state budget office for state criminal justice agencies and, therefore, another OCJP use of evaluation was stated as:

- Decisions on recommendations to make to the Governor on state agency budgets and programs.

A number of additional OCJP functions were identified which evaluations would support.

- OCJP provides information for decisions by local agencies and governing bodies on whether to continue a project with local money.
- OCJP disseminates evaluation results to state and local agencies.
- OCJP gives programmatic advice to applicants and non-applicants.
- OCJP gives applicants technical assistance in evaluation design, thus improving their projects.
- OCJP identifies and "sells" successful programs to criminal justice agencies.

The MEP was set up to involve the program specialists, the direct user, in evaluation design and review work. Involving the user was expected to increase their use of evaluation information in the various decision processes and staff functions.

3. UNIT OF EVALUATION

The standard and intensive evaluations were to be done on OCJP funded projects. The units of analysis were to be "program element" and individual project. OCJP's Comprehensive Plan is organized by program categories (e.g., Community Reintegration Programs) and within categories by program elements (Jail Inmate Rehabilitation, Probation and Parole Improvement). A program element is a group of like projects. For each program element,

the plan has a description of the project's objectives, methods and procedures, and evaluation criteria.

4. EVALUATION FUNCTION

The organization of the OCJP evaluation function involved the following actors:

- OCJP top management;
- Director of Planning;
- Evaluation Coordinator;
- interns;
- program specialists;
- trainer; and
- contractor.

The MEP was the responsibility of the Evaluation Coordinator who reported to the Director of Planning (see Figure 3). The standard evaluation was to be carried out by in-house staff--student interns and program specialists. The intensive evaluation was to be carried out by a contractor, with guidance and input from program specialists. The program specialists and OCJP management were to receive training in evaluation.

Table 3 summarizes the involvement of the different actors in the two evaluation systems. The interns were only involved in the standard evaluation, the contractor only with the intensive. The trainer and program specialist had a heavy and direct role in the standard evaluation. The program specialists worked with the intensive evaluation contractor during the design phase.

FIGURE 3: MICHIGAN MEP
ORGANIZATIONAL CHART

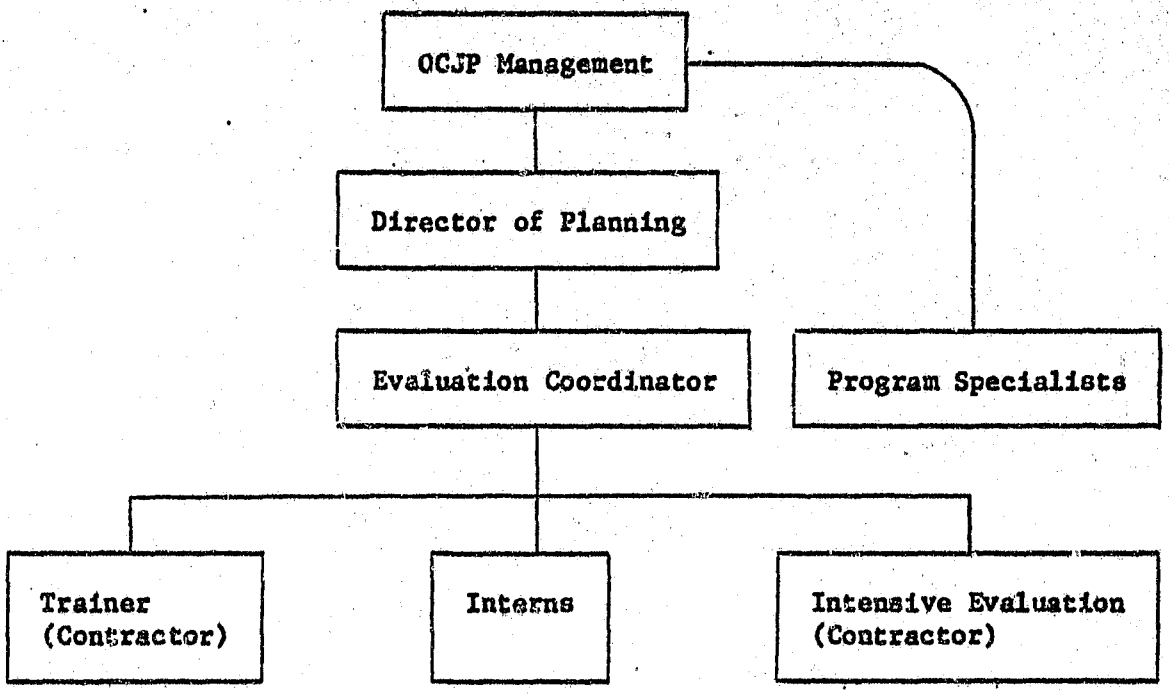

TABLE 3: RESPONSIBILITIES IN OCJP EVALUATION SYSTEMS

Elements	Responsibility for Elements of Evaluation System: Intensive	Standard
Selection of:		
• Program Element	OCJP Management	OCJP Management
• Projects	Contractor	Program Specialist
• Evaluation Questions	Contractor (OCJP Review)*	Program Specialist
Design:		
• Measures	Contractor (OCJP Review)	Program Specialist, Interns, Trainer
• Instruments	Contractor (OCJP Review)	Program Specialist, Interns, Evaluation Coordinator, Director of Planning
• Analysis Plan	Contractor (OCJP Review)	Evaluation Coordinator, Director of Planning, Interns, Program Specialists
Data Collection and Processing:		
• Data Collection	Contractor	Subgrantee, Interns
• Data Processing	Contractor	Interns, Evaluation Coordinator
Analysis of Data	Contractor	Evaluation Coordinator, Interns, Program Specialist, Director of Planning
Dissemination	Contractor	Evaluation Coordinator, Interns
Assuring Utilization	Evaluation Coordinator, Director of Planning	Evaluation Coordinator, Director of Planning, Top Management
Management of Evaluation	Evaluation Coordinator, Director of Planning	Evaluation Coordinator, Director of Planning

*OCJP reviews involved the program specialists, top management and evaluation coordinator.

III. MICHIGAN's EXPECTATIONS AND EXPERIENCE

The Michigan MEP grant ran from September 1975 until December 1977. During that period, they were able to set up and operate both evaluation systems. Two intensive evaluations and four standard evaluations were produced and fed into OCJP decision processes and staff functions.

This chapter describes OCJP expectations for the MEP and its experience in implementing it. Section A describes the strategy OCJP used to set up and test the evaluation systems. Section B describes the results of the strategy. The following chapter discusses the users' reactions to the information produced and OCJP decisions on continuation.

A. MICHIGAN's STRATEGY AND EXPECTATIONS

The Michigan strategy for developing and testing the planned evaluation system consisted of seven major steps. Two were intended to establish an in-house capability:

- acquire staff and contractors to develop and test the system; and
- develop a curriculum and train OCJP staff in a common approach to evaluation.

Two were intended to involve the OCJP staff in the evaluation process by:

- establishing "application groups" for the design and dissemination of standard evaluations; and
- establishing an in-house user group to participate in intensive evaluation design with the contractor.

Two were intended to develop and test the process of doing evaluation:

- implement standard evaluation; and
- implement intensive evaluation.

And finally, the seventh was intended to have "top management" review the MEP experience and establish a long range evaluation policy:

- establish an evaluation policy group.

The relationship among the steps is shown in Figure 4. Here we briefly describe each.

For the first step, OCJP decided to hire an evaluation coordinator to run the MEP, and to provide the coordinator with the following personnel:

- four student interns to help with the training and standard evaluation;
- a trainer under contract to develop the curriculum, provide training, and guide the standard evaluation design process; and
- a $190,000 contract with Michigan State University (MSU) for two intensive evaluations.

In addition, the entire OCJP staff (40 people) were to be trained and available for application groups and intensive design groups. It was expected that the on-going evaluation system would continue the interns and the intensive evaluation contracts if they proved to be successful. Staff training was seen as a one time thing; the training contract was to be discontinued.

The second step was to be carried out by the trainer with assistance from the interns. A framework defining evaluation was to be developed, packaged in a curriculum and delivered through an all staff training program. Each OCJP staff person was to receive 50 hours of training, and each member of management 32 hours. The groups assembled for training

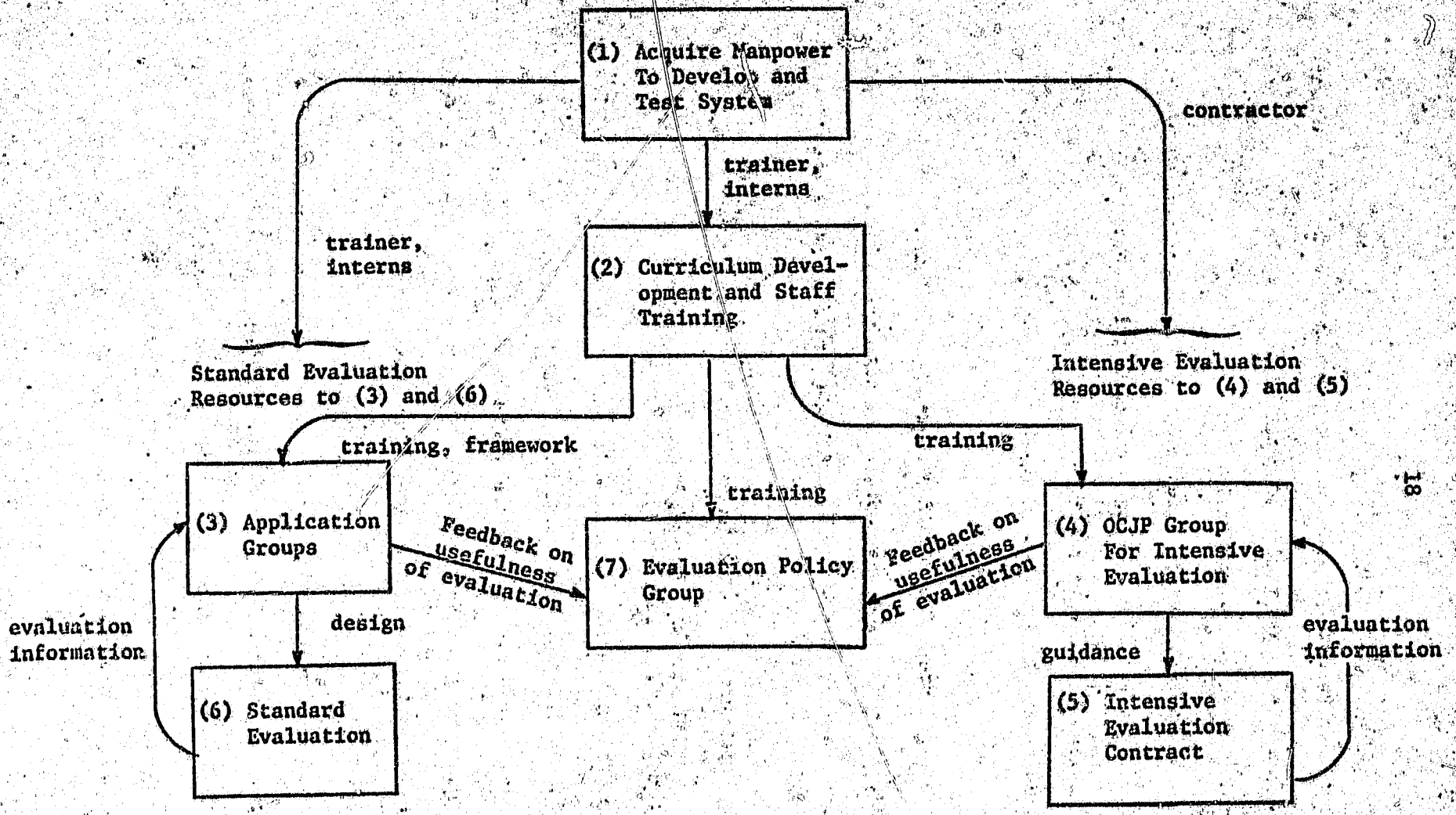

FIGURE 4: MICHIGAN OCJP'S EVALUATION STRATEGY

were called "fundamental" groups. While training on this scale was seen as a one time thing, the curriculum was to be available for training new staff and refresher courses.

Following the "fundamental" group training, the staff was to be organized into "application groups," Step 3, to apply what they learned by designing standard evaluations. The trainer would chair the groups, the interns would act as recorder and facilitator. Four groups were to be formed to design four evaluations. Implementation of the standard designs, Step 6, had the interns and evaluation coordinator largely responsible for establishing the data flow from projects, data processing, analysis and dissemination. The application groups were to be reestablished when results were available to review.

OCJP staff were also to be involved in the design of the intensive evaluations through Step 4. Two OCJP/contractor groups were to be formed consisting of the evaluation coordinator, the program specialists responsible for the area under study, and the contractor. The staff's role was to guide the contractor's design work and serve as a vehicle for dissemination. The contract had a two to three month design phase built into each study which required the contractor to:

- interact with OCJP to determine their information needs;
- meet periodically with OCJP groups for review and input;
- review grant materials;
- conduct site visits to projects;
- develop draft designs and review with OCJP; and
- finalize evaluation designs and methodologies and prepare status reports.

OCJP had to approve the evaluation designs presented in the status report before work could proceed. Step 5 had the contractor implementing the evaluation designs.

A seventh step was also to be carried out following the "fundamental group" training--a group consisting of OCJP management was to meet five times and develop an evaluation policy for OCJP.

Table 4 summarizes the expected results of each step and plans for continuing the activity if it was successful. Of all the steps, only the all-staff training was seen as a one-time effort. All the others might be expected to have a significant role in an on-going evaluation system.

Table 4 also indicates the degree to which expectations were met, as will be discussed in Section B below. The code used in Table 4 is:

- (+): Component met OCJP's expectations.
- (0): Component only partially implemented or successful
- (-): Expectations not realized

OCJP was very successful in implementing all steps except the seventh, long range evaluation policy. In the end, some of the steps were not continued in any form, and some were continued but modified significantly.

B. MICHIGAN OCJP's EXPERIENCE

Table 5 summarizes OCJP's experience with each step in the strategy. As Table 5 indicates, only the last step, the long range evaluation policy group, did not realize its expectations to some degree. While some problems came up at each step along the way, the Director of Planning[1] was able to deal with them and complete the MEP field test pretty much as planned. Figure 5 shows the schedule over which the components of the MEP strategy were carried out. In the end, OCJP was able to set up its

1. There was high turnover in the Evaluation Coordinator position, and the Director of Planning played a strong role in managing the MEP.

TABLE 4: MICHIGAN's DEVELOPMENTAL STRATEGY --EXPECTED RESULTS

Steps	Results Expected from Steps	Part of Step To Be Continued if Successful
(1) Acquire manpower to develop and test system.	(+) Provide: • evaluation coordination; • trainer under contract; • four student interns for standard evaluations; and • contract with MSU for intensive evaluations.	(0) Interns and MSU contract would be continued (training seen as one-time only).
(2) Curriculum development and staff training (fundamental groups)	(+) • A common approach to and definition of evaluation • A curriculum for evaluation training • About 25 hours of training to each OCJP staff person	(0) Curriculum would be available for informal training.
(3) Application groups for standard evaluation	(+) • In-house staff produce four evaluation designs --instruments and analysis plans. • Program specialists use resulting information.	(+) Application groups produce standard designs for additional programs.
(4) OCJP/contractor group for intensive evaluation	(0) • Two evaluation designs meeting OCJP information needs • OCJP group uses evaluation results.	(0) Groups would be formed to guide future intensive evaluations. (-) Analysis of OCJP information needs
(5) Intensive evaluation implementation	(+) • Two intensive evaluations implemented as designed.	(-) MSU contract for intensive evaluations would be continued. (0) OCJP money would be budgeted for intensive evaluation.
(6) Standard evaluation implementation	(+) • Establish data flow from the field to OCJP and data processing system.	(+) Standard evaluations continue to be produced. (0) Central data processing and analysis continue.
(7) Long range evaluation policy (evaluation policy group)	(-) • An evaluation policy OCJP based on the MEP experience.	(-) Policy would be adopted by OCJP.

Legend: +: Expectations met.
0: Partially implemented or successful.
-: Expectations not met.

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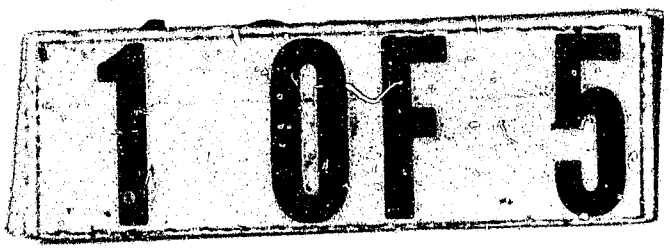

TABLE 5: MICHIGAN's EXPERIENCE WITH STEPS OF ITS STRATEGY

Steps	Experience with Steps and Degree of Success	Major Problem Encountered with the Steps	Significance of Experience to the Strategy
(1) Acquire manpower to develop and test system.	(+) • Trainer was hired. • Interns were available. • MSU contract was established.	Evaluation coordinator position had high turnover. Planning Director assumed responsibility during interim.	OCJP was able to secure the staff and contract resources it required to carry out its strategy.
(2) Curriculum development and staff training (fundamental groups)	(+) • Curriculum was developed for training; however, never formally packaged as planned. • Staff training was provided.	Strong support from OCJP required to maintain high staff participation in training.	Training program produces a method for designing evaluations and transferred it to the staff.
(3) Application groups for standard evaluation	(+) • In-house staff produced four standard designs consisting of instruments and instructions. • Group format not used for dissemination and utilization.	Analysis plans not developed by application group. "Program specialist" concept dropped by OCJP near end of MEP.	In-house staff could do evaluation design under proper direction. Intern's role seen as essential.
(4) OCJP group for intensive evaluation	(0) • Designs more contractor's than OCJP staff's. Some staff not familiar with approved designs.	OCJP had great difficulty in articulating and establishing its information needs.	Group process did not provide the guidance from potential users expected.
(5) Intensive evaluation implementation	(+) • Evaluation designs were implemented.	Contractor staffing situation was unstable during first six months.	OCJP was able to implement its intensive evaluation and test the utility of information produced.
(6) Standard evaluation implementation	(+) • Data flow process established. (0) • Standard evaluations still in progress	Computer programming caused major delays.	OCJP was able to implement its standard evaluation system.
(7) Long range evaluation policy group	(-) • Not completed	Management could not deal with policy questions in the abstract.	No formal long range evaluation policy.

two systems, produce evaluations, and examine their utility to OCJP decision making and functions. Below we discuss the experience with each component.

1. ALLOCATE RESOURCES TO DEVELOP AND TEST SYSTEM

OCJP was able to successfully staff and support its MEP project. The principal cost items were:

- MEP Coordinator;
- trainer;
- training adviser (non-MEP funded);
- travel and data processing;
- intensive evaluation contract; and
- OCJP staff time (non-MEP funded).

Two of the items were not funded through the MEP grant, the training adviser and the OCJP staff time. Table 6 indicates the cost of each item and how it was distributed among the six remaining components. (The shaded portions indicate that the item did not contribute to the component.)

The OCJP staff time (including management) is identified as a cost item because significant blocks of OCJP personnel time were set aside for participation in the MEP. We have not included the more casual type of involvement that any agency would have in reviewing or reacting to evaluation plans, designs and products. The programmed involvement of OCJP staff was a key feature of OCJP's strategy.

Aside from OCJP staff time, the four major MEP cost items were for manpower to implement the MEP: coordinator, trainer, interns and evaluation contractor. OCJP's experience in acquiring these personnel is discussed here.

FIGURE 5: MEP SCHEDULE

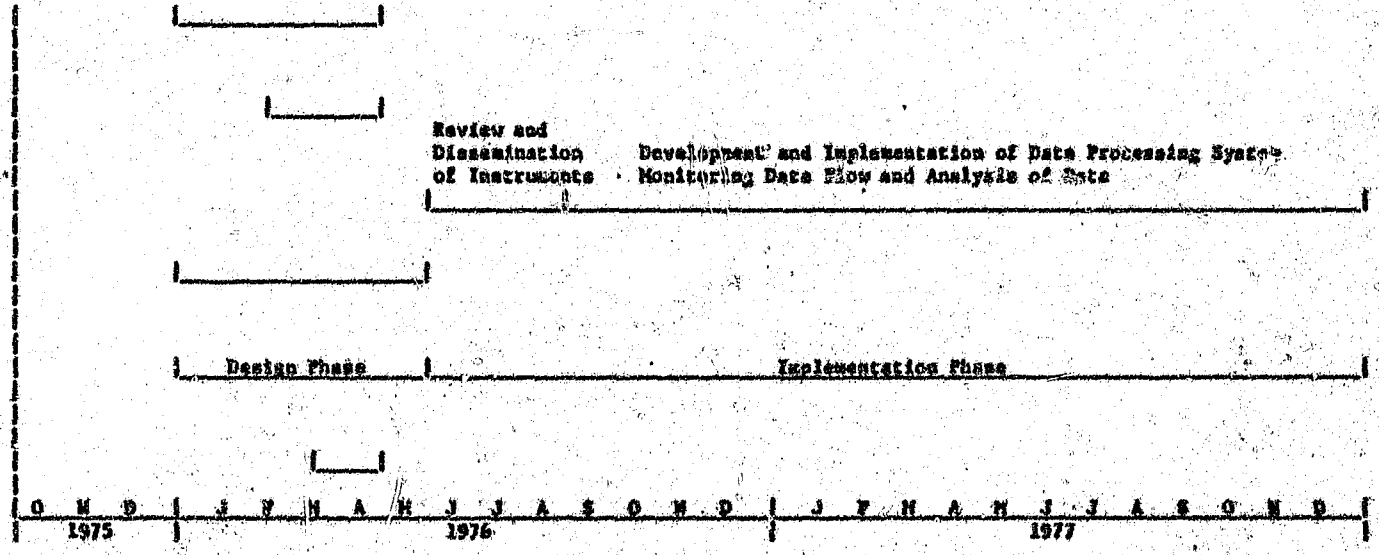

TABLE 6: COST ITEMS ALLOCATED TO MEP COMPONENTS

Cost Item	Estimated Total Resource	RESOURCE ALLOCATED TO MEP COMPONENT					
		Training and Curriculum Development	Standard Evaluation Application Groups	Standard Evaluation Implementation	OCJP Group: Intensive Evaluation Design	Intensive Evaluation Implementation	Long Range Evaluation Policy Group
MEP Coordinator	One full-time position	MEP Coordinator role was involved with all components.					
Trainer	$20,000	Time split between fundamental and application groups					
Training Adviser	$2000 (12 days)	$2000					
Travel and Data Processing	$30,000			$30,000			
Interns	$43,000: three interns working a total of ninety hours per week for twenty-two months ($5.60 per hour)	Interns spent all their time on training and standard evaluation.					
HSU Contract	$190,000 for two intensive evaluations (twelve man-years of research staff time)				$40,000	$150,000	
OCJP Staff Time	Approximately 190 days of staff time were formally committed to MEP.	Eighty days of program specialist and management group time	Seventy to seventy-five days of program specialist staff time		Twenty-five days of program specialist and management group time		Ten days of management group time

There was significant turnover in the coordinator position; four people held it and for several months it was vacant. This did not affect the schedule, since the Director of Planning carried out the responsibilities of the coordinator position during the transitions. In effect, there was always someone filling the coordinator role.

After a several month search for a trainer with both evaluation and training experience, OCJP decided they would have to settle for one or the other. A person was hired with a strong evaluation background. A small contract for a training consultant was let to augment what OCJP felt was the "trainer's" lack of experience in training.

The interns were graduate students from Michigan State University. There was also turnover among the interns. However, this did not affect the effort and vacancies were brief. Candidates for intern positions were readily available and could be quickly hired by OCJP. The usual time consuming Civil Service procedures did not apply to this position.

From the start of the MEP, Michigan planned to use MSU's Criminal Justice Systems Center as a sole source contractor for the intensive evaluations. This organization was viewed by OCJP and the LEAA Regional Office as a potentially valuable resource to the OCJP whose utility should be tested. MSU itself ran into staffing problems on the contract which were not resolved to OCJP's satisfaction until seven months into the effort. The net effect was to delay approval over the proposed evaluation designs for several months.

2. CURRICULUM DEVELOPMENT AND TRAINING

A training program was successfully developed and delivered to OCJP staff. The training can be described in terms of:

- how it was organized and delivered;
- the amount of training given;
- the content and product; and
- OCJP's reactions to the training.

a. Organization and Delivery

Training was organized into seven sessions--each one offered twice to enable all staff members to attend. Each "session" dealt with a major issue or facet of evaluation.

A "session" was a combination lecture and group discussion. A typical session lasted two to three hours and went as follows:

(1) A summary of the previous lecture prepared by the interns and reviewed by the trainer would be given to the class at the start. Also, a set of self-testing questions for the staff members to use in measuring their own performance would be provided.

(2) A lecture by the trainer on the specified topic would be given, with a question and answer period when needed.

(3) The session breaks into discussion groups facilitated by the interns under trainer's supervision.

People missing the two meetings of a lecture are given the handouts summarizing what was covered in the session. The interns act as recorders and facilitators.

b. Amount of Training Given

All OCJP staff were given training--program specialists and the management group. In all, 38 people attended: 29 staff; 9 management. Attendance was recorded, and for the seven sessions attendance was at 80 percent.

At one point, when attendance began to slip, the Director of OCJP told the staff that they were all expected to attend. His support of the MEP was clear and the attendance went up.

For the seven sessions, 100 percent attendance would have involved about 100 man-days of OCJP personnal time; the 80 percent attendance involved about 80 man-days in the fundamental group training.

c. Content and Product

The training effort had, in effect, two products: the staff trained in the "basic fundamentals of evaluation" and a framework for OCJP evaluation was produced.

Each "session" covered one fundamental facet of evaluation. Table 7 lists the topics for the seven sessions. The lecture usually presented definitions, typologies and practices associated with each topic.

The trainer developed, as part of the curriculum, a framework that OCJP could use in designing evaluations. The trainer later used this framework with the application groups to design the standard evaluations.

The framework distinguishes different types of evaluation measures and the relationships among them. Each evaluation design can be thought of as having a component associated with each type of evaluation measure. Table 8 illustrates the framework developed. The framework is used to help organize and work through identification of evaluation measures for a project. (See pages 34-36 for an example.)

d. Reaction to the Training

We discussed the training with the participants and observers. On the whole, the reaction to training was favorable, although everyone had reservations or some problems with either the content or the presentation. Below we summarize the reactions.

The interns observed each session and surveyed the participants afterwards to get their comments. The interns concluded that most people

TABLE 7: TOPICS FOR THE FUNDAMENTAL GROUP TRAINING SESSIONS

1. Defines evaluation; distinguishes it from pure research.
2. Identifies types of evaluation, identifies the components and stages of an evaluation.
3. Identifies evaluation audiences and different levels at which a set of activities can be evaluated.
4. Distinction among goals, objectives, standards and criteria.
5. Describes the concept of evaluation planning and design.
6. Describes the dynamic setting in which an evaluation occurs and methods for reducing conflict.
7. Issues involved in the determination of evaluation costs and budgets.

TABLE 8: MEP FRAMEWORK
(Types of Effectiveness Measure)

Evaluation Design Component	Examples of Effectiveness Factors
Capability	• Resources applied • System support • Personnel selection, training, etc. • Recordkeeping system
Transactions	• Client intake • Treatment • Activities • Utilization of other resources • Staff/client contacts
Outcome	• Recidivism • Social reintegration • Vocational improvement • Involvement in educational program • Employment
Impact	• Crime rates • Side effects

were very active in the sessions and did express strong interests. They saw the participants later using what they were taught in the "application groups." A few people were obviously bored with the training, and others did not see how it related to their job.

Top management thought that the program specialists came away with a better awareness and understanding of evaluation. They saw a common language emerging, and believed that the program specialists now saw evaluation as part of their job. Several people said that the real test of training would be the ability of the program specialists to develop and bring evaluation information into the OCJP decision processes.

The program specialists we interviewed had mixed feelings about the training. Several thought it was too long and too rigid, and nothing new was presented, while others thought it was adequate or well done. However, most (five) saw some value in it: "We are all going in one direction"; "Gave staff more capability in evaluation which was low"; "It increased my knowledge about design." A few (two) were very negative, viewing it as a waste of time and money.

3. APPLICATION GROUPS FOR STANDARD EVALUATION

The application groups were set up on the assumption "that every professional has a role in evaluation and should be involved in the development and implementation of evaluation designs." The application groups were a mechanism to allow OCJP functional area staff to develop an evaluation design.

Designs were produced by the four application groups. These designs were later reviewed by regional staff and subgrantees, and then modified and implemented by the MEP staff (interns).

The packages produced by the groups included instruments and instructions. They fell short of MEP expectations on one point: formal analysis plans were not developed. These plans were later developed by the MEP staff during implementation. The program specialists were consulted during the development of the analysis plans.

Application groups were never reconvened as planned to review the data and the analysis. Dissemination was carried out informally between the MEP staff and the OCJP program specialists.

The application groups were only the first of many steps required to produce the standard evaluations. Table 9 lists the key activities involved in developing standard evaluations, and the timeframe in which they occurred. The application groups took up the first two months of a twenty-two month process.

The application groups represented a significant investment of MEP and staff resources. Below we describe these groups in terms of: staff time expended; approach followed; products; and staff reaction.

a. Staff Time

About 30 professionals (non-management) were divided up into four groups. Each group met eight times for about three hours per session. Overall attendance ranged between 70 to 95 percent. Each group had seven or eight people in it.

The application groups represent about 70 to 75 man-days of OCJP staff time invested in the design of the standard evaluations. This is in addition to the MEP resources involved: trainer, interns, coordinator.

b. Organization and Approach

The four application groups were organized by content area. The

TABLE 9: MEP ACTIVITIES FOR THE STANDARD EVALUATIONS
February 1976 to December 1977

MEP Component	Schedule	MEP Activity
Application Group	February 1976-March 1976	Preliminary design of standard instruments
Implementation	May 1976	Regional Director review meetings
	June 1976	Project Director review meetings
	June 1976-July 1976	MEP first site visits to projects
	August 1976	Dissemination of standard packages
	September 1976-January 1977	Monitoring initial project implementation and reporting
		Developing optical scanning forms and user code books
		Transfer of old data to optical scan cards
	February 1977-March 1977	MEP second site visits to projects
	February 1977-May 1977	Monitoring project reporting
		Programming computer
		Computer tabulations disseminated to regions, projects, specialists
	June 1977-December 1977	Computer analysis of data
		Preparation of report

four program elements selected were: Jail Rehabilitation Programs; Deferred Prosecution Programs; Juvenile Diversion Programs; and Narcotic Units.

Program specialists were assigned to the group in the area of their responsibilities. Other staff were assigned so that all staff would have a chance to participate as part of the overall training strategy. As a result, each group was a mixture of people familiar with and people not familiar with the subject area.

The trainer led each application group session, with the interns acting as facilitators and recorders. During the meeting, the OCJP staff would discuss the projects and review the grant applications, and identify objectives, effectiveness factors and data needs. After each meeting the interns would organize the material and develop preliminary data instruments. In a meeting the intern acted as recorder. The intern prepared a summary of the last meeting and an agenda for the next meeting. This was used as a handout for the upcoming meeting. As the meetings went on, the group would identify and reach consensus on the measures and data to be requested.

The framework developed during the fundamental training was used to guide the design work. This framework defined four types of measures associated with a project:

- Capability—measures of factors a project needs to carry out project activities.
- Transactions—measures of client-related project activities from intake and diagnosis through processing to termination.
- Outcomes—client specific measures indicating what happened as a result of transactions.
- Impacts—the effects the project had on the community, society, or the criminal justice system; not client specific.

Only the transaction and outcome measures are captured by the standard instruments. Capability is measured by special interviews with project personnel. A form was developed for doing these interviews. The impact component was an area for research efforts, rather than standard evaluation.

Each of the four components is seen as having one or more ultimate objectives which can be translated first into an effectiveness factor, and then into data items for an instrument. Effectiveness factors are measures of achieving the objective. This framework was followed by first identifying objectives, then effectiveness factors, then data needs. Table 10 illustrates the framework.

c. Products

The application groups produced for each of the four program areas three products:

- program summary papers describing the program area;
- standard instruments that were suitable for the projects in the program area; and
- agreement with the user of the information, i.e., the OCJP program specialists.

The program summary papers (15 pages) were prepared by the interns for the application groups. They contained a discussion of:

- the problem the action program addresses;
- alternative program approaches to solving the problem, including the action program being evaluated;
- the approach taken in the evaluation of the program area; and
- possible data items for the evaluation.

Standard instruments and coding instructions were prepared for each program area. Three of the programs processed clients, and for these projects there were three forms:

TABLE 10: EXAMPLES OF THE CONCEPTS IN THE STANDARD EVALUATION METHODOLOGY (Deferred Prosecution Programs)

Program Component	PROJECT COMPONENT			
	Capability	Transactions	Outcomes	Impacts
Objectives of Component	To establish, maintain and improve the deferred prosecution program	Prepare the client for integration into society, with an emphasis on eliminating the client's future involvement within the criminal justice system.	(1) Client completes program. (2) Eliminate criminal behavior while in diversion program. (3) Integrate client into society and eliminate future criminal behavior.	(1) To improve the efficiency of the adjudication system (2) To reduce cost associated with crime
Effectiveness Factors	(1) Project's capacity (personnel, equipment, etc.) (2) Operational system (management systems, etc.) (3) Support systems (financial and non-financial)	(1) Client intake process (2) Diagnostic process (3) Treatment provided (4) Recommended post-release treatment	(1) Type of client termination from program (2) Identifying criminal behavior client is involved in while in the program (3) Client social integration	(1) Number and type of cases pending (2) Length of time to trial (3) Types of adjudication utilized within the court (4) Examine court cost and paid restitution
Data Items	(To be obtained through personnel interviews)	Client identification and background; past emotional/psychological treatment; present emotional status. Acceptance or rejection into program.	(1) Type of termination from the program (2) Living arrangement (3) Employment status (4) Criminal behavior while in program	(To be obtained through research efforts)

- intake form;
- client progress form; and
- client exit form.

The fourth program was for a police unit, and the standard instrument consisted of one form: a case form.

All forms were precoded, sometimes with an "other category," for example:

Client's Legal Status at Time of Referral [___]

1 = Awaiting Adjudication
2 = Awaiting Placement Disposition
3 = Post Disposition Placement
4 = Not under Court Jurisdiction
5 = Other (specify) _____

Table 11 identifies some of the data items on the forms.

d. Staff Reaction

Five members of top management and four program specialists were interviewed about the application groups' product to determine if they felt it would meet their information needs.

Top management was not involved in the application groups. The primary user of the standard evaluations was to be the program specialists. Four of the five members of top management interviewed were not familiar with the designs that resulted. The fifth felt that the designs were going after too much detail.

The primary user of the information was considered to be the OCJP state office program specialists. By having them participate intensively in the design of the standard instruments, the MEP expected to reach agreement on the information they required.

Program	Instrument		
	Intake Form	Client Progress on Case Form	Exit Form
Juvenile Diversion	• Client identification • Prior problem areas • Planned treatment	• Treatment: —Provided —Provider —Termination reason —Assessment	• Termination: —Legal status —Reason —Living arrangement • Recommended post-release treatment
Deferred Prosecution	• Client identification • Arrest data • Criminal history • Treatment: —Diagnosis —Provided • Intake or rejection decision	• Treatment: —Provided —Provider —Assessment —Contract • Community service utilized • Financial and employment data	• Treatment: —Provided —Provider —Assessment • Court disposition data • Post-release treatment
Jail Inmate	• Client identification • Adult criminal history • Recommended treatment	• Treatment: —Provided —Provider —Assessment —Hours provided	• Treatment: —Provided —Provider —Assessment • Jail behavior • Type release • Recommended treatment
Narcotics Enforcement	(No form)	• Project identification • Types of drug purchased • Target level • Informants and tip calls • Case outcome	(No form)

The four program specialists all said that:

- they were heavily involved in both the design work and implementation (project director group meeting and site visits),

and that

- the designs were "good," "appropriate," "satisfactory," and would produce the information they required.

They acknowledged contact with the interns as the data came in from the projects.

The specialists also noted that project evaluation designs already existed, and frequently were the basis for the new standard instruments. In the past, the specialists and sometimes the projects designed their own instruments. The old system did produce evaluation data, usually activity levels without outcome data, but its comparability and usefulness were in question.

4. IMPLEMENTATION OF STANDARD EVALUATION

The implementation of the standard evaluation lasted from May 1976 to the end of the MEP, November 1977, a 20 month period. During implementation, OCJP actually designed and built the data collection and data processing system. Key activities in that effort were listed earlier in Table 9. These activities can be grouped into six phases:

(1) Review of the Standard Instruments by the Regional Directors, Project Directors and Projects

Between May and July (1976), OCJP met separately with the Regional Directors and Project Directors to review the instruments. The response was favorable, and the interns modified the instruments based on the comments received. In addition, each of the 21 sites invovled in the four programs were visited in June and July to determine where the instruments could be used at the site, and if the data could be collected. Again the findings were positive.

(2) Dissemination of the Standard Packages

In August 1976, the final packages, instruments and instructions were disseminated to the projects.

(3) Site Visits to Collect "Capability" Data

An intern, program specialist and MEP supervisor visited each site in June and July of 1976 (the same visit as mentioned in (1) above) to collect data on project activities and organization. A standard (the Capability Checklist) was used to interview the project director. The site visits were repeated in January/February of 1977.

(4) Monitoring Data Reporting from the Projects

The time period between August and December of 1976 was viewed by OCJP as a field test phase in which the projects would learn to use the instruments and bugs would be worked out. The interns carefully reviewed the submitted forms for coding errors, obvious inconsistencies, strange data. Interns would call the projects to work out problems. After the field test phase, the interns continued to review the data submitted by the projects.

(5) Development of Data Processing System and Analysis Plans

Beginning in October of 1976, OCJP began implementing a computer based data processing system which used optical scan cards. Projects began reporting using these cards, and the early reported data, using other instruments, were transferred to these cards. Between October 1976 and July 1977, computer programs were developed, and analysis plans for the computerized data and the "capability" data were prepared.

(6) Analysis and Final Report

Between June 1977 and November 1977, OCJP began reviewing project tabulations and cross project analyses, and preparing final reports. Meetings were held among the interns, program specialists, and MEP Coordinator to discuss and interpret the data.

At the time this report was written, December 1977, the four standard evaluations were not finished.

The role the application groups were going to play in implementation was expected to be small, and limited primarily to data review and analyses. As this component evolved, the application groups were not reconvened and,

instead, the MEP interacted informally with the individual program specialists responsible for the program area being evaluated.

The key actors in the implementation phase were the interns and the program specialists. The interns carried out most of the implementation activity under the supervision of the MEP Coordinator or Director of Planning.

The program specialists were actively involved with implementation at the start and at the end. They accompanied interns on the first site visits to introduce the instruments to the projects. Their next significant involvement came in interpreting the analysis. When the analysis and final report were being prepared, the interns, MEP Coordinator and a program specialist met to discuss and interpret the data. Up to a day of a program specialist's time would be involved in this step.

In between these activities, the program specialists' contact with the standard evaluation was occasional and ad hoc:

- They were sent data tabulations on the projects as they became available.
- The interns would ask them questions about the project when an issue arose.

The time expenditure of the program specialists was not significant.

5. OCJP/CONTRACTOR GROUP FOR INTENSIVE EVALUATION

The intensive evaluation work groups were an MEP mechanism to have OCJP participate in and influence the design of the intensive evaluations. They were similar in purpose to the application groups, but differed in organization and product.

The "group" mechanism for intensive evaluation did serve a purpose, but did not meet expectations. On the positive side, it was an effective information link between contractor and OCJP. The group consisted of program specialists knowledgable about the projects and programs. They provided a great deal of documentation and personal information on project design, purpose, environment.

On the negative side, the group did not contribute much to the evaluation design. It was more the contractor's design than the OCJP group's design. This is not to say that the design did not meet OCJP's needs. It appears to have. But the contractor identified and documented these needs by interviewing and surveying throughout OCJP and then making his own decision on how to proceed. The group did not develop the design or decide what the design would be.

Below we describe this component in terms of the organization of the group, the design process, the contribution of OCJP to the design, and the designs that resulted.

a. Organization of the Design Group and Design Phase

Two groups were set up and operated between December 1975 and July 1976. Each group consisted of two program specialists for the area under study, the MEP Coordinator, and the Director of Planning. The group met with MSU about five times--two to three hours per meeting. In addition, the program specialists would accompany MSU staff on four to five site visits during the design phase.

Early on, the Youth Service Bureau (YSB) Study recieved most of the attention, and on that study most of the administrative and design

issues were raised and solved. The OCJP management group got directly involved in the YSB design effort when there was disagreement among members of the OCJP design group on the kind of study to be done. The management group and specialists met three times to discuss the design, once with MSU.

The MEP Coordinator and OCJP Planning Director also met with MSU independent of the group. These meetings dealt with administrative and technical issues.

The design process was broken out as a first phase of the MSU contract. Table 12 presents estimates of the resources that MSU put into designing the evaluations and reaching agreement with OCJP. About 20 percent of MSU's total resources went into the design phase.

b. The Design Process

The same process was used to develop both designs. OCJP set the contracts up so that there would be a design phase (three months originally planned) resulting in an evaluation design. The implementation phase would not start until OCJP approved the design.

While OCJP established the two phase approach and set up the two groups, the contractor developed his own design process. It consisted of six activities:

(1) MSU-OCJP Program Specialist Discussions

The intensive evaluation groups would meet with MSU to transfer information about the projects, identify information needs and comment on proposed designs.

(2) Questionnaire

MSU developed and circulated a questionnaire to OCJP staff which was designed to document perceptions of the program under study and information needs. The response was poor.

TABLE 12: ESTIMATED INTENSIVE EVALUATION CONTRACT COSTS (MSU) (January 1976 - July 1977)

Study	Phase	Major Expenditures (Manmonths or Dollars)	Estimated Cost
Youth Service Bureaus	Design	Professional staff--6 manmonths Graduate students--12 manmonths Secretary--4 manmonths Travel--$600	$ 28,000
	Implementation	Professional staff--10 manmonths Graduate students--54 manmonths Interviewers--$10,000 Coders--$4,000 Secretary--6 manmonths Computer time--$15,000 Travel--$8,000	$ 84,000
Specialized Police Units	Design	Professional staff--3 manmonths Graduate students--3 manmonths Secretary--2 manmonths Travel	$ 12,000
	Implementation	Professional staff--11 manmonths Graduate students--30 manmonths Coders--$1,000 Computer time--$12,000 Travel--$4,000	$ 62,000
		Total Estimated Expenditure*	$186,000

*These are estimates made by the MSU project director near the end of the effort. The original budget was $190,000. The final amount expended was $199,000.

(3) Site Visits

MSU would visit four or five sites to find out what the projects were doing.

(4) Impact Models

Based on steps (1), (2), and (3), MSU would develop impact models showing project activities, objectives, and the assumed relationships among them. These models would be used to identify and present the questions of interest to OCJP that an evaluation could try to answer.

(5) Briefings to OCJP

MSU briefed OCJP management and specialists on the design as the work was in progress.

(6) Evaluation Design

The product was a status report on each study which contained MSU's recommended design for answering questions identified by MSU as being of interest to OCJP.

The designs came in and were revised during March, April and May. The final designs were approved in June 1976, when OCJP and MSU reached agreement on how MSU would staff the studies.

c. Contribution of OCJP to the Design

At the end of the design phase, we interviewed everyone involved. These interviews indicated that:

- The contractor had great difficulty determining what OCJP wanted to know.
- There was a difference of opinion with OCJP over the nature and purpose of the projects to be evaluated, and over the information that was most needed.
- The program specialists were not familiar with the MSU evaluation designs that resulted.
- OCJP top management said they did understand the MSU designs and were satisfied with them.

The contractor said that the design arrived at reflects the lack of consensus in OCJP on: (1) what the programs were and were to achieve; and (2) what the important questions were. Rather than answer a few questions in depth, the final design attempts to answer a lot of questions with fewer resources on each. The tradeoff was between the confidence in the answers and the number of questions answered.

Our interviews with OCJP staff found that familiarity with the intensive designs were just the opposite from the standard designs. With the standard, the top management generally were unfamiliar with them, while program specialists were familiar. With the intensive designs, the program specialists did not know what MSU was going to do, while top management expressed familiarity with the designs and satisfaction with them.

The implication is that the contractor took the design process beyond the "work group" mechanism. While the "work group" provided information, it could not provide the guidance on which questions to answer that the contractor needed. The experience indicates that for intensive evaluations, the program specialists may not be a necessary link between top management and evaluation.

d. Intensive Evaluation Designs

At the start of the MEP, two Action Programs were selected for intensive evaluation:

- Youth Service Bureaus (YSBs), and
- Specialized Police Units (SPUs).

These Action Programs are identified and defined in the Comprehensive State Plan.

Both designs attempted to answer a number of questions related to input, process, outcome and impact. In the contractor's terms, both studies included three different types of analysis: project assessment, systems level effect, and project level effect. The project assessment shows how the projects evolved through proposal to final implementation stages. MSU felt that most YSB projects have diverged from the concepts and models presented in their proposals. Many originally were supposed to be client advocates, system change agents, etc. However, most had evolved into a service delivery to clients model. The project assessment was to document what the project is and what factors drove it to that model.

The systems level effect analysis attempts to estimate the relationship between the projects and the changes in selected area crime rates, and changes in the criminal justice system operations. The project level effects analysis attempts to estimate the relationship between the projects and the changes in the unit the project deals with directly:

- for Youth Service Bureaus—client behavior, attitudes;
- for Special Police Units—police department activity.

Table 13 summarizes the YSB evaluation design presented to OCJP. (Attachment A presents a similar summary of the SPU design.) As the table indicates, a range of data sources and types of analysis were to be used. Each analysis relied on a purposeful sample of projects drawn from the population (20 YSB and 23 SPU projects). The number of projects involved in answering a different question varied from analysis of one project to analysis of all projects.

6. INTENSIVE EVALUATION IMPLEMENTATION

The two intensive evaluations were carried out by MSU between

TABLE 13: SUMMARY OF YOUTH SERVICE BUREAU's EVALUATION DESIGN

Question	Measures	Unit of Analysis	Data Source	Comparison
1. Do YSBs reduce crime and delinquency (impact on system)?	Reduction in reported offenses	Cities and counties	Uniform Crime Reports (UCRs)	YSB versus non-YSB jurisdictions
	Changes in juvenile justice system statistics--e.g., arrests	Cities and counties	Juvenile agency records	Pre-post YSB intervention
Do YSBs reduce crime and delinquency (in YSB clients)?	Reduction in recidivism	Client	Police and court records of clients	Client measures pre-post YSB
	Reduction in juvenile justice system contacts	Client	YSB records (MSU instruments)	YSB clients versus non-YSB comparison group
	Reduction in self-reported deviant behavior	Client	Self-reporting questionnaire (MSU instrument)	
2. Does diversion take place (system changes)?	Changes in juvenile justice system statistics--e.g., penetration	Cities and counties	Juvenile agency records	YSB versus non-YSB jurisdictions
	Changes in YSB statistics	Cities and counties	YSB records (MSU instruments)	Pre-post YSB intervention
	Changes in processing criteria and decisions of juvenile justice system agencies	Cities and counties	Juvenile agency records	

TABLE 13: SUMMARY OF YOUTH SERVICE BUREAU's EVALUATION DESIGN (Cont'd.)

Question	Measures	Unit of Analysis	Data Source	Comparison
3. Does exposure to YSB prevent the development of the negative attitudes, self-concepts, etc. associated with the theory of secondary deviance?	Attitude scales	Client	MSU instruments	Post-YSB arrestees versus pre-YSB arrestees
4. What do YSBs do, and why do they do it? (Was the project implemented as planned, and what factors contributed to the apparent success or failure of the project?)	Internal project characteristics (e.g., funding, objectives, structure . . .)	YSB	• YSB proposal and quarterly reports • YSB records (MSU instrument) • Structured interviews	Case history or case study type analysis Planned activity and results versus actual activity and results
	Immediate social context (e.g., juvenile justice system . . .)	YSB	Structured interviews (MSU instrument)	
	General social context (e.g., economic conditions . . .)	YSB	Structured interviews (MSU instrument)	

TABLE 13: SUMMARY OF YOUTH SERVICE BUREAU's EVALUATION DESIGN (Cont'd.)

Question	Measures	Unit of Analysis	Data Source	Comparison
5. What kind of YSBs are most effective?	Project typologies: • organizational structure and program design; • community structure; and • inter-agency relationships. Outcome criteria: • diversion; • client attitude; and • client behavior.	YSB	Same as number 4 Same as numbers 1, 2 and 3	Contingency tables: • Project typologies are independent variables. • Outcome criteria are dependent variables.

1976 and November 1977, a 15 month period. The method and procedures followed were up to the discretion of the contractor.

Tables 14 and 15 summarize the findings from the two studies. The results were overwhelmingly negative:

- There was no evidence of effects on crime and on the criminal justice system.
- Projects were never implemented as planned or expected.

(Table 15 does not have all the findings on the YSU evaluation. As we prepared this report, we only had access to a preliminary report. However, the YSU study director told us that the results on the questions indicated were negative and similar to the SRU findings.)

The contractor believes the study findings have great implications for OCJP, and were causing them to rethink what they are doing. The contractor held that:

- OCJP ought to put more time into site selection and technical assistance to subgrantees.
- OCJP ought to decide why they are funding a program area in the first place.
- OCJP is not doing what they claim to be doing in planning, monitoring, etc.
- OCJP should clarify its purpose. If its purpose is "idea testing," it requires more concentration of resources on a few program areas, careful implementation, and more intensive evaluation.

The contractor briefed the OCJP several times during the course of the studies. The final reports were disseminated to OCJP top management and read by them.

7. EVALUATION POLICY GROUP

Following the fundamental groups, the OCJP top management personnel

Evaluation Question	Number of Sites in Sample and Data Source	Findings and Conclusion
1. Did special police units help reduce (prevent/deter) target crimes in the jurisdictions in which they were located?	Annual UCR—23 Monthly UCR—6	In terms of the issue of crime reduction, our findings provide no systematic evidence for believing that the establishment of special police units contributed to a reduction of target crimes in the funded jurisdictions. This conclusion is supported by the findings from both the analysis of annual and monthly level analyses, and applies to all four of the target crimes: robbery, burglary, larceny, and auto theft.
2. Did special police units help improve the investigative capabilities of the departments in which they were located?	Annual UCR—23 Monthly UCR—6 MSU Questionnaire—6	In summary, the results from all three research approaches provided no support for believing that special units increased the investigative capabilities and productivity of the funded jurisdictions.
3. How well did special police units perform as information processing systems?	MSU Questionnaire—6	In general, the results of this reveal that special units were not successful as information processing systems. Site interviews and questionnaire data indicated the existance or non-existance of the special unit would not have a significant effect on the quantity and/or quality of informaton available about crimes and criminals in the project jurisdictions.
4. What kinds of activity did special police units perform, and what were their results?	Project Records—1	It is obvious from these findings that: (1) the operational activities (throughputs) of special police units cannot be identified merely from the titles applied to them; and (2) that the character of the units studied tended to evolve over the life of the project.
5. How well were special police unit projects implemented?	MSU Questionnaire—6	In short, there is sufficient evidence to believe that the apparent lack of project effects is due to <u>implementation failure</u>, rather than <u>conceptual failure</u>. In other words, there are more reasons to believe that special police unit projects were not implemented as intended, than there are to believe that the ideas upon which the projects were based do not work.

1. This table was developed from material in <u>Executive Summary: Special Police Units in Michigan: An Evaluation</u>, Ralph G. Lewis, Jack R. Greene and Steven H. Edwards, Michigan Office of Criminal Justice Programs, Draft Paper, 1977.

TABLE 15: YOUTH SERVICE BUREAUS IN MICHIGAN--INTENSIVE EVALUATION[1]

Evaluation Question	Data Source and Number of Sites in Sample	Findings and Conclusion
1. Did YSB projects reduce target crimes in the jurisdiction in which they were located?	Annual UCR--14 Monthly UCR--7	Overall, the expectation that YSB jurisdictions would experience decreased crime rates following the intervention was not supported by the results of the time-series analyses.
2. Did YSBs affect the operation of the target juvenile justice systems, diverting youth to alternative services?	Annual UCR--14 Monthly UCR--7	The results of the monthly time-series analyses for diversion were similar to those obtained for crime reduction. That is, the findings did not provide systematic support for believing that the establishment of YSBs reduced the utilization of the formal juvenile justice system (diversion).
	Annual UCR--14 Monthly UCR--7	The results of these analyses did not reveal any consistent pattern of post-YSB decreases in police referrals or court delinquency petitions. In fact, there were no statistically significant decreases in slope for any of the YSB sites. Thus, it appears that the establishment of Youth Service Bureaus did not impact on the system by diverting youth from the juvenile courts.
	Police Files--4	Thus, the analyses did not reveal any substantial shift in the police decision-making process that could be attributed to the establishment of Youth Service Bureaus.
3. To what extent did YSBs operate according to the conceptual models and alternatives outlined for them?		(Not available)
4. How were YSB projects initiated and operated?		(Not available)
5. What impact did YSB programs have on the individual youths referred to them?		(Not available)

1. This table was developed from material in Executive Summary: Model Evaluation Project: Youth Service Bureaus in Michigan, Ralph C. Lewis and William S. Davidson II, Michigan Office of Criminal Justice Programs, Draft Report, 1977.

formed the Evaluation Policy Group. Its purpose was to develop a formal long range evaluation policy for OCJP. The group met as planned, but was unable to formulate a policy.

Between March and May of 1976, the Evaluation Policy Group met five times and discussed evaluation issues. These meetings were not attended by the trainer.

During these meetings, the group was not able to identify courses of action in evaluation that required funding decisions. Moreover, there was uncertainty about the agency budget and the amount of money available for evaluation. It was decided that key decisions about evaluation staffing, budgets and policy would have to wait until they had more experience with the MEP.

IV. OUTCOME OF THE MICHIGAN MEP

A. USER OBSERVATIONS ON THE INTENSIVE EVALUATION

We interviewed seven OCJP staff about the intensive evaluations: five members of the management group and two program specialists. We asked them a series of force choice questions to get their opinion, and then asked them to discuss their answers.

Table 16 summarizes the result of the survey. In general, the responses show that while OCJP had some criticisms of the study, they did learn a lot from them and thought the studies were worthwhile. Most respondents said the results would be used. Most uses cited were planned or expected uses. A significant action already attributed to the studies was a change in OCJP operating policy. Several respondents said that OCJP has put new emphasis on program specialists spending more time in the field and giving technical assistance (TA) to subgrantees during the proposal writing and project design phase. The two intensive evaluations were still under discussion at the time of the user survey. Below we describe the OCJP comments on the studies.

Most people were familiar with the findings (Question #1). Only two people were not familiar with the YSB study. When asked to describe the findings, they were able to cite them. For both elements they acknowledged the negative conclusions:

- no apparent reduction in crime (both);
- no effect on quality of arrest (SPD);

TABLE 16: SUMMARY OF USER REACTIONS TO THE TWO INTENSIVE EVALUATIONS

User Survey Questions	Youth Service Bureaus — Number of Respondents Answering:			Special Police Units — Number of Respondents Answering:		
	Yes	No	Uncertain	Yes	No	Uncertain
1. Are you familiar with the findings and conclusions of the study?	5	2	0	7	0	0
2. Did the evaluation address the issues or questions about the study that were of concern to you?	1	2	2	4	1	2
3. During the design of the study, did you state what information you required from the study?	5	0	0	5	0	2
4. Do you believe the findings and conclusions of the study?	4	0	1	6	0	1
5. Do you have any objections to or criticisms of the study?	5	0	0	3	3	1
6. Did the study present information you did not have before?	5	0	0	6	1	0
7. Did the study omit information or fail to answer certain questions?	2	1	2	1	5	1
8. Has the study changed or reinforced your attitudes about the program?	4	1	0	3	3	1
9. Have you personally used the results of the study?	4	1	0	4	2	1
10. Are you personally planning to use the results of the study?	3	0	2	5	1	1
11. Is OCJP doing or planning to do something as a result of the study?	2	0	3	5	0	2
12. In your opinion, were the results of the study worth the $90,000 spent on it?	3	1	1	5	2	0
13. Would you recommend that OCJP continue to invest in this type of evaluation study?	4	0	1	7	0	0

- no effect on children (YSB);
- projects usually different than we originally envisioned (both).

The evaluation information clearly reached its audience.

Most respondents acknowledge that during the design phase, they were asked to and did identify their information needs (Question #3). The SPU study appeared to satisfy OCJP's information requirements, while the YSB study did not (Questions #2 and #7).[1] The criticisms of the YSB differed by respondent and were of two types. One, that it did not address adequately certain issues:

- "expected that the study would show . . . if YSBs did intervene more than other service agencies and this question was not answered";
- ". . . insufficient detail developed in the report on what YSBs are doing";

and two, that it did not provide a measurement capability to OCJP:

- "I wanted a tracking system that could be used to find what treatment was successful and they did not do this."

In spite of the criticisms, the majority of those interviewed felt that the two intensive evaluations were better or the same as other contract evaluations, with the SPU study getting the highest rating. Two identified the YSB study as "worse than other contract evaluations," and one identified the SPU study as worse.

All but one person responded that they believed the findings of the studies (Question #4), and felt that they had received new information (Question #6). Several respondents qualified their belief in the findings: "study does not show reduction in crime, but this is not to say there is no reduction in crime." Some of the items of new information cited were:

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1. The dissatisfaction with the YSB design might have been unavoidable because the contractor found OCJP staff "extremely divided as to the intended focus of the evaluation."

- SPU

  * SPUs are not as effective as program specialists have implied; program specialists get to be proponents.

  * SPUs did not do what they said they would do.

  * Information on project implementation strategy and problem gave us statistical analysis on the way SPUs function, which we did not have before the study.

- YSB

  * Surprised that impact on crime not there.

  * YSB not doing what we thought.

  * YSB not a unitary concept; are all things to all people; no commonality of business.

This new information also changed or reinforced attitudes (Question #8).

Each user responded to the use question differently (Questions #9, #10 and #11). In the aggregate, OCJP has or plans to make the following type of actions based on the study:

- Change the OCJP planning and funding process or criteria:

  * "Change or tighten proposal requirements."

  * ". . . change requirements before new grants can submit proposals."

  * ". . . in administrative review (we are) using the studies to ask applicants if they are doing what (they planned)."

- Change how the program specialists spend their time.

  * "We now have program specialists in the field to participate (with subgrantee) in (project) design."

  * ". . . encourage YSB staff and program specialists to do a better job in tracking and montoring."

  * ". . . spending more time in the field . . . there is an office policy to give more TA . . . give TA before funding and help clean up the details."

- Provide TA to subgrantees.
  - * "Used results in TA discussions with YSB directors."
  - * "We are funding a project to give TA to all state YSB projects, and will use this study and lessons from this study."
- Disseminate the information.
  - * "Wrote a new section for the Commission on youth diversion . . ."
  - * ". . . sent it to state YSB organizations."
  - * ". . . discuss results with projects."
- Discuss the implications of the report in the management group.
  - * "Use it in internal discussions at OCJP."
  - * "Used it in discussions, but not in decision making."

B. USER OBSERVATIONS ON THE STANDARD EVALUATION

Four program specialists, one for each area, were interviewed about the utility of the standard evaluations. At the time of the interview (January 1978), the specialists had not received or had the opportunity to use the standard evaluation results. The computer analysis and final reports had not been completed due to problems with computer processing. However, since they had been so involved in the design and had received early tabulations of data, we interviewed the specialists to get their impressions about the: (1) difference the standard evaluations would make in the information they had; (2) how they expected to use it; and (3) if they considered it worthwhile. Answers to selected questions are summarized in Table 17.

TABLE 17: SUMMARY OF RESPONSES TO SELECT QUESTIONS FROM SURVEY OF STANDARD EVALUATION USERS

Selected Questions	Number of Users Responding:
Difference MEP Made in Evaluation Practice	
Were the data used to produce an evaluation report on a project prior to MEP by OCJP?	Yes 0 No 4
Were the standard evaluation instruments different from the inspection and evaluation factors you had been using?	Yes 3 No 1
Were projects required to report data to OCJP prior to MEP?	Yes 4 No 0
Is reporting by projects more or less complete with the MEP's standard instruments, or with the pre-MEP evaluation factors?	More with MEP 3 Less with MEP 0 Same with MEP 1
Is the amount of information collected:	More with MEP 3 Less with MEP 1 Same with MEP 0
Is the analysis of data different under the MEP than under the pre-MEP evaluation factor approach?	Yes 4 No 0
Was the analysis done differently prior to the MEP?	Yes 4 No 0
Is the quality of the data better now than before?	Yes 3 No 0 Uncertain 1

TABLE 17: SUMMARY OF RESPONSES TO SELECT QUESTIONS FROM SURVEY OF STANDARD EVALUATION USERS (Cont'd.)

Selected Questions	Number of Users Responding:
Use*	
Have you reviewed the standard evaluations for projects or programs?	Yes 0 No 4
Application Group Benefit Plus Benefit from Standard Evaluation	
Was the application group productive and useful in your opinion?	Yes 3 No 0 Uncertain 1
Do you think application groups should be set up to develop standard evaluations for other program areas?	Yes 4 No 0
Do you think standard evaluations are necessary?	Yes 4 No 0
Do you think the results of the standard evaluation are worth the cost to you and OCJP of doing them?	Yes 2 No 0 Uncertain 2

*Computer analyses still in progress at the time of these interviews.

1. DIFFERENCE MEP MADE

In general, the program specialists saw the standard evaluations providing more useful information on projects and program elements than had previously been available to them. The advantages of the standard evaluations over the pre-MEP evaluation factors were identified as:

- data items and instruments are more detailed and more thought-out;
- reporting is more complete;
- more information is collected;
- analysis is more informative;
- cross-project analysis will be available; and
- quality of data is better.

One specialist disagreed that more information would be developed. He thought the pre-MEP evaluation factors were very similar and, if anything, he would be getting less data, since some of the old factors had been dropped.

All specialists expected the information from the standard evaluations to be useful. Prior to the MEP, OCJP did not process or analyze the data. Subgrantees tabulated the data and submitted them in quarterly and final reports which the specialists reviewed. These reports varied in quality and comprehensibility. The reports from similar projects were not comparable. With the standard instruments, central analysis and cross-project analysis, the specialists were expecting more detail, more questions answered and clearer answers.

2. EXPECTED USE

The specialists expected to use the results to help carry out their functions as they had done in the past. Examples of the use they identified are:

- Hope to make overall conclusions about value of a program element. Find gross conclusion on what stands out and go look at that. Decide what should be added or dropped.
- Confirm what we have endorsed and encourage locals to put up dollars.
- (In past) used on individual basis to improve projects . . . and in setting refunding requirements.

The specialists could identify changes in the design and operation of projects and programs they had affected in the past based on knowledge developed in their job, for example:

> For jail rehabilitation programs, their budget is sent in with staff salaries and what they will do. But in reality it takes six to seven months to get going. During the time they mainly staff up and find a home. As a result of the review of data, we now first fund them for one to six months to perform the administrative work--hiring, etc. Then will fund for a period of providing services.
>
> One methodology of a type of program appeared superior at one-fourth the cost. As a result we revised the (alternative education program) . . . Found that lower pupil/instructor ratio and taking pupils to alternative educations . . . proved to be effective.

While the specialists interviewed saw themselves using the data, they could not identify or did not expect OCJP to make policy or funding decisions based on the findings (e.g., "Can only predict . . . we will continue to fund programs we have been funding.").

3. WORTH OF THE STANDARD EVALUATION

The program specialists thought that both the application groups and the standard evaluations should be continued. The standard evaluations were viewed as necessary to fill an information void. According to the specialists, in the past:

- Agencies did not use anything to justify their funding.
- We had no idea of how effective projects were, or what we were getting for the money.
- No feedback on results; they did not follow-up on clients.

When asked if the MEP results were worth the cost, several specialists were positive, several had to wait to see the results. Two specialists commented that the training (fundamental groups) was worthless and costly.

C. CONTINUATION ACTIVITIES

The two evaluation systems tested in the MEP are being significantly modified. Several MEP activities will be dropped; many of the activities will be continued but carried out by different people. OCJP is still in the process of establishing its evaluation policy and making final decisions.

Based on decisions made to date, we concluded that the standard evaluation system tested is being continued, while the intensive evaluation system tested is not. The standard system is being significantly modified, but many of the key elements required for production and utilization of information are being retained. The intensive evaluations will continue; however the design process tested under the MEP is being dropped. Since it was this design process that distinguished the system tested under the MEP from past contract evaluations, we concluded that the tested system was not being continued.

Prior to the MEP, OCJP had no evaluation personnel. The MEP made funds available for the MEP coordinator and the interns. Following the MEP, OCJP

has established an Evaluation Unit with two to three positions. Only one intern position has been continued due to budget constraints.

The loss of the interns will require the standard evaluation system to be modified. The functions carried out by the interns will either be dropped or picked up by the evaluation office and program specialists. Final decisions on the standard system have not been made. The intensive evaluations will be continued. Three are underway. They are funded and designed under a different strategy than that used in the MEP.

Below we discuss the nature of the systems being continued.

1. STANDARD EVALUATION

Table 18 shows those characteristics of the system which are and are not being continued. (A question mark indicates that a decision has not been made.) As indicated, OCJP plans to commit resources to a centrally managed standard evaluation system (characteristics 9 and 10). The system will continue to rely on standard instruments designed for each program element (characteristic 4). The design work will continue to be done by a modified version of the application group (characteristic 1). The biggest change in the MEP system concerns the data processing activities (characteristics 5, 6, 7 and 8).

Continuation of the application group is critical to the continuation of the tested system. The application groups have recently been reconvened to undertake new design work. The application groups are now made up of the Director of Planning, evaluator and only the program specialists involved in the programs. In several three to four hour meetings, a design

TABLE 18: STANDARD EVALUATION: POST-MEP CHARACTERISTICS

System Characteristics	Prior to MEP	During MEP	After MEP
1. OCJP Application Groups	No	Yes	Yes
2. Measures for Program Elements	Yes	Yes	Yes
3. Analysis Plan (Project and Program)	No	Yes	?
4. Standard Project Reporting Instruments	No	Yes	Yes
5. OCJP On-site Data Collection	No	Yes	Only JJDP* Programs
6. OCJP Data Processing and Analysis	No	Yes	Only JJDP Programs
7. Quality Control over Reported Data	No	Yes	Only JJDP Programs
8. OCJP Evaluation Reports on Projects and Program Elements	No	Yes	?
9. Evaluation Office Administration of Evaluation Process	No	Yes	Yes
10. OCJP Resources for Design, Data Processing, Analysis, Report Preparation	No	Yes	Yes

*JJDP: Juvenile Justice and Delinquency Prevention Act

is produced. The design "framework" developed in the fundamental group training was judged to be academic and has been dropped.

The convening of an application group is triggered by the administrative review process. When a project or program element comes in which management does not believe has an adequate evaluation design, the program people are directed to meet with the evaluators and develop one. In the last review cycle, 12 to 15 project and program designs were developed.

With the intern positions being reduced from four to one, OCJP did not have the resources to implement the tested data collection and processing activities (characteristics 5, 6, 7 and 8) across all programs. The four programs involved in the MEP test will continue to use these processes. However, among the remaining program areas, only projects funded under the Juvenile Justice and Delinquency Prevention Act will use the tested data collection and processing system.

For the other program areas there are no staff resources to collect the "capability data" (characteristic 5), or to monitor and check the reported data (characteristic 7). Without the interns, these activities have been dropped. The OCJP program people will now be responsible for working with the regions and the projects on the designs, and for getting the data flow established with technical assistance from the evaluation office. Data will not be centrally processed (characteristic 6). It is expected that subgrantees will process the data manually and report summary data. As indicated on Table 18, the details of analysis plan development (characteristic 3) and report preparation (characteristic 8) are still uncertain. These are functions carried out by the interns under MEP, and it's unclear who has the time to assume these responsibilities.

2. INTENSIVE EVALUATION SYSTEM

Table 19 shows those characteristics of the system which are and are not being continued.

Intensive evaluations will be carried out on a routine basis (characteristic 6). There is no OCJP budget for intensive evaluation. Instead, evaluation requirements are added to each subgrant in a program element. Then one contractor is selected by OCJP to do an intensive evaluation of all the projects in the element. Some small number of intensive evaluations (three to four) will be done each year.

The biggest change from the MEP will be the dropping of the contractor analysis of OCJP information needs. OCJP found this collaborative exercise unsatisfactory--disruptive and non-productive--during the MEP. The contractor will do the design. An OCJP program group will meet with the contractor regularly to provide information and review progress.

As Table 19 indicates, OCJP is returning to the pre-MEP intensive evaluation system. The major system change tested under the MEP--contractor analysis of OCJP information needs--is being dropped.

D. SUMMARY

The Michigan MEP implemented two evaluation systems, and both produced useful information. One system was modified and continued; the other was not continued as tested.

The Michigan MEP experience leads to five major conclusions:

(1) SPA management can create a market for evaluation within the agency.

TABLE 19: INTENSIVE EVALUATION: POST-MEP CHARACTERISTICS

System Characteristics	Prior to MEP	During MEP	After MEP
1. Contractor Analysis of OCJP Information Needs	No	Yes	No
2. OCJP Staff and Contractor Develop the Evaluation Designs	No	No (Planned)	No
3. OCJP Staff Provide Information for and Review the Contractor's Design	Yes	Yes	Yes
4. Contractor's Implementation of Designs	Yes	Yes	Yes
5. Review of Evaluation Results by OCJP	Yes	Yes	Yes
6. Routine Intensive Evaluation of Program Areas	No (Ad hoc)	Yes	Yes

(2) Management support is one factor that leads to successful implementation of the evaluation systems.

(3) The intensive evaluation of program concepts by SPAs may not be feasible.

(4) The standardized project monitoring systems require significant effort to implement them successfully.

(5) Involvement of the user in the evaluation production process appears to encourage utilization.

Each is discussed below.

1. A MARKET FOR EVALUATION EXISTED

Michigan SPA had a decision-making role that was unusual for an SPA. The Commission had delegated a great deal of authority to the SPA on planning and funding decisions. Top management chose to exercise this responsibility in a way that encouraged the use of evaluation information by SPA staff. For their internal decision-making processes, they made it the responsibility of the program staff to develop and bring forward evaluation information.

The program staff saw their responsibility as more than grants management or administering the flow of funds. Project design, evaluation design and technical assistance to subgrantees were responsibilities which they acknowledged and appeared to carry out. Unlike some other SPAs where the staff functions did not need or use evaluation information, Michigan OCJP management appears to have created a real market for evaluation information within the agency. The MEP was viewed by OCJP as a way to institutionalize the design and use of evaluation by the OCJP staff.

2. MANAGEMENT SUPPORT

The MEP ran into a number of problems in implementing evaluation systems: staff turnover; contractor difficulties; data processing problems; etc. However, the MEP manager was able to work through these problems and continue to implement the MEP as planned. In part this was due to the efforts of the MEP manager, and in part due to the support of OCJP management.

OCJP top management gave clear cut support to the MEP which appeared to facilitate implementation. The support included:

- allocating major blocks of staff time to the MEP;
- making clear to the staff that the MEP reflected the direction OCJP was moving in; and
- requiring attendance at MEP training sessions when attendance started to drop off.

The environment within which the MEP operated was very supportive.

3. INTENSIVE EVALUATION OF PROGRAM CONCEPTS MAY BE INFEASIBLE

The intensive evaluation contractor concluded that for the two program areas studied, the lack of project efforts was an implementation failure and not a failure of the program concepts. The contractor found that:

- projects were not doing what their grant applications described;
- projects were not doing what OCJP staff and management thought they were doing; and
- projects were not attempting to achieve the objectives stated by OCJP.

Thus, the concepts funded were never implemented.

The results of the Michigan intensive evaluations raise questions about the feasibility of the SPAs using intensive evaluations to test program concepts. Do SPAs have the capability to design and put in place replications of some project model? It appears that under current management practices and resources, project variation and project deviation from plans will disable such evaluations.

4. STANDARD REPORTING SYSTEMS ARE FEASIBLE BUT EXPENSIVE

Michigan was able, on a pilot test basis, to design and implement a standard project reporting system on four program areas (twenty-one projects). Traditionally SPAs have had difficulty in setting up and maintaining such systems.

One major problem has been that projects within a program area tend to vary widely on activities and objectives, making it difficult to come up with one useful "standard" instrument. The Michigan intensive evaluation findings discussed above suggest that standard instruments might not fit many projects in a program area. Michigan did not run into this problem in its pilot test. The reasons might be that: (1) the standard instruments measure general concepts and are not specific enough to pick up variation in types of activity and result; and (2) OCJP was flexible in tailoring instruments and definitions to each project, allowing some modifications to instruments to fit project activity.

OCJP invested a significant effort in both designing and implementing the system. This process included:

- specification of measures by program specialists familiar with projects in the program area;

- review and modification of instruments by regional staff;
- review and modification of instruments by project directors;
- site visits to each project by interns and program specialists to introduce the instruments to each project and to determine whether definitions were valid for the project; and
- intern monitoring data submitted by projects and following up to correct errors detected.

Each of these steps took some effort and resource commitment by the MEP.

5. INVOLVEMENT OF THE USER ENCOURAGES USE

The Michigan MEP was set up to involve the user in the evaluation process. In the standard evaluation system, the user was an active participant in design, implementation and analysis. In the intensive evaluation, the user gave active direction through the group meetings and through the efforts of the contractor to document information needs. In neither system did the users passively review and approve designs put before them by an evaluator.

Our interviews indicated that throughout the MEP, the users, OCJP management and staff were familiar with the content and progress of the evaluation efforts. There was a general perception that the designs were theirs and would provide the information they wanted. Involvement of the users appeared to create an environment or an attitude toward the evaluations that encouraged utilization.

ATTACHMENT A

EVALUATION QUESTIONS AND RESEARCH STRATEGIES FOR SPECIAL POLICE UNIT PROGRAM

Evaluation Questions and Research Strategies

General Questions	Specific Question	Comparison	Data Sources and Measure	Analytical Model
1) Do special units help reduce/prevent/deter crime?	A) Have crime rates (by type) changed for those jurisdictions which have initiated special units?	1) Same jurisdiction	1) pre/post intervention (official crime statistics) (official insurance claim statistics)	1) Extended time series analysis
		2) Special unit jurisdictions vs. jurisdiction having no special police unit.	2) pre/post intervention (official statistics)	2) Multiple time series analysis
		3) Special unit vs. regional detective bureaus	3) pre/post intervention (official statistics)	3) Multiple time series analysis
	B) Do special police units have a diferrent effect on specific crime types?	1) Same jurisdiction (special police unit)	1) critical incident/post (official statistics)	1) Extended time series analysis focused upon critical events.
	C) What types of criminals are affected by special police units and what are the cost/benefits associated with removal of this criminal activity?	1) Same Jurisdiction	1) Using career criminal tracking based upon Carnegie-Mellon University Crime Suitable Matrix	1) Carnegie-Mellon University Crime Switch-Matrix.
		2) Special police unit jurisdiction vs. non-special police unit jurisdiction unit		
		3) Special police units vs. Regionalized Detective Bureaus		
	D) Is there a relationship between increasing the probability of arrest and conviction and the overall reduction of crime?	1) Same Jurisdiction	1) pre/post intervention (official statistics)	1) Correlational Analysis
		2) Special police unit jurisdictions vs. non-special police unit jurisdictions		
		3) Special police unit vs. regionalized detective bureaus		

Evaluation Questions and Strategies

General Questions	Specific Questions	Comparisons	Data Source and Measures	Analytical Model
2. Do special units improve the investigative capabilities of police departments in which they are located	Is their an improvement in the investigative capabilities Do departments with special units have better investigative capabilities than non-special unit departments	Pre/post special unit comparisons for the same department Pre/post special unit comparisons for special and non-special unit departments	official statistics for specified offenses on conviction rates apprehension rates Official statistics for specific offenses conviction rates apprehension rates	Extended time series analysis Multiple time series analysis
3. Do special units produce investigative effects that would not be achieved without the existence of the unit	Do special units produce investigative effects that are different than those achieved by traditional detective bureaus	Pre/post special unit comparisons between special units and detective bureaus for the same department Post special unit comparisons between special units and detective bureaus in non special unit departments	Sample cases for conviction rates apprehension rates identification of suspects types of crimes investigated types of crimes uncovered types of offenders convicted/apprehended/investigated types of offenses for which offenders are convicted/apprehended/investigated	Multiple time series analysis contingency table analysis analysis of variance
4. Do special units perform activities that would not be performed without the existance of the unit	Do special units perform activities that are different than those performed by traditional detective bureaus	Pre/post special unit comparison between special units and detective bureaus for the same department Post special unit comparisons between special units and detective bureaus in non-special unit departments	Sample Cases for the criteria and procedures used to select target crimes and suspects time spent investigating existing cases the quantity and quality of information developed by the units the quantity and quality of interactions (information exchange etc.) with other units in the same department the quantity and quality of interactions (information exchange, etc.) with other departments	Contingency table analysis Analysis of variance

		Special units vs. detective bureaus within the same department Special units vs. detective bureaus in non-special unit departments	Agency survey data concerning the activities of special units and detective bureaus	Contingency table analysis Analysis of variance
5 Does membership in a special unit affect the performance of individuals assigned to the unit	Do special unit members perform differently after they are assigned to special units than they did prior to such an assignment	Pre/post special unit assignment comparison of individual personal records	Personnel data on performance measures arrests, citations, develop information, absenses complaints	Contingency table analysis Analysis of variance
6 How well do special units perform as information procedures	1) How is the information disseminated by special units evaluated and used by other agencies and sub-units of the same department	Post special unit comparisons concerning data developed and disseminated by special units.	Sample of special unit cases and survey questionnaire of special unit and clients for data concerning evaluations and utilization of special reports Overall evaluation of special unit activities and performance	Extended time series analysis Contingency table analysis Analysis of variance
	2) How well is the unit doing in the production and dissemination of information	Post special unit comparisons concerning the production and dissemination of information	Sample of special unit cases and survey questionnaire of special units and clients	Contingency table analysis
	3) How well is the unit doing in the analysis of the input data	Post special unit comparison concerning the analysis of input data	Sample of special unit cases and survey questionnaire of special units and clients	Contingency table analysis
	4) How well is the special unit doing in the processing and collation of input data	Post special unit comparisons concerning data processed and collated by special units	Sample of special unit cases and survey questionnaire concerning types of files, accessability to data, classification of data and data sources, file security	Contingency table analysis

5) How well is the special unit doing in the development of data sources and the collection of information	Post special unit comparisons concerning data sources and information collection	Sample of special unit cases and survey questionnaire of special units and clients concerning range of sources quantity and quality of input frequency of input from special police unit staff other units in department informers other agencies other sources	Contingency table analysis

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE PENNSYLVANIA GOVERNOR's JUSTICE COMMISSION

by
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Attachment A: Milestone Chart for the Phase I Program Evaluation of Alternatives to Juvenile Incarceration

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I. INTRODUCTION AND OVERVIEW

The Pennsylvania Governor's Justice Commission (GJC) received a two year Model Evaluation Program (MEP) grant, July 1975 to June 1977, for $261,162. GJC's objective was to develop the capability to evaluate "programs," i.e., groups of projects with similar activities and/or objectives. An evaluation system was envisioned that would routinely develop optimum program models (project designs and performance indicators) and produce analyses of program efficiency and impact.

GJC already had in place a "project" evaluation system designed to meet the needs of regional offices and subgrantees. Program evaluation was to support the State Office in program planning, a function which it had not carried out in the past, but hoped to in the future. Up to the time of the MEP, the State Office did not design, evaluate or recommend priority among program elements. The MEP proposal cited the State agency's desire to move toward a strong program planning role.

The MEP was to test a "phased" approach to program evaluation. Phase I would use available data and knowledge to produce a number of products including: program models; estimates of effectiveness and impact; indicators; and Phase II evaluation designs. Phase II was an intensive evaluation of selected GJC funded projects carried out to improve and increase the information available on a program area. A program evaluation group was set up in the GJC's Evaluation and Monitoring Unit (EMU) to implement this MEP strategy.

The EMU assumed that a method could be developed for doing Phase I and Phase IIs, and that a strong program-level planning capability and effort would be established in other parts of the GJC. Neither of these assumptions were met during the two year grant period. The EMU was unable to implement the Phase I-II strategy. Furthermore, when the Phase I-II was dropped at the end of the first year, it took the State agency another year to agree on a new MEP evaluation strategy to test.

When the second year of the MEP grant ended, EMU had begun developing the new agreed upon approach to program evaluation. Pennsylvania had only spent the first year MEP grant ($171,895), and they requested an extension of the MEP grant to use the remaining funds to develop and test the new idea. The National Institute of Law Enforcement and Criminal Justice (NILECJ) turned down the request because the strategy was still in the planning stage, and there was no overall plan for an agency evaluation system.

At least five factors contributed to the failure of the Pennsylvania MEP:

(1) Phase I evaluations could not be produced by the staff.

(2) Staffing problems kept the MEP efffort under half its planned manpower level for the first year-and-a-half.

(3) The State Office was in a period of transition, its function and role uncertain. Management was unable to give the MEP the guidance it needed.

(4) The State Office allowed MEP staff to be diverted away from MEP activity onto non-evaluation tasks.

(5) There was no user for the program evaluations in place; there was no commitment to anyone to produce a product.

After the first year, the Evaluation Unit concluded that Phase I evaluations were not feasible because:

- the available research literature and project evaluations did not provide information that was comparable or cumulative; and
- program evaluation was not feasible for most GJC projects because within program groups, projects varied widely in purpose and activity.

Evidence was not developed by EMU to support either of these conclusions.

The GJC's Model Evaluation Program was not able to produce evaluation information during its two year grant period. In the end, the GJC grant failed because it did not have a supportive organizational environment to provide guidance and information, and because the MEP staff could not develop a momentum to carry it through the activities required to turn out evaluations.

II. PENNSYLVANIA's MODEL EVALUATION PROGRAM

A. RATIONALE

At the start of the MEP, Pennsylvania's State Planning Agency (SPA)[1] did not have a strong role and capability in program and project planning. The decision-making process in place gave the Regional Planning Units (RPUs) more influence and capability in project selection and design. The State agency review of subgrant applications submitted by the regions were fiscal and procedural in nature, rather than programmatic. A project evaluation system existed to support Pennsylvania's decentralized decision-making process. Operated through the regional offices, this evaluation system was set up to assure that independent contractor evaluations were done for each project.

The MEP was viewed as a vehicle for giving the State agency a more active role in planning. The MEP would enable the State agency to identify and recommend effective programs for funding priority. Program evaluation information produced by the MEP was expected to give the State agency leverage in setting planning and funding priorities.

The State agency did not have access to program evaluation. The existing project evaluation system did not provide data that could be easily aggregated across projects of a given type (i.e. a program), or that addressed the issue of project design. The MEP was to develop a program evaluation system that would meet this need.

1. The Central Office of the Governor's Justice Commission.

Pennsylvania's strategy was to use the MEP to augment its evaluation staff and contract resources, and carry out a number of program evaluations as demonstrations. The information produced would be used to push the State agency toward program planning.

B. THE EVALUATION SYSTEM PLANNED

1. DESCRIPTION OF THE SYSTEM

Pennsylvania planned a two phase program evaluation approach which would produce program models for dissemination and replication. The first evaluation phase would pull together available information and produce analyses of efficiency and impact, descriptions of "optimum program models," and evaluation designs. The second phase would be an intensive evaluation of a set of projects that was expected to refine the results of the first phase.

The program evaluation system was expected to produce multi-project analyses of efficiency and impact--using two types of data sources:

(1) Phase I evaluations would rely on existing data from research results, project evaluations, etc., and

(2) Phase II evaluations would rely on new data collected on funded projects.

As a support activity to program evaluation, small indicator development contracts were to be let to develop standard process and impact indicators for specific project types. The indicators were expected to improve the data base available for program evaluation. It was not decided whether the projects would be required to submit data on these indicators to the State agency, or simply maintain project data files.

Figure 1 illustrates the planned evaluation system. The evaluation operations are shown on the right being carried out by the State agency's Evaluation and Monitoring Unit. This Unit would be responsible for designing evaluations and programs, doing evaluations, developing new evaluation methods, and providing technical assistance in evaluation. Its two sources of data are the Phase I and Phase II data collection efforts, shown as flows into the Unit on Figure 1. The Evaluation Unit also disseminates standard indicators and instruments to programs on the lower left, and Phase I and II evaluation results to the SPA on the upper left.

The products of the evaluation function are the Phase I and II program evaluations consisting of program models and analyses. These would be used by the agency to recommend funding priorities to its governing Commission, and to set policy on program designs.

Based on experience with program evaluation, the EMU was also to produce a methodology for "system level" evaluation, i.e., one that examined the relationship among project types, and between projects and the criminal justice system components.

Below we discuss several characteristics of the planned system: the decision-making process it was to support, the units of analysis, and the organization of the system.

2. USER AND USES

The primary user of the program evaluations was to be the SPA (see Figure 2), referred to as the State Office.

At the start of the MEP, the State agency did not have planning or funding processes which required program evaluation information. The

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FIGURE 1: PENNSYLVANIA's PLANNED EVALUATION SYSTEM

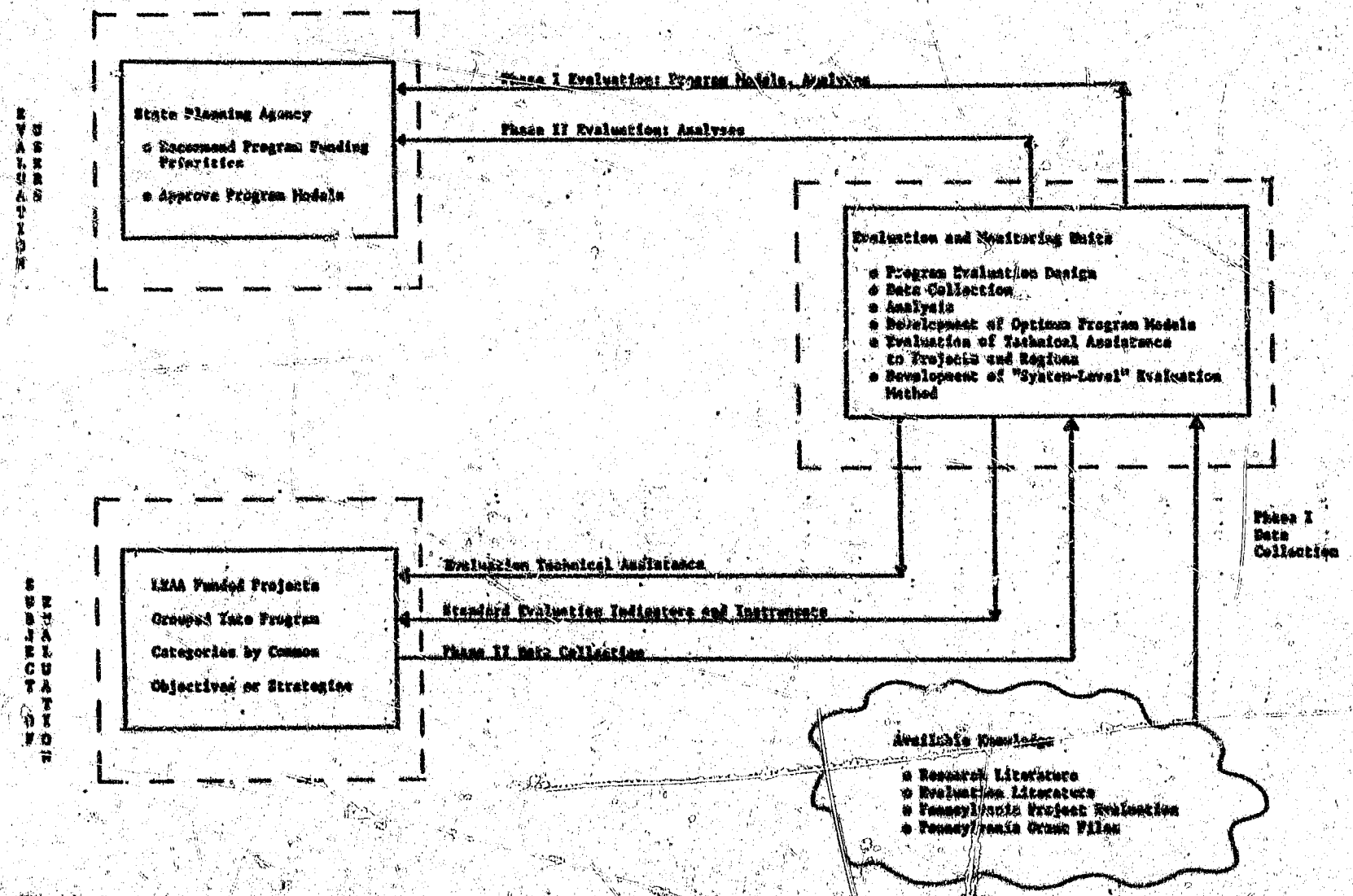
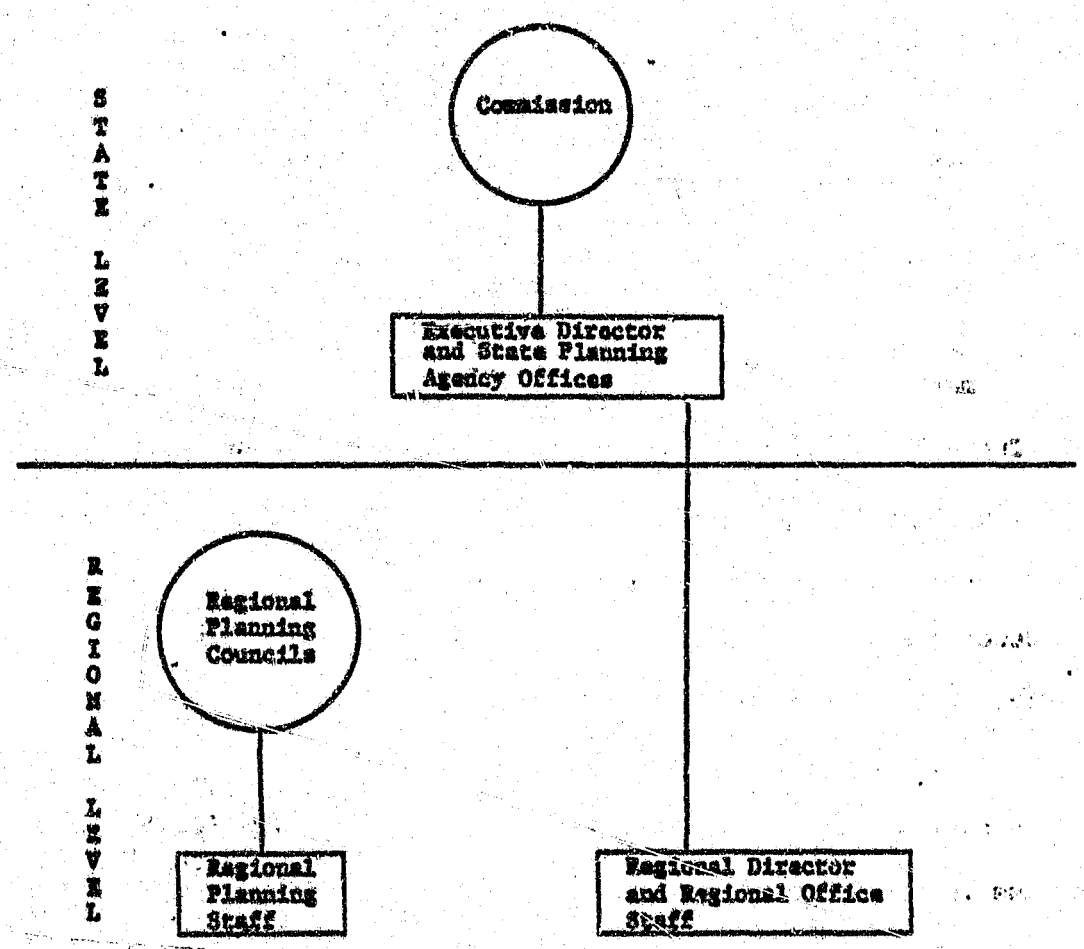


FIGURE 2: PENNSYLVANIA GOVERNOR'S JUSTICE COMMISSION



MEP staff expected the State Office to change its mission and functions, and identified the following expected uses of evaluation in planning:

- The State Office planning staffs would recommend to the Commission funding priorities among program areas.
- The State Office planning staffs would recommend to the Commission the types of project which should be funded within program areas.
- The State Office planning staffs would issue Request for Proposals (RFPs) for state and local agencies to implement specific project models.
- The State Office planning staffs would recommend to the Commission standards which GJC projects must meet.
- The State Office regional staffs would provide evaluation information and technical assistance to state and local agencies.

These "uses" represented expected State Office functions and roles; they did not represent ones which were actually in place. The State Office did not have a "program planning" capability in place or a strong role in influencing funding decisions. The State Office was being reorganized to give it this capability and increase its influence.

Decisions on project funding and refunding are made by the Commission's supervisory board. The State Office staff supports the Commission's decision process in the following ways:

- In the planning process, the staff will make recommendations on the proposals presented to its supervisory board by state and local agencies.
- In the grant approval process, the staff will make recommendations on whether to approve or disapprove specific grants.
- When grants come in for refunding, the staff will make recommendations on whether to approve the grant, and whether special conditions are to be added.

However, the project proposals and designs usually come up from the applicant, through the RPUs, without the State Office affecting the size or

design of the project. The State Office's reviews of proposals and grant refunding requests were said to be fiscal and procedural in nature.

With the State Office playing largely an administrative role, the Commission's Supervisory Board was largely in a reactive position. It had to make decisions on initiatives defined by potential subgrantees, rather than defining the initiatives it wanted to pursue. An MEP objective was to change how the Commission's Supervisory Board makes decisions. The staff wanted to see movement away from a decision process that is:

- project based and
- driven by proposals from potential grantees,

to one that is:

- program based and
- driven by State Office analyses of needs and expected performance of programs.

The MEP's program evaluations would enable the State staff to establish an active, rather than reactive, role in setting the Commission's future directions and in implementing these plans.

3. WHAT WAS TO BE EVALUATED

The subject of analysis was to be a "program." A program was defined as a group of projects with similar strategies or differing strategies for achieving the same objective. A list of program areas was to be developed during the early part of the MEP: "As the first step, Program Evaluation staff, with assistance from Planning staff, will develop a list of approximately 25-30 genres of projects for consideration."[1]

1. Pennsylvania's Model Evaluation Program proposal.

The EMU estimated that 700-800 Commission funded projects were operating. At the start of the MEP, there was no system of classifying these projects into program categories. The MEP was to create the program structure.

4. ORGANIZATION OF EVALUATION ACTIVITIES

The MEP evaluation system was to consist of the following activities:

- Phase I evaluations;
- Phase II evaluations;
- Indicator development and dissemination; and
- technical assistance to Regional Planning Units and subgrantees.

The first three activities were to be the responsibility of an in-house Program Evaluation group in the State agency's Evaluation and Monitoring Unit. Contractors were to help develop indicators as the need arose. The last activity, technical assistance, was to be carried out by a "regional evaluation coordinator" in that unit. Figure 3 describes the intended organizational structure.

Phase I and Phase II activities were defined in Pennsylania's proposal in terms of the data sources to be relied on, and the products to be produced (see Table 1). There was no method available to do a Phase I. A Phase I was estimated to be a six-month effort; a Phase II a one-year effort. The method for carrying out a Phase I and the nature of the Phase IIs were to be developed during the MEP.

FIGURE 3: PROPOSED STAFF STRUCTURE

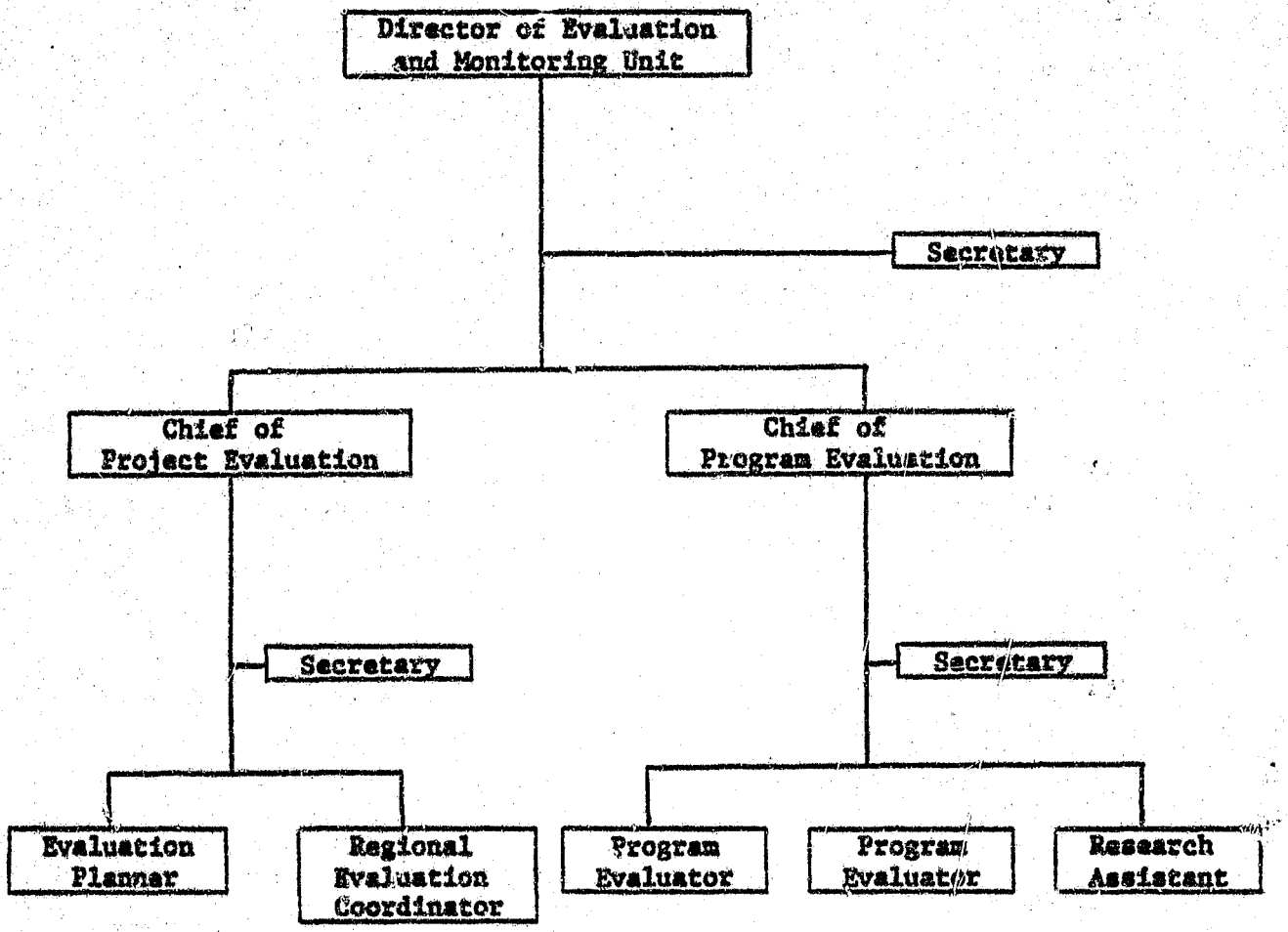


TABLE 1: PENNSYLVANIA's DESCRIPTION OF PHASE I AND PHASE II

Phase I Data Sources:

"During Phase I, the following types of information will be collected and analyzed:

(1) Nature, magnitude, location and causes of the problem which the projects were designed to address.

(2) 'State of the Art' of new and traditional approaches to the problem (including the program model in question), and any established standards and goals.

(3) National and particularly State trends in funding of projects in the area under study.

(4) All available relevant project and program evaluations. Collection and analysis of all available evaluation data on relevant projects currently operating in Pennsylvania."

Phase I Products:

"(a) Identification of the criteria against which such projects should be judged.

(b) A sophisticated (modular) design for further evaluation, including standard data collection instruments for projects of the type studied.

(c) Analysis of the efficiency of internal project processes (staff structure, relationships to outside agencies, referral mechanisms, cost structure, etc.), including the extent to which adopted standards and goals are being met.

(d) Analysis of the impact of such programs in alleviating the original problem (i.e., incidence of crime, recidivism, public costs, etc.).

(e) Analysis of the implications of such programs for contiguous components of the criminal justice system and the larger social service system.

(f) Description of optimum program models for specified impact objectives, including any recommended standards.

(g) Analysis of the steps necessary for implementation of effective projects at an appropriate level throughout the State (e.g., changes in legislation, administrative policy, etc.)."

TABLE 1: PENNSYLVANIA's DESCRIPTION
OF PHASE I AND PHASE II (Cont'd.)

Phase II Data Sources:

"In order to effectively carry out the program evaluation effort, the following data sources will be utilized:

(1) Survey of the literature (utilizing resources of the National Reference Service and the Office of Technology Transfer).

(2) Criminal justice system data, as maintained by the Office of Criminal Justice Statistics and Comprehensive Data System (described earlier), and the Regional Planning Councils of the Governor's Justice Commission.

(3) National Institute for Law Enforcement and Criminal Justice National Evaluation Program studies.

(4) Governor's Justice Commission project evaluations and project records.

(5) Governor's Justice Commission or other State agency records and reports.

(6) National Advisory Commission-American Bar Association Report on Standards and Goals, and reports produced by the Pennsylvania Committee on Standards and Goals."

Phase II Products:

"During Phase II, the evaluation design developed will be implemented for a carefully selected sample of existing Governor's Justice Commission projects. These evaluations, utilizing consistent evaluation designs incorporating experimental techniques (where possible), will produce considerable refinements in Phase I results."

III. PENNSYLVANIA's STRATEGY FOR DEVELOPING AND TESTING THE EVALUATION SYSTEM

During the first year of the grant (July 1975-July 1976), the Evaluation and Monitoring Unit attempted to implement its Phase I-II approach to program evaluation. It was not successful in producing either program evaluation designs or evaluation information. The planned Phase I-II system was dropped.

It wasn't until the end of the second year of the MEP that the State agency settled on which new MEP evaluation system should be developed and tested. The second year was spent trying to determine what would be an appropriate evaluation system. This search was constrained by the State Planning Agency's reorganization of its planning and funding processes, the purpose and outcome of which were never clear.

At the start of its second MEP year (July 1976), the Evaluation and Monitoring Unit decided to focus its program evaluation efforts on the Juvenile Justice and Delinquency Prevention Act projects which were to be funded in early 1977. By the middle of the second MEP year (December 1976), the State agency decided to develop, in-house, a program evaluation design for these juvenile projects. As the second year of the MEP grant ended, the MEP was starting to develop both the design process and the evaluation design. When the grant period ended, Pennsylvania had expended $171,895 of its $261,162 grant. Its request for a one-year extension was denied by the National Institute of Law Enforcement and Criminal Justice.

This chapter describes Pennsylvania's expectations for the MEP and its experience with the MEP. Section A describes the MEP strategy, Section B the experience.

A. STRATEGY: STEPS AND EXPECTATIONS

Pennsylvania's original strategy for developing and testing the system consisted of six steps.[1] One was to establish the in-house capability to develop and test the system:

(1) acquire staff for program evaluation;

two steps were to develop and field test the basic approach to program evaluation:

(2) develop and test Phase I concept and

(3) develop and test Phase II concept;

two steps were to supplement and support the basic Phase I-II approach:

(4) indicator development contracts and

(5) establish regional support system;

and finally, one step was to develop a methodology for, and examine the feasibility of, doing system-level evaluation:

(6) examine feasibility of a system-level evaluation methodology.

The relationship among the steps is shown in Figure 4.

For the first step, the Evaluation and Monitoring Unit was to add five positions and have approximately $50,000 available each year for two years for consultants. A decision would be made at the end of the MEP on the tradeoffs in using contractors versus in-house staff.

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1. These components were identified by The Urban Institute based upon the MEP proposal and interviews with State Planning Agency personnel. The definitions were reviewed and verified by the Evaluation and Monitoring Unit.

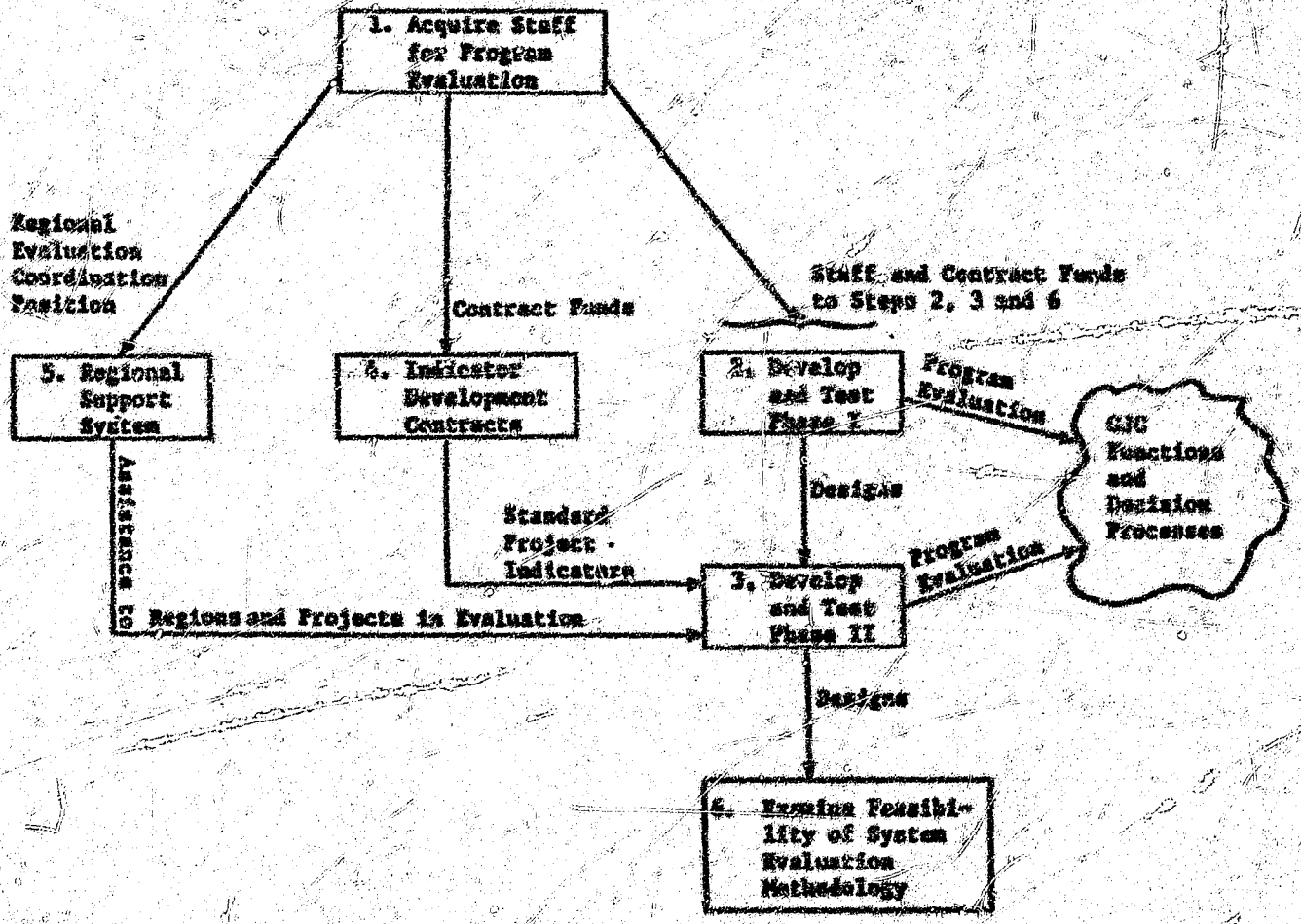

FIGURE 4: PENNSYLVANIA's ORIGINAL STRATEGY

The second and third steps were the Phase I and Phase II efforts. It was estimated that about five Phase Is and two Phase IIs would be done; at least one program evaluation by contractors. It was expected that the Phase Is and IIs would both produce evaluation information and program models that would be used by the State agency staff. The MEP was expected to develop the method for doing Phase Is and IIs, and demonstrate their value. If successful, the Phase I-II approach would have been continued.

The fourth step, indicator development contracts, was to let small contracts to develop standard process and impact measures for project types. This work would be done in program areas where the Phase I found existing research insufficient, and in program areas for which evaluations were planned. These indicators would be made part of the Phase II designs.

A fifth step was to add a staff position, called regional coordinator, to coordinate program evaluation with the regions, and to carry out management review of the regional project evaluation system. Referred to as the regional support system, this person would provide technical assistance to regions and projects in adopting the standard indicators, and assure that the project data going into the program evaluations were of high quality.

The final step was to examine the feasibility of system-level evaluation. System-level evaluation was described as the "assessment of the relative impact and interactive effects of interrelated criminal justice programs, and related social services, on a set of criminal justice objectives." The Evaluation and Monitoring Unit expected the information and experience gained in doing program evaluations would enable it to examine the feasibility of moving beyond program evaluation into system-level evaluation.

Table 2 summarizes the expectations Pennsylvania had for each component of its original strategy. The symbols "+," "0," and "-" are used to indicate the extent to which the MEP achieved what it attempted to accomplish with each step:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, completed, or producing intended effect.
- "-": Not attempted or few instances of achieving intended effects.

B. PENNSYLVANIA's EXPERIENCE WITH MEP

Table 3 summarizes Pennsylvania's experience with each of its six planned steps.

The attempts at Steps I and II were not successful (-). The other four steps were deferred or cancelled because of this experience. Below we discuss the experience with Steps I and II, and describe events that occurred following the unsuccessful Phase Is.

1. STEP I: ACQUIRE ADDITIONAL STAFF AND CONTRACTOR SUPPORT FOR PROGRAM EVALUATION

The MEP grant was to fund five professional positions in the State's Evaluation and Monitoring Unit:

- Chief of Program Evaluation--one position;
- Program Evaluators--two positions;
- Research Assistant--one position; and
- Regional Evaluator Coordinator--one position.

TABLE 2: PENNSYLVANIA's EXPECTATIONS FOR EACH STEP IN ITS ORIGINAL STRATEGY

Step	Result Expected from Each Step	Aspect of Step Expected To Be Continued, if Successful
I. Acquire additional manpower for program evaluation.	Create and staff five additional positions: regional coordinator, program evaluators. (0)	Some of the positions created would be continued. A decision would be made based on the relative quality of staff evaluation versus contracted evaluations.
II. Program evaluation: develop and test Phase Is.	Produce five Phase I evaluations which affect GJC's policies. (-)	Phase I evaluations would be routinely carried out; the number to be determined.
III. Program evaluation: develop and test Phase IIs.	Produce three Phase II evaluations which extend and refine Phase I results. (-)	Phase II evaluations would be routinely carried out by staff or contractor, the number to be determined.
IV. Indicator development contracts	Standard process and impact indicators developed for specific project types and incorporated into the Phase II standard program evaluation design. (-)	Indicator development would be continued.
V. Regional support system	Central office position created and filled with responsibility for technical assistance in evaluation to the eight regions, insuring high quality input into program evaluations, and management review of the project evaluation system. (-)	The position of regional coordinator would be maintained.
VI. System level evaluation methodology	Decision on feasibility and cost of implementing system level evaluation. (-)	Depending on cost and feasibility, system level evaluation would be tried in the second year of MEP.

Legend: (+): Completed as planned; (0): Partially completed; (-): Was not attempted or did not occur as planned.

TABLE 3: PENNSYLVANIA'S EXPERIENCE WITH EACH STEP IN ITS STRATEGY

Step	Degree of Success with Step	Major Problems Encountered	Significance of Experience with Step
I. Acquire additional staff and contractor support for program evaluation.	(-) Staffing levels were not maintained at planned levels. MEP staff were not assigned to program evaluation activities to the extent planned.	• A freeze on hiring, and State Civil Service procedures/regulations made staffing difficult. • Staff were used to support Central Office functions.	No concentrated effort on developing and implementing the Phase I-Phase II approaches.
II. Program evaluation --Phase I	(-) Two Phase Is were attempted by in-house staff. None were completed.	• Staff could not develop a method for synthesizing available information and developing evaluation designs.	Key step of MEP strategy could not be implemented.
III. Program evaluation --Phase II	(-) Phase IIs were never attempted.	• Phase I design work never done. • Attempt to let RFP for a program evaluation was disallowed.	Phase II step never developed or tested.
IV. Indicator development contracts	(-) Not attempted.	• Work deferred because of uncertainty in CJC planning policies.	---
V. Regional support system	(-) Position unfilled during 1975 and 1976.	• Job unattractive to candidates. Later hiring freeze and Civil Service regulations caused delays.	---
VI. System-level evaluation methodology	(-) Methodology never developed.	• Phase I work did not provide information required to examine the feasibility of system-level evaluation.	---

Legend: +: Completed as planned
0: Partially completed
-: Was not attempted or did not occur as planned

Figure 5 shows the staffing situation during the first one-and-a-half years of the two year grant. Between July 1975 and January 1977, the MEP was effectively at half strength.

The vacancies occurred because of the following conditions:

- Turnover: Early in the MEP project, the Chief of Program Evaluation[1] took another job in the State agency. Before the midpoint, one of the program evaluators left. By the end of 1976, the EMU had four of its eight professional positions vacant. Three of these vacancies were MEP program evaluation related.

- Difficulty Recruiting for Regional Coordinator Position: It proved to be difficult to attract a qualified person to this position because of travel requirements and relocation.

- State Hiring Freeze: Near the end of 1975 and to the second half of 1976, the GJC was under a State hiring freeze.

- State Civil Service: When the hiring freeze was lifted, new Pennsylvania Civil Service procedures slowed hiring and disrupted operations. Both vacant positions and filled positions were affected. Onboard staff had to be re-examined under the new procedures.

The first year budget for MEP had $50,000 for contracts to develop indicators. The EMU did not spend this money during the two year period. The reasons given were:

- No Executive Director of the Governor's Justice Commission: Between October 1975 and April 1976, there was no Executive Director. With this position vacant, the EMU was reluctant to enter into contractual relationships.

- Uncertainty in Commission Direction: The EMU felt that it could not give clear guidance to contractors until it was clearer which direction the Commission was going in planning. This uncertainty existed through most of 1976.

- In-house Effort versus Contract: Late in 1976, the Commission and Executive Director stressed doing evaluation design work in-house.

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1. The Chief of Program Evaluation was originally proposed as an MEP funded position. The EMU proposed, and NILECJ agreed, that it be funded out of Part B and State funds to better institutionalize the slot. In turn, one of the project evaluator positions would be supported by MEP funds, although that person would have no role in the MEP.

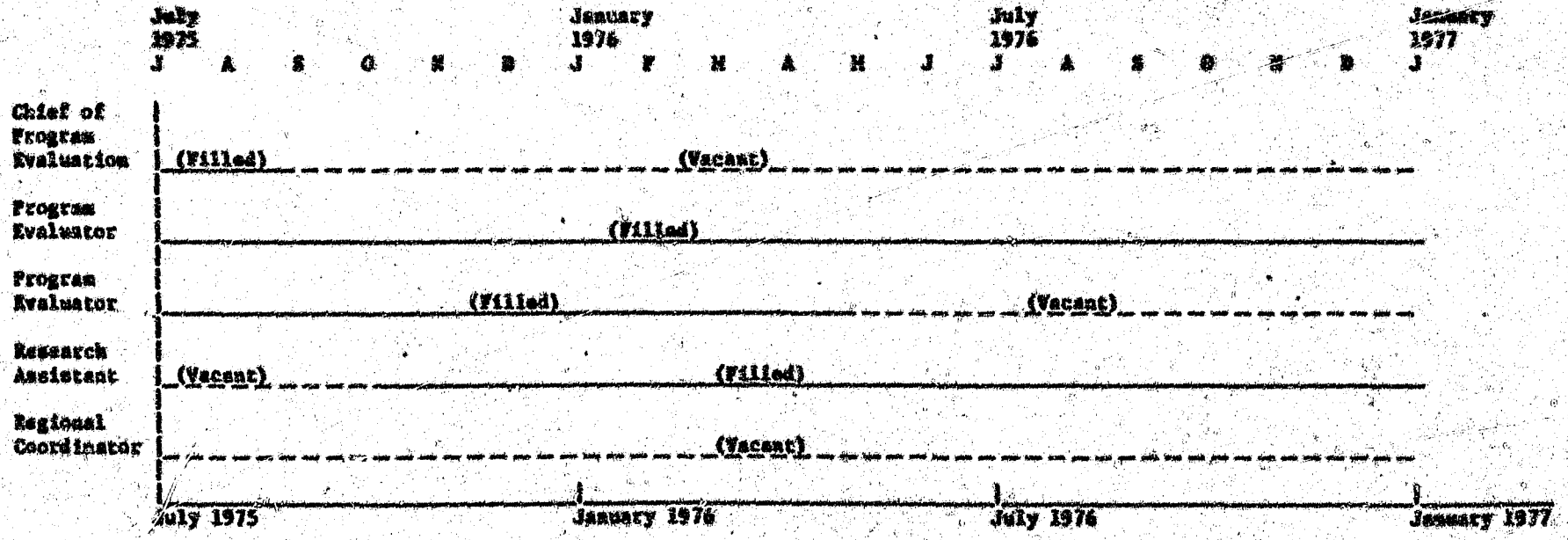

FIGURE 5: STAFFING SITUATION DURING FIRST ONE-AND-A-HALF YEARS OF THE TWO YEAR GRANT

The staffing and contracting experiences mean that the EMU was unable to mount the level of effort in program evaluation that it had planned. In fact, the resources going into developing program evaluation were much less than indicated. A significant part of the available manpower went into supporting State office planning and administration functions. During the two year period, MEP staff were involved in:

- preparing parts of the Comprehensive Plans;
- developing funding guidelines for the program categories in the 1977 Comprehensive Plan;
- reviewing subgrant applications;
- dealing with several project evaluations for which the EMU was responsible;[1] and
- serving as trouble-shooter, advisor or liaison on issues that came up related to evaluation or information systems.

These efforts were undertaken on an ad hoc basis--the situation would arise and the EMU would respond. Staff involvement in these activities was always seen as contributing experience and information necessary to do program evaluation. However, in most cases, the efforts were judged to be non-productive for MEP purposes, and involvement would eventually be phased down.

During January-February 1977 (a year-and-a-half into the MEP project), the EMU was able to bring staff on to fill vacancies. It kept the people it had and added three persons. By this time EMU had moved away from the Phase I-II strategy and was developing a new approach to evaluation (see page 32).

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1. The Evaluation and Monitoring Unit monitored subgrants to State agencies.

2. STEP II: PROGRAM EVALUATION
—PHASE I

Two Phase I program evaluations were attempted during the first year of the grant (July 1975-June 1976). At the end of that period, serious difficulties in the Phase I concept had surfaced, and EMU was rethinking the type of evaluation it wanted to move toward.

The work on program evaluation in the first year covered:

- selection of areas for program evaluation;
- Phase I on "Alternatives to Juvenile Incarceration," and
- Phase I on "Citizen Involvement: Anti-Victimization."

a. Selection

Selection of areas for program evaluation was a decision to be made by the Executive Director following recommendations by the EMU. The EMU planned to base its recommendations, in part, on the following information:

- a survey of GJC staff and Regional Office staff, asking for their recommended priorities,
- whether or not an area is a priority of the Pennsylvania Committee on Standards and Goals;
- whether a NILECJ National Evaluation Program study was available to capitalize on; and
- the current and expected funding levels for the program.

At the start of the MEP grant, prior to the survey, one area was chosen, "alternatives to juvenile incarceration," since it was acknowledged to be a high priority in the State. The survey was carried out and analyzed during August-September 1975. Following that survey, citizen involvement was selected as a second area for Phase I evaluation. This area, called "anti-victimization prevention" in the survey, scored high

on headquarter's responses, but not at all on regional responses. Both headquarters and Regional Offices gave "alternatives to incarceration for juveniles" highest priority.

After a decision was made to go with two program areas, a program evaluator was assigned responsibility for each. Selection of additional areas for program evaluation was to await the appointment of an Executive Director and adoption of new planning priorities by the Supervisory Board.

b. Phase I Activity and Results

EMU saw the Phase Is as a set of activities to be carried out and a set of products to be produced. The specific methods and tools needed to do a Phase I were to be developed as they went along. Attachment A shows a milestone chart prepared for the juvenile Phase I--25 objectives to be achieved over a 9 month period. Six of the first seven activities were attempted. The results were not as expected, and did not enable subsequent tasks to be undertaken. The steps involved and the problems encountered in doing a Phase I are described below.

The two Phase Is were carried out independently and involved different activities. However, there appears to be several types of activity common to both:

- Reviews of literature and evaluations carried out to extract information on the "State-of-the-Art" in the program area. Reviews were expected to yield or result in indicators, typologies, issues, and project models.
- Site visits to projects to help develop realistic measures of activity and impact.

The common activities represent attempts to use existing research and evaluations, augmented by site visits, to develop information about

the definition and operation of project types, and to begin to identify indicators of activity and impact. In both attempts, this work did not yield the expected products. The literature proved to be difficult to abstract; the staff was not able to develop a method for extracting and synthesizing information. In the juvenile area, a piece was developed from the literature which described several types of programs that were alternatives to incarceration. This piece was used in the Pennsylvania Juvenile Justice and Delinquency Prevention Act Comprehensive Plan Supplement. On the whole, reviews of the literature were not considered by EMU staff to be productive.

In addition to these common activities, the "Citizen Involvement: Anti-Victimization" Phase I included:

- reviewing existing subgrant files to create a typology of existing citizen involvement programs and a GJC project funding history for the area.

The "Alternatives to Juvenile Incarceration" Phase I included:

- an attempt to create an inventory of all community-based residential facilities in the State using State files;
- involvement in discussions with independent evaluators, subgrantees, and project management about the design of several promising project data systems and evaluations; and
- participation in GJC review of subgrant applications in the juvenile area.

Attempts to develop inventories, funding histories, etc. from existing GJC and State agency files proved to be difficult and have little payoff. Files were difficult to access, and the data they contained were not useful to creating typologies or histories.

In the juvenile area, the MEP staff worked with two GJC-funded projects operated by State agencies. These projects were viewed as vehicles for developing a "system-wide data collection and analysis capability" that might prove useful to program evaluation. Both these efforts were curtailed as the MEP staff decided that the two projects and their evaluation components were moving in a direction that would have no payoff to the MEP. The MEP was not able to use the two project evaluations to create the data base or data storage capability they had envisioned for doing program evaluation in the juvenile area.

The Phase I activity was, for the most part, carried out during the first nine months of the project, July 1975-March 1976. The program evaluator who was working on "citizen involvement" left shortly thereafter, thus ending work on that effort. The work on the "alternatives to juvenile incarceration" evolved into the EMU working with the GJC's Office of Juvenile Justice and Delinquency Prevention to develop an evaluation.

Without the Phase I evaluations, the other five steps in the MEP strategy had to be cancelled and a new strategy thought through. The post-Phase I efforts are described below.

3. A PERIOD OF TRANSITION

The curtailment of the Phase I-II strategy was followed by a period in which the EMU assessed their experience and responded to events and changes in their agency.

Between March 1976 and January 1977, the EMU was evolving a new evaluation strategy guided by their experience with the Phase Is and

events that were occurring within the Governor's Justice Commission. Below we briefly describe the EMU assessment of the Phase Is, the GJC events, and the MEP staff activity. Section 4 describes the strategy they adopted and began to implement during the last six months of the MEP (January-June 1977).

a. Lessons EMU Derived from Phase I

EMU staff identified five major problems that contributed to the failure of the Phase I effort.

- There was no Chief of Program Evaluation for most of the grant period. Without that slot filled, there was no one available with sufficient time to guide the effort and protect the staff from outside requests to do non-MEP tasks.
- Staff was inexperienced in doing evaluation. They worked independently on different programs; it would have been better to concentrate all staff on one area.
- Historically, there had been a lack of program planning by the GJC. Consequently, the planners could not provide any information that EMU could use.
- The project evaluations did not yield information that was comparable or cumulative.
- Program evaluation was not feasible for most of the projects funded by the GJC.

The first two problems deal with how the MEP was organized and run. The last three deal with the environment in which the MEP operated. It was this environment which EMU felt was the most significant factor affecting its progress. The State Office had no history of planning and no programmatic review capability. The regions had the planning staff and most of the say over what got funded:

> The Regions have 90 percent of the projects and 80 percent of the dollars (Part C funds). The planners are out there (in the regions). . . . The power rests with the regions. We have no direct control over what they do. . . . There are about 700-800 projects a year running . . . (EMU staff)

Consequently there was no program structure over the projects that would facilitate evaluation design work.

After the Phase I effort, the EMU held that program evaluation on most Part C funded projects was not feasible, given the past and existing planning base and funding criteria. Program evaluation was said to be not feasible for three reasons. First, there is too much variation among projects and among objectives. Second, the evaluation budget is project based; the EMU does not control it. And finally, there is no commitment within the GJC and the regions to do program evaluation.

The EMU made the following conclusions about the feasibility of future program evaluation.

- Program evaluation might be feasible for Juvenile Justice and Delinquency Prevention (JJDP) Act funded projects. These projects were to be funded in February 1977. The GJC had issued funding guidelines which limited projects to two objectives; there was a budget for program evaluation; the agency controlled the funds and was committed to doing program evaluation.

- Program evaluation might be feasible on the money set aside in the 1977 Comprehensive Plan ($837,000) for Applied Research and Demonstration. There may be a number of projects funded with the same objective. Project funding decisions would be made in the Spring 1977.

- Program evaluation would not be feasible to do on the bulk of the Part C money until such time that the GJC set program priorities and funding guidelines that narrowed the focus (activity and objectives) of projects funded in Plan categories.

The EMU did not document or develop evidence to support the conclusions it reached.

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1. Removal of status offenders from secure correctional and detention facilities, and the separation of juvenile detainees from incarcerated adults.

b. Governor's Justice Commission Events

Throughout the course of the MEP, there was great uncertainty in the role, organization, functions, policies and purpose of the state planning agency. This uncertainty affected the MEP, since there was no clear cut GJC policy on program evaluation and GJC information requirements. The effect can be seen in an EMU-MEP quarterly report written in August 1976, early in the second year of the MEP:

> Plans are currently being made to request a grant adjustment for Pennsylvania's Model Evaluation Program. Given the major organizational and functional changes in the SPA, we will be realigning the evaluation system accordingly. We also anticipate grant extension.
>
> At this time, we cannot spell out what the new evaluation system will be; however, we are considering and proposing different options to the Executive Director. Plans will be tentative until (1) the new planning process is sketched out; (2) the new application processing and subgrant management procedures are spelled out; (3) the roles of the Regional Planning Councils are defined; and (4) the primary functions of the new Technical Assistance Division are delineated. The ways in which evaluation will interface with these other functions is being considered by the decision makers as they are developing the overall plans for the SPA.
>
> Although firm plans cannot be made, we do anticipate that (1) we will increase our interface with planning; (2) only a small number of independent project evaluations will be carried out for specific purposes; and (3) more emphasis will be put on program evaluation and indicator development.

Two of the events which affected EMU operations and plans were the absence of an Executive Director for a period of time, and the execution of a new GJC planning process.

Three months into the MEP project, the Executive Director of the agency resigned. Between October 1975 and April 1976, the position was vacant. The new Executive Director wanted to make the GJC a strong planning body, and he began to move in that direction.

During 1976, a planning process was undertaken by the GJC which EMU hoped would eventually lead to better plans and better program and project definitions. In June of 1976, the GJC Supervisor Board adopted new planning priorities identifying areas of funding. Although the priorities were general, this represented a new initiative for GJC in planning. The program priorities guided preparation of the 1977 Comprehensive Plan. Furthermore, Program Funding Guidelines were to be developed to better define and focus these priorities. These guidelines would be sent to potential subgrantees to assist them in writting applications. The guidelines covered such items as eligible activities, reporting and information requirements, selection criteria, etc. In-house teams were formed to produce the guidelines during October-December 1976. The guidelines were approved by the Supervisory Board in February 1977.

Throughout, the EMU participated in these efforts. EMU believed that the guidelines might form the basis for developing more specific indicators. It also hoped that this type of planning would lead to fewer priorities and project types, and to more Part C funded program areas amenable to program evaluation. The actual effect of the planning process on project selection, project design and program definition would not be known for some time.

c. MEP Staff Activities

The Phase I test ended around March 1976, and one program evaluator left EMU shortly there after. From this point the MEP project had two full-time people available. They spent their time between March 1976 and January 1977 in two types of activities:

(1) in support of agency functions such as:

- developing the 1977 Comprehensive Plan;
- grant application reviews;
- dealing with evaluation contracts on GJC projects, and
- participating in the development of funding guidelines.

(2) developing an RFP for a program evaluation of JJDP Act projects to be funded in 1977.

The RFP work followed an EMU decision to use the JJDP Act projects and evaluation budget to answer the question, "Is it feasible to do program evaluation?" During July-September 1976, EMU developed an RFP for a program evaluation contract. The contract funds were to be the JJDP Act evaluation set aside.

The RFP was for two types of contract: a three month "planning" contract and a fifteen month "evaluation" contract. The work activities and types of product expected were spelled out in the RFP (nine pages). The contractor was expected to develop program evaluation designs, monitoring system designs, automated data system designs under the planning contract.

The RFP was reviewed by the Executive Director and an in-house management committee. In November 1976, they decided that the RFP should not be let; the design work should be done by in-house staff. EMU would participate along with other GJC units. Staffing requirements were estimated and approved.

Work did not start right away. During October-December 1976, EMU staff and other GJC staff were involved in reviewing grant applications and in developing funding guidelines. The new in-house evaluation design process got underway in early 1977.

4. THE NEW MEP STRATEGY

The new strategy dealt with the 15 projects funded under the JJDP Act. During February and March of 1977, EMU identified five components or activities that made up their strategy:

A. Monitoring System Designs: Designing data elements for each of the 15 juvenile projects and establishing standard elements across projects.

B. Case Study Design: Design studies of the effect of juvenile projects on county juvenile justice systems.

C. Implementing the Monitoring System: Data flow will be done by contractor or in-house staff.

D. Implementing the Case Studies: Designs will be implemented by in-house staff or contractors.

E. Program Evaluation: Program evaluations will use the standard monitoring data and case studies.

The EMU is currently planning and developing these components.

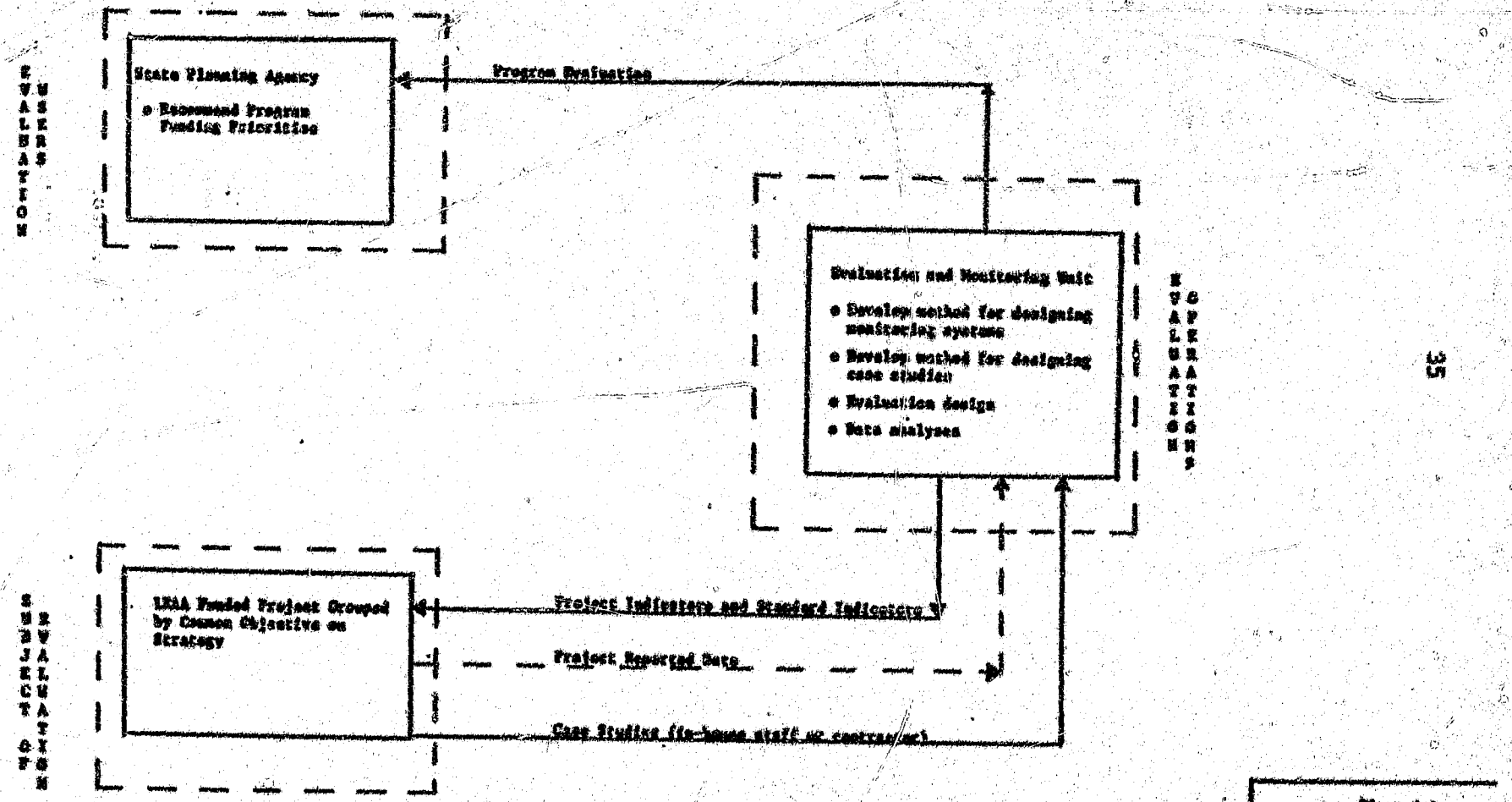
Figure 6 illustrates the type of evaluation system being tested. The EMU would design and manage two types of data flows:

(1) Data reported by the projects using standard indicators designed by EMU.

(2) Data collected by EMU or contractor on the effects of the project on the system (referred to as "case studies").

Both types of data would be combined in a program evaluation. As shown in the circle to the right, formal methods and processes would be developed by EMU for the staff to follow in designing monitoring systems and case

FIGURE 6: PENNSYLVANIA's PLANNED EVALUATION SYSTEM (July 1977)



studies. If the program evaluation on the juvenile projects turns out to be feasible, there still is an issue of whether it would be feasible on Part C funded projects.

IV. OUTCOME OF THE MEP

A. CONTINUATION ACTIVITIES

By the end of the second year of the grant, the Pennsylvania GJC had spent its first year MEP monies ($171,895), but not its second year monies ($89,207). GJC requested a one year extension to develop and implement its new strategy. The Law Enforcement Assistance Administration/NILECJ turned down the request and cited the following reasons:

- While the GJC staff had begun to carry out program evaluations, these activities were occurring without any reference to an overall plan for an evaluation system for the agency.
- The NILECJ could not support a grant which is still in the planning stage while the other MEP demonstration sites were finishing up.

As of July 1977, Pennsylvania was planning to continue development and implementation of its evaluation strategy using other sources of funds.

B. SUMMARY

The GJC Model Evaluation Project was unable to produce evaluation information during its two year grant period. Those MEP grantees that were able to do so had at least one of the following characteristics which were missing in the GJC grant:

(1) A supportive organizational environment which was able to provide guidance and information.

(2) An MEP project momentum which carried it through the activities necessary to turn out evaluation products.

The existing GJC environment was more disruptive than supportive to the MEP. In part, the original logic of the MEP was at fault. The MEP attempted to provide information to a planning effort and decision process which did not yet exist. In fact, the MEP expected its information product to help bring the new decision process into place. The planning and decision process actually in place disrupted this logic in three ways.

First was the absence of any demand for a product. The GJC had not yet defined the direction it wanted to go in planning. Therefore, the needs and expectations of evaluation users was always uncertain during the grant period. There was no pressure placed on the MEP by GJC policy makers for an evaluation product of any kind.

Second, the existing planning function did not provide the program structure on project information that EMU expected to find. The effort needed to make sense out of the 700-800 operating projects was much more difficult than anticipated. None of the ground work had been done by past GJC planning and evaluation efforts. The EMU staff were unable to lay this groundwork themselves.

Finally, the real decision process continuously drew resources away from the MEP. Staff were assigned to help carry out required GJC functions such as subgrant application reviews and preparation of comprehensive state plans.

One strategy might have been to ignore the GJC environment, since it was in a state of transition, and to concentrate on producing evaluation products. The MEP project never acquired the momentum to do this. Early attempts to extract and synthesize information from the literature, grant files, site visits . . . bogged down. The staff were continuously starting over. Without a set of reasonable on-going activities of its own,

the MEP became more vulnerable to requests that it help out on other agency functions.

The reaction of the EMU was to more and more focus its MEP efforts on the one area where it had a customer for evaluation--the GJC unit responsible for the Juvenile Justice and Delinquency Prevention Act funds. Here the GJC had control over the funds and had attempted to set up a program structure over its projects. As the MEP evolved during the two year period, it began to look like the evaluation arm for this office.

The EMU will lead an in-house GJC effort to develop program evaluation designs for the juvenile projects. The success of this effort and its transferability to other GJC subgrants will not be known for some time.

Attachment A

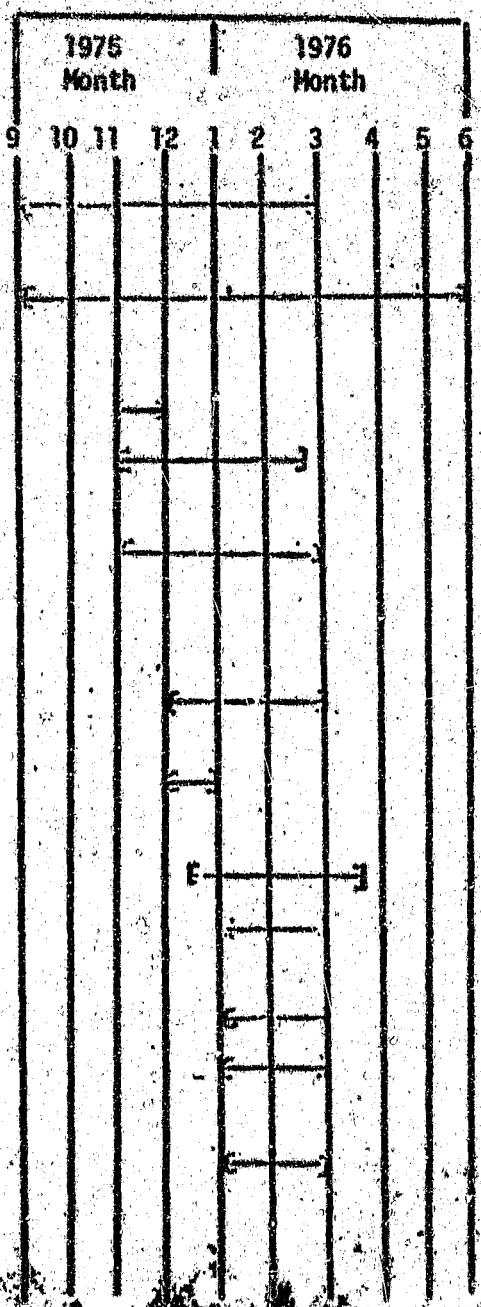
Milestone Chart for the Phase I
Program Evaluation of Alternatives
to Juvenile Incarceration

MILESTONE CHART FOR THE PHASE I PROGRAM EVALUATION OF ALTERNATIVES TO JUVENILE INCARCERATION

Goal:
Develop a modular design for the evaluation of alternatives to juvenile incarceration

Objectives:

1. Collect and distill existing data and research on alternatives to juvenile incarceration.
2. Participate in and contribute to the independent evaluation of the Bureau of Youth Services community-based programs, including the Warrendale Youth Development Center deployment.
3. Describe optimum program models for alternatives to secure detention.
4. Define impact objectives associated with alternatives to juvenile incarceration.
5. Stimulate the development and test application of new evaluation indicators by Governor's Justice Commission regional office staff, provider staff, independent evaluators, and contracted consultants on a project-by-project review basis, as well as by convening special conferences or consultations.
6. Develop standard methods for the analysis, interpretation, and display of evaluation indicator data.
7. Describe optimum program models for alternatives to the institutionalization of status offenders.
8. Describe optimum models for accomplishing specified impact objectives.
9. Use the "Evaluation Indicator Worksheet" to devise alternative strategies for the quantification of each impact objective.
10. Define factors which effect the efficiency of internal project processes.
11. Use the "Evaluation Indicator Worksheet" to devise alternative strategies for the quantification of each efficiency factor.
12. Describe optimum models for the efficient operation of specified internal project processes.



Objectives: (continued)

13. Develop methods for calculating baseline data values for each impact evaluation indicator proposed.

14. Develop the necessary interface mechanisms with Governor's Justice Commission Grant Management Information System and Office of Criminal Justice Statistics.

15. Contribute to and collaborate with the independent evaluation of the Center for Community Alternatives.

16. Develop standardized data collection formats and forms.

17. Define and develop methods to account for the impact of influential outside factors on alternatives to juvenile incarceration program types.

18. Develop standards and strategies for determining how evaluation indicator data should be used to advise project continuation decisions.

19. Develop standard procedures for auditing the validity of reported data.

20. Develop evaluation design packages for application on both a project component and program objective basis.

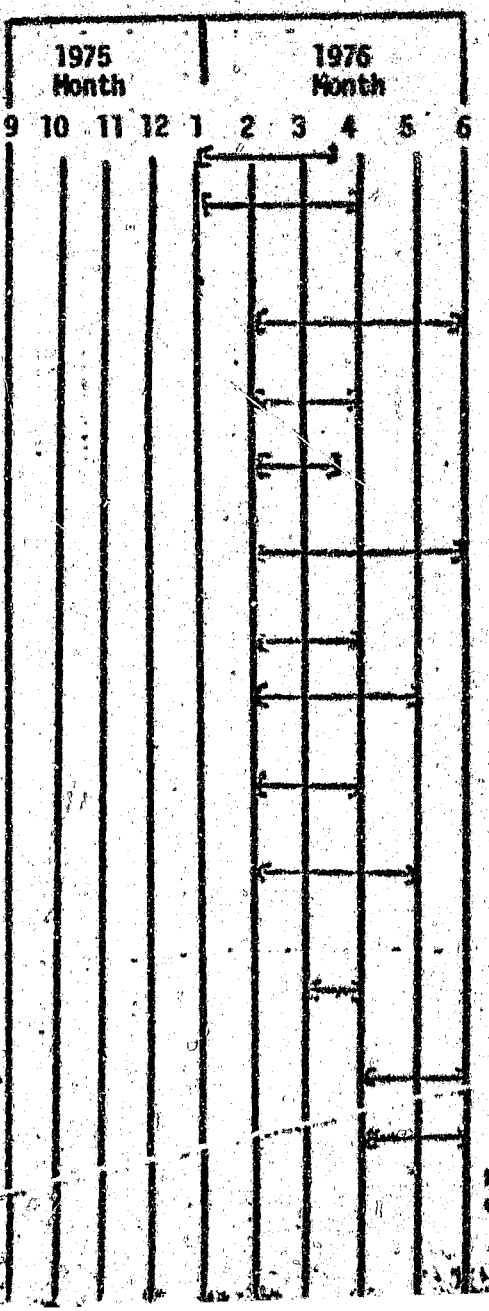
21. Provide for both a simulated and test application of evaluation design packages.

22. Condition all subgrants providing alternatives to juvenile incarceration on the incorporation of prescribed evaluation designs and the reporting of required data.

23. Develop standardized data management procedures for the storage, maintenance, processing, and reporting of data.

24. Publish a manual for the evaluation of alternatives to juvenile incarceration.

25. Conduct a workshop for Governor's Justice Commission regional staff on the use of published Governor's Justice Commission evaluation designs.



AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE ALAMEDA (CALIFORNIA) REGIONAL CRIMINAL JUSTICE PLANNING BOARD

by
John D. Waller
John W. Scanlon
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I. INTRODUCTION AND SUMMARY

The Alameda Regional Criminal Justice Planning Board is the Regional Planning Unit (RPU) for the Law Enforcement Assistance Administration (LEAA) grants serving Alameda County, California. The County includes the cities of Oakland and Berkeley, and several suburban communities of the San Francisco Bay area.

With the Model Evaluation Project (MEP) grant, the Alameda RPU expected to demonstrate the feasibility and value of evaluations of a particular type for local criminal justice agencies. As initially envisioned, the evaluations would involve:

- an assessment of the impact of selected innovative projects on a given problem in relation to other projects with similar goals and to the more traditional institutionalized approaches to the problem, and
- the development of a cost effectiveness analysis of selected innovative projects in comparison to the cost effectiveness of more traditional institutionalized programs for addressing similar problems.

The studies were to be performed on an in-house basis under the direction of the RPU research staff, with extensive interaction among components of the local criminal justice system. The MEP grant provided the funds necessary to obtain and support the in-house staff.

With the available MEP funds, a series of studies were conducted in two areas of the criminal justice system: juvenile justice and adult pre-trial services and detention. Existing organizations and committees were identified or created, and used as customers and sources of guidance for the

studies. This involvement of users in the evaluation activity is one of the unique aspects of the Alameda Project. Other unique aspects were the scope of the studies undertaken and the relationship of the studies to controversial local issues. These aspects resulted in a level of interest in, and reaction to, the studies significantly higher than for many other MEP grantees.

Several of the planned studies were completed during the MEP grant period and used in subsequent policy and management deliberations and decisions by local criminal justice agencies. Portions of the planned analyses could not be completed, however, with available resources or within the projected time.

Several impacts can be associated with the studies that were conducted with MEP funds. In the juvenile justice area, program modifications and initiatives can be attributed to the studies. Also, the local reaction was uniformly positive to the process of involving users in the design, oversight and interpretation of the studies.

The adult pre-trial studies affected local decision processes and decisions. Following delivery of the report on detention facilities, extensive review and debate of the study occurred. Local criminal justice personnel and citizens cited the study as extending the debates on the detention facilities and affecting the eventual decisions. A study of pre-trial services resulted in reorganization and modification of the services.

The studies proved to be quite expensive to complete and created extensive controversy. Several studies started under the MEP were completed with RPU funds, but future studies of a similar type are not

contemplated. Furthermore, the positions of the staff who performed the studies are not being continued.

Financial, feasibility and practicality reasons have been cited for not continuing the MEP activities. While the MEP was underway, the RPU experienced significant budget cuts that necessitated a nearly 50 percent staff reduction and reduced the possibility of continuing the tested type of evaluation at the same funding level. However, several members of the local evaluation and policy-making community believe that the MEP effort demonstrates that the feasibility of performing impact evaluations is low and the risk of failure is too great to warrant the expenditure. Questions were also raised by members of the RPU staff and policy-making board as to whether it was practical for the RPU to conduct studies covering activities not funded by LEAA. It was thought that there might be a conflict in the role of evaluating local criminal justice agencies' activities and having representatives of the agencies on the policy board of the RPU. However, the last reason was discounted by the RPU director and several board members. Yet, the evaluations clearly caused some resentments in the agencies whose representatives are on the RPU policy board.

The next three chapters describe what the RPU attempted to accomplish and the experiences encountered.

II. ALAMEDA EVALUATION APPROACHES AND RATIONALE

The Alameda RPU applied for an MEP grant in order to complement an existing evaluation system and remedy deficiencies that had been identified in that system. As the MEP grant was implemented, two distinct approaches to evaluation evolved.

A. RATIONALE FOR THE ALAMEDA MODEL EVALUATION PROGRAM PROJECT

Prior to the start of the MEP, the RPU annually expended on the order of $160,000 for evaluation and monitoring, and had an in-house staff of seven working on evaluations. The evaluations conducted by the RPU staff fell into two categories:

- "Normal level" which included monthly reports on the status of a project in implementing planned activities, and two major reports --an interim and a final evaluation report--on the extent to which planned activities were implemented. Those series of reports tended to focus on project processes and immediate outcomes.
- Intensive evaluations--"Certain projects are selected for intensive evaluation which is primarily aimed at determining goals and achievements. At times, complex research methods are employed such as pre- and post-testing and control groups."[1]

After several years of operation with this sytem--with the production of nearly 60 reports--the following deficiencies were identified:

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1. Alameda Regional Criminal Justice Planning Board Model Evaluation Program Grant Application, June 1975.

- LEAA funded projects had not been compared to non-LEAA funded approaches for effectiveness in achieving similar objectives.
- Evaluations had not examined the cost effectiveness of LEAA supported projects in comparison to one another or the traditional criminal justice system approaches.
- The designs of individual project evaluations were consistently compromised due to insufficient evaluation resources. Only a few projects had been able to utilize control groups or pre/post research designs to scientifically validate impact. Consequently, most evaluations consisted of descriptions of the activities funded through the projects.

An MEP grant was applied to obtain staff to conduct a series of demonstration studies that would temporarily eliminate these deficiencies. If the demonstration studies were judged useful, then it was presumed funds could be obtained to continue to meet the need for these types of study.

By resolving the above three types of deficiency in the existing evaluation system, the RPU Planning Board expected to create:

- a basis for assessing the impact of past funding decisions and for the planning of future allocations of LEAA funds; and
- information that could be used to motivate changes in the criminal justice system independent of LEAA funding.

Shortly after the MEP grant was initiated, the Executive Director of the RPU proposed to the Board that future evaluations be handled through contractors instead of an in-house staff. He claimed that the in-house staff tended to be given other tasks by the Board which deviated attention from the evaluations and that, through contracts, skills could be obtained that could be tailored better to each specific evaluation. These decisions were not made on the basis of MEP experiences, but served to change the evaluation system that the MEP was to complement.

By the time the MEP was completed, funds to operate the RPU had been reduced to the point that an in-house evaluation staff could not be supported.

Thus, the question of continuing the MEP type studies had become somewhat of a mute issue.

B. EVALUATION SYSTEMS

The Alameda RPU conducted two sets of evaluation that explored two different approaches to evaluation. One set consisted of juvenile justice studies, and the other involved studies of adult pre-trial services and detention needs. Both sets of studies were performed by in-house study teams, but differed in approach to involvement of the users of information and in the degree of definition of issues to be evaluated. The differences are sufficient to characterize two separate evaluation systems, one referred to as the Juvenile Justice System, and the other as the Pre-trial System. These systems are given schematically in Figures 1 and 2, respectively, and described here in terms of what was evaluated, who used them, and how the evalaution activities were performed.

1. USES AND USERS

The primary user of the Juvenile Justice studies was a special Juvenile Justice Task Force established by the RPU to develop a model Juvenile Justice System in Alameda County. The primary user of the Pre-trial studies was the Board of Supervisors of Alameda County. The Board of Supervisors was in the process of making decisions on the future configuration and operation of pre-trial services and detention facilities. Each set of studies experienced additional users and uses.

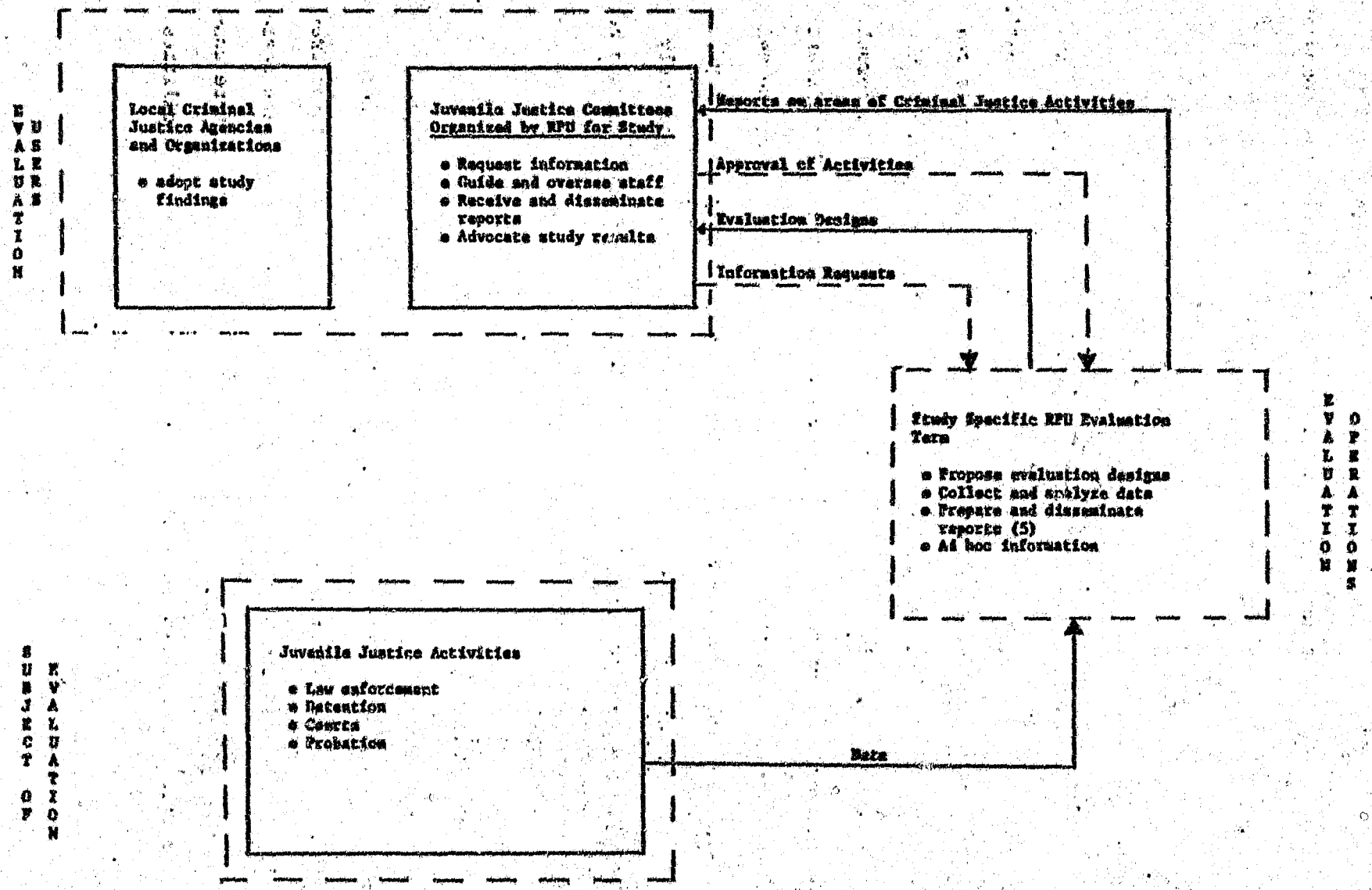


FIGURE 1: ALAMEDA RPU EVALUATION SYSTEM FOR THE JUVENILE JUSTICE STUDIES

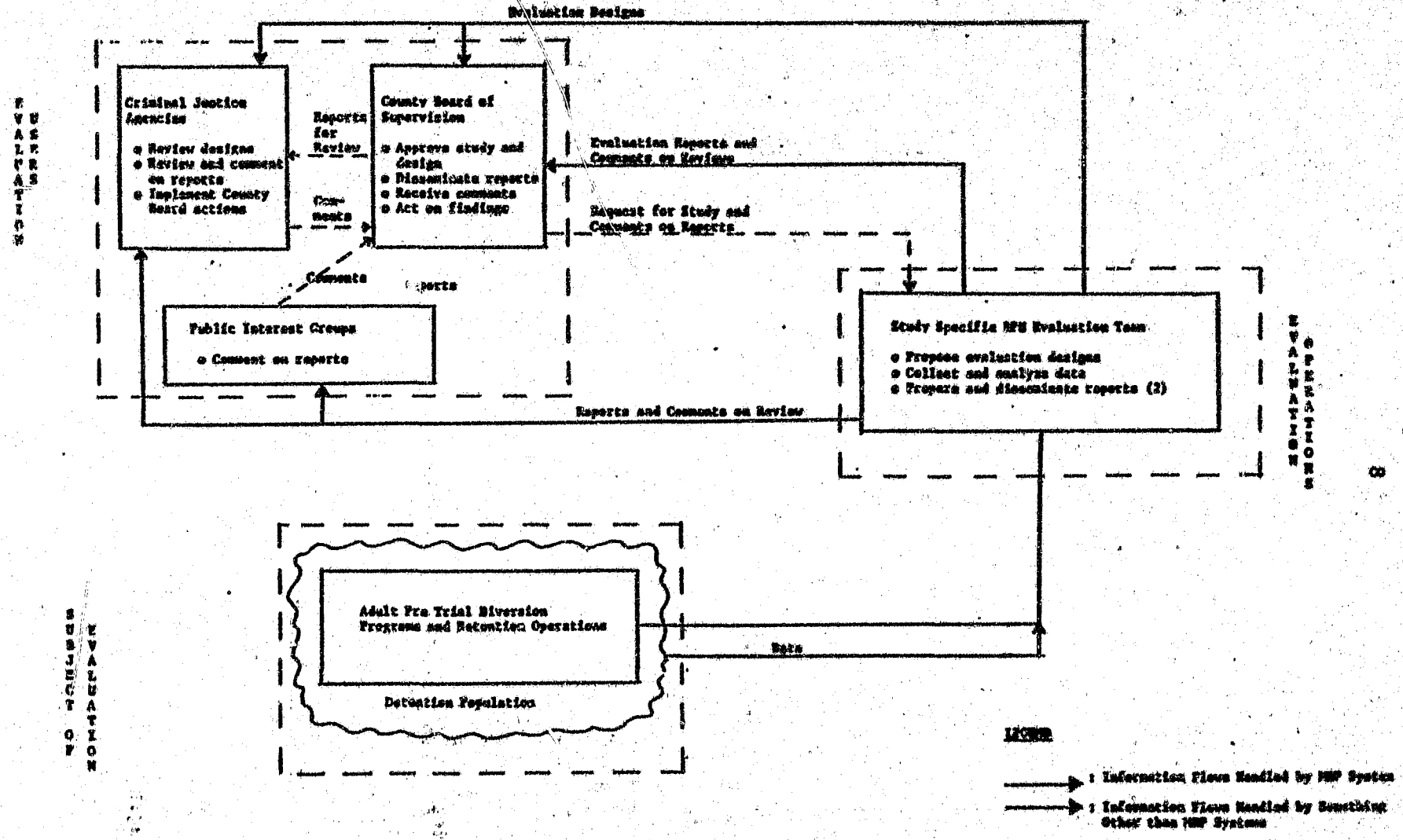


FIGURE 2: ALAMEDA RPU EVALUATION SYSTEM FOR THE ADULT PRE-TRIAL DIVERSION AND DETENTION OPERATIONS

a. Juvenile Justice System

The Juvenile Justice Task Force created by the RPU Board had no statutory authority. The Task Force was composed of local criminal justice personnel and public members. It was established by the RPU Board to study the Juvenile Justice System, develop recommendations for future system operations, and attempt to have the recommendations adopted. The Task Force would not implement changes directly in the Juvenile Justice System; it had to convince others to adopt its recommendations. In some cases a Task Force member was a manager or policy maker in a criminal justice agency and could adopt some recommendations on his own.

An in-house staff, partially funded by the MEP grant, was established to conduct studies and evaluations in support of the Task Force. The Task Force met monthly to provide direction and oversight to the staff, reviewed products, made decisions on whether to adopt staff studies, and promulgated recommendations based on the studies. The evaluation studies are the materials with which the Task Force worked to lobby for change.

The local agencies that actually fund or operate the juvenile justice activities are the subsequent users of the evaluation studies. The Task Force and evaluators utilized several means to involve the agencies in the use of the studies:

- transmittal of studies and recommendations to the agencies;
- meetings with agency personnel, Task Force members and the evaluators; and
- involvement in the study as the subject of evaluation or provider of data.

The agency uses included:

- modifying the operation of evaluated activities;
- supporting planning and funding activities; and
- development of grant applications.

b. Pre-trial Studies

The County Board of Supervisors was the official user of the Pre-trial studies. Decisions were pending on the size and configuration of a pre-trial detention facility and questions had been raised on whether changes in the management of pre-trial services should be made. In contrast with the Juvenile Justice Task Force, the County Board was a statutory body that could directly order the adoption of study findings. Also, the County Board made decisions on the entire range of County services; whereas the Task Force was restricted to the subject of the studies.

The County Board:

- authorized the RPU to conduct the studies;
- approved the evaluation designs;
- received the product;
- requested County agencies and the public to comment on the studies; and
- held public hearings and subsequently adopted decisions affecting the operation of the activities evaluated.

As the various County agencies and public groups commented on the studies and eventually implemented County Board actions, they became secondary users of the studies. While these users are secondary to the Board, they are actually the groups that became most involved in the use of the studies. They examined the studies in detail, took positions, and used the studies in developing modifications to operations they affect.

The completed Juvenile Justice and Pre-trial evaluation studies were disseminated to criminal justice agencies, educational institutions, and the general public by request and through various publication techniques available to the RPU. Included in the latter are: summaries of the studies in the RPU's newsletters; press releases; and public appearances by the analysts. Users in this category were not expected to take

specific action related to the study, but were expected to incorporate it into their general knowledge base.

2. WHAT IS EVALUATED

The activities evaluated included those funded by LEAA and those funded from state and local sources. The activities comprised a component of the criminal justice system involving "innovative" and traditional approaches to a common problem. It was anticipated that the "innovative" approaches would be associated with LEAA funded projects, and the "traditional" with locally funded activities.

a. Juvenile Justice Studies

The Juvenile Justice studies were to cover all aspects of juvenile justice, running from prevention through law enforcement and courts to detention and alternative services. The studies were not initially focused on some specific decisions or issues; the charter of the Task Force was to study the area and make recommendations to improve it.

The studies that were conducted focused on activities covering a specific type of juvenile service, for example, the juvenile law enforcement practices of the communities in Alameda County, or the operation of the County juvenile pre-trial detention facilities. The studies did not focus on specific LEAA funded projects; on the contrary, a study would cover all activities and projects in a given part of juvenile justice.

b. Pre-trial Studies

The Pre-trial studies were initiated to help resolve the issue of what effect do, or could, pre-trial services that are in alternatives

to detention have on the pre-trial detention population. The information was to be used in decisions on the future configuration of pre-trial services and detention facilities. These issues determined the focus of the study.

Several existing pre-trial services were operated with LEAA grants as innovative alternatives to detention. Other services were traditional activities associated with the processing of a person between arrest and court disposition of the case. Portions of the studies focused on these distinct services as separate evaluations, and the results were utilized in a summary assessment of the pre-trial system and detention options.

3. ORGANIZATION OF THE EVALUATION FUNCTION

The evaluation functions were performed by an RPU in-house staff. The functions included:

- Recommending to the RPU director and policy board what should be evaluated.
- Developing designs for the studies and obtaining concurrence in the design from the local agencies, organizations or committees designated as users.
- Collecting data from existing records and generating raw data through interviews, observations and data collection.
- Analyzing the data and preparing reports.
- Disseminating the study results by the publication of reports and the making of presentations to agencies and organizations.
- Assuring utilization by assisting designated users develop follow-up courses of action.

While the general functions were similar on both sets of studies, differences in the role of users on each study affected how the functions were organized and performed.

a. Juvenile Justice Task Force

The Task Force formed subcommittees which worked quite closely with the respective juvenile justice studies. The subcommittees proposed issues they would like studied and responded to proposals by the staff. Evaluation designs were developed by the staff, presented to the subcommittee, discussed, modified and one eventually adopted. Several of the subcommittees became actively involved in the design process and monitored their implementation. Study reports were reviewed, modified, and adopted in a similar manner.

b. Pre-trial Studies

In the Pre-trial studies, the County Board did not become directly involved in the evaluation process. An evaluation design was presented to the Board and approved by them and they received the final reports.

There were, however, County agencies and various statutory committees that were involved in implementing study results, were the subject of evaluation, or reviewed the studies for the County Board. The RPU evaluation staff consulted with these groups as the evaluation designs were developed, finalized and implemented. Unlike the County Board or Juvenile Justice Task Force decisions, the input of these groups were not binding. They were not given continual access to study results, nor did they hold periodic reviews of study progress.

In summary, in the Juvenile Justice system, the evaluators acted as an in-house staff for the user. Whereas in the Pre-trial system, the situation was more similar to the case where an evaluation is performed by a contractor.

III. ALAMEDA's STRATEGY DEVELOPING AND TESTING THE EVALUATION SYSTEM

The Alameda RPU attempted to extend the existing evaluation system by using MEP funds to conduct several studies of a specific type to demonstrate the feasibility and value of the extended system.

A. STRATEGY STEPS AND EXPECTATIONS

In the initial MEP grant application, the proposed strategy for resolving the evaluation deficiencies described in Chapter II was to:

- make more funds available for the selected project evaluations; and
- perform a new type of evaluation (multi-project with comparison between traditional and non-traditional criminal justice activities).

Since the RPU was committed and satisfied with the procedure of using in-house staff for conducting evaluations, the practice was to be expanded and continued with the new evaluation activities to be supported by the MEP.

The amount of MEP funds originally requested by the RPU was based on the plan to provide additional staff to augment the existing "selected project evaluation" activities, and perform the new type of studies. When the actual MEP award turned out to be less than requested, the RPU focused funds on obtaining staff to perform the new type of evaluations. The MEP grant to Alameda was for $143,873, which was to support at least 36 person-months in-house staff.

The Alameda MEP project eventually funded was divided into two parts that correspond to the two major components of the criminal justice system that were studied: the juvenile justice system and adult pre-trial services. The studies were conducted by separate research teams, used somewhat different methods, and encountered different problems.

The Alameda strategy for developing and conducting the new types of evaluation, as planned and as implemented with MEP funds, involved four major steps for each set of studies:

- Select components of the criminal justice system to be studied.
- Establish study teams tailored to the components to be studied.
- Involve the expected users in the study.
- Complete a series of demonstration studies.

If the demonstration studies were considered useful, it was expected that this same sequence of steps would be repeated periodically as the evaluation process was institutionalized. Explicit criteria for success or future funding sources were never developed.

In the MEP grant application, the RPU proposed to conduct studies that would include a comparison of "traditional" and "innovative" approaches to criminal justice practices and problems. Specific criteria for what constituted the two types of approaches were not given, but it was implied that the innovative would be those approaches recently introduced in the County with LEAA funds. Traditional would cover those activities operated with local funds and which predate LEAA. Specific study areas were not given in the proposal and the initial step of the grant was to select appropriate study topics.

The selection of the areas to be studied was to precede the staff selection in order to tailor a study team to the activity to be evaluated. In selecting personnel, the research staff director of the RPU wanted to create study teams composed of persons with research experience, and persons with experience as criminal justice practitioners in the areas being studied. It was hoped that by having the two points of view represented on the team, the resulting study would be made more reflective of practitioners' needs, and yet reflect the rigor of experimental design work.

The identification of existing agencies, organizations and committees, or the establishment of such as the primary customers for a study, and the involvement of them in the study, was to be an integral part of the evaluation approach being demonstrated. The user groups were expected to oversee the evaluation effort, have input to it, and become users or advocates of study results. As the project proceeded, the user involvement became stronger with the Juvenile Justice studies than with the pretrial studies.

The demonstration studies were to be performed by the evaluation staff of the RPU. In performing the studies, the evaluators acted as the staff of the groups identified as the users for the study or as contractors to the groups. The staff proposed study designs, then asked for the concurrence of the users. Once agreement was reached, the staff collected and analyzed the data and prepared a report for the users and for general dissemination.

As discussed next, the evaluation staff was able to initiate several studies. But the efforts quickly expanded beyond what could be performed within existing resources and time limits.

B. MEP EXPERIENCES

The expectations and experiences of the Alameda MEP project are summarized in Tables 1 and 2. The symbols "+," "-," and "0" are used in the tables to indicate:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, completed or producing intended effect.
- "-": Not attempted, or few instances of achieving intended effects.

Table 2 and the following discussion provide the rationale for the indicators by summarizing the degree of success achieved, major problems encountered in implementing the components, and the significance of the outcome on the evaluation system and demonstration efforts.

1. SELECT COMPONENTS OF THE CRIMINAL JUSTICE SYSTEM

After reviewing potential study areas, the RPU staff recommended that the MEP resources be used to:

- expand and continue a set of studies already underway in the juvenile justice area; and
- assume responsibility and expand a study that the county government had decided to undertake in the area of adult pretrial diversion.

The studies of juvenile justice activities had been initiated a year earlier in response to requests from local agencies and officials for information that could be used as a basis for defining (and implementing) a model juvenile justice system. The study being performed by the RPU Research and Planning Unit was divided into a sequence of components covering different aspects of the handling of juveniles. One component of the study, law enforcement, had been completed, and work in the area of detention initiated.

TABLE 1: ALAMEDA MEP STRATEGY

Component	Expected Result	Continuing Role
I. Select component of criminal justice system to study.	Planning Board to select (two to three) areas with "traditional" and "innovative" approaches to similar problems (+)	Occur periodically (0)
II. Establish study team.	Teams formed with skills (research and subject area) tailored to area of study (+)	Reconstituted around core staff to fit new study areas (0)
III. Involve expected users in study development and execution.	Utilize existing or ad hoc committees/organizations to oversee and facilitate use of study efforts. (+)	Committee/organization created or identified to fit study area (0)
IV. Complete a series of demonstration studies.	Studies (with certain characteristics) in two topic areas to be completed in one year (-)	Similar study activity to continue (0)

Legend:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, completed or producing intended effect.
- "-": Not attempted, or few instances of achieving intended effects.

TABLE 2: EXPERIENCE WITH THE DEVELOPMENT AND DEMONSTRATION STRATEGY

	Degree of Success	Problems Encountered	Significance
I. Select component of criminal justice system to study.	(+) Two areas selected: juvenile justice and pre-trial diversion. Studies already underway or proposed in response to community interest.	None	Pressure for studies motivated completion and use, but also caused several modifications in original design.
II. Establish study team.	(+) Study teams of researchers and criminal justice practitioners formed— o some skill limitations and o diverse perspective not maintained.	No major ones	Several products not completed on time; some methodological problems. Staff changes were necessary.
III. Involve expected users (agencies and citizens) in study.	(+) For Juvenile Justice Studies: Ad hoc committees formed that reviewed, redirected (somewhat), and used studies to motivate changes in criminal justice system.	Committee members required time for education and interaction, and broadened the study scope to the point where portions could not be completed.	Committee's commitment to product increased, but topic area became too large to complete study on time.
	For Adult Pre-trial Studies: County Board and County agencies approved research design, and used studies in decision-making process on pre-trial services and facilities. Existing organizations assumed "user/reviewer" role.	Users adopted a reactive role.	Methodological differences surfaced after report distributed and used to attempt to discredit report.
	• Extensive disagreements on methodology not addressed or resolved during the study.	Time limitations did not permit extensive pre-publication review.	
	• Pressure exerted to produce study without originally planned reviews.		

TABLE 2: EXPERIENCE WITH THE DEVELOPMENT AND DEMONSTRATION STRATEGY (Cont'd.)

	Degree of Success	Problems Encountered	Significance
IV. Conduct studies.	(-) Sufficient information produced on questions posed for study to focus public debate and action on areas studied. Many issues identified for study not covered. Several products not produced on time. Little of the planned comparison of traditional innovative methods. Little of the planned use of analysis techniques beyond documentation of activities and outcomes.	Data collection problems (quality and access) reduced available analysis time and resources. Areas too broad for study in available time and with available resources. Analysis and report preparation limitations of staff.	Studies were used and associated with changes in the local criminal justice system. Portions of study not completed. Much data unused.

Legend:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, completed or producing intended effect.
- "-": Not attempted, or few instances of achieving intended effects.

The adult pre-trial studies were being done in response to a need to estimate the impact on the jail population of the recently reorganized pre-trial services activities. The estimate was needed to provide information for decisions to be made on the size and number of new jail facilities to be built in the County. A plan for a new central jail and a satellite jail had been formulated and was being considered by the County Board of Supervisors.

Both topic areas contained opportunities to compare "traditional" and "innovative" methods and develop new cost estimation techniques. They also satisfied additional criteria developed during the selection period concerning: probability the information would have impact in policy or procedural changes; recognized need exists for the evaluation; the effort could build on existing research and evaluation; and the evaluation is realistic within the constraints of available staff, time and supporting resources. As noted below, the last criterion was not effectively applied. The number of studies projected could not be completed within available time and resource constraints.

2. ESTABLISH TAILORED STUDY TEAMS

The evaluations were to be performed by in-house teams tailored to the area of study. Two teams were formed under the combined direction of the director of the RPU's Planning and Research Unit. The juvenile justice team consisted of: one researcher, one probation officer on leave from the Probation Department, and one former youth worker and planner with the RPU. Additional part-time staff and interns were used as needed. In general, the researcher and probation officer worked as a team, and the former youth worker had independent responsibilities. The head of the Planning and

Research Unit claimed that the expected differences of perspective between researcher and practitioner did not occur to give the exchanges and trade-offs of ideas that had been hoped for. He said it became necessary for him to adopt a "devil's advocate" role to better challenge proposals and results. The primary reason cited for this turn of events was the personalities of the staff.

The Adult Pre-trial Diversion Study team had a similar mix of professional talents represented. After some initial work developing descriptions of pre-trial services, it was decided that one of the practitioners could not effectively contribute to the analytic efforts, and work on that component was terminated.

Figure 3 summarizes the staff resources utilized on the two studies and the tasks performed. The MEP provided $143,873, the majority of which was used to support 54 months of professional staff time, and 16 months of intern and part-time staff time. The Juvenile Justice Study utilized 35 MEP professional staff person-months, and the Adult Pre-trial Study utilized 29 MEP professional staff person-months. The MEP personnel resources were nearly matched with 47 person-months of professional staff time, and 12 person-months of part-time and intern time supported with OCJP funds. In total, the Juvenile Justice studies utilized at least 53 person-months of professional staff time, and 10 person-months of intern and part-time staff time. The Adult Pre-trial studies utilized at least 27 professional and 18 part-time and intern person-months. It is estimated that the total cost for the two sets of studies was approximately $270,000.[1] The actual costs may be

1. Estimate derived by extrapolating the MEP grant by the ratio of total professional person-months to professional person-months attributed to MEP in Figure 2.

FIGURE 3: STAFF RESOURCES USED FOR TWO MEP RELATED STUDY EFFORTS

Position	Duration of Involvement	Approximate Time (Manmonths) Expended Using: MEP Funds	OCJP* Funds	Tasks
Research Coordinator Variable level of involvement between one-fourth and full-time	September 1974-June 1977	—	21	Overseeing entire effort. Reviewing workplans, progress and products of staff. Interact with potential users of study results, local officials and staff of activities studied. Complete final products of study effort with majority of effort on Juvenile Justice studies.
Research Staff:				
• Juvenile Study:				
—2 full-time positions	September 1974-June 1976	24	18	Design, data collection, analysis, report writing and follow-up
—1 full-time position	August 1975-June 1976	11		Design, data collection, analysis, report writing and follow-up
—1 part-time position	July 1976-June 1977	—	6	Analysis, report writing and follow-up
—Periodic use of 1 or 2 part-time persons or interns	July 1976-June 1977	—	4	Data collection
• Adult Corrections Study:				
—2 full-time positions	September 1975-June 1976	12	8 —	Design, data collection, analysis, and report writing
—1 full-time position	September 1975-March 1976	7		
—1-5 part-time positions	September 1975-June 1976	10	2	Data collection and analysis
—6 data clerks	April 1976-June 1976	6	—	Data collection

*OCJP = Office of Criminal Justice Planning
Small amount in contracts for computer support.
Total MEP Budget: $143,873 for expenditures from July 1, 1976 until June 31, 1977.
Total positions budgeted: four full-time, plus part-time and interns.

even higher, since the Research Coordinator completed the last two Juvenile Justice studies during weekends and evenings after leaving OCJP to assume employment at another agency.

As the work on the studies was completed, the staff left the OCJP or assumed non-evaluation duties within OCJP. None of the study teams were continued and none have been reformed. One of the professionals on the Adult Pre-trial studies assumed a position as a consultant to the County government in order to complete tasks started but not completed as part of the MEP study. The juvenile probation officer returned to his previous assignment with the Probation Department.

3. INVOLVE DESIGNATED USERS IN THE STUDY EFFORTS

The two sets of studies involved different types of users and different relationships between users and evaluators.

a. Different Types of Users

The principal structural differences between the two sets of users were:

- The Juvenile Justice committees were ad hoc and created solely for the study, whereas the Pre-trial Study users already existed and had statutory responsibilities and authorities.
- The Juvenile Justice committees became advocates for the study results, whereas the Pre-trial group could take actions directly to alter the criminal justice system.

For the Juvenile Justice studies, a committee was established by the RPU to study the local Juvenile Justice system. The committee was composed of representatives from local agencies, advocate groups and the public at large. The committee took responsibility for delivering a report to the

RPU Board and local community that would provide information to guide the development of a model Juvenile Justice system. When the study was separated into components, subcommittees were formed to work with the component study activities. The committee had no statutory standing, but was able to arrange for agencies and statutory committees to take responsibility for follow-up on study findings, and presented study results to agencies and statutory committees for action on them.

The Adult Pre-trial studies were performed for and under the direction of organizations that existed prior to the study activity. The official user who authorized the series of studies and directed action on the study results was the County Board of Supervisors. The Board was supported in the use role by the County Executive's office and the division of Pre-trial Services of the Probation Department. Two committees with statutory and advisory responsibilities in the area were also designated as customers for the studies. The County Executive's office assumed responsibility for coordinating the follow-up on the report, and implementing actions approved by the County Board.

b. Different Types of Involvement

The working relationship between the evaluation staff and users was much more involved for the juvenile studies than for the pre-trial studies. The Juvenile Justice committee or sub-committees met regularly --usually monthly--to review the progress of the study and, often, to redirect certain activities, and add or delete questions to be addressed. The committee reviewed all products, sponsored public hearings on the reports and, after review and debate, took a position on each report.

The positions frequently were in the form of a general endorsement and recommendations that specific follow-up actions occur within the local criminal justice community. The recommendations were then presented to the appropriate agency or organization for implementing the action. In some cases, members of the committees that were representatives of a criminal justice agency could utilize study results in their own agency.

By incorporating a definite set of users into the juvenile justice study process, the RPU increased the interest and commitment of the users to the study. The users had a mechanism to guide and assume ownership of the study. When reports were completed, a user was ready to motivate action on them.

The RPU management and the study team identified several problems with the involvement, however. Chief among the problems were the resources consumed, and the tendency to broaden the scope of the study efforts. Many of the Juvenile Justice Committee members were not familiar with the activities being studied, and had to be "educated" by the study staff. The committee also identified new questions to be explored and additional data sources to be utilized as the study proceeded. This tended to divert the staff from the original plan and delay schedules. The studies became so broad that several components could not be completed on time.

In the case of the Adult Pre-trial studies, the evaluation staff negotiated the general scope of the study with the Pre-trial Services division of the Probation Department and the County Executive's Office. In developing a detailed study design, the study team interviewed staff from those offices, took into consideration study proposals developed by those offices, and circulated the final design to them and the two committees

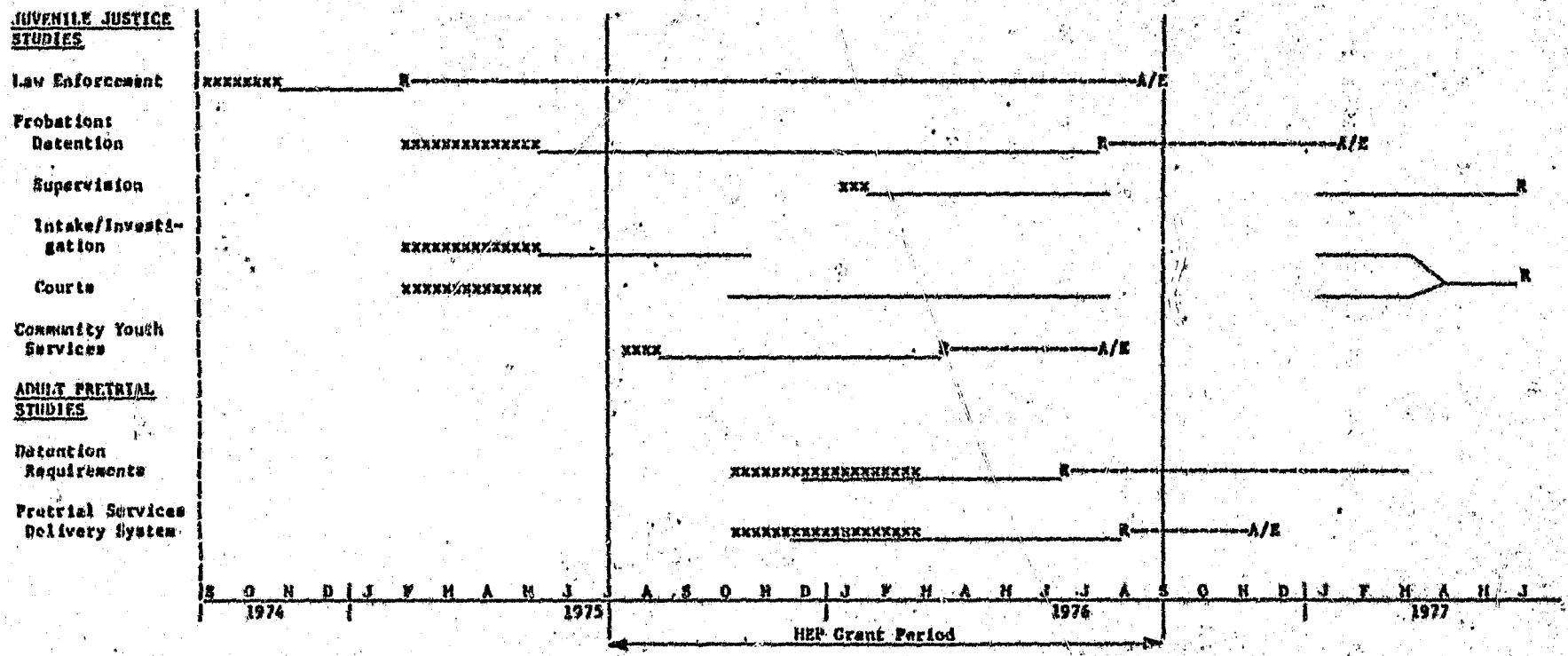
involved in pre-trial services. Approval of the design was required from the County Administrator and County Board before proceeding with the work. As the study proceeded, the two offices were briefed on the progress, and proposed modifications were presented to them for approval. While the offices tended to go along with most of the study team's suggestions, they rejected several proposals and provided definite guidance. For example, they refused to let the study completion date slip, even though it meant abandoning some of the planned analyses and study production activities. The final reports were delivered to the County Board through a public hearing. The County Administrator was assigned responsibility for coordinating the subsequent review of the document by other agencies, and the development of follow-up plans to act on the study findings.

While the day to day involvement of the Pre-trial Study users was less than for the juvenile studies, it did serve to get their endorsement of the study and commitment to act on the study results. When the County Board approved the study, a commitment to receive the results and review them through public hearings and staff work was established. Also, by obtaining approval of the study design, the study team had the backing of the users for obtaining data to analyze the approved issues. However, data access problems were still encountered.

4. CONDUCT OF THE STUDIES

The two sets of studies had distinct organizations and schedules, designs, data collection and analysis, results and dissemination procedures. The major components of the two sets of studies and the schedule followed in performing them are summarized in Figure 4.

FIGURE 4: SCHEDULE FOR THE MAJOR COMPONENTS OF THE MEP STUDIES



Legend: xxxxx: Design activities
_____: Data collection and analysis activities
R: Report
------: Dissemination and review
A/E: Actions taken or endorsements made of report

a. Organization and Schedule

As the juvenile justice work evolved, it was organized into component studies corresponding to different portions of the juvenile justice system. The six major components examined were:

- Law Enforcement;
- Probation Intake Investigation;
- Probation Detention;
- Probation Supervision;
- Court; and
- Community Youth Services.

Other aspects of the juvenile justice world were examined briefly during the course of the study, but did not result in reports.

The juvenile justice studies were initiated prior to receipt of the MEP grant, and extended well beyond the grant. The study of juvenile justice law enforcement practices was completed before the initiation of the MEP work, but the follow-up actions on the report stretched throughout the funded period. One additional report--on community youth services--was completed and disseminated prior to termination of the MEP funding. By the end of the MEP grant period, a third report has been produced--on detention. Reports on three other component studies--probation supervision, intake and investigation, and courts--were completed with RPU funds after MEP funding was exhausted. The data for the studies were collected during the period of MEP funding, and initial draft reports were prepared. However, time and resources precluded completion of the drafts prior to the termination of the MEP grant.

The Adult Pre-trial studies resulted in two reports performed within the period of MEP funding. Initially only one report had been projected but, due to pressures from the County Administrator to deliver on or about the promised date information on the pre-trial detention needs, work was

split into two reports. One report addressed the jail size options when the performance of the pre-trial diversion activities are taken into consideration. The other study addressed the performance of the pre-trial services division of the Probation Department.

b. Study Designs, Data and Analysis

The bulk of the material in the reports in both sets of studies was descriptive. Qualitative discussions on the composition of various organizations and activities were provided, along with the statistics on the types and levels of service provided. There were some analyses of activities and the immediate outcomes of the activities, in terms of pre/post comparisons relative to the creation of a new service mechanism or among organizations with similar functions. The results of these analyses served to document whether: (1) changes had occurred in an activity and in the output of the activity through time; and (2) there were inequities in the practices and results of various organizations serving similar populations. The studies did not emphasize a comparison of "traditional" and "innovative" approaches to similar problems, or develop new cost analysis techniques.

(1) Pre-trial Studies: The design work for the Pre-trial studies was guided by the existence of specific decisions to be made and issues to be resolved. The County Board was to make a decision on the size and configuration of proposed pre-trial detention facilities. Considerable study had been done on various detention options, but an information gap was acknowledged to exist on the potential effect of the recently reorganized pre-trial services on the detention population and configuration needs.

The OCJP Board proposed to fill the information gap and was authorized to do so by the County Board.

The evaluation study team subsequently developed a set of questions to be answered and proposed data collection and analyses for answering them. The set was developed with input from the Pre-trial Services division of the County Probation Department, and was reviewed by County agencies and committees associated with pre-trial detention and services. In subsequent Urban Institute interviews with representatives of the County Board, County Executive's office, Probation Department, and judicial committees, it was agreed that they had had an opportunity to review and have input to the study design. The involvement decreased, however, as the studies proceeded.

The study design was implemented by the MEP evaluation team utilizing existing data and creating new data by observation of operations and interviews. The operations of the pre-trial services were documented by tracing the flow of clients through the various processes. Court and Probation Department records on clients were sampled, and the operation of various activities, such as pre-trial screening, were observed.

The collected data were analyzed to determine what the effect of the pre-trial services was on the pre-trial population and potential detention configurations.

Major data collection and analysis problems were encountered when access to some court records was restricted, and inconsistencies were discovered in the records. These problems caused delay in the study schedule and eventually forced a reduction in the amount of data available.

(2) Juvenile Justice Studies: Unlike the Pre-trial studies, the Juvenile Justice studies were not initiated to help resolve a specific

decision or issue. The Juvenile Justice studies were conducted under the general mandate to produce information that could be used to help evolve a better juvenile justice system. In order to divide the overall study into manageable portions, the first design step was to focus activity on the major components of the juvenile justice process identified earlier. For each of these components, a subcommittee of the Juvenile Justice Task Force was formed and a study team established. The study team spent a few weeks to a few months interviewing personnel in the component of the juvenile justice system under study and reviewing materials. This effort would result in a list of issues to be studied and proposed methods of study. The appropriate committee would subsequently meet on the proposal and reach agreement on what was to be done. Once the questions to be answered and the general method of data collection and analysis to be followed were agreed to, the evaluation team proceeded to implement the agreement. The designs were summarized in memoranda developed by the staff, and endorsed by the Juvenile Justice Task Force and appropriate subcommittees.

The Juvenile Justice studies utilized data obtained from:

- existing criminal justice agency records;
- surveys of the agencies; and
- interviews of agency personnel.

Data collection did not extend to the tracking of individual clients through the system. The analysis focused on:

- documentation of existing practices and outcomes;
- identification of deviation of activities or outcomes from prescribed patterns; and
- identification of variations in activities and outcomes.

CONTINUED

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The deviations and variations identified were characterized as problems that should be resolved. Proposals for resolving most problems were prepared for review by the committee.

c. Dissemination

Both sets of studies resulted in a series of reports that were the primary means of disseminating study results. Public meetings, press coverage and meetings between study team members and criminal justice agency personnel also served to disseminate study results.

(1) Juvenile Justice Studies: The Juvenile Justice studies were prepared for use by the Juvenile Justice Committee established by the RPU. The Task Force and its subcommittees reviewed drafts of the reports, held public meetings on them, directed modifications, and eventually adopted them. During and after the adoption process, the reports were disseminated to criminal justice agencies and public groups involved in the area of study. The committee members and staff met with the agencies and groups to advocate and assist actions being taken that would reflect study findings and recommendations. An example of the dissemination process is provided by the Law Enforcement Study.

> The Law Enforcement Study contained a series of findings concerning the inequities among local police jurisdictions in such things as training for juvenile officers, arrest criteria and procedures, and record keeping. The Juvenile Justice Committee endorsed the findings and developed a set of recommendations of changes to remedy and identify problems. The report was sent to police departments in the County, the Juvenile Justice Officers Council, and the Chiefs of Police and Sheriffs Association to review and take whatever actions were feasible. Those groups held meetings and

> seminars on the report over a two year period. In a letter to the Juvenile Justice Committee staff at the end of the review period, the secretary of the Alameda County Chiefs of Police and Sheriffs Association noted that the Association was in agreement that 'a number of guidelines should be developed for presentation to each agency to act (on) as they see fit. Furthermore, several important steps have already occurred as a result of (the Juvenile Justice Committee) efforts and, hopefully, others will follow.'[1] Exactly what the 'steps' were was not specified. However, based on interviews with local officials, the steps included a limited number of changes in the arrest and record keeping procedures of local police departments.

In the Law Enforcement Study and the other studies, personnel on the Task Force or in the agencies being studied received results of the studies as developed. This allowed results to be utilized prior to inclusion in a report or adoption by the Task Force.

(2) Pre-trial Services Studies: The Pre-trial Services studies resulted in two reports:

- "An Assessment of Future Pre-trial Detention Requirements and of the Impact of Pre-trial Releases on Pre-trial Detention for Alameda County," and
- "An Evaluation of the Comprehensive Pre-trial Services Delivery System in Alameda County."

The dissemination process involved:

- Delivery of the report to the County Board during a public meeting. The delivery of the report was accompanied by a brief presentation to the Board.

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1. Letter to Bruce L. Kern, Planning Coordinator, Office of Criminal Justice Planning, Oakland, from Robert Wasserman, Secretary, Alameda County Chiefs of Police and Sheriffs Association, April 15, 1977.

- The Board directs the County Administrator to distribute the report to appropriate agencies, public groups and individuals for review and comment.
- Review and comment period includes meetings between RFU Evaluator and County personnel to answer questions, clarify issues, and provide additional information.
- County Administrator coordinates review and comment, and gives results for County Board.
- Public hearings and work session by County Board on the study reports and results of review and comment.

Once the detention report was delivered, public discussions of alternative detention facility configurations were quite intense. The report became part of these discussions, and extensive effort and controversy surrounded the review of the detention report. Various County agencies prepared lengthy critiques of the report. The authors participated in public meetings on the report. The Pre-trial Study report was much less controversial, and various County agencies worked together to evolve resolutions to the issues raised.

Use of both Adult Pre-trial Study reports involved decisions by the County Board. After several months of delay, decisions were reached on a particular detention facility configuration and a reorganization of the pre-trial services.

In summary, unlike many other MEP grantees, Alameda completed a series of studies that had impact on local decision processes, decisions and criminal justice system activities.

IV. OUTCOME OF THE MEP

Three types of outcome from the Alameda MEP activities are:

- user reaction to the experiences;
- continuing activities and effects;
- conclusions and findings applicable to other agencies.

A. USER REACTION

Users' reactions were obtained and documented to both the study process and the products of the studies.

1. REACTION TO STUDY PROCESS

The reactions to the study process were most positive for the Juvenile Justice Study process. Urban Institute personnel interviewed five representatives of the Task Force and subcommittees, and six representatives of the Juvenile Justice System. When interviewed, all expressed their endorsement of the study process. In particular, they identified the participatory method of using the committees to develop the study designs and results as clearly preferable to evaluators working independently. They claimed this to be a new experience for them, and one they would like to see continued.

The reactions to the study process of the Adult Pre-trial Services Project were quite positive during the early stages of the process. County

personnel interviewed (five) approved of the process, claimed they were adequately involved in the study design process, and stated satisfaction with the direction in which the study was proceeding. After publication of the Adult Pre-trial studies, negative opinions on the process were expressed. Statements of dissatisfaction of involvement of County personnel in decisions on changes in the study design and preliminary review of products were identified. County personnel claimed that the studies:

- had not covered important areas;
- had examined inappropriate issues; and
- not taken advantage of existing knowledge and information.

They attributed these results to the study team ignoring input from some sources and accepting it from others.

2. REACTION TO STUDY PRODUCTS

The reactions to study products are exhibited in personnel testimony and action associated with the products. Eleven persons were interviewed on the Juvenile Justice studies (five committee representatives and six criminal justice agency representatives). All persons interviewed were familiar with the study results and believed them to be useful.

The previous chapter identified the outcome of the Juvenile Justice Law Enforcement Study. Activities in the local criminal justice system associated with the other juvenile justice reports include:[1]

- Development and award of a grant for a Community Youth Services Project to cover an area of East Oakland identified in the study as having a need for such a project.

1. These activities and associations were identified by CCLP personnel and documents, and confirmed through Urban Institute interviews of local criminal justice agency personnel.

- Additional nurse practitioners to support Juvenile Hall during night shifts.
- Addition of Recreation Coordinator to the Probation Department staff.
- Modification of procedures of the Juvenile Intake Unit of the Probation Department to separate short-term and long-term detainees, and tailor detention program to each group.
- Grant to assess learning disabilities of juvenile detainees.
- Change in Probation Department group counselor classification system.

The Juvenile Justice Committee also developed recommended changes in the composition and responsibilities of the existing statutory committees in the County that interface with the juvenile justice system. The County Board of Supervisors accepted the recommendations for further study and future consideration.

Both the "Detention" and "Pretrial Service Program" reports generated considerable public discussion of the information presented. After presentation to the County Board of Supervisors, the County Administrator was instructed to have the various County agencies review the reports and present an assessment of them to the Board to support decisions by the Board on the issues raised.

In the case of the Detention report, the Board was committed to make a decision on new jail facilities for pre-trial detention. The questions to be decided involved the size and configuration of the facilities. After publication and review of the report, a decision was made that differed both from the position previously recommended by the County Administrator and the options given in the RPU's report. In taking positions on the decision, at least one Board member cited the RPU report as supporting material. In

general, local officials credited the RFU report with delaying and temporarily modifying the original proposal of the County for new jail facilities.

The "Pre-trial Services Program" was less controversial and did not involve a decision the County was committed to make. However, several local officials noted that nearly every agency administrator in the County was dissatisfied with the organizational structure that had been adopted for the pre-trial services program coordinator. The report of the RFU is credited with providing the catalyst for the County to scrap the old organizational structure and adopt a new one. While the new organizational structure did not reflect the recommendations of the RFU report directly, it did address the problems identified in the report. Also, some changes were made in the pre-trial services provided by the County.

B. CONTINUING ACTIVITIES AND EFFECTS

As indicated in Table 1, several aspects of the MEP funded activities were expected to continue into the future. However, beyond completion of the initiated studies, the activities will not continue. Once the remaining juvenile justice reports are completed, the entire staff that worked on the studies will have departed from the RFU. Most of the staff resigned with the end of MEP funding in July of 1976, and the remainder left as component studies were completed.

The decision not to continue the effort is primarily attributed to the lack of funds. The RFU staff had been reduced by approximately 50 percent during the MEP, and funds to continue the support of the MEP staff were not available.

However, the RPU management also adopted a policy change concerning who would conduct evaluations: in-house staff or contractor. Since 1975, the policy had been one of using in-house staff. However, the RPU Executive Director believes that the RPU Board placed too many information demands on the in-house evaluators, and they were constantly being diverted from their tasks. Since it had not been feasible to isolate sufficient time for the evaluation tasks when the evaluators were on the staff, the director decided to issue a contract for each study requested by the Board. The contract would isolate the evaluators from diversion to other tasks, and make explicit the resources being committed to evaluation.

Another reason cited in interviews with local personnel for the decision not to continue the type of evaluations attempted during the MEP was the controversy that was associated with the study results. The controversy was greatest in regard to the Pre-trial studies. The study methodology and the results were attacked in the press, public meetings, and in agency memoranda to the County Administrator and the authors.

While controversy surrounded the studies, changes in the local criminal justice system that are expected to have continuing effect can be associated with the conduct of the study. Juvenile justice agencies have modified these programs in areas where negative findings occurred, the Pre-trial Services Division of the Probation Department was reorganized, and a decision on the jail was made following extensive debate that involved the findings from the RPU studies.

In summary, the MEP supported activities do appear to have helped motivate a limited number of changes in the areas of juvenile justice and pre-trial detention in Alameda, and contributed to the local decision

process. The RPU staff also believes that several intangible benefits were achieved which will continue for some time. As listed in the Final Progress Report[1] for the MEP grant, these benefits include:

- the development of the capacity for future evaluations, self-assessment, and program development, e.g., data and data bases;
- the development of new techniques and evaluation methods;
- the involvement of criminal justice, County and community personnel, elected officials, and citizens in the systematic review of the performance of the criminal justice system;
- the creation of more awareness on the part of administrators of the interdependent nature between major agencies and community-based programs;
- the enhancement of the functions of County commissions and advisory commissions; and
- serving as a catalyst in mobilizing citizens' involvement and increasing their awareness of the performance of the criminal justice system.

The ultimate effects of such benefits have not been determined, but, at least by the RPU staff, they are considered critical in assessing the MEP effort.

C. SUMMARY AND CONCLUSIONS

The Alameda RPU conducted a series of evaluations that provide experiences that should be useful to other planning agencies. Among MEP grantees the Alameda Project is unique in terms of the:

- role of the user in the studies; and
- scope of the studies.

In terms of the user involvement, the Alameda MEP Project demonstrated two distinct approaches:

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1. Alameda Regional Criminal Justice Planning Board, Alameda County Model Evaluation Program Final Progress Report, January 1977.

- establishment of a committee representative of local criminal justice agencies to guide the study effort and utilize the results in attempting to motivate change in the local criminal justice agency; and
- taking responsibility of providing information to an existing decision-making body concerning an issue on which a controversial decision is pending.

The two approaches represent distinct methods of achieving demand and use for evaluations. They also were utilized on studies having different scopes and evaluation methodologies.

The "establishment of a committee" approach was utilized for evaluations aimed at identifying issues and creating change in a broad area of the criminal justice system. In Alameda County, there was local interest in improving the Juvenile Justice System. Dissatisfaction with the system was not focused on any particular crime, and no single decision-making body could be identified as a user of information on the system. To resolve this difficulty, the RPU created the committee to be an intermediate user and conducted evaluations to identify issues and permit the committee to motivate change.

The "provision of information to an existing user" approach was used in the case of the Adult Pre-trial studies. A set of specific issues were identified already through the public decision processes of the County Board. Some information was acknowledged to be lacking, and interest existed for obtaining it. The RPU took responsibility of providing the information. The resulting studies were more narrowly focused than the Juvenile Justice studies, and utilized a methodology that generated more new data than did the other studies. However, both sets of studies focused on analyses that provided descriptions of current activities and

immediate outcomes, and demonstrated the adequacy of such information for many local decisions.

The RPU also experimented with several other aspects of conducting an evaluation, for example, tailoring a study team to a topic area and utilizing a mix of methodological and criminal justice expertise on each team. The results on the team mix aspect were not conclusive.

The evaluations that were conducted were quite expensive and time consuming. This outcome can be traced in part to the wide range of activities, studies and the amount of data obtained. The involvement of users in the studies and the examination of controversial issues heightened this problem. However, as noted above, the involvement of users and controversial issues are associated with increased utility of results. Agencies conducting evaluations should tradeoff the effects to achieve a level of use within their resources.

Lastly, the Alameda RPU did not focus the evaluation resources on LEAA funded activities, or focus on supporting decision-making processes concerned primarily with the expenditure of LEAA funds. In so doing, they demonstrated that a market exists in criminal justice agencies for evaluation information independent of LEAA.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE ASSOCIATION OF CENTRAL OKLAHOMA GOVERNMENTS

by
John D. Weller
John W. Scanlon
Paul G. Walley

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I. INTRODUCTION AND SUMMARY

The Association of Central Oklahoma Governments (ACOG) is the Council of Governments (COG) for Oklahoma City and the surrounding communities. One of ACOG's functions is to act as the Regional Planning Unit (RPU) for the Law Enforcement Assistance Administration (LEAA) grants. It is in the capacity as an RPU that ACOG applied for and received a Model Evaluation Program (MEP) grant.

The purpose of ACOG's MEP grant was to develop, field test, and package for use by others a method of evaluation that would be useful for local government agencies. The work was to be performed by an in-house staff with consultant support.

With the MEP funds, the Association assembled a staff and carried through with its plan to produce an evaluation method. The method consists of a framework for defining objectives, measures, and analyses, and guidelines for using the framework to develop project specific evaluation designs. During the MEP grant period, the method was used to guide the performance of six project-level evaluations by the ACOG staff. Separate reports were prepared for each evaluation documenting the results obtained and the method as applied to a specific project. The field test experiences were used to develop a training manual to assist local agencies in conducting evaluations. Training sessions were to be given, but MEP grant time and resources were exhausted before training could be provided.

There is an organizational difference, however, between the evaluation method as implemented during the field test, and as originally envisioned or described in the training manual. The field test involved the evaluations being conducted by ACOG; whereas the documentation produced on the method indicates that local agencies would conduct the evaluations of the projects they were operating. Also, in the documentation produced on the method, it is assumed that the evaluation design and project design develop concurrently, and that special data recording procedures could be incorporated into the project. These conditions were not feasible during the MEP field test of the evaluation method. Due to lack of data and appropriate project activities, several types of analysis specified in the framework could not be utilized.

As the grant ended, ACOG attempted to secure funds to continue the program as tested, i.e. with Association staff collecting and analyzing data. Funds were not obtained, and the future use of the methodology is dependant on the local agencies adopting and implementing it. To date, that has not occurred.

Local criminal justice agency personnel claimed that the evaluations conducted during the field test were highly useful to them. But there were few instances of agencies using the evaluations to modify operations. This may be due, in part, to the fact that the evaluations used data already available to projects to document whether specific activities and outcomes occurred as planned. Such results were already generally known, and the documentation provided little basis for judgments on the significance of what did occur.

The following sections provide more details on the system ACOG attempted to develop, the development strategy followed, and the experiences encountered. The ACOG efforts demonstrate that evaluation methodologies can be developed and now exist that local criminal justice agencies will cooperate with and endorse. However, without additional funds, the local agencies are unlikely to utilize the evaluation methodology on their own.

II. EVALUATION SYSTEM DESIGN AND RATIONALE

The ACOG MEP project involves two evaluation systems: one that was tested during the MEP grant period, and an alternate system evolving out of the test plans and experiences. The two systems are indicated schematically in Figures 1 and 2 and are discussed below, along with the reasons for the development of them.

A. RATIONALE FOR THE EVALUATION SYSTEM

ACOG is viewed as a service agency established by local units of government to coordinate and plan activities that involve regional problems. Two of the major activities of the Association are:

- the development of plans for future growth within the central Oklahoma region, and
- the review and coordination of federally funded projects within the region.

Over the last several years, the Association has produced plans in the areas of regional parks, transportation, land use, environmental quality and criminal justice. Such plans presume the expenditure of local, state and federal resources by or through local units of government. The review and coordination of federally funded projects focus on the A-95 review process required by the federal level Office of Management and Budget (often referred to as the OMB A-95 review).

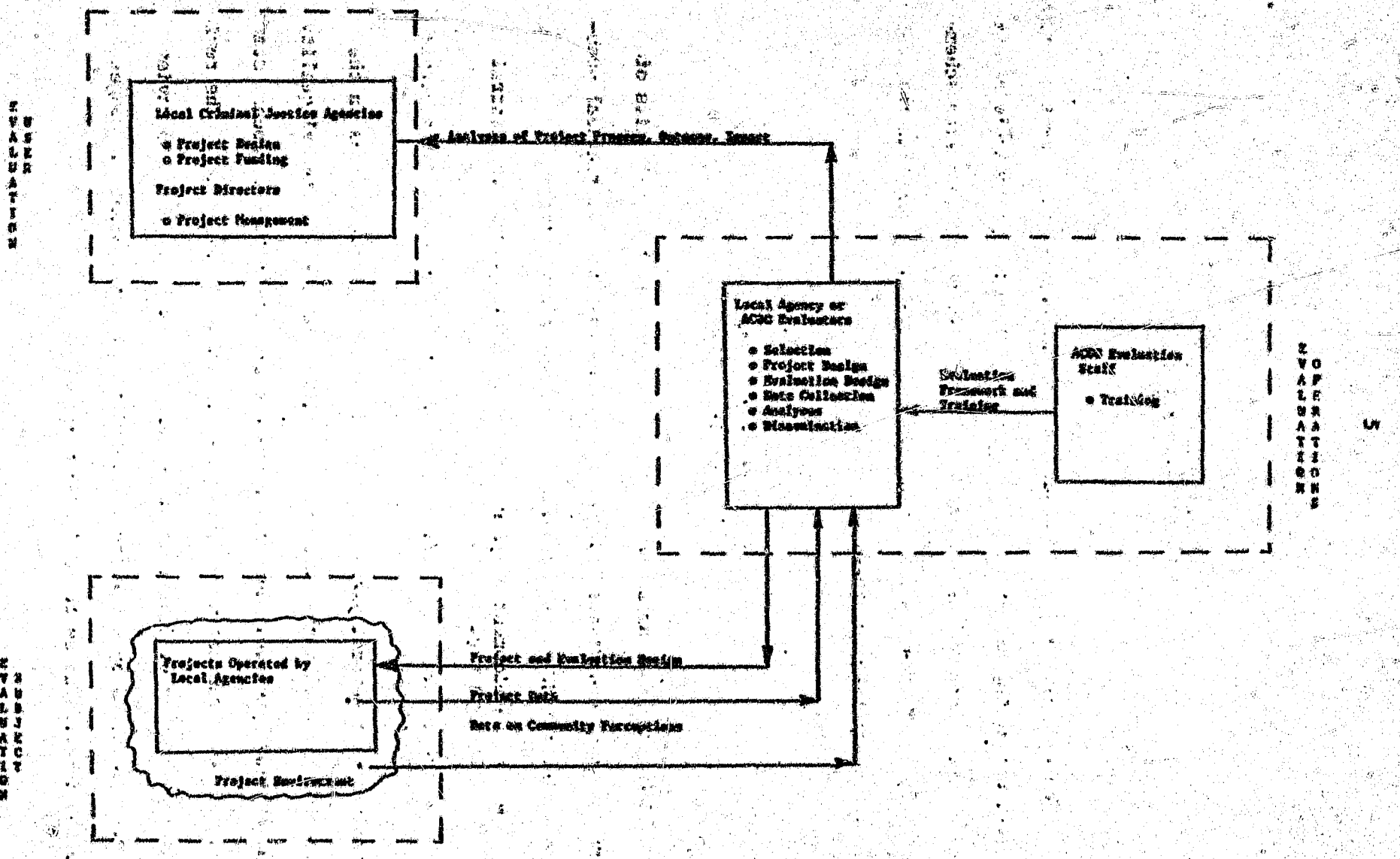

FIGURE 1: ACOG's PLANNED EVALUATION SYSTEM

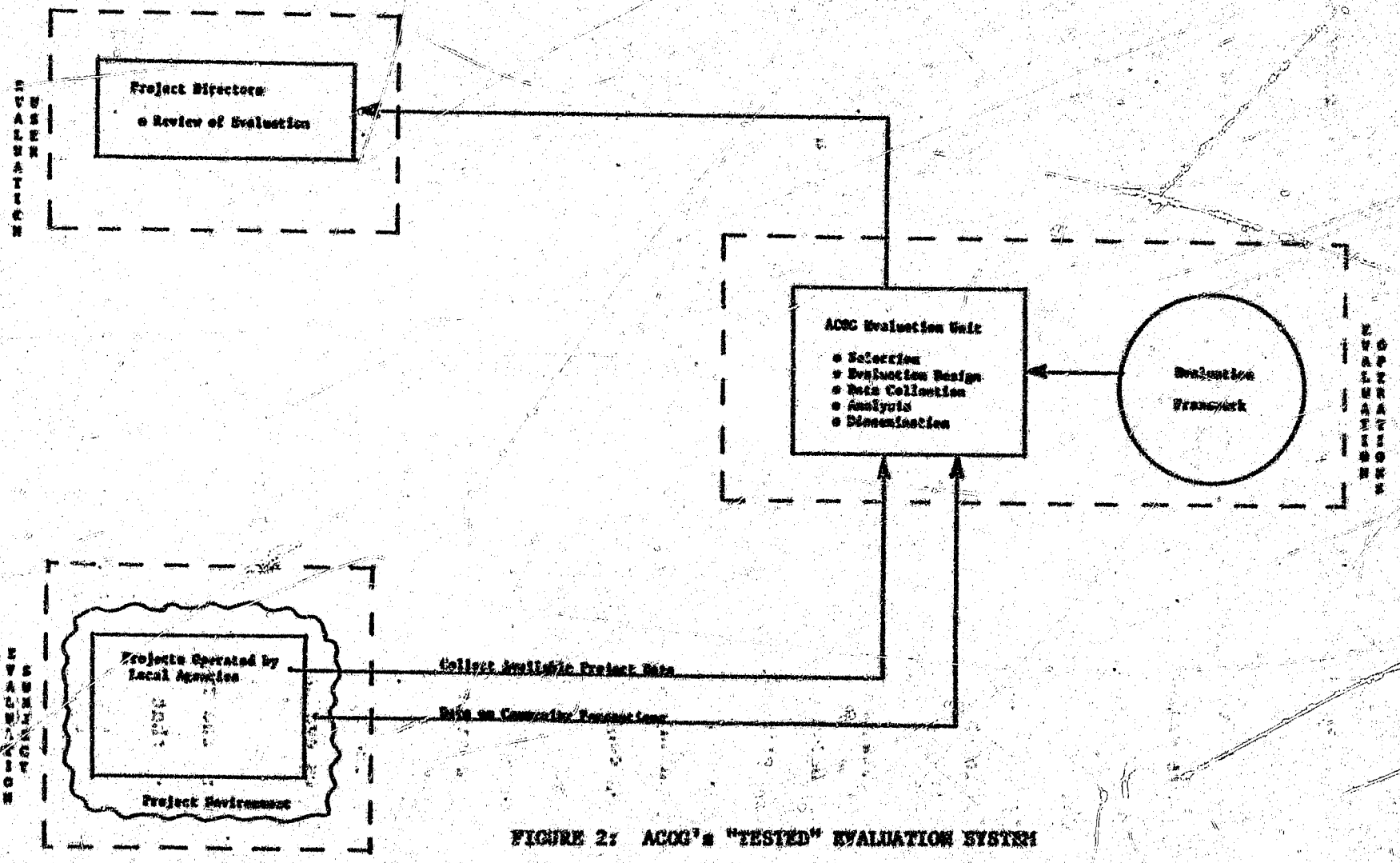

FIGURE 2: ACOG's "TESTED" EVALUATION SYSTEM

At the time of the MEP award, the criminal justice planning staff consisted of two full-time planners, two part-time interns, and a secretary. A Criminal Justice Advisory Committee (CJAC), composed of 55 members drawn from the courts, corrections, law enforcement agencies, public education and the general citizenry, acts as an advisor to the ACOG Board of Directors. CJAC reviews the ACOG staff work and grant applications for LEAA funds, then passes on recommendations concerning both to the staff, ACOG Director and the Board. The Board usually endorses the CJAC's recommendation on grant applications for LEAA funds, and forwards them to Oklahoma Crime Commission (OCC) for final action.

Based on interviews with local criminal justice managers and ACOG staff prior to the MEP, evaluation results were not available to support grant application reviews or planning functions conducted by ACOG. Either an evaluation being conducted was not completed by the time decisions were being considered, or no evaluation was being conducted. The lack of evaluation information was identified by staff and council members as a limitation on the extent to which grant applications could be fully reviewed, but no major problems in reaching decisions were identified at the ACOG level due to the lack of such information.

The OCC is the agency that actually awards the LEAA subgrants and places evaluation conditions on the award. OCC acts independently of ACOG and, in the past, has made decisions contrary to the recommendation of ACOG. During the two years prior to the MEP, the SPA had developed an evaluation policy that:

- required project evaluations to be conducted by or be arranged by the subgrantee on selected projects, and

- required a minimal set of data to be reported on each project using measures negotiated prior to grant award.

The first requirement resulted in approximately 20 to 30 evaluations per year conducted on a contract basis, and appears to have occurred without extensive resistance. The second requirement did meet with extensive resistance, and in the view of several local criminal justice personnel, was the reason for ACOG developing the MEP evaluation methodology. The OCC process required that the sub-grantee translate objectives, activities and costs into measures which would support the calculation of cost benefit ratios. Also, the applicant was to establish quarterly projections of expected activities and outcomes in terms of the measures.

Based on Urban Institute interviews with OCC staff and local criminal justice personnel, the OCC review of evaluation components of grant applications resulted in applicants frequently being asked to rewrite applications in order to develop acceptable objective and activity statements, measures, outcome projections, and baseline data. Satisfying this evaluation requirement of a grant was identified as a major problem in processing a grant. Reasons given by local criminal justice personnel for the dissatisfaction with the system were:

- Information requirements of the SPA were not consistent or could not be met.
- Information relative to the evaluation criteria eventually agreed to were of little value to local decision makers.
- Information from SPA evaluations was not provided back to the project personnel in a form or in a time frame that had value to them.

In summary, the local applicants claimed the process was a burden to them and they received no benefit from the SPA system.

Since they were being required to perform evaluations and provide evaluation results, the local agencies and ACOG decided to take the lead in developing an evaluation system that would be directly useful to them and help them satisfy state and local agencies information needs. In short, if they had to do it, they would do it in a way that would be useful to them. ACOG, being in the middle of the process and being interested in providing useful management tools to all of its members, undertook to develop an evaluation process that would satisfy state requirements and be useful to the local agencies.

B. EVALUATION SYSTEMS PROPOSED AND TESTED

As stated in the grant application,[1] "the primary purpose" in obtaining the MEP grant was "to establish evaluative capabilities within the Association of Central Governments." This was to "be accomplished through the design of an evaluation system capable of evaluating criminal justice and related activities at the local level." The proposal gives some characteristics of the evaluation system, several of which were deemphasized or disappeared as the proposal was implemented. Other characteristics were developed during the MEP and further modifications occurred in the documentation developed by ACOG to guide other agencies in the use of the system. From the various characteristics that have surfaced, two evaluation systems can be distinguished: one that is restricted to the elements tested during the MEP; and an alternate that incorporates modifications proposed before,

1. Association of Central Oklahoma Governments Modal Evaluation Program Grant Application, April 1975.

during or after the field test. The former is referred to as the "tested" system, the latter as the "proposed" system.

A major feature common to both systems is what will be evaluated; projects operating at the local government level and growing out of some process of applying for funds. In particular, the procedures for developing an evaluation design presume the existence of something similar to an LEA's grant application for a single site project.

The two systems differ on who will perform the evaluations, how they will be performed, and what information will be produced. These differences, and the common elements, are summarized in Table 1 and are discussed in the following.

1. USES AND USERS OF THE EVALUATION SYSTEM

In the original ACOG proposal for an MEP grant, during the field test, in documentation produced on the field test and in interviews with the ACOG staff, emphasis was always placed on providing evaluation information that would be useful to local and regional officials. A primary design criteria for the evaluation system cited by the ACOG staff was "it (the system) had to meet the needs of project directors, policy makers, and evaluators at the regional level."

The specific local users and uses emphasized varied through the history of the project.

- In the proposal, the emphasis was on the ACOG staff and Board of Directors using the system to create a "data base" on local criminal justice activities and performance that would support the planning and funding responsibilities of ACOG. Through the continual evaluation of funded projects, information was expected to be created for inclusion in the data base.

TABLE 1: EVALUATION ACTIVITIES WITH THE ACOG PROCESS

Activity	"Proposed" System	"Tested" System
Selection of What to Evaluate	By the project to be evaluated or a local sponsor of projects to produce information they will use to manage, redesign or secure funding for the activity	By ACOG, from set of volunteers, in order to test evaluation methodology on a representative set of projects
Design of Project Specific Evaluation	By the staff of the project or sponsor utilizing ACOG guidelines Performed as part of the project design process	By ACOG staff Performed after project was in operation
Data Collection	Project or sponsor will establish and utilize data recording procedures, extract data from existing sources, and conduct interviews of project personnel and local citizens.	ACOG staff depended on existing sources and conducted interviews of project personnel and community personnel
Analysis	By project staff using pre/post, planned versus actual achievement, and control group comparisons	By ACOG staff; [illegible] many analyses infeasible due to lack of data
Dissemination	To project staff and sponsors	To project [illegible] and [illegible] general education [illegible] members

- As the MEP project proceeded, creation of a data base was abandoned as a use, and emphasis was placed on providing information on the evaluated project that could be used by the project director or a person managing the project director in: managing the project; satisfying evaluation requirements placed on the project; and supporting future requests for funding. As discussed earlier, the desire to develop a method of satisfying requirements for evaluation, while producing information that could be used for managing a project, was given as the primary rationale for local support of the MEP project.

- In documentation produced on the evaluation system, emphasis was given to project level implementation and project utilization of information for project management and planning future project implementation.

Specific uses of evaluation information that did occur during the MEP grant period are:

- Project directors, or their supervisors, used the information to confirm that the project is performing satisfactorily, or to support a decision for change in project operations or associated recordkeeping.

- Project directors used the information to provide documentation to persons concerned with funding the projects. Those persons included the OCC and local officials; however, there is no evidence that the information was instrumental in making funding decisions.

In summary, as tested and eventually documented, the ACOG evaluation system assumes that the project director, or an immediate supervisor, is the primary user. The principal uses of information are in planning future project related activities and supplementing requests for support.

2. SUBJECT OF EVALUATION - WHAT IS EVALUATED

In both the "proposed" and "tested" systems, the evaluation is of locally operated activities and projects. The process for developing an evaluation design presumes that something similar to a grant application

exists which gives planned objectives, activities and costs. However, funding for the projects can be either local, state or federal, or some combination of these sources. During the field test of the system, five of the six evaluated projects were still receiving LEAA grants. A sixth project had been initiated through an LEAA grant, but at the time of the evaluation was operating with local funds as a unit of a police department.

3. EVALUATION OPERATIONS

The MEP activities of ACOG were expected to develop and test a type of evaluation that would be usable and useful for local agencies. The type of evaluation that was developed was derived from the evaluation methods given by Edward Suchman.[1] The ACOG adaption of the Suchman methods resulted in a framework for a general evaluation design that consists of three classes of objectives and five types of criteria (measures and analyses). These objective classes and criteria types are given in Tables 2 and 3, and described in detail in documents produced by ACOG.[2] During the field test, the framework was used to guide the development and use of project-specific evaluation designs. For future use of the framework, ACOG has developed training materials, guidelines and examples to assist in the development and use of project-specific designs.

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1. Edward A. Suchman. Evaluation Research: Principles and Practice in Public Service and Social Action Programs. New York: Russell Sage Foundation, 1967.

2. Technical Report: Community-Based Planning and Management of Evaluation. Oklahoma City, Oklahoma, The Association of Central Oklahoma Governments, September 1976.

TABLE 2: CLASSES OF OBJECTIVES IN ACOG's EVALUATION FRAMEWORK

Class of Objective	Definition	Example (Special Police Unit Project)
Immediate Objective	The activities that need to be accomplished before a project can start delivering services	• To retain personnel for Special Police Unit • To obtain equipment • To design record-keeping system
Intermediate Objective	The collection of activities by which the project is to impact the identified need, i.e., services provided	• To perform investigations of 70 burglaries • To clear 35-40 burglary offenses
Ultimate Objective	The end results to which all effort has been directed	• To decrease the value of property stolen due to burglary • To decrease the occurrence of burglary within the city

TABLE 3: EVALUATION CRITERIA IN ACOC's EVALUATION FRAMEWORK

Name of Criterion	Definition	Comparison Mode To Apply the Criterion
Measurement of Effort	Measure the amount of input into a project.	Actual effort versus planned effort
Measurement of Performance	Measure the results of the effort put forth.	Actual level of results versus expected level
Adequacy of Performance	Degree to which effective performance is adequate to the total need	Observed changes versus predicted changes
Efficiency of Performance	Cost of the project services divided by project impact (performance)	Project cost benefit versus cost benefit of alternative approach
Process Analysis	Identifying changes, internal or external to the project, which influenced service delivery and explains performance. Also identifying changes induced within a specified environment as a result of a project's activities.	Two or more different processes in terms of common outcome measures. Also, case study to estimate factors affecting an outcome.

During the field test, the ACOG staff used the framework to develop evaluation designs for projects that already were operating. In the guidelines for future use of the framework, the emphasis is on the use of the framework in both developing the project design and the evaluation design concurrently as part of the project planning process. Also, in the guidelines, it is presumed that the project will be selected for evaluation in order to satisfy some specific information needs of the project or local agencies. During the field test, projects were selected from volunteers to create a representative sample for testing and demonstrating the use of the framework.

During the field test, the ACOG staff extracted the objectives and measures from grant applications and verified them through interviews with project directors. They then collected data from existing records and through interviews with the project staff and by conducting public opinion surveys. It was a decision of the ACOG management that new data collection requirements could not be placed on the project. This data restriction prevented the MEP evaluations from testing the feasibility of many of the evaluation criteria given in the framework.

Collected data were tabulated without the aid of computers to support pre/post and planned versus achievement comparisons. The ACOG staff prepared draft reports, reviewed them with the staff of the evaluated projects, and incorporated comments into a final document that was distributed publically and provided to the evaluated project.

As described in the training manual produced by ACOG to guide local agencies in the use of the evaluation framework, the agencies would have to carry out the above evaluation design, data collection and analysis

steps, or arrange for someone to do so. The manual also emphasized that the agency would have to take action to ensure that data needed for the evaluation were produced as the project proceeded. During the field test, the ACDC evaluators depended on existing records routinely maintained by a project and, consequently, were unable to answer many of the questions included in their study designs.

III. ACOG's MEP STRATEGY— EXPECTATIONS AND EXPERIENCES

With the MEP grant, ACOG was attempting to perform a development and technology transfer function that would result in local agencies performing evaluations as a routine part of their management effort. The Association carried through with its development effort to the point where a framework had been packaged and partially field tested for use by other local criminal justice agencies. To date, however, little utilization of the framework has occurred, even though it has been endorsed by those agencies familiar with it.

A. ACOG's STRATEGY AND EXPECTATIONS

Five major steps characterize the ACOG strategy for developing and transferring an evaluation method:

(1) Establishing a study team for developmental test and transfer efforts.

(2) Development and use of a management plan for the MEP.

(3) Development of an evaluation framework.

(4) Field test of the framework.

(5) Packaging and transfer of the framework for use by other agencies.

Since ACOG did not have an evaluation staff, it was first necessary to obtain personnel to develop and field test a methodology. With MEP funds,

positions were created for three staff members, several interns, and a part-time consultant. Two of these positions were filled by persons already on the ACOG staff. This group constituted the study team that was expected to perform all tasks associated with the grant.

One of the first tasks of the study team was the development of a management plan for the entire development and technology transfer effort. Concurrently, the staff began a literature search of existing evaluations to identify what type of evaluation would be appropriate for local agency use. The search was to result in a method of evaluation tailored to local agency capabilities and information needs.

Once a method of evaluation was developed, the staff planned to solicit volunteers among local agencies to utilize the method on a trial basis. The field test was to provide: a means of further developing the method, case studies to demonstrate the feasibility and value of the method, and initial local agency experience with it. It was originally expected that those agencies would continue to utilize the method and, by example, induce other agencies to adopt it.

Transfer of the evaluation method to other agencies was to be facilitated by developing a training manual and giving some initial training sessions. The manual was to be such that agencies could utilize it to provide training sessions independent of ACOG, and serve as a guide to the agency staffs in the utilization of the methodology.

The expectations and experiences of ACOG relative to each of the five steps in the MTP strategy are summarized in Table 4. The table also indicates aspects of the strategy expected to continue after the MTP. Since there are some differences between the application of the evaluation method as during the MTP and as described in the training manual,

Component	Result Expected from Step during IMP	Aspect of Strategy Expected To Continue under the "Proposed" System	Aspect of Strategy That Would Be Continued under the "Tested" System
I. Establish study team.	Consultant and staff developing and testing evaluation methodology (+)	None	ACOG staff (-)
II. Develop and use a management plan.	Weekly activity chart prepared for and followed by all personnel (+)	None	ACOG uses a monthly planning system. (-)
III. Develop evaluation method.	Methodology that could be used by local projects to design and produce evaluations considered useful to them (+)	None	None
IV. Field test the method by ACOG staff.	Six studies produced by ACOG staff that tested selected portions of the method (0)	Project performs the evaluation. (-)	ACOG staff performs the data collection and analysis. (-)
V. Package and transfer method for use by local agencies.	Training package (+) and training course (-) on how to use methodology	Training package used by local agencies (-)	ACOG gives periodic training sessions. (-)

Legend: +: Success; 0: Partial success; -: Was not attempted or did not occur as planned

TABLE 4: COMPONENTS OF ACOG's STRATEGY AND RESULTS

the continuation activities are listed separately for each case. In Table 4, the symbols "+," "0," and "-" are used to indicate the extent to which ACOG achieved what they attempted to accomplish with each component of the evaluation development and test strategy. The general criteria used in developing the summary indicators are:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, completed or producing intended effect.
- "-": Not attempted, or few instances of achieving intended effects.

The schedule followed in carrying out the five steps is summarized in Figure 3. As discussed next, ACOG was successful in achieving results expected during the MEP, but the residual effect has been minimal to date.

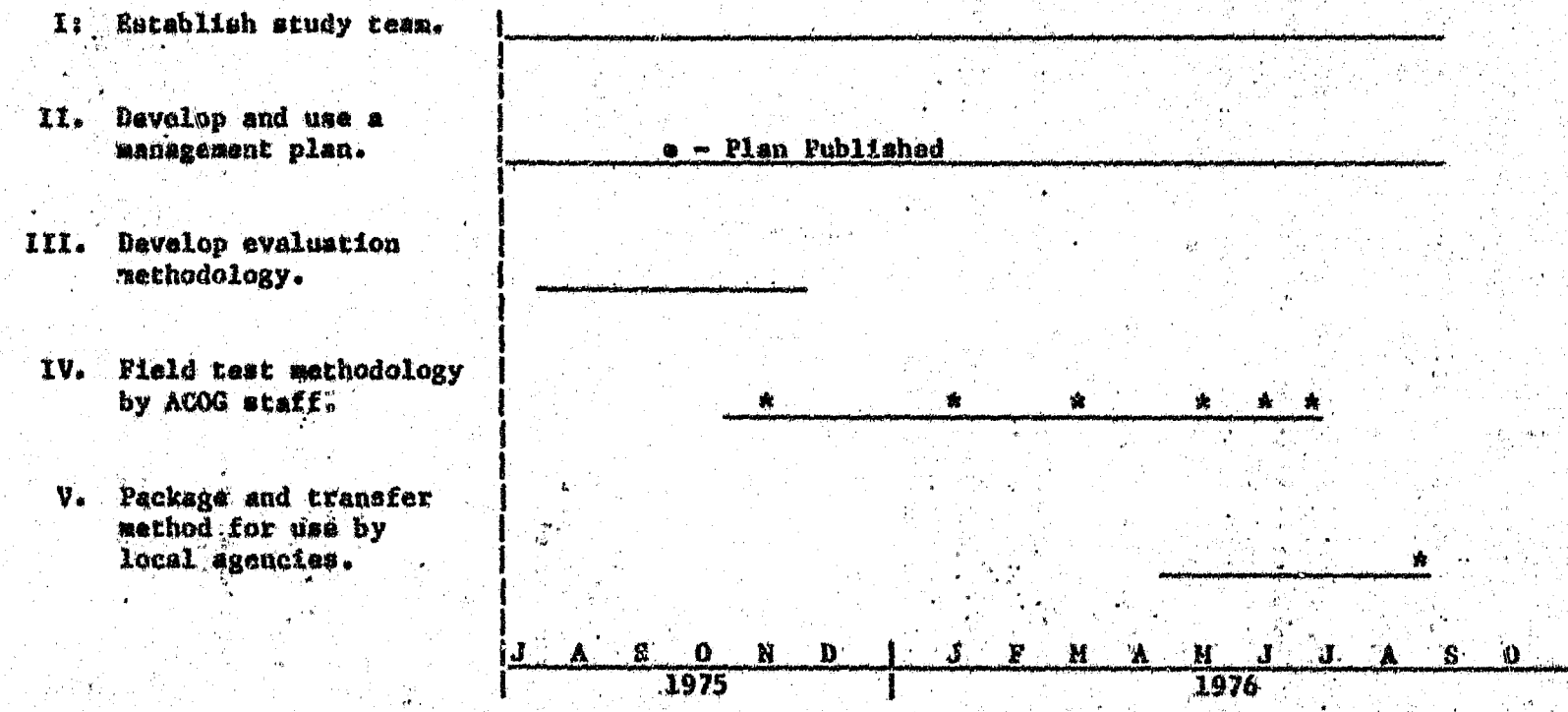
B. EXPERIENCE WITH THE STRATEGY

The ACOG experiences with the MEP are summarized in Table 5 in terms of the degree of success achieved with each step, problems encountered, and the significance of the outcome on the evaluation system being developed and tested. In general, the degree of success was greatest with the first few steps of the strategy.

1. ESTABLISHMENT OF STUDY TEAM

The MEP funded staff slots were filled and a consultant retained within four months of initiation of the grant. The efforts of the staff focused primarily on the development and transfer of the evaluation methodology.

FIGURE 3: SCHEDULE OF ACOG's ACTIVITIES



*Indicates date of report publication.

TABLE 5: SUMMARY OF ACOG's EXPERIENCES

Component	Degree of Success	Major Problems Encountered	Significance
I. Establish study team.	(+) Authorized slots filled; small staff turnover and focused on planned tasks.	None	Resources and personnel available for requested tasks.
II. Develop and use management plan.	(+) PERT chart developed and used to guide work. Two component tasks dropped: one project evaluation and training session.	One project ceased operation and could not be evaluated; time shortage prevented provision of training course.	Personnel knew what was to be done, could easily monitor progress and had mechanism for giving priority to their work. Lack of training session limited their capabilities.
III. Develop evaluation method.	(+) Method produced for developing project-specific design with certain types of measures, comparison and data sources.	Diversity of projects prevented development of specific measures and data instruments independent of specific projects. Unable to develop analytic techniques for several parts of the methodology in sufficient detail to be adopted.	Use of methods to produce specific design requires additional development effort and resources--method does not consist of an evaluation design ready for project use.
IV. Field test method by ACOG staff.	(0) ACOG staff used method to develop specific evaluation designs that were partially implemented.	Projects could not be required to collect data for evaluation. Gaps in existing data prevented significant portion of planned analysis.	Continued use assumes existence of resources equivalent to those assembled by ACOG.
V. Package and transfer method for use by local agencies.	(-) Training manual produced that describes method and field test by ACOG staff. No training sessions or adoption of method No training sessions or adoption of method	Resources exhausted. No further funding of staff to use method as in field test.	Training manual difficult to follow without evaluation resources. Method not being utilized.

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

Unlike many of the evaluators of other MEP grantees, they were not diverted into other activities of the agencies to the extent that it adversely affected their ability to complete programmed tasks.

Originally there were no plans to retain the evaluators beyond the developmental year, and that plan has been followed. None of the staff are currently at ACOG and the positions have not been refunded. However, near the end of the development effort, ACOG atempted to alter the follow-on staffing plan in order to continue the evaluation system as it had been field tested. Funds were sought for continued funding of an RPU evaluation unit that would assist projects in applying the methodology. Local resources were unavailable to support the unit, and proposals to the SPA, LEAA regional offices, and the LEAA National Institute were not funded. Thus, the unit was disbanded when MEP funds were exhausted.

2. DEVELOPMENT AND USE OF A MANAGEMENT PLAN

In the initial request for MEP funds, ACOG identified the development and use of a detailed management plan for the development and test of the evaluation method as a major activity of the ACOG MEP project. No other MEP grantee identified the production and use of such a plan as a distinct grant activity and product.

The study team followed through on the proposal commitment and developed a detailed work plan covering the year of MEP funding. The plan:

- Identified major tasks to be performed.
- Scheduled the tasks with "early" and "late" start and finish dates, and sequentially presented them to show their relationship.
- Estimated by week specific tasks to be performed by each staff member.

Figure 4 gives a portion of the master schedule and lists the type of tasks identified in the plan. Table 6 gives a sample of the weekly schedules.

Needless to say, every work assignment laid out a year in advance was not performed, and the time schedule was modified as the project proceeded. However, all but two of the major tasks outlined were performed. One field test evaluation was not performed when it was discovered that the project to be evaluated had ceased operation. The planned training sessions were not held due to the fact that the grant terminated before they could be scheduled. All other expected products were produced.

The management plan provided guidance to each staff member, provided a mechanism to keep the staff from extensive diversion to other activities of the Association, and provided a means for staff and managers to monitor progress.

3. DEVELOPMENT OF AN EVALUATION METHOD

As noted earlier, ACOG was to develop and field test a method of performing evaluations appropriate for local agencies. In order to obtain ideas for the method, the staff reviewed the evaluation literature, evaluations and the evaluation requirements of LEAA. From this review, they chose to adapt the approach of Suchman to their situation.

The adaptation of the Suchman approach initially took the form of agreeing to utilize a common framework for all evaluation designs. The framework consisted of three classes of objectives:

FIGURE 4: SAMPLE FROM ACOG's WORK PLAN

PROGRESS ACTIVITY SCHEDULE FOR EACH NODE IN PROJECT
PROJECT C.R.I.M.E.--GRANT NO: 75-NI-99-0104

PREPARED FOR: ASSOCIATION OF CENTRAL OKLAHOMA GOVERNMENTS
PREPARED BY: LEWIS M. IRVING, Ph.D.
DATE: AUGUST 29, 1975
PAGE NUMBER: 1

I	J	DURATION (DAYS)	ACTIVITY DESCRIPTION	MAN DAYS* 1+--SD--(PD)--2↓				EARLY START	LATE START	EARLY FINISH	LATE FINISH	PERSON ASSIGNED RANK
a	b	10	START; SPIN-UP; PROJECT SELECTION; LITERATURE REVIEW	4	40	--	--	8-18-75	8-25-75	8-29-75	9-5-75	F
a	b_1	10	PERT/CPM DEVELOPMENT	1	10	--	--	8-18-75	8-25-75	8-29-75	9-5-75	E
b	c	1	STAFF REVIEW; CRITERIA DEVELOPMENT	4	40	--	--	9-1-75	9-8-75	9-12-75	9-19-75	F,(E)
c	d	1	STEERING COMMITTEE MEETING-I	4	4	--	--	9-15-75	9-22-75	9-16-75	9-26-75	F,(E)
d	d'	9	DATA INSTRUMENT DESIGN	4	4	--	--	9-16-75	9-23-75	9-26-75	10-3-75	F,(E)
d'	e	1	DATA INST. DISTRIB.;TRNG-I***	1	1	--	--	9-29-75	10-6-75	9-30-75	10-7-75	C
d'	e'	1	DATA INST. DISTRIB.;TRNG-II	1	1	--	--	9-29-75	10-6-75	9-30-75	10-7-75	B
d'	f	1	DATA INST. DISTRIB.;TRNG-III	1	1	--	--	9-30-75	10-7-75	10-1-75	10-8-75	C
d'	f'	1	DATA INST. DISTRIB.;TRNG-IV	1	1	--	--	9-30-75	10-7-75	10-1-75	10-8-75	B
d'	g	1	DATA INST. DISTRIB.;TRNG-V	1	1	--	--	10-1-75	10-8-75	10-2-75	10-9-75	B
d'	h	1	DATA INST. DISTRIB.;TRNG-VI	1	1	--	--	10-2-75	10-9-75	10-3-75	10-10-75	C
d'	i	1	DATA INST. DISTRIB.;TRNG-VII	1	1	--	--	10-3-75	10-10-75	10-3-75	10-10-75	B
j	k	19	LIT. REVIEW, INST. DESIGN, DATA GATHERING-I	1	19	(19)	1	10-6-75	10-13-75	10-30-75	11-6-75	(A),C,(F),(E)
j_1	k	19	LIT. REVIEW, INST. DESIGN, DATA GATHERING-II	1	19	(38)	2	10-6-75	10-13-75	10-30-75	11-6-75	(A),B,(F),(E)
j'	j_1	10	TYPING OF INTRO., LIT. REVIEW & METHODS-I	1	10	--	--	10-20-75	10-27-75	10-31-75	11-7-75	D,(E)
k	$1-1_1$	1	STEERING COMMITTEE MEETING-II	4	4	--	--	10-31-75	11-7-75	10-31-75	11-7-75	F,(E)
l	n	20	LIT. REVIEW, INST. DESIGN, DATA GATHERING-III	1	20	(20)	1	11-3-75	11-10-75	11-28-75	12-5-75	(A),C,(F),(E)
l_1	m	20	LIT. REVIEW, INST. DESIGN, DATA GATHERING-IV	1	20	(40)	2	11-3-75	11-10-75	11-28-75	12-5-75	(A),B,(F),(E)
j_1	1'	10	TYPING OF INTRO., LIT. REVIEW & METHODS	1	10	--	--	11-3-75	11-10-75	11-14-75	11-21-75	D,(E)

WEEKLY ACTIVITY SCHEDULE - WEEK 14
NOVEMBER 17 - NOVEMBER 21, 1975

DIRECTOR	Assist in trouble-shooting any problems which arise in the inception of Studies III and IV; Meet with Sunbeam director, confirming the start-up of their evaluation project; Assist Research Assistant and Statistician with below activities when needed.
RESEARCH ASSISTANT	Gather data necessary to evaluate Study IV.
STATISTICIAN	Gather data necessary to evaluate Study III.
SECRETARY	Type introduction, review of literature and methods chapters for Study III; Assist in management of instruments used in data collection for Study III and Study IV.
CONSULTANT	Assist in trouble-shooting problems wchih arise in the inception of Studies III and IV.

TABLE 6: SAMPLE OF WEEKLY SCHEDULES FROM ACOG's MANAGEMENT PLAN

- immediate;
- intermediate; and
- ultimate;

and five types of criteria (measures and analysis):

- measurement of effort;
- measurement of performance;
- adequacy of performance;
- efficiency of performance;
- process analysis.

Definitions and examples of the use of these terms were given earlier in Tables 2 and 3.

Originally the MEP staff also expected to develop a typology of specific criminal justice objectives, measures and analysis procedures that could be utilized into the future. However, as the MEP effort proceeded, the staff realized that specific objectives and criteria should be tailored to the project to be evaluated, and not be developed in advance for various classes of projects.

As the ACOG staff employed the general framework during the field test, they followed some general procedures to develop and implement evaluation designs for six specific projects. The evaluation framework and the general procedures, as exemplified by the use of them for the six evaluations and as incorporated into the training manuals, constitute the ACOG MEP evaluation method. The general procedures cover such items as:

- working with project materials and personnel to identify objectives and evaluation criteria for each item in the framework;
- obtaining verification of the objectives and criteria from project personnel and sponsors;
- identification of data sources and development of data collection instruments and processes;
- selecting analysis techniques; and
- preparation, verification and dissemination of reports.

As ACOG discovered during the field test of the evaluation method, it was not always feasible to develop for a specific project the type of analysis given in the framework. For example, the "process analysis" criterion assumed that different processes aimed at producing similar outcomes could be compared in terms of outcomes actually achieved to determine those that are the most effective. However, the test projects did not contain sufficiently distinct processes to provide an opportunity for those types of comparison. Also, data did not exist to support the planned analysis for the efficiency criteria. In general, the use of the ACOG method assumes extensive work and capability on the part of a local evaluator.

4. FIELD TEST OF THE METHOD

The ACOG staff field tested the methodology by conducting evaluations of six projects. A seventh project had been selected for evaluation, but it was not refunded and ceased operation before data collection could be initiated.

The method, as developed and tested, differed in at least three respects from the method proposed in the documentation produced near the end of the MEP grant.

Field Test	As Proposed
ACOG staff developed the project specific designs and collected and analyzed the data.	Would be performed by local agency
Depended on existing data records and staff interviews	Need to design recording and collection instruments for project use is emphasized.
Several of the criteria could not be used as intended.	Presumes techniques for use of each criteria can be developed

Since the ACOG staff did all the work, the field test did not directly test whether a local agency could utilize the method. It did, however, demonstrate that significant portions could be applied by a staff with experience in evaluation, and that other portions could not be applied unless plans for doing so were incorporated in the project design.

In conducting the test application of the evaluation framework, the ACOG staff proceeded sequentially through the tasks of selecting projects to evaluate, developing designs, collecting and analyzing data, and preparing and disseminating reports.

a. Selection

Projects were selected in the areas of law enforcement and juvenile justice, since these are two areas of local criminal justice responsibility. In order to test the feasibility of the method in a variety of projects, it was decided that projects would be deliberately screened to obtain a set with large, medium and small staff sizes. The results are given in Table 7.

A seventh project was selected, but it stopped operating before the evaluation could be conducted, and the staff left the area. Since the ACOG evaluation designs depend heavily on access to staff, it was decided that a defunct project could not be evaluated with the method.

All projects selected for the field test were volunteers. It was thought essential to have voluntary particiption to ensure cooperation, since no prior requirement to participate or cooperate in the evaluation existed. In interviews with Urban Institute personnel, at least three project directors stated they had volunteered and been selected because the MEP project needed a certain type and size of project to test the ACOG method. Only one project director indicated the project was involved

TABLE 7: SIX PROJECTS EVALUATED
BY ACOG MEP PROJECT

Functional Area and Classification	Agency	Number Employed
Law Enforcement		
Small	Harrah Police Department	1
Medium	Yukon Police Department	2
Large	Norman Police Department	4
Juvenile Agencies		
Small	Cleveland County Youth Bureau Inc.	3
Medium	Oklahoma City Police Department	4
Large	Oklahoma County Youth Bureau and Youth Services for Oklahoma County Inc.	8

in the test because evaluation information was needed for an upcoming decision on the future of the project. Thus, the predominant reason for involvement was to test the method, and not necessarily to meet an existing information need.

b. Developing the Design

The designs were developed by the ACOG staff on the basis of:

- review of grant applications;
- interviews with project staff; and
- review of available data.

From the reviews and interviews, the ACOG staff developed a series of specific objective statements, questions to be answered to assess objective achievement, and identification of data sources to be utilized. For example, the following were given under ultimate objectives for the Oklahoma City Police Department's Youth Project:

To reduce the caseload of the Youth Bureau.

1. Measurement of Performance
   a. Did program reduce Youth Bureau's caseload? Check records.
   b. Did reduced caseload increase the effectiveness of Youth Bureau? Determine the recidivism rate of juveniles in caseload.
2. Adequacy of Performance
   a. Was the project's availability known? Telephone survey
   b. What were the opinions of the project's clientele of services offered? Telephone survey
3. Efficiency of Performance
   a. Cost assessment
   b. What was the cost for reducing Youth Bureau caseload?
4. Process Analysis
   a. Did the Youth Bureau personnel receive any benefits as a result of the project? Interview personnel.
   b. Any policy changes in the affected Youth Bureau caseload? Interview Youth Bureau personnel.

The designs did not include specific data collection instruments or analysis techniques.

For the first two evaluation designs developed, the development process included an assessment of the project design. The assessment was in terms of determining whether the project was sufficiently well defined to evaluate, and whether evidence existed from other sources to indicate that the proposed project effects were likely to occur.

The two assessments performed confirmed the adequacy of the project design. However, the OCC criticized the ACOG staff for the assessments on the basis that such assessments were a responsibility of the OCC when considering a project for funding. The ACOG staff dropped the pre-evaluation assessment process in the face of OCC criticism.

The designs, once developed, were submitted to project directors for verification, and in order to obtain agreement on the appropriateness of them. In subsequent interviews of the project directors, all directors claimed:

- they had reviewed and were satisfied with the designs;
- only minor modifications were needed; and
- if they had had problems, they believe that ACOG would have readily modified the designs.

Everyone seemed satisfied with the design process.

c. Data Collection and Analysis

All data collection was conducted by the ACOG staff and interns. The ACOG management decided that since data collection requirements and resources were not part of the project subgrants, the MEP project could not impose a requirement on the projects or expect projects to produce data.

Consequently, the evaluations were restricted to whatever data were routinely maintained, or which could be produced by interviews. The principal data sources were:

- criminal justice records (crime reports, case files, etc.);
- project activity records (e.g., hours worked, major tasks and expenditures); and
- interviews of project personnel and members of the community in which the project operated.

Data were collected in a two to four week period when an ACOG team would focus on a specific project.

Many data collection and analysis problems were encountered:

- incomplete records;
- inconsistencies in records;
- conflicts between different data sources concering the same events;
- difficulty in readily extracting needed information from records; and
- lack of techniques and data to make many of the planned cost-benefit and determination-of-effects analyses.

As a result of these problems, the evaluators were unable to conduct about half of the analyses proposed in the design. Thus, several of the evaluation criteria could not be used as defined in the general framework. The extent of achievement of most of the immediate objectives was determined, but assessments of performance could not be made for about one-third of the other two types of objective. Also, the process and efficiency analyses were not performed as intended, due to the lack of data or the lack of project activities to support analyses of alternative approaches to common criminal justice problems.

The majority of the analyses consisted of a description of inputs to the projects, the process activities of the projects, and characteristics of those served by or participating in the project. Each evaluation contained at least one output and effect measure, such as: change in incidence

rate of crimes to be affected by the project or recidivism rates. The analytic comparisons were primarily pre/post. Only one evaluation included a comparison of changes in crime rates among those participating with changes in adjacent communities. It was an ACOG management decision that comparisons would not be made between projects or activities operated by agencies that were members of ACOG.

d. Reports, Dissemination and Use

A report was prepared on each of the evaluations. The reports included the original designs, survey results, analysis and findings. In general, all findings relative to the objectives and criteria which were analyzed were positive. The following summary findings, relative to the above cited ultimate objective to reduce juvenile officers' caseload, is an example of the findings developed.

> Since the assumption could be made that the youth counselors handled cases that would have otherwise been the responsibility of the Youth Bureau, this objective was easily met. An analysis of the data revealed that in 1974, the cases handled by the youth counselors would have amounted to between 15 percent and 22 percent of the Youth Bureau caseload, had their services not been available. In 1975, it would have ranged from 12 percent to 20 percent.[1]

Draft final reports were submitted to project directors for verification and reaction. While minor modifications and clarifications resulted in this review process, there were no major modifications requested by project directors. All directors interviewed were satisfied with the review

1. An Evaluation of a Police Diversion of Youth Project, Oklahoma City, The Association of Central Oklahoma Governments, May 1976.

process, believed that their input had been used in preparing the final report, and that if they had had any major criticisms, the staff would have accomodated them. All reports, in general, were positive in terms of indicating satisfactory performance or progress towards objectives. The reports provide little opportunity to test what the effect of the evaluation would be when significant problems were encountered.

5. PACKAGE AND TRANSFER OF THE METHOD

The methodology and field test results were packaged for general dissemination in three forms:

- Reports on each of the six field test applications that presented evaluation results and documented how each study was performed.
- "Training Manual--Community Service Program/Project--Evaluation: To Make It Work for You," Lewis Irving, Ph.D.
- "Technical Report, Community Based Research to Improve Methods of Evaluation."

The "Training Manual" is in three sections: training material describing the "method," a programmed exercise, and appendices with examples and illustrations. The technical report describes the field test of the method.

Originally one or two training sessions had been envisioned for local officials. By the time the training manuals were produced, there was not sufficient time to organize a session. The manuals have been made available to local agencies, however.

IV. OUTCOME OF THE MEP

Three types of outcome of the MEP activity are:

- user reaction to the MEP activities and products;
- continuation activities; and
- the conclusions that can be drawn from the experiences.

While the continuation activities are non-existent to date, local user reaction was positive, and some conclusions can be drawn that should be of use to other agencies.

A. USER REACTION

To determine user reaction, Urban Institute staff interviewed:

- project directors or managers responsible for the six evaluated projects;
- ACOG management personnel; and
- Oklahoma Crime Commission personnel.

The project directors or local managers were the primary users of the system, and all indicated satisfaction. In all, seven persons were interviewed, and all stated that they were satisfied with the manner with which the evaluation designs were developed and implemented. Each one believed that he had been given adequate opportunity to review the evaluation design, suggest changes (only one person stated many changes had been suggested), and had been given adequate opportunity to review the draft reports.

In interviews with project directors, all directors indicated familiarity with the evaluations and the reports. No disagreements with the

report contents were identified. The directors attributed this outcome to the thoroughness and familiarity of the ACOG staff with local conditions, and a willingness to be helpful and not just produce findings.

The evaluations did produce results which were considered useful by each of the project managers interviewed by The Urban Institute. Two project directors expressed a desire for more diagnostic information concerning which project activities were the most productive. But all project directors claimed that they found the information provided to them useful for obtaining a better understanding of what their products were accomplishing, and reinforcement of views they already held personally concerning the project. That is, the evaluations provided corroborative evidence to their personal assessments.

The users of the reports prepared by the ACOG staff are the project personnel and, primarily, the project directors. Three categories of use of the evaluation efforts or reports have been identified:

- Modification of Records: Four project directors stated that as a result of the evaluation effort, record systems and procedures had been modified. In all cases, this outcome is attributable to the experiences of the ACOG staff in attempting to utilize the record systems, encountering problems, and suggesting changes.

- Assist in Securing Funding: Two projects incorporated the evaluation reports in requests for future funding from the OCC. It was not believed that the reports influenced the funding decisions. They primarily served the function of demonstrating that an evaluation had been conducted. Demonstration of the performance of the function independent of findings was considered necessary in these two cases.

- Modification of Project Design: One project identified a design change. However, the project director claimed the need for the change was known prior to the evaluation. The evaluation corroborated the director's previous knowledge.

All directors claimed that one of the most important uses was in corroborating their "findings" about the project, and providing information on what was happening. However, evidence of specific effects was limited to the above three types.

The ACOG staff expressed satisfaction with the MEP effort, and used the framework to structure at least two grant applications. The only effects of the evaluation reports that they cited were those identified above.

As discussed in Chapter II, the ACOG MEP grant evolved out of local problems with the OCC evaluation system. The general attitude was: "If evaluation had to be performed, then it would be made useful to local agencies." Shortly after the MEP grant was initiated, the OCC dropped its previous evaluation system. Alternative state-wide evaluation systems were developed with user input. The new systems were considered less of a problem by the local agencies, and much of the initial motivation for the MEP dissipated. While MEP staff participated in the process of developing new OCC evaluation systems, there was no evidence that OCC adopted portions of the ACOG system.

The OCC was not the primary intended user of the MEP efforts. The evaluation staff were interviewed, however, to identify benefits that might have occurred. In general, they claimed the studies were of better quality than those previously conducted by contractors. Also, eight instances could be cited where they incorporated results from the MEP evaluation in their studies. But they did not consider themselves as users of the system, or identify benefits for them or OCC. The ACOG Board, composed of local agency managers and policy makers, was willing to appropriate matching funds, and did go to considerable effort to secure

funds for continuation of the MEP effort. The MEP staff cited the cooperation of local criminal justice personnel, ACOG management and policy personnel, and OCC in attempts to secure future funding as evidence of positive reaction and support of the evaluation systems tested and proposed.

B. CONTINUING ACTIVITIES

Table 3, given earlier, identifies aspects of the ACOG development strategy that were initially expected to continue, and those that would have continued under the system field tested. The common aspect of the two approaches is that the evaluation methodology would continue to be used, and its use was to be expanded with the aid of the training materials and training sessions. The major difference in the two follow-on strategies is in who would do the evaluation work: an Evaluation Unit in ACOG or be handled by local agencies. As it turned out, attempts to obtain funding for an ACOG Evaluation Unit were unsuccessful, and the existing team was disbanded.

To date, no agencies are known to have adopted the methodology to produce evaluation reports similar to those produced during the field test. The methodology was utilized on two grant applications to structure the project description, but it is not being used to evaluate the resulting projects.

The ACOG director views the recent effort as "creating a valuable capability that stands ready to be used." But he agrees that the true test will be the extent to which it is actually used. To date, further use has not occurred. Part of the lack of motivation to adopt the ACOG

method may be the fact that OCC dropped the evaluation system that initially had caused resentment among local projects and led to the MEP effort.

C. SUMMARY AND CONCLUSIONS

Three major results which were achieved or attempted with the MEP grant to ACOG are:

- development and test of an evaluation method;
- production and use of a series of evaluation studies; and
- establishment of an evaluation capability.

The ACOG staff has developed an evaluation method and tested portions by conducting a series of evaluation studies. But major portions remain untested and not demonstrated. The studies were considered useful by local personnel, but there is little evidence of use or effect. Attempts have been made to continue the evaluation system initiated with the MEP, but to date it has not occurred.

In summary, in terms of evaluation activities completed, the project may be considered a partial success. However, the effect and outcome seem limited.

Findings and conclusions that are exhibited by the ACOG experience that may be of value to other agencies are:

- The evaluation framework that was developed provides a means by which local or regional evaluators can overcome resistance to evaluation and establish an open and cooperative working relationship with project managers. In contrast to previously existing attitudes toward evaluations imposed by LEAs and OCC, the local managers expressed satisfaction and use for the ACOG process.

- Effective use of the framework for evaluations may require its use in project design. Severe limits exist on the amount of information (relative to the ACOG framework) that can be produced

from existing data sources and project designs. By being limited to existing sources and project designs, the ACOG was unable to complete portions of the designs that were developed.

- Resources and detailed work plans provided sufficient momentum to result in a series of studies, even though prior information demand and evaluation capability and experience were small. Other MEP projects were unable to produce evaluation studies in the face of such conditions, even though resources were provided. Objectives and a work plan may be just as essential to evaluation projects as to evaluated projects.

- The existence of evaluations considered useful and valid do not assure effect on project operations. Demand for the studies was not evident prior to the start of the evaluations, and was not created by the production process. Existing demand for evaluation information may be required to achieve actual use.

The MEP experiences of the ACOG staff demonstrate the feasibility of developing an evaluation methodology which local agencies are willing to accept and claim to find useful. But it also demonstrates a reluctance to utilize an evaluation method unless someone else is providing the funds, or one is required to utilize and produce an evaluation.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE COLUMBIA, S.C. CENTRAL MIDLANDS REGIONAL PLANNING COUNCIL

by
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I. INTRODUCTION AND SUMMARY

The Central Midlands Regional Planning Council (CMRPC) performs the functions of the Regional Planning Unit (RPU) for the Law Enforcement Assistance Administration (LEAA) grants awarded to Columbia, S.C. and the surrounding communities. CMRPC also performs planning and monitoring functions for programs in areas other than law enforcement. As the RPU for the LEAA program, the CMRPC participates in the process of developing and processing grant applications and monitoring awarded grants.

Prior to receipt of the Model Evaluation Program (MEP) grant, a two person professional staff focused on planning and processing grants. With the MEP grant, the RPU intended to "implement an on-going research program through the establishment of a regional resource position . . . to direct and coordinate the efforts of local governing agencies in evaluating criminal justice projects."[1]

The MEP was to support a regional evaluator who was expected to produce or help produce:

- data bases useful for evaluation and planning purposes;
- evaluation criteria and methodologies tailored to local management needs while meeting LEAA evaluation requirements; and
- a positive attitude toward evaluation, with increased evaluation activities by local managers.

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1. Grant Application for the Model Evaluation Program of the Central Midlands Regional Planning Council, April 1975.

The tasks initially planned for the regional evaluator included:

- development and introduction of data collection instruments and procedures for LEAA funded projects;
- design of evaluation criteria and methodologies for use in analyzing the data;
- provision of technical assistance (TA) and coordination to local agencies in the use of the items developed; and
- production and dissemination of documentation on evaluation activities performed and results achieved.

During the course of the MEP grant, the regional position was created and filled. One staff turnover occurred. At the start of the grant period, the evaluator began to develop new evaluation criteria and data collection instruments, but quickly curtailed those activities. The existing LEAA funded projects were unwilling to collect more than the minimal amount of data required by the State Planning Agency (SPA), and the SPA would not make the new regional evaluation criteria part of the minimum grant requirements. The evaluator subsequently adopted a role of providing technical assistance to grantees in meeting the SPA evaluation requirements, and to applicants, in developing baseline data required by the SPA as part of grant applications.

During the period of MEP funding:

- Data collection and analysis procedures to support SPA evaluation requirements were developed by the regional evaluators and adopted by the projects.
- Project problems were documented by the regional evaluators--problems which led to the cancellation of two grants and the redesign of a third.
- Some local criminal justice personnel claim to have developed a positive attitude towards evaluation as a result of the involvement of the regional evaluator.

However, the effects of the MEP are limited to the specific projects with which the evaluators had contact. The materials on evaluation that were to have been developed for general dissemination were not developed, evaluation criteria and methodologies for repeated use were not developed, new data bases have not been created, and the evaluator position has not been continued.

Most of the effects achieved during the MEP grant resulted from the regional evaluator having a role in the implementation of the evaluation system of the SPA. The SPA's system was designed to operate independent of regional evaluators. However, based on the MEP experiences in Columbia, the SPA evaluator sees some value to an evaluator position in the regions, and believes that it is the only way that local personnel will see the usefulness of evaluation.

II. PROPOSED EVALUATION SYSTEM AND RATIONALE

With the MEP grant, the RPU hoped to establish a mechanism for "directing and coordinating" the evaluation efforts of local agencies. Much of the motivation for the establishment of such a mechanism was the RPU's assessment of local dissatisfaction with the concept and practice of evaluation. The RPU, as a service agency to local governments, believed that it could develop an assistance role that would produce more useful evaluations and a positive attitude toward evaluation.

A. RATIONALE FOR THE MEP-INTRODUCED SYSTEM

The most frequently stated reason for introducing the regional evaluator was the desire to make evaluation a useful tool for local managers. The Director of the RPU believed that the most effective use of evaluation could occur at the project level, where services were delivered to the public. The need for evaluation results at the state and local levels was recognized and accepted, but the Director believed that the users most in need of evaluation results were those directing the projects.

The state and federal evaluation efforts were perceived by the RPU staff as creating a negative attitude among local managers. Local agencies and managers were required to perform evaluations that provided

information with little or no value to them. Evaluation designs provided by federal and state levels were viewed as a burden that produced information of no interest to those being evaluated. Also, the RPU staff believed that prior to the MEP, evaluation was used primarily as a technique to identify personnel deficiencies in projects. The RPU staff believed evaluation could be used to assist a project operate better.

The purpose of introducing the MEP was to direct and coordinate local personnel in evaluations designed to serve them. The RPU believed that if local project personnel experienced evaluations tailored to local needs and received some assistance in performing evaluations, then a positive attitude toward evaluation would develop. The MEP provided the RPU the opportunity to test this belief, and attempt to alter local concepts and practices relative to evaluation.

B. EVALUATION SYSTEM

The evaluation system which the RPU planned to establish is given in Figure 1. The activities to be evaluated were projects funded with grants awarded through the LEAA block grant to South Carolina. The users of evaluation results were to be local agencies and the SPA that awards LEAA grants.

The RPU would develop evaluation criteria and data bases for use in the evaluations, and provide assistance to local projects conducting evaluations. The data collection and analysis activities were to be performed by the projects being evaluated or local agencies.

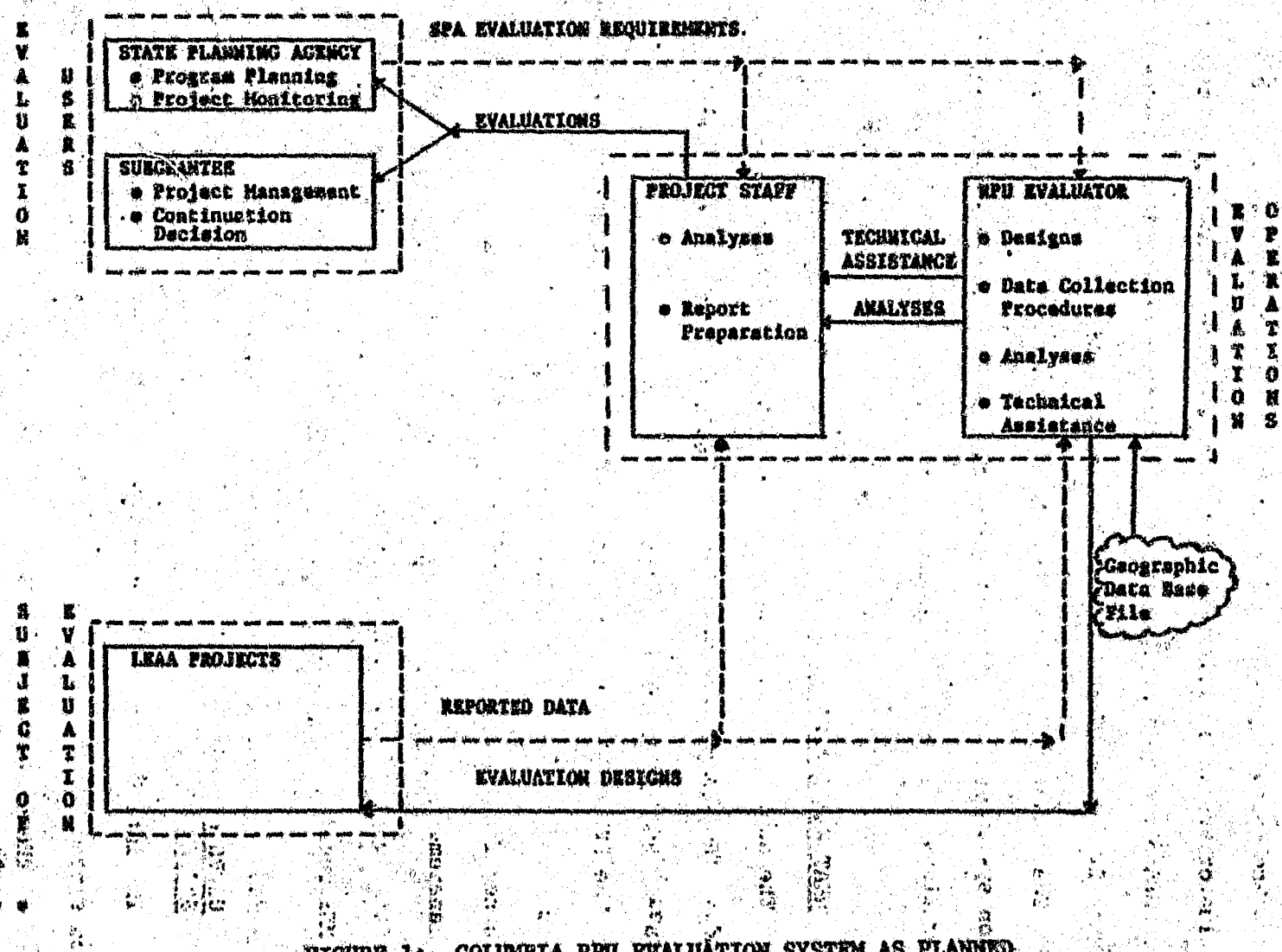

FIGURE 1: COLUMBIA RPU EVALUATION SYSTEM AS PLANNED

A basic element of the system as originally planned was the leadership role of the RPU in developing evaluation designs tailored to local needs and capabilities. This element did not materialize, and the RPU evaluator became a facilitator for local projects attempting to comply with SPA evaluation requirements. This type of system is indicated in Figure 2.

The following sections describe the planned and demonstrated evaluation system in terms of users, what was evaluated, and the evaluation operations.

1. WHAT WAS EVALUATED

The activities to be evaluated were the projects receiving LEAA funds. The number of grants awarded to agencies within the regions ranged between four and seven per year.

The RPU management hoped that, on the basis of experiences with the evaluation of LEAA projects, local managers would initiate evaluations of other local activities and incorporate evaluation as a routine part of management activities. That is, eventually all local government activities would be candidates for evaluation. However, during the period of MEP funding, evaluation activity was limited to LEAA funded projects.

2. USERS OF THE EVALUATION SYSTEM

The intended users of information to be produced through the evaluation system were:

- the project management;
- the local agency operating the project; and
- the SPA that awarded the grant.

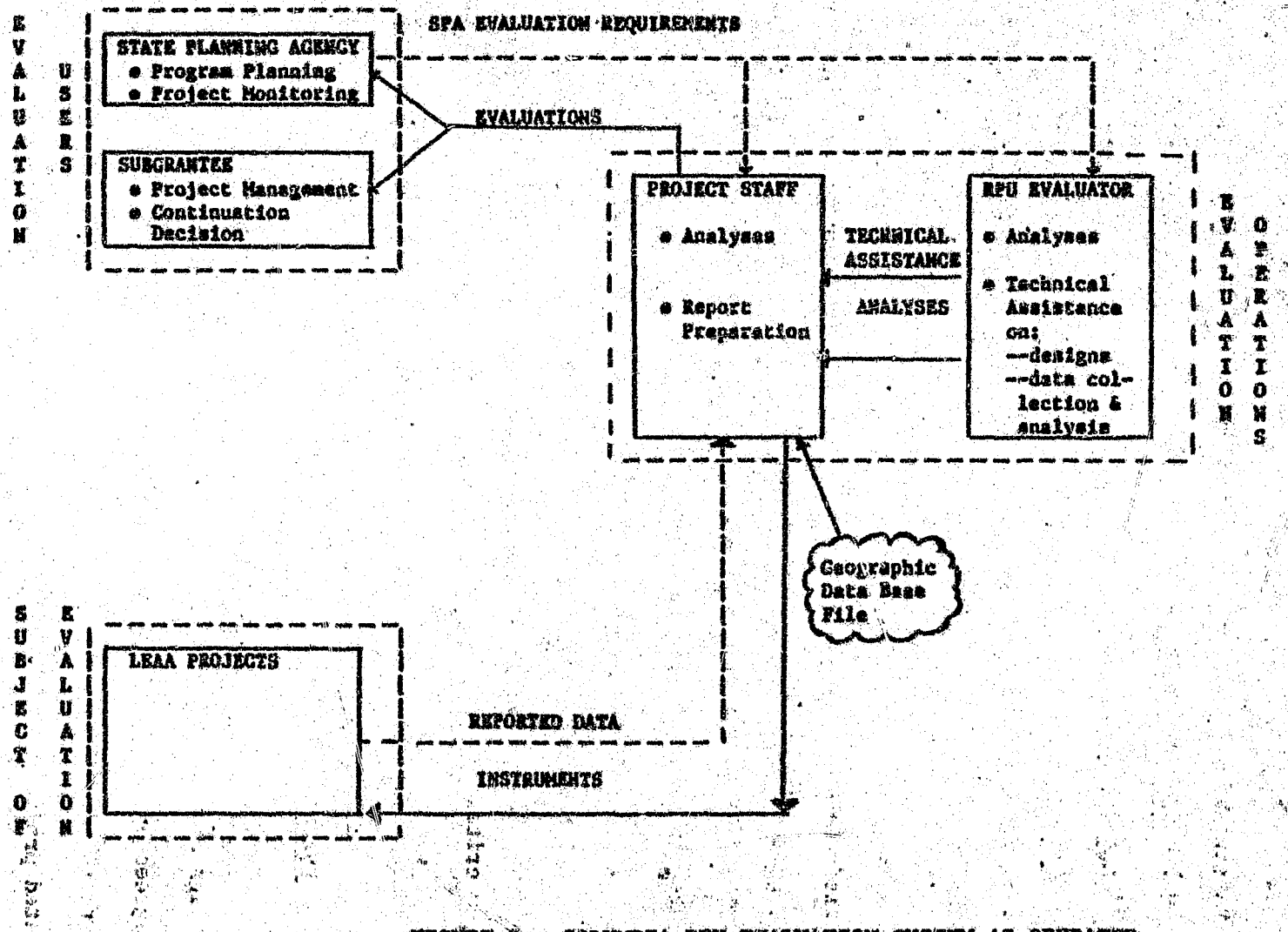

FIGURE 2: COLUMBIA RPU EVALUATION SYSTEM AS OPERATED

In the opinion of the RPU management, the primary purpose in introducing the new system was to serve the local agencies and project managers in their attempts to operate the projects. It was thought that evaluation information would be used routinely to manage project resources, and to support future design and funding decisions. An example of the local use envisioned, and realized, is the allocation of crime prevention personnel on the basis of the incidence of crime.

Prior to the MEP, the SPA had established evaluation requirements for most of the awarded grants. The RPU evaluation designs and activities were expected to expand on the SPA requirements in a way that would satisfy them, while providing more useful information to local clientele. The principal uses of evaluation information identified by the SPA are:

- supporting decision on whether to refund the grant;
- whether to fund the project in other regions; and
- developing information on what constitutes effective criminal justice activities.

As part of their requirement, the SPA had developed standardized evaluation criteria for several programs in order to aggregate results from similar projects funded in different parts of the state.

3. EVALUATION OPERATIONS

In both the planned and implemented evaluation systems, evaluation design and data collection and analysis operations are shared in varying degrees by the SPA, RPU, and projects to be evaluated. The RPU and SPA were to have a central role in design activities, with the RPU and evaluated project performing data collection and analysis tasks. As the MEP

project proceeded, the RPU relinquished the task of independently developing evaluation designs.

Prior to and during the MEP, the SPA developed evaluation requirements and guidance for the subgrantees. The requirements ranged from:

- specification of measures, data sources, and analysis calculations and reporting format,

to

- the identification of various factors to be considered in developing an evaluation design.

The degree of specification tended to increase as the number of grants for similar projects throughout the state increased. As part of a grant application, applicants are expected to propose an evaluation design compatible with SPA requirements, or present a plan for implementing the SPA design.

In the initially planned system, the RPU intended to develop evaluation designs for the projects. The designs were to extend the minimum state requirements to provide information of direct use to local personnel.

Responsibility for collecting and analyzing data for an evaluation design is exercised by the projects. The RPU expected to provide data collection instruments and develop data collection and analysis procedures in some cases. But primary responsibility for data collection and analysis was to remain with the projects.

Throughout the first half of the MEP, such an arrangement was not totally feasible, and the RPU evaluator assumed several data collection, processing and analysis responsibilities. However, by the end of the project, local personnel were assuming much of the data responsibilities, with the RPU evaluator acting as an advisor and reviewer in the process.

III. COLUMBIA's MEP STRATEGY

Chapter II focused on the type of model evaluation environment that the Central Midlands Regional Planning Council was attempting to establish. This chapter focuses on the strategy that the CMRPC used to establish that environment. Since several of the steps in the strategy correspond to the initial operation of component aspects of the desired evaluation system, some of the following assessments constitute an assessment of the model system itself.

The MEP strategy is presented in two parts: the RPU's expectations, and the experiences actually realized.

A. EXPECTATIONS

The Columbia MEP strategy can be characterized with five steps:

- Establish regional resource position.
- Develop evaluation criteria and methodology.
- Establish data bases for planning and evaluation.
- Facilitate implementation of designs.
- Alter local evaluation practices and attitudes.

The first step, "Establish a Regional Resource Position," represents the creation of a capability, in the form of personnel, expected to alter existing evaluation practices and direct and coordinate future activities. The position was to be filled by a new staff member skilled in evaluation. The evaluator was expected to obtain assistance and support from other RPU staff members and from volunteer efforts of local researchers. The type and extent of such assistance was never explicitly defined.

The role of the regional evaluator was characterized by such words as: "coordinator," "developer," "facilitator," and "director." The evaluator was expected to develop evaluation designs and procedures, design data bases and data collection instruments, and provide assistance as evaluations were implemented.

The major activities projected for the evaluator constitute the second, third, and fourth steps of the MEP strategy. The evaluator was expected to produce a set of evaluation criteria and designs that would be tailored to local needs. Much of the rationale for the project was that the existing criteria were inappropriate, and that new and different criteria were needed if evaluation was to be used locally.

A major step emphasized in the grant application and the initial project activity was the creation and use of better data bases than currently existed. In particular, the evaluator was expected to utilize a Geographic Base Data File (GBDF). The GBDF is a computer program that stores and processes demographic and criminal justice data by various geographic units. The data bases were expected to be created for a baseline of 1971 to 1974, and then updated annually. The data were to be used:

- as baselines for comparisons of project impacts;
- for planning new allocations of criminal justice system (CJS) resources; and
- for supporting individual grant applications.

The third major set of activities projected for the regional evaluator involved the implementation of evaluations. The evaluations were to be conducted by the grantees, with technical advice and assistance from the regional evaluators. Originally the evaluation designs to be implemented were to be those developed by the RFU, but as the project proceeded, effort

focused solely on developing and implementing the SPA designs. Also, as the development by the RPU evaluator of evaluation criteria and data bases (Steps II and III) was phased out, the provision of assistance in implementation of SPA evaluation requirements became the major component of the strategy.

In general, the evaluator was not expected to perform the evaluations, and did not. However, the division of responsibility in the actual conduct of the evaluations expected to be performed during the MEP grant period was ambiguous from the beginning, and remained so during the grant.

The above development and assistance activities were expected to result in a change of attitudes and evaluation activities by local officials working with the regional evaluator. In order to reenforce this change and extend it to other local agencies, the evaluator was expected to carry out some technology transfer activities. These activities consisted of participating in local workshops and dissemination of documentation on evaluation and evaluation materials. Some of the materials to be disseminated were to be developed from Steps II and III. Materials identified in the MEP grant application that were to be disseminated included:

> . . . objective and accurate measuring instruments enabling potential criminal justice project directors to determine probable success and failure rates of their particular crime incidence counter measure platform, and
>
> a report (intended for widespread dissemination) of the project proceedings and findings. In format style, the evaluation director will provide a document outlining the evaluation methodology, research methods, measuring instruments, analysis procedures and model designs for use by each agency developing a plan focused on the reduction of crime incidence rates.

As the project proceeded, the Director of the RPU decided that the evaluator should develop a guideline manual for local use on how to conduct and use evaluation.

The expectations and experiences of the RPU with the five steps of their MEP strategy are summarized in Table 1. Also, as indicated in Table 1, each of the five steps were expected to be continued beyond the MEP grant period. Initially, attempts were made to activate all five steps listed in Table 1. However, as the project proceeded, the evaluators who filled the regional position focused their efforts on Step IV, Facilitate Implementation of Designs.

B. EXPERIENCES

The experiences of the MEP evaluator are summarized in Table 1 with the indicators "+," "0," and "-." The symbols are used to indicate the following conditions:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the intended effect.
- "0": Partial achievement, with major subparts not attempted, not completed, or not producing intended effect.
- "-": Not attempted, or few instances of achieving intended effect.

The rationale for the particular assignment of indicators is given in Table 2 and the following discussion. Table 2 gives the degree of success on each step, problems encountered, and the implications of the experiences on one component for the remainder of the strategy.

TABLE 1: CENTRAL MIDLANDS COG's MEP STRATEGY

Steps	Expectation During the MEP	Follow-on Expectation
I. Establish regional resource position.	(0) Staff person skilled in evaluation retained to direct and coordinate local evaluation efforts.	(-) Position and role continued
II. Develop evaluation criteria and methodology.	(-) Evaluation criteria tailored to local projects and user needs would be developed for existing LEAA grants and anticipated grants.	(-) Criteria and methodologies would be used repeatedly.
III. Establish data bases for planning and evaluation.	(-) Establish data bases that: o identify and support criminal justice needs; and o provide baseline data for evaluation purposes.	(-) Expand and update data bases.
IV. Facilitate implementation of designs.	(0) Provide guidance and assistance to grantees and sponsoring agencies in implementing evaluation methodologies and disseminating results.	(-) Continue to provide guidance.
V. Procedure and assessment evaluation materials	(-) Hold workshops and disseminate for local use prototype evaluation instruments and results, and prepare guideline manual on evaluation.	(-) Adoption and use of evaluation materials by additional projects

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

TABLE 2: CENTRAL MIDLANDS COG's EXPERIENCES WITH THE MEP STRATEGY

Step	Degree of Success	Problems	Significance
I. Establish regional resource position.	(0) Position filled with one turnover of staff. Much time spent on activities other than coordinating or directing evaluations.	Staff had limited evaluation experience. Insufficient resources to perform expected tasks Authority to direct evaluation activities limited by the SPA	Number of evaluation activities performed less than anticipated Capability to demonstrate usefulness of evaluation limited
II. Develop evaluation criteria and methodology.	(-) Criteria developed beyond the SPA's minimum criteria, but not utilized Adopted role of helping local grantees adapt the SPA's minimum evaluation criteria to their situations	SPA would not require projects to provide data for criteria beyond those developed for the SPA. Grantees unwilling to voluntarily collect more data than required as an SPA grant condition	MEP evaluator unable to test new criteria or measures specifically tailored to local needs
III. Establish data bases for planning and evaluation.	(-) Established some baseline data and data collection procedures for evaluated projects. But no residual capability at the RPU.	Little data existed to assimilate and build on. Lack of time and willingness of local agencies to collect. Limited extent to which new data could be created.	Residual effect of effort limited to evaluated projects

CONTINUED

4 OF 5

TABLE 2: CENTRAL MIDLANDS COG's EXPERIENCES WITH THE MEP STRATEGY (Cont'd.)

Step	Degree of Success	Problems	Significance
IV. Facilitate implementation of designs.	(0) One of intended seven evaluations completed Evaluation support focused on three projects.	Data collected or available not adequate Several projects terminated early or started late.	Lower number of products produced than anticipated to influence local opinions of evaluation
V. Produce and disseminate evaluation materials.	(-) Three projects utilized data collection instruments produced through efforts of the MEP evaluators, but evaluation materials not produced for use by other agencies. Workshop held, but only one report produced, and guideline document not developed.	Technology transfer mechanism was not developed due to limited resources and utilization of available time for other tasks.	Residual effect limited to projects receiving direct support

Legend: +: Success
o: Partial success
-: Was not attempted, or did not occur as planned

1. REGIONAL RESOURCE POSITION FILLED

The regional resource position was filled by two persons serving sequential terms. The first evaluator transferred to the position from a local agency involved in evaluating and writing grant applications for LEAA grants to the Columbia Police Department. After six months, the first evaluator moved from the area for personal reasons. The second evaluator previously worked for a state agency and held the MEP-funded regional evaluator position for 17 months. With termination of the MEP grant, the second evaluator became self-employed in a line of work not involving evaluation or criminal justice work.

The first evaluator initiated work on the other four steps of the MEP strategy, but was quickly overloaded. As discussed below, "facilitation" of the implementation of designs became "doing" the data collection, and constituted nearly a full time job. In the first quarterly progress report to the National Institute, the evaluator stated that:

> To date, the inherent ability and capability of the law enforcement agencies to implement thorough data collection and reporting activities are practicably nonexistent. This agency inability places the full burden of data accumulation and reduction for purposes of planning and evaluation on the MEP evaluator, assisted by the criminal justice planner of CMRPC. Since the task is a continually on-going function, special task forces comprised of other CMRPC staff members are not feasible. Just this far in the program and with only four projects actually operational, a full 80 percent of the evaluator's time is utilized in collecting data necessary to project evaluation measurement. With the new proposed evaluation/planning process, this task is seen as fully consuming--and yet, no evaluation can be carried out without the baseline and activity measurements these data afford.

The second evaluator was successful in getting Columbia city agencies to assume responsibility for the data processing and analysis for grants

to the Police Department. However, the time freed up was quickly consumed by the grant planning and application processing activities. The evaluator assumed a role of assisting projects satisfy SPA grant application requirements. These activities ranged from participating as staff in planning sessions to reviewing and helping modify grant applications. Table 3 lists typical activities of the second evaluator during a September to January time period. In general, the second evaluator's time was spread over a variety of CMRPC activities, many of which did not directly involve an evaluation. The baseline data and data collection activities during this period were primarily in support of subgrantees either preparing an evaluation report or building a base for a later evaluation. The September to January time period does not cover the months in which the RPU became actively involved in the development of subgrant applications. During those months, the evaluator focused a majority of time on assisting the development process by interpreting state SPA guidelines, suggesting data for inclusion in applications, and performing some data collection and analysis.

As discussed under the other steps of the CMPRC strategy, changes in evaluation activities did occur which are reasonable to associate partially with the evaluator's activities. These changes are:

- The Columbia Police Department gained experience with evaluation and began conducting and using evaluation.
- Other projects set aside resources for evaluation.
- The SPA concluded that regional evaluator resources are essential if local use of evaluation is to occur.

However, the role of coordinator or director of an evaluation system or environment did not evolve. What did evolve is a resource person in the planning activities of the RPU and evaluation activities of the [illegible]

TABLE 3: TYPICAL ACTIVITY OF THE MEP EVALUATOR

Activities	Percent of Time Allocated to Activities[1]
General Administrative	14 percent
Meetings: MEP	14 percent
non-MEP	4 percent
Data Collection: MEP	25 percent
non-MEP	1 percent
Report Reviews	14 percent
Proposal Development	9 percent
Evaluation Handbook	3 percent
Miscellaneous and Unaccounted	16 percent
	100 percent

1. Based on activities between September 1976 and January 1977.

In summary, the first MEP evaluator found the task overwhelming when the regional evaluator actually performed several of the evaluation functions. The other evaluator frequently became diverted from MEP activities as responsibility for specific evaluations was decreased.

2. EVALUATION CRITERIA AND METHODOLOGY DEVELOPMENT

As part of a job held prior to MEP employment, the first regional evaluator had begun to develop evaluation criteria and designs for four LEAA funded projects operated by the Columbia Police Department. The designs included data collection instruments and questions to be answered about the performance of the projects. The designs were completed and presented to the projects for use in collecting and analyzing data.

The designs expanded evaluation criteria and data collection requirements beyond those required by the state. Some of the designs were quite lengthy and would require extensive data collection activities by the projects. Questions arose as to whether the projects would have to comply with the regional data requirements that went beyond those issued by the SPA. The SPA is the agency awarding the grant, and the regional personnel do not have the authority or power to require that projects fulfill evaluation requirements that go beyond the minimum state requirements. Consequently, the regional evaluator was forced to abandon the extra criteria developed to meet local needs.

Subsequent work on evaluation criteria and designs was limited to working with project staff or grant applicants to develop measures and data that would satisfy SPA requirements. In this process, the regional evaluator would attend SPA-sponsored meetings and review guidelines with

the project staff or applicant, offer suggestions on how to meet SPA requirements, and review and critique proposals. The RPU evaluator would then sit in on meetings between SPA and project personnel. The RPU person was not acting as an extension of the SPA staff or as a project member, but as an assistant and advocate for the project.

The SPA evaluator expressed the belief that resistance to the expansion of the minimum requirements was due to three facts:

- A prior tradition and appreciation of evaluation did not exist to motivate compliance with the designs.
- The projects were not of a type that would produce significant findings other than those being captured with the SPA design.
- Some hostility towards regional evaluation activities based on the cancellation of two projects (discussed in Section D below).

As a result of the curtailment of local design efforts, the expected product of "evaluation designs tailored to and useful for local personnel" did not result. There are no residual regional evaluation designs and instruments.

3. DEVELOPMENT OF DATA BASES

The first evaluator began visiting local criminal justice agencies to identify data in existing record systems. The intent was to extract such data for use with the Geographic Data Base File, and as baseline data in grant applications and evaluations of LEAA funded projects. The RPU was interested in obtaining sufficient data to not only evaluate a project's effect on a given target group, but to also capture spill-over effects to other groups.

The evaluator quickly discovered that little or no data existed in a form that could readily be extracted. For example, one sheriff kept

his records in boxes in the trunk of his car. To remedy this situation, the evaluator began developing recordkeeping instruments for the agencies. Except for the Columbia Police Department, the new record system was not implemented, nor was a data flow established.

As part of two LEAA projects operated by the Columbia Police Department, data were collected and analyzed with the Geographic Data Base File. Reported crimes were entered into the Geographic Data Base File by the evaluator and subsequently by the Police Department and City Computer Center. Analyses with this data base subsequently led to redeployment of some police resources. The police are continuing to utilize the system.

Some baseline data were accumulated under the MEP evaluator's guidance to support specific grant applications. The baseline data required were specified initially by the SPA. The MEP evaluator met with the applicants to review the requirements and then make suggestions on how to satisfy them. The evaluator would subsequently review, critique, and make suggestions for modifications in the proposals developed by applicants. The data presented were specific to the application but, according to the staff, represented an increase over the amount of data previously compiled for applications.

While some advances were made in the collection and use of data, the effect is limited to portions of the Columbia Police Department and grant applications for Fiscal Year 1978. There is no evidence that the planning capabilities of the RPU or the local criminal justice have been altered for future years as a result of the attempts to establish a comprehensive data base with update procedures.

4. Facilitated Implementation of Evaluation Findings

with seven to eight project evaluations. The projected involvement included the development of evaluation criteria and the direction and coordination of data collection and analysis relative to the criteria. Reports would be developed from the analysis for local and state use.

As noted earlier, the RPU abandoned efforts to develop evaluation criteria, and focused on facilitating the use of the SPA specified criteria. In this capacity, the MEP evaluator assumed varying degrees of involvement with ten projects. The ten projects, tasks performed by the evaluator, and the outcomes of the effort are summarized in Table 4.

Before assuming the MEP position, the first evaluator had begun data collection and analysis activities that were part of an evaluation of four LEAA subgrants to the Columbia Police Department. The activities were carried over to the MEP position. The activities involved collecting data from police records, assisting the police produce new data by developing instruments and collection procedures, coding and delivering data to a University Computer Center for processing, and returning the analyzed data to the police for use by them. The evaluator also completed for the Police Department the evaluation reports required by the SPA. Those reports were sent to the SPA by the Department. Only data required by the SPA were compiled, but the information indicated that major parts of all four projects were not operating as intended.

Following receipt of the quarterly reports, the SPA cancelled two of the subgrants and required a redesign of a third. The fourth, the Community Action Team, was not affected significantly. The SPA staff claimed that the situation would eventually have come to the attention of their monitor and resulted in similar action without the MEP evaluation activities. That is, the timing may have been accelerated, but

TABLE 4: ROLE OF MEP EVALUATOR IN LOCAL PROJECTS

Project	MEP Evaluator Role	Outcome
Patrol Action Team (PAT)	Developed initial set of proposed (but not adopted) criteria. Submitted evaluation progress report leading to project redesign. Assisted in redesign of project and evaluation. Assisted in data collection, analysis and report preparation.	Project redesigned. Evaluation report prepared.
Central Business District Patrol	Developed initial set of evaluation criteria. Prepared evaluation progress report for the Police Department which was required quarterly by the SPA.	Quarterly progress report submitted by Department to the SPA. Subgrant subsequently cancelled.
Robbery Prevention and Apprehension Team	Developed initial set of proposed evaluation criteria. Prepared evaluation progress report for the Police Department which was required quarterly by the SPA.	Quarterly progress report submitted by Department to the SPA. Subgrant subsequently cancelled.
Cadet Action Team (CAT)	Developed initial set of evaluation criteria and data collection instruments. Assisted in data collection and analysis.	Several comparison analyses attempted, but determined not feasible. No joint report.
Columbia Police Athletic League	Assisted applicant develop grant application and project design. Assisted project staff establish recordkeeping procedures and prepare progress reports.	Project funded and refunded, with some project design modifications attributed to evaluation findings.

TABLE 4: ROLE OF MEP EVALUATOR IN LOCAL PROJECTS (Cont'd.)

Project	MEP Evaluator Role	Outcome
Lexington County Family Court	Assisted in computation of baseline data for grant applications.	Project funded. Project provided funds for in-house evaluator.
Cayuse Crime Prevention Unit and West Columbia Prevention Unit	Assisted in grant application development and review. Assisted projects interpret and initiate rather detailed SPA evaluation design.	Project funded.
Fairfield County Communication Equipment	No involvement. Grant not considered for evaluation because equipment purchased to address a state requirement for commission, rather than a program with specific goal.	Project funded.
Lexington County Sheriff's Department	No evaluation, since project involved only increase in personnel performing known task.	Project funded.

the actions would eventually have occurred. The MEP evaluator did not share that opinion. Also, the SPA staff and evaluator admitted that local criminal justice personnel associate the cancellation with the evaluator's activity. While MEP work continued on the other police projects, Department leaders stated they would not request future LEAA subgrants if evaluation was required. This condition prevailed for one year, but the Department did utilize evaluation results in other projects.

After cancellation of the two projects, the Department, the MEP evaluator, and the SPA evaluators spent several weeks redesigning the Patrol Action Team (PAT) project and an evaluation for the project. The Department also reassigned more senior and experienced personnel to direct the project. The evaluation design for the Cadet Action Team (CAT) was also reviewed and modified slightly. With additional attention and personnel focused on the PAT project, the Department began collecting and processing data to implement the evaluation design and utilizing the collected data. As a result of information produced from those efforts, both the PAT and CAT projects changed the areas of the city in which project services were delivering services in order to improve performance. The most used output of the evaluation effort were statistics and maps giving the pattern of reported criminal activity.

The PAT evaluation resulted in a joint RFU and Police Department evaluation report. The document provides a short summary of project activities. Project output was measured in terms of robbery and burglary occurrences, losses and arrests. Analyses involved pre-project and during-project comparisons.

Similar analyses were to be conducted for the CAT project, but baseline data were not comparable with project data. A joint RPU/Police Department report was not prepared.

The MEP involvement and results for the other six projects were much less. The evaluator worked with the Police Athletic League Director to produce an evaluation design acceptable to the SPA, and to produce quarterly reports to the SPA as part of the implementation of the design. Activity relative to the remaining projects ranged from none through pre-grant review of project designs and evaluation plans, to providing assistance in understanding rather detailed SPA evaluation requirements. The two crime prevention projects are in the last category of assistance.

In summary, the evaluators worked most heavily with the Columbia Police Department projects. As a result, the Department has altered recordkeeping procedures and begun to utilize evaluation information. The Department also is continuing, on their own, activities started by the MEP. The residual activity that has begun to occur or may occur in those projects still under way is unknown.

5. DISSEMINATE EVALUATION EXPERIENCES

As just described, the MEP activities are credited with some changes in the evaluation activities of the Columbia Police Department. This situation occurred even in light of two projects being cancelled following submission of an evaluation report. Also, as discussed in the next chapter, in interviews with several Department officers, support was expressed for the MEP activities and acknowledgment of the effect of the MEP in developing a supportive activity. These effects developed through on-the-job work

and training. Materials for transfer of these experiences to other agencies were not developed.

A manual or final report for publication and wide dissemination was not developed as planned. The guideline document on evaluation requested by the RFU Director was not produced either. A workshop on evaluation was held among local criminal justice personnel as part of disseminating information on the SPA-directed grant planning and funding process. Evidence of its effect was not identified. Thus, efforts to disseminate the experiences of the HEP project were limited to informal exchanges, and there is no reason to indicate that much effect was achieved beyond the projects with which the HEP evaluator worked.

IV. OUTCOMES OF THE MEP

The main outcomes of the MEP were expected to be a continuation of the regional resource position and a change in the evaluation activities and attitudes toward evaluation by local officials. In terms of the continuation of the position, the outcome is negative. In terms of local activities and attitudes, some change was observed.

A. LOCAL REACTION TO EVALUATION

As part of the planned assessment of the MEP project, Urban Institute staff interviewed local criminal justice personnel who received services from the RPU evaluator. Representatives of the following projects were contacted for that purpose:

- Lexington County Family Court;
- Lexington County Sheriff's Office;
- Caycee Crime Prevention Office;
- Columbia Patrol Action Team;
- Columbia Cadet Action Team; and
- Columbia Police Athletic League.

In general, the local personnel contacted were satisfied with the assistance they had received from the evaluator, and could identify uses for the evaluation information and experiences obtained during the MEP grant period.

Local opinions of evaluation that were obtained by The Urban Institute interviews are a reflection of local involvement with the MEP-sponsored evaluator and with the SPA evaluation system. Which involvement had the most influence is not known. However, in assessing the local reactions, it should be noted that:

- most of those interviewed had no evaluation experience prior to involvement with an LEAA subgrant and the SPA evaluation requirements; and
- the role of the MEP-sponsored evaluator was quite limited.

Consequently, most of the reaction to evaluation is a reaction to the SPA-required evaluation activities and evaluation as a new activity.

In assessing local reaction to evaluation, it should also be recalled that early in the MEP two subgrants were cancelled as a result of an evaluation report. Following the cancellations, increased attention was given to producing and using evaluation information on two other projects operated by the same agency. This increased attention led to more utilization of the MEP evaluator and evaluation.

1. CONTACT WITH EVALUATION WAS A NEW AND POSITIVE EXPERIENCE

Of the six persons interviewed, only one person had prior experience with evaluation. The experience that did exist was gained in a different organization and as an assistant in planning evaluation.

Four of the six contacted had no definite opinion on the value of evaluation prior to the MEP. One of the remaining two had been positive towards evaluation, the other negative. Four of the six claimed to have developed positive attitudes towards evaluation as a result of the MEP experience. For example:

> Now I feel good about evaluations and can see what they do and what impact.
>
> See accomplishment as an updated record system.
>
> Now we can tell where we were, what we did, and where we are going.

Two respondents indicated no change in their opinions of evaluation.

Three of the persons interviewed stated that they expected to acquire evaluation skills as a result of their participation in the evaluations conducted during MEP. Four claimed that they did acquire skills:

- Learned how to use a computer to predict crime from data.
- Learned how to use census tract data to predict crime by occurrances.
- Ability to look at progress of a project and predict problems that would develop.
- Learned a great deal about statistics.

Two claimed that the development of local evaluation capability extended beyond them.

- Revamped juvenile crime files and will develop computer system for the program.
- Staff further developed intake and follow-up program for a more valid program evaluation.

Five of the six respondents claimed they could carry out the required evaluation activities on their own; one person claimed additional manpower would be required.

As noted above, at least four persons developed a positive attitude toward evaluation, and all six thought the effort was a success. One person claimed that as a result of the study they participated in, there is a consistent effort to evaluate and study the impact of programs.

2. EVALUATION INFORMATION WAS USEFUL

Four of the six local persons interviewed claimed that they had utilized the evaluation information:

- Adjusted program design.
- Changed way of thinking. Helped develop more crime prevention oriented patrols.
- Helped develop skill in reporting to SPA.

All respondents, except one who claimed his position didn't involve decision making, expect to utilize the results in making decisions. Examples cited were:

- Will decide from crime trend data where to shift manpower and equipment.
- Will decide where to set up preventive patrol.
- Plan to use geographic data from the study to plan new programs. Found that largest single group of target crimes comes from public housing; therefore, will set up satellite agency in those areas.
- Found a Kansas City Study that changing duties of man does not change crime. Using the results of the utilization of man and equipment in this study to find a better procedure to better allocate man and equipment.
- We have redesigned the evaluation after looking at the results. Now changed to collect more detailed data. Will need 12 months before can use data.

All six persons identified benefits expected to occur from the evaluation effort.

- Improved police community relations. People becoming aware of target hardening.
- Increase the manpower capability (one probation counselor and two probation officers). Obtain insights to program.
- Better understanding of research in the criminal justice system. Had experience in evaluation of other areas.

3. MEP EVALUATOR ROLE: LIMITED, BUT SATISFACTORY

The role of the MEP evaluator most frequently identified by local personnel was one of answering questions and giving advice concerning the evaluation requirement of the subgrant. One project claimed there was no involvement worth mentioning, whereas three projects identified involvement in setting up data collection and analysis procedures, and participating in the implementation of the procedures.

Four of the six persons interviewed identified having someone to answer evaluation questions as the main advantage of having a regional evaluator. A fifth person claimed that the evaluators would have been more useful if they had juvenile justice experience, which they did not. He realized that a regional evaluation office could not be expected to have substantive experience in all criminal justice fields, but the limitation would limit the evaluator's potential value and involvement.

Four of the six persons interviewed claimed the evaluation activities carried out by their projects could have been done without the regional evaluator. Two claimed that the regional office capability to put together a research design, establish baseline data and establish procedures and access to computers was essential to the evaluation efforts.

Only one person could identify ways in which the evaluation activities could have been improved. He wanted an evaluator with criminal justice experience. Two others thought it would have been better if the projects themselves were larger, but the "better" was in terms of project effect and not evaluation.

B. CONTINUATION OF REGIONAL POSITION

One month before the grant terminated, the second regional evaluator resigned to assume other employment. One reason cited for the early change in employment was the knowledge that the program would not be continued. Several months earlier, the Director of the CMRPC had decided not to attempt to obtain funds to continue the position. This decision was in part due to the fact that potential new funding sources could not be identified, and the Director was not sufficiently convinced of the worth of the activity to divert existing funds to the position.

While the regional evaluator position has not been continued by the RPU, the SPA has shown some interest in having it continued. Prior to the MEP, the SPA evaluation director stated that there was little or no need for a regional evaluator. After observing the success of the MEP evaluator institutionalize some evaluation activities in the Columbia Police Department, the SPA evaluator claimed that such a position appears to be necessary to get local projects to utilize evaluation. Whether the SPA eventually funds regional evaluators remains to be seen.

C. SUMMARY AND CONCLUSION

The Central Midlands MEP represents an attempt by an RPU to make evaluation a useful component of local management activities. The method used was to establish a regional evaluator to direct and coordinate evaluation activities in the region. With MEP funds, the position was established. However, when MEP funds expired, the position was lost.

During the period of MEP funding, the regional evaluator assisted LEAA funded projects meet SPA requirements for evaluation at various stages of a project's life. Most projects were given assistance in developing designs, some were given assistance in collecting data, and two were given assistance in preparing an evaluation report. One evaluation report was produced.

The principal effect of the MEP appears to be in the Columbia Police Department. The Department now uses the Geographic Data Base File independent of outside support, and has adopted MEP instituted recordkeeping modifications. Two cancelled projects are also associated with the efforts of the MEP evaluator.

The RFU, in the final progress report to the National Institute for the MEP project, cites the changes in the Columbia Police Department as evidence of achievement of the objective to improve local attitudes toward evaluation. An SPA evaluator concurs in this view by noting that without the presence of a regional evaluator working with the Department on SPA evaluations, the positive acceptance and use of evaluation would never have occurred. In interviews, Department personnel stated that the regional evaluator was more acceptable than other outside evaluators, since she was part of the local criminal justice agencies. Yet, they would have preferred her to work directly for them in order to provide better direction to her activities.

The RFU has cited three major lessons they have realized from their MEP experience:

(1) Evaluations must be designed into a program before the program begins.

(2) Data and recordkeeping activities of local agencies are not adequate to support evaluation activities.

(3) The Geographic Data Base File can be adopted and used for manpower allocation by urban police departments.

The first two findings are relatively common, and demonstrate the need for some evaluation resources at the regional level. The third finding presents what may be a useful evaluation tool for other departments. Of more importance, the use of such a tool may be an effective means for an outside evaluator to build the evaluation capability of an agency.

The Central Midlands MEP project is similar in many respects to the Association of Central Oklahoma Governments project.

- Much of the motivation for the project was a desire to reverse the negative attitude toward evaluation, in particular, evaluations required by state and federal agencies.
- The project model was changed to accomodate local data production capabilities and focus on LEAA evaluation requirements.
- Evaluation information produced was much less than anticipated in quality, quantity, scope and utility.
- Continuing activities and residual effect are limited to those agencies with which the evaluator worked directly.
- The local agencies exhibited an open attitude toward the regional evaluators and provided access to them.
- However, unless forced to do so by other requirements, they are not likely to produce data or perform evaluations at the request of the RPU evaluator.

Unlike the Association of Central Oklahoma Government project, a local agency (the Columbia Police Department) did begin to make continued use of evaluation tools and procedures developed during this MEP effort. This result, similar to the experience in Ventura, California, is attributed to the evaluator's role in introducing the tools, not continuing to operate them for [illegible]

In summary, the Central Midlands MEP project demonstrates that when evaluation requirements already exist:

- it is difficult for a regional person to expand or modify them;
- when available, a facilitator role will be utilized in meeting the requirements, but it is not essential; and
- significant portions of time are likely to be expended on other tasks than evaluation.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE JACKSONVILLE OFFICE OF CRIMINAL JUSTICE PLANNING

by
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I. INTRODUCTION AND SUMMARY

The Office of Criminal Justice Planning (OCJP) in Jacksonville, Florida, is a division of the Mayor's office, and therefore responsible not only to the Law Enforcement Assistance Administration (LEAA), but also to the Mayor and to Jacksonville's Department of Human Resources (for administrative matters). The OCJP acts as liaison between Florida's LEAA State Planning Agency (SPA) and local LEAA-funded projects, and assists the Mayor, City Council, and city government agencies with criminal justice planning for Jacksonville.

The Model Evaluation Program (MEP) grant to this Regional Planning Unit (RPU) in Jacksonville was used to expand the scope of an on-going evaluation office. The RPU had conducted project evaluations in selected areas for several years. With the MEP, the OCJP attempted to build on the existing evaluation capabilities by: expanding the staff to conduct more evaluations; and conducting evaluations that involved more variables.

During the MEP, additional staff were obtained to provide a temporary increase in capability. The units of analyses changed and the studies involved different analyses and criminal justice activities than previous evaluations.

During the period of MEP funding, seven studies were completed. The studies were non-experimental and descriptive in nature. Reasons cited by the RPU staff for using the less sophisticated approach are:

1. The Evaluation Unit did not have the resources to implement sophisticated evaluation designs.

2. The information needs of the system did not warrant rigorous research designs or, alternatively, information needs of criminal justice system decision makers could be met through soft research approaches.

3. Expectations of the Evaluation Unit in terms of quantity of evaluations made such long-term studies unfeasible.

4. Projects/programs had not developed the necessary data base to facilitate rigorous research.

A unique aspect of the studies performed in Jacksonville before the MEP and planned for the MEP was the "follow-up" evaluation. Most studies were to contain a series of specific findings and recommendations for actions to be taken. The follow-up evaluation would assess the extent to which the recommendations were adopted. In this manner, the evaluation efforts were part of the RPU's strategy aimed at the management of project activities. Although "follow-up" evaluations were conducted on projects evaluated prior to the MEP, only one was conducted as a result of a study performed under the MEP.

The MEP demonstration effort in Jacksonville provides evidence that there was a demand for this type of analytical capability in the city, and that the studies completed did have some effect on criminal justice operations. However, the demand was not sufficient for OCJP to continue the evaluation office at the level of activity reached during the MEP.

The following sections describe Jacksonville's effort and the success they had.

II. EVALUATION SYSTEM RATIONALE AND DESIGN

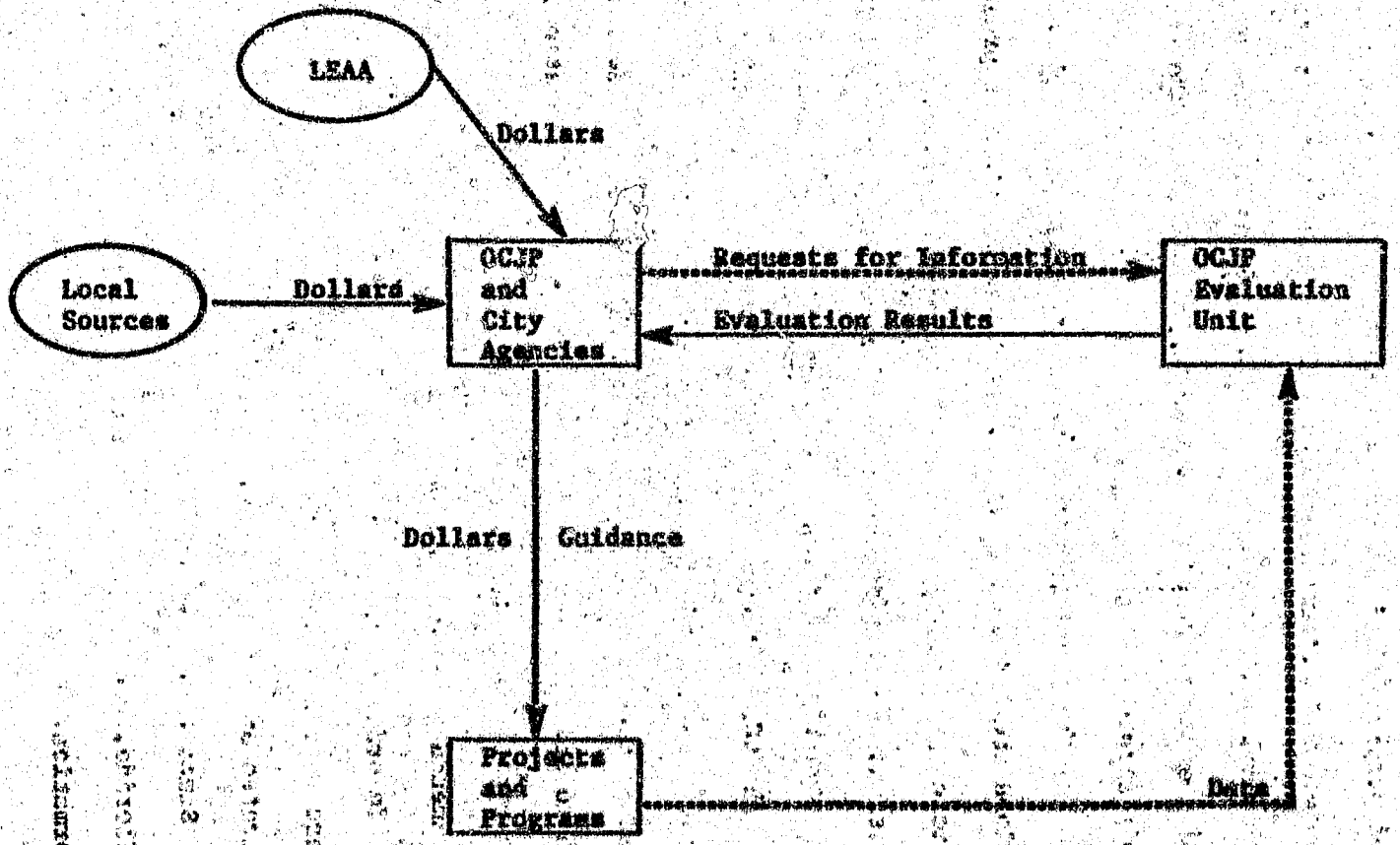
The MEP in Jacksonville was designed to expand an existing system to provide additional information to criminal justice decision makers who, over a several year period prior to the MEP, had learned to rely on the OCJP for planning information.

Figure 1 illustrates the evaluation system planned by OCJP. The system operated as planned except in the sources of requests for evaluation information. Although the OCJP received enough requests for evaluation studies, the first study conducted under the MEP was initiated by the MEP Unit supervisor.

A. EVALUATION SYSTEM PLANNED AND TESTED

The OCJP planned to expand their existing system by increasing the size of their staff, using consultants to advise and assist this staff, changing the unit of analysis, and increasing the number of evaluation studies conducted. During the MEP, the evaluation unit of the OCJP tripled in size, consultants were used for only a short while, and the unit of analysis was changed. However, the number of studies conducted was the same as in the year prior to the MEP.

FIGURE 1: JACKSONVILLE MEP EVALUATION SYSTEM



1. USES OF EVALUATION INFORMATION

There were three primary groups of users for the studies conducted by the MEP staff: administrators of city agencies; managers of evaluated programs; and members of the OCJP's advisory council. The advisory counsel includes administrators of city agencies operating criminal justice programs. Those administrators make some decisions concerning criminal justice programs as members of the advisory council and others as administrators of their agencies.

The MEP provided information with which those groups could make decisions about the operation, adoption and funding of programs, and about policies that affect programs. Program and project personnel also made decisions and modified recordkeeping, data collection and the use of data collected based on their experience with the MEP evaluation.

The OCJP affected some decisions and decision makers in the criminal justice system (CJS) by uncovering or verifying areas of the system that could be made more effective or less costly. Those decisions pertained both to specific programs and to general agency operations. The evaluation reports provided evidence that changes should be made and contained recommendations for changes.

In order to assure the utility of the information provided, decision makers were involved in the selection of programs and activities to be evaluated and in the design of the studies.

Since there was no statewide evaluation system imposed by the SPA in Florida, the OCJP did not have to provide that group with evaluation information.

2. UNIT OF ANALYSIS

Prior to the MEP, the OCJP's Evaluation Unit focused its studies on LEAA-funded projects. Under the MEP, the OCJP planned to evaluate ten programs and projects, whether or not they were funded by LEAA. However, only one program--non-LEAA funded--and one project--LEAA funded--were evaluated. The other studies conducted were descriptive planning studies of components of Jacksonville's criminal justice system.

3. EVALUATION OPERATIONS

In the Jacksonville system, the design, data collection and analysis activities of an evaluation are performed in-house. Although there were no plans to provide evaluation training for the staff of programs evaluated, the Evaluation Unit assisted program and agency staff in establishing new data collection and recordkeeping procedures. Initially, some consultant support of the in-house staff was utilized, but that approach was discontinued after a few months. The studies undertaken were to be completed by a two- to four-member team in about six weeks. However, most studies took between eight and fourteen weeks to complete. The work resulted in a report prepared by the staff for dissemination to agency and program personnel, policy makers in the city, and the public.

Before releasing evaluation reports, the Evaluation Unit meets with agency and program personnel to brief them on their findings. This provides an opportunity for those involved with the evaluated programs to correct any parts of the reports they feel misrepresent their program.

After release of an evaluation report, the Evaluation Unit schedules a follow-up study in six months to see if the recommendations in the report

are carried out. These findings are made available to the agency and policy personnel in the city who are responsible for the program.

The OCJP viewed these follow-up studies as an important component of the evaluation system they planned to test under the MEP. Since five of the seven studies were planning studies rather than evaluations of programs, and one of the two programs evaluated was terminated shortly after the evaluation, only one follow-up study was conducted.

Prior to the start of the MEP, the evaluation staff selected projects for evaluation from the set funded by OCJP. They proposed an evaluation agenda to the OCJP council for approval and authorization to proceed. The agenda was based on a subjective assessment by the staff of what could be evaluated and what warranted evaluation. By the time the MEP was being planned, several OCJP evaluations had been circulated in the local criminal justice community. As a result of the exposure, the Evaluation Unit was experiencing some requests for studies from local agency, policy and program personnel. It was thought that this demand would be sufficient to generate an evaluation agenda for the OCJP and serve as the selection process. As discussed below, capacity to perform studies was about equal to the demand during the MEP.

B. RATIONALE FOR THE EXPANDED EVALUATION SYSTEM

In Jacksonville, nearly all LEAA-funded programs are in city agencies. As grants manager, monitor and evaluator of those programs, the OCJP has regular contact not only with program personnel, but also with agency

decision makers. Since the OCJP is a division of the Mayor's office, the OCJP staff has regular contact with city agencies that are involved in criminal justice programs and with members of the City Council. As a result of the criminal justice related contacts the OCJP staff has had over the past several years with these groups, that staff has established itself as a provider of information on criminal justice programs.

Prior to the initiation of the MEP in Jacksonville, the OCJP staff included one evaluator and one research assistant/secretary. In the year preceding the MEP, these two persons had evaluated seven projects, spending about six weeks on each study. Most of the studies were in corrections, primarily adult corrections. Evaluation studies were initiated by OCJP staff for the purpose of providing projects with information which documents the effective uses of the project and the value of evaluation. Final reports were distributed to the evaluated project personnel and the chairman of the OCJP advisory council. The rest of the council members were given summaries of the evaluation reports. All agencies of the city government are represented on the advisory council, and therefore were recipients of the summary evaluation reports.

As a result of the organizational position of OCJP and the distribution procedure for studies, all city agencies were familiar with the work of the Evaluation Unit. However, evaluation studies conducted prior to the MEP were of individual projects, focused on the management of those projects, and were restricted to LEAA-funded projects. Since demand was extending beyond the LEAA projects and beyond the capacity of the staff, OCJP decided to experiment with an expansion of the staff and the scope of work.

The OCJP had two major objectives for their MEP program:

- to build evaluation capability in Jacksonville more rapidly than previously possible, and
- to have a greater effect on Jacksonville's criminal justice system than previously possible.

By participating in the MEP, the OCJP hoped to build evaluation capabilities in Jacksonville in two ways:

- Conduct evaluation studies which would be so useful to local criminal justice decision makers that funds would be allocated to continue OCJP's evaluation unit after the MEP.
- Assist programs or projects within the Jacksonville criminal justice system in developing or upgrading existing in-house data collection and evaluation procedures and capabilities.

III. OCJP's MEP STRATEGY EXPECTATIONS AND EXPERIENCES

The MEP strategy for expanding and institutionalizing the evaluation system was to obtain more staff and conduct several demonstration evaluations during the period of MEP funding. As a result of these activities, the OCJP staff expected to attract funding to continue the evaluation system. Also, with each demonstration study, the staff expected to have some effect on the local criminal justice system and local evaluation capabilities.

A. STRATEGY

The strategy tested by the Jacksonville MEP has been divided into five components for presentation and analysis purposes:

- augmentation of staff,
- study selection,
- conduct of demonstration studies,
- utilization of demonstration studies, and
- increasing local criminal justice evaluation capability.

The first two components represent the major change introduced by the MEP. The last three components represent the performance and use of the studies conducted with the expanded staff. The utilization of the demonstration studies was to occur in two ways: agency administrators and

program personnel used the results when making decisions about an evaluated program; and, the OCJP's Advisory Council used the results when making funding decisions. Increased local criminal justice evaluation capabilities were also to occur in two ways: increase capability within criminal justice agencies to utilize evaluation results and to collect and evaluate their own data; and demonstrate the value of evaluation to local personnel who can provide future funding for the Evaluation Unit. The specific expectations and outcomes of these components are described in the following sections.

B. EXPECTATIONS AND EXPERIENCES

The expected activities and outcomes for each of the five components are summarized in Tables 1 and 2. Outcomes are given in terms of events expected to occur during the MEP and be continued after MEP funding was terminated.

1. AUGMENTATION OF STAFF

The MEP Unit was fully staffed within three months, but staff turnovers continuously caused problems. The existing two-person Evaluation Unit staff was increased to six members for the MEP. The Unit maintained that size for most of the grant period, but was reduced to four members when the grant ended.

In order to expand the number and scope of in-house evaluations, it was necessary to augment the existing two-person staff. The augmentation was attempted in two ways:

- hire more staff members; and

TABLE 1: EXPECTED RESULTS OF JACKSONVILLE MEP

Component	Result Expected from Component during MEP	Aspect of Component Expected to Continue under Planned System
I. Staff Augmentation	(0) Three new staff members (-) Consultant support	Five staff positions for performing evaluations
II. Selection Process	(+) Requests for studies from local officials will create candidate study topics.	Continued demand will generate study topics.
III. Conduct Studies	(0) Ten six-week studies	Continue to conduct studies at about same rate
IV. Utilize Results	(+) Decision makers read and use studies as a basis for decisions on evaluated programs. (0) Improvement of program's operation	Continue to have same effect
V. Increase Evaluation Capabilities	(-) Increased evaluation activities and capabilities of local agencies (0) Demonstrate value of evaluation to local decision makers.	

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

Component	Degree of Success with Component	Major Problems Encountered	Significance of the Experience with Component
I. Staff Augmentation	(0) Four new staff positions created, but staff capability not increased proportionally	High staff turnover	Expected capability not realized
		Inexperienced personnel	Personnel resources required for training
	(-) Consultant contract initiated, then cancelled	Required too much staff time to integrate consultants with study activity	Expected resources unavailable; limited amount of work that could be performed
II. Selection Process	(+) Six of seven studies by request	Some requests in areas other than had been planned	Additional study generated to satisfy OCJP functions for which evaluation information is not essential
III. Conduct Studies	(+) Conducted seven studies of greater scope than originally intended	Some requests required larger studies than had been anticipated	Responding to demand limits flexibility
IV. Utilize Results	(+) Reports prepared and read from six of the seven evaluations	Interest limited in some studies	Moderate support existed for study activity
	(0) Some program improvements	No actions appropriate or feasible in two studies; limited actions identified for two studies	Effect of studies on local criminal justice system limited
V. Increase Evaluation Capabilities	(-) No local increase in evaluation capability	No mechanism developed to alter local capability	No residual effect
	(+) Evaluation unit in OCJP refunded		Local decision makers seem satisfied with work of OCJP evaluation unit

Legend: +: Success; 0: Partial success; -: Was not attempted or did not occur as planned

TABLE 2: JACKSONVILLE EXPERIENCE

- obtain consultant support for the staff.

As the project proceeded, it was necessary to take a third step:

- provision of training to the staff.

The in-house professional staff expanded from two to five, and a full-time secretary was hired. The grant proposal provided funds for this purpose. If continuation funding could be secured, then the increased staff size was to be maintained. The staff included a unit supervisor, two evaluators, two research assistants and a secretary, and was organized into two teams. Each team consisted of one evaluator and one research assistant, and most evaluations were to be conducted by one team. Both teams worked together when an evaluation was of such size as to necessitate the use of four staff members to complete it in a short time.

The staff was increased from two to six over a three month period. The first staff turnover occurred within two months, and by the end of the grant nine persons had moved through four of the slots.

Staff turnovers caused several problems:

- lack of continuity on individual studies;
- lack of increase in skills as experienced staff departed; and
- inability to make replacements with equally skilled staff.

These problems became so severe near the middle of the MEP funding period that it become necessary for the unit director to offer an in-house training course. The training effort diverted staff time and resources and was judged to be of limited success by the director.

Following the period of the MEP funding, the staff was reduced to four members. Also, none of the staff on the pre-MEP staff remained with OCJP.

The Director of the OCJP gave three reasons for not maintaining the larger MEP staff:

- The team remaining after the MEP--one evaluator and two research assistants--worked very well and efficiently together.
- The problems involved with finding qualified persons and hiring staff members who might need some training or who might leave the Unit while conducting a study were greater than the potential benefits of additional qualified staff.
- Since demand for studies did not exceed the remaining team's ability to conduct studies, the monies allocated for OCJP's Evaluation Unit would last longer without additional staff.

The in-house teams were expected to be capable of performing most of the evaluation design, data collection and analysis tasks. However, it was anticipated that more specialized skills would be needed periodically. For this reason, provisions were included in the MEP grant for consultants to be retained to support the staff. Initially, $4,224 and an estimated 44 person-days were allocated for consultant support.

The attempt to increase staff capability temporarily with consultants also encountered problems. Shortly after receipt of the MEP grant, the OCJP entered into a contract with two consultants from Florida State University to provide services during the MEP grant period. For the first two months of the grant, the Florida State faculty members visited the OCJP staff approximately one day per week. After two visits during the third month, the consultant contract was terminated, and the $2,592 remaining in the contract was reallocated to extend the grant period.

The principal reasons cited by the director for terminating the arrangement were:

- It took too much staff time to educate the consultants on the local criminal justice and evaluation situation and problems.

- The input of the consultants to staff capabilities or individual studies was too small.

In general, the director believed that the staff could accomplish more working on their own and with supplemental training provided by other RFU staff.

2. SELECTION PROCESS

The selection of studies conducted was guided by requests for studies of specific programs or of areas in the criminal justice system in which specific decisions were pending; requests by advisory council members for studies of areas of the criminal justice system in which little or no information was available for future planning, but for which no specific decisions were pending; and the OCJP's need for a training exercise to orient new staff to Jacksonville's criminal justice system. The demand for studies did not exceed the Evaluation Unit's capacity to conduct them.

During the MEP, the OCJP Evaluation Unit performed studies in response to requests from local agencies and officials. That is, demand for the evaluations drove the selection process. Two activities involved in this selection process are:

- Generation of Demand: The three principal means of generating requests for studies were routine contact by the RFU staff with agency administrators and program directors, a set of interviews conducted by the MEP Director, and the OCJP Executive Director's regular meetings with the Advisory Council. In the past, during routine contacts, questions of program efficiency, effectiveness, and cost benefits had been asked by administrators and directors, but generally had not led to evaluation studies. As members of the OCJP Advisory Council, agency administrators were made aware of the staff available to answer some of their questions. As questions arose in routine contacts during the year, OCJP staff encouraged agency administrators and program directors to turn their questions into requests for evaluation studies.

The MEP Director also interviewed five key decision makers--the chief administrative officer for the city of Jacksonville, the Director of the Department of Human Resources, a juvenile court judge who is chairman of the OCJP's Advisory Council, the editor of the editorial page of a Jacksonville newspaper, and an aide to the Mayor--for the specific purpose of finding out what programs or areas of the criminal justice system they wanted to see evaluated.

The latter activity did not lead to specific evaluation studies, but did reinforce requests for studies made by the Advisory Council.

- Screening Requests: Prior to initiation of the MEP, the OCJP staff had planned to focus on the law enforcement and courts components of the criminal justice system. These components had not been studied in the past and, therefore, requests for studies in these areas were to be given higher priority than requests in other areas. Due to the small number of requests during the year, this criteria was not utilized. As originally planned, decisions on studies to conduct were made throughout the year. The staff felt that by making decisions during the year, they could always select a study for which there was current interest and which would provide information with which pending decisions could be made. The staff did not receive more requests than it could handle and, therefore, did not have to select from among several requests.

During the course of the MEP, the number of requests was fewer than anticipated. The level of demand and the actions taken are indicated in Table 3.

Since demand was equal to the evaluation capacity, it was not necessary to select among competing requests. The screening activity reduced to determining whether the study was appropriate for evaluation. Only one request was rejected. It was a request to evaluate a program that the OCJP had previously evaluated.

Four of the studies were conducted as a result of requests for information which was needed for pending decisions.

- Correctional Master Plan: A federal court decision had mandated changes in jail operations in Jacksonville. The sheriff therefore requested a study to develop a comprehensive, long-range plan for Jacksonville's correctional system.

TABLE 3: REQUESTS FOR STUDIES UNDER THE MEP

	Study	Source of Request	Action Taken
1.	Descriptive Study of Criminal Justice System in Jacksonville	MEP Unit Supervisor	MEP Unit conducted study
2.	Correctional Master Plan	Mayor and Sheriff	MEP Unit conducted study
3.	Jacksonville Drug Abuse Program	Program Director	MEP Unit conducted study
4.	Minority Recruitment Project	OCJP's Advisory Council	MEP Unit conducted study
5.	Assessment of Projects and Services for Dysfunctional Youths in The Duval County School System	Subcommittee of OCJP's Advisory Council	MEP Unit conducted study
6.	Witness/Juror Utilization Study	Chief Judge and Court Administrator	MEP Unit conducted study
7.	Descriptive Study of The LEAA Process in Jacksonville, 1969-1976	OCJP's Advisory Council	MEP Unit conducted study
8.	Halfway House	Program Director	MEP Unit rejected request

- Jacksonville Drug Abuse Program: The newly appointed Director of this program requested an evaluation which he planned to use to guide him in his role as Director.

- Minority Recruitment Project: A decision on the refunding of this highly controversial program was pending in the CCJP's Advisory Council. The Council requested an evaluation to guide their decision.

- Witness/Juror Utilization Study: Problems with the witness and juror processes in the circuit court led the Chief Judge and Chief Administrator of that court to ask the Evaluation Unit to conduct a study of the processes.

Two of the studies were conducted as a result of requests from Advisory Council members who wanted information on areas of the criminal justice system in which little information was readily available to them.

- Assessment of Projects and Services for Dysfunctional Youths in The Duval County School System: The Crime Prevention Subcommittee of the Advisory Council needed information on available projects and services in order to plan for the future.

- Descriptive Study of The LEAA Process in Jacksonville, 1969-1976: The Advisory Council wanted to know which components of the criminal justice system were receiving LEAA funds and what happened to LEAA-funded projects. They hoped this information would guide them in allocating future LEAA funds.

The first study conducted under the MEP, Descriptive Study of Criminal Justice System in Jacksonville, was initiated by the MEP supervisor as a training mechanism to orient new staff members to Jacksonville's criminal justice system.

3. CONDUCT STUDIES

All studies were designed by the MEP Unit. The Unit also collected all data through interviews and questionnaires, and by reviewing agency and program files. They conducted fewer, but longer, studies than they had planned.

Originally the Evaluation Unit planned to conduct ten studies during the year of MEP funding. The expected duration of each study was to be approximately six weeks. The studies were also expected to cover portions of the law enforcement and courts components of the criminal justice system. The designs and methodologies to be used were to be tailored to the particular activities being evaluated.

Only seven studies were completed during the MEP and most studies took longer than six weeks to complete. One study was in law enforcement and one in courts, and the others were in other components of the criminal justice system. As planned, the designs and methodologies used were tailored to the activities under study.

Table 4 summarizes the type of studies conducted during the MEP. The duration and focus of the studies were slightly different than anticipated. Seven studies were conducted instead of ten, and the average duration of the studies was thirteen weeks. One reason for the larger-than-anticipated average duration was the Correctional Master Plan study, which was of larger scope than the evaluations the unit had planned to conduct. The study was undertaken due to the level of interest by local officials in determining correctional needs. The other project expected to have high utility was an evaluation of a Minority Recruitment Project operated with LEAA funds by the Sheriff's department. The project was under public criticism which was forcing decisions on its future.

The seven studies conducted by the MEP Unit are:

1. <u>Descriptive Study of the Criminal Justice System in Jacksonville:</u> This study describes the operations of the major criminal justice agencies in Jacksonville. It contains descriptive information on the organizational structure of those agencies and on the client flow through the local criminal justice system.

MSP Studies	Source of Request	Area of Study	Unit of Evaluation	Predicted Extent of Utility	Program Evaluation (PE) or Planning Study (PS)
1. Descriptive study of criminal justice system in Jacksonville	MSP Unit Supervisor	Total criminal justice system	System	Minimal beyond OCJP	PS
2. Correctional master plan	Mayor and Sheriff	Corrections	Subsystem	High	PS
3. Jacksonville drug abuse program	Program Director	Corrections	Program	Medium	PE
a. Administrative structure and residential facility					
b. Out-patient and methadone component					
4. Minority recruitment project	OCJP's Advisory Council	Training	Project	High	PE
5. Assessment of projects and services for dysfunctional youth in the Duval County school system	Subcommittee of OCJP's Advisory Council	Crime Prevention	Projects	Low	PS
6. Witness/juror utilization study	Chief Judge and Court Administrator	Courts	Program	Medium	PS
7. Descriptive study of LEAA process in Jacksonville in 1968-1976	OCJP's Advisory Council	Criminal justice system	System	Minimal	PE

TABLE 4: STUDIES PERFORMED THROUGH MSP

2. Correctional Master Plan: This study presents a long-range, comprehensive plan for Jacksonville's correctional system. It includes a description of Jacksonville's current correctional system and identifies programs to meet current and projected future needs.

3. Jacksonville Drug Abuse Program: This is a study of the administrative structure of the program.

4. Minority Recruitment Project: This study evaluated the effectiveness of the project in meeting its goals and the process by which the project had attempted to meet those goals.

5. Assessment of Projects and Services for Dysfunctional Youths in The Duval County School System: This study describes the existing system for handling dysfunctional youths in the Duval County schools and makes recommendations for changing that system.

6. Witness/Juror Utilization Study: A comparison was made between the court's current systems for handling the juror process and the witness process and national standards for those systems. Based on those comparisons, recommendations for improving Jacksonville's systems are presented.

7. Descriptive Study of The LEAA Process in Jacksonville 1969-1976: This study describes the LEAA process in Jacksonville, including the local decision-making structure, the allocating of funds, and an assessment of that process.

a. Design

The designs for the seven studies conducted under the MKP were tailored specifically for the program/project/subsystem studied. Decision makers who were thought to be potential users of the information produced in the studies were consulted during the design stage in order to obtain their input. These decision makers included program directors, agency and department directors, a superintendent of schools, members of the City Council, and others. Besides talking with agency and project decision makers during the design stage, Evaluation Unit staff also reviewed project and agency records to determine what records were kept, and to identify sources of data for the evaluations. In one instance, a Request for Proposal (RFP) had been prepared by the Sheriff to hire a consultant to conduct a study.

When he and the Mayor decided to ask the MEP Unit to conduct the study, the RFP served as the research design.

b. Data Collection

For all MEP studies, the MEP Unit staff were responsible for collecting data. Their three primary sources were existing criminal justice system records, existing program/project records, and interviews. Since they were frequently concerned with whether a program or system is operating according to good management principles, the MEP evaluators relied heavily on interviews and examination of program recordkeeping systems. When appropriate, program data were compared to national or other standards uncovered during literature searches. When appropriate and available, client data were collected.

The quality and quantity of data available varied, but the MEP Unit staff were never denied access to data. Nor did they have any problems with interviews.

c. Analysis

All analyses of data collected were done by the MEP Unit staff, and in no instances were computers used to assist with analysis. Three types of comparison were made by the staff:

- comparisons to national, state or other external standards;
- comparisons of actual program or agency operations with MEP staff's perceptions of how programs or agencies should operate or the perceptions of people interviewed about the availability and success of services, of what exists and what should exist; and
- comparisons between initial project projections and actual project achievements.

c. Staffing

Figure 2 shows the duration of each study and the evaluation staff time devoted to the study. The unit supervisor divided his time among all studies as they were conducted. The Drug Abuse Program Study and the Minority Recruitment Program Study were the only ones staffed as originally intended, i.e., one team consisting of an evaluator and a research assistant. For each of the other studies, the two teams worked together for at least part of the time.

4. DISSEMINATION OF RESULTS

The OCJP's process for disseminating results and assuring utilization of results of the studies conducted under the MEP consisted of five components:

- Briefings for program personnel and agency administrators associated with an evaluated program prior to preparation of the final draft of final reports.
- Distribution of final reports to program/project personnel and, upon request, to other persons in Jacksonville.
- Briefings of OCJP's Advisory Council on final reports and distribution of summary reports to the members of the council.
- Follow-up report six months after completion of the evaluation of the one program evaluated.
- Assistance provided to the program which was evaluated to help implement the recommendations in the evaluation report and to provide a quality control on the flow of information to the program director.

This process differed slightly from the one used by the staff prior to MEP, and which they had hoped to use during the MEP. They had expected to conduct follow-up studies six months after each evaluation, but because

FIGURE 2: STAFFING FOR EVALUATION STUDIES

Study	Duration Calendar Weeks	Staff Allocation Man-weeks		
		Evaluator	Research Assistant	Graduate Students
1. Descriptive Study of Criminal Justice System in Jacksonville	4	4	6	
2. Correctional Master Plan	9	13	18	26
3. Jacksonville Drug Abuse Program	14	14	14	
a. Administrative structure and residential facility b. Out-patient and methadone component				
4. Minority Recruitment Project	8	8	8	
5. Assessment of projects and services for dysfunctional youth in the Duval County school system	12	21	18	
6. Witness/Juror Utilization Study	9	17	17	
7. Descriptive study of LEAA process in Jacksonville in 1969-1976	12	12	20	

most studies were planning studies rather than program or project evaluations, those follow-up studies were considered inappropriate. The Correctional Master Plan was distributed widely in Jacksonville, was released to the public at a press conference, and received a considerable amount of press coverage.

Table 5 summarizes the dissemination process and actions associated with each of the seven studies undertaken during the MEP.

As indicated in Table 5, six of the studies resulted in the publication of a final report during the period of MEP funding. In all cases, draft results were presented to persons involved with the evaluated activity prior to public dissemination of a report. In two of the studies, publication was held up for about six weeks to correct minor errors in the reports and allow the agencies involved to remedy operational problems uncovered.

The MEP staff presented the results of their studies orally to officials associated with the studies during the preparation of final reports, and the Advisory Council was briefed as each study was completed. All six of the studies completed during the MEP grant period were considered useful by at least some of the officials in Jacksonville for whom the reports were intended.

Two types of utilization occurred from the MEP studies:

- Decision makers received, read and used completed studies as a basis for decisions on the evaluated activities.
- Changes occurred in the criminal justice system.

TABLE 5: SUMMARY OF UTILIZATION PROCESS AND RESULTS FOR MEP STUDIES

MEP Study	Dissemination Process	Product	Outcome
Descriptive Study of Criminal Justice System in Jacksonville	Reports distributed to advisory board, Police Academy and citizens groups	Final report	None identified
Correctional Master Plan	Briefing held with Mayor's representative and Sheriff's representative to review report. After preparation of final version, a press conference was held at which results were made public. Local correctional officials, Jacksonville area Chamber of Commerce and Jacksonville Council for Citizen Involvement all held meetings to review the report. Report distributed to advisory board, City Council members, media, local legislators, other local criminal justice administrators, and others.	Final report Press coverage Requests for additional reports on some recommendations Cost analysis reports on recommendations made	Criminal justice agency and City Council made decisions based, in part, on information produced, e.g., to build a juvenile shelter, postponement of decision to build a jail, introduction and partial passage of legislation which would enable Jacksonville to form a Department of Corrections independent of the Sheriff. Initiation of a pre-trial intervention project
Jacksonville Drug Abuse Program a. Administrative structure and residential facility b. Out-patient and methadone component	Project director briefed before completion of final reports. A few changes were made in final reports, and they were distributed to advisory council, program director, City Council secretary and City Auditor's office.	Follow-up report six months after completion of first part of evaluation	Focused project director's attention on a few areas that needed improvement. Some program changes made.

TABLE 5: SUMMARY OF UTILIZATION PROCESS AND RESULTS FOR MEP STUDIES (Cont'd.)

MEP Study	Dissemination Process	Product	Outcome
Minority Recruitment Project	Project personnel and Sheriff's representatives briefed before completion of final report. Dissemination held up six weeks to allow project to correct weaknesses. Monitoring visit six weeks after briefing resulted in report which was included in final report. Complete report distributed to a few members of Sheriff's staff, project director and sponsoring agency, and some members of the Mayor's office. Synopsis distributed to a few additional people in Sheriff's office, on City Council, in sponsoring agency, and Police Academy.	Final report	Discontinuation of project which had uncertain future before the study
Assessment of Projects and Services for Dysfunctional Youth in the Duval County School System	Draft summary containing preliminary findings made available to participants at a conference on crime prevention and the schools. Draft final sent to Superintendent of Schools for review and then distributed to members of school board and other interested parties. Summary document distributed to advisory council which was also briefed on findings.	Final report	Programs included in OCJP's annual plan
Witness/Juror Utilization Study	Draft report reviewed by chief judge and other officials of the court system. Final report distributed to them. Summary document distributed to advisory council.	Requests for assistance in determining how to implement recommendations	Request made by chief judge to transit authority to consider providing additional service for jurors
Descriptive Study of LEAA Process in Jacksonville in 1969-1976	Not completed during the MEP.	NA	

IV. OUTCOME OF THE MEP

Three aspects of the outcome of the OCJP's MEP activities are:

- user reaction to the MEP studies;
- the extent of institutionalization of evaluation activities; and
- the conclusions that have been drawn from the experience.

Local user reaction to the MEP studies was positive, the OCJP's evaluation activities continue, the MEP had only a slight effect on evaluation activities in other local agencies, and the OCJP learned or confirmed lessons which may be useful to other agencies.

A. USER REACTION

Eleven local officials were interviewed in Jacksonville to determine whether or not the studies conducted under the MEP were useful to them.[1] Three of the interviews were conducted prior to the end of the MEP, but after completion of studies which were of specific interest to the persons interviewed. The other eight interviews were conducted after the MEP grant had terminated. Table 6 below summarizes some of the information provided in the interviews. Most of the persons interviewed were satisfied with the studies of programs on criminal justice components with which they

1. Those interviewed included: two judges; the sheriff; a member of sheriff's staff; a court administrator; the Director of Jacksonville's Department of Human Resources; the Director of Jacksonville's Department of Welfare and Bio-Environmental Services; Chief Administrative Officer for the City of Jacksonville; the Director of an evaluated program; and the Director of the Community Relations Commission.

TABLE 6: USER's COMMENTS ON MRF EVALUATION

Number of Users	User Comment
Three out of eleven	Read most or all of the reports.
Ten out of eleven	Read at least one of the reports. (The eleventh official was new in his job and had not had time to see the studies.)
Eight out of ten	Had positive feelings about what they read; e.g., ". . . is one of the most significant studies in a long time" and "good product."
One out of ten	Had negative feelings about what he read; e.g., "recommendations . . . not applicable . . . and probably illegal."
One out of ten	Expressed neither positive nor negative feelings.
Six out of ten	Felt that what had been read had been useful; e.g., • reports reinforced some ideas already held, • report provided clout to implement policies and procedures which might otherwise have been resented, • some planned to use reports in future decision making, and • committee formed to decide how to implement recommendations of the Correctional Master Plan.
Six out of ten	Said that specific decisions or actions were based on the reports; e.g., • one study gave credibility to a program from which Advisory Council was considering withdrawing support, • one report enabled the Advisory Council to terminate funding of a controversial program, and • one report led to program changes which included personnel moves and improvements in data collection.
One out of ten	Couldn't distinguish effect of information provided by MRF reports from other available information.

were familiar. The Correctional Master Plan appeared to be the most widely read and most controversial of the studies. It was viewed by several officials as containing recommendations worth implementing or worth further study and, in fact, the MEP Unit was asked to do a cost analysis for one of the programs proposed in the study.

The utilization of study results seems to have occurred more often on those studies performed as a result of a controversy already existing on the future of the evaluated activity. For example, public criticism of the Minority Recruitment Project was focusing attention upon upcoming continuation funding decisions. The Correctional Master Plan Study was driven by pressure for a decision on the need for a new joint facility.

B. INSTITUTIONALIZATION OF EVALUATION

The Evaluation Unit of the OCJP continued to operate and to receive requests for studies after the MEP. It's staff is smaller than it was during the MEP, but twice as large as prior to the MEP. The MEP Unit did not significantly improve evaluation capabilities in the criminal justice system in Jacksonville.

As part of the MEP activities, the OCJP expected to increase local evaluation capabilities in two ways:

- [illegible] would be so useful to local criminal justice decision makers that funds would be allocated to continue OCJP's Evaluation Unit after the MEP.
- Assist programs or projects within the Jacksonville criminal justice system in developing or upgrading existing in-house data collection and evaluation procedures and capabilities.

The first expectation was met by conducting the series of MEP studies which expanded the scope and volume of evaluation activities by OCJP over

previous years, although the number of studies conducted was no larger than during the previous year. There were more personnel in OCJP conducting evaluation while MEP were available than before the MEP. The Evaluation Unit continues to function after the MEP, responding to requests from local decision makers for information. The size of the staff is smaller than during the MEP. The Director of the OCJP is satisfied that the size of the staff is sufficient to respond to the requests it receives. The current evaluation staff is twice as large as the one prior to MEP.

The second expectation of improving local criminal justice capabilities was not attempted directly. The OCJP staff did provide some guidance on recordkeeping and data collection as they conducted their evaluations. But these were not formal training sessions or on-the-job training. Also, the evaluations did not attempt to develop evaluation designs and instruments that could be used again by local agency personnel conducting evaluations on their own.

C. SUMMARY AND CONCLUSIONS

The Jacksonville OCJP attempted to use the MEP to increase the scope and quantity of its existing Evaluation Unit. The increase in scope would be to evaluate more than OCJP funded projects and evaluate projects in other functional areas than had previously been undertaken. The increased evaluation activity would result in a doubling of the Evaluation Unit staff and obtaining some consultant support.

Through the increase in activity, it was expected that:

- The evaluations conducted during the MEP would affect more of the local CJS than previous evaluation activities.

- There would be a technology transfer of evaluation capability to local CJS.
- Having proven its worth at the increased level of operation, funds would be secured to continue the OCJP Evaluation Unit at the MEP level.

As just discussed in Chapter III, the OCJP Unit did increase in size and evaluation output. Seven studies were conducted that had a combined scope and effect beyond LEAA projects. But, the Evaluation Unit had problems in obtaining and maintaining qualified staff. This problems limited the anticipated effect and capability level of the OCJP staff during the period of the MEP.

By the end of the MEP funding, the OCJP Evaluation Unit had reduced in size, but was still twice as large as the one existing before the MEP. The staff consisted of one evaluator, two research assistants and a secretary. Several reasons were given by the Director of the OCJP for not maintaining the larger staff that worked as the MEP Unit: it was difficult to find good, qualified staff; he would rather stretch the funds they had for a longer period of time than spend it quickly on more staff; there were seven staff members funded under another federal program who can be called upon by the Evaluation Unit to assist with evaluations when needed; staffing had been a problem all year, but the members of the team remaining after MEP funds expired worked well together, and could do as much work as two less qualified teams might do.

The staff of the OCJP in Jacksonville believe that their MEP confirmed their opinion that evaluation of local programs should be conducted locally and, in most cases, can be conducted using available data. The scope and focus of evaluations will vary according to needs. Some of the lessons they learned by their program are:

- A flexible list of potential evaluation studies may be made at the beginning of the year, but decisions on precisely which studies to conduct should be made as staff are available. This assures timeliness of results.

- Pre-evaluation planning, which includes interaction with decision makers who will use the evaluation results and an assessment of data available for the evaluation, is essential.

- Non-experimental evaluations, relying on interviews, available records and observation, usually provide enough information for the level of analysis needed to satisfy local decision makers' information needs.

- The volume of data generated will usually not require electronic data processing.

- Information users should be presented evaluation results verbally or in written summary form, as well as through a full report, and should be given an opportunity to discuss the implications of the results with the evaluators.

- The Planning Unit should make some staff available to a program after it has been evaluated to assist or advise in implementing evaluation recommendations.

- Follow-up studies should be conducted at a specified interval after evaluations. (However, only one was conducted on the MEP studies.)

- When an Evaluation Unit is divided into teams, organized channels of communication must be established between them to prevent duplication of effort.

The observations The Urban Institute made on Jacksonville's experiment are:

- There was demand for the studies.

- There was no need for sophisticated designs.

- The studies that were requested were used by some decision makers.

In summary, the MEP funds did increase the scope of evaluations and did lead to some changes in the local criminal justice system as a result of the studies conducted.

AN ASSESSMENT OF THE MODEL EVALUATION PROGRAM OF THE VENTURA CRIMINAL JUSTICE PLANNING BOARD

by
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Attachment A: Ventura: Impact of Model Evaluation Program Studies

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I. INTRODUCTION AND OVERVIEW

The Ventura Region Criminal Justice Planning Board received a one year Model Evaluation Program (MEP) grant, February 1975-February 1976, for approximately $74,000. With this grant, the Regional Planning Unit (RPU) successfully tested, and finally adopted, an evaluation system whose purpose was to provide evaluation services and assistance to the Region's criminal justice agencies. The RPU's evaluation system consists of one full-time evaluator, with some additional resources for such items as consultants, programmers, travel, and computer time. The RPU system provided assistance and resources to help local agency personnel in one or more phases of an evaluation study--selection, design, data collection and processing, analysis, and dissemination.

The field test demonstrated that:

- There was a significant demand for assistance in evaluation among local agencies.
- Many local agencies did not have the resources and/or capability to do evaluation.
- The RPU's evaluation assistance either caused evaluations to be done that would not have been done, or increased the quality and scope of evaluations that were done.
- The RPU's involvement added credibility to an evaluation's results.

RPU officials and recipients of the assistance and evaluation information attributed the success of the MEP to the skill and personality of the full-time evaluator. He was able to gain the trust of local officials and provide

the services they needed. Local officials felt they were being listened to, and felt that they were in control of the study.

Originally Ventura planned to use training and technical assistance to establish in-house evaluation capabilities within local criminal justice agencies while, at the same time, demonstrating the utility of evaluation to local decision makers. Early in the MEP grant, the training was given less emphasis, and the RPU moved toward the technical assistance role it finally adopted. In the end, the MEP did not affect the agencies' capability to do evaluations on their own. It did, however, establish itself as a much needed and much in demand evaluation resource.

At the conclusion of the MEP, the RPU decided to continue the evaluation system, but at a lower level of effort. The evaluator was hired by the RPU, with half his time going to providing evaluation assistance. Shortly after the MEP ended, the evaluator left the area for another job. Since much of the success of the evaluation effort was attributed to the individual's technical and interpersonal skills, it is not clear whether the RPU will be able to find a replacement who can replicate the MEP. However, it is the RPU's intention to "provide technical assistance to any criminal justice agency undertaking evaluation studies."

II. VENTURA's MODEL EVALUATION PROGRAM

A. RATIONALE

Originally the goal of the MEP was to develop within local criminal justice agencies an in-house evaluation capability. The RPU believed that a local agency evaluation capability was necessary if the RPU was to achieve one its key objectives--to have both local agencies[1] and Law Enforcement Assistance Administration (LEAA) funded projects in adopt the "goals and standards" of the National Advisory Commission on Criminal Justice Standards.

The RPU saw the regional criminal justice system moving toward adoption of these goals and standards, toward project and agency goals and standards becoming coextensive, and toward standardization of agency goals. Adoption of the goals and standards would have to be accompanied by the capability to measure their attainment. The MEP was to give the agencies the capability to measure attainment of the established goals and standards and, at the same time, contribute to the adoption of the goals and standards.

The RPU had its own evaluation program for LEAA funded projects. It consisted of monitoring by the RPU and project evaluations done by some combination of project, RPU and contractor staff. The majority of these evaluations were referred to as "superficial" in the MEP proposal. The use of evaluation was thought to be infrequent: "It is our experience that few decision makers actually utilize evaluation information. They

1. "Agency" or "agencies" in the document refer to local criminal justice agencies and not the RPU.

continually make decisions on project refunding without receiving evaluation information."[1]

The existing agency evaluation programs and capabilities were not described in the proposal. However, such programs were implied to be weak:

> Further, adequate evaluation requires that information be continually collected by individuals with first-hand knowledge of the actual operation of the project. We see a great potential for Criminal Justice System (CJS) personnal to contribute from this perspective. . . . We feel it will be more beneficial to the CJS to train agency personnel than to bring academically trained evaluators to the system and wait for credibility and access to accrue to them. A substantial number of criminal justice personnel now possess graduate degrees and they provide a cadre of potential evaluators.[1]

The Ventura RPU expected its MEP to establish evaluation as an on-going activity in local agencies. In effect, there would be a regional evaluation system supporting the "goals and standards" within which:

- administrators and policy boards of local agencies are aware of the need for and value of evaluation;
- there are agency-wide evaluation programs;
- agencies have an in-house evaluation capability; and
- agencies have an in-house cadre capable of maintaining an agency evaluation program.

The RPU envisioned "agencies increasing their own evaluation capacities to the point that they will become major users of evaluation information with minimal outside assistance."[1]

Ventura's MEP strategy was a mixture of evaluation training and technical assistance, as well as doing and disseminating evaluations. Agency personnel would be given training and on-the-job assistance. Decision makers would be made aware of the need for and use of evaluation information. As

1. Ventura's Model Evaluation Program proposal.

we shall see in the next section, Ventura was forced to alter its expectations and strategies early in the MEP.

B. THE EVALUATION SYSTEMS PLANNED AND TESTED

Early in the grant, the MEP shifted its expectations and strategy for developing an evaluation system. Below we describe two evaluation systems: the one originally planned and the one actually tested by the Ventura RPU. The last three sections describe characteristics of the tested system: the decision-making processes it supported, the unit of analysis for evaluation, and the elements and organization of the evaluation system.

1. DESCRIPTION

Ventura's MEP began with the intention of establishing agency evaluation programs and agency in-house capability. The intention quickly shifted to establishing an RPU capability to provide evaluation assistance and services to agencies.

The evaluation system planned would have in-house agency personnel producing information needed to plan, manage, and monitor a unified regional criminal justice system. A "unified regional criminal justice system" would be one in which regional goals and standards have been adopted by the agencies, and where agency decision makers interact among themselves in planning. The planned evaluation system is illustrated in Figure 1. On the right of Figure 1, in-house agency personnel are shown carrying out the activities necessary to produce evaluation information. On the left,

local criminal justice agencies are shown being evaluated to support local management and the goals and standards program of the RPU. The planned evaluation system has the agencies doing evaluation with little or no outside assistance. The RPU would have no evaluation role.

The establishment of the evaluation system depends in part on the success of the RPU's "goals and standards" effort, that is, on the establishment of a unified regional criminal justice system. Agencies' willingness to adopt goals and standards, to manage accordingly, and to support agency evaluation programs are events the RPU has been working toward for a number of years.

The evaluation system actually tested is a step away from the planned system shown in Figure 1. The system tested has the RPU playing an on-going technical assistance and evaluation role for the local criminal justice agencies. This system is illustrated in Figure 2. The evaluation operations on the right of Figure 2 have the RPU both providing assistance in evaluation to agency personnel and doing evaluations when requested. The impetus for doing evaluations comes from either RPU evaluation requirements or local agency desires for evaluation information. The assumption apparently is that the evaluation system "tested," along with the goals and standards effort, will eventually lead to the evaluation system "planned." (It should be noted that neither Figure 1 or 2 show the RPU's project monitoring effort on LEAA funded projects. This was not viewed as part of the MEP.)

2. USERS AND USES OF THE EVALUATION SYSTEM

Both the planned and tested evaluation systems had the local criminal

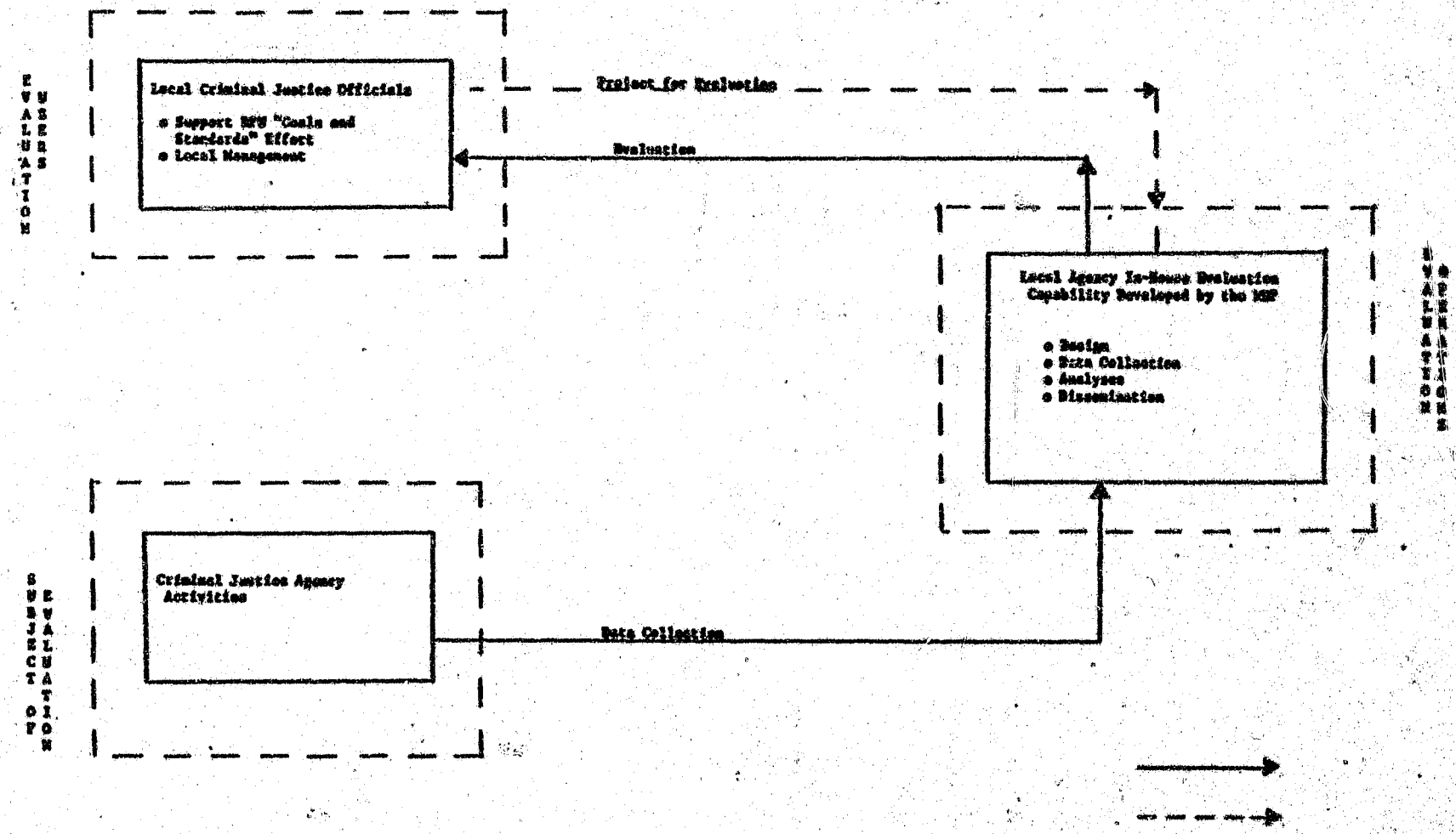

FIGURE 1: VENTURA's PLANNED SYSTEM

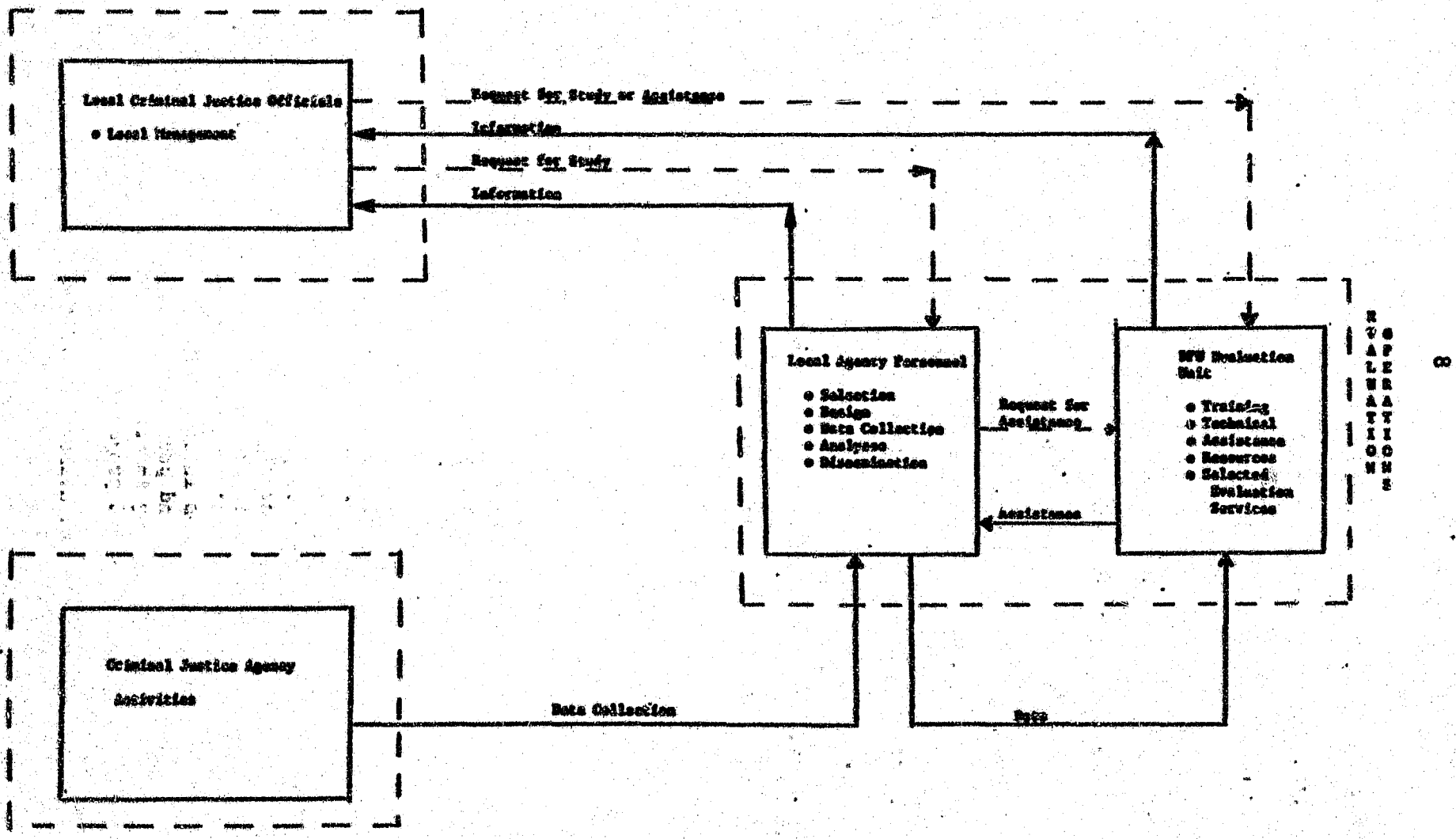

FIGURE 2: VENTURA's TESTED SYSTEM

justice agencies as the users of evaluation information. In the tested system, users were identified by several mechanisms: the RFU decided to evaluate an LEAA Part C subgrantee; an agency requested assistance; or the MEP developed a relationship with an agency. In the planned system, there was to have been a more systematic analysis of the local decision processes and identification of users.

The Ventura MEP always intended to serve the agency decision makers in the regional criminal justice system. Figure 3, from the proposal, illustrates the broad view the MEP took of the evaluation "users." In its proposal, the RFU talked about two types of decision process: one focusing on project planning and project continuation which involved the agency, planners and project; the other focusing on system planning involving one or more agencies or projects. The project focus was described as follows:

> We do feel that the major parties to criminal justice planning seldom rely, if ever, on evaluation as the basis of decisions regarding funding. As a result, we intend to concentrate on these major participants as the focus of our model evaluation. That is, we find decision makers, project proponents, and criminal justice agencies as central to our perspective on the major elements in developing a model evaluation project.
>
> As a result, we find the following objectives as essential to this model: (1) identification of decision makers, formal and informal, in the criminal justice planning process; (2) the establishment of interaction between decision makers and projects in the initial stages of the grant application; (3) the establishment of quantifiable objectives in the initial planning of grant applications and project design; (4) the establishment of ongoing information exchanges between decision makers and projects.[1]

1. Ventura's Model Evaluation Program proposal.

FIGURE 3: DECISION MAKERS IN VENTURA REGION*

Office of Criminal Justice Planning

Law Enforcement Assistance Administration

National Institute of Law Enforcement and Criminal Justice

California Department of Corrections

California Highway Patrol

Federal Bureau of Prisons

Federal Probation Office

Adult Authority

California Youth Authority

Ventura Region Criminal Justice Planning Board

Ventura County Board of Supervisors

County Executive

Ventura County Sheriff Office

Ventura County District Attorney

Ventura County Coroner

Ventura County Public Defender

Ventura County Municipal Court

Ventura County Superior Court

Ventura County Grand Jury

Ventura County Marshal

Ventura County Clerk/Recorder

Ventura County Probation Department

Ventura County Jail

Ventura County Honor Farm

Ventura County Frank A. Colston Girls' Home

Ventura County Juvenile Hall

Ventura County Mental Health Department

City Councils and City Managers: Camarillo, Thousand Oaks, Simi Valley, Fort Moorepark, Santa Paula, Fillmore, Oxnard, Ojai and Ventura

Seven Municipal Police Departments

Project Directors

Community** Agencies

*Source: Ventura MEP Proposal

**In addition to those agencies which provide support services to the justice system, the League of Women Voters, the National Association for the Advancement of Colored People, and other organizations are involved in the justice system as decision makers.

The system focus was described as follows:

> Information dissemination is a major goal of this project, at several levels. These include within the criminal justice system in Ventura County, between the Ventura CJS and its environment, and finally, to other and/or larger CJSs and their environments. Intra-system dissemination requires interchanges among projects, agencies, and planners. The second type implies information sharing with the environment, including the mental health system, the County Executive's office, the city managers, locally elected officials and the community. The final level indicates that the project must itself be willing to be evaluated.[1]

Ventura's MEP proposal did not identify specific users or decision processes; instead it proposed to analyze and map out the decision processes as part of its strategy.

> Our plan requires identification of the major decision makers within the Ventura criminal justice system, as well as the larger community. Some preliminary work has been done to identify the organizational maze within the criminal justice system in Ventura County. We intend to identify those organizational participants who are instrumental in criminal justice system planning, as well as extend this analysis to the community. Figure 3 lists some of the decision makers who would benefit from the evaluation project.

According to a later report by the MEP evaluator, "the decision-making structure itself was obscure and needed to be mapped in order to begin to understand how to insure longitudinal planning."

In the end, the mapping and analyses of the decision process took place to a limited degree. The evaluation selection process and the evaluation dissemination process were guided more by RPU decisions to evaluate major grants and by specific requests for assistance or studies from agencies. However, the users of evaluation were still primarily the local criminal justice agencies.

---

1. Ventura's Model Evaluation Program proposal.

3. WHAT WAS EVALUATED

The subject of the evaluations was intended to be criminal justice system projects--whether or not funded by LEAA.

The RPU's planning objective gave it a much broader perspective in planning and evaluation than the LEAA funding. Since October 1973, the RPU has been working with criminal justice agencies in the region to develop a "unified" criminal justice system for the County. The initial step was to send questionnaires to 1,000 criminal justice personnel, asking the respondents to identify problems in the criminal justice process. (The survey had a 10 percent response.) Opinions were solicited several more times from criminal justice personnel, and the Planning Board and its task forces met several times to review problems, goals, and needs. By June 1974, priorities were established for the next five years. It was decided that "Safe Streets Act" funds were to be used primarily to upgrade the capacity of the criminal justice system to deliver public safety services.

Eight large projects (umbrella grants) were selected for funding during the five year period, and the amounts to be allocated to each project for each year were set. Each of the eight umbrella grants involves several agencies and several components. The RPU staff provide assistance to criminal justice agencies in planning projects that are LEAA funded, as well as those that are not LEAA funded. Annual funding and program decisions are made on all projects, whether LEAA funded or funded from another source.

There was some interest expressed in the MEP proposal to evaluation of groups of similar projects.

In practice, the unit of analysis varied, depending on the source of the request for assistance on a study. In some cases it was an LEAA funded project; in other cases it was agency operations.

4. ORGANIZATION OF EVALUATION ACTIVITIES

The evaluation system tested involved three different actors: agency personnel; the MEP evaluator; and outside consultants.

The agency personnel frequently carried out one or more of the activities required to complete an evaluation: design; data collection; analysis; dissemination. The agency was, in many cases, responsible for doing the evaluation.

The MEP evaluator played several different roles: doing studies; providing technical assistance; and finding resources required to do a study. The MEP evaluator often played the role of a facilitator, finding and bringing outside personnel (consultants, students, etc.) together with an agency in need of assistance.

III. VENTURA's STRATEGY FOR DEVELOPING AND TESTING THE SYSTEM

A. STRATEGY: STEPS AND EXPECTATIONS

The Ventura original MEP strategy for developing and testing the system consisted of four major steps. One was to give the MEP the capability to provide training, assistance and evaluation services:

- I. Acquire staff to provide the RPU training, technical assistance and evaluation services.

A second was to help the MEP develop a description and understanding of the regional criminal justice decision-making process:

- II. Identification of key decision makers and information needs

The third was to provide agency personnel with an evaluation capability:

- III. Develop and conduct seminars in evaluation.

Finally, there was the step which turned out to be a model of the evaluation system actually adopted:

- IV. Provide evaluation services or technical assistance to agencies.

Under Step I--acquire staff--Ventura planned to hire a full-time evaluator to implement the MEP. The MEP evaluator would be provided with the following additional resources:

- students hired part-time (4000 hours),
- agency personnel hired on off hours to work in evaluation (1700 hours),
- consultants (40 days),
- secretary (half-time), and
- computer time/service ($8000).

For the planned evaluation system (Figure 1), the MEP evaluator would disappear, having established agency in-house capability. For the evaluation system tested (Figure 2), one would expect the RPU to maintain this position in some fashion.

Step II--identification of key decision makers and information needs--was to be an analysis of the agency and community roles in regional criminal justice decision making. The results of the study would be used to plan and design the evaluation dissemination process. "Information sharing sessions" involving key decision makers with planners and project staff were envisioned. This activity was not expected to be continued by the RPU under either the "planned" or the "tested" evaluation systems.

Step III--training sessions--were to be given for personnel in all local agencies. Its purpose was to increase the agencies' staff capability in evaluation, and inform decision makers on what evaluation can and cannot do. There was no indication that this activity would have been continued under either the "planned" or the "tested" evaluation system.

The fourth component had the RPU providing evaluation services and technical assistance to LEAA and non-LEAA funded projects and local agencies. This step was expected to accomplish several ends:

- Set up agency evaluation programs.
- Train agency personnel.
- Demonstrate the value of evaluation to agencies.

Under the planned system, this RPU activity would eventually disappear--the agencies would do their own evaluation in-house. Under the "tested" system, the RPU would continue to provide evaluation services and technical assistance.

Table 1 summarizes the results expected for each step, and the plans for continuation if the step was successful. With the originally planned evaluation system, none of the four steps would have been continued by the RPU. Under the system actually tested, the first and last steps would have been retained by the RPU--hire RPU staff to operate the evaluation system and provide evaluation services and assistance to agencies. The degree of success in implementing each step is indicated in Table 1 by the following code:

- "+": Either completely achieved stated expectations or sufficiently implemented to produce most of the expected effect.
- "0": Partial achievement with major subparts not attempted or not producing intended effects.
- "-": Not attempted or not sufficiently implemented to produce intended effects.

Below we describe Ventura's experience with each of the four steps.

B. VENTURA's EXPERIENCE

Table 2 summarizes the experience of Ventura with each step and the significance of the results. Again, the ("+," "0," "-") code is used. Table 2 shows Step I (staffing) and Step IV (evaluation service and technical assistance) being completed as planned, while implementation of Step II (identification of decision makers and information needs) and Step III (seminars) fell short of expectations. It was this experience with Steps II and III early on in the MEP which caused Ventura to change its expectations for the MEP. The objectives changed from establishing evaluation capabilities within local agencies (the planned regional

Legend: +: Success
O: Partial success
-: Was not attempted or did not occur as planned

Step	Result Expected from Component	Continuation Expected under Planned System	Continuation Expected under Tested System
I. Hire staff to provide RPUs training, technical assistance and evaluation services.	Provide: • full-time evaluator; • students; • consultants; • agency personnel (off-time). (+)	(None)	Capability would be maintained and funded by RPU. (+)
II. Identification of key decision makers and information needs	• Study conducted • Decision makers identified • "Information sharing sessions" developed • Decision makers for feedback sessions identified (-)	(None)	(None)
III. Develop and conduct seminars in evaluation.	• Weekly training sessions held for persons in all County criminal justice agencies • Agency staff capability increased • Communication among decision makers opened up • Decision makers informed on what evaluation can and can not do (-)	(None)	(None)
IV. Provide evaluation services or technical assistance to agencies.	• Agencies aware of need for and use of evaluation • Agency personnel trained in evaluation • Evaluation programs designed and implemented • Technical assistance provided to agency evaluation (O)	(None) Each agency would establish agency evaluation programs with in-house staff.) (-)	RPU would continue to provide agencies with technical assistance and an evaluation capability. (+)

TABLE 1: VENTURA's STRATEGY--EXPECTED RESULTS

Legend: +: Success
0: Partial success
-: Was not attempted or did not occur as planned

Experience Component	Experience with Component: Degree of Success	Major Problems Encountered with the Component	Significance of Experience
I. Hire staff to provide RPUs training, technical assistance and evaluation services.	• Full-time evaluation was made available. • Necessary assistance was made available with MEP and other resources. (+)	None	MEP was able to provide evaluation service and assistance to agencies and subgrantees.
II. Identification of key decision makers and information needs	• Study was conducted of Planning Board's decision process. • MEP evaluator found it useful. • No evidence of interactive decision processes developing or other use of this study (-)		Study enables MEP evaluator to identify "most influential" board members.
III. Develop and conduct seminars in evaluation.	• Two series of seminars given (six sessions plus four sessions). • No increase in capability of agencies to conduct or use evaluations because of training observed by MEP evaluator. (-)		Training seminars did not appear to be a useful tactic.
IV. Provide evaluation services or technical assistance to agencies.	• Component did not lead to increase in agency demand for or capability to do evaluation in-house. • Demonstrated a sufficient demand already existed in region for analytical capability centralized in RPU • Technical assistance and evaluation capability provided by the MEP on 17 occasions. (0)	Evaluator spread too thin, and agency access to MEP became difficult.	Most of MEP resources went into this component. Demonstrated a need for having RPU provide evaluation service for local agencies

TABLE 2: VENTURA's STRATEGY--EXPERIENCE

Below we describe the experience that led to Ventura's change in objective, and the nature of the system tested.

1. VENTURA'S CHANGE IN DIRECTION: EXPERIENCE WITH STEPS I, II AND III

Step I required Ventura to hire a full-time evaluator and, when needed, secure the manpower or capability required to provide assistance. For the full-time evaluator slot, the RPU hired a person who had been a part-time consultant to the RPU. Consultants, graduate students and undergraduates were hired as needed.

Steps II and III turned out to consume very few MEP resources. Each involved on the order of one man-week of effort. The identification of key decision makers, Step II, became a study of the RPU Planning Board's decision process. A survey was sent to current and former Board members. They were asked to give their perceptions on which Board members were the most knowledgeable and most influential in different areas of criminal justice. The MEP evaluator found the study useful in identifying influential members of the Board. However, no other use of the study was identified for the MEP. It did not lead to identification of information needs or establishing information sharing or evaluation feedback sessions.

Under Step III, some training seminars (ten in all) were carried out early in the MEP. However, they did not appear to be useful as either a communication or education mechanism. The MEP evaluator decided not to continue them.

Steps II and III were two mechanisms that were to lead to establishing in-house evaluation capability in local agencies. Similarly, Step IV,

to provide evaluation services and technical assistance to agencies, was also seen as contributing to that objective. Practically all of the MEP resources went into this component. In reality, Step IV became the MEP, and the field test of a new RPU evaluation strategy. While it did not lead to the original objective--each agency becoming self-sufficient in evaluation--it did turn out to be a valued service to the agencies and a function the RPU wanted to maintain.

2. NATURE OF THE SYSTEM TESTED: EXPERIENCE WITH STEP IV

The Ventura MEP was involved in a large number (18) of evaluation efforts. Below we examine the nature of these involvements to describe the role the MEP played and the contribution it made. MEP involvement is described in terms of: how it came about, evaluation activities carried out, study methodologies, and the level and kind of assistance given.

a. Number of Efforts and Reason for Involvement

The MEP was involved, to some significant degree, in the production of 18 studies for local agencies. Table 3 identifies the areas in which the 18 studies were done.

There were different reasons for MEP involvement in each study. Based on discussions with the MEP evaluator, it appears that his involvement would occur in four different ways.

The MEP became involved in about one-third of the studies because they were major Part C subgrants in the regional plan. The RPU had decided to do evaluations of its major grants. For example, Adult Diversion Study was one such effort.

CONTINUED

5 OF 5

TABLE 3: STUDIES IN WHICH VENTURA MEP WAS INVOLVED

A = Drunk Driving

B = Adult Diversion

C = Decision-Making and Information Patterns in the Region

D = Organizational Study of Fillmore Police Department

E = Organizational Study of Port Hueneme Police Department

F = Booking Study

G = Rape Study

H = Youth Services

I = Crime Analysis—Burglary Prevention in Oxnard

J = Jail Study (Jankovic)

K = Female Juvenile Hall Study

L = Juvenile Subsidy Study

M = Jail Study (Cal and Meg)

N = Witness Utilization

O = Use of Citation Procedures

P = Victimization in Simi Valley

Q = ADEPT

R = Sentencing Patterns in Ventura Region

Involvement occurred in another third because help was requested. The requests came directly from the criminal justice system, such as the Assistant District Attorney and the Sheriff's Department, or from analysts doing studies for the local agencies. These requests were unsolicited.

Several efforts emerged from discussions between local agency officials and the MEP evaluator. The discussions were initiated by the MEP, such as those that led to the organizational studies of small police departments.

Finally, one or two were undertaken because the MEP evaluator had access to data and to resources to do the analyses. These were targets of opportunity which fit the interest of the evaluator.

b. In what evaluation activities was the MEP involved?

When doing an evaluation, a number of activities have to be carried out: selection; design; data collection; data processing and analysis; and dissemination. The MEP would sometimes carry out all activities and sometimes be only involved in a few. Table 4 shows the degree to which the MEP was involved in each of the 18 studies. The table illustrates a pattern one might expect for a technical assistance resource. The MEP was less involved in selecting what to evaluate, and more heavily involved in analysis.

c. Study Methodology

The MEP evaluator was asked to describe the studies by the type of measures used and the type of analysis. The types of measure distinguished were:

TABLE 4: DEGREE OF MEP INVOLVEMENT IN THE EVALUATION PROCESS

Number of Studies in Which:	Steps in the Evaluation Process				
	1. Selection of What to Evaluate	2. Study Design	3. Data Collection	4. Analysis and Data Processing	5. Dissemination
MEP did all of the step.	3	4	6	11	4
MEP provided TA or did part of the step.	2	9	9	3	8
MEP was not involved.	13	4	3	2	4
(Insufficient information to tell.)	0	1	0	2	2
Total Number of Studies	18	18	18	18	18

- Input: The resources going into the unit, such as funding, personnel, equipment, curriculum, etc.

- Process: The activity carried out by the unit with the input received. This would include such measures as number of people served, hours of training given, number of home visits, etc. Process measures type, level and quality of activity.

- Outcome: The immediate result of the process, usually a measure of the behavior of the clients or organizations the unit under study is trying to affect. For a Youth Service Bureau, it might include: client attitudes, recidivism, school attendance, etc.

- Impact: Effects beyond outcome; often measured on target populations. For example, the county with a Youth Service Bureau might expect reductions in reported juvenile crime for the area. The crime rates would be an impact measure for such a project.

Some studies are descriptive, others make comparisons to draw conclusions about attribution or degree of success. The other dimension for describing studies is then the type of comparison used:

- Descriptive: No comparison.

- Planned or Expected versus Actual: the usual comparison used in monitoring. Project performance is compared with planned levels (as might be found in a grant application).

- Before and After: time series, e.g., where measures taken at different points in time are compared.

- Experimental Control Group: a randomly selected control group is used as the comparison.

- Comparison Group: a control group that is not randomly selected is used.

Table 5 presents Venutra's description. The letters refer to the studies listed in Table 3. Most of the studies were descriptive, planned versus actual or time series analysis. A comparison group was only used in one effort.

TABLE 5: VENTURA MEP

Type of Comparison	Type of Measure			
	Input	Process	Outcome	Impact
Descriptive (No comparison)	(C, D, E, F, K, M, R) 7	(A, C, D, E, F, K, M, P, R) 9	(A, C, D, E, F, K, M, P) 8	(F, K, M, P) 4
Planned versus Actual	(G) 1	(G, I, B) 3	(G, I) 2	(I) 1
Before and After	(H, Q) 2	(H, J, M, O, Q, R) 6	(H, J, M, O, Q, R, B) 7	(H, J, M, O, Q, B) 6
Experimental Control Group	0	0	0	0
Comparison Group	(B, L) 2	(L) 1	(L) 1	(L) 1

d. Type of Assistance Provided

The MEP grant was a one year grant for $74,230. In addition to the full-time evaluator ($27,000),[1] the MEP resources usually went to purchase the following types of service:

- computer time,
- consultant time,
- research assistant time,
- key punching, programming, and
- travel.

It is impossible to estimate the total cost of each study because (1) the MEP was often only involved in a few of the steps and (2) the MEP was frequently able to identify and use other resources. The MEP was very successful in bringing outside resources and assistance to a study.

The MEP resource expenditure on a study ranged from a few days of professional time:

Organizational Study of Police Department:

MEP Evaluator:	three days;
Consultant:	one day ($135);
Computer Time:	$40;
Key Punching:	$10;

to the largest which required several man-months:

Youth Services Project:

MEP Evaluator:	six weeks;
Consultant:	two to five days ($135 per day);
Students:	(not available);
Office:	$1200;
Supplies:	$100;
Computer:	$150;
Key Punching:	$300.

1. Salary plus fringe benefits.

IV. OUTCOME OF THE VENTURA MEP

At the end of the MEP, we interviewed 11 people designated as users of the evaluation information from one or more studies. These interviews indicated that:

(a) The information produced was useful and frequently led to changes in programs or decisions.

(b) The MEP assistance enabled studies to be done that would not have been done, and increased the scope and quality of studies that would have occurred in any event.

(c) The success of the MEP was due to the ability of the MEP evaluator to gain the trust of the local officials and to provide a needed service.

(d) The primary perceived weakness of the MEP was that the evaluator was spread thin and over committed.

This chapter describes the results of these interviews, and the MPD continuation decisions.

A. USER OBSERVATIONS ON THE MEP IMPACT

We conducted telephone interviews with selected users to get their reactions to the products of the Ventura MEP. The MEP ended in September of 1976, and the respondents were interviewed from March through May 1977. These users were identified by the MEP project evaluator. The users included judges, district attorneys, police chiefs, a probation officer, and an agency director.

We asked each person a series of open-ended questions to get at three types of outcomes, i.e., the use of the study by decision makers, the effect of the MKF on the study itself, and the effect of the MKF on the user agencies' capability to do evaluations. Their responses were analyzed and used to answer a set of specific questions associated with each outcome:

(a) The Use of the Study by Decision Makers:

- Did the person believe the information affected their knowledge, attitudes, or opinions about the subject studied?
- Did the information affect any decisions?

(b) The Effect of the MKF on the Study:

- Did the MKF project enable a study to be done that would not have been done without MKF?
- Did the MKF involvement improve the quality of study?

(c) The Effect of the MKF on the User Agencies' Capability and Plans To Do Evaluation:

- Did the MKF increase the individual's/agency's ability to do evaluations?
- Did the MKF lead to changes in agency evaluation policies and plans?
- Did the MKF change the respondent's attitudes toward evaluation?

In all, there were 18 studies in which the MKF was involved. We interviewed users in depth on 12 studies; for 9 of them we interviewed one user, for the other 3 we interviewed 2 to 4 users. In all, 11 people were interviewed in depth concerning selected studies.

The first critical question is whether those who were identified as being familiar with study results actually were. We asked whether the respondent was familiar with the results of the study and what, in their

opinion, were the major findings and conclusions. Our interviews confirmed that all of the respondents were familiar with the results of the study in question. Below we discuss the results of this survey. Additional information from the survey is given in Attachment A.

1. THE USE OF THE STUDY BY DECISION MAKERS

The studies associated with the MRP were almost uniformly viewed as being useful. Almost all users felt they learned something, and more than half could associate changes or decisions with the studies.

- Did the respondent believe the information affected his knowledge, attitudes, or opinions about the subject studied?

  Yes 13 No 1

Most people interviewed said that the studies increased their knowledge. Only one person gave a negative remark: "We could have gotten along without it."

- Did the information affect any decisions?

  Yes 7 No 4 Not Applicable 3

Respondents who said that the information did affect decisions identified two types of decisions that were affected: cases where they changed operations as a result of the study, and cases where they thought they had problems but decided against change based on the study results. The "no" responses are those cases where the respondent could not identify any specific change or attribute any change to the study.

The three "not applicable" responses are all respondents commenting on the same study. They indicated that it is affecting opinions, and that they could have used it; however, at the time of the interview the State

Attorney General had ruled that that type of program could no longer be operated. So the study has been shelved until such time as the Attorney General's ruling is changed.

2. THE EFFECT OF THE MEP ON THE STUDIES

The MEP project was seen by the majority of the users as having a significant and positive effect on the studies. Most felt the studies would not have been done without the MEP, or would not have had the high quality if done by someone else.

- Did the MEP enable a study to be done that would not have been done without the MEP?

Yes 11 No 1 Can't Say 2 Don't Know 1

Most of the respondents who responded positively said that without the MEP, they would not have had the resources available to do a study or the technical direction they needed. Those who answered negatively, claiming that the study probably would have been done without the MEP, saw the MEP as increasing the scope or sophistication of the study.

The RPU director (not included in the above tabulations) made the following comment on the MEP studies:

> Without the MEP, 20 percent of the studies (done by the MEP) might have been started, but they wouldn't have been as extensive; they would have been in-house and wouldn't have had (the MEP evaluator's) expertise.

- Did the MEP involvement improve the quality of the study?

Yes 10 No 0 (Insufficient Information 4)

The majority opinion was that the MEP improved the quality of the studies. The MEP project was seen as turning out a better product than

agency or private evaluators. Those in the "insufficient information" category are those cases where we were not able to determine the respondent's opinions on this point from their answers.

3. EFFECT OF MEP PROJECT ON AGENCIES' EVALUATION CAPABILITY AND PLANS

MEP, according to the respondents, did not have a significant impact on the agencies' capability and plans to do evaluation. All respondents thought evaluation was a necessary function. However, the majority interviewed did not think that their agency had the resources or capability to do evaluation. In the few instances where agencies had moved toward doing more evaluation, other factors beside MEP were also contributing.

- Did the study change respondents or respondents' staffs' ability to do evaluations?

  Yes 4 No 7 Don't Know 1

Some people responded that either they themselves or agency staff now had the experience and skill to do evaluation, although in some cases the resources were not readily availalbe. Those responding "no" felt that some skill or capability was still missing.

- Did the MEP lead to changes in agency evaluation policies and plans?

  Yes 3 No 6 Don't Know 2

We identified as "yes" only those respondents who could identify specific changes in agency evaluation policies and practices. However, the respondents who could do so indicated that the MEP was usually not the only influence on these agencies. Most of those responding "no" do not have the staff to sustain an evaluation effort, or their offices do not have a tradition of doing evaluation.

- Did the MEP give respondents a more favorable attitude toward evaluation?

Yes 3 No 6 (Still favorable) Don't Know 3

All those responding "yes" said their opinion of the potential objectivity, quality and value of evaluation information increased. It increased due to the way the MEP staff worked and the quality of their work. Almost all of those who responded "no" saw a need for evaluation, both prior to their contact with the MEP and subsequent to that contact.

B. USER OBSERVATIONS ON THE STRENGTHS AND WEAKNESSES OF THE MEP

During our interviews with users, they were asked to identify what they thought the strengths and weaknesses of the MEP were. The responses of all users were consistent. Most respondents identified two advantages:

- the MEP provided resources and capability which would not have been available; and
- the MEP added credibility to evaluations that in-house evaluations did not have;

and one weakness:

- the size of the MEP, one full-time evaluator, caused the MEP to be spread too thin and raised access problems.

The success of the MEP was attributed largely to the skills and personality of the evaluator. Users said that he was the MEP. Below we illustrate these points by quoting selectively from the interviews.

1. MEP PROVIDED A NEEDED EVALUATION CAPABILITY AND RESOURCE

> Can get a level of expertise with the MEP which the agencies themselves typically don't have. . . . Operational agencies are notoriously bad about not analyzing what they are doing . . .

If I didn't have access to them (MEP), I don't think the job would get done (both in terms of expertise and resources).

We have resource problems. I dare say that without the MEP, a lot of this wouldn't have been accomplished. In general, if the Board of Supervisors has a choice between providing money for evaluation and providing money for the running of a program, it would be "no contest"--when resources are scarce, evaluation doesn't fare too well.

It gives you some technical experts available when you need help. You have a mutual owning of the problem (i.e., the person is in the system)--it's more cost effective (than having outside consultant come in). There are a lot of things that you can do by yourself, and other things that you can do with help when you need it.

2. THE MEP PROVIDED CAPABILITY TO EVALUATIONS

There's a need for some sort of body to give objective feedback and evaluate what's going on--a body with no loyalties or real ties to any one element in the system. Out of that (body) develop an understanding of what various elements are doing. Tends to help bring the (criminal justice) system a little closer (together).

I firmly believe everything should be evaluated. Don't think it would have been done without the MEP. It's very difficult to have an organization itself do its own evaluation--they tend to evaluate a program to make it live longer--the evaluator should be independent from the organization (being evaluated).

It lends a little more objectivity to evaluations--everything is not just in-house.

(There is) something in the credibility to studies that are semi-outside compared to ones the department head has done himself internally.

> One advantage is that decision makers on Planning Board are saying that if person evaluates his/her own project, it will be successful, and they've had enough of that. The MEP overall has certainly been the best investment of LEAA funds we've made in the Ventura region. Also wished we'd had the full two years to operate at the level it operated at the first year.

3. MEP WAS TOO SMALL AND SPREAD TOO THIN

> It could have had a larger grant with a little more staff. Essentially it consisted of one full-time staff member. The whole grant really sort of spread the thing thin. Think they did a heck of a lot for what they had.
>
> I'm not sure--but the staff in the MEP had several things going at once. Not sure how much attention they could really give to each. There were times when things were very hectic.
>
> Disadvantage is that at some point, want to use people like Fry, but they get so buried with stuff that it's hard to all on them. They're available, and you want to access that availability but can't. Perhaps we expect too much--that it's going to solve all the problems. The advantages far outweigh the disadvantages.

One person raised the concern that having the MEP might work against agencies setting up their own evaluation capability.

> Only disadvantage is that have mixed emotions about whether some decision makers, rather than develop own in-house capacity, might be inclined to rely on MEP.

4. CHARACTERISTICS OF THE EVALUATOR

> I would have contact with him maybe once a month --he did his homework--he'd take the data and work them on his own time.

(He) speaks what he feels—he doesn't couch it in any soft terms—we like that—we're not thin-skinned. He has been able to give me the guidance I needed . . . I told him what I wanted to do, and he told me how to do it. When I got the data, then he sat down and helped analyze them.

(He) enjoys a considerable amount of rapport from organizational studies (of police departments) he did before MEP. When he talks, police chiefs listen. He has credibility and trustworthiness among police chiefs, etc., which grew out of work he did for them.

(He) has credibility among the various criminal justice elements and can anticipate their data needs . . . and he's got the credentials. He is a likeable guy whose credentials and personality enable him to get along with the various elements in the criminal justice system. (The good things about him are) his professional qualifications, his energy and personality.

(He) is a straight arrow—he's an honest man—he even evaluates himself. If he leaves, he'll be really tough to replace. In my mind, he was the MEP. Don't know whether if (he) left, the MEP would have any credibility or not.

(He) could relate to some of the concerns of the operational types. He knows a lot about a lot of different things. Operational managers could see they were getting something out of it. They could trust him, and knew study would not be used against them. He could really help them and not be a nuisance —this started based on his credibility as an individual.

In Witness Utilization, (he) sat down and listened to what everybody wanted and what our concerns were. He gets along well with people—he was objective—he understood the system reasonably well and he related well.

C. CONTINUATION DECISIONS

Upon termination of the MEP grant, the RPU attempted to secure continuation funds to support the evaluators. Inquiries concerning funding were submitted to the National Institute of Law Enforcement and Criminal Justice, other central LEAA offices, the LEAA Regional Office, and the State Planning Agencies. Efforts to obtain direct funding for the MEP from sources beyond the RPU were unsuccessful, however.

The RPU decided to support the evaluator position using Part C[1] funds. The evaluator position was made part of a subgrant. However, the evaluator would report to the RPU director. In addition, a number of evaluation staff positions were acquired through the Comprehensive Employment and Training Act (CETA). These staff would work under the RPU evaluator.

As these arrangements were made, the evaluator who had worked through the MEP left for another job. The RPU is recruiting to fill the position and has assembled the CETA financed staff.

D. SUMMARY AND CONCLUSIONS

Ventura demonstrated one potentially useful RPU evaluation model--put an evaluation service function in the RPU to provide the skills and resources that agencies may need to complete their own evaluations. Below we summarize five principal conclusions we have drawn about the Ventura MEP.

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1. The Omnibus Crime Control and Safe Streets Act makes Part B funds available to SPAs and RPUs for planning and administration, and Part C funds to finance the specific improvement projects through subgrants to cities, counties and to state agencies.

1. A NEED AND DEMAND FOR EVALUATION EXISTED

The Ventura MEP demonstrated that there is, at least in Ventura, a need for and a demand for evaluation assistance among criminal justice system officials. Officials came forward with particular analyses they wanted done, particular questions they wanted answered. Many had their own data collection and analyses activities under way. However, these local agencies lacked the in-house capability to do or purchase all the activities required in an evaluation. They were looking for a knowledgeable and reliable provider. Lack of agency evaluation resources seemed to be a problem in some cases.

The survey of users indicated that the information produced was both useful and used. The implication is that people in operational settings do need and use evaluative information.

The demand seems to be idiosyncatic. The information desired and the use varies from situation to situation. No standard set of methodologies seems to be appropriate for all or most cases. Instead, there is a need to diagnosis each situation that arises, and develop the appropriate assistance.

2. THE MEP PROVIDED A SERVICE THAT MADE A DIFFERENCE

Those interviewed claimed that many of the studies would not have been possible without the MEP evaluator. Other studies that were underway were improved in scope and quality by the MEP.

3. BUILDING EVALUATION CAPABILITY IN LOCAL AGENCIES IS QUESTIONABLE

The one objective Ventura fell short of was to have a self sustaining evaluation capability in local agencies. The training strategy the MEP had in mind did not work and was abandoned early. The technical assistance strategy showed no evidence of leading to an increase in evaluation capabilities of those agencies involved.

It would appear that if the demand for evaluation continues, the RPU would have to provide the service rather than expect agencies to develop their own capability.

4. REASONS FOR VENTURA's SUCCESS

There are three factors that contributed to the success of the MEP. Two were identified by local officials: the characteristics of the evaluator and the position of the evaluator in the criminal justice system. We identified a third factor based on our interviews and observations: the service provided enabled the user to retain control and ownership.

a. Evaluation Characteristics

The survey of MEP users and observers indicates that two characteristics of the evaluator were crucial: his ability to listen to and understand what people were saying, and his skills in evaluation methods. The evaluator tried to understand what information people wanted, rather than tell them what they needed. He also had the skills, or knew how to acquire the skills, necessary to carry out the steps in an evaluation--e.g., programming, computer analysis, etc.

b. An Independent Evaluator

The interviews indicate that the evaluator's independent position facilitated evaluation activity and added credibility. The evaluator was outside the agency for whom the evaluation was being done, but inside the local criminal justice system. Being independent of the agency, his involvement gave the studies credibility in the eyes of the users. Being part of the criminal justice system, he had access to, and was trusted by, officials.

c. User Ownership

The MEP provided a special type of service. The service was narrowly defined. It was gap filling, adding to the products of others, bringing outside resources to meet a local need. User agencies continued to control the evaluation. They could redirect it; they did pieces of it themselves. Consequently the users tended to get information they wanted and understood.

5. CONTINUATION AND REPLICATION UNCERTAIN

The RPU is committed to continuing the service model tested in the MEP. The departure of the local evaluator, however, raises questions about the ability to continue or replicate this model. The success of this model depends heavily on the technical and interpersonal skills of the evaluator. Over the past several months the RPU has had some difficulty finding a replacement with the required skills.

ATTACHMENT A

VENTURA: IMPACT OF MODEL EVALUATION PROGRAM STUDIES

We conducted telephone interviews with selected users to get their reactions to the products of the Ventura Model Evaluation Program (MEP). The MEP ended in September of 1976, and the respondents were interviewed from March through May 1977. These users were identified by the MEP project evaluator. We asked each person a series of open-ended questions to get at three types of outcomes, i.e., the use of the study by decision makers, the effect of the MEP on the study itself, and the effect of the MEP on the user agencies' capability to do evaluation. Their responses were analyzed and used to answer a set of specific questions associated with each outcome:

1. <u>The Use of the Study by Decision Makers</u>:
   a. Did the person believe the information affected their knowledge, attitudes, or opinions about the subject studied?
   b. Did the information affect any decisions?
2. <u>The Effect of the MEP on the Study</u>:
   a. Did the MEP project enable a study to be done that would not have been done without MEP?
   b. Did the MEP involvement improve the quality of study?
3. <u>The Effect of the MEP on the User Agencies' Capability and Plans To Do Evaluation</u>:
   a. Did the MEP increase the individual's/agency's ability to do evaluations?
   b. Did the MEP lead to changes in agency evaluation policies and plans?
   c. Did the MEP change the respondent's attitudes toward evaluation?

In all, there were 18 studies in which the MEP was involved. We interviewed users in depth on 12 studies; for 9 of them we interviewed one user,

for the other 3 we interviewed 2 to 4 users. In all, 11 people were interviewed in depth concerning selected studies. The results are described below.

The first critical question is whether those who were identified as being familiar with study results actually were. We asked whether the respondent was familiar with the results of the study and what, in their opinion, were the major findings and conclusions. Our interviews confirmed that all of the respondents were familiar with the results of the studies with which it had been reported that they would be familiar.

I. THE EFFECT OF THE STUDY ON DECISION MAKERS

1. Did the respondent believe the information affected his knowledge, attitudes, or opinions about the subject studied?

Yes 13 No 1

Most people interviewed said that the studies increased their knowledge. For example:

- Comments by Police Chief on Victimization Survey:

  > Surprised at factors influencing degree of citizen satisfaction with police services; surprised at high response rate on several questions he thought people would feel were too personal.

- Comments by a Judge on Witness Utilization Study:

  > Able to determine where we were having difficulty in using witness efficiently . . . and where the bottlenecks were in the court.

- Comment by Police Chief on Witness Utilization Study:

  > A lot of us had some ideas on where it (the process) bogged down, and here we have a credible study about where things bog down, and we can go in and argue for changes in the trial system and the court system.

- Comment by police official on Jail study:

  > It gives us a basis of argument that we didn't have before. Before it was just gut reaction.

Following is the one negative comment:

- Comment by District Attorney on Drunk Driving Study:

  > I don't see that we got a lot out of the study. We could have gotten along without it. We were satisfied at the time that what we were doing was right.

2. Did the information affect any decisions?

Yes 7 No 4 Not Applicable 3

Respondents who said that the information did affect decisions identified two types of decisions that were affected: cases where they changed operations as a result of the study, and cases where they originally thought they had problems, but decided against change based on the study results.

- Comment by Judge on Witness Utilization Study:

> We adjusted our calendars so as not to hold officers unnecessarily. Also introduced a one day delay in jury trials to reduce officer overtime.

- Comment by Police Chief on Simi Valley Victimization Study:

> Some of the things learned caused us to institute a burglary task force at Christmas time.

- Comment by Police Chief on an Organizational Study:

> A few times had thought that a couple of supervisors (officers) were a little arbitrary with the troops, and that some team training or supervisory training might be necessary. But after reading the report, decided that didn't need to do this.

The "no" responses are those cases where the respondent could not identify any specific change or attribute any change to the study.

- Comment by Judge on Sentencing Patterns Study:

> Contributed to more knowledge based on hard data of what is going on and what has been going on. The problem is that the final report has not been published and relatively few people have read it.

- Comment by District Attorney on Drunk Driving Study:

> It put to rest the argument that we ought to do something different than the way we're doing it now. The study validated our general belief that there didn't need to be a change in our policy with regard to the drunk driver.

- Comment by police official on Jail Study:

  It has helped in overall planning.

The four "not applicable" responses are all respondents commenting on the same study. They indicated that it is affecting opinions, and that they could have used it; however, at the time of the interview the State Attorney General had ruled that that type of program could no longer be operated. So the study has been shelved until such time as the Attorney General's ruling is changed.

3. Did the MEP change respondents' attitudes toward evaluation?

Yes 3 No 6 Don't Know 3 (Not Applicable 2)

All those responding "yes" said their opinion of the potential objectivity, quality and value of evaluation information increased. It increased due to the way the MEP staff worked and the quality of their work.

- Comment by Police Chief on Victimization Survey:

  I liked the fact that it was not developed by some individual sitting in some ivory tower. It was developed by people who actually work in the community and know what the problems are.

- Comment by police official on Jail Study:

  My opinion of evaluation has risen significantly because of the Jail Study, and especially because of the ones who did it, because they were available at the local level (outsiders can't afford to spend that much time on-site). I wouldn't feel comfortable with someone else from the same agency to come in if they didn't have the expertise and ethics of these two.

Almost all of those who responded "no" saw a need for evaluation, both prior to their contact with the MEP, and subsequent to that contact.

- Comment by District Attorney:

> I'm very skeptical of evaluation in the criminal justice field. . . . There is a tremendous need for it. . . . . The problem is that there are so many variables and unknowns. I can't think of any study that has satisfied me as an attorney in the criminal justice process, and also knowing something about research, haven't seen anything that was intellectually satisfying. I know what the problems, weaknesses, and mistaken assumptions are, but I can't design a program that gets around these.

- Comment by Judge on Sentencing Pattern Study:

> I'm currently the local gadfly on the need for evaluation and the defects in evaluations I've seen. Not much good evaluation being done anywhere, including Ventura County --evaluation in the sense of whether or not a drug, alcohol or mental health program is effective or cost effective.

- Comment of Director of Corrections Agency on Adult Diversion Study:

> Quite honestly, there wasn't much (evaluation) in this agency--it was rather poor in this agency because of lack of expertise in staff and lack of commitment to it from the administration. I'm fairly well committed to the importance of evaluation anyway.

- Comment by Police Chief On Organizational Study of Police Department:

> I think that type of process is necessary. I've done internal evaluations before, but none as complex or thorough as this one.

- Comment by Police Chief on Witness Utilization Study:

> Still think they're (evaluations) a good idea.

One respondent simply indicated that his opinion had not changed.

II. THE EFFECT OF THE MEP ON THE STUDY

1. Did the MEP enable a study to be done that would not have been done without the MEP?

Yes 11 No 1 Can't Say 2 Don't Know 1

Most of the respondents who responded positively said that without the MEP, they would not have had the resources available to do a study or the technical direction they needed.

- Comment by Judge on Study of Sentencing Patterns:

> Budget things are so tight. People have a hard time just keeping their programs going. People tend not to come up with money to fund evaluation studies or research studies (when funds are tight).

- Comment by Police Chief:

> Port Hueneme is a very small department--don't have much money. Wouldn't have been able to get a person just such as Fry or Miller to evaluate the results.

Those who answered negatively, claiming that the study probably would have been done without MEP, saw the MEP as increasing the scope or sophistication of the study.

- Comment by Probation Officer concerning Adult Diversion Study:

> (It would have been done) but on a much smaller level and less sophisticated manner. The computer techniques would have been at a much much lower level and less sophisticated analyses--it would have been almost manual.

- Comment by a District Attorney:

> Suspicion is that it probably would have (been done), but the statistics would have been less involved and less sophisticated.

- And a general comment made by the RPU Director[1] concerning all the MEP studies:

> Without the MEP, 20 percent of the studies (done by the MEP) might have been started, but they wouldn't have been as extensive; they would have been in-house and wouldn't have had Glen's expertise (with Ph.D.).

2. Did the MEP involvement improve the quality of the study?

Yes 10 No 0 Can't Determine 4

The majority opinion was that the MEP improved the quality of the studies.

- Comment by Police Chief on Organizational Study of Police Department:

> Port Hueneme Police Department is a very small department. We don't have much money. Wouldn't have been able to get a person like Fry or Miller to evaluate the results. I've done internal evaluations before, but none as complex or thorough as this one.

- Comment by head of Corrections Services Agency on Adult Diversion Study:

> This agency doesn't have any automated systems. There would have been some level of evaluation, but wouldn't have had the resources to go into the detail (that this one did).

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1. This respondent is not included in the tabulations.

- Comment by Police Chief on Witness Utilization Study:

> If we had to, might be able to sit down and do something like it, but not to that extent. . . . For us to do this by hand—it would take months, and don't have the people to do it—it would just be prohibitive (in terms of cost and time).

Those in the "can't determine" category are there because we were not able to determine the respondents' opinions on this point from their answers.

III. EFFECT OF MEP PROJECT ON THE USER AGENCIES' CAPABILITY TO DO EVALUATION

1. Did the study change respondents' or respondents' staffs' ability to do evaluations?

Yes 4* No 7* Don't Know 1

Some people responded that either they themselves or agency staff now had the experience and skill to do evaluation, although in some cases the resources were not readily available.

- Comment by Supervisor Deputy Probation Officer on Adult Diversion Study:

  > I became reasonably competent to go in and do an analysis, and I can program and run the SPSS.

- Comment by Judge on Sentencing Pattern Study:

  > I don't know where we'd get the money for it. If we did have the money, I would do some level of overseeing. (The Judge feels that he has the expertise to supervise it, and that since, as far as data collection goes, all this study would entail would be going through the records, he feels his staff could do it. However, they would need someone to keypunch the data and run them through the computer.) We would know what we wanted to look for, and what data were needed, and how to analyze them. Would help to have . . . someone with Glen Fry's expertise.

- Comment by District Attorney on Drunk Driving Study:

  > We could pull the numbers and look at them in gross percentages, but couldn't do certain statistical procedures, e.g., measuring statistically significant variations from certain norms.

*A few respondents answered this question only once, even though they were familiar with more than one study.

- Comment by Supervisor Deputy Probation Officer on Adult Diversion Study:

> I could to it--in fact, I could improve it--if I had somebody to do the computer work, and that's not difficult to get.

- Comment by District Attorney on Adult Diversion Study:

> As for repeating the study that was done, the staff learned from it and probably has the expertise to do it, but don't have the resources at this point.

Those responding "no" felt that some skill or capability was still missing.

- Comment by Police Chief on Witness Utilization Study:

> We'd never be able to do it--the cost and time would be prohibitive to us. If we had to, might be able to sit down and do something like it, but not to that extent. . . . For us to do this by hand, it would take months, and don't have the people to do it.

- Comment by Police Chief on Organizational Study of Police Department:

> Not enough time (or resources). No one in city is capable of doing it.

2. Did the MEP lead to changes in agency evaluation policies and plans?

Yes 3* No 6* Don't Know 2*

We identified as "yes" only those respondents who could identify specific changes in agency evaluation policies and practices. However, the respondents who could do so indicated that the MEP was usually not the only influence on these agencies.

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*A few respondents answered this question only once, even though they were familiar with more than one study.

- Comment by Probation Officer on Adult Diversion Study:

> Yes, in that they're doing them. We've gone from zero to some. . . . For years and years . . . did evaluations for the sole reason of getting the (federal) money. Now several are doing studies and evaluations that are not grant connected--the concern is to get the operation to work better--found that one way to do this is to go through the evaluation process. Hard to separate out what effect the MEP had, but it brought some respectability to evaluation.

- Comment by Director of Corrections Services Agency on Adult Diversion Study:

> Quite helpful for our staff. Most had never been exposed to research design. It has been instrumental in that several staff members now have the capability to implement simplified program evaluations. There are a lot of people now with an understanding of research and program evaluation.

Most of those responding "no" do not have the staff to sustain an evaluation effort, or their offices do not have a tradition of doing evaluation.

- Comment by Judge on Witness Utilization Study:

> It's very difficult for courts. Judges don't have the staff that can do this sort of thing. It takes an outside staff (to do evaluation) and we don't have the manpower.

- Comment by Police Chief on Organizational Study of Police Department:

> We don't have the computer capability, and I don't quite have the expertise they (MEP staff) have in that area.

- Comment by District Attorney on Adult Diversion Study:

> (Change involved) more getting us thinking along the lines of--if you have something that needs to be evaluated, how do you approach it? Assisted us in focusing in on what may be some of the important variables. Studies are generally done by people outside the office--at the moment we don't have the resources to do any.

In summary, from the results of the interviews, we can see that the MEP did have a positive impact in terms of affecting decisions, knowledge, and attitudes of those in the criminal justice system in Ventura. However, the degree of that impact is extremely difficult to determine, since there were other factors besides the MEP affecting criminal justice programs in Ventura. Several respondents mentioned that it was difficult for them to distinguish between the degree of influence the MEP had versus other factors, but they indicated that the MEP was a factor in several changes made in the Ventura criminal justice system.

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