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National Institute of  
Law Enforcement and  
Criminal Justice

# Annual Report

## FY 1978

United States Department of Justice  
Law Enforcement Assistance Administration  
**National Institute of Law Enforcement and Criminal Justice**  
Washington, D. C. 20531



**The National Institute is the research center of the  
Law Enforcement Assistance Administration**

Law Enforcement Assistance Administration  
Henry S. Dogiti, *Acting Administrator*

National Institute of Law Enforcement  
and Criminal Justice

Blair G. Ewing, *Acting Director*



# Letter of Transmittal

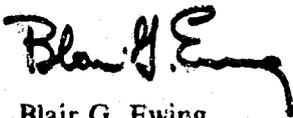
To the President and to the Congress of the United States:

It is my pleasure to submit the Fifth Annual Report of the National Institute of Law Enforcement and Criminal Justice, in accordance with the requirements of the Crime Control Act of 1973, as amended.

The National Institute marked a significant milestone in 1978: the completion of the first decade of major Federal support for research on crime and justice. Thus, the year represented a "coming of age" for the National Institute. From its beginnings as a small unit mandated by Congress to encourage research and development in a relatively new field, the Institute has evolved into one of the Federal Government's chief instruments for generating the new knowledge needed to deepen our understanding of crime and to improve the workings of the criminal justice system. Under its sponsorship, an established community of scholars and scientists—many introduced to the field through Institute programs—is working with innovative practitioners to help shape the criminal justice system of the future.

With a carefully-considered research agenda fully in place, the Institute last year concentrated on summing up the experience, knowledge, and insights acquired in the first decade. Working with its distinguished Advisory Committee and guided by its legislative mandate and the recommendations of the Attorney General and the LEAA Administrator, the Institute began to identify the issues that will confront criminal justice research in the 1980's. The foundation for the future—the results of research, evaluation, and testing programs completed or now in progress—is discussed in this report.

Respectfully submitted,



Blair G. Ewing  
Acting Director  
March 1979

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# Introduction

...striking a better balance between short-term needs and the long-term search for knowledge.

For the National Institute of Law Enforcement and Criminal Justice, the year 1978 marked the conclusion of the first decade of major Federal support for research on crime and justice. The lessons of that period illustrate the difficulties of launching a research program in a relatively uncharted field and shaping research agendas that balance the long-term quest for knowledge with the immediate problem-solving needs of the policymaker and practitioner.

These issues are not peculiar to criminal justice, of course. Typically, the catalyst for the accumulation of knowledge about a social problem is the passage of new legislation, the creation of the program, and the authorization and expenditure of Federal funds. None of these actions is forestalled until a body of knowledge is in place, although in an ideal world that might be the case.

**Progress in the First Decade.** A decade ago, new knowledge was needed in virtually every area relating to criminal behavior and the operations of the criminal justice system. As the research arm of the Law Enforcement Assistance Administration—whose mission is to assist state and local criminal justice systems—the Institute's early research portfolio was weighted on the side of applied research designed to help solve some of the urgent

operational problems afflicting the system. This book of research yielded some striking successes in challenging long-held assumptions about criminal justice and suggesting ways to increase the effectiveness, efficiency, and fairness of the crime control apparatus. Among the fruits of the first decade of research were:

- new insights into police work that have led to growing experimentation with more promising approaches to patrol, investigative work, responses to calls for service, and the collection and analysis of physical evidence.

- in-depth analysis of court functions and operations that have provided cost-saving reforms in jury management, knowledge about methods for resolving disputes outside the expensive and time-consuming judicial process, and assessments of the extent and effects of plea bargaining.

- studies into correctional theory and practice that have yielded guidelines for more equitable decisions by parole boards, the first nationwide data on corrections programs for women, and insights into such problems as violence and overcrowding in corrections facilities.

- new theories about crime prevention that reflect the relationship between the physical environment and behavior, and the factors that relate to involvement in crime prevention.

- practical information about the impact of existing approaches or innovations in criminal justice, such as new legislation covering drugs or weapons control.

- more useful tools for measuring the effects of criminal justice policies.

- systematic and workable approaches for transferring new knowledge to the field.

These timely and usable findings underscore the merits of an agenda that reflects practical needs. At the same time, the research has raised but not answered the behavioral questions: why offenders, victims and personnel of the criminal justice system act as they do. While information-gathering about criminal justice operations remains an appropriate Institute goal—and one that is vigorously pursued—the efforts of the last few years have concentrated on striking a better balance between short-term operational needs and the long-term search for more fully developed theories and systematic knowledge that can inform crime prevention and control policies.

Realignment of the program began in 1975 when a major new approach emphasizing long-term explorations of fundamental issues began. Known as the Research Agreements Program, the arrangement linked the Institute to universities and organizations with established research centers.

#### **Setting the Research Agenda.**

As the Institute continued its period of reassessment, it called upon the National Academy of Sciences to assist in the evaluation. From these external reviews—and the Institute's ongoing internal assessment—agenda-setting emerged as a paramount concern. Unless re-

search needs were more clearly articulated and priorities consciously reflected, it was obvious that the more complex questions about criminal behavior or the long-term consequences of various intervention strategies could get short shrift in the zeal to produce immediately usable facts.

A carefully-drawn research agenda, subject to periodic review and revision, clearly could serve as a scale for balancing the two needs. Accordingly, the Institute in 1977 began the task of constructing an agenda for what might be called the "second generation" of criminal justice research. The priorities that have been set are:

1. Correlates of crime and determinants of criminal behavior
2. Violent crime
3. Community crime prevention
4. Career criminals
5. Utilization and deployment of police resources.
6. Pre-trial process: consistency, fairness, and delay reduction
7. Sentencing
8. Rehabilitation
9. Deterrence
10. Performance standards and measures

At the same time the Institute changed its administrative structure in ways designed to encourage concentration on the priorities and to strengthen the management of research. The most important aspects of the reorganization were the establishment of a Center for the Study of the Correlates of Crime and the Determinants of Criminal Behavior with responsibilities for research in this priority area as well as for much of the work under the Career Criminal and Violent

Crime priorities; the establishment of an Office of Research and Evaluation Methods responsible for all methodological research, with special emphasis on the Deterrence and Performance Standards and Measures priorities; the creation of the Office of Program Evaluation to focus on the assessment of criminal justice programs; and the restructuring of the former Office of Technology Transfer into the Office of Development, Testing and Dissemination with responsibility for developing and operating a strong system for testing, validating, and disseminating research results.

Subsequent chapters of this report will sketch how those changes enabled the Institute in 1978 to open up several new areas of research and put many of its ongoing programs into sharper focus. Here it is worthwhile to dwell briefly on the continuing efforts the Institute made in 1978 toward integrating itself more fully into the scholarly community and reaching out to researchers in other disciplines that might contribute to criminal justice research in the future.

**Peer Review.** One way for organizations that sponsor research to assure themselves that their plans, their methods, and their results meet scholarly standards is to submit them to "peer review" by reputable scholars outside the organization. In 1978 the Institute strengthened its peer review procedures in a number of ways, of which the most far-reaching was its sponsorship of seven workshops aimed at setting research agendas in seven fields in which the Institute felt that there was much work left to do. Those workshops brought together

for a day or two researchers from universities and private institutes, criminal justice practitioners, officials from concerned agencies of the Federal government and, of course, members of the staff of LEAA and the Institute. One of the most significant of these was a 2-day Colloquium on Crime Correlates and Determinants of Criminal Behavior, which the next chapter will touch on. The others discussed Collective Violence, Weapons and Crime, Race and Crime, Sentencing, Probation and Parole, and Use of Deadly Force.

**Unsolicited Research.** A second important source of contact between the Institute and the scholarly world is the Unsolicited Research Program, which the Institute formally launched in 1975 and expanded in 1977. That program gives researchers with promising ideas that fall outside the Institute's annual Program Plan an opportunity to work on them. Thus it opens the Institute to new creative ideas and to researchers who may be new to the criminal justice field. Unsolicited research grants are generally short-term and modest in size. The grants awarded in 1978 range in size from under \$10,000 for developing a scheme for microscopical identification of synthetic fibers, a potentially worthwhile contribution to forensic science, to roughly \$145,000 for a project to assess the extent to which more detailed written jury instructions might improve the performance of juries. The other grants are for an examination of a unique set of correctional records from 1841 to 1945 that have recently come to light in California, with a view to learning more about how legal and administrative discretion historically has been

used in the correctional field; an econometric study of the relationship between crime rates and municipal tax rates and revenues; a historical study of the development of the Boston court system between 1810 and 1860, a period of rapid change and rising crime in that city; and an investigation of the possibility of automation in forensic laboratories.

**Visiting Fellows.** Similar in purpose to the Unsolicited Research Program is the Visiting Fellows Program. Instead of awarding grants for work in the field, the Visiting Fellows Program brings to Washington, usually for a period of 1 year, scholars who are able to carry out their projects by using the facilities at the Institute's headquarters and the resources available in the Washington metropolitan area. They also serve as a resource for Institute staff. Five visiting fellowships were awarded in 1978, to:

*Carlos Astiz*, Professor of Political Science at the State University of New York at Albany for a study of the need for and availability and quality of interpreting services for non-English speaking defendants;

*Keith Hawkins*, a Senior Research Fellow at the Centre for Socio-Legal Studies, Wolfson College, Oxford, for a study of the use of discretion by parole boards in three jurisdictions with varying degrees of discretion, with a view to comparing and contrasting American practices with British ones;

*Elmer Johnson*, Professor of Sociology and Criminal Justice at Southern Illinois University, for developing a theoretical "community subsystem model" as a possibly more effective means of maintaining social control than the "crime control

model" or the "rehabilitation model" that are in current use;

*Nicholas Kittrie*, Dean of the American University Law School, for an exploratory study of political crime—hijacking, kidnapping, assassination, civil disorder, draft evasion, etc.;

*Judith Lachman*, an economist formerly on the faculties of Michigan and Vanderbilt, for using economic techniques to study the possible effects of restricting the discretion now exercised by prosecutors, judges, and juries.

**Annual Review of Research.** Finally, to signal that research into crime and criminal justice has emerged from its infancy and developed into a well-defined, academically accepted field of endeavor, the Institute decided in 1978 to support the preparation of an annual review of such research. Called *Crime and Justice*, it is to be published in 1979 by the University of Chicago Press under the editorship of Norval Morris, Professor of Law at the University of Chicago. The first issue of the review will include these essays:

**Race Relations and the Prisoner Subculture** by James B. Jacobs, Cornell University Law School.

**Ecological and Areal Studies in Great Britain and the United States**, by John E. Baldwin, University of Birmingham (U.K.).

**American Youth Violence: Issues and Trends** by Franklin E. Zimring, University of Chicago Center for Studies in Criminal Justice.

**Police Function, Structure, and Control in Western Europe and North America** by David

H. Bayley, University of Denver.

**Changing Conceptions of the Police Role** by Egon Bittner, Brandeis, and Ruben Rumbaut, University of California, San Diego.

**A Review of Crime-Causation Theory and its Application**, by Daniel Glaser, University of Southern California.

**Deinstitutionalization and Diversion of Juvenile Offenders: A Litany of Impediments** by Malcolm W. Klein, University of Southern California.

**Longitudinal Research on Crime and Delinquency** by David P. Farrington, Cambridge Institute of Criminology (U.K.).

# 1 Exploring the Sources of Crime

... the complex web of factors that underlies criminal behavior.



Is it possible to get a better grip on the complex subject of the "causes of crime," much less determine definitively what those causes are? Unemployment, alcohol and drug abuse, child abuse, poverty—these are among the factors widely believed to be related to criminal behavior. But correlation does not prove causality. Indeed, from a research perspective, an established correlation simply points the way for further study. In the case of other factors thought to have a bearing on crime—such as overcrowding, housing design, family structures, early deprivation, health disorders—there is even less to go on.

**Long-Term Research.** The difficulties of exploring the complex web of factors that underlie criminal behavior are substantial. In creating LEAA, the Congress recognized the need for such inquiry by authorizing the Institute to "carry out programs of behavioral research designed to provide more accurate information on the causes of crime..." During the initial years, the Institute funded a number of such studies, including inquiries into the influence of the physical environment on behavior, the characteristics of burglars and robbers, and the relationship between delinquency and such variables as family and school.

By 1975, the early pressure to

solve immediate operational problems of the criminal justice system had abated, and the scholarly community interested in criminological research had become large and cohesive enough to undertake systematic long-term research. That year, the Institute funded a series of major long-term studies of criminal behavior under a new Research Agreements Program, which provided funding for each of the research teams to undertake a series of inter-related studies on a particular topic of major importance. That experience, along with the recognition both within the Institute and in the research community at large, of the need to strike a better balance between applied and basic research led to the creation in 1977 of the Center for the Study of the Correlates of Crime and the Determinants of Criminal Behavior. The Center was given responsibility for basic research into the correlates and determinants of crime, a priority for the Institute, as well as for work on two other topics on the Institute's long-range agenda: the Career Criminal and Violent Crime.

**New Directions.** As 1978 was the Center's first full year, much of its initial activity focused on devising an appropriate strategy for pursuing a broad program of fundamental research and on selecting, from

among the many alternatives, specific topics that appear to be most susceptible to potentially fruitful exploration. In laying the foundation for its program, the Center grappled with a number of key issues including:

- the need for continuity through long-term financial support, which requires the Institute to collaborate and coordinate with other government agencies, private foundations, and research organizations.

- the need for multi-disciplinary and inter-disciplinary research, which recognizes the inherent limitations of examining so complex a subject as crime from the perspective of any single discipline.

- the need for longitudinal studies that track changes in groups of people over a period of years and for analyses of data from various time periods and from various nations.

To augment its internal planning, the Center convened a colloquium on criminal behavior last year under the chairmanship of Dr. Marvin Wolfgang, the renowned criminologist from the University of Pennsylvania. The meeting brought together eminent scholars, from both private and public institutions, who have long experience in research fields relevant to criminal behavior. The titles of some of the papers presented give an idea of the range of the subject matter that falls under the Center's charter:

- Psychopathy and Crime
- Physiological Determinants of Human Aggression
- Episodic Dyscontrol in Criminals
- Clues from Drug Studies
- Delinquent Behavior Linked to Educational Attainment
- Early Deprivation and Criminality

The colloquium participants agreed that the most promising overall technique for exploratory inquiries into criminal behavior is the longitudinal study conducted on a multi-disciplinary basis. This approach entails accumulating and analyzing many kinds of data—physiological, psychological, economic, environmental, educational, and criminal—over a period of several years about a large number of people who, at least in some respects, are similarly situated, e.g. they were all born in the same year in the same city. Cohort studies are an investigative technique that has been used to good purpose in the past by health researchers, but infrequently in the field of criminal behavior.

In recommending longitudinal studies, the colloquium participants recognized the practical difficulties of constructing such data bases. The task is laborious, protracted, and expensive. Hence, the scholars recommended that criminological researchers first examine the masses of data that investigators in other fields have gathered about one or another kind of cohort to identify those that might lend themselves to research on crime. Acting on that recommendation, the Center last year awarded two major grants to explore existing longitudinal studies with the expectation that these studies would yield raw material for years of research into criminal behavior.

**Longitudinal Studies.** One grant supports a 2-year examination of the Philadelphia sample from the Collaborative Perinatal Study sponsored by the National Institutes of Health. The study accumulated socio-economic, medical, developmental, and psychological information about

seven cohorts born during the period 1958-1965. The study covered several cities, but the largest single sample consists of 10,000 persons born in Philadelphia. Those persons are now from 13 to 20 years of age, young enough so that most of them are likely still to reside in the city, and old enough for patterns of delinquent or criminal behavior to have formed.

During the first year of the grant, researchers will gather school and police data about the members of the two oldest cohorts and begin interviewing these cohort members. During the second year work will begin on the third cohort. Relationships between the medical, psychological, and other data and school and police data will be explored. Depending on the outcome of the preliminary analyses, the researchers expect to select small samples of delinquents and non-delinquents for future intensive testing and interviewing.

Another grant is seeking out other existing longitudinal studies in the U.S. and Europe that may be useful for inquiries into criminal behavior. This project will indicate how these studies might be used in criminological research, will summarize relevant literature, point to areas of knowledge and ignorance, and suggest directions and designs for future research.

**Minorities and Crime.** A particular—and sensitive—aspect of crime that the Center began to explore in 1978 is the relationship between race, societal factors, and crime. Minority communities have long been the most heavily victimized by crime, and minority-group members are caught up in the criminal justice process in

numbers that exceed their representation in the general population. There never has been a shortage of theories purporting to account for that disproportion, including poverty, and discrimination by the criminal justice system and by society in such areas as housing and education. Despite the obvious importance of the subject, it has not been thoroughly studied.

In a major effort to provide a solid foundation for coherent and sensitive future research into minorities and crime, the Center in September awarded a grant to the Research Department of the National Urban League. The League will compile two bibliographies, one a comprehensive catalogue of research directly dealing with minorities in relation to crime and criminal justice, the other an annotated catalogue of criminal justice research conducted by minority researchers. Then it will synthesize the studies listed in the first of the bibliographies — summarizing what is now known about minorities and crime and criminal justice—and produce a collection of papers discussing promising directions for future research. The last of the tasks is perhaps the most important, not only because those papers might point the way for further investigation of the subject but because minority researchers, criminal justice practitioners, and community representatives will play the major part in preparing them, which means the beginning of the creation of a pool of expert talent. It is important to note that under the terms of the grant “minority” means Hispanic, Asian and American Indian as well as black, and representatives of those groups are on the advisory board of the project.

**Drugs, Alcohol and Crime.** Another particular aspect of criminal behavior that falls within the Center's jurisdiction is the relationship between drugs and alcohol and crime. When the Congress amended the Omnibus Crime Control Act in 1976, it required the Institute, in collaboration with the National Institute of Drug Abuse (NIDA), to investigate the relationship between drugs and crime. One major effort under that mandate is a study by NIDA, funded in part by the Institute, of the outcomes of all kinds of treatment programs for drug abusers, including those managed by or in connection with criminal justice agencies.

In addition, the Institute took advantage of two other opportunities that arose during 1978 to collaborate with NIDA on small but significant research projects. One is a study in Harlem of the economic behavior of drug-addicted career criminals as compared with that of non-addicted ones, which may throw additional light on the quantitative relationships between drug addiction and different types of criminal activities. The other is an analysis of the results of merging the data banks of the Prosecutors' Management Information System (PROMIS) and the Narcotics Treatment Agency in Washington. Combining the two data banks should produce a clearer picture than now exists of how closely addiction and crime are intertwined, at least in Washington, D.C.

A third “opportunity” grant in the drug field, this one in collaboration with the National Institute of Corrections, also was funded last year. It is the third phase of a study of drug and alcohol use among offend-

ers under the supervision of the correctional system, and related service needs, in the State of Washington. The first phase looked at prison inmates, the second at jail inmates and the third will examine parolees.

In addition, the Institute published the findings of an in-depth evaluation of the drug treatment programs known as TASC (Treatment Alternatives to Street crime). The results of the evaluation are described in Chapter 8.

Many studies also have found relationships between alcohol and criminality. The Institute's current efforts are directed at defining more precisely the relationships between alcohol use and specific crimes and at more intensive exploration of the possible causal links between them that may exist. Planning grants to the Research Triangle Institute are financing development of research agendas for studies of the relation of drugs and alcohol to serious criminal behavior.

**Research Agreements.** Among the Center's other responsibilities is the Research Agreements Program, 5-year studies of particular, but broad, aspects of criminal behavior and crime control. Five are now in progress: The Rand Corporation is studying habitual offenders (one of the Institute's research priorities); the Yale Law School, white collar crime; Northwestern University, public reactions to crime; the Hoover Institution, the application of econometric models in crime prevention and control; and the Vera Institute, the relationship between employment and crime.

**Career Criminals.** The Rand findings, while still preliminary, outline a tentative picture

of criminal careers and their relationship to criminal sanctions. Much of the data collected is based on responses to questionnaires and interviews with inmates in California prisons.

Based on their sample, the researchers found that the habitual offender tends to have a long and serious juvenile record and probably started engaging in serious criminal activity before age 16. He is not a specialist; he probably has committed half a dozen different kinds of major offenses. There is a strong probability that he has been heavily involved with drugs, heroin in particular, as both a user and a seller. His motivation for his criminal activity is more likely to be a desire for high living—"good times" as Rand puts it—than the need to relieve economic distress; he reports that crime produces much better times than the straight life. He does not believe that "doing crime" is a very risky business; i.e., he perceives a low likelihood of being caught. Rand adds that his lack of concern about punishment may well arise from his awareness that he is unlikely to be caught for any single specific offense. Rand estimates that the chances of arrest are less than 1 in 10 for most crimes, a far smaller risk than that taken by the occasional—and therefore less skillful—offender.

The researchers cautiously conclude that by the time a career criminal reaches his thirties, he will have had time to establish an extensive criminal record, and it is then that he is subject to a lengthy prison term. If, as the Rand study suggests, criminal activity declines among career criminals as they approach the age of 30, the effect on the crime

rate of lengthy prison terms for these offenders is small compared to the effect that might be achieved if they were incarcerated at an earlier, more active age. But younger offenders—in their early twenties, say—often are not subject to lengthy imprisonment because they do not exhibit extensive prior criminal histories unless their juvenile records of serious crime are entered into adult court proceedings.

The use of juvenile records in adult proceedings is a particularly sensitive subject about which little is known. Regardless of whether or not the practice is justified by sentencing policies aimed at maximizing the effects of incapacitation of offenders, the traditional separation between the adult and the juvenile courts has evolved for reasons that go beyond efficient use of the incapacitation sanction. The questions nevertheless remain: What are today's policies and practices relating to the use of juvenile records in adult court proceedings? What are the consequences, intended or not, of these policies and practices?

To explore such questions, the Institute awarded a grant last year to Rand, where researchers will collect data to determine, for example, whether the unavailability of juvenile records in adult courts results in lenient sentences for young adult offenders and relatively harsh sentences for juvenile offenders.

The data Rand gathered in its California prison surveys about crime commission rates enabled Rand to make preliminary calculations about the probable effects of different mandatory sentencing policies both on crime rates and on the size of the prison population. For example, if all people

convicted for burglary were sentenced to 3 years in prison, it is estimated that there would be 5 times as many burglars in prison as there are now and half as many burglaries. A similar policy for robbers would reduce robberies by 20 percent and increase the number of robbers in prison by 70 percent. To reduce robberies by 50 percent would require more than tripling the population of imprisoned robbers, which would entail giving every convicted robber a sentence of more than 5 years. In short, it appears that reducing crime significantly by incapacitating criminals would require very long sentences and therefore very large—and expensive—increases in the prison population.

**White Collar Crime.** Before white collar crime can be studied systematically, there must be some agreement about just what it is. "White collar crime," after all, is less a precise description of a specific activity than a catch phrase that can cover a variety of crimes against business, against government, and against the consumer. From the Yale Research Agreement in 1978 came a *A Background Paper on White Collar Crime: Considerations of Conceptualization and Future Research*, which proposes that white collar crime be defined as "transactional property violations," that is, violations that occur in the course of transferring property from one party to another, whether the parties are individuals acting for themselves, individuals acting as corporate officers or public officials, or corporations. It suggests further that there are two principal kinds of white collar crime. In one kind, "transactional violations," what

might have been a legal transaction, the sale of food, say, is made illegal by the means used in the course of effecting it—adulterating the food and representing it as pure, for instance. In the other kind, “violative transactions,” the whole category of transaction is illegal; bribery, for example.

The paper goes on to suggest specific areas of white collar crime researchers might tackle: the form and social organization of white collar crime; the social location of white collar crime; the victim of white collar crime; attitudes and values concerning white collar crime; the law as it deals with white collar crime; gathering intelligence about white collar crime. The paper, of course, is not an attempt to resolve once and for all the numerous difficult conceptual problems white collar crime raises, but merely to bring some order into the study of those problems. In addition to the background paper, the early work at Yale also resulted in two books. *The Economics of Corruption* (funded in part by the Institute) by Susan Rose Ackerman is a theoretical work that explains how the benefits of bribery are weighed against the risks of detection and punishment in various situations. *Folded Lies* by Michael Reisman, analyzes commercial bribery, in transnational settings. A third project by Robert Clark is examining the best strategies for regulating behavior by managers in publicly-held business corporations, particularly in financial institutions.

The major emphasis in the Yale research program is on Federal efforts to control white collar crime. One study, for example, deals with the nature of the Securities and Exchange Commission enforcement activity. This study is looking at

largely unexamined data on investigations of securities cases conducted by the SEC over a 25-year period. The analysis considers various aspects of the enforcement process as well as the illegalities themselves, including trends of illegality, the characteristics of targets of investigation, recidivism among securities violators, the impact of various enforcement practices, the decision to prosecute, and the disposition of cases.

A second study is examining the differences in the way Federal prosecutors handle white collar cases and street crimes. The researcher has conducted interviews with prosecutors and observed the interaction between a U.S. Attorney's Office and investigating and referring agencies. Among the topics being explored is what effect plea bargaining reforms would have on the treatment of white collar criminals and street crime offenders: would proposals to make plea bargaining more structured and more public contribute to evenhandedness or would it lead to even greater inconsistency and concomitant public cynicism?

Equality is also the focus of another study that is looking at the sentencing of white collar criminals at the Federal level. Federal District Court judges in Los Angeles, New York and Chicago are being interviewed to learn which factors influence their sentencing decisions for white collar and other type of offenders. A companion piece to this study of judicial attitudes is now in the planning stage. This effort would study presentence investigation reports in white collar crime cases to compare sentence recommendations with those in more common crime cases. Finally, the program is also supporting

a study of defense attorneys experienced in white collar cases that will gather information about the techniques used to protect white collar defendants from the impact of criminal sanctions.

The combined efforts of the Yale research, as well as other Institute studies under way on this topic, should expand our knowledge in the under-researched area of white collar crime and illuminate the contrasting systems that deal with the white and blue collar criminal.

The other Research Agreements have produced papers that have been printed in scholarly journals and will be heard from at greater length in 1979. A book, *Economic Models of Criminal Behavior*, containing papers by four of the economists working at the Hoover Institution, will be published soon. What is happening at Hoover is not the preparation of one comprehensive report but the establishment of a center where an effort to construct and apply economic models useful to the criminal justice system will continue. Much the same kind of center, concentrating on white collar crime, is developing at Yale. The Northwestern researchers have finished their surveys and observations of public reactions to crime and are beginning to write their report. Vera has almost completed a comprehensive survey of employment programs and will move on to longitudinal studies of the relationship between employment and crime, probably focusing first on teenagers. And the Institute plans to fund in 1979 a sixth agreement, which will create a center for the study of criminal violence, one of the Institute's research priorities.

# 2 Sharpening Research Tools

... a multitude of gaps in the methodologies for studying crime and evaluating criminal justice.



For research to produce reliable and useful results it must have at its disposal an array of techniques for accurately collecting and analyzing data. At present, there is a multitude of gaps in the methodologies used for studying crime and evaluating criminal justice programs. Most existing techniques for measuring effects and drawing inferences available to the social scientist were developed with an experimental research model in mind. While the available analytic tools of the trade may in theory be adequate, it is not always easy in fact to tailor them to the special constraints of studying crime and criminal justice. Their validity often depends, for example, on establishing and maintaining strict experimental conditions—notoriously difficult in an operational setting such as the courts or corrections.

Moreover, developing new or improved methodological techniques suitable for criminal justice is a highly specialized endeavor. That is why the Institute established a separate Office of Research and Evaluation Methods (OREM) when it reorganized in 1977. In addition, the Office was assigned responsibility for developing and managing research on two of the Institute's long-range priorities: deterrence and criminal justice performance measurement. In the case of deterrence, the assignment reflected

the awareness that the problems that inhere in determining the impact of sanctioning policy essentially are ones of measurement and inference about the relative effects of a variety of factors that may be operating simultaneously. Measuring performance also poses substantial conceptual and methodological problems and requires a system-wide perspective, which make it logically the province of this Office.

During 1978, its first full year of operation, the Office made a number of significant starts in its three areas of responsibility.

**Deterrence.** Many people concerned with criminal justice think of deterrence as perhaps the most important function of the criminal code and the daily operations of every criminal justice agency. Police patrol the streets to forestall crime as much as to arrest criminals. Prosecutors often call upon juries to convict defendants so as to "set an example" and judges often use the same words when imposing sentences, particularly when the sentences are lengthy. Yet there are substantial difficulties in detecting and measuring crime-deterrent effects achieved by these and other activities of the criminal justice system, according to a landmark study published last year by the National Academy of Sciences.

Entitled *Deterrence and In-*

*capacitation: Estimating the Effects of Criminal Sanctions on Crime Rates*, the study was conducted by a panel of research and substantive experts assembled by the Academy at the request and with the support of the National Institute. The report takes a critical look at past scientific studies on the issue of deterrence and points out the many methodological pitfalls encountered by researchers in this area. It also suggests possible directions for future study.

The panel found that all deterrence studies it examined—both those which purported to disprove the hypothesis of deterrence and those which reported measurable deterrent effects of criminal sanctions—were subject to question on methodological grounds.

According to the panel, it would be premature to conclude that deterrence definitely works, given the limited validity of the scientific evidence supporting this view. Nevertheless, the panel stated: "Our reluctance to draw stronger conclusions does not imply support for a position that deterrence does not exist, since the evidence certainly favors a proposition supporting deterrence more than it favors one asserting that deterrence is absent."

In general, the panel found, studies purporting to estimate the size of a deterrent effect were unconvincing, because researchers were unable to rule out the possibility that their estimates had been influenced by so-called "confounding factors"—other phenomena which might mimic or mask the effects of the one under study. For instance, when many crimes go unreported, researchers relying on official crime records will underestimate the crime rate and overestimate the likeli-

hood of punishment. Mathematically, this dual error in measurement will produce a result indistinguishable from a deterrent effect.

Another confounding factor is incapacitation—the direct effect on crime rates of removing criminal offenders from society. When a sufficient number of offenders are imprisoned, crime may be reduced even in the absence of any deterrent effect. Thus, the crime-deterrent effects of a particular form of punishment cannot be measured until effects arising from simple incapacitation have been estimated. Various statistical techniques for disentangling these two variables are reviewed in the report.

Perhaps the greatest difficulty facing deterrence researchers is the problem of "simultaneity"—the possibility that crime rates affect the likelihood or severity of criminal sanctions at the same time that sanctions affect crime. For instance, it is possible that a jurisdiction faced with rising crime rates might lower penalties for offenders to prevent its corrections system from becoming overburdened. Or there may be greater tolerance for criminal behaviour in those jurisdictions where crime is more common.

In either case, there will be a definite, negative relationship between criminal sanctions and crime rates, but it cannot be taken as a measure of deterrence. Researchers' chances of obtaining a valid estimate of deterrent effects in this situation will depend on their skill in identifying and making allowance for factors which influence the level of sanctions.

Based in part on the problems uncovered in the NAS study, the Office solicited research proposals on the theory

of general deterrence. Out of the 55 concept papers received, 7 projects were selected for possible funding. Five of the projects under consideration propose to extend the existing body of work on constructing models for measuring the general deterrent effects of crime sanctions. An experiment also has been proposed in the deterrence of auto repair fraud. Finally, one study proposes to examine the effects of a new State criminal code.

#### **Performance Measurement.**

In private industry, the task of measuring performance is relatively simple. The success of a manufacturing firm can be gauged by the products it produces and the profits it makes. Society demands considerably broader "performance" from its institutions, and so the task of measuring becomes more complicated. To view the performance of the criminal justice system in terms of crime rates, for example, is to ignore the complex—and often conflicting—public expectations of police, courts, and corrections.

One commonly used barometer of police performance, for instance, is the number of arrests each officer makes. But it may not accurately gauge effectiveness unless it also reflects the number of arrests leading to convictions. And arrests may not be an appropriate gauge anyway. A police officer responding to a domestic disturbance call, for example, may find it more appropriate to defuse the quarrel rather than make an arrest.

Because performance measurement is relatively new to criminal justice, the selection of appropriate yardsticks has been largely an intuitive exercise—a necessary first step in every

field. Although some useful measures of agency effectiveness have evolved, performance measurement is still largely piecemeal. A major flaw has been the absence of a concept or theory of what constitutes good performance by the criminal justice system.

The Office began work on building that foundation in 1978 when it awarded five 18-month grants, totaling \$1.1 million, for the first phase in the development of a comprehensive theory of performance measurement. The Center for Urban and Regional Studies at the University of North Carolina will work on a concept of police performance; the Bureau of Social Science Research on prosecution and defense; the Research Triangle Institute on adjudication; the Osprey Company on corrections, and Georgia Tech on integrating the four into a system-wide concept.

Each project will identify key functions and factors within each agency and place them in a broad measurement framework that explores their interrelationships. The central concern is to pinpoint factors that are within the policy control of agencies and that appear to significantly influence the "products" of a particular type of agency. An example would be a prosecutor's policy of accepting cases for prosecution. Whether the screening policy is lenient or stringent will determine the office's workload and will be reflected in the traditional outcome measures such as conviction rates and plea bargaining.

The researchers will review the range of practices that currently exist within the criminal justice system to create a framework flexible enough to accommodate the different styles of operation throughout the

country. Then they will attempt to define performance in a way that is meaningful for criminal justice. While efficiency is a laudable goal for all organizations, equity is a goal that must take precedence in criminal justice. Similarly, criminal justice agencies must be measured in terms of their responsiveness to community needs. And finally, the effect of legal and fiscal constraints on agency activities must be included in the equation.

Delineating all these aspects of performance must be done before a comprehensive system can be devised. If a satisfactory framework can be developed, commonly-used measures can then be evaluated within the scheme, and new measurement needs can be spotted. Once the initial phase of the program is successfully completed, work will proceed on studying unresolved issues, developing prototype measurement systems, and eventually moving toward broad-scale implementation. While the effort is considered to have an 8- to 10-year horizon, each phase is likely to produce findings of immediate relevance to both the researcher and practitioner communities.

Supplementing the long-range effort is a limited program of studies of measurement systems already in operation. The aim is to get a better grasp on the kinds and uses of performance information and the factors that influence its acceptance or rejection by agencies. One grant is to the New Jersey State Planning Agency, which has successfully introduced routinely-generated program performance evaluation information into their decision-making process for dispensing LEAA block grant funds. The research will explore this approach as a possible model for developing

standardized performance measures for LEAA discretionary fund programs. Another project is looking at the implementation of a system-wide resource allocation planning process by the Ventura, California, Regional Planning Unit.

**Methodology Development.** Projects in this category are designed to increase the capacity to study and evaluate criminal justice problems. Because the problems are so fundamental, complex, and pervasive, the Office has adopted a broad funding strategy. The call for proposals defines a general program need rather than a set of specific research problems, and is widely advertised. Last year, for example, more than 7,000 copies of the program solicitation were mailed to researchers, and announcements were published in the Federal Register, as well as in professional journals and newsletters. This process of program advertisement generated a highly competitive response from the research community and a correspondingly high technical quality in the 11 projects selected for funding. It is worth noting that the program has attracted researchers from non-criminal justice fields, contributing to a wider base of scientific interest in criminal justice research.

The following examples illustrate the kinds of methodological problems Institute-sponsored researchers are working on:

**Sources of Variation in Criminal Justice Surveys.** Surveys are a frequently-used technique for collecting data. Despite their popularity, however, little is known about the validity of information acquired in this manner. For example, variations in survey

results may be attributable to actual change or to errors in gathering and analyzing the data. This project will survey citizen satisfaction with police, questioning approximately 400 citizens 10 times over the course of a year. Using this technique, the grantee will be able to study both the extent of the variation in the data and its source—what percentage is due to actual change, what to systematic error, and what results from random error. The findings are expected to be useful in future research on citizen satisfaction.

**Randomized Response Techniques.** One of the issues criminal justice researchers frequently confront is the accuracy and reliability of data. Because they are dealing with information that is sensitive—such as crimes committed or victimization—respondents may not want to reveal such information directly to an interviewer. The randomized response method is an interview technique that guarantees anonymity and thus has the potential for making it easier for respondents to provide accurate information. The approach is to ask a non-sensitive question in tandem with a sensitive one. For example, if members of a group of 100 women were asked to raise their hands if they had been raped, one would expect that the victims would be hesitant to admit that fact. If, however, each woman was asked to flip a coin and raise her hand if she had been raped *or* if her coin came up heads, victims would thus be able to mask their answer to the sensitive part of the question. Since the probability of heads on the coin toss is 50 percent, it thus is possible to estimate the number of rape victims.

This project will study the

efficiency of the randomized response method, focusing on arrest histories. A random sample of individuals previously arrested will be asked, both directly and by randomized response questions, how many times each has been arrested. Responses from each type of question will be compared with actual arrest records to determine the relative validity of each technique.

**Models of Criminal Incidence and Prevalence.** Traditionally, criminal justice evaluations use crime rates to measure the impact of programs. For a variety of programs, however, a more sensible indicator of success is whether the program has reduced the number of criminals in a given population—e.g., has a rehabilitation program “converted” any of its clients? Before such measures can be employed successfully, however, the size of the offender population must be estimated. At present, that cannot be done with any precision. This project will test a number of formal models that may provide that capability.

# 3

## Rethinking the Role of Corrections

...basic research on what rehabilitation is, how it works, and how it can be measured.



Throughout its existence, the goal of corrections has been shaped and reshaped by public attitudes about crime and criminals. Today, yet another shift in public attitude has begun to take hold. This change comes at a time when overcrowding in prisons has compelled judicial mandates to improve conditions, which in turn has put new pressures on correctional administrators who are struggling to manage institutions plagued by growing unrest and violence. But the heart of the controversy is not the prospects for facilities but the role of corrections itself.

For some years, rehabilitation was the prevailing goal: Corrections was supposed to transform criminals into law-abiding citizens. But as the incidence of crime kept rising during the 1960s and early 1970s, a growing public sentiment that rehabilitative programs didn't "work" was buttressed in spirit, if not in fact, by some researchers who suggested that the fundamental objective of corrections should not be rehabilitation but retribution.

**Questions About Rehabilitation.** Attacks on rehabilitative programs were fueled by a series of studies that questioned many of the conventional assumptions about rehabilitation. These studies did not examine rehabilitative programs themselves. Rather, they analyzed published evaluations of the outcomes of rehabilitative

programs. Thus they did not—indeed could not—say that rehabilitative programs do not work. They merely said that most claims that such programs do work were unconvincing because the measures used to evaluate the programs were imperfect. However, the implication was clear that the very concept needed rethinking. The National Institute made rehabilitation a research priority not merely to study and evaluate rehabilitative programs, but to do basic research on what rehabilitation is, how it works, and how it can be measured.

Under Institute sponsorship, a panel of the National Academy of Sciences studied evaluations of rehabilitation programs. They found that not only were the evaluation designs often sacrificed for the sake of institutional needs but that there was no common agreement among researchers about what methods should be used in evaluating the programs.

**Measuring the Effects of Programs.** The usual tool for measuring correctional performance is recidivism—the percentage of offenders who commit new offenses while or after undergoing correctional treatment. However, it is not a measure that either officials or researchers of corrections ever have been entirely comfortable with.

The working definition of recidivism varies so greatly from jurisdiction to jurisdic-

tion and from agency to agency within a jurisdiction, that rational comparisons between programs are next to impossible to make. In some places an ex-offender who is rearrested is a recidivist; in others he must be reconvicted to qualify; in still others he must be reconvicted for the same offense as his original one. In some places a probationer or parolee who violates one of the conditions of his release, even though that violation was not a criminal act, is a recidivist; in others he is not. And in some places an ex-offender who is blameless for a year is deemed a non-recidivist, whereas his counterpart in another jurisdiction must be blameless for at least 5 years.

The conflicting definitions of recidivism, which confound attempts to evaluate corrections programs, are borne out by a recent study in Florida. The researchers evaluated work release programs according to 18 different definitions of recidivism. They found that, depending on which of the 18 different outcomes one used, programs could be ranked anywhere from substantial successes to abysmal failures.

**A Search for More Accurate Measures.** Moreover, even if there were a standard definition of recidivism, evaluating the outcomes of correctional programs would still be difficult, for the major deficiency of recidivism as a measure is its insensitivity to gradations of behavior. Recidivism allows no room for partial rehabilitation. It makes no allowance for the treatment program that has cured a drug-addicted criminal of his addiction but not entirely of his criminality, even though his subsequent offenses may be fewer and less serious. Nor does it account for the training

program that taught an unskilled habitual offender a trade at which he works constructively most, but perhaps not all, of the time. Clearly, one way to know the usefulness of rehabilitative programs is to develop a way to evaluate them accurately.

Under an Institute grant, the University of Illinois at Chicago Circle is developing a "seriousness scale" for acts of recidivism, a scale that assigns different weights to different kinds of proscribed behavior by the clients and graduates of correctional programs. The Institute expects the final report in mid-1979, but the methodology being developed at this time not only seems to facilitate a retrospective evaluation of correctional programs, it also points the way toward a technique for gauging the prospective failure rates of such programs.

**Probation.** Any reappraisal of rehabilitation that is carefully done needs to have some underpinnings of where things stand now. From this standpoint, one of the most important Institute studies in corrections was an encyclopedic survey of adult probation in the United States, to be available in 1979. The study's nine volumes assemble for the first time the body of knowledge that exists about adult probation. The report details the widely differing state probation laws, the widely differing agencies that administer those laws, and examines the particular programs that each system sponsors. It discusses the usefulness of pre-sentence reports—concluding that they would be just as useful if they were shorter and less detailed—and it explores the methodological problems of engaging in probation research. The study is

expected to serve as an indispensable reference work for years to come. Augmenting this resource will be the new knowledge gained through more detailed studies of probation, including a multi-year evaluation of probation described in Chapter 8.

**Parole.** A second notable Institute publication in corrections during 1978 was *Abolish Parole?* by Andrew von Hirsch and Kathleen Hanrahan of the Center for Policy Research, Inc. Based on their scholarly review of the pros and cons of the existing system of parole, the researchers recommended a major overhaul of the system, suggesting that explicit standards for prison release decisions be set and prisoners notified early in their sentence of the release date. The wide discretionary powers exercised by parole boards in selecting some prisoners for early release would be abolished, and lengths of confinement would be tied to the type of crime, the time served based on the seriousness of the crime rather than on any considerations of rehabilitation.

Although the rationale for parole has always been the potential for rehabilitation, it has, in the view of some experts, also helped to control the size of the prison population. Under present circumstances, many correctional institutions are overcrowded although many have plans to relieve overcrowding in the future. The consequences of congestion are among the Institute's major concerns.

**Surveying Correctional Needs.** Under a 1976 Congressional mandate, the Institute is supporting a "Survey of Correctional Facilities and Projection of Needs." The first phase of

the survey, which was completed last year, described the current situation in the nation's prisons and projected prison populations in future years under each of four alternative sentencing policies. The second phase, on assessing needs, will end in the Spring of 1979. Findings to date suggest that if current rated capacity in existing facilities is not reduced and plans for renovation and construction are in fact carried out, prison populations in the mid-1980s are unlikely to exceed future capacity under the most feasible projections.

As part of its second phase, the Correctional Survey Assessment undertook two inquiries that have implications for corrections populations. One is a study of four California communities to explore the effects of Proposition 13 on corrections: specifically, whether cutbacks in local funds have forced offenders who would have served their sentences in county jails to be committed to state prisons. The second, in Minnesota, is examining the effects of the state's "carrot and stick" corrections act which gives a subsidy for each offender in local custody, in lieu of commitment to the state prison, and imposes a financial disincentive for adult felons who are put in the state prison if their sentences are 5 years or less.

**Inmate Organizations.** Finally, the Institute in 1978 funded three new studies on specific aspects of the correctional scene. Perhaps the most important of these is a 15-month study of inmate organizations to be undertaken by the American Justice Institute.

The growth of inmate organizations, a relatively recent development on the correctional scene, has greatly complicated prison management on sev-

eral fronts. The need to protect the legal rights of prisoners—their freedom of expression, of association, of religion—has been buttressed by recent judicial decisions. Similar attention has been given to improving grievance hearings and conducting disciplinary proceedings with some regard for due process.

On a less benign front, there is the growth of groups allied by ethnic or self-protective interests, who in several state prisons have acquired a powerful hold on the loyalties of other inmates. These groups constitute an invisible, and apparently untouchable, government. Moreover, in some cases, the groups have affiliates outside the walls who help the inmates protect their business interests or pursue grudges until custody is over. The effects of organized gangs on the dual responsibilities of corrections to maintain control within the prison and provide for adjustment after release are potentially profound.

The study by the American Justice Institute will survey corrections nationwide and prepare case studies in nine state prisons as the basis for an up-to-date report on inmates' organizations: who are the members, what is the size of the groups, their power, their objectives, and what problems do they pose for correctional management. The report will be followed by a handbook for prison managers on how to deal with inmates' organizations.

**Prison Violence.** Another increasingly difficult problem confronting prisons is the incidence of physical violence against both inmates and staff members. Moreover, the responsibility of correctional workers to prevent violence has

been reinforced by recent court decisions assessing monetary damages against the staff in cases where prisoners are injured seriously—whether by staff or fellow prisoners.

Last year the Institute awarded the Social Science Research Institute a \$350,000 grant to study the frequency and seriousness of individual violence in state prisons. In identifying the conditions that trigger violence and assessing the methods used by prison management to control it, the researchers will administer questionnaires and conduct interviews with approximately 10,000 prisoners and 700 staff in 36 prisons. They will also study cases of victimization in 16 prisons, exploring factors that may be connected with violence such as overcrowding, prison architecture, inmate composition, and disciplinary practices.

**The Effects of Overcrowding.** The third of the Institute's new correctional projects for 1978 is a study of the effects of prison crowding on the behavior of prisoners. The study is focusing both on "spatial density," the amount of space a prisoner occupies in his living quarters, and "social density," reflecting noise levels, restricted privacy, or other irritations a prisoner is exposed to. A variety of prison quarters, including cells, cubicles, dormitories, and cottages will be the sites for the study. By testing the blood pressure and palm sweat of approximately 2,000 prisoners and examining their disciplinary and health records, the study expects to identify some of the social and architectural factors that contribute to anxiety and to establish quantifiable "threshold" levels beyond which stress becomes debilitating.

# 4 Focusing on the Pretrial Process

... the criminal process seldom proceeds as swiftly or as certainly as it might.



Justice must be "swift and certain" in fairness to the accused and for the credibility of the criminal process itself. If months or years elapse before cases are resolved, then justice obviously is not swift. If some defendants are treated harshly while others, with similar criminal histories who are accused of similar crimes, are treated more leniently, then justice is not only uncertain, it is unfair.

Unfortunately, the criminal process seldom proceeds as swiftly or as certainly as it might. Moreover, the activities of prosecutors—the officials who more than any others control the tempo and the character of the pretrial process—are, by comparison with the activities of police or judges, for example, less visible, infrequently questioned, and imperfectly understood.

**The Prosecutor's Role.** Necessarily, then, much of the research under the Institute's priority of reducing delay and increasing consistency in the pretrial process is focusing on the everyday activities of prosecutors. In 1978 the Georgetown University Law Center completed the first phase of a major study of "Plea Bargaining in the United States"; the Center for Studies in Criminal Justice at the University of Chicago concluded work on "Pretrial Settlement in Criminal Cases"; the Social Science Research Institute of the University of Southern California completed

the second phase and embarked on the third and final phase of "Alternatives to Adjudication"; and the Institute for Law and Social Research continued to analyze the vast amount of data on the District of Columbia's criminal process amassed by their Prosecutor's Management Information System (PROMIS).

**A National Profile.** Perhaps the central study on consistency in pretrial processing is "Research on Prosecutorial Decisionmaking," the first phase of which began early in the fiscal year under a \$375,000 Institute grant to the Bureau of Social Science Research. During the first phase, which will be completed by late spring or early summer 1979, BSSR is identifying the range of policies used in district attorney offices to discover what criteria guide prosecutors as they screen cases and draw or reduce charges. The study will also investigate what managerial controls ensure the consistency of prosecutors' decisions and how consistent those decisions are.

In phase two, BSSR will produce a nationwide profile of how prosecutors operate, based on various policies. The researchers will then study 10 district attorney offices in depth.

Any research on prosecutorial decisionmaking has far-reaching implications, for if cases could

be processed more consistently during the pre-trial phase, then all parts of the criminal justice system would benefit. Victims, defendants, and the public might be more satisfied with the fairness of the system; police would have a better idea of the kinds of cases which merited prosecution; and judges and correction officials could be more confident that offenders convicted of similar offenses merited approximately the same treatment. And if each assistant in a jurisdiction used the same criteria and procedures in screening cases, drawing charges, and accepting pleas, defense lawyers would have less reason to "shop" for prosecutors to find the most favorable disposition for their clients.

**Plea Bargaining.** Findings from the Georgetown study of plea bargaining suggest the need to control prosecutors' discretion if the system is to retain an adversary stance. One way to do this, the study says, may be to develop policy guidelines and administrative procedures for all prosecutors.

The primary data base for the Georgetown study is a series of observations and interviews with prosecutors, defense lawyers, judges and others involved in the process in 26 large jurisdictions. Of the number, 20 jurisdictions were selected at random and the other 6 were chosen because they did not sanction plea bargaining officially or because they conducted plea bargaining in an uncommon way. Although the report takes no position on the merits of plea bargaining, it does indicate that plea bargains are usually negotiated under less than desirable circumstances. It states:

"There has been little attention to the question of internal accountability in prosecutors'

offices . . . the chief prosecutor must be able to determine who made the critical decision in a case, on what grounds, and whether there was appropriate clearance from a supervisory official.

"With rare exceptions, plea negotiations are conducted off the record . . . The application of sunshine to the process is a necessary first step in restoring a proper balance between the adversary system and plea negotiations.

" . . . In general victims do not play a key role in the plea bargaining process. The victim has a right to be heard."

**Who Benefits from Plea Bargaining?** The second phase of the study is a comprehensive analysis of plea bargaining in 6 of the original 26 jurisdictions. In the 6 jurisdictions in which prosecutors exercise formal control, in varying degrees, over plea bargaining, the study will take a closer look at the part played by the participants in negotiating pleas. And it will try to answer some critical questions:

Do defendants convicted at trial receive harsher punishment than those who plead guilty?

What aspects of a case most commonly impel a prosecutor to negotiate a plea?

Are defendants with similar charges treated the same?

To the first of these questions, the PROMIS data in the District of Columbia has provided a surprising answer. An analysis of the outcomes of arrests in 1974 for assaults, robbery, larceny, and burglary in the District of Columbia discloses that only robbery defendants who pleaded guilty generally received lighter sentences than those convicted at a trial. Such findings contradict the conventional view that

criminals who plead guilty "get a break." Although the results apply only to the District of Columbia, they illustrate why assumptions about these critical questions need to be tested rigorously.

**Formalizing Plea Negotiations.** An experiment in exposing plea bargaining to the "sunshine" advocated by the Georgetown study was completed recently in Dade County, Florida, under the sponsorship of the Center for Criminal Justice Studies of the University of Chicago. During an 18-month period, plea negotiations took place at formal conferences whose proceedings were recorded and presided over by the judges who would ultimately impose sentence. Those conferences were attended not only by prosecutors, defense attorneys, and judges, but by defendants and victims who chose to participate.

Of the three judges who participated in the experiment, one reported that the conference helped him to arrive at more appropriate sentences. The formal conference also helped to reduce the time from arrest to disposition. However, only about 30 percent of the victims in the sample chose to participate in the negotiations; and, although they were satisfied with the outcome of their cases, their satisfaction was no greater than those who did not participate. In short, the results of the field test were less than dramatic, but they represent a first step toward objectively assessing the merits of formal plea bargaining conferences.

**Exploring the Causes of Delay.** Prosecutors who advocate plea bargaining argue that it cuts down on their case backlog, and thus avoids the

apparently more time-consuming jury trial. But an investigation by the National Center for State Courts casts considerable doubt on that theory.

After examining case processing times in 21 metropolitan courts, the study found it impossible to prove that there was a consistent relationship between processing time and caseload, judicial resources, the seriousness of cases, or the number of jury trials. Now the Center, in supplementing data gathered in the first study, is shifting the focus to examine the "courthouse culture"—to measure the "norms" or standards which govern decisions about cases. To the degree that these norms are shared by the participants—the judge, the prosecutor, and the public defender—they may explain decisions to try a case or plea bargain, judgments about sentences, and the speed with which a case moves through the system.

**Understanding the Role of the Courts.** In exploring such issues as the causes of court delay, the researcher—and ultimately the public—gains a better understanding of what goes on "behind the scenes" of the court room itself. To that end, fresh insights into the role and functions of the courts in society may emerge from a series of studies on developing "empirical theories about courts."

The rationale for this research is that most existing theories about what the courts do are based on abstract models created by political or legal philosophers rather than on observations of what the courts actually—"empirically"—do. Although the studies may be considered "basic" research, they may well

throw light on a number of key issues in more applied research, such as the feasibility of developing alternative dispute processing systems or restructuring state court systems.

**Public Attitudes.** In the long run, a better understanding of the workings of the court may impel changes in the system, which in turn, may alter the public's attitude toward the courts. At present, the American public is less than satisfied with the system, at least as revealed in an Institute-sponsored survey of public attitudes toward courts and justice. The survey, which was conducted by the National Center for State Courts, disclosed a wide divergence between what lawyers and non-lawyers think of the courts.

The survey interviewed 2,000 members of the general public, and special samples of community leaders, lawyers, and judges. In the opinion of some, the major failing of the courts is that they do not reduce crime, a view held by 43 percent of the public but only 28 percent of the lawyers and 13 percent of the judges. Overall, the public and community leaders evinced so much dissatisfaction with the performance of state and local courts that they ranked it below that of the police, the schools, the churches, the media, and business.

**Alternatives to Courts.** A part of the American public's expectations, even demands, of the courts is that they provide access to justice for all. In its role as an impartial third party, the court is expected to hear disputes, no matter how minor, and render a decision that is fair and binding. But the costs of bringing a dispute to court, and the delay in resolving it,

close off this avenue to justice for many Americans.

One project with long-range potential for solving such problems is an on-going study on "Alternatives to Adjudication." The "alternatives" being studied are those in Europe, where few countries rely as heavily on the courts to settle either civil or criminal disputes as does the United States. In fact, in most European countries, most minor cases are decided administratively, outside the courts, thereby saving time and costs. This project is studying the various ways being used to settle disputes to see if any are worth attempting in the United States.

In the two reports that have already originated from the project, the researchers do not firmly recommend the adoption of any procedure, but they do suggest that some might be tried "on a small scale, under experimentally-controlled conditions." One that might be tried is the European procedure of using administrative courts to handle violations in the areas of land use, health, and safety. Another might be West Germany's "strafbefehl"—the use of penal orders prepared by the prosecutor and approved by the judge for misdemeanors only, which carry no jail sentence. Use of penal orders in the U.S. might require considerable modification, the researchers point out, since many misdemeanors in West Germany are felonies in the United States.

Changes are taking place in the court structure and, as more is known about workable alternatives, other changes will undoubtedly occur. A reform now underway that has perhaps the most profound effects on the way courts operate is in sentencing, which is discussed in the next chapter.

# 5 Analyzing Trends in Sentencing Policies

... what punishment each kind of offender will receive for each crime.



The issues that impelled the Institute to make Sentencing a research priority have been as widely publicized as any that arise in the course of administering justice. Lack of consistency is the principal one. Fairness implies that similarly situated offenders—those with similar criminal and social histories who have committed similar crimes—should serve similar sentences. Yet there is a widespread perception that there are few jurisdictions in the country in which they do.

Judges in the same jurisdiction sentence inconsistently with one another for a multitude of reasons. Their penal philosophies differ; their personal attitudes toward criminals or crimes of one kind or another differ; their opinions of the competence or integrity of this or that police officer, prosecutor or defense attorney differ; their confidence in the reliability of pre-sentence reports differs; they are unaware of the sentencing practices or patterns of fellow judges. And of course quite often judges sentence inconsistently with themselves. Moreover in many states, even in some with determinate sentences, it is members of the parole board rather than judges who effectively determine how long offenders remain confined. Members of parole boards are no more consistent than judges, and more often than not their release decisions are based in part on the way offenders have

behaved behind bars, which is only one predictor of what their behavior might be on the street.

**Mandatory Sentencing Policies.** Most remedies prescribed for the malady of inconsistent sentencing fall into one of two categories, limiting by law the discretion that judges and correctional officials can exercise with respect to sentencing or adopting voluntary sentencing guidelines. The first of the two has been much in vogue in recent years. Sometimes it takes the form of mandatory minimum sentences for particular crimes that particular communities perceive as being out of control. The New York Drug Law, the Massachusetts Gun Law, and the Michigan Firearms Statute are examples of such legislation. Institute-funded studies have analyzed the impact of these laws in recent years. In its 1977 annual report, the Institute reported on the results of the New York Drug Law.

**Massachusetts Gun Law.** Last year, researchers analyzing the effects of the 1975 Massachusetts gun law reported some preliminary findings. The rate of gun assaults began to decline in Boston and elsewhere in the State soon after a campaign publicizing the new law went into effect. At the same time, assaults with other weapons such as knives and

clubs began to increase. Somewhat the same effect was reported for robberies. Gun robberies remained the same in 1975, but holdups involving other weapons rose markedly. In 1976, gun robberies in Boston dropped by 34 percent, while non-gun armed robberies in the city, as well as elsewhere in the State, also declined. Not all of the statistical changes may be attributable to the gun law. The researchers are still analyzing the data, comparing crime rates in Boston with other cities nationwide as well as with smaller cities in Massachusetts.

**Revision of State Codes.** More ambitiously, a number of states, among them California, Indiana, Maine, Arizona, and Illinois, recently have rewritten their penal codes to replace indeterminate sentences, which give correctional officials wide latitude to decide what treatment offenders receive and for how long, with determinate sentences that prescribe within limits of varying stringency what punishment each kind of offender will receive for each crime.

Fundamental revision of a state's penal code might have significant consequences of several kinds, all of them meriting study. To begin accumulating the kind of data base required for such analysis, the Institute funded a study of the Maine experience—the first state to adopt determinate sentencing. In 1978 researchers from Pennsylvania State University were completing an investigation into the impact on Maine's correctional system of the State's new law. The results are expected to serve as useful guideposts for the additional research that will be required to discern a national pattern.

**Analyzing the Use of Discretion.** A change from indeterminate to determinate sentencing might also have a major impact on the way criminal justice officials up and down the process make their decisions. Many people working in or familiar with criminal justice agencies are skeptical about the effectiveness of legislative attempts to limit discretion. They reason that there are so many places in the process where discretion is employed, that restricting it in one place simply causes it to proliferate in others. A new major study began this year, a joint enterprise of the University of California at Berkeley and Rutgers University, will attempt to tackle at least a part of that problem. It proposes to examine—and indeed compare and contrast in three states—the use of judicial and correctional discretion. They will conduct their analyses in California, with its new determinate sentencing code; in Oregon, where corrections has the principal voice in determining sentences; and in Indiana, where a new set of quite rigorous mandatory minimum sentences recently have become law.

**Sentencing Guidelines.** Meanwhile, over the course of several years, the Institute has concerned itself with another approach to making sentences more consistent. Since 1974 the Criminal Justice Research Center in Albany, N.Y., has been engaged in a pilot attempt, together with judges in several jurisdictions, to develop and put into effect sentencing guidelines that those judges would undertake to use. The Center, it should be noted, played an important part in developing the Federal guidelines for parole that were widely commended

when they went into effect several years ago.

This year the Institute published the Center's report on the first phase of the project, which ended in June 1976. It was a feasibility study, conducted in Denver, Newark, Des Moines, and the State of Vermont. Denver and Vermont were "participants." The Center collected data about judicial decisions in those two jurisdictions, and that data was the basis for the guidelines that were written there. Newark and Des Moines were "observers." No data was collected in those cities, but their judges participated in the project's work. By the time the study was completed the Denver District Court was using guidelines in its daily work. The Vermont criminal courts, it turned out, had too small a caseload for guidelines to be useful there.

The sentencing guidelines the Denver District Court developed reflected the sentences that the judges of the court characteristically imposed. Perhaps the most important thing they did, then, was make each judge aware of what sentences his colleagues would be likely to give in a similar case. In most jurisdictions such information is not readily available. A judge can obtain it only by making a point of consulting frequently with his fellow-judges. If he presides over a busy court and has dozens of sentencing decisions to make every month, such consultations are virtually impossible. Many, perhaps, most of the judges who participated in the study—those from Newark, Des Moines, and Vermont as well as those from Denver—did not know whether their sentences had been consistent with those of their colleagues and welcomed the

opportunity to find out. Sentencing guidelines are voluntary and advisory, of course. A judge may depart from them if he sees fit and is, of course, expected to do so in some cases. Generally, however, a court that adopts guidelines requires a judge who does depart from them to state in writing his reasons for doing so.

The accompanying table, which displays the guidelines for Felony 4 offenses in the Denver District Court, illustrates how simple they are to use. Under Colorado law there are five classes of felony, of which Felony 1 is the most serious. The maximum penalty for Felony 4, which includes such crimes as manslaughter and robbery, is imprisonment for 10 years; the Colorado courts set no minimum penalties. In the table the vertical axis measures the seriousness of the particular offense and the horizontal axis the dangerousness of the offender based on his prior record.

### Implementing the Guidelines.

The second phase of the project, which sought to implement guidelines in Newark, Chicago, and Phoenix and to assist the Philadelphia Court of Common Pleas in the guidelines it was developing, ended in January 1978. It was considerably frustrated in the first three jurisdictions by circumstances entirely beyond the control of the Center or the courts. Just as the Phoenix project was about to begin, the Arizona legislature enacted a stiff determinate sentencing law that made sentencing guidelines all but irrelevant. In Illinois also the legislature enacted determinate sentencing. The Illinois law is more flexible than Arizona's. It delayed the adoption of guidelines in Chicago until the term of the Center's grant had expired, but Cook County now is trying to work out a way of fitting guidelines into the context of determinate sentencing, a promising possibility that

had not occurred originally to the advocates of guidelines. Indeed the concept of guidelines first had been put forward as, among other things, an alternative to legislative restrictions on judicial discretion.

The Newark project also was preempted, so to speak, by the state. The New Jersey State government now is trying to develop sentencing guidelines statewide. Obviously statewide sentencing guidelines are many times more difficult to develop than those covering a single jurisdiction. It may be that no two jurisdictions within a state have precisely the same problems with crime or attitudes toward it. Since in any community sentences are bound to reflect to some extent that community's problems with crime and attitudes toward it, reaching a consensus about sentencing that covers several dozen jurisdictions is an extraordinarily difficult enterprise. To date neither the State of New Jersey nor Newark has

	OFFENDER SCORE		OFFENSE SCORE		
	-1	0	3	9	
	-7	2	8	12	13+
10-12	Indet. Min. 4-5 year max.	Indet. Min. 8-10 year max.			
8-9	Out	3-5 month work project	Indet. Min. 3-4 year max.	Indet. Min. 8-10 year max.	Indet. Min. 8-10 year max.
6-7	Out	Out	Indet. Min. 3-4 year max.	Indet. Min. 6-8 year max.	Indet. Min. 8-10 year max.
3-5	Out	Out	Out	Indet. Min. 4-5 year max.	Indet. Min. 4-5 year max.
1-2	Out	Out	Out	Out	Indet. Min. 3-4 year max.

successfully implemented sentencing guidelines.

The grants to the Criminal Justice Research Center were for the sole purpose of developing and implementing sentencing guidelines. They did not call for an investigation of the guidelines' impact. In 1978 the Institute awarded a grant to the National Center for State Courts to study that impact on prosecutorial and judicial decisionmaking in Denver, in Philadelphia and Chicago if the guidelines are implemented there. The results of this project, together with the findings from a planned field test of the guidelines in selected jurisdictions within a state, should provide a clearer picture of the advantages and disadvantages of this approach to increasing consistency in sentencing.

# 6 Reshaping Perceptions of Police

...an opportunity to deploy forces more flexibly, more productively and more economically.



Studies of police in recent years have called into question assumptions that for decades almost everybody had considered unquestionable. The effects of this growing body of scientifically-based knowledge are already being felt and, in time, may significantly alter the way police operate.

The assumption had been that the speed with which the police respond to the report of a crime was the most critical factor in determining whether or not they solved the crime. Indeed, over the past decade, many major police departments spent considerable sums to bring their communications system up to date so they could respond to crime reports more rapidly. But a Kansas City study, funded by the Institute, disclosed last year that in many cases prompt police response to crime reports was beside the point.

**Analyzing Response Time.** In Kansas City, for example, many of the more than 900 reports of Part I crimes analyzed turned out to be so-called "discovery crimes"—a house burglary that was not discovered until the owner returned from work, for instance. In such cases, speedy police response contributes nothing to the solution of the crime. More importantly, however, the study found that even for "involvement" crimes—incidents that were in progress or just over—

rapid police response could not compensate for citizen delay in reporting the crime. Typically, victims or witnesses allow crucial minutes to elapse before they report the crime to police. With each minute they delay, the chance of arrest drops.

**Preventive Patrol.** The assumption had been that the more visible the police were on the streets, the less crime would occur. But a Police Foundation experiment that varied the sizes of patrol forces in Kansas City several years ago demonstrated that increasing visible police presence—at least up to the limit that Kansas City could afford—did not significantly decrease crime or enhance feelings of safety by citizens. And other, more recent studies sponsored by the Institute, suggest that approaches other than traditional random patrol can bolster productivity.

**The Role of Detectives.** The assumption had been that investigative specialists—detectives—had the most to do with solving crime and apprehending criminals. But a 1975 Rand Corporation investigation, funded by the Institute, into the activities of detectives in many cities found that the patrol officers who first respond to crime reports typically obtain the information crucial to solving the crime, and that much of the routine work performed by detectives is unproductive.

**Analyzing Evidence.** Even the assumption that, with more diligent gathering of physical evidence at crime scenes, many crimes would be solved by laboratory work was undercut by research findings published in FY 1978. This study found that the level of proficiency of many forensic laboratories is too low for them to analyze accurately many kinds of physical evidence including, significantly, blood, hair, and paint samples.

Such findings are understandably disturbing to police administrators who suddenly are compelled to suspect that much of what they have been taught and have been doing for years may not be very effective. Increasingly, however, police administrators also recognize that now they have an opportunity to deploy their forces more flexibly, more productively, and more economically than the assumptions of the past permitted: Perhaps fewer officers than used to be thought necessary need to ride around the streets on preventive patrol, doing nothing much of the time but being visible; perhaps detective forces can be realigned along more productive channels; perhaps much time, manpower, and gasoline can be saved by responding selectively enough to complaints and crime reports from citizens so that a police car races to the scene of an incident only in real emergencies. Those are the kinds of subjects the Institute decided were the urgent concerns of the police when it made "Utilization and Deployment of Police Resources" a research priority.

**Validating Research Findings.** One kind of research under that priority is a continuation of the studies cited above to ensure that their findings are valid. Certainly no police

department would or should abandon or even modify practices and procedures it has used for decades on the mere basis of a single test in a single perhaps unrepresentative city. The results of the Kansas City response time study, for example, now are being subjected to scrutiny. The first analysis was of the results of the police response to 949 reports of the seven FBI "Index" crimes. Now the Kansas City Police Department is subjecting more than 7,000 reports of "Part II" crimes received during the same period to a similar analysis to determine whether the police response to them had similar results. That analysis is expected to be published in 1979. At the same time the Police Executive Research Forum is testing in four cities in four different regions of the country—San Diego, Jacksonville, Peoria, and Rochester, New York—the validity of the most controversial finding of the response-time study, that many citizens delay in reporting crimes to the police. That study, scheduled for completion in 1980, is expected to clarify the reasons why citizens report as they do. Undoubtedly, the trauma of a crime leads many victims to turn to a friend or neighbor first. But some may hesitate to report for other reasons—lack of confidence in police or fear of retaliation, for example.

The Institute also is planning to replicate the Kansas City preventive patrol study in other cities and with tighter methodology. If it turns out that the Kansas City results were not idiosyncratic, that it is generally true that within rather broad limits the number of officers on preventive patrol does not materially affect the incidence of crime or citizen satisfaction, the way will be clear for the police to try out a wide variety

of novel patrolling techniques.

**Defining the Police "Role".** For some time now, of course, the search for novel methods of policing has been proceeding on the theoretical level, and in 1978 the Institute accelerated that search by funding three major inquiries into aspects of police performance. The most fundamental is the study, conducted for the Institute by the Police Foundation, of "Police Roles and Their Implications for Future Organizational Structuring." The "role" of the police is particularly difficult to define with precision because they are a service organization as well as an agency of law enforcement. Much of what they do, and of what the public on a day-to-day basis requires them to do, has little or nothing to do with crime. They direct traffic, mediate family quarrels, find lost children, refer citizens with grievances to appropriate municipal agencies, and so forth. And so there are discrepancies between how the public thinks of the police and what the public actually demands of the police, between how the police perceive themselves and what they actually do. The Police Foundation, using both data that already has been published and new data it is gathering, is attempting to disentangle the daily activities of the police from both their self-image and public image and to describe accurately both the activities and the images. Presumably rational police organization will be easier to attain if both the community and the police themselves understand and agree upon the "police role."

**Police Discretion.** A chronic administrative dilemma for police is between the necessity of allowing field supervisors—

sergeants, lieutenants, captains—the freedom to make fast decisions in responding to emergencies on the street and the importance of giving those field supervisors the guidance that will enable them to exercise their discretion responsibly. In September the Institute awarded a grant to the University of Illinois at Chicago Circle to study the factors that influence the decisions that field supervisors make. The researchers will observe the work of field supervisors in seven cities and survey by questionnaire those in other departments throughout the country. On the basis of the data they accumulate, they will attempt to develop models that will help police administrators to formulate guidelines about making decisions in the field and to evaluate the performance of field supervisors.

**New Ways of Responding to Calls.** Finally, if routine preventive patrol and fast response to calls as they come in are not the effective tactical expedients they had been thought to be, the police must devise alternatives. With Institute funding, the Birmingham Police Department, since the beginning of the 1978 fiscal year, has been presiding over an effort to review and assess promising new ways of deploying police forces so that they respond to calls with the maximum effectiveness and efficiency. That project involves police officials from other departments as well as Birmingham's, and consultants from academic and research institutions. This blend of skills and perspectives is characteristic of much of the Institute's research on police and on other subjects as well. Its benefits are obvious: Successful completion of the endeavor means scientifically reliable results that are

relevant and useful to the practitioner.

**Managing the Demand for Services.** The Birmingham project builds on experiments in Wilmington, Delaware, where for several years the police department has adopted a new method of deploying its forces and responding to calls. Last year's annual report detailed the Institute's evaluation of Wilmington's "split patrol" system, under which a third of the force does preventive patrol exclusively, responding to calls only in emergencies; and two thirds do no patrol but spend all their time answering calls. Subsequently, the Wilmington department received funding from the Institute to develop a full-fledged system for responding selectively to calls for assistance from the public. The possible responses range from immediate arrival on the scene in emergencies, through delayed site visits or even visits by appointment in situations requiring less than immediate police presence, to handling certain kinds of complaints over the telephone or by requesting the complainant to visit the police station. To deal with the last category of calls from the public, which are quite numerous, the department has established a small Complaint Service Unit in headquarters. The department will be reporting the results of this experiment this spring.

**Testing Crime Labs.** Among the more striking findings in the law enforcement field reported to the Institute last year were the results of a 3-year research effort designed to assess the quality of the nation's crime laboratories and develop a standard system of proficiency testing. An average of 118 laboratories participa-

ted in 21 separate tests administered by the Forensic Sciences Foundation. The laboratories were required to identify or analyze various substances that might be found at crime scenes: bloodstains, firearms, drugs, paint, glass, soil, fiber, arson accelerants, physiological fluids, metal, hair, wood, and documents. Slightly more than a fifth of the 116 laboratories that responded to 10 or more tests produced results that a Project Advisory Committee of forensic experts considered acceptable 90 percent of the time or more; only 5 scored 100 percent. Under half the laboratories were in the 80-89 percent range; almost a fifth scored 70-79, and 15 percent scored under 70.

Perhaps more disturbing than the rather large number of laboratories with rather low scores was a generally low rate of proficiency in some of the most significant tests. On the whole the laboratories did well at detecting and identifying drugs; they scored over 92 percent on the first drug test, over 98 on the second and about 81 on the third.

In the firearms tests they were less proficient. In the first, which required identification of the make and model of the guns from which sample bullets had been fired and sample cartridges ejected, a surprising 28 percent gave unacceptable answers. They did considerably better—95 percent and 86 percent acceptable—in the other two firearms tests, which simply required them to state whether or not sample bullets and sample cartridges had been used in the same gun or different ones.

Ninety-six percent of the laboratories gave acceptable answers to the first blood test, which simply required blood typing, but almost three-quarter-

ters failed the second, whose principal question was whether bloodstains on two pieces of cloth could have come from a common source.

The report did not place the blame for the disappointing showing of many laboratories on any single circumstance. It said, "Aside from greater resource allocations to the laboratories at the local level, the most pressing needs of the crime laboratories fell into the area of accreditation of personnel, accreditation of crime laboratories, accreditation of forensic science degree programs, regional remedial workshops to upgrade the training of current laboratory personnel, research for improved techniques in the analysis of the various physical evidence types." The Institute now is supporting several programs in the last category: in serology, microscopy, particles found on clothing, gunshot residues. In addition, the Forensic Sciences Foundation, under an Institute grant, is putting together a compendium of valid methods of analysis of the common types of physical evidence. Finally the Institute is planning a project to develop models for the effective management of crime laboratories, with special emphasis on certification of both technicians and the laboratories themselves.

Outside the Deployment and Utilization priority, a number of far-reaching police research projects have been completed or are in the final stages. Among the most significant efforts are those relating to corruption.

**Police Corruption.** Although police have no monopoly on corruption, the nature of the work presents both significant opportunities and pressures that can lead to misconduct.

One research study published last year reviewed the experience of four cities that in prior years had experienced major corruption scandals. One finding of the study was that extensive opportunities for corruption were inherent in the various assignments police officers held prior to the scandal. In all four cities, most ongoing corruption arrangements involved more than one officer and were typically highly organized. The study found that investigations of ongoing corruption are more effective in reducing corruption than are investigations aimed at past misconduct. In addition, organized corruption can be kept in check as long as "reform" strategies remain in effect.

Another project now in its second phase is attempting to give police administrators a systematic approach to follow in this sensitive area. Among the reports produced are a manual for police administrators on developing and managing an anti-corruption program. In addition, the project produced a number of research papers which examined different aspects of corruption and an extensive bibliography and review of the literature on police corruption. In the second phase, researchers are developing an index for measuring levels of police corruption, and they are studying variables that might be used to predict corruption.

**Municipal Corruption.** A principal cause of municipal corruption in recent years, according to an Institute-sponsored study completed last year, was real estate development in the suburbs during the period of great suburban expansion which began in 1948 and started to slow only in 1970. Because many suburban

jurisdictions had no land-use plans and others had inconsistent zoning ordinances, local officials often lacked standards for deciding which developments to allow. Most of the corruption involved small amounts of money in return for minor "favours" such as speeding up the processing of an application or overlooking a minor violation of building codes. Less frequently, the corruption included much larger sums for securing approval of zoning changes or subdivision plans. According to the report, "pay-offs totaling \$50,000 to \$100,000 are not uncommon on major developments."

The 2-year, six-volume study, *Corruption in Land Use and Building Regulations*, was conducted by SRI International. The research focused on 10 major communities, investigating how corruption developed, its frequency in some areas of government rather than others, and ways to reduce it.

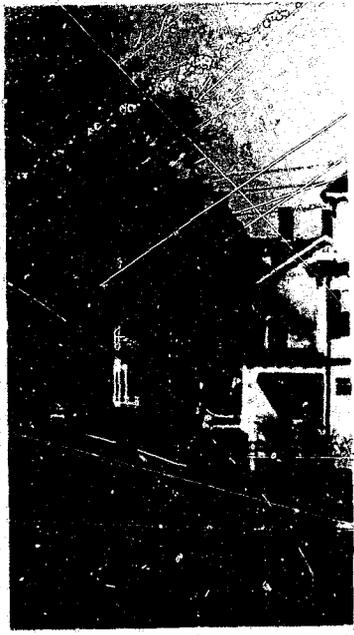
Based on the research, the Institute's Office of Development, Testing, and Dissemination developed a handbook on *Prevention, Detection and Corruption in Local Government*. Aimed chiefly at finance officers, building inspectors, and zoning officials, the guide suggests ways to ferret out potential corruption. Codes of ethics, conflict of interest legislation, and disclosure policies form part of the recommendations. Checklists included in the document help local officials and citizens find out where corruption might occur. In a follow-on to the publication, the Institute also sponsored regional workshops on "Maintaining Municipal Integrity" for city managers, county administrators, and chiefs of police. The workshops are aimed not only at local building and land officials but local

licensing and regulatory agencies as well.

Among the other police research nearing completion in fiscal 1978 were studies into the impact on the police of civil service systems and unionism, police strikes, police narcotics control, and a number of aspects of police administration and performance.

# 7 Understanding Crime Prevention

...the average citizen remains one of the best deterrents to crime.



Americans worry about crime. In poll after poll conducted during the past 15 years, the public has continually voiced concern about crime, ranking it among the most serious issues facing their communities and the nation as a whole. The concern is not unwarranted. While victimization surveys conducted for LEAA suggest that the crime rate has generally kept pace with population growth, the volume of crime is unmistakably high. The LEAA surveys show that there were some 40 million crimes in 1977, including nearly 6 million crimes of violence.

It was both the fact and the fear of crime, of course, that led Congress to establish LEAA and the National Institute a decade ago. Since then, the nation's states and cities have experimented with innovations in criminal justice that hold promise of strengthening the system's ability to protect the public. In the long run, however, the average citizen remains one of the best deterrents to crime.

The National Institute made Community Crime Prevention a research priority because it recognized that fact. Without active community involvement, the criminal justice system is severely handicapped: police can do nothing about crimes that are not reported; arrests are unlikely if citizens fail to provide information about suspects; convictions are doubtful

if witnesses are unwilling to testify; and prevention tactics can't work unless the public participates.

Study after study bears out these facts. The National Institute's research on community crime prevention—which it has supported from its inception—underscores the need for a better understanding of the relationship between the citizen and the criminal justice system and of the community's response to crime. The results obtained to date suggest the value of a comprehensive approach to crime prevention since no single strategy can adequately address the complexities of community crime problems. Accordingly, the research conducted under this priority is looking at such inter-related issues as the influence of the environment on crime, the dynamics and effects of individual and collective citizen actions to prevent crime, and the impact of crimes that are particularly troublesome to the community, such as violent crime and economic crime.

**The Influence of the Environment.** One of the oldest traditions in criminology—dating from the early 19th century—is the exploration of the relationship between the environment and crime. For the most part, however, the research has focused on those conditions that lead to criminal behavior. A relatively recent

emphasis has been on examining those factors that may make a building or a neighborhood more vulnerable to crime and its residents more fearful of being victimized. Soon after the Institute was created, it began to sponsor studies of crime and the environment. Much of this early work was conducted by Oscar Newman in public housing projects. From these efforts came a concept called "defensible space" which emphasized the importance of the environment in creating a heightened sense of territorial concern by residents, coupled with increased opportunities for casual, natural surveillance of the building or neighborhood.

Drawing upon these studies as well as other research on the environment, the Institute in 1973 began several field applications, the results of which were beginning to appear late in 1978. All the demonstrations included a systematic approach of defining specific problems to be addressed; planning and developing programs that integrated a variety of strategies thus multiplying the potential benefits; and evaluating the implementation and effectiveness.

#### **The Hartford Experience.**

The initial demonstration was conducted in Hartford, Connecticut; the experimental site was an inner-city residential area, Asylum Hill, with a fairly mixed population. The neighborhood was plagued by street crime and burglary, much of it apparently the work of outsiders passing through streets that had become major traffic arteries into and out of the city's business center. Hence, the environmental changes were keyed to restoring the residential character of North Asylum

Hill. Using their "Neighborhood Enclave" model, the Hartford Institute of Criminal and Social Justice turned interior streets into cul-de-sacs and rerouted through-traffic onto major roads on the perimeter of the area. The new design encouraged residents to increase their use of yards, sidewalks and park areas, and made it easier to maintain the kind of normal surveillance of strangers that takes place in many neighborhoods.

Augmenting the physical changes were efforts to organize community groups that would work to improve the neighborhood. The help of an existing residents' organization was enlisted, and two new groups were formed to spur crime prevention and to enhance community pride through clean-up activities and social functions. Finally, Hartford Police assigned a special neighborhood team to serve Asylum Hill, which provided a stable group of officers who became familiar with the neighborhood and worked closely with residents in guiding crime prevention efforts.

The project was evaluated by the Center for Survey Research of the University of Massachusetts. The Center conducted pre- and post-project surveys of residents, police, and community leaders. Among its key findings:

- burglary rates dropped 42 percent from 1976 to 1977;
- street robbery and purse snatch dropped 27.5 percent;
- victimization surveys also showed similar reductions in residents' fear of burglary and robbery;
- no evidence of displacement of burglaries from North Asylum Hill to adjacent areas was found, but some displacement

of robberies may have occurred.

- Before the project, 82 percent of police officers who patrolled the area rated citizen-police relations as "fair" or "poor" and none rated them "good" or "very good." Following the project, 59 percent of the patrol officers rated them "good" or "very good."

- A significant number of residents said they walked more frequently in the neighborhood in 1977 than in 1976. Their daily walks increased about 15 percent.

- Despite the decrease in overall burglaries and robberies there was a marked increase in the number of cases successfully cleared by police arrest (from 30 burglaries and 5 street robberies cleared by arrest in 1975, to 58 burglaries and 40 robberies cleared in 1977).

- There was a substantial improvement in the police attitude to the community and its residents and increased attention paid by police to the residents' major crime concerns.

The evaluators tentatively concluded that the environmental changes appeared to be the key to the crime reductions that took place, and this bears out earlier Institute-sponsored research conducted by Oscar Newman. At the same time, the central hypothesis of the environmental design approach to crime prevention—that physical changes are a catalyst in changing the way residents feel about and behave in their neighborhood—requires a longer-term assessment than the initial project time schedule permitted. A re-evaluation is being funded by the Institute to determine if the short-term reduction in crime has endured over the 3 years since the program began. The reassessment also will determine whether

er further, more basic attitudinal and behavioral changes have occurred in residents during the period. If these results are found, they will lend increased support to the environmental theory of crime prevention.

#### **The CPTED Demonstration.**

Under a program known as Crime Prevention through Environmental Design, the Westinghouse National Issues Center applied the environmental design approach in three commercial areas of Portland, Oregon; a residential neighborhood in Minneapolis, Minnesota; and four high schools in Broward County, Florida. By the end of 1978, some tentative results were in on the projects in Portland and Broward County.

While the results of these evaluations were less conclusive than those of Hartford, both programs were reported to be moderately successful in implementing the design principles and lowering crime and fear. In Portland, for example, the rate of commercial burglary was 48 percent lower in the 20 months following implementation of the environmental design strategies. Residential burglary also dropped in areas where residents adopted preventive techniques. Victimization surveys and interviews with local businessmen indicated that the public perceived the area to be safer.

In Broward County, student victimization surveys showed that thefts declined in the project schools. In both programs, however, the changes cannot be attributed solely to the demonstrations. Other programs in effect at the time of the demonstrations may also have contributed to the impact on crime. The evaluators also

reported that the implementation process was more time-consuming and costly than anticipated—not altogether surprising since these efforts were among the first attempts to apply environmental design concepts in complex urban settings. The Portland demonstration is scheduled for re-evaluation in FY 1979 to see if it produced lasting effects.

**Design Handbook.** Also completed last year was a handbook entitled *Design for Safe Neighborhoods*. This manual—developed by Richard Gardiner primarily for urban designers and city planners—presents a process that integrates crime prevention with neighborhood design and urban development. It explains how to analyze and understand neighborhood crime problems and solve them through a combination of environmental design and traditional crime prevention techniques. It includes case studies, with graphics, of recently-completed projects in Hartford and Chicago's South Loop.

**New Environmental Research.** Building upon the growing body of knowledge about the relationship between the environment and crime, the Institute in FY 1978 launched several new efforts to validate the findings accumulated so far and to explore ideas and relationships suggested by earlier research.

The American Institutes for Research will compile all empirical research on environmental factors that relate to crime and crime prevention. Each study will be evaluated in terms of its design and methodology. The best of the studies will be re-evaluated to determine the soundness of the concepts and the supporting

data. The results of the project will pull together the key findings of environment/crime research, explain the confidence that can be placed in the results, and pinpoint the areas of uncertainty that future research might study.

**Social Control.** Research to date, such as the studies conducted by Newman and preliminary experience in Hartford, indicate that certain types of physical design encourage people to exercise some measure of control over the areas they inhabit or frequent. The findings, however, are not consistent and clear, so the Institute in FY 1978 awarded funds to the Johns Hopkins University Center for Metropolitan Planning and Research to examine the process of social control as it is influenced by environmental factors. Working with the Department of Planning of Baltimore City, the researchers will survey and observe neighborhoods in Baltimore to obtain a better understanding of the factors that influence crime prevention behavior.

**Neighborhood Decline.** Among the other ills that plague them, deteriorating neighborhoods typically suffer from high crime rates. An extensive body of research exists on neighborhood decline, dating from the 1920's and the work of the "Chicago School" of social ecology. Despite this fact, it is unclear whether crime is a cause or an effect in the downward spiral. Two projects funded by the Institute in 1978 will examine this issue from different angles: from the perspective of the individual and of the neighborhood.

Although programs to conserve neighborhoods typically

make appeals to the "solid" long-standing residents of an area, little research has been done on how the individual's perception of crime and the conditions in the neighborhood affect personal commitment to the area. The National Opinion Research Center will study eight Chicago neighborhoods, including both declining areas and stable, growing sections of the city, to determine the extent to which conditions such as racial change, physical attractiveness of an area, and perceptions of crime affect the decision to abandon a neighborhood.

In Los Angeles County, researchers from the University of Southern California's Social Science Research Center will trace the sequence of changes that occur in the life cycle of a neighborhood. They will analyze existing file data covering a 28-year period to examine the relationships between neighborhood "structure"—its socioeconomic, demographic, land-use, and cultural characteristics—and the type and incidence of crime occurring at each stage of neighborhood change. Through statistical analysis, they will attempt to identify the relationship of crime to decline. For example, do rising crime rates precede and precipitate decline, or does deterioration of the neighborhood induce crime? To test their statistical computations, the researchers will validate their findings in a set of typical neighborhoods which they will analyze firsthand through visits and interviews.

It should be noted that the data base to be used in Los Angeles County was developed under another Institute grant now nearing completion. It includes uniquely detailed information on crime, criminal

justice, and a wide range of socioeconomic and demographic variables. Because the data is geocoded—identified by address within census tract, data from various files can be combined in a rich variety of ways to aid in the investigation of a number of significant problems.

**Reactions to Crime.** How individuals in different types of neighborhoods cope with crime is the focus of a long-term research project which the Institute is funding under its Research Agreements Program. An inter-disciplinary team of researchers at Northwestern University has completed extensive field work in 12 neighborhoods located in Chicago, Philadelphia, and San Francisco. They have been probing such questions as what factors influence individuals to become involved in collective responses to crime. Preliminary findings from the work to date suggest that perceptions about crime or law enforcement have little bearing on whether or not an individual participates in organized crime prevention activities. Rather, such participation seems to be a common outgrowth of general involvement in neighborhood groups.

While the final report on the Northwestern research will not be published until 1980, some initial products could appear in 1979. A critical review of the literature on reactions to crime, for example, was completed last year and will be published in the coming months. Similarly, individual members of the project reported findings relating to fear of crime late last year at professional meetings, and their papers will be published. Another report nearing completion is analyzing partic-

ipation in collective responses to crime.

**Motivating and Maintaining Involvement.** Building on the findings emerging from the Reactions to Crime project, Northwestern will delve more deeply into the dynamics of citizen involvement in crime prevention activities. This FY 1978 project will look at the range of both individual and collective actions citizens take, what motivates them to participate, and why their involvement is maintained or discontinued.

**The Media Influence.** Advertising and market research have developed useful information on how the media influence the actions of consumers. Despite growing use of media campaigns in state and local anti-crime efforts, little is known about the effectiveness of efforts to "sell" crime prevention. A FY 1978 grant to the University of Denver will review past and current media efforts in crime prevention and will survey experts about the effectiveness of mass communications strategies for crime prevention and control. Part of the project will evaluate a national public service announcement campaign on the citizen's role in crime prevention that is planned for 1979.

**Public Opinion about Crime and Justice.** Public attitudes and perceptions about crime are an important ingredient in the formation of national policies. Since 1960, a wealth of data has been collected on what the public thinks about crime and the police, courts, and prison systems. In 1976, the Institute funded an initial effort to compile and reanalyze data from approximately 100

studies. That effort was useful in revealing some of the patterns and trends in public thinking about crime as a national issue. Since attitudes and perceptions change over time, the Institute is continuing the project to expand and update the data base on public perceptions of crime.

**Crimes of Special Concern.** Public concern about specific crimes has also guided the Institute in sponsoring other research related to community crime prevention. Generally, these studies have focused on crimes that have a profound impact on the public, either because they may arouse a great deal of fear—such as violent crime—or because they may have a major economic impact—such as white collar or organized crime.

**Violent Crime.** Institute research on violent crime has covered a number of specific topics. Among the major studies completed in recent years was a comprehensive analysis of the criminal justice system's response to forcible rape. That project conducted by Battelle Institute produced 11 reports, which were published last year, offering background information on the crime and guidelines for improving the performance of criminal justice agencies and the treatment of rape victims.

Arson, a growing national concern, also has been the subject of Institute research. Last year, the Institute published the findings of an analysis of trends in arson and arson investigation. A new research project was announced that will examine how communities deal with the problem. A companion effort by the Office of Development, Testing and Dissemination will compile a

handbook outlining the experience of communities that have created successful arson task forces.

Violent crime issues took on added importance in 1978 following its selection as one of the Institute's long-range research priorities.

In 1978, the Institute awarded funds to the University of Massachusetts for a study of the relationship between weapons and violent crime. It also sponsored a Special National Workshop which designed a training program to aid city officials in managing urban crises and avoiding the potential for violence. In 1979, the Institute will fund three new studies related to violent crime. As noted in Chapter 1, a long-term basic research project will be funded under the Research Agreements Program. Studies also will be initiated on collective disorders and homicide.

**White-Collar Crime.** Long a topic of considerable interest to the Institute, white-collar crime funding has accelerated in the past 2 years. Among the studies nearing completion in 1978 were research on corporate crime, employee theft, and fraud and abuse in government benefit programs.

In a report on consumer fraud published last year, researchers concluded that current consumer fraud regulations are a patchwork system with a good deal of overlap. While some duplication is inevitable and even necessary to ensure adequate protection, the greatest need is to enforce statutes on the books rather than passing new legislation. The report notes, however, that existing laws generally pay little attention to the special needs of particularly vulnerable consumers—children, non-

English speakers and illiterates.

In concluding their five-volume study, the researchers examined more than 20 strategies for curtailing abuse. Among the recommendations:

- Prepayment for goods or services should be restricted to the absolute minimum required to protect the honest merchant.

- Bonding and insurance approaches should be fully exploited and applied to most sectors of the market.

- Licensing and registration statutes should be used more fully to screen out dishonest merchants.

- Every document that figures in a transaction should be *comprehensible* to the consumer affected.

- Mediation services, such as the Neighborhood Justice Centers described in Chapter 9, should be used wherever possible to resolve consumer grievances rather than the more cumbersome and expensive machinery of the courts.

**Corporate Illegalities.** Nearing completion last year was a study of corporate illegalities, conducted by Marshall Clinard of the University of Wisconsin. The research examined illegal activities by corporations in terms of the corporate structure and the economic setting in which the violation occurred. The empirical investigation focused on the 582 largest publicly-owned corporations in the United States. Data covered all enforcement actions obtainable, and the actions initiated or imposed by 24 Federal agencies during 1975 and 1976. The study documents for the first time the wide range of types of corporate violations, as well as the actions taken in response by government agencies.

Complementing the fundamental inquiry into white collar crime now in progress under the Research Agreements Program (described in Chapter I), the Institute last year awarded funds for a project that will tackle one of the obstacles to the study of white collar crime. No data source like the Uniform Crime Reports exists for white collar crime. Thus data collection is a lengthy and cumbersome process of reviewing records in government agencies, scrutinizing annual corporation reports, and sifting through law service reports and newspaper articles. The Bureau of Social Science Research will investigate the major Federal sources of data on white collar crime to learn how and why information on white collar crime is generated, and how various factors affect the classification and counting of such crimes. If successful, the study could lay the foundation for a white collar crime index, which could be a valuable tool for both researchers and criminal and civil justice agencies.

**Organized Crime.** Bookmaking, numbers and loan-sharking—these illegal operations often are endemic in communities. Contrary to popular opinion, however, they are not necessarily the province of organized crime. Institute-sponsored researchers examining such rackets in New York City found that the "little man," not organized crime, was primarily responsible for bookmaking and numbers rackets in the City. The first two studies of the three-part project were nearing completion last year: "Numbers:—The Routine Racket," and "Bookmaking in New York." A third study of loan sharking was in progress, with

the entire project scheduled for completion in June 1979. As a follow-up to the study, the Institute plans to fund an inquiry into the infiltration of organized crime into legitimate industries.

# 8

## Gauging the Impact

...evaluating the effects of programs is a branch of research.

Every American, as a direct or indirect victim of crime, has a personal stake in the performance of the criminal justice system. Since evaluating the effectiveness of programs is a branch of research, the Institute, as LEAA's research arm, bears a major part of the responsibility for providing those answers. Indeed the Congress in 1973 specifically charged the Institute with evaluating state and local programs supported by LEAA.

The first thing the Institute did when it received that task was to break it into pieces of a manageable size. It did that in 1974 by, first, establishing the National Evaluation Program to look in a systematic fashion at the various categories of programs the states were funding with the block grants they received from LEAA and, second, embarking on a course of each year evaluating two or three of the programs LEAA was funding with discretionary grants. As mandated by LEAA policy, the Institute has assumed two more evaluative tasks. One is to evaluate major policy changes of national interest, such as the New York State Drug Law and the Massachusetts Gun Law, which were studied in previous years, and the abolition of plea-bargaining in Alaska. The other task is evaluating the field tests of programs that the Institute itself has developed

from the results of its research, an enterprise the next chapter will describe.

**National Evaluation Program.** The National Evaluation Program (NEP) has been able to cover a great deal of ground because it does its evaluations in two phases.

Phase I assessments examine a type of program—street lighting projects, for example—or a functional area—family counseling activities, for instance. Twenty-seven have been completed on such topics as: Pre-trial Screening Projects; Alternatives to Juvenile Incarceration; Team Policing Projects; Street Lighting Projects; Crime Analysis Units; Shoplifting and Employee Theft Programs; Correctional Data Systems; Victim/Witness Assistance Projects.

Most of the initial Phase I studies were conducted relatively quickly, with project periods generally ranging from 6 to 12 months. These assessments produced a large information base and helped to meet the need for prompt information about major types of programs. In FY 1978, the emphasis shifted from this kind of fast turn-around to project periods of 18 months that would allow time for additional tasks. Eight new Phase I assessments were funded in FY 1978. While they are state of the art studies, they prepare the

ground for future in-depth inquiries known as Phase II evaluations, as well as for follow-on research. They are based on a review of the literature that theorizes about or describes the program in question; interviews with knowledgeable practitioners and outside experts; visits to representative program sites; an assessment of the utility and reliability of existing data; identification of the particular aspects of the program that appear to demand the most investigation; and a pre-test of the design for the proposed Phase II evaluation.

**Jobs for Ex-Offenders.** Among the Phase I Assessment reports published in 1978 was a study by the Lazar Institute of *The Transition from Prison to Employment: an Assessment of Community-Based Assistance Programs*. That study found no fault with the widely-held assumption that ex-prisoners who find and keep jobs are less likely to commit new crimes than those who do not, but it found also that there is little specific knowledge about the kinds of programs that give ex-prisoners the most help with jobs. Among the 250 such programs in operation in the country there are great variations in the character and the range of the services offered. There has been little investigation of which one or combination of those services—counseling, work orientation training, basic education, skill training, job development, job placement, follow-up assistance—deals most effectively with the most prevalent problems of ex-prisoners. Nor has there been much effort to compare the job stability and recidivism of clients of those programs with that of ex-

prisoners who secured jobs without a program's help. The study found further that most of the programs measure their impact simply by what percentage of their clients obtained jobs, and ignore the critical question of the subsequent stability of their work patterns. Future research in the field, the study suggests, should focus on such matters. The Vera Institute's Research Agreement on the relationship between employment and crime, described in Chapter I of this report, is focusing on this issue.

**Coed Corrections.** Another Phase I report published this year was a Koba Associates *Assessment of Coeducational Corrections*, a study of a much smaller and more recent phenomenon than job-assistance programs. The first three such institutions, two Federal (one since phased out) and one in Pennsylvania, were established only in 1971. As of the publication of the NEP report, only 14 were in existence; four are part of the Federal prison system and there is one in each of ten states. In 1974 and 1975 "co-corrections", in the report's phrase, spread the most. Eleven institutions went coed that year but, in the years since, five of them have reverted to single-sex status. The latest Federal Bureau of Prisons figures show that in the Federal system 997 women and 2,077 men were in co-corrections, which amounted to 58 percent of all female Federal prisoners and seven and a half percent of male. In the states, according to the researchers' calculations, there are 1,232 women and 1,277 men in co-corrections, less than 10 percent of all female state prisoners and not much more than half a percent

of all male.

Perhaps the most striking finding of the study was that in almost all cases the decisive argument in favor of co-corrections was that it would result in better utilization of space. Indeed in seven cases existing women's prisons—which tend to be underoccupied in most states while men's tend to be overcrowded—simply were adjusted so that men could occupy the empty beds. Whatever rehabilitative benefits a heterosexual atmosphere might confer on prisoners of either sex—and in view of the limited experience with co-corrections to date any showing that there are such benefits is bound to be arguable—they evidently did not figure heavily in the decisions of correctional authorities to go coed.

The results of Phase I studies often lay the groundwork for further Institute research. They also give the Institute a sound basis for deciding whether more intensive Phase II evaluation of the topic is needed.

**Phase II Studies.** Three Phase II studies have been launched so far, examining Pre-Trial Release Programs, Treatment Alternatives to Street Crime (TASC) projects, and a long-term field experiment that will compare the effectiveness of traditional probation with a variety of innovative treatment approaches.

TASC programs, the first of which LEAA funded in 1972, divert non-violent offenders addicted to drugs or alcohol from the criminal process into community treatment programs where their attendance and progress are monitored, and from which they can be returned to the criminal process if they backslide. The charges against clients who complete their treatment in accordance

with the contracts they sign when they enter the program—for entry is voluntary, of course—are dropped. In a sense then TASC is a sentencing alternative.

There are TASC programs in 52 cities, 21 of which are now financed entirely with state or city money. System Sciences Inc. spent 18 months, beginning in January 1977, studying 12 of the programs in communities ranging from the State of Rhode Island in the east to Tucson and Salt Lake City in the west, and from St. Paul in the north to Miami and San Juan in the south. The resulting evaluation gave TASC high marks for cost effectiveness, estimating that a typical project that admits 400 clients a year could save citizens approximately \$1 million a year in property that otherwise would have been stolen to support drug habits, and perhaps nearly a half million dollars in court and jail costs. The study reports that about two-thirds of those admitted to TASC programs go through the full course of treatment or a significant part of it, a record considerably better than that of clients who are not as rigorously monitored. It reports further that only about 10 percent of TASC clients, a relatively low figure, are arrested for new offenses while in the program.

**Evaluating Probation.** Probation is the most widely-used sentencing alternative, yet relatively little is known about the effects of various forms of probation on different kinds of offenders. This Phase II evaluation entails the development and execution of a field experiment to evaluate the impact of different forms of probation. The traditional surveillance-oriented approach will be com-

pared with innovative treatment-oriented forms, and their effects on the recidivism rates of various types of offenders will be measured.

For purposes of the experiment, adult offenders (misdemeanants and felons) will be randomly assigned to either traditional or innovative probation. The experiment will be conducted at a single site to be chosen from four candidate jurisdictions. The site selected for the experiment will receive approximately \$225,000 for the research.

The field experiment will last approximately 2 years, but the total effort—including planning and analysis of data—is expected to take 4 years. It should yield a wealth of data about the variety of processes that are termed “probation” and their impact. The results should help specify what kinds of offenders benefit most from what forms of probation and provide information for decisions about the allocation of criminal justice resources.

**Discretionary Programs.** During 1978, the Institute was in the process of evaluating several of LEAA's discretionary programs, including the Integrated Criminal Apprehension Program, Project Sting, and the Community Anti-Crime Program. The one nearest completion was the Career Criminal Program. These projects set up a screening process that enables prosecutors to spot immediately after arrest suspects whose criminal histories identify them as serious habitual offenders, and a set of procedures for pursuing the cases of such defendants in a particularly diligent way. Prosecutors process such cases faster than those of more routine defendants, they inves-

tigate them more carefully, they seldom engage in plea bargaining, they recommend the full sentences for the charge; indeed some states have in their penal codes a special set of sentences for career criminals. More often than not a single prosecutor handles a career criminal case from beginning to end in contrast to most cases which are handled by different prosecutors at different stages. Preliminary reports from the evaluators indicate that they succeed in singling out inveterate criminals and subjecting them to the full weight of the law.

Also well under way is an evaluation of LEAA's Community Anti-Crime program, which has awarded \$30 million to local, grass roots community organizations that engage in a variety of such anti-crime activities as block watch, property marking, citizen patrols, escort services for the elderly, and other tactics. The evaluation is looking at projects in 40 of the 150 communities that have received funds under the program. Just getting under way is an evaluation of ICAP, which stands for Integrated Criminal Apprehension Program. This effort establishes units in police departments that gather and analyze local crime data so that the department can allocate its manpower to places, at times and in ways that are most likely to lead to the apprehension of criminals at work.

**Alaska Plea Bargaining.** Perhaps the most striking evaluation findings reported to the Institute in 1978, both because its subject is of much current interest and because many of its findings were startling, was a study of the effects of abolishing plea-bargaining in

Alaska. The study was conducted with the help of a \$300,000 grant from the Institute by the Alaska Judicial Council, a branch of the state government that is constitutionally mandated both to nominate judges and to conduct studies for the improvement of the administration of justice. Until August 15, 1975, plea-bargaining had been, in the words of the report, "a fully-institutionalized reality in Alaska," in fact had been "central to the practice of criminal law for as long as most experienced lawyers could recall." Moreover, that institutionalized reality had taken the extreme form of explicit bargaining over sentences. In July 1975 the State's Attorney General, to whom all prosecutorial personnel in the State are answerable, issued written orders to all district attorneys and their assistants to refrain absolutely, except in extraordinary circumstances, from bargaining over pleas as of August 15, thus radically changing the way criminal law always had been practiced in the State. His stated reason for his order was not, as might be expected, that plea-bargaining led to treating dangerous criminals with excessive leniency, but that it was the "least just aspect of the criminal justice system" and abolishing it would improve the quality of justice in Alaska by giving the courts their proper role in sentencing, a role that in effect had been preempted by prosecutors. The Institute's grant to the Judicial Council in 1976 was for the purpose of discovering whether the new policy actually was being carried out, and if so what its impact was on the administration of justice in the State.

The first surprise the evalua-

tors received was that on the whole the policy was indeed being carried out—almost completely with respect to sentence bargaining, in a majority of cases with respect to charge bargaining. There had been a considerable expectation that prosecutors and defense counsel, even judges, would seek and find ways to flout unobtrusively the Attorney General's order, or to circumvent it by charging differently, or dropping certain cases, or acquitting certain defendants. However, it turned out that most prosecutors, the key figures in any plea-bargaining situation, liked the new policy even though it made them work harder. The report describes many of them as being delighted at being "out of the sentencing business." One even said, "My job is fun now and I can sleep nights." Defense lawyers, who also had to work harder, were less pleased. Some dropped their criminal practice altogether. Others felt compelled to raise their fees, which principally affected defendants whose means were modest but not so modest as to qualify for representation by the public defender.

The second surprise was that an almost universal expectation that the new policy would dramatically slow down the criminal docket proved altogether unfounded. On the contrary, in Juneau, Fairbanks, and Anchorage, the only sizable jurisdictions in the State, the average time from the first filing of a complaint to the disposition of the case dropped precipitously—in Anchorage from 191 days for a felony case in the year before the new policy went into effect to 90 days in the new policy's first year. The evaluators do not attribute this decline to the ban

on plea-bargaining; it clearly was the result of technical changes in administration and calendaring that were being implemented at the time the ban went into effect. However, they do see significance in the fact that the ban did not reverse the trend toward faster dispositions.

A great increase in the number of trials also was predicted. The number of trials did increase, to be sure. In Anchorage it increased by some 97 percent from the "before" to the "after" year, but even that meant that just 57 felony trials were held in Anchorage in the "after" year, a number the prosecutor's office clearly was able to handle. Apparently defendants—or defense lawyers—with weak or even dubious cases were not much more anxious to go through the wear and tear of a criminal trial after plea-bargaining had been abolished than they had been before.

Finally the evaluators found that the ban on plea-bargaining had an enormous impact on sentencing but in an unexpected place. At the time the ban went into effect various citizens' groups and newspapers were inveighing against the lenient sentences violent offenders were presumably receiving as a result of plea-bargaining. The evaluators examined the way 1,044 violent-crime charges in the "before" and "after" years were disposed of and found that the ban on plea-bargaining had absolutely no effect on the sentence a violent offender could expect to receive. They attributed this result to the fact that, whatever the public perception was, violent offenders in Alaska always had received rather stiff sentences and judges were not willing to stiffen them further.

However, offenders guilty of Class 3, Class 4, and Class 5 felonies—which, respectively, are property crimes, fraud crimes, and drug crimes—received drastically stiffer sentences under the new policy. In Classes 4 and 5 this increase affected all defendants, with sentences lengthening by 117 percent in Class 4 (forgery, embezzlement, fraud, etc.) and by 233 percent in Class 5 (drugs). In Class 3 (burglary, larceny, receiving stolen property, etc.) the increase was felt most by the “cleanest” members of the group, the ones who under the old policy would almost certainly have been able to make a bargain for a light sentence, young offenders with no prior convictions whose offenses were among the least serious in the Class. The sentences imposed on the members of that group lengthened by an average of 53 percent. The evaluators are somewhat at a loss to account for that startling effect. They speculate that it may be the result of the changed role of the judge who, instead of being merely one of the participants in the sentencing decision, was now the sole decision-maker, the official on whose desk the buck very visibly stopped.

The evaluators conclude that abolishing plea-bargaining in Alaska has not created most of the problems that critics of the policy feared it would, but that the sentencing problem it created was a very serious one. They contend that several varieties of sentencing disparity already were in existence in the State and suggest that statewide sentencing guidelines for judges might moderate the most outward effects of the anti-plea-bargaining policy and, indeed, enhance the quality of justice in Alaska.

# 9

## Translating Research Into Action

...bringing the idea to all who can benefit from its use.



When an especially promising recommendation emerges after months or even years of research, the temptation is to promote it as widely as possible, as soon as possible. But to do so ignores the wisdom, and payoff, of first testing an idea rigorously.

The same precision that went into developing the idea during the research phase must guide it as it reaches fruition. Part of that process is shaping the idea to fit the real world setting. Another is testing the idea in a variety of settings and then refining it for wider use. And the final step is bringing the idea to all who can benefit from its use.

In 1978, the Institute intensified its efforts to transform research findings into action programs. Under the reorganization, the Office of Development, Testing and Dissemination was assigned responsibility for directing a systematic process of first compiling the available knowledge, developing experimental program models, then testing and evaluating them in the field, and finally using the test experience to produce refined designs suitable for widespread adoption. Results are communicated at each stage of the process to shape both research and program development plans.

**How the Process Works.** The process of putting research findings to work starts with the

pulling together of available knowledge. If research results indicate program possibilities, the Institute usually commissions a Program Models report. The document synthesizes research data, practical experience and expert opinion, and presents the advantages and disadvantages of various program options. Among the Program Models completed last year were *Halfway Houses, Promising Strategies in Probation and Parole, Security Techniques for Small Businesses, Prevention, Detection, and Correction of Corruption in Local Government*, and a series of reports on court management issues—personnel, records, and financial management.

If the Institute decides that a topic is significant enough—and suitable—for field experimentation, then the next step in the process is designing the test. This task involves the research, testing, program development, and evaluation offices of the Institute in a joint effort to construct a program that is feasible to operate and to evaluate. The model program then becomes the blueprint for field tests that are carried out in a number of different communities throughout the country. If the test results prove the value of the approach, then the Institute refines the program into a working design. The design pinpoints the program features that work, eliminates

those that don't, and provides guidelines for implementation by other jurisdictions.

During 1978, three programs were designed and funded for testing, one program was designed and ready for fiscal year 1979 testing, one test was at mid-point, and four programs—tested and evaluated under earlier funding—were being refined into program designs for wider implementation.

**Field Tests.** One field test in progress last year, in Atlanta, Kansas City, and Los Angeles, was the Neighborhood Justice Centers. The purpose of the centers is to resolve minor civil and criminal disputes through mediation or arbitration in informal community settings, rather than allowing them to become the subject of formal litigation. The test will continue until mid-1979, and though the evaluation report is not expected until January 1980, the preliminary findings are promising.

In their first 6 months, the centers handled 1,577 cases and resolved 46 percent of them. Most of the disputes fell into the categories of consumer/merchant, tenant/landlord, employee/employer, and neighbor assault/harassment. Of those cases that were not resolved, most resulted from one party refusing to participate in the mediation process. There was an 86 percent success rate for the 525 cases that were heard.

As the fiscal year ended, a large-scale field project was ending in the 18 sites testing the Juror Usage Management System. The program is based on Institute research findings and the One Day, One Trial Program in Wayne County (Detroit), Michigan, an Exemplary Project. The approach uses a

variety of statistical techniques and administrative procedures for scheduling juries more efficiently. Specifically, the program is testing whether courts can substantially reduce the size of their jury pools—by calling only those jurors that are needed—and whether jurors' time can be scheduled more flexibly and conveniently.

Also at the end of the fiscal year, three new field tests were in the preliminary stages:

- **Improved Correctional Field Services** will be tested in the State of New York; Geneva, Illinois; and Jacksonville, Florida. The test will determine if recidivism rates are affected by applying various procedures for screening candidates for probation and by employing various levels of supervision for probationers.

- **Managing Patrol Operations** is testing in Albuquerque, Charlotte, and Sacramento a set of analytic techniques and management strategies for more efficient use of patrol resources.

- **Pre-Release Centers** in Philadelphia and New Orleans will test a halfway house model that closely supervises a phased re-entry of inmates into the community, combining employment opportunities with counseling. The test will compare inmates in the experiment with those in a control group, examining not only their rates of recidivism but also the "quality of life" after re-entry—the types of jobs they have, their success in holding those jobs, and their family stability.

The field tests are an important platform for launching the application of new ideas, but they are not the only means of disseminating knowledge. The

Institute tries to pick the proper tool—be it a field test, workshop, or publication—to reach a specific audience.

**Workshops for Key Decisionmakers.** Under its Executive Training Program, the Institute provides training for key participants in field tests. The Executive Training Program also funds two types of workshops.

The Regional Training Workshops introduce senior criminal justice officials to new programs resulting from outstanding research and evaluation findings and Program Models. The workshops are conducted by national experts, where possible by those who originated the technique. The Institute develops a complete training curriculum and resource materials to help participants understand the program and put it to use. Last year, 1,810 participants attended the Regional Training Workshops on one of the following topics:

- **Managing Patrol Operations**—More than 500 police managers learned systematic approaches for matching their resources to workload demands.

- **Developing Sentencing Guidelines**—More than 350 judges and senior probation officials learned about the movement toward sentencing guidelines to determine whether guidelines are appropriate for their court systems.

- **Establishing Victim/Witness Services**—The skills for initiating and improving such projects were presented to interdisciplinary teams totaling more than 500 participants.

- **Health Care in Correctional Institutions**—Nearly 450 correctional and health administrators learned how to match limited resources with the demands for improved health

care, as required by court mandates and professional standards.

The Regional Training Workshops are attended by senior decisionmakers—those who have the authority to implement the programs in their agencies or communities. According to an Institute survey, over half the respondents said they had carried out at least three of the steps in their “action plan”—an agenda for program implementation which each participant draws up at the end of the workshop. Over half reported that they had put into practice at least one of the major features of each program.

Limited follow-on funds are available, allowing the staff of a workshop participant to learn of the program as well. The Institute pays only for the trainers; the sponsoring agency pays for the other expenses, reflecting its commitment to the program. The Institute receives a greater return on its initial investment while the local agency receives high-quality training at a relatively low cost. Last year, 2,305 attended the 44 follow-on workshops.

Another kind of workshop is designed for a national audience—to stimulate discussion of major criminal justice issues or to present significant research findings. Generally, these Special National Workshops fall into three categories: 1) training—to introduce new techniques or programs to policymakers and key people in the criminal justice community; 2) problem analysis—to bring experts together to collaborate on approaches for dealing with major problems in crime and criminal justice; and 3) developmental—to lay the groundwork for a topic that is important but as yet unexplored.

In 1978, the eight Special National Workshops included one in California on *Pretrial Release* in which 60 trial judges, defense personnel and researchers discussed alternative release strategies and the repercussions of releasing defendants before trial; a workshop on *Mental Health in Jails*, sponsored jointly by the Institute, the National Institute of Mental Health, and the National Institute of Corrections, to discuss mental health services in American jails and the implementation of minimum capabilities recommended by the National Advisory Commission on Criminal Justice Standards; and *Update 78* for mayors, city council members, and county officials from 35 communities to focus on criminal justice issues confronting local elected officials.

**Exemplary Projects.** Another source of knowledge used in designing test programs is local projects of proven merit. Through the Exemplary Projects program, the Institute identifies especially outstanding criminal justice programs developed at the local or state level. To be eligible, programs must have demonstrated consistent success in reducing crime or achieving a measurable improvement in criminal justice. Candidate programs are screened rigorously, and those ultimately selected are publicized widely through various channels—including the Institute’s workshops and publications. These projects won the Exemplary designation in fiscal year 1978: “Stop Rape Crisis Center,” Baton Rouge, Louisiana; “Hidden Cameras Project,” Seattle, Washington; “Connecticut Economic Crime Unit, Chief State’s Attorney’s Office,” Wallingford, Connecticut; “Community Arbitration

Project,” Anne Arundel County, Maryland.

**Host Program.** Selected Exemplary Projects are also chosen for the Institute’s Host program. Officials seriously interested in adopting an innovative program can visit a “host” site for up to 2 weeks, gaining first-hand experience on how the project works.

Near the end of the fiscal 1978 Host grant period, 84 participants had visited one of the 14 Host sites. Follow-on sessions for three of the programs permitted visitors to exchange their experiences on implementing the program. An assessment of the fiscal 1978 program had not been completed by the end of the funding cycle, but 83 percent of the respondents surveyed during the fiscal 1977 grant period reported that they had adopted part or all of a Host project. Similar findings are expected for fiscal 1978.

**Testing Law Enforcement Equipment.** Another program designed to avoid costly experimentation is the Institute-sponsored Equipment Technology Center (ETC), which oversees the testing and evaluation of law enforcement equipment, and its counterpart—the Law Enforcement Standards Laboratory, which sets standards for and designs the tests for the equipment used by criminal justice agencies. Last year, the Law Enforcement Standards Laboratory, which is established at the National Bureau of Standards, developed standards for 16 different items ranging from communication systems to protective gear.

In 1978, the ETC tested police body armor, and its findings were announced by the International Association of Chiefs of Police, which

operates the Center under Institute guidance. Fifty-three models of "soft" body armor were tested by methods designed to measure resistance to bullets fired from frequently used handguns and some other less common firearms. Of the 53 models tested, 25 did not comply with the standards; those that failed the tests did not furnish enough resistance to the bullets, and some were even penetrated by the bullets. Undoubtedly, these findings diverted dozens of departments from buying inferior equipment at a loss of incalculable dollars—and perhaps even lives. The findings also spurred some manufacturers to upgrade their equipment to meet the published standards.

**An International Information Service.** An important part of the Institute's efforts to disseminate research results is the National Criminal Justice Reference Service, which provides technical information to the criminal justice community. At whatever stage of the Institute's work—when a solicitation is printed, research is completed, a program model is prepared, or a field test is evaluated—the publications become a part of the Reference Service's collection.

The Reference Service's Collection is not restricted to the Institute's products, however. Since 1972 when the Service was started, the collection has added national and international publications from a variety of sources as well as a full range of services to distribute those publications. By the end of fiscal year 1978, reference specialists tapping the computerized data base of over 37,000 entries could give prompt responses to individual queries, producing bibliographies, ab-

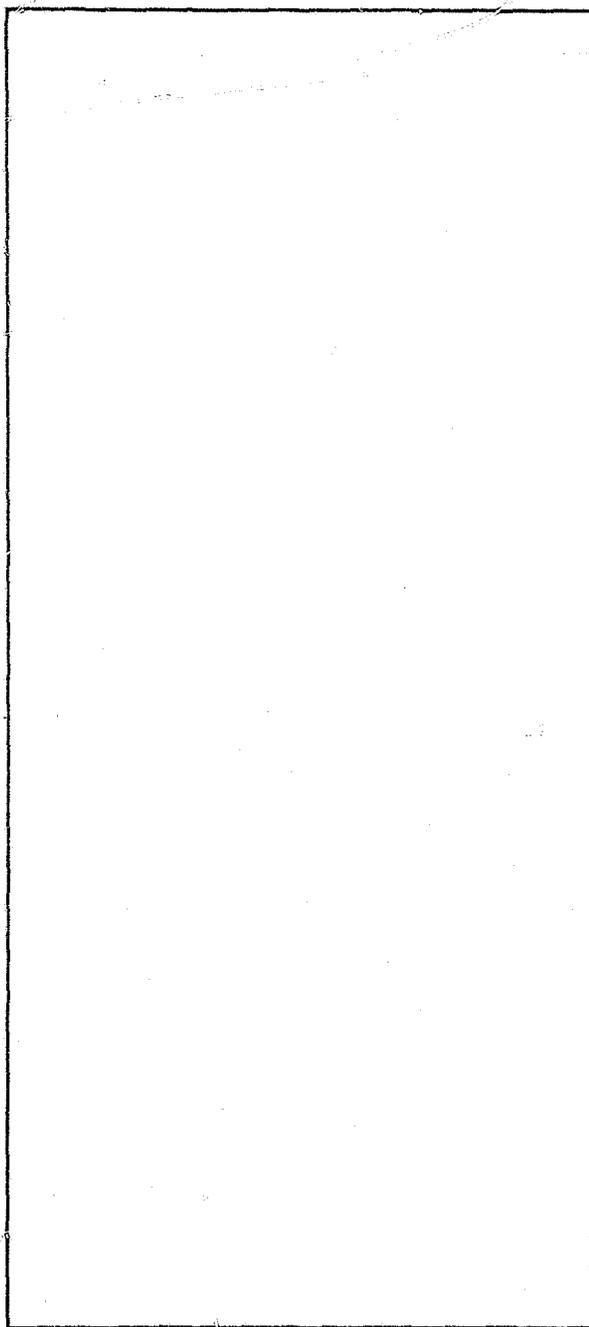
stracts, and where available, single copies of full reports.

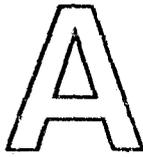
Last year was a high point in the Reference Service's efforts to be an international source of criminal justice publications. In 1978 major European scholarly works in the data base were summarized in English and then printed and distributed through the Government Printing Office. The summaries provided a cross-national perspective on criminal justice research—a perspective not widely available in the United States before then.

The Institute also maintains the LEAA Library whose special collection of 3,800 volumes covering all aspects of criminal justice serves as a resource for LEAA staff and the public.

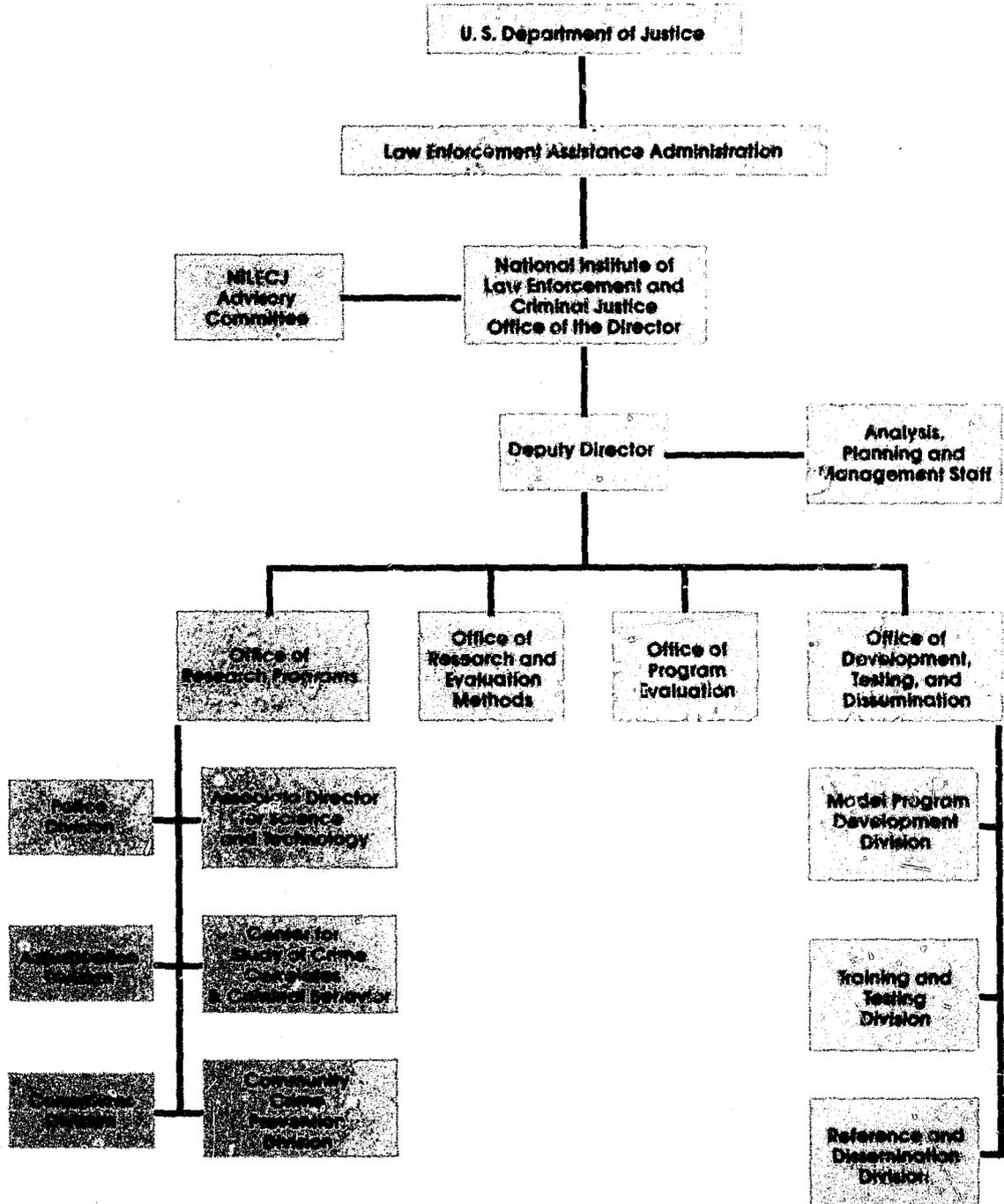
Finally, the Institute publicizes the results of its work in various professional journals, in the LEAA newsletter, and in a research bulletin issued to the research community. Each year, the Institute publishes its annual program plan, outlining proposed efforts for the coming fiscal year, and this annual report to the Congress, reviewing progress to date.

# Appendix





# Organization of the National Institute



# B FY 1978 Awards

## Police

**78-NI-AX-0005**

**Title:** Anti-Corruption Management Program

**Grantee:** John Jay College of Criminal Justice, City University of New York Research Foundation, 444 West 56th St., New York, New York 10019

**Project Director:** Robert McCormack

**Amount:** \$352,940

**Grant Period:** 11/16/77-5/15/79

This project is expected to develop a comprehensive measurement index for assessing levels of police corruption. Research will also be conducted on the factors that lead to corruption.

**78-NI-AX-0015**

**Title:** Easy-to-Use Police Resource Allocation Planning Tools

**Grantee:** Institute for Public Program Analysis, Justice System Division, 230 South Bemiston St., Suite 914, St. Louis, Missouri 63105

**Project Director:** Nelson Heller

**Amount:** \$211,171

**Grant Period:** 12/20/77-6/19/79

The tools available through sophisticated computer-based police resource planning models are needed by planners but are often too expensive to use. This project will develop and test a new police resource allocation system based on an inexpensive pocket calculator and a mini-computer. The system is expected to provide many of the conversational, computational, and error-correcting capabilities of more expensive computer models at a fraction of the cost.

**78-NI-AX-0020**

**Title:** Police Referral Systems in Metropolitan Areas—Phase Two

**Grantee:** Indiana University Foundation, P.O. Box F, Bloomington, Indiana 47401

**Project Director:** Elinor Ostrom

**Amount:** \$146,046

**Grant Period:** 3/1/78-7/31/80

Now in its second phase, this project is studying non-crime calls for police service. In analyzing the data gathered under grant 76-NI-99-0112, the grantee will examine how different organizational structures and different types of service calls affect the delivery of social services. The grantee will also analyze how police departments complement or overlap social service agencies.

**78-NI-AX-0025**

**Title:** Police-Prosecutor Relations

**Grantee:** Georgetown University Law Center, Institute of Criminal Law and Procedure, 600 New Jersey Ave. NW, Washington, D.C. 20001

**Project Director:** William McDonald

**Amount:** \$371,072

**Grant Period:** 8/1/78-1/31/80

Recent studies have shown that there are problems in the relations between police and prosecutors which are thought to impede the effective administration of justice. This project will provide a systematic description of the relationship between police and prosecutors, focusing on the problems and possible solutions. The entire spectrum of police-prosecutor interaction—from arrests and bail setting to case disposition—as well as the more general issues of policy setting and resource control will be examined.

**78-NI-AX-0056**

**Title:** Police Roles: Implications for Future Organizational Structuring

**Grantee:** Police Foundation, 1909 K St. NW, Washington, D.C.

**Project Director:** Joseph Lewis

**Amount:** \$361,875

**Grant Period:** 7/1/78-6/30/80

This project is analyzing what police are expected to do, what they actually do, how these activities are perceived by citizens and police officers, and what are the determinants of police behavior. The grantee will combine existing information about police activities with newly developed data to identify what is known about police behavior and what needs to be learned.

**78-NI-AX-0061**

**Title:** Synthesizing and Extending the Results of Police Research

**Grantee:** Public Systems Evaluation, Inc., 929 Massachusetts Ave., Cambridge, Massachusetts 02139

**Project Director:** Michael Cahn

**Amount:** \$275,246

**Grant Period:** 5/19/78-2/18/80

In assessing and synthesizing research on police field services, this project will highlight results that are especially promising and identify gaps where more knowledge is needed. The Institute will draw a research agenda from those areas pinpointed for inquiry.

**78-NI-AX-0066**

**Title:** Forensic Science Workshops

**Grantee:** Forensic Science Foundation, 11400 Rockville Pike, Suite 515, Rockville, Maryland 20852

**Project Director:** Joseph Peterson

**Amount:** \$184,293

**Grant Period:** 6/7/78-6/6/79

This grant supports twenty 1-week regional workshops on forensic microscopy held throughout the country. Under this grant, more than 300 forensic laboratory specialists will be taught how to analyze the types of evidence that pose the greatest difficulties for forensic examination. In addition to a curriculum tailored to the needs of criminalists in various geographic regions of the country, the grantee will produce a forensic microscopy state-of-the-art monograph and a microscopy course handbook.

**78-NI-AX-0071****Title: Polygraphic Interrogation****Grantee: University of Minnesota, Box 392, Mayo,****Minneapolis, Minnesota 55455****Project Director: David Lykken****Amount: \$22,888****Grant Period: 6/12/78-6/11/79**

This grant will produce a compendium on polygraph interrogation. The publication will contain the facts, arguments, and counter-arguments on the scientific status and practicality of various interrogation methods.

**78-NI-AX-0079****Title: Forensic Serology Workshops****Grantee: Forensic Science Foundation, 11400 Rockville Pike,****Suite 515, Rockville, Maryland 20852****Project Director: Joseph Peterson****Amount: \$203,140****Grant Period: 7/31/78-7/30/79**

Recently developed techniques in blood stain analysis are being taught to more than 100 forensic serologists throughout the country. The effectiveness of the workshops will be evaluated during the training and through follow-on examinations.

**78-NI-AX-0092****Title: Arrest Convictability as a Measure of Police Performance****Grantee: Institute for Law and Social Research, 1125 15th St.****NW, Suite 625, Washington, D.C. 20005****Project Director: Frank Leahy****Amount: \$349,148****Grant Period: 9/15/78-2/14/80**

Although a considerable amount of research has been done on police activities in criminal investigations and apprehensions, little has been done on arrests and post-arrest outcomes. This project will analyze the differences between police officers whose arrests lead to a high number of convictions and those who do not make the same quality of arrests. Of the two tasks in the study, the first is the replication of an earlier study by the grantee to determine whether some officers make felony arrests that are systematically more likely to lead to convictions. Secondly, the grantee will examine the extent to which personal characteristics and special knowledge influence the performance of individual police officers.

**78-NI-AX-0095****Title: The Nature of a Police Executive's Work****Grantee: Southern Illinois University, Administration Building,****Carbondale, Illinois 62901****Project Directors: William Vicars and Robert Bussom****Amount: \$293,536****Grant Period: 10/1/78-9/30/80**

This project will address two related topics: how can police executives become more efficient managers, and what available knowledge about managerial effectiveness is appropriate for their use? By observing police executives, the grantee will depict their work and its relationship to managerial work in other fields. By exploring the various modern management practices and principles, the grantee also will determine the impact of such techniques on improving the police executive's managerial skills.

**78-NI-AX-0097****Title: Police Operational Decision-Making****Grantee: University of Illinois at Chicago Circle, Center for****Research In Criminal Justice, Box 4348, Chicago, Illinois 60680****Project Director: Richard Ward****Amount: \$337,389****Grant Period: 12/1/78-9/29/80**

Despite advances in understanding police service systems and police management, very little is known about how decisions on police operations are made by first-line supervisors and mid-level managers. This project will examine the factors which influence such decisions and develop models that are expected to help police administrators improve the decision-making process.

**78-NI-AX-0104****Title: Automation of Forensic Laboratories****Grantee: University of Oklahoma, Health Sciences Center,****P.O. Box 26901, Oklahoma City, Oklahoma 73190****Project Director: Kurt Dobowski****Amount: \$17,977****Grant Period: 10/1/78-9/30/80**

Funded under the Unsolicited Research program, this project will develop improved and universally applicable automated techniques for analyzing crime evidence. The project will also demonstrate the practicality of the automated techniques for reducing work overload in laboratories.

**78-NI-AX-0107****Title: Replication of the Citizen Reporting Component--****Kansas City Response Time Analysis****Grantee: Police Executive Research Forum, 1909 K Street****NW, Suite 420, Washington, D.C. 20006****Project Director: Gary Hayes****Amount: \$530,000****Grant Period: 9/18/78-6/17/80**

An earlier Insitute study on police response time in Kansas City, Mo. found that citizens often delay before calling the police to report crimes. The delay reduces the chance of the officer to make an arrest. This project will seek to determine whether the delay in reporting crimes is unique to Kansas City or is true for other jurisdictions as well. Four cities have been selected as test sites. From a sample of 1,500 crime incidents in each test site, citizens reporting the crimes will be identified and interviewed to identify patterns and problems in reporting.

**78-NI-AX-0108****Title: Microscopical Identification of Synthetic Fibers****Grantee: McCrone Research Institute, Inc., 2508 South****Michigan Ave., Chicago, Illinois 60616****Project Director: Skip Palenik****Amount: \$9,950****Grant Period: 10/1/78-9/30/79**

Funded under the Unsolicited Research program, the grantee will collect and assemble the analytic information needed to identify synthetic fibers obtained as trace evidence at crime scenes. The tests to be described by the grantee are done with a microscope and microchemicals; they were chosen on the basis of their simplicity and use of relatively inexpensive equipment.

**78-NI-AX-0109****Title: Gunshot Residue Workshops****Grantee: McCrone Research Institute, Inc., 2508 South****Michigan Ave., Chicago, Illinois 60616****Project Director: Walter McCrone****Amount: \$31,826****Grant Period: 10/1/78-9/30/79**

LEAA-sponsored research developed the first technique to conclusively identify gunshot residue on a suspect's hand, even hours after the person fired a gun. This grant will support a week-long course for crime laboratory examiners to learn this new technique. Evaluations of the training will be done during the course and afterwards - at the participant's own laboratory.

**78-NI-AX-0119**

**Title: Criminalistics Methods of Analysis: A Feasibility Study**  
**Grantee: Forensic Sciences Foundation, Inc., 11400 Rockville Pike, Suite 515, Rockville, Maryland 20852**  
**Project Director: Joseph Peterson**  
**Amount: \$163,338**  
**Grant Period: 10/16/78-1/15/80**

Earlier Institute research under grant 76-NI-99-0091 found that the methods used by crime laboratories in analyzing evidence were often inadequate or inappropriate. This grant is part of an effort to provide a compendium of valid and reproducible methods of analysis. An advisory board will aid the grantee in reviewing the relevant literature, providing a mechanism for determining a method's acceptability, and testing selected methods.

## Adjudication

**78-NI-AX-0006**

**Title: Research on Prosecutorial Decisionmaking**  
**Grantee: Bureau of Social Science Research, 1990 M St. NW, Washington, D.C. 20036**  
**Project Director: Joan Jacoby**  
**Amount: \$375,000**  
**Grant Period: 11/28/77-5/27/79**

This is the first of a two-phase program designed to increase uniformity and consistency in the prosecutor's handling of criminal cases. During this first phase, the grantee will closely observe the daily activities of a number of district attorney offices to identify the range of prosecutorial policies for making decisions. Based on the observations, the researchers will then develop tools for measuring the consistency of case handling within an office. The tools, in the form of a test, will be administered to prosecutors and the results will be compared to actual case data.

**78-MU-AX-0023**

**Title: Elements of Courthouse Culture: Norms Governing Disposition Time, Mode and Sentence Level**  
**Grantee: National Center for State Courts, 300 Newport Avenue, Williamsburg, Virginia 23185**  
**Project Director: Thomas Church**  
**Amount: \$78,313**  
**Grant Period: 6/1/78-3/31/80**

This project will examine and measure the "norms" or standards of court house participants—judges, prosecutors, and public defenders—in four courts. The study will examine the effects of these norms on the speed and disposition of cases, specifically on the disposition time, mode of disposition, and sentence level of cases. These three factors will be measured and differentiated by type of case and group of participants. The norms governing these factors will be verified by examining records of case dispositions, observations, and interviews with the participants.

**78-NI-AX-0049**

**Title: Alternatives to Adjudication: An International Study**  
**Grantee: University of Southern California, Social Science Research Institute, 950 West Jefferson Blvd., Los Angeles, California 90007**  
**Project Director: Earl Johnson**  
**Amount: \$284,975**  
**Grant Period: 4/20/78-4/19/79**

This grant is part of a three-phase study comparing the American judicial system with those in other countries to determine how best to organize the U.S. system. The study's first phase, which has been completed, included an assessment of other countries' alternatives for handling civil and criminal

cases and a research design for comparing the alternatives with traditional adjudication methods. This grant, for the latter part of the study's second phase, will estimate the current U.S. judicial workload which could be handled by alternatives, compare the advantages and disadvantages of implementing the alternatives, and estimate the cost of replacing traditional adjudication methods.

**78-NI-AX-0060**

**Title: Improved Jury Instructions**  
**Grantee: University of Nebraska, 209 Burnett Hall, Lincoln, Nebraska 68588**  
**Project Director: Bruce Dennis Sales**  
**Amount: \$73,228**  
**Grant Period: 6/15/78-9/14/79**

**78-NI-AX-0146**

**Title: Improving Juror Performance**  
**Grantee: Harvard University, Department of Psychology and Social Relations, Cambridge, Massachusetts 02138**  
**Project Director: Reid Hastie**  
**Amount: \$145,158**  
**Grant Period: 10/16/78-10/15/80**

Funded under the Institute's Unsolicited Research Program, these two grants represent a first step toward making legal instructions understandable to jurors so that they can apply the law successfully to the facts of the case. The main objective of the jury instruction project is to develop procedures for rewriting and assessing instructions. The jury performance project will test alternative methods of presenting instructions to jurors. Both projects will use video-taped trials and jury simulation techniques to evaluate different types of instructions.

**78-NI-AX-0063**

**Title: Reduction of Non-Judicial Demands on Trial Court Judges**  
**Grantee: The Mitre Corporation, Metrek Division, P.O. Box 208, Bedford, Massachusetts 01730**  
**Project Director: Burton Kreindel**  
**Amount: \$47,932**  
**Grant Period: 8/1/78-2/28/79**

This project will analyze the mechanisms for reducing the non-judicial tasks of trial court judges. Both the mechanisms currently used in trial courts and the court conditions that help make these mechanisms work will be assessed.

**78-NI-AX-0072**

**Title: Misdemeanor Court Management**  
**Grantee: The American Judicature Society, 200 West Monroe St., Suite 1606, Chicago, Illinois 60606**  
**Project Director: Jim Alfani**  
**Amount: \$291,860**  
**Grant Period: 6/13/78-12/12/79**

As the second phase of a study on misdemeanor court management, this project will test and assess the management innovations developed during the first phase of the study. The final product will include a summary of existing problems in misdemeanor courts and the alternative remedies currently in use, as well as an analysis of the innovations tested at the pilot sites.

**78-NI-AX-0116**

**Title: Analysis of the Rate and Reasons for Dismissals of Criminal Cases**  
**Grantee: University of California at Davis, Center on Administration of Criminal Justice, Davis, California 95616**  
**Project Director: Floyd Feeney**  
**Amount: \$249,470**

**Grant Period: 10/1/78-2/2/80**

This project will examine the rates and reasons for dismissals of criminal cases in selected jurisdictions. Among the issues to be explored are whether high dismissal rates are inevitable or desirable, whether a jurisdiction could adopt strategies to reduce dismissal rates, and what the consequences of such strategies might be.

**78-NI-AX-0121****Title: Law Enforcement on Indian Reservations**

**Grantee:** Institute for the Development of Indian Law, 927 15 St. NW, Suite 200, Washington, D.C. 20005

**Project Director:** Kerry Stoeber

**Amount:** \$179,778

**Grant Period:** 9/14/78-3/13/80

In "Oliphant v. Suquamish Indian Tribe," the Supreme Court ruled that Indian tribal courts may not try or punish non-Indians who commit criminal offenses within reservation boundaries, unless such power has been conferred by treaty or act of Congress. In view of the jurisdictional vacuum created by this ruling, this study is exploring the range of possible responses by Indian tribes and developing methods for them to cope with their law enforcement problems.

**78-NI-AX-0124****Title: Adult Diversion Study**

**Grantee:** National Council of Crime, Delinquency Research Center, 411 Hackensack Ave., Hackensack, New Jersey 07601

**Project Director:** James Austin

**Amount:** \$35,686

**Grant Period:** 10/1/78-1/31/80

San Pablo, California, has an adult diversion program for handling first-time offenders and those charged with minor offenses, as an alternative to the courts. Funded under the Unsolicited Research program, this grant will evaluate San Pablo's program by analyzing data on participants and control groups to learn the program's impact on recidivism and court costs.

**78-NI-AX-0133****Title: Black Attorneys' Involvement and Perspective on the Criminal Justice System**

**Grantee:** National Bar Association, Criminal Justice Division, 1900 L St. NW, Washington, D.C. 20036

**Project Director:** Marie Dunn

**Amount:** \$171,354

**Grant Period:** 10/1/78-3/31/80

This project will draw a profile of black attorneys practicing criminal law to determine their attitudes toward and perceptions of the criminal justice system. Approximately 2,000 black attorneys are being surveyed and a number of these are being interviewed as well. The researchers will also survey white attorneys to determine if their attitudes and perceptions differ from their black counterparts.

**78-NI-AX-0136****Title: The Behavior of Courts: A Theoretical Study**

**Grantee:** Harvard Law School, 1350 Massachusetts Ave., Cambridge, Massachusetts 02138

**Project Director:** Donald Black

**Amount:** \$81,969

**Grant Period:** 5/1/79-5/31/80

In developing a theory on the behavior of courts, this project will focus on dispute settlement. The study will develop testable propositions on the relationships between characteristics of dispute settlement and characteristics of the social setting in which the settlement occurs. For instance, are settlements affected by differences in status between the people involved or by the degree of intimacy between them? Findings from the

project are expected to aid in understanding contemporary patterns of dispute settlement, including recent experiments designed to expand settlement alternatives.

**78-NI-AX-0137****Title: Development of Empirical Theories About Courts**

**Grantee:** Northwestern University, Department of Political Science, 633 Clark St., Evanston, Illinois 60201

**Project Director:** Herbert Jacob

**Amount:** \$140,573

**Grant Period:** 1/1/79-12/31/79

Four studies leading to empirical theories about courts will be developed in this project. The first study will examine the internal organizational characteristics of courts and attempt to build a typology based on those traits. The second will examine the interorganizational relationships between courts and other criminal justice agencies and the effects of those relationships on the work of the courts. The third will assess the effects of litigant competency and resources on court processes and outcomes. The fourth will study the functions of courts over a long historical period to examine hypotheses about uses of courts in different social contexts. An attempt will be made to integrate these approaches and to develop a more comprehensive theory about courts based on available evidence.

**78-NI-AX-0138****Title: Courts and Conflict Management**

**Grantee:** Dartmouth College, Arts and Sciences, Hanover, New Hampshire 03755

**Project Director:** Lynn Mather

**Amount:** \$69,107

**Grant Period:** 2/1/79-3/31/80

This research will develop a theory of courts based on court studies and cross-cultural research of conflict management. The grantee will explore the idea that conflict management in courts is a process of negotiating facts whereby the nature and context of private quarrels and offensive acts are transformed, or redefined, during the routine processing by the courts. As part of the research, the grantee will explore the hypothesis that the transforming of disputes is particularly marked in courts influenced by factors such as the orientation of the legal profession, powerful groups in the court environment, and legal rules.

**78-NI-AX-0139****Title: Developing Theories to Explain Litigation and Related Case Phenomena in Trial Courts**

**Grantee:** California State University, Department of Social Science, Fullerton, California 92634

**Project Director:** Keith Boyum

**Amount:** \$68,200

**Grant Period:** 2/1/79-12/31/79

This study will develop theories to explain different litigation rates and case loads and different case load burdens within the context of various organizational settings. The study will draw on empirical studies of caseload management and litigation rates and theoretical studies of caseload phenomena. By combining the two types of studies, the project will be able to explain caseload phenomena at a higher level of theory than has been possible to date.

**78-NI-AX-0140****Title: Sentencing Guidelines: Operation and Impact on the Courts**

**Grantee:** National Center for State Courts, 300 Newport Avenue, Williamsburg, Virginia 23185

**Project Director:** William Rich

**Amount:** \$273,167

**Grant Period: 10/2/78-7/1/80**

This project will evaluate the effects of sentencing guidelines in three counties currently using guidelines. The grantee will analyze the impact of guidelines on the severity and disparity of sentences, judicial discretion, plea bargaining, prosecutorial discretion, and case delay. As part of the analysis, the grantee will interview criminal justice officials and offenders to uncover changes in attitudes about the fairness and efficacy of the system as well as changes in relationships—whether the guidelines cause prosecutors to modify charges, for instance, or whether the prosecutor tries to plea bargain if the defense wants a trial.

**Corrections****78-NI-AX-0019**

**Title:** The Effect of Prison Crowding on Inmate Behavior  
**Grantee:** University of Texas at Arlington, Psychology Department, Arlington, Texas 76019  
**Project Director:** Garvin McCain  
**Amount:** \$118,948

**Grant Period: 3/1/78-2/29/80**

This project comprises basic research on the effects of prison crowding on inmate behavior. Approximately 2,000 inmates in different types of prison facilities—cells, cubicles, open dorms—are being tested to determine their physiological and behavioral responses to both spatial density (number of square feet per person) and social density (number of persons in the unit). The analysis will identify what social or architectural factors may contribute to or ameliorate the effects of crowding. It will also establish quantifiable "threshold" levels of personal tolerance for stress.

**78-TA-AX-0024**

**Title:** Technical Assistance to Restitution Programs  
**Grantee:** Criminal Justice Research Center, Inc., One Alton Road, Albany, New York 12203  
**Project Director:** Rita Warren  
**Amount:** \$99,918

**Grant Period: 5/9/78-11/8/79**

LEAA's Office of Criminal Justice Programs (OCJP) is awarding discretionary funds to selected sites to explore the appropriateness of restitution as an alternative to other forms of punishment. The Institute's grantee will provide technical assistance to OCJP, formulating guidelines for application review, visiting sites prior to the awards, assisting the winners of the awards in research design and data collection techniques, and providing feedback to LEAA on all technical assistance activities. The purpose of this grant is to ensure that the studies on restitution produce information that allows adequate assessment.

**78-NI-AX-0033**

**Title:** Implications of Inmate Organizations on Corrections Management  
**Grantee:** American Justice Institute, 1007 7th St., Sacramento, California 95814  
**Project Director:** Robert Montilla  
**Amount:** \$236,731

**Grant Period: 3/27/78-6/26/79**

Emerging trends in the legal definitions of offenders' rights of free speech and organization, and the increasing impact of inmate organizations on the management of institutions are prompting correctional managers to respond to these developments. This project focuses on inmate organization and its implications for correctional administration. The three reports to be produced from the study are a monograph based on a national survey and selected site visits, a management guide, and a plan for further research.

**78-NI-AX-0074**

**Title:** National Evaluation of Adult Restitution Program, Phase Two  
**Grantee:** Criminal Justice Research Center, Inc., One Alton Road, Albany, New York 12203  
**Project Director:** Rita Warren  
**Amount:** \$559,335

**Grant Period: 7/12/78-7/11/80**

An experimental alternative to incarceration is restitution, whereby the offender compensates the victim directly, in the form of a payment, or indirectly, by performing a service to the community. As a continuation of grant 76-NI-99-0127, this project is evaluating the data collected from several restitution sites and conducting research at three additional sites. The factors being studied include the victim's satisfaction with the payment process, criminal activity, restitution payment, social stability, and attitude change of the offender.

**Title:** Strategies for Determinate Sentencing  
**Project Directors:** Sheldon Messinger, Richard Sparks, and Andrew Von Hirsch  
**Grant Period:** 9/1/78-8/31/80

**78-NI-AX-0081**

**Grantee:** University of California at Berkeley, Center for the Study of Law and Society, Berkeley, California 94720  
**Amount:** \$377,146

**78-NI-AX-0082**

**Grantee:** Rutgers University, School of Criminal Justice, 15 Washington St., Newark, New Jersey 07102

The two grantees are jointly exploring the conceptual bases of various determinate sentencing approaches, identifying types of determinate sentences being developed and implemented across the country, and assessing potential and actual impacts of such sentences on the policies and practices of courts and corrections. In the first phase of the project, the underlying conceptions of determinate sentencing will be assessed by analyzing proposals, legislation, and debates on the likely consequences of such sentences. The second phase will be intensive case studies of sentencing legislation in California, Oregon, and possibly other states.

**78-NI-AX-0093**

**Title:** Long Term Trends in Imprisonment  
**Grantee:** University of California, Campus Research Office, M-11 Wheeler Hall, Berkeley, California 94720  
**Project Director:** Sheldon Messinger  
**Amount:** \$194,368

**Grant Period: 10/1/78-1/31/80**

The dynamics of sentencing law during a 100-year period is the topic of this project. Funded under the Unsolicited Research Program, the grantee will explore the relationship between indeterminate sentencing and correctional administration, policies, and practices between 1841 and 1941. The implications of long-term trends of indeterminacy, the relationship of those trends to efforts by correctional administrators to gain control of key sentencing powers, and the consequences of the trends on sentencing decisions will be explored by the grantee.

**78-NI-AX-0098**

**Title:** Free Venture Evaluation  
**Grantee:** Department of Corrections, Division of Research and Information, 430 Metro Square Building, St. Paul, Minnesota 55101  
**Project Director:** Susan Phipps-Yonas  
**Amount:** \$99,496

**Grant Period: 10/1/78-8/30/80**

Since 1976, the Minnesota Department of Corrections has been operating a "free venture" model, drawn from Institute-

sponsored researching which organizes prison industry along the lines of industry in the outside world. The model incorporates such elements as an 8-hour work day, competitive personnel practices, and wages comparable to the outside world. This project is gathering data to describe the inmates participating in the model and to evaluate inmates' goals and institutional effects resulting from the model. The analysis will include a comparison of inmates in traditional prison industries. The findings will be available to state correctional industries and institution personnel, as well as criminal justice researchers and planners.

**78-NI-AX-0122**

**Title: Study of Victimization in Prisons**

**Grantee: Social Science Research Institute, 25 Flanders Rd., Belmont, Massachusetts 02178**

**Project Director: Jan Schreiber**

**Amount: \$349,991**

**Grant Period: 9/15/78-3/14/80**

This project is examining the frequency and factors of victimization, and the methods used by prison administrators and staff to control victimization. The frequency of victimization will be learned from surveys of inmates and staff in 36 state prisons. A study of case histories will allow factors such as prison architecture, disciplinary practices, the composition of inmate populations, and administrative procedures to be examined. The final report will include a review of the literature and of legal statutes pertaining to victimization and the corresponding liability of prison administrators. The results are expected to be useful to prison administrators and staff in forming practices to control victimization.

**78-NI-AX-0149**

**Title: Parole in the United States: An Assessment**

**Grantee: San Jose State University, San Jose State University Foundation, 125 South 7th St., San Jose, California 95192**

**Project Director: Harry Allen**

**Amount: \$121,174**

**Grant Period: 9/1/78-5/31/79**

In assessing parole in the United States, this study is examining the legal environment of parole, the composition and practices of parole boards, practices in parole field services, domestic innovations, foreign research and future research needs. Among the products of this study will be five technical papers and an overall assessment of parole research that includes a future research agenda.

## Community Crime Prevention

**78-NI-AX-0014**

**Title: Theft by Employees in Work Organizations**

**Grantee: University of Minnesota, Department of Sociology, 267 19th Ave. South, 1114 Social Sciences Building, Minneapolis, Minnesota 55455**

**Project Director: John Clark**

**Amount \$322,311**

**Grant Period: 12/23/77-5/22/79**

This project is studying the nature and scope of employee theft and developing cost-effective countermeasures against theft. The study sites are 30 organizations in three different industry sectors—electronics manufacturing firms, hospitals, and department stores—in the Minneapolis/St. Paul area. From interviews, on-site observations, and records, the grantee is studying the relationship between employee theft and organizational factors such as management practices, security measures, organizational structure, and opportunities for theft. Approximately 3,000 employees in the three sectors are receiving questionnaires designed to elicit their attitudes and

behavior about employee theft. The findings from the study will be incorporated into an inventory of employee theft countermeasures.

**78-NI-AX-0070**

**Title: The New Partnership: Strategies to Curb Auto Theft**  
**Grantee: New York State Senate, Standing Committee on Transportation, Room 811—Legislative Building, Albany, New York, 12247**

**Project Director: MacNeil Mitchell**

**Amount: \$97,200**

**Grant Period: 6/19/78-6/18/79**

This grant funded a 3-day workshop on auto theft, which brought together 250 persons from all levels of government and the private sector. Funds from the grant were also used for the 4 months of pre-workshop preparations and the follow-on work for implementing new cooperative strategies. The follow-on work is expected to result in state and regional task forces and a clearinghouse/coordination group whose existence will continue beyond the grant period.

**78-NI-AX-0105**

**Title: Mass Communication Strategy: Citizen Action Against Crime**

**Grantee: University of Denver, University Park, Denver, Colorado 80208**

**Project Director: Harold Mendelsohn**

**Amount: \$447,515**

**Grant Period: 9/6/78-9/5/80**

This project will assess the influence of mass media campaigns in persuading citizens to engage in crime prevention. The tasks include a review of the literature on public participation in crime prevention and allied behavior, analysis of past and current media campaigns, surveys of experts regarding effective mass communications strategies for encouraging crime prevention and control, and an evaluation of a proposed national public service campaign on crime prevention.

**78-NI-AX-0111**

**Title: Citizen Participation and Community Crime Prevention: An Exploration**

**Grantee: Northwestern University, Center for Urban Affairs, 633 Clark Street, Evanston, Illinois 60201**

**Project Director: Dan Lewis**

**Amount: \$260,909**

**Grant Period: 9/15/78-3/14/80**

This project is examining community crime prevention activities and the factors that determine whether citizens participate, and for how long. Included in the study is a literature review of citizen participation, interviews with key persons in community crime prevention programs, and a telephone survey focusing on persons who were invited or have participated in community crime prevention activities. The grantee will also examine findings related to citizen participation in non-crime activities and assess their relevance to citizen anti-crime efforts.

**78-NI-AX-0120**

**Title: Weapons and Violent Crime**

**Grantee: University of Massachusetts, Social and Demographic Research Institute, Amherst, Massachusetts 01003**

**Project Director: Peter H. Rossi**

**Amount: \$287,203**

**Grant Period: 12/1/78-11/30/80**

As the initial project in a new Institute research area, this study has three objectives. The first objective is to compile a knowledge based on weapons and violent crime, including both a literature review and an analysis of existing data to determine

its significance for weapons research issues and to identify areas where more information is essential. The second objective is to develop a research agenda for future Institute funding. And finally, the grantee will initiate two pilot collections of data to examine the quality and utility of police and court (PROMIS) records for weapons issues.

**78-NI-AX-0127**

**Title: Interaction Between Neighborhood Change and Criminal Activity**

**Grantee: University of Southern California, Social Science Research Institute, University Park, Los Angeles, California 90007**

**Project Directors: Solomon Kobrin and Leo Schuerman**

**Amount: \$253,717**

**Grant Period: 11/1/78-10/31/80**

This research will identify the temporal and structural relationship between neighborhood life cycle, decline, and crime. A variety of statistical techniques will be applied to existing data on Los Angeles County to identify the temporal and structural relationship between the type and incidence of crime and the stage of neighborhood change. The findings of this research should be relevant in forecasting neighborhood decline and in designing crime prevention programs which may help to meliorate the process.

**78-NI-AX-0128**

**Title: Public Opinion Attitudes Toward Crime and the Criminal Justice System**

**Grantee: University of Pittsburgh, University Center for Urban Research, Office of Research, 3500 Victoria Street, Pittsburgh, Pennsylvania 15261**

**Project Director: Jiri Nehnevajsa**

**Amount: \$74,278**

**Grant Period: 10/1/78-9/30/79**

As a follow-on to grant 76-TA-99-0026, this project is updating and expanding the compilation and interpretation of all studies since 1960 that have dealt with the public's attitude toward crime and the criminal justice system. The project is also assessing the reliability of the data as well as its scope and comparability. The executive summary, produced during the previous grant, will be revised and expanded to include new data and types of analyses. In addition to the summary, the products of the grant will be data tapes and appropriate data documentation.

**78-NI-AX-0131**

**Title: Relationship of Crime to the Process of Neighborhood Decline and Abandonment**

**Grantee: National Opinion Research Center, 6030 South Ellis Ave., Chicago, Illinois 60637**

**Project Director: Richard Taub**

**Amount \$295,291**

**Grant Period: 11/1/78-10/31/80**

This project is examining how personal commitment to a neighborhood and, in turn, decisions leading to abandonment and decline are affected by conditions such as social stability, the physical attractiveness of an area, and the incidence and perception of crime. Four hundred residents from eight Chicago neighborhoods will be interviewed in-depth about their attitudes and behavior toward their neighborhood and their victimization experience.

**78-NI-AX-0132**

**Title: Sources of Data on White Collar Crime**

**Grantee: Bureau of Social Science Research, 1900 M St., NW, Washington, D.C. 20036**

**Project Directors: Albert J. Reiss, Jr. and Albert Biderman**

**Amount: \$236,948**

**Grant Period: 10/2/78-1/1/80**

In reviewing and analyzing major data sources on white collar crime, the grantee is investigating the socially organized ways through which events become known and defined to fit concepts of white collar crime. The administrative records and audits of about 30 Federal agencies will be examined to learn how and why information on white collar crime is generated. The characteristics of information systems that affect the classification and counting of events as crimes, and the legal, administrative, and management decisions about perceptions of events as crimes are among the factors being studied.

**78-NI-AX-0134**

**Title: Territoriality, Defensible Space, Informal Social Control Mechanisms, and Crime Prevention**

**Grantee: The Johns Hopkins University, Center for Metro Planning and Research, Charles and 34th Streets, Baltimore, Maryland 21218**

**Project Directors: Ralph Taylor and Stephen Gottfredson**

**Amount: \$274,461**

**Grant Period: 10/1/78-9/30/80**

The purpose of this project is to determine what environmental and social conditions promote informal social control over a residential environment. The research involves two waves of surveys, including 480 and 240 interviews, respectively, and observations in 48 neighborhood blocks in Baltimore over a period of 14 months. The blocks will be chosen according to a three-variable design consisting of residents' form of tenure (renting, leasing, or owning), income level, and degree of participation in various community groups. Research results are expected to be relevant to community planners and leaders, as well as to researchers working on the concept of community.

**J-LEAA-026-78**

**Title: Synthesis of Research on Environmental Factors Relevant to Crime and Crime Prevention Behaviors**

**Contractor: American Institutes for Research, 1055 Thomas Jefferson St. NW, Washington, D.C. 20007**

**Project Director: Victor Rouse**

**Amount: \$104,049**

**Award Period: 10/23/78-1/23/80**

This project will identify and classify all empirical research in the United States on the relationship between the physical environment and crime and crime prevention behavior. Studies will be reviewed critically for the soundness and appropriateness of the methods used. The best studies to emerge from the review will be compared for common hypotheses or conflicting conclusions. Based on the final review, the research findings will be synthesized.

## Advanced Technology

**78-NI-AX-0155**

**Title: Effects of Property Tax Limit on the Criminal Justice System in California**

**Grantee: The Rand Corporation, 1700 Main St., Santa Monica, California 90406**

**Project Director: Jan Chaiken**

**Amount: \$231,214**

**Grant Period: 10/16/78-11/15/79**

Neither the short- nor the long-term effects of California's Proposition 13 on the state's criminal justice system are evident right now. A bail-out provision aimed partly at local police departments was passed by the legislature shortly after the Proposition was approved. This provision plus anticipated legislation, legal interpretations, and court decisions are bound to affect state and local criminal justice systems. The purpose of this grant is to document and analyze the continuing effects,

The results are expected to help comprehend changes taking place not only in California but in other states now contemplating similar tax reforms.

**78-NI-AX-A007**

**Title: Symposium on Detection and Identification of Explosives**

**Grantee: Department of Treasury, Bureau of Alcohol, Tobacco, and Firearms, Washington, D.C. 20226**

**Project Director: A. Atley Peterson**

**Amount: \$25,000**

**Grant Period: 8/7/78-11/30/78**

The examination of new techniques for detecting and identifying explosives was the topic of a symposium co-sponsored by the grantee with the Departments of Transportation, Energy, and Defense.

## **Center for the Study of Crime Correlates and Criminal Behavior**

**78-NI-AX-0018**

**Title: Relationships Between Drug Use and Crime**

**Grantee: Research Triangle Institute, Center for the Study of Social Behavior, P.O. Box 12194, Research Triangle Park, North Carolina 27709**

**Project Director: Jay Williams**

**Amount: \$171,259**

**Grant Period: 3/1/78-6/15/79**

This study will produce a research agenda, by priority and feasibility, on the relationships between drug use and crime. The project builds upon prior efforts by the National Institute of Drug Abuse's panel on drug use and criminal behavior, through an interagency group of expert advisors. The project is expected to provide an updated summary of present knowledge and methods, candidate research designs reflecting results from the literature and pilot studies, and sets of recommendations for a long-term Institute program on drug-crime relations.

**78-NI-AX-0053**

**Title: Research Agenda for the Study of Crime Correlates and Determinants**

**Grantee: The Mitre Corporation, Metrek Division, Program Evaluation Department, 1820 Dolley Madison Boulevard, McLean, Virginia 22101**

**Project Director: Eleanor Chelmsky**

**Amount: \$150,000**

**Grant Period: 4/22/78-4/21/79**

Through colloquia and surveys, this project is collecting and analyzing a range of expert opinion to derive a specific set of research recommendations for use by the Institute's Center for the Study of Crime Correlates and Criminal Behavior. The final report, summarizing proceedings of the colloquia and results of the data collected, will present recommendations in order of priority and feasibility.

**78-NI-AX-0069**

**Title: Symposium on Institutionalization of Federal Programs at the Local Level**

**Grantee: Mitre Corporation, Metrek Division, 1820 Dolley Madison Blvd., McLean, Virginia 22101**

**Project Director: Eleanor Chelmsky**

**Amount: \$20,000**

**Grant Period: 6/6/78-3/5/79**

This 3-day multi-agency symposium on Federally-funded local programs focused on the factors that contribute to the survival of such programs after Federal funding ends. The major questions examined were: Federal and local roles in program development and the diffusion of social innovations; local needs and constraints that affect survival of Federal

initiatives; and ways to disperse the lessons learned from these programs. The proceedings will be disseminated to a wide audience of program planners, practitioners, and researchers in government and private sectors.

**78-NI-AX-0084**

**Title: Criminal Justice Impact Assessment Program**

**Grantee: Northern Virginia Planning District Commission, 7309 Arlington Boulevard, Falls Church, Virginia 22042**

**Project Director: Susan Mull**

**Amount: \$299,990**

**Grant Period: 9/1/78-2/29/80**

This project is developing a model which can help predict the possible impact of land development proposals on the criminal justice system. If institutionalized, this tool might allow local and regional jurisdictions to develop a criminal justice planning process that could be effectively integrated into ongoing local land use planning. Although based on data generated in the Northern Virginia region, the model is expected to be usable in similar locations with minor adjustments.

**78-NI-AX-0085**

**Title: Criminal Justice Laboratory County Project**

**Grantee: Ventura Region Criminal Justice Planning Board, 800 South Victoria, Ventura, California 93003**

**Project Director: Mal King**

**Amount: \$255,604**

**Grant Period: 9/1/78-2/29/80**

Ventura County, California, is the site of this research on optimizing the allocation of resources among the various parts of the criminal justice system. The results of the research will yield methods for allocating resources most effectively. The methods also will be incorporated into the county's planning process to make it more responsive to criminal justice needs.

**78-NI-AX-0087**

**Title: Analysis of Case Processing, Criminal Behavior, and Drug Use for Adult Arrestees**

**Grantee: Institute for Law and Social Research, 1125 15th St., N.W., Washington, D.C. 20005**

**Project Director: Brian Forst**

**Amount: \$165,138**

**Grant Period: 9/15/78-3/14/80**

Under the joint sponsorship of NILECJ and the Institute on Drug Abuse (NIDA), this study is examining the statistical relationships between drug use and crime in Washington, D.C. from 1971 through 1977. The exploratory analysis will show how patterns of recidivism and drug use in adult arrestees are influenced by different case dispositions and types of drug program treatments. Part of the data being used for the analysis is from the District's Prosecutor's Management Information System (PROMIS) and the Narcotics Treatment Administration (NTA). The sponsorship of this project by NILECJ and NIDA is part of a joint research agenda drawn up in response to a Congressional mandate for the two agencies to cooperatively pursue research on drug use and crime.

**78-NI-AX-0088**

**Title: Longitudinal Research in the U.S.: Relevance to Primary Prevention of Delinquency**

**Grantee: University of Southern California, 950 West Jefferson Blvd., Los Angeles, California 90007**

**Project Director: Sarnoff Mednick**

**Amount: \$267,146**

**Grant Period: 9/15/78-3/14/80**

The study will compile knowledge from existing longitudinal surveys to uncover data that lends itself to the investigation of the antecedent factors in delinquency, criminality, and

recidivism. The grantee will recommend how these data might be used in criminogenic research. He will also summarize relevant literature, point to areas of knowledge and ignorance, and suggest directions and designs for future research. The major objective of this project is to develop methods for the early detection of juveniles at risk.

**78-NI-AX-0089**

**Title: National Evaluation of Pretrial Release—Experimental Support**

**Grantee: The Lazar Institute, 1800 M St., NW, Washington, D.C. 20036**

**Project Director: Mary Toborg**

**Amount: \$74,728**

**Grant Period: 9/1/78-11/30/79**

This award provides funds for four experimental pretrial release programs to extend their operations to "overflow" groups of defendants, and at the same time, to identify control groups of defendants who will not be processed by the programs. As a continuation of grant 77-NI-99-0050, this award supports an assessment of the programs' impact on judicial release decisions and the outcome of defendants. Major questions to be addressed include whether release rates are higher, whether releases are more equitable, and whether rates are lower for failure-to-appear and pretrial criminality.

**78-NI-AX-0102**

**Title: Role of Juvenile Records in Adult Criminal Proceedings**

**Grantee: The Rand Corporation, 1700 Main St., Santa Monica, California 90406**

**Project Director: Peter Greenwood**

**Amount: \$142,355**

**Grant Period: 11/1/78-4/30/80**

Institute-funded studies have suggested that the few "habitual" offenders who account for a disproportionate amount of street crime have careers which begin in adolescence, peak during early adulthood, and end by middle age. To incarcerate young offenders with high crime rates might reduce street crime, and yet these same offenders, in an adult criminal court proceeding, do not evince long criminal histories because their juvenile records are typically not introduced into adult proceedings. This project is examining the legislation, policies and practices on the use of juvenile records (of serious crime) in adult proceedings. The project is also determining whether the absence of juvenile records in adult proceedings results in lighter sentences for young adult offenders compared with their juvenile counterparts.

**78-NI-AX-0112**

**Title: Research on the Relationship between Alcohol and Crime**

**Grantee: Research Triangle Institute, Center for the Study of Social Behavior, P.O. Box 12194, Research Triangle Park, North Carolina 27709**

**Project Director: James J. Collins**

**Amount: \$228,922**

**Grant Period: 11/1/78-8/30/80**

This project will produce an agenda for research on alcohol and serious criminal behavior which can be used by the Institute's Center for the Study of Crime Correlates and Criminal Behavior as a guide for a research program. The tasks of the grant include state-of-the-art papers by the grantee and consultants, working committees to develop a research agenda, and a final report documenting the development of the project.

**78-NI-AX-0125**

**Title: Longitudinal Study of Biosocial Factors Related to Delinquency and Crime**

**Grantee: University of Pennsylvania, Center for Studies in Criminology and Criminal Law, 3451 Walnut St., Philadelphia, Pennsylvania 19104**

**Project Director: Marvin Wolfgang**

**Amount: \$478,077**

**Grant Period: 9/21/78-9/20/80**

This project represents a major longitudinal, multidisciplinary study of seven cohorts born between 1959 and 1965 and is designed to examine a variety of biosocial correlates of criminality. It will use the Philadelphia sample from a collaborative NIH perinatal study which offers a particularly rich source of socio-economic, medical, developmental and psychological information on nearly 10,000 children from conception through 7 years of age. The first year of the study will be concerned with the collection of school and police data on the two oldest age groups and the design and organization of future work. Work in the second year will include an updated computer file of coded school and police records for the oldest cohorts, the addition of the third oldest cohort, results of a preliminary analysis on the interrelationships among biosocial variables with school and police variables, and the selection of a delinquent sample for future testing and interviewing.

**78-NI-AX-0141**

**Title: The Urban Sector and Urban Crime: A Simultaneous System Approach**

**Grantee: Northeastern University, Department of Economics, Huntington Avenue, Boston, Massachusetts 02115**

**Project Director: Daryl Hellman**

**Amount: \$32,879**

**Grant Period: 3/1/79-12/31/79**

In terms of property loss and police protection costs, urban crime may be viewed as a liability to society. This project will develop a framework for analyzing the interrelationships of the police budget, the prevention of crime, aggregate property value, and city revenue through a simultaneous system of equations. Criminal justice system constraints imposed by other levels of government which affect the urban system will be identified, and policy implications will be addressed.

**78-NI-AX-0148**

**Title: Assessing Research on Minorities and the Administration of Criminal Justice**

**Grantee: National Urban League, Inc., 733 15th St. NW, Suite 1020, Washington, D.C. 20005**

**Project Director: Robert Hill**

**Amount: \$395,530**

**Grant Period: 10/23/78-10/22/80**

The two-fold purpose of this project is to assess completed research on minorities, crime, and criminal justice, and to recommend promising perspectives for future research. In assessing past research, the grantee is compiling two bibliographies—including one on projects conducted by minorities—and is also preparing a review paper on the research done on minorities and the administration of criminal justice. In recommending perspectives for future research, the grantee is commissioning policy and research papers. The study will also include recommendations for encouraging minority participation in crime and criminal justice research.

**78-NI-AX-0151**

**Title: A Study of the Institutionalization of Criminal Justice Planning**

**Grantee: The Mitre Corporation, Metrek Division, 1820 Dolley Madison Boulevard, McLean, Virginia 22102**

**Project Director: Eleanor Chelimsky**

**Amount: \$184,779**

**Grant Period: 10/10/78-4/9/80**

This project will investigate the degree to which various jurisdictions have institutionalized criminal justice planning at the local level, the varying success of different approaches to planning, and the factors which seem to influence the planning process. In carrying out these aims, the grantee will review and assess past planning efforts in criminal justice and other fields, develop a model of the institutionalization process, and—using the model—examine the institutionalization of planning at the study sites.

**LEAA-J-IAA-005-8**

**Title:** Economic Behavior of Non-Addict Career Criminals  
**Grantee:** National Institute on Drug Abuse, Alcohol, Drug Abuse, and Mental Health Administration, Department of Health, Education and Welfare, 5600 Fisher Lane, Rockville, Maryland 20857

**Project Director:** Louise Richards

**Amount:** \$68,000

**Grant Period:** 7/23/78-6/23/79

Funded by the Institute under an interagency agreement with the National Institute on Drug Abuse, this project will test a variety of methods for collecting data on the economic and criminal activities of non-addict career criminals. The project will also locate, interview, and follow for 1 year more than 40 non-addicted career criminals, who represent different criminal patterns, ethnic backgrounds, and sexes.

**LEAA-J-IAA-008-8**

**Title:** Washington State Drug/Alcohol Needs Assessment Study

**Grantee:** National Institute of Corrections, Bureau of Prisons, Department of Justice, Washington, D.C. 20534

**Project Director:** Susan Whitaker

**Amount:** \$66,075

**Grant Period:** 10/1/78-9/30/79

The Institute is funding this study under an interagency agreement with the National Institute of Corrections. The study will produce information on the offenders' history of drug and alcohol use and abuse; the types, incidence and frequency of use; the relationship of use to arrest record or difficulties with public authorities; and the need for social service for drug and alcohol problems.

## Special Programs

### Research Agreements Program

**78-NI-AX-0017**

**Title:** White Collar Crime

**Grantee:** Yale University, School of Law, 127 Wall St., New Haven, Connecticut 06520

**Project Director:** Stanton Wheeler

**Amount:** \$650,000

**Grant Period:** 3/27/78-3/26/80

The integrated studies that comprise this long-term research project emphasize efforts to control white collar crime at the Federal level. Of the major studies in the project, one is investigating ways Federal prosecutors deal with white collar and blue collar cases. Another is analyzing investigations initiated by the Securities and Exchange Commission. And a third is studying Federal judges' perceptions of white collar offenders to determine factors which influence their sentencing decisions.

**78-NI-AX-0057**

**Title:** Reactions to Crime: Responses to Perceived Fear and Insecurity

**Grantee:** Center for Urban Affairs, Northwestern University,

633 Clark St., Evanston, Illinois 60201

**Project Director:** Louis Masotti

**Amount:** \$584,158

**Grant Period:** 7/1/78-2/28/80

This grant provides continued support for a long-term interdisciplinary research program on perceptions and reactions to crime at the neighborhood level. Multi-method research projects are being conducted in the neighborhoods of Chicago, Philadelphia, and San Francisco. Data has been gathered from a variety of sources, including field research, a telephone survey, and police statistics. During this funding phase of the program, the grantee will be analyzing the extensive data and preparing a comprehensive final report which discusses the research findings.

### Visiting Fellowship Program

**78-NI-AX-0001**

**Title:** Sourcebook in Forensic Serology

**Grantee:** Robert Gaensslen, University of New Haven, New Haven, Connecticut

**Amount:** \$32,483

**Grant Period:** 12/1/77-8/31/79

Funded under the Visiting Fellowship program, Dr. Gaensslen will complete a source book on forensic serology, which he began as an Institute Visiting Fellow in fiscal year 1976. The book is expected to be a comprehensive review of the medical and legal analyses of blood and body fluids.

**78-NI-AX-0073**

**Title:** Interpreting Services in American Criminal Courts

**Grantee:** Carlos Astiz, Department of Political Science, State University of New York at Albany

**Amount:** \$66,303

**Grant Period:** 1/3/79-12/31/79

This project is examining the need, availability, and quality of interpreting services for non-English speaking defendants in the criminal courts. In addition to surveying court decisions to assess the need for interpreting services, Dr. Astiz will study three sites to examine the extent of the problem and possible solutions.

**78-NI-AX-0080**

**Title:** Community Subsystem Model

**Grantee:** Elmer Johnson, Center for the Study of Crime, Delinquency, and Corrections, Southern Illinois University, Carbondale, Illinois 62901

**Amount:** \$9,050

**Grant Period:** 2/5/79-5/4/79

Dr. Johnson will create a theoretical model of the criminal justice system in which the system is not a separate institution but is incorporated into the community as one of the factors for crime control. Within the community model, the offender does not lose his ties to the community but retains the responsibilities of conventional citizenship. Johnson will focus part of his study on how the community model would change correctional workers' roles and what would be the possibilities for coordinating criminal justice agencies with other community agencies.

**78-NI-AX-0083**

**Title:** Restricting Court Discretion—Effects of Prosecutorial/Judicial Decisionmaking

**Grantee:** Judith Lachman, University of Michigan, Ann Arbor, Michigan 48108

**Amount:** \$76,446

**Grant Period:** 8/9/78-4/8/80

Dr. Lachman is conducting an economic analysis of the

consequences of determinate sentencing, focusing on the implications of such sentences for trial and plea bargaining outcomes and court delay. She is also testing the effects of fixed sentences on decisionmakers--does restricting the discretion of the prosecutor, for instance, lead the judge and the jury to make compensating adjustments? Two monographs will result from this project: a non-technical version for policymakers and a more detailed presentation of the methodology and data sources.

**78-NI-AX-0090**

**Title:** Analysis of the Concept of Political Crime  
**Grantee:** Nicholas N. Kittrie, 6908 Ayr Lane, Bethesda, Maryland 20034  
**Amount:** \$60,757  
**Grant Period:** 5/1/79-4/30/80

Dr. Kittrie will conduct an exploratory study of specific types of crime generally understood as political crime, including bombing, armed rebellion, treason, sedition and civil disorder, and mass protest. The results of the study will include a survey of legal and jurisprudential materials, an analytic framework for understanding political crime and criminals, and recommended responses to those crimes for various parts of the criminal justice system.

**78-NI-AX-0153**

**Title:** Meaning of Parole: Study of Discretion in the Administration of Justice  
**Grantee:** Keith Hawkins, Centre for Socio-Legal Studies, Wolfson College, Oxford, Great Britain  
**Amount:** \$59,570  
**Grant Period:** 4/1/79-5/1/80

Dr. Hawkins is studying the use of discretion by parole board in three American jurisdictions, focusing on how decisions are made to parole some prisoners early. Building on his earlier work in this same area, Dr. Hawkins is devoting part of this latest study to assessing how parole board decisions have been affected in the last 10 years by changes in philosophy, legal structure, and procedures. He is also comparing the American parole boards with their British counterparts by drawing on his own experience as a member of the Parole Board for England and Wales.

## Research and Evaluation Methods

**78-NI-AX-0003**

**Title:** Performance Measurement and the Criminal Justice System Level Prospective  
**Grantee:** Georgia Institute of Technology, School of Industrial and Systems Engineering, Atlanta, Georgia 30332  
**Project Director:** Stuart Jay Deutsch  
**Amount:** \$324,670  
**Grant Period:** 10/31/77-10/30/79

One of five grants to conceptualize performance measures for each part of the criminal justice system, this project will develop a conceptual model of the entire system. The model will then be used to identify key deficiencies in measuring system performance and from that to devise a measurement design for improving and validating the measures used. The measures proposed are linked to aspects of performance such as efficiency, equity, and responsiveness.

**78-NI-AX-0004**

**Title:** New Jersey Law Enforcement Planning Agency Evaluation Effort  
**Grantee:** New Jersey State Planning Agency, 3535 Quaker Bridge Road, Trenton, New Jersey 08625  
**Project Director:** Harold Damon  
**Amount:** \$107,022

**Grant Period:** 11/11/77-11/10/78

This grant continues the development of a comprehensive automated program evaluation system at the New Jersey State Planning Agency (SPA). SPA staff will document their experiences in trying to build a comprehensive evaluation system and the reasons for changes in the system as it evolved. They will also host meetings with LEAA staff to discuss various issues in standardized performance evaluation measurement.

**78-NI-AX-0007**

**Title:** Empirical Study of Methods Used in Criminal Justice Evaluations  
**Grantee:** Massachusetts Institute of Technology, Operations Research Center, 77 Massachusetts Ave., Cambridge, Massachusetts 02139  
**Project Director:** Richard Larson  
**Amount:** \$164,759  
**Grant Period:** 11/23/77-12/22/79

This project is analyzing the methods used to evaluate criminal justice projects for the purpose of sharpening future methodology. After reviewing approximately 250 evaluation reports, the grantee will compare the approaches used with textbook approaches, and identify the technical differences. The grantee will then try to resolve the differences and identify the strengths and weaknesses of various methods for particular types of criminal justice programs.

**78-NI-AX-0009**

**Title:** Duns Market Identifiers File  
**Grantee:** Dun and Bradstreet, Inc., Marketing Services Division, 1600 Wilson Blvd., Arlington, Virginia 22209  
**Project Director:** Nancy Parker  
**Amount:** \$29,833  
**Grant Period:** 6/19/78-6/18/79

The Social Science Research Institute of the University of Southern California will use the Duns file for constructing an integrated longitudinal criminal justice data file for Los Angeles County.

**78-NI-AX-0021**

**Title:** Impact of Firearm Law on Detroit's Recorder's Court  
**Grantee:** Regents of the University of Michigan, Center for Research on Social Organization, 330 Packard St., Ann Arbor, Michigan 48109  
**Project Director:** Colin Loftin  
**Amount:** \$168,817  
**Grant Period:** 3/3/78-3/2/80

For felonies involving firearms, Michigan law imposes a mandatory 2-year imprisonment. Also, Wayne County's prosecutor has a policy of no plea bargaining in such cases. The grantee will study the extent to which these policies have been implemented and their effect, if any, on gun related crime in Detroit.

**78-NI-AX-0034**

**Title:** Another Approach to Criminal Justice Statistical Analysis  
**Grantee:** Massachusetts Institute of Technology, Operations Research Center, 77 Massachusetts Ave., Cambridge, Massachusetts 02139  
**Project Director:** Arnold Barnett  
**Amount:** \$76,935  
**Grant Period:** 3/28/78-3/27/79

The grantee will develop approaches for analyzing concurrently an entire range of competing hypotheses that might explain a criminal justice phenomenon. One such phenomenon, capital punishment, will be studied by subjecting recent research on capital punishment to a series of tests to

**78-NI-AX-0040**

**Title:** Stochastic Modeling and Analysis of Crime—Phase Two

**Grantee:** Georgia Institute of Technology, School of Systems and Industrial Engineering, Atlanta, Georgia 30332

**Project Director:** Stuart Jay Deutsch

**Amount:** \$183,083

**Grant Period:** 4/7/78-1/6/80

This grant continues the development of stochastic modeling for crime analysis which was funded originally under grant 75-NI-99-0091. In addition to completing the crime analysis software begun during phase one, the grantee will develop new stochastic model programs for analyzing geographic patterns of crime, crime-switching, and multiple intervention programs. The programs are for the use of state and local planners.

**78-NI-AX-0047**

**Title:** Robust Estimation in Latent Trait Analysis

**Grantee:** Bureau of Social Science Research, 1990 M Street, NW, Washington, D.C. 20036

**Project Director:** Howard Wainer

**Amount:** \$97,110

**Grant Period:** 4/17/78-10/16/79

Previous research on recidivism has made critical and untested assumptions about the underlying distribution of offender behavior in terms of the source of differences in behavior and the degree of responsiveness to programs. Recent advances in statistical estimation techniques make it possible to separate the effects of a program from the underlying characteristics of the populations under study in the program. This work seeks to test the effects of assumptions about behavior distribution on estimates of a program's effectiveness to learn which of the estimation techniques are least sensitive (or most "robust") to behavior distribution, and to provide reliable measures of client response to the programs.

**78-NI-AX-0059**

**Title:** Short- and Long-Run Cost Functions: Conventional versus Frontier Analysis

**Grantee:** University of North Carolina at Chapel Hill, Department of Economics, 617A Gardner Hall, Chapel Hill, North Carolina 27514

**Project Director:** Ann Witte

**Amount:** \$97,326

**Grant Period:** 5/24/78-11/23/79

The traditional methods of estimating the costs of changes in corrections facilities will be tested and compared with a recently developed econometric method known as frontier cost analysis. Data from both the Federal prison system and one state system will be used in the analysis. The short- and long-run cost estimates to be documented in the final report are expected to guide corrections officials as they decide how to deal with increased demands on the system.

**78-NI-AX-0064**

**Title:** Specification and Test of Population at Risk Crime Rates

**Grantee:** Oklahoma State University, School of Social Sciences, Stillwater, Oklahoma 74074

**Project Director:** Keith Harries

**Amount:** \$71,355

**Grant Period:** 7/7/78-8/31/79

This project seeks to improve upon the use of crime data, including the Uniform Crime Reporting data which presently reports crime by Standard Metropolitan Statistical Area (SMSA). The improvement proposed is to use better estimates of the populations at risk of being victimized, within small geographic areas, in order to refine crime rate measures. The project will develop a number of population-at-risk measures for the seven Part I crimes, and then test their validity with data from several locations.

estimate the degree to which chance and theoretical specification interfere with estimating the effectiveness claimed for the punishment. For this and other studies relating to criminal justice, the grantee will demonstrate how to construct analytic models to explore the range of plausible interpretations of the data.

**78-NI-AX-0065**

**Title:** Multivariate Taxonomic Techniques in Criminal Justice Research

**Grantee:** Behavioral Research Institute, 2305 Canyon Boulevard, Boulder, Colorado 80302

**Project Director:** Timothy Brennan

**Amount:** \$107,723

**Grant Period:** 6/7/78-12/6/79

From such variables as an offender's criminal history, educational attainments, and sociological background, researchers have drawn typologies of offenders. This project will examine the appropriateness of both the variables that have been used to classify offenders and the statistical tests of association that lie at the heart of the classification schemes. It also will adapt to criminal justice use the new statistical classification techniques created during the last two decades of applied statistical research that are already being used profitably in other fields.

**78-NI-AX-0078**

**Title:** An Ecological Approach to an Environmental Evaluation of Residential Treatment Homes

**Grantee:** Environmental Research and Development Foundation, 2030 East Speedway, Tucson, Arizona 85719

**Project Director:** Rajendra Srivastava

**Amount:** \$92,495

**Grant Period:** 7/25/78-7/24/79

Most studies in the area of corrections have focused on the offender before and after incarceration, rather than on what happens to him once in the institution. Such factors as the offender's contact with other offenders, the quality of contact with the staff, and the amount of stress resulting from the physical plant have not been measured. By adopting an ecological perspective, the grantee will supply a yardstick for measuring the effect of the environment on inmates.

**Title:** Performance Measurement Theory and the Criminal Justice System

**78-NI-AX-0086**

**Grantee:** University of North Carolina, Center for Urban and Regional Studies, Chapel Hill, North Carolina 27514

**Project Director:** Gordon Waitaker

**Amount:** \$202,483

**Grant Period:** 9/1/78-2/29/80

**78-NI-AX-0091**

**Grantee:** Bureau of Social Science Research, Inc., 1990 M St. NW, Washington, D.C. 20036

**Project Director:** Joan Jacoby

**Amount:** \$197,824

**Grant Period:** 9/1/78-2/29/80

**78-NI-AX-0113**

**Grantee:** Research Triangle Institute, P.O. Box 12194, Research Triangle Park, North Carolina 27709

**Project Director:** Thomas Cook

**Amount:** \$199,890

**Grant Period:** 9/15/78-3/14/80

**78-NI-AX-0130**

**Grantee:** The Osprey Company, 2817 Kittrell Drive, Raleigh, North Carolina 27608

**Project Director:** Gloria Grizzle

**Amount: \$200,000**

**Grant Period: 9/30/78-3/29/80**

These four grants seek to advance the state-of-the-art in conceptualizing performance measures for the criminal justice system. Each of the four related grants is examining a different part of the system -- police, prosecution and defense, courts, and corrections -- in the order of the grantees listed above. This research departs from earlier efforts on this subject in that it addresses explicitly the multi-dimensional nature of performance in the provision of public services. Agency-wide studies will be integrated into a general blueprint under grant 78-NI-AX-0003.

**78-NI-AX-0094**

**Title: Study of the Potential for Offender Rehabilitation**

**Grantee: National Academy of Sciences, 2101 Constitution Ave. NW, Washington, D.C. 20418**

**Project Director: Keith Boyum**

**Amount: \$246,580**

**Grant Period: 9/1/78-2/29/80**

This project will thoroughly examine the literature on the prospects of offenders being rehabilitated in settings other than formal correctional institutions. The examination will focus on five dimensions: type of offender, environment of rehabilitation, constraints on programs, intensity of rehabilitation treatment, and permanence of the effects.

**78-NI-AX-0123**

**Title: Compare Validation Randomized Responses and Direct Questions**

**Grantee: University of Pennsylvania, Center for Studies in Criminology and Criminal Law, 3718 Locus Walk Center, McNeil Building, Philadelphia, Pennsylvania 19104**

**Project Director: Marvin Wolfgang**

**Amount: \$99,772**

**Grant Period: 10/1/78-9/30/79**

Certain types of carefully constructed questions may be helpful in collecting self-reported information on such sensitive issues as criminal histories, child abuse, wife beating, and rape. The randomized response method is an interview technique that guarantees anonymity, and thus should increase respondents' willingness to provide accurate information. The grantee will study the efficiency of the method by asking samples of individuals either "randomized response" questions or direct questions and then compare the answers from each type of question to arrest histories. The findings are expected to be helpful for criminal justice researchers who need to collect sensitive information.

**78-NI-AX-0129**

**Title: Bayes Estimates in Stochastic Models of Crime Commission Rates**

**Grantee: The Rand Corporation, 1700 Main St., Santa Monica, California 90406**

**Project Directors: Jan Chaiken and John Rolph**

**Amount: \$75,336**

**Grant Period: 10/1/78-12/31/78**

To further understanding of types of criminal careers and how each evolves, the grantee expects to improve the methodology for modeling crime commission patterns. The grantee will use a Bayesian approach to classify serious criminals into high, medium, and low rate offenders and estimate crime commission rates for the three classes. The study is intended not only to help researchers formally map the evolution of a criminal career but also to help estimate the effects of incapacitation on crime control.

**78-NI-AX-0135**

**Title: Analysis of Interorganizational Networks in the Delivery**

**of Criminal/Juvenile Justice Services**

**Grantee: University of Southern California, Laboratory for Organizational Research, Los Angeles, California 90007**

**Project Directors: Jon Miller and James Linceln**

**Amount: \$116,502**

**Grant Period: 10/1/78-3/31/80**

This project will develop methods for analyzing the inter-relationships of organizations and individuals within the criminal justice system and assess the implications for evaluating program performance. The data base for developing the methods is derived from the evaluation of eight LEAA pilot programs for deinstitutionalizing the juvenile status offender. From a comparison of the techniques for collecting and analyzing the evaluation data, and an exploration of issues related to evaluation of such complex interrelationships, the grantee will attempt to draw up an appropriate analytical methods.

**78-NI-AX-0142**

**Title: Blockmodel Techniques for Criminal Justice Research**

**Grantee: University of Minnesota, Department of Psychology, Elliott Hall, 75 East River Road, Minneapolis, Minnesota 55455**

**Project Director: Phipps Arabie**

**Amount: \$101,011**

**Grant Period: 10/1/78-3/28/80**

One of the techniques of sociometrics -- blockmodels -- permits characteristics of relationships between individuals in a group to be clustered and analyzed. The objective of this grant is to refine the theory of blockmodels, test its applicability to a typical criminal justice problem, and validate a computer program for blockmodel analysis.

**78-NI-AX-0143**

**Title: Sources of Error in Survey Data Used in Criminal Justice Evaluations**

**Grantee: University of California, Administration Building, Santa Barbara, California 93106**

**Project Directors: Richard Berk and William Bieble**

**Amount: \$182,842**

**Grant Period: 10/1/78-9/30/79**

Inconsistent findings in survey data may be attributable to either genuine variation or errors in the gathering and reporting of data. This project will survey citizen satisfaction with police by using a 10-wave panel design -- surveying approximately 400 citizens 10 times over the course of a year. In using this technique, the grantee will be able to study both the extent and source of variation in the survey data. The results should be helpful for future research on citizen satisfaction by separating error from actual variation in the data.

**78-NI-AX-0154**

**Title: Development of Criminal Incidence and Prevalence Models**

**Grantee: ANALOGS, Inc., 2437 15th St. N.W., Washington, D.C. 20009**

**Project Director: Stephen Stollmack**

**Amount: \$149,961**

**Grant Period: 10/1/78-4/1/80**

In program evaluations, the traditional variable used is the rate of crime. However, for a variety of programs, a more sensible measure of success is whether the program has reduced the number of criminals in a given population -- for instance, whether the rehabilitation program has "converted" any of its clients. By developing and testing a number of formal models, the grantee hopes to provide the capability to estimate the size of the offender population, something which is not possible at present.

## Program Evaluation

**78-NI-AX-0002**

**Title:** Assessment of the Theoretical and Empirical Evidence on the Cost of Crime

**Grantee:** Charles Gray, 3105 Legation St. NW, Washington, D.C. 20015

**Amount:** \$29,347

**Grant Period:** 10/13/77-9/30/78

The aim of this project is to collect and assess available studies on the social costs of crime, and to put the results in a form usable by criminal justice policy-makers and researchers. Among the specific aims, the study will develop definitions of the social costs of crime, based on pertinent studies, and then apply the definitions to questions such as: What are the social costs of burglary and homicide? Does the concept of social costs justify, to some degree, victim compensation programs? Do victimless crimes produce social costs?

**78-NI-AX-0012**

**Title:** Evaluation of Neighborhood Justice Center Pilot Program

**Grantee:** Institute for Social Research, International Center, 11800 Sunrise Valley Drive, Reston, Virginia, 22901

**Project Director:** David Sheppard

**Amount:** \$241,678

**Grant Period:** 12/12/77-12/31/78

The neighborhood justice center field test was initiated by the Justice Department's Office for Improvements in the Administration of Justice, and the evaluation as well as the test were funded by the Institute. This study is evaluating the three projects in Atlanta, Los Angeles, and Kansas City. The evaluation focuses on the capability of the centers to attract disputes, provide settlement services, and arrive at fair and lasting resolutions. The evaluation will also assess whether the services of the centers are faster and less costly, resulting in the redirection of cases from courts and hence the reduction of court case loads.

**78-MU-AX-0020**

**Title:** Project Start

**Grantee:** Team for Justice, 1035 St. Antoine, Detroit, Michigan 48226

**Project Director:** Martha Wylie

**Amount:** \$100,000

**Grant Period:** 5/1/78-2/28/79

Wayne County, Michigan's Project Start is a community-based probation program for non-violent offenders convicted of property felonies. The program brings together a wide range of community service organizations in an intensive probation period that serves as an alternative to incarceration. An ongoing evaluation of Project Start is continuing under this grant, funded jointly by the Institute and LEAA's discretionary fund community-based correctional program. Now in its third year, the evaluation will focus on the effects of the program on former probationers and analyze the costs in relation to the benefits. The rates of recidivism for Project Start participants and non-participants also will be compared.

**78-MU-AX-0055**

**Title:** Evaluation of Comprehensive Urban Crime Prevention Program

**Grantee:** Research for Social Change, Inc., 1015 20th St. NW, Washington, D.C. 20036

**Project Director:** Lynn Meyer

**Amount:** \$648,681

**Grant Period:** 9/20/78-9/30/80

Under a joint grant from the Institute and LEAA's Office of Community Anti-Crime Programs, this project will evaluate an

LEAA-funded comprehensive urban crime prevention program. The program focuses on the planning and analysis by urban jurisdictions to identify crime problems and develop coordinated responses to prevent crime. A major component of the program is gaining citizen involvement in crime prevention programs. One of the two levels of evaluation will be process—assessing what was done. The second level will be impact—evaluating how well the programs worked and how effective they were in meeting participants' objectives.

**78-NI-AX-0075**

**Title:** National Evaluation of Jury Utilization and Management Demonstration Program

**Grantee:** National Center for State Courts, 300 Newport Ave., Williamsburg, Virginia 23158

**Project Director:** Ingo Keilitz

**Amount:** \$74,735

**Grant Period:** 7/11/78-8/10/79

This grant will evaluate LEAA's Jury Utilization and Management Demonstration program. The ten courts selected for the program will be compared with ten other courts before, during, and after the program is implemented.

**78-NI-AX-0076**

**Title:** Evaluation of LEAA's Court Delay Program

**Grantee:** American Judicature Society, 200 Monroe St., Chicago, Illinois 60606

**Project Director:** John Paul Ryan

**Amount:** \$357,473

**Grant Period:** 9/1/78-8/31/80

This grant will evaluate the LEAA court delay reduction program, determining the impact of the program on court delay and case processing time and assessing whether the impact is the same for different types of cases. Products of the project will include a report of the findings and a methodology for evaluating court delay reduction projects.

**78-NI-AX-0077**

**Title:** Development of Test Procedures for Monitoring Prison and Parole Services

**Grantee:** The Urban Institute, State and Local Government, 2100 M St. NW, Washington, D.C. 20037

**Project Director:** Harry Hatry

**Amount:** \$239,621

**Grant Period:** 9/1/78-2/29/80

This project is testing the feasibility and reliability of a number of different measures of prison and parole services. Among the measures to be tested are the number of offenders involved in criminal activity during parole and after supervision is ended, and the number who are socially productive when released from prison.

**78-NI-AX-0096**

**Title:** Governmental Responses to Crime Study

**Grantee:** Northwestern University, Center for Urban Affairs, 633 Clark St., Evanston, Illinois 60201

**Project Director:** Herbert Jacob

**Amount:** \$922,986

**Grant Period:** 10/1/78-9/30/80

This study will assess the social, economic, and political responses to the rise in crime by all facets of government, starting from 1948. The project will select 10 city sites which are "triads"—that is, which have an urban center, an outer, faster growing suburb, and an older, inner but stable suburb. The policy responses to crime in these sites will be examined—the nature of the responses, who initiated them, and the effects. The profiles of response will also seek to identify innovations, locate the leadership which spurred the innovations, and evaluate their impact.

**78-NI-AX-0099**

**Title:** Evaluation of Industrial Residential Security Project  
**Grantee:** Department of Planning, City and Community Development, Room 1000 City Hall, Chicago, Illinois 60602  
**Project Director:** Kathleen Korbelik  
**Amount:** \$250,000  
**Grant Period:** 10/1/78-9/30/80

This grant will evaluate the industrial residential security project of the City of Chicago. The project will be implemented in two neighborhood sites containing representative industry, where the retention of the industry is questionable. The aim of the project is to learn what causes industry to flee to the suburbs and what might be done to ameliorate those causes. Since the project will use a component of environmental design to improve security, the evaluation of the program will focus on assessing the usefulness of the environmental design approach and measuring, if possible, the effectiveness of the program to retain industry.

**78-NI-AX-0126**

**Title:** National Evaluation of Treatment and Rehabilitation for Addicted Prisoners (TRAP)  
**Grantee:** Institute for Human Resources Research, 7315 Wisconsin Avenue, Suite 820E, Bethesda, Maryland 20014  
**Project Director:** Marvin Burt  
**Amount:** \$248,159  
**Grant Period:** 9/26/78-9/25/80

The grantee will evaluate TRAP programs funded by LEAA's Office of Criminal Justice Programs at three sites. In assessing whether the programs result in improved handling of drug abuse offenders during the later stages of incarceration and immediately after release, the grantee will address several questions. Do the institutional and community-based programs offer a coordinated approach for identifying, monitoring, and treating drug abusers? Do the programs help reduce recidivism rates and improve the social adjustment of the program clients?

**78-NI-AX-0145**

**Title:** Evaluation of the Integrated Crime Apprehension Program (ICAP)  
**Grantee:** University City Science Center, 1717 Massachusetts Ave. NW, Washington, D.C. 20036  
**Project Director:** William Gay  
**Amount:** \$399,939  
**Grant Period:** 9/30/78-8/31/80

The ICAP is one of LEAA's major funding efforts to aid in improving the delivery of police services. In evaluating the program, the grantee will determine the extent to which all of the program components have been implemented and integrated, and the effect on police services—manpower and resource allocation as well as arrest and prosecution practices. Programs in four sites will be studied in-depth. Another 25 sites will be surveyed closely.

**78-NI-AX-0147**

**Title:** Evaluation of Statewide Sentencing Guidelines  
**Grantee:** Rutgers, State University of New Jersey, School of Criminal Justice, 15 Washington St., Newark, New Jersey 07102  
**Project Director:** Richard Sparks  
**Amount:** \$308,682  
**Grant Period:** 10/5/78-10/4/80

The purpose of this project is to develop a model of statewide sentencing guidelines for states interested in setting up such guidelines. In the first phase of the project, the grantee will survey the states to learn the status of sentencing guidelines nationwide. From those states which have made the greatest progress in developing guidelines, the grantee will select several to study their programs in-depth during the second phase. Data

will be collected and analyzed with the resulting findings put into the form of a model.

**78-NI-AX-0150**

**Title:** An Evaluation of the Managing Patrol Operations Program  
**Grantee:** Theorem Institute, 1737 North First St., Suite 590, San Jose, California 95112  
**Project Director:** E. A. Unwin  
**Amount:** \$425,000  
**Grant Period:** 10/2/78-10/1/80

The grantee will evaluate an Institute-funded program on managing patrol operations which has been implemented in three police departments. The evaluation will assess both process and outcome and will examine specifically the impact of the program on patrol efficiency. The program is being tested under grants 78-NI-AX-0100, 78-NI-AX-0103, and 78-NI-AX-0106.

**78-NI-AX-0152**

**Title:** Improved Correctional Field Services Project Evaluation  
**Grantee:** Rutgers, The State University of New Jersey, School of Criminal Justice, 15 Washington Street, Newark, New Jersey  
**Project Director:** Don M. Gottfredson  
**Amount:** \$424,267  
**Grant Period:** 10/10/78-10/9/80

The Improved Correctional Field Services (ICFS) program is intended to accomplish three objectives: to devise and implement a rational screening mechanism that would determine the appropriate form of supervision for any probationer or parolee; to test the effectiveness of different modes of supervision (whether punitive or rehabilitative); and to determine the different effects of various levels of supervision.

## National Evaluation Program

**78-NI-AX-0027**

**Title:** Intensive Evaluation of Probation: Phase II  
**Grantee:** Systems Sciences, Inc., 4720 Montgomery Lane, Bethesda, Maryland 20014  
**Project Director:** Joseph Romm  
**Amount:** \$966,299  
**Grant Period:** 9/29/78-9/28/82

The grantee, with the assistance of selected jurisdictions, will develop a detailed plan for an experimental probation program. The grantee will spend the first year of this 4-year project visiting candidate sites, informing them of the program and at the same time assessing their capability to implement the program. The second year will be spent assisting the sites selected by the grantee in preparing plans for the program and implementing the one plan that is finally chosen. The third and fourth years will be devoted to evaluating the experiment.

**78-NI-AX-0110**

**Title:** National Assessment of Adult Restitution Programs: Phase I  
**Grantee:** University of Minnesota at Duluth, School of Social Development, 2642 University Avenue, St. Paul, Minnesota 55114  
**Project Director:** Burt Galaway  
**Amount:** \$249,423  
**Grant Period:** 9/15/78-3/14/80

The restitution programs to be assessed by this grant are those where adult offenders make monetary payments to their victims or perform community services, as part of their sentences or as a condition of pretrial release. The grantee will synthesize present understanding about restitution, develop

models of current programs, identify gaps in knowledge, and draw up research designs for filling in the gaps.

**78-NI-AX-0144**

**Title:** National Assessment of Police Command and Control Systems: Phase II

**Grantee:** Public Systems Evaluation, Inc., 929 Massachusetts Ave., Cambridge, Massachusetts 02139

**Project Director:** Ken Colton

**Amount:** \$258,437

**Grant Period:** 10/1/78-6/30/80

In assessing police command and control systems, the grantee will describe, more specifically than is presently known, the activities, outcome, and effectiveness of these systems and identify areas requiring further research. The reports will include not only evaluations of existing police command and control systems but guidelines for cities which are considering implementing the systems as well.

**J-LEAA-014-78**

**Title:** Assessment of Correctional Data Systems: Phase I

**Contractor:** Rensselaer Polytechnic Institute, Administration Building, Troy, New York 12181

**Project Director:** James Tien

**Amount:** \$243,850

**Award Period:** 8/10/78-2/9/80

The grantee will identify the goals, functions and problems of state correctional data systems in terms of their cost, utility, and potential applications. Potential use of the data by agencies such as state departments of corrections, individual prisons, and probation and parole departments will be explored as well.

**J-LEAA-020-78**

**Title:** Assessment of Victim/Witness Assistance: Phase I

**Contractor:** American Institutes for Research, 1055 Thomas Jefferson St., N.W., Washington, D.C. 20007

**Project Director:** Roberta Cronin

**Amount:** \$225,890

**Award Period:** 9/25/78-3/24/80

The contractor will investigate projects which encourage victim witness participation in the criminal justice process. Approaches to be investigated include the provision of services such as crisis intervention, day care for dependent children and transportation. Methods for reducing delay and eliminating unnecessary court appearances also will be examined.

**J-LEAA-021-78**

**Title:** Assessment of Police Training Programs: Phase I

**Grantee:** Macro Systems, Inc., 8730 Fenton Street, Silver Spring, Maryland 20910

**Project Director:** James Ross

**Amount:** \$244,062

**Award Period:** 9/25/78-3/24/80

This project will investigate the use and effectiveness of police training efforts. This project will focus on supervisory and management training.

**J-LEAA-022-78**

**Title:** Assessment of Shoplifting/Employee Theft: Phase I

**Grantee:** Westinghouse Evaluation Institute, Suite 1355, State National Bank Plaza, 1603 Orrington Avenue, Evanston, Illinois 60201

**Project Director:** Leonard Bickman

**Amount:** \$250,000

**Award Period:** 9/13/78-3/12/80

This project will investigate alternative approaches for preventing theft from retail stores and various responses to shoplifting and employee theft. Approaches to be investigated

include surveillance, training, prosecution, and the use of equipment.

**J-LEAA-023-78**

**Title:** Assessment of Correctional Personnel Training Programs: Phase I

**Grantee:** Advanced Research Resources Organization, 4330 East-West Highway, Washington, D.C. 20014

**Project Director:** Howard Olson

**Amount:** \$249,920

**Award Period:** 9/25/78-3/24/80

This project will assess training programs for both institutional personnel and probation and parole officers. The assessment will cover programs for all personnel levels, from recruits to supervisors, and for all types of programs including basic skills counseling, presentence investigation, and management techniques.

**J-LEAA-024-78**

**Title:** Assessment of PROMIS Projects: Phase I

**Grantee:** Westat Research, Nebel Street, Rockville, Maryland 20852

**Project Director:** Michael Shea

**Amount:** \$249,837

**Award Period:** 9/29/78-3/28/80

In assessing prosecutors management information systems, or PROMIS as the District of Columbia's system is called, this project will assess five factors: 1) the extent to which selected communities have adopted management information systems, 2) the use of these systems in the communities, 3) the constraints which affect their usefulness, 4) the costs and benefits of independent and shared systems, and 5) the similarities and differences of the systems.

## Development, Testing, and Dissemination

### Model Program Development

**78-NI-AX-0026**

**Title:** Action Program Development Process: Product Design and Dissemination Analysis

**Grantee:** Mstre Corporation, Metrek Division, 1820 Dolley Madison Boulevard, McClean, Virginia 22101

**Project Director:** Eleanor Chelimsky

**Amount:** \$214,482

**Grant Period:** 3/17/78-3/16/79

As part of the Office's aim to develop action programs from research findings, this grant supports four initiatives: a test design for sentencing guidelines, a program design on team policing, an exploratory research study on the practice of charging fees for correctional services, and an analysis of existing Institute mechanisms for determining the usefulness of its research products to the criminal justice community.

**J-LEAA-013-78**

**Title:** Research Utilization Program

**Contractor:** Abt Associates, Inc., 55 Wheeler Street, Cambridge, Massachusetts 02138

**Project Director:** Joan Mullen

**Amount:** \$1,850,000

**Award Period:** 8/4/78-8/3/80

This contract supports a number of Institute programs designed to increase the use of significant research findings, accelerate the adoption of advanced criminal justice practices by state and local agencies, and promote the development of research-based action programs by LEAA. Products include: 1) policy briefs—concise guides highlighting the implications of research findings for legislators and government executives; 2) program models—manuals which give programmatic options,

based on a synthesis of research findings; 3) test designs for Institute field testing of models; 4) program designs--refined models drawn from the evaluation of field tests and intended for wider demonstration by LEAA.

**J-LEAA-030-76**

**Title: Exemplary Projects Program**  
**Contractor: Abt Associates, Inc., 55 Wheeler St., Cambridge, Massachusetts 02138**  
**Project Director: Robert Rosenblum**  
**Amount: \$600,000**  
**Award Period: 10/1/76-9/1/79**

The contractor assists the Institute in selecting and publicizing outstanding local criminal justice programs. Specifically, the contractor assists the Institute in screening program applications, validating programs that are chosen as candidates, and collecting information on candidates that earn the exemplary status. The contractor also prepares a brochure and manual on each project as well as the booklet on the entire program.

## Training and Testing

**Title: Neighborhood Justice Center Project**  
**Grant Period: 11/23/77-5/29/79**

**78-NI-AX-0008**

**Grantee: Neighborhood Justice Center of Atlanta, Inc., 3340 Peachtree Road, Northeast, Suite 1245 Tower Place, Atlanta, Georgia 30326**  
**Project Director: David Crockett**  
**Amount: \$209,683**

**78-NI-AX-0009**

**Grantee: Kansas City, 414 East Twelfth St., Kansas City, Missouri 64106**  
**Project Director: Robert Kipp**  
**Amount: \$200,000**

**78-NI-AX-0010**

**Grantee: Los Angeles County Bar Association, 606 South Olive St., Suite 1212, Los Angeles, California 90014**  
**Project Director: Joel Edelman**  
**Amount: \$212,760**

One of the Attorney General's priorities is to improve the mechanisms for resolving citizen disputes--to develop fair, convenient, and economical alternatives to formal court procedures. Under these grants, the Institute is field testing the Neighborhood Justice Center Program at the three test sites--Los Angeles, Atlanta, and Kansas City. The aim of the program is to divert certain types of criminal and civil cases from the courts and resolve them at the Justice Centers, through mediation and arbitration. In addition to drawing up the test design, the Institute contributed to training and technical assistance.

**78-NI-AX-0045**

**Title: On-Site Technical Transfer in Advanced Criminal Justice Projects (HOST II)**  
**Grantee: Public Technology, Inc., 1140 Connecticut Ave. NW, Washington, D.C. 20036**  
**Project Director: John Herzig**  
**Amount: \$248,456**  
**Grant Period: 4/12/78-4/11/79**

This grant continues the Institute's HOST program, which enables senior criminal justice officials to visit the site of an innovative program, learn about it in-depth, and then

duplicate it upon returning to their own jurisdictions. This newest award extends the number of HOST sites from 12 to a maximum of 20, and adds 30 more visitors per year for a total of 100 persons. The HOST sites are selected from the Institute's Exemplary Projects.

**Title: Managing Patrol Operations**  
**Grant Period: 9/15/78-5/14/80**

**78-NI-AX-0100**

**Grantee: Charlotte Police Department, 825 East 4th St., Charlotte, North Carolina 28202**  
**Project Director: Sam Killman**  
**Amount: \$175,015**

**78-NI-AX-0103**

**Grantee: Albuquerque Police Department, 401 Marquette St., Albuquerque, New Mexico 87102**  
**Project Director: Jack Martin**  
**Amount: \$175,000**

**78-NI-AX-0106**

**Grantee: Sacramento Police Department, 813 Sixth St., Sacramento, California 95814**  
**Project Director: Bob Austin**  
**Amount: \$174,577**

These three grants represent a field test of earlier Institute research on enhancing the capability of police departments to achieve their patrol objectives. The three interacting components of the test program entail 1) matching existing personnel with workload and service calls, based on measurements of demands for service, in order to 2) free some personnel to 3) take on special projects that will improve the service of the police department. Institute staff provide assistance and training in all three components.

**Title: Pre-Release Center Field Test**  
**Grant Period: 10/1/78-3/31/80**

**78-NI-AX-0114**

**Grantee: Orleans Parish Criminal Sheriff's Office, 2700 Tulane Ave., New Orleans, Louisiana 70119**  
**Project Director: Charles Foti, Jr.**  
**Amount: \$200,000**

**78-NI-AX-0118**

**Grantee: City of Philadelphia, Philadelphia Prison, 8102 State Road, Philadelphia, Pennsylvania 19136**  
**Project Director: David Owens**  
**Amount: \$198,446**

Pre-release centers are designed to foster an inmate's entry into the community--to re-establish ties for those who have been incarcerated for a long time and preserve the ties for those who have not. The three grantees will design and field test a pre-release program at their sites. After selecting and implementing the same program components in each site, the grantees will evaluate whether the program warrants wider replication. The program's aims of fostering ties to the community and serving as an alternative to traditional release methods also will be evaluated.

**J-LEAA-022-76**

**Title: The Executive Training Program in Advanced Criminal Justice Practices**  
**Contractor: University Research Corporation, 5530 Wisconsin Avenue, N.W., Washington, D.C. 20015**  
**Project Director: Sheldon Steinberg**  
**Amount: \$800,000**  
**Award Period: 5/31/78-5/31/79**

This contract provides continuing support for three types of training: 1) specialized training for field test sites; 2) Special

National Workshops on major criminal justice issues or significant research findings; and 3) Regional Training Workshops, presented throughout the country, on selected new programs resulting from research and evaluation. Regional workshop topics under this contract include: managing patrol operations, developing sentencing guidelines, establishing victim witness services, and health care in correctional institutions.

## Reference and Dissemination

78-NI-AX-0016

**Title:** Equipment Technology Center  
**Grantee:** International Association of Chiefs of Police, 11 Firstfield Road, Gaithersburg, Maryland 20760  
**Project Director:** Frank Roberson  
**Amount:** \$589,088  
**Grant Period:** 1/13/78-1/12/79

This grant, as part of a continuing program, supports the development of a National Advisory Committee on Law Enforcement Equipment, and the testing and dissemination of information about the equipment. The emphasis during this newest phase of the program will be on comparing equipment performance, based on validated test standards, to assist law enforcement officials in making improved procurement decisions. A part of this grant is devoted to testing transceivers, body armor, handcuffs, and vehicles in accordance with scientifically sound standards. Another part is concerned with linking the need for specific standards and performance requirements, as recommended by the committee, with the development of standards by the Law Enforcement Standards Laboratory, which is supported by a separate Institute award.

LEAA-J-IAA-021-3

**Title:** Law Enforcement Standards Laboratory  
**Grantee:** National Bureau of Standards, Department of Commerce, Washington, D.C. 20534  
**Project Director:** Jacob J. Diamond  
**Amount:** \$770,000  
**Grant Period:** 3/28/78-9/28/79

Under an interagency agreement with the Department of Commerce, the Institute established the Law Enforcement Standards Laboratory in 1971 to set standards for equipment used by the law enforcement and criminal justice community. Since then, the laboratory has produced many performance standards, guideline documents, reports, and reference materials. Funding for fiscal year 1978 supports a survey of the technological needs of courts, corrections, and community crime prevention groups. It also supports the laboratory's close collaboration with the Institute-supported Equipment Technology Center Testing program of the International Association of Chiefs of Police.

J-LEAA-023-77

**Title:** Contract for the Continued Operation and Refinement of the National Criminal Justice Reference Service (NCJRS)  
**Contractor:** Aspen Systems Corporation, Box 6000, Rockville, Maryland 20850  
**Project Director:** Georgette Semick  
**Amount:** \$2,500,000  
**Award Period:** 9/2/78-10/2/79

The National Criminal Justice Reference Service provides information to the nation's criminal justice community and to government officials at the Federal, state and local levels, as well as to universities and professionals here and abroad. It acquires, indexes, abstracts, stores, retrieves, and distributes reports and information on all aspects of law enforcement and criminal justice. NCJRS also offers users a wide range of reference and referral services.

J-LEAA-030-76

**Title:** Exemplary Projects Program—Modification of Contract  
**Contractor:** Abt Associates, Inc., 55 Wheeler Street, Cambridge, Massachusetts 02138  
**Project Director:** Joan Mullen  
**Amount:** \$140,000  
**Award Period:** 5/23/78-9/1/79

This supplement to the contract for the Exemplary Projects assists in the development and preparation of materials for the public on crime prevention and citizen action in criminal justice. The materials are to be used in conjunction with a public service campaign conducted by The Advertising Council.

## Exemplary Projects Selected in 1978

Stop Rape Crisis Center, Baton Rouge, Louisiana

Hidden Cameras Project, Seattle, Washington  
Connecticut Economic Crime Unit—Chief State's Attorney's Office, Wallingford, Connecticut

Community Arbitration Project, Anne Arundel County, Maryland

## Program Models Published in 1978

Halfway Houses

Promising Strategies in Probation and Parole  
Security Techniques for Small Businesses  
Prevention, Detection, and Correlation of Corruption in Local Government  
Managing Criminal Warrants  
Trial Court Management Series—Fiscal, Personnel, and Records Management

**Distribution of FY 1978  
National Institute Program Funds**  
(By Program Area)

Program Area	Dollars	Percent
Office of Research Programs		
Police	\$ 3,981,834	10
Adjudication	2,565,770	7
Corrections	2,289,910	6
Community Crime Prevention	2,653,882	7
Advanced Technology	256,214	1
Center for the Study of Crime		
Correlates and Criminal Behavior	3,000,482	8
Research Agreements	1,234,158	3
Visiting Fellows	304,609	1
Office of Program Evaluation	4,428,890	11
National Evaluation Program	2,936,718	8
Office of Research and Evaluation		
Methods	3,293,329	9
Office of Development, Testing and Dissemination*	11,587,507	30
Total	\$38,533,303	100

\*This figure includes \$2.2 million in 402(b)(6) training funds.

**National Institute Program Funds**  
(By Type of Recipient)

State and Local Governments	\$ 2,202,350
Universities	11,337,684
Federal Research Development Centers	617,193
Non-Profit Research Centers or Organizations	12,330,305
Federal Agencies	929,075
Profit-Making Organizations	10,782,740
Individuals	333,956
Total	\$38,533,303



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# D

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