

A POLICY PLANNING AND
EVALUATION PROCESS FOR
CRIMINAL JUSTICE

by

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ABSTRACT

The last ten years within the Canadian Federal Government, and in particular within criminal justice agencies, have seen an increased pressure for more rational management. This has resulted in increased pressure for planning and evaluation, particularly at the policy level. The present paper first addresses some of the pitfalls, constraints, and needs for processes in planning and evaluation, including the history of such processes in a particular agency. From this background, the evolving planning and evaluation process for the agency is described. Finally, conclusions are drawn about the advantages and disadvantages of the present process and conjectures made about the directions for its future development.

1. INTRODUCTION

The last ten years, in the Canadian Federal Government generally, and in criminal justice agencies within Canada specifically, have seen increasing pressure from all directions for more rational management of public agencies (see, for example, Baker, 1969; Hartle, 1973; Johnson, 1971; & Osbaldeston, 1973). This pressure has presumably resulted from an expressed concern by the public, senior bureaucrats, politicians, and even line managers, to build rationally on the experience they have had, and to control, in some very direct sense, where their agency or organizational unit is going in the future. The result of this pressure has been a plethora of acronyms for systems (or as Baker, 1969, has termed it, "alphabet soup") which have grown up, both in Canada and the United States, for better planning and directing organizational activities (see Balls, 1970; Cassidy and Laniel, 1976; & Hoobler, 1976, for some documentation of many of these efforts).

The words, PPBS, MBR, MBO, and OPMS, are but a few of the many different management systems which have been offered to increase accountability and rational decision making in public agencies.

One of the more recent developments within the Canadian federal bureaucracy is the formation, starting in 1972, of specific planning and evaluation units within the main agencies of the Canadian Federal Government. These units have received substantial resources and senior classifications for their man-years, as well as priority within the Central Agencies (Privy Council Office and Treasury Board) to accomplish the planning and evaluation functions for the many public agencies within the Government of Canada. Recent work in 1975 and 1976 by the Auditor General of Canada to expand accountability from simple financial statements to effectiveness measures and evaluation has also increased this pressure for more rational management (and thereby the promotion of planning and evaluation activities, including the policy level within government).

There are those, including Burnham (1975), who would make the point that the policy evaluation process and policy itself is far too soft to draw any structured general conclusions about them. However, we feel that there are a number of parts of such processes

which are common and may be usefully described, for their development in the future.

Perhaps the first thing which should be done is to define exactly the domain to which we will address ourselves in the subsequent discussion. By policy planning and evaluation we shall mean assistance to senior level decision makers within a criminal justice agency in better coping with, and shaping, the short and long term future of their agency, and within this process, to build on past policy experience. This means that they must both look at alternative scenarios which are possible in the future and the strategies which their agency might undertake to address these scenarios. They must account for not only the direct effects of such strategies, but side effects on other persons and organizations, including those in the criminal justice system. We shall assume that it is the objective of any decision maker within the criminal justice system to attempt to make his agency more effective and in a better position, not simply to cope with crime, but to "proactively" address it in the future.

In order to set the following discussion in context, we will briefly outline what we see as the different levels of planning and evaluation. Perhaps

the most general type of planning and evaluation is that at the political level where, by possibly using such tools as "metalogic", it may be possible to examine evaluatively, norms and values which are presently held by the government. Szabo (1974) has outlined some of the difficulties and some of the real needs which must be addressed in such an arena.

A second level of generality is that of policy, wherein we identify and plan some major government thrust (such as a "peace and security" program) and attempt to undertake pre- and post-evaluation of the particular policy. Efforts, such as those of Lindbloom (1965) and Clarke (1976), have been oriented toward developing methodologies for planning and evaluation at this "policy" level, particularly in the public sphere.

A third level of planning and evaluation is that of programs, wherein implementation is undertaken for a particular policy or part of it, usually where responsibility for this implementation rests with a small number of relatively senior managers. Frequently at this level, goals and objectives are defined in operational terms. It is program evaluation that appears to have received the greatest attention by social scientists. The recent work by Weidman et al (1975) for the Law

Enforcement Assistance Administration in the U.S.A., as well as work by Campbell (1963), Suchman (1971), Weiss (1972), and Wildavsky (1969), are some of the more significant, but only a part of the work which has been undertaken. A social scientist probably feels most comfortable at the program level since, to a large extent, the problem or program area is reasonably well defined, the level of the initiative is major enough to anticipate some measurable effect on the area being treated, and objectives tend to be easier to define (at least more concretely). However, as Suchman (1971) and others have pointed out, the agreed upon objectives may be irrelevant to the real problem which should be addressed.

The fourth and final level is at the project level, wherein a specific operational activity, frequently located in one geographical area, is to be planned and evaluated. There are once again many references on work at this level, not only addressing methodology, but also the difficulty of implementation (particularly of influencing the manager) and the importance of the organizational environment. An overview of this is given in Cassidy (1974).

It would be extremely easy to immediately jump to a specific form of a process for planning and evaluation at the policy level and attempt in a general

and philosophical manner, to draw some conclusions for such processes. However, before examining the needs and structure of such processes, we feel there are a number of caveats and/or conditions which must hold for any discussion of this subject to be useful.

First, in looking at the subject of planning, particularly for the criminal justice system, it is important to emphasize that the criminal justice system is primarily a human system. This goes well beyond the fact that offenders are arrested, processed in the court, and incarcerated in our institutions. The major part of the "humanness" of the system is the fact that one of the major resources which are used is people. Current estimates for the Canadian Criminal Justice System hover around 90,000 people employed, and well over \$2 billion of direct expenditures annually (74/75). This of course ignores many of the indirect expenditures by welfare, education, health, and other public and private agencies, as well as many people employed on a volunteer basis or in related criminal justice activities in the public and private sectors.¹ As such, the "humanness" of the criminal

¹To understand the scope of such a consideration, it is sufficient to realize that current estimates in Ontario suggest that the size of the private police force (including such functions as commissionaires) is about three private policemen for every public policeman.

Justice system, both in the activities which are undertaken as well as in the implementation of many new policy planning initiatives, must not simply be an implicit part of strategies to be assessed, but an explicit part of any considerations (see Blumstein and Cassidy, 1977, for further development of this).

For this reason, the authors feel that the role of any structured process for planning and evaluation for the criminal justice system, differs both in degree and kind from such processes for many physical and technical systems such as water resource problems and traffic problems. This is not to say that the transfer of processes which have been developed elsewhere may not be useful for the criminal justice system, rather that it requires a healthy amount of common sense, if such applications are going to be useful, rather than dysfunctional in the area of planning and evaluation for criminal justice.

As an example, there is a significant number of persons in both public and private life who would undoubtedly like to formalize such parts of the criminal justice process as police discretion in order to better estimate, for example, the training needs for policemen

(if it is indeed true that only 5%-10% of police time is spent in directly related criminal justice activities, this might imply a very different type of training program). In addition, they might argue that it would assist in making better allocation of resources, since they argue quite correctly, ... "If we have a better idea of the decisions being made and the rationale for these decisions, we will be better able to allocate the correct amount of resources to these different activities." This is shown by these same people to be analogous to the measurement of traffic flow to better estimate how new routes should be established for more efficient traffic flow within an urban area.

However, there is good reason to believe that such a formalization in measurement would fundamentally change police discretion. It doesn't take a great deal of thought to realize that once a person understands that his actions are being monitored or measured, he will be more careful to rationalize (in "externally" valid ways) the activity which he is undertaking. There is good reason to believe that discretion in many areas would change; (whether indeed it will become greater or lesser is a subject for argument), and there is probably no question that in many cases, discretion would decrease so that the

exercise of the policeman's judgment would be less easily subject to criticism.

The importance of this point and of this particular example is not to say structured processes should not be used in planning and evaluation or in adjusting resource allocation, or that there is not a transfer of technology from physical and technical systems. Rather it is to say that such transfer and the use of highly structured processes must be done carefully. Thus, it is fundamentally important to be aware of the adaptive nature of the personnel working in and with the criminal justice system, if the development of structured processes is to be done correctly and have more than simply a noneffect on the criminal justice system.²

A second factor which must be kept in mind is the open systems nature of the criminal justice system. The whole milieu of social services and the multiple factors which affect crime (see, for example, Wilson, 1975) mean that the analysis and development of processes in planning and evaluation must take into account many

²This point gains importance simply because processes (such as in planning and evaluation), by their very nature, tend to stabilize in a rigid and logical form. While there are many areas of the criminal justice system which might be termed structured and logical, there is no reason to believe that they are likely to remain in the same form over a long period of time.

"everchanging" factors and sectors which could have significant impact. The criminal justice services are often dealing with problems created, neglected or promoted by action, or lack of it, in the other sectors of the economy (Clifford 1976). The introduction of new types of crimes, such as sophisticated white collar crime and the escalation of organized crime is a current concern, which although difficult to estimate, must be included if we are to make realistic plans for the future in the criminal justice system.

In particular, the impact of each subsystem on the others must not be overlooked. The old adage of the police catching criminals, courts conviction, and corrections releasing them, although having some validity, obviously oversimplifies. Indeed, there is increasing evidence (see Cassidy and Turner' and Blumstein and Nagin) that for some crime types, there is indeed adaptive behavior in the criminal justice system, such that police charging behavior or prosecuting behavior seem to be a function, not simply of the level of criminal activity but also of the processing of criminal cases by judges and the corrections system. If this is happening at an aggregate level in the criminal justice system, there is a real need for each subsystem to be aware of, and take into consideration, the activities of the other subsystems.

This is not to say that the subsystem activities should be modified directly as a result of this, but certainly there are

areas in which activities should be estimated and considered. For example, the number of offenders who will be released on the street (the recent article by Shinnar and Shinnar suggests this may have a significant effect on crime rate) and the general deterrence effect of courts and corrections (see "Report of the Panel on Deterrence" of the National Academy of Sciences of the United States) would seem to have a direct impact on such areas as the training needs for police. Moreover, if there are, as we expect, very limited resources in these other two subsystems, then there needs to be increased effectiveness in the use of these resources by the police if the maximum potential is to be achieved for criminal justice resource allocation. We feel it is very important to take into account the truly systemic nature of the criminal justice system, not just of other justice agencies, but of other factors affecting crime and crime control.

A third factor which must be accommodated in the development of such processes in planning and evaluation is the basic constraint that such management tools must assist the decision maker but not erode the decision maker's mandate. The whole set of decisions faced by senior management in an agency are extremely multidimensional and a process must be developed in such a way as to accommodate this multidimensionality and assist in better informing senior managers of possible outcomes and possible strategies which are feasible. This, as will be seen, has some direct implications for feasible implementation of such processes.

~~The above then are some of the major considerations which~~
would appear to be critical in discussing the development of planning and evaluation processes for criminal justice. We will, in the next section, describe many of the constraints and needs in such processes, and from this, in the third section, talk about a specific process and examples of its use. The final section of the paper draws some conclusions about the future of such processes in planning and evaluation, and some of their benefits and costs.

11. BASIC CONSIDERATIONS

A. Previous Work on Planning and Evaluation Processes

A number of papers have already made some appraisal of the different criteria within which any planning and/or evaluation process should be evaluated. To the extent that planning and evaluation can be differentiated, we will attempt to summarize the material on planning and, after this, discuss evaluation (see Cassidy and Laniel, 1975 and 1976 for more detail).

In undertaking an assessment of the planning process itself, there would appear to be four important parts which need to be examined:

- (a) the basic needs: depending on organization function, the environment or the organization, other agencies, either governmental or private competing with or assisting in the supply of services;
- (b) constraints which may be both conceptual and programatic for the agency itself;
- (c) difficulties of implementation; and perhaps overwhelmingly;

- ~~(d) the need for constant adaptation and change in the development of planning and control systems for any organization.~~

A brief summary of these points is given here; for more detail, see Cassidy and Laniel, (1975).

Within the needs of the organization for such processes there is the requirement for consistency throughout the organization between the overall government objectives, the departmental directions and initiatives, and those at an operational level.

A second need which organization or such agencies have is that of identifying the main thrusts (call them objectives, priorities, long or short term goals) of the agencies in order to:

- (a) direct the activities which the agency undertakes (which should be in support of these thrusts);
- (b) for all the activities undertaken within the agency, to position them within certain main thrusts as well as relate them to any new initiatives;
- (c) to redirect activities in these new directions (that is, of course, more difficult, simply because of the difficulty of the reallocation of resources within an organization).

If the planning process is to be useful, it must (see Wildavsky(1969) and Dror (1967)) identify new policies or program alternatives for undertaking activities. These policies need to be both realistic from an implementation point of view, and consistent within the main objectives of the agency.

From the objectives or thrusts which are identified in such a planning process, criteria (especially measurable ones) should be identified which can be used to evaluate the activities undertaken. And finally, there is a real need to examine, the allocation of existing, and proposed, activities under the objectives which are accepted by the organization. This is suggested as a major concern in Cassidy, 1975. It is only in this way that the effect of new objectives and of new programs or policies can be assessed and the objectives used as criteria in the evaluation process.

In attempting to undertake the development of a planning and evaluation process, there are at least two environmental constraints which will influence such developments. There is a real need for the organization to assess carefully, and build on functions such as information systems, research and analysis capabilities. Related to this is the organization structure and the types of communication links or hierarchy within the organization. Other

factors such as management style, the existence of competition from other agencies, or agencies which complement the delivery of such services, will also necessitate careful assessment before development of a planning process is begun.

A second constraint is the traditional or historical considerations that the genesis of the agency itself (for example at the federal level of government in Canada, the Ministry (La Framboise, 1971) concept, itself). Without a consideration explicitly of the traditional decision structure, it will be almost impossible to make concrete and realistic suggestions for a planning process, and the kind of feedback and proactive role it will play.

With respect to process constraints, there is a paramount need for the support and participation of senior management (as suggested by Wildavsky and others) if such a planning process and the objectives are to be accepted. On the other hand, there is a need for equal credibility and support of line managers, in order to ensure that the initiatives, objectives, and the planning process itself are consistent with their expectations.

It goes without saying that fundamentally such a planning process will be assessed on its ability to assist the different levels of the organization in their decision making and in directing their activities. Only by giving them feedback in a timely, concise and relevant manner will

It be possible to see how plans which are developed for the agency relate to the organization in total.

With respect to the implementation concerns (see Cassidy, 1975, for more detail) a number of points have already been raised, such as the involvement of line personnel and senior decision makers within the agency. Perhaps most important is the need to evaluate on a regular basis the development of such a planning process and of the objectives and to assess carefully such factors as:

- (a) does it influence budget allocation?
- (b) is direction (or priorities) for the agency easier to identify?
- (c) are operations and goals of the agency consistent "up and down" the hierarchy?

Overall and perhaps dominating the various concerns which we have suggested, there is a need for constant adaptation in the agency as organizational needs, activities, relationships, and personnel change. This need has long been identified even for private agencies, and is stated succinctly in Cyert and March (1963):

Finally, we have argued that, because of the form of the goals and the way in which they are established, conflict is never fully resolved within an organization. Rather, the decentralization of decision making (and goal attention), the sequential attention to goals, and the adjustment in

organizational slack permit the business firm to make decisions with inconsistent goals under many (and perhaps most) conditions.

Turning now to evaluation (see Cassidy and Laniel, 1976, for more detail), there are two basic types of policy evaluation which might be identified. The first type is the evaluation which is carried out after a policy has been implemented and operationalized. This "a posteriori" evaluation has many political and organizational problems addressed by Cassidy (1974), Weiss (1972), and others, which we will not discuss in detail here. However, it is sufficient to say that the organizational and small "p" political problems are often extremely constraining; hence, change is difficult to accomplish from such an evaluation.

A second type which can be identified is that of "a priori" evaluation, wherein the evaluative need is identified by the decision maker (and/or planner-evaluator) at the beginning, and a relationship between the decision maker and the evaluator develops over time. There are obviously still political and environmental problems and constraints, but these are often less constricting because they can be addressed over time and changed more generally to fulfill the needs of the decision maker. Weiss (1969), Wholey (1972), and others have addressed this type of evaluation, and some of the difficulties inherent in carrying it out.

A further reason for directing our attention to "a priori" evaluation is that, although the concept of the evaluation, its design, and methodological concerns, may be even more important in the "a posteriori" evaluation when undertaken at the end of the program, the means by which decision makers and evaluators communicate (addressed by Brydensholt, 1975, and Coleman, 1971) and satisfy their mutual needs, is based fundamentally on the process. Thus, to achieve any real effect on management (which we would suggest a strictly "a posteriori" evaluation has relatively little chance of doing), the process in "a priori" evaluation, and its link to "a posteriori" evaluation, and its implementation must be addressed.

As we have suggested above, although most of the literature on evaluation in social systems deals with program evaluation, there is some³ on policy evaluation. However, this has mainly addressed the conceptual difficulties in such evaluation (see Etzioni, 1967, Lindbloom, 1965, and Tribe, 1970). There is substantial literature on multiple criteria decision making as well, something which is a part of any policy decision process. As we have already noted

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Indeed, many persons would say that this is not separable from policy evaluation. However, in the paper, we show that policy evaluation and its process needs are quite different.

and as Cyert and March (1963), Lindbloom (1965), and others, have suggested, because there is a basic conflict of values and/or objectives in such processes, these must be explicitly addressed by the evaluator in any policy evaluation to be undertaken. Although the multiple criteria decision making literature has dealt with the quantitative problems inherent in such an evaluation, there has been relatively little accommodation of the actual process in such situations, except in the development of such techniques as the Delphi process.

Because (as Seioli, 1975, has suggested) there are many influences on such a policy evaluation process, the process must be carefully timed and must be sensitive to the changing values and needs for the evaluation. This means the trade-offs between different dimensions of values must be made as the process develops, rather than being made at one point in time, and used from that point onward.

The end result of the above discussion is that if an evaluation process, particularly at the policy level, is to be truly dynamic, it must obtain constant input, both about the problem area being addressed and from decision makers, as well as policy makers⁴, in order to ensure that

⁴ It is here perhaps that one difference can be noted from a program evaluation. Although communication with the decision maker for program evaluation is often needed over time, too much feedback from him will destroy any design initially developed (and, we would maintain, the "objectivity" of any results achieved). The policy evaluation, although needing a basic structure, must be much more open and responsive to such input.

the end results and analyses are most relevant to the policy needs.

In Cassidy and Laniel, (1976), we have outlined what we feel are the basic needs of such a policy evaluation process and the way in which these may be accommodated in the future. Only a brief summary of those points will be given here.

There are at least two different contexts within which evaluation has been described in the literature. The first of these is a more traditional and quantitative "goal" model which simply identifies dependent and independent variables (as well as possibly intermediate variables depending on the level and sophistication of the analysis) and seeks to measure the effect of one on the other. Such a process or model, for approaching evaluation, is described in Sherwood (1965). A second and more complex approach for evaluation is that of a "systems model". Such a model takes into account other processes which may affect the one being examined, the environment of the policy, its implementation, and alternative policies which may be better or worse. Many authors have described various aspects of such a model, including Levinson (1967), Quade (1975), and Schulberg and Baker (1968).

Obviously, the systems model allows the definition of the problem and its scope more importance since once the parameters, measuring instruments, and basic information have been decided and defined (especially in a rather technical and quantitative aspect of such systems analyses as described by Quade, 1975), the task begins the traditional evaluation cycle.

Particularly given the need for relating developments in policy evaluation to other initiatives, the systems model would seem more appropriate. This suggests the following cycle or process for evaluation at the policy level:

- problem identification;
- identification of the programs or policies to be examined, their objectives, and the relation between the two;
- definition of, and mechanisms for, the collection of data or information;
- basic analysis of information;
- feedback of analysis to decision makers; and
- implementation with adjustments and perhaps ongoing evaluation.

This process and the steps are described in detail in many references, including Gardiner (1975), Suchman (1967), Weidman et al (1975), and Wholey (1972). Although, as

Kimberling (1973) points out, there is no universal agreement on the definition of the evaluation process, these appear to be the common elements described by the different authors.

In several cases, the authors state that there may be interim feedback of evaluation results to the decision makers, but that the primary communication with decision makers takes place at the beginning and the end of the evaluation (see Wholey, 1972, for further detail). Also, many of the classical evaluation and quasi-evaluation designs, such as those proposed by Campbell (1963), Rossi (1972), and others, are based on an agreement that the problem has been defined and that the variables are reasonably well defined and measurable. Thus, although these evaluation designs provide much greater information and opportunity for deriving evaluative conclusions, they do not address specifically the difficulties of problem definition and the relevance of the final analysis to the problem which the decision maker wants examined. For this reason, in most work, they apply far more readily to a well defined program evaluation, rather than to the usually undefined policy evaluation.

Clearly, the evaluative methodology and analysis, data collection, and information definition, are

important parts of any evaluation. However, the real need of evaluation, especially with a process which is as ill defined and vague as a policy process has often been, is to have an explicit emphasis on problem definition and communication with policy decision makers, in order that the end result is relevant and tuned to their current needs.

Cassidy (1974) and Clarke (1976) go slightly further and suggest that although the evaluation must be based on political and organizational realities, how far an incremental approach of comparison of alternatives should be used, will depend on the level, type, and substance of the given evaluation. It is precisely to this question of how to achieve such a compromise for policy planning and evaluation that we would like to direct our attention.

B. Context for the Development of a Process

In order to provide some context for the discussion on policy, planning and evaluation, it is necessary to provide a background description of both the Canadian Criminal Justice System and the development of the organization of the Federal Ministry of the Solicitor General.

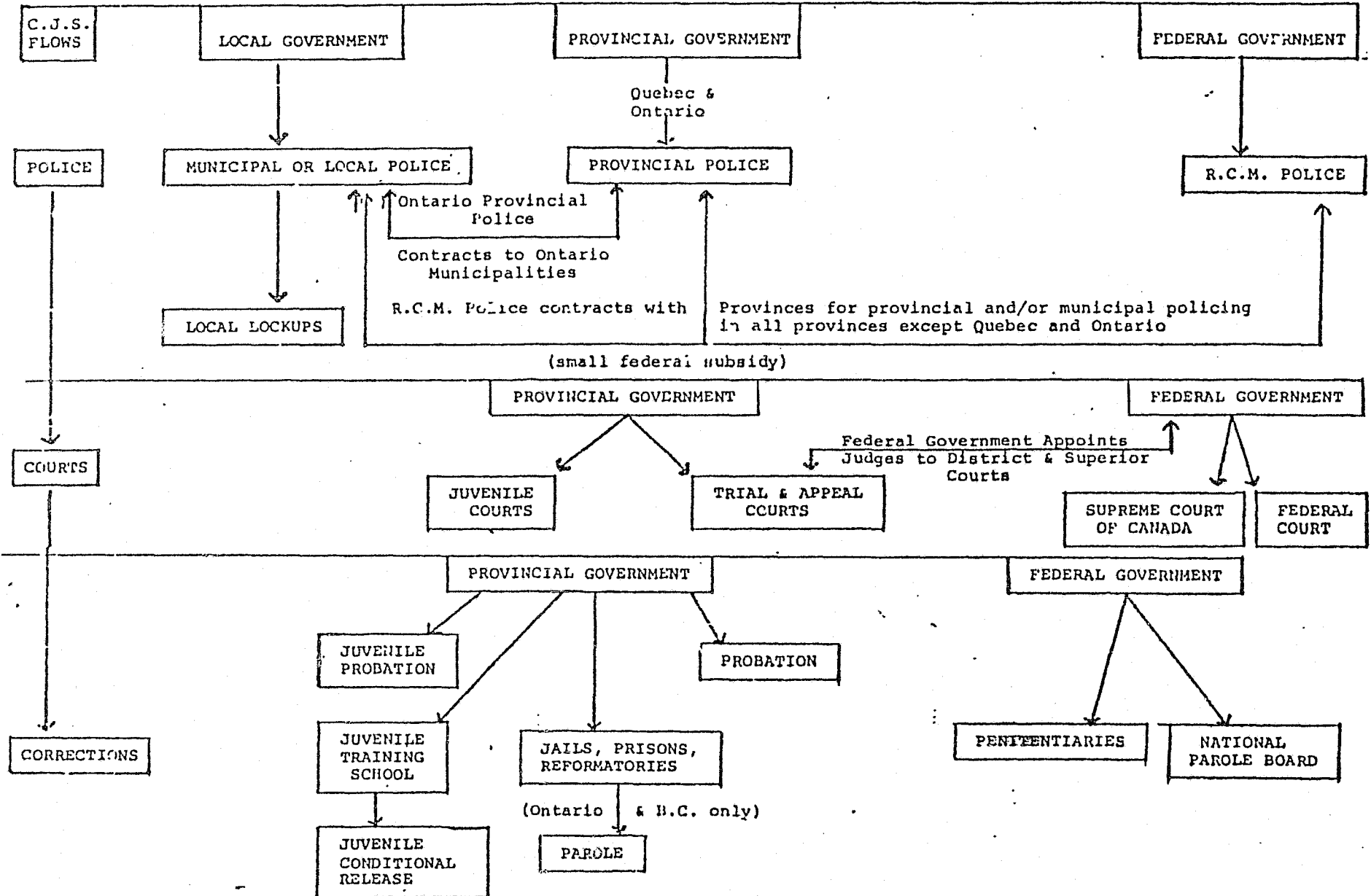
At the present time in Canada, the administration of justice is divided among three levels of government:

municipal, provincial, and federal. Figure 1 describes the way in which the administration of justice is divided, not just functionally (police, courts, and corrections), but among the different jurisdictions in Canada at the present time. Although there is a single Canadian Criminal Code, which is a federal law, the code is generally enforced by local and provincial police and prosecutors. Correctional services are similarly divided between federal and provincial governments. As can be seen, the administration of justice as well as the system itself, is fragmented into many components, administered by different agencies which are located in different physical locations and which have different objectives. Naturally, such fragmentation does not encourage a cohesive management of the system and particularly a cohesive development of policy or introduction of changes to that system.

In 1966, the Ministry of the Solicitor General was created and a Minister was given jurisdiction over the three operating Agencies: the Royal Canadian Mounted Police, the National Parole Board, and the Canadian Penitentiary Service. The initial rationale for this was that "there is a need for a "new look" and greater co-ordination of effort than has been possible under formal department structure" (Justice Minister Lucien Cardin, February 23, 1966). In the near future, the National Parole Service and the Canadian Penitentiary Service will be

FIGURE 1

ADMINISTRATION OF JUSTICE IN CANADA



* EXCLUDES TERRITORIAL GOVERNMENTS OF YUKON AND NORTHWEST TERRITORIES

joined into the new Federal Corrections Agency. The four components within the Ministry, the Federal Corrections Agency, the Royal Canadian Mounted Police, the National Parole Board, and the Secretariat (a separate staff group) all have distinct roles which need to be recognized and coordinated in the development and implementation of federal policies and criminal justice policies and programs. The Secretariat has a primary role in the development of Ministry policy and the Agencies have the primary role in the implementation of these policies, as well as the development and implementation of their internal policies.

Historically, the explicit part of the planning process (and the major identifiable role of senior decision makers in it) in the Ministry of the Solicitor General has consisted primarily of workshops annually which have looked at current concerns or projects which need to be addressed within the Ministry of the Solicitor General.

In the last two workshops in 1976, a Working Group of representatives from across the Ministry of the Solicitor General did the preparatory work and ensured that those responsible for priorities brought forward

definitional as well as status reports. In particular, the Senior Policy Advisory Committee (consisting of the Agency heads and the Deputy Solicitor General - who is also the administrative head of the Ministry of the Solicitor General) has been instrumental as the main planning mechanism within the Ministry. Its role (as defined at the 1973 Workshop) is as follows:

- to establish overall direction for the Ministry of the Solicitor General in terms of objectives and policies;
- to ensure that policy decisions have been implemented by the Agencies; and
- to review the policy performance of the Ministry against the objectives.

The Ministry Workshop has brought together the Minister and his senior advisors to look at the state of the Ministry. In addition, a monitoring process on the Ministry projects has been developed by the Senior Policy Advisory Committee (the senior management within the Ministry). The issues which have been addressed are those which have permeated most of the components of the Ministry. In many cases, permanent and ad hoc Ministry committees have been organized. However, this priority process and its relation to the annual program forecast has only been done recently and is still in the development stages.

This is a brief description of the history of the planning and evaluation process for the Ministry of the Solicitor General. The following section describes the present state of development of this process.

111. BASIC PLANNING AND EVALUATION PROCESS

In describing this planning and evaluation process, it must be emphasized that most of the detailed steps identified (see Figure 11) are not as such new and as such have been used by senior decision makers and line managers for several (if not many) years. The difference is that this process makes the steps slightly more explicit, and thereby may be used as a checklist to ensure that many of the steps, often viewed as necessary, have been undertaken.

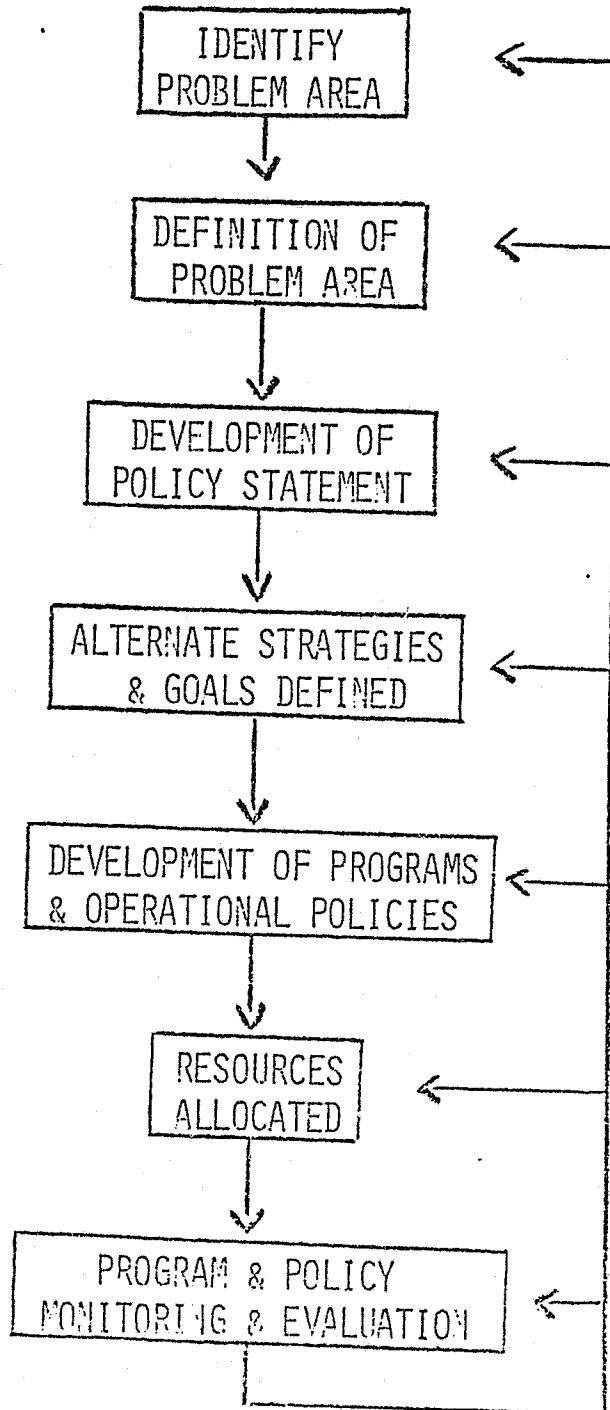
Secondly, we feel that such a process for planning should not as such increase the workload. That is, if there is a significant increase in workload, it may lead one to believe that the planning activity itself has become the goal, rather than assisting the organization in its decisions. Moreover, the process should be flexible and adapt to:

- political realities;
- emerging problems in crime control;
- ongoing programs and policies; and
- resource availability.

Without having such a process adapt to these particular factors, it can be safely said that whatever

FIGURE II

POSSIBLE PLANNING AND EVALUATION PROCESS



has developed will be, if not irrelevant, certainly unimplementable in the organization.

The difficulty of describing such a process is that describing it in the abstract leaves large parts of it uncertain. While it is undoubtedly true that these steps can be undertaken, it is often necessary to have actual operational examples to see how effective such a process might be (see Appendix I for one such example). Although we will only talk here about the abstract steps in such a process, Cassidy and Laniel (1976) provide a more detailed description as well as some of the issues which have been developed through this process and the effects of this development.

The first step shown in Figure II is that of identifying a problem area. Clearly, there are many possible criteria which might be used in identifying a problem area such as those which are shown in Figure III. Such a set of criteria depends on the objectives for the particular agency involved. A significant risk here is that almost any problem area or strategies might be included in such a process. Obviously, the weighing and assessment of probabilities of different criteria is an extremely important part of any such exercise and must be done by senior decision makers if the process is to have any validity.

FIGURE III

SUGGESTED CRITERIA FOR RANKING PROBLEM AREA

<u>OBJECTIVE</u>	<u>PROBABILITY</u> ZERO LOW MED. HIGH	<u>WEIGHT*</u>
CRIME PREVENTION	WILL IT REDUCE PROBABILITY OF INITIAL DEVELOPMENT OF DELINQUENT OR CRIMINAL BEHAVIOR?	
CRIME CONTROL	WILL IT REDUCE PROBABILITY OF CRIMINAL ACTIVITY AMONG HIGH " AT RISK" GROUPS?	
CRIME CONTROL	WILL IT REDUCE PROBABILITY OF RECIDIVISM OF ADJUDICATED DELINQUENTS AND CRIMINALS?	
EFFECTIVE MANAGEMENT	WILL IT IMPROVE PERFORMANCE OF CRIMINAL JUSTICE AGENCIES AND OPERATIONS?	
EFFICIENT MANAGEMENT	WILL IT REDUCE COSTS OF CRIMINAL JUSTICE ACTIVITIES WITHOUT DECREASING PERFORMANCE?	
PROMOTION OF FAIR SYSTEM	WILL IT INCREASE FAIRNESS OF CRIMINAL JUSTICE AGENCIES AND ACTIVITIES?	
PROTECTION FROM CRIMINAL CONDUCT	WILL IT REDUCE CITIZENS FEAR OF CRIME?	
PROMOTION OF MORE HUMANE SYSTEM	WILL IT COMPENSATE CITIZENS FOR CRIME LOSSES?	
COMMUNITY INVOLVEMENT	WILL IT INCREASE CITIZEN PARTICIPATION IN CRIME PREVENTION AND CRIMINAL JUSTICE ACTIVITIES?	
COORDINATION OF ACTIVITIES	WILL IT INCREASE CAPABILITY OF PROVINCIAL LOCAL GOVERNMENTS TO PLAN, MANAGE AND EVALUATE CRIME CONTROL ACTIVITIES AND PROGRAMS?	

*ASSIGN EACH CRITERION A WEIGHT TO SHOW ITS RELATIVE IMPORTANCE IN YOUR MIND. EACH ITEM SHOULD BE GIVEN A WEIGHT BETWEEN ONE AND TEN. USE LOW NUMBERS TO INDICATE HIGHEST PRIORITIES. FOR EXAMPLE, YOUR HIGHEST PRIORITY WOULD GET A ONE AND YOUR LOWEST PRIORITY A TEN. DO NOT USE THE SAME NUMBER MORE THAN ONCE.

Figure IV shows several possible mechanisms by which problem areas could be identified.

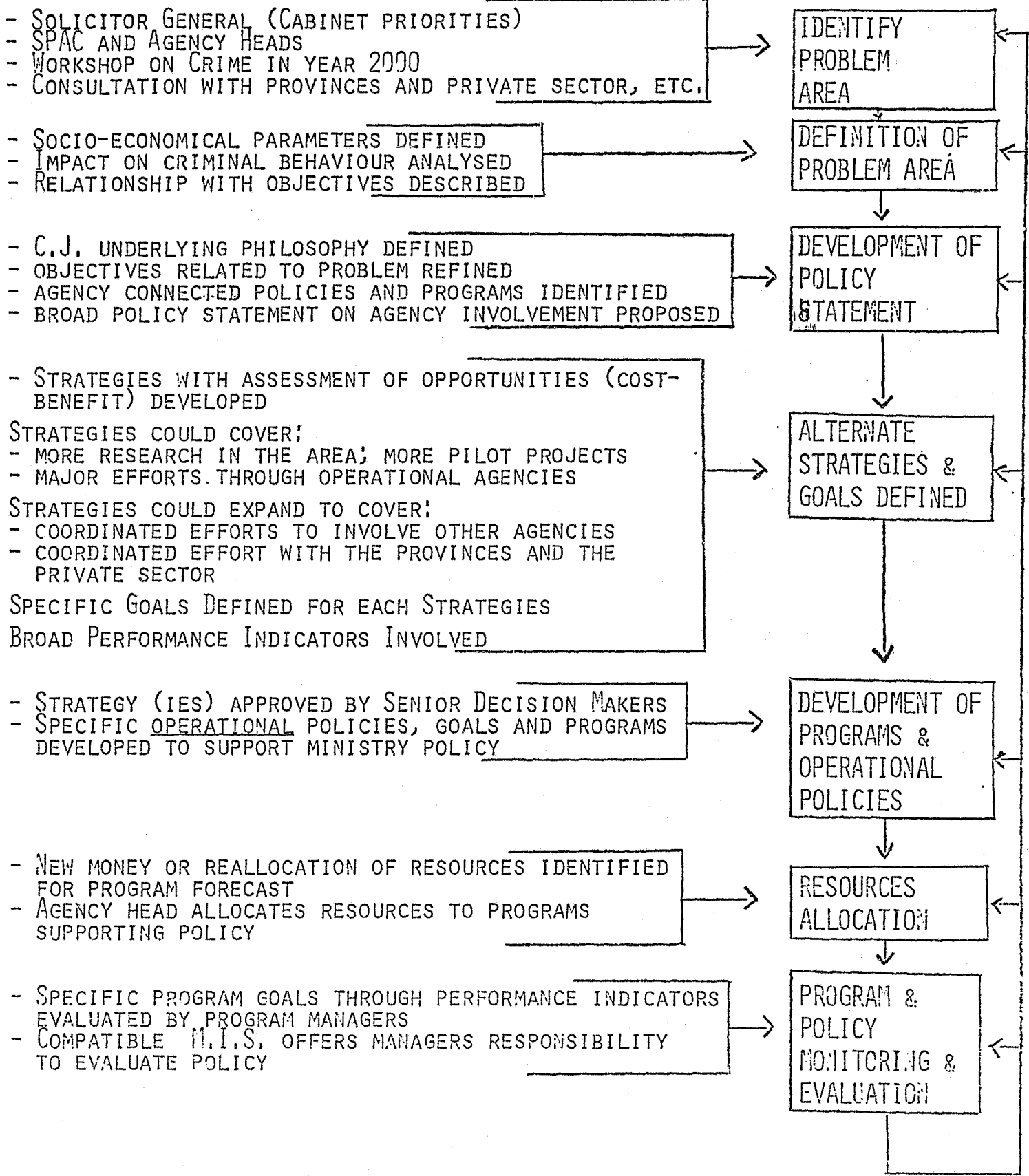
The second step in the policy planning process is that of the definition of the problem area. This may contain such factors as an assessment of the socioeconomic parameters, an assessment of the impact of the possible criminal behaviour being analyzed, and the relationship with the objectives for the agency which is involved, (see Figure IV).

The third step in the policy planning process is that of developing the policy statement itself. In this case, a number of possible activities need to be undertaken, including:

- (a) definition of underlying criminal justice philosophy;
- (b) definition of objectives relating to the problem;
- (c) assessment of connected policies and programs; and
- (d) broad policy statement for the agency involvement.

FIGURE IV

PLANNING AND EVALUATION PROCESS MODEL



The fourth stage of the policy planning process is the definition of alternative strategies and goals. This should incorporate an assessment of the opportunities for crime control, as well as the cost/benefit of alternative approaches. The strategies themselves could cover such possibilities as further research, pilot projects, or operational strategies. These strategies obviously should be coordinated to involve other agencies and to coordinate the effort with provincial and local agencies and the private sector. Once specific goals have been defined for the strategies and broad performance indicators have been developed, it is possible to move to the next stage of the development of programs and operational policies themselves.

It is important to emphasize that throughout such a process there must be the direct involvement of senior agency personnel (see paper, "Policy Evaluation" for more detail). Otherwise, developments which are made will either be irrelevant or untimely with respect to the actual policies of the agency itself.

The fifth stage in the development of programs and operational policies would see any strategies approved

by senior agency personnel and specific operational policy, goals, and programs developed to support the policy. The use of structured models, in assessing the possible impact of any new strategies can be invaluable. However, it is necessary to ensure the relevance of such models to the policy planning and evaluation process.

The sixth stage is the actual resource allocation which normally in most agencies takes place as a part of the annual budgetary cycle. It is important that the planning process and the budgetary cycle be directly interrelated. It is only then that it will be possible to ensure that the program forecast and budgetary allocations are in line with current priority policy issues which have been developed in the planning process.

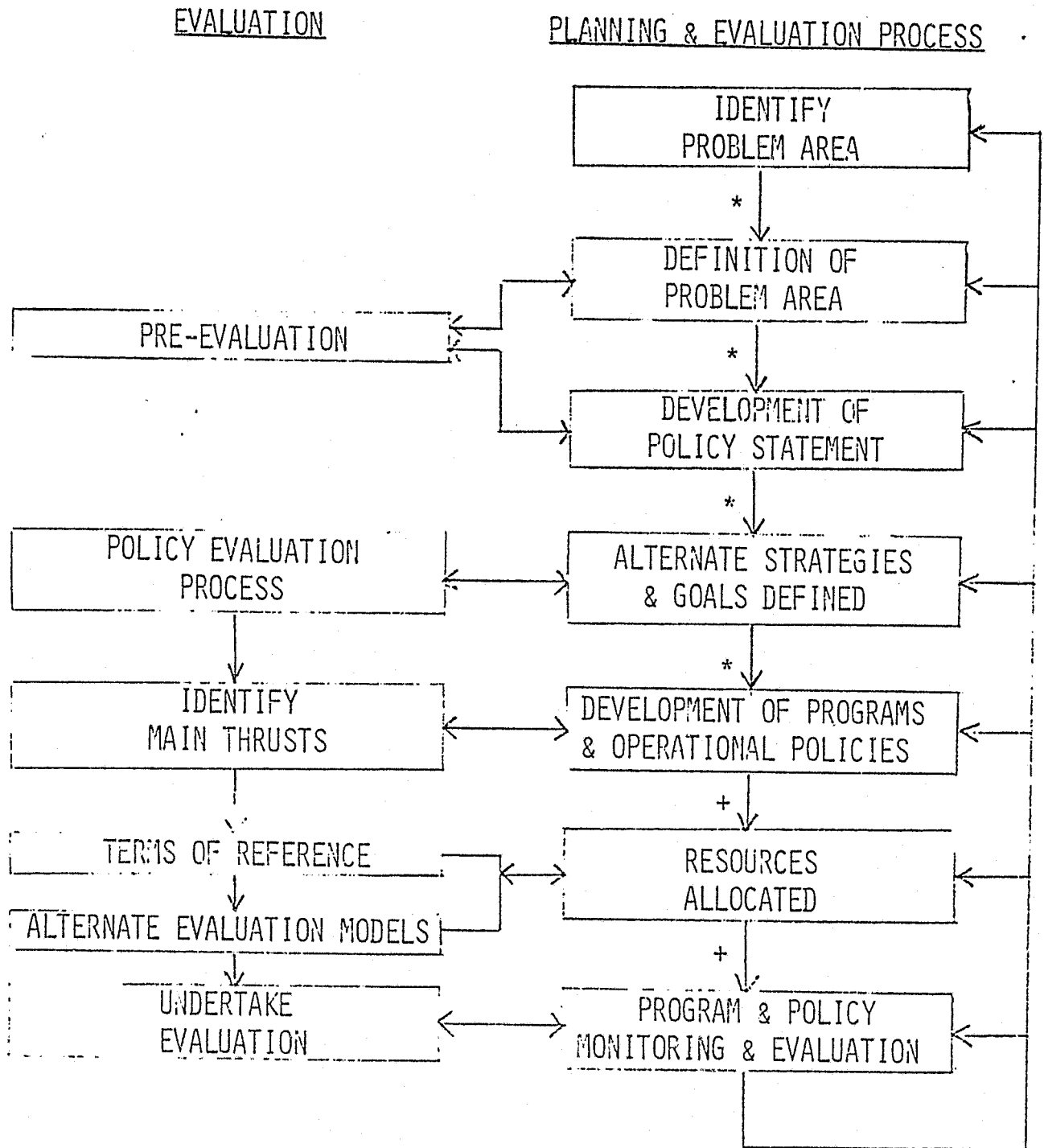
The final stage and one which impacts on all the previous stages is the monitoring and evaluation of the program or policy. It is here that perhaps the most extensive use of structured analysis can be made in assessing, through the use of performance indicators, the achievement of specific program goals and in ensuring the compatibility of management information systems to develop such performance indicators. Figure IV then gives a summary of the basic policy planning and evaluation process and the various components in each of the stages of the process.

Over the last two years, this basic process and an evaluation process has been developing within the Ministry of the Solicitor General. This process has developed as a result of initiatives by all of the Branches of the Secretariat, as well as the Agencies of the Ministry of the Solicitor General, consultations with the Senior Policy Advisory Committee and the work of a working group on priorities and objectives. The previous figures have shown the planning and some evaluative aspects

of the process, however, Figure V shows explicitly how evaluation fits into such a process.

As was described in Section 11, evaluation is divided into two basic parts. The first, pre-evaluation, would be an evaluation of alternative policies or thrusts within a policy issue being studied. This pre-evaluation would tend to be at a very macro level and use readily available information or methods to assess

FIGURE V
POLICY EVALUATION ROLE



* SPAC INVOLVEMENT
+ SINGLE AGENCY RESPONSIBILITY

the impact of any new policy thrust. Appendix 11 contains an example of such an evaluation.

The second part of the evaluation within the Ministry is termed the Policy Evaluation Process. This process basically consists of identifying the main components of the policy being brought forward, and from this, developing terms of reference, alternative evaluation models and finally, undertaking the evaluation to be communicated back to senior management. This process must be closely coordinated with the policy development process and its relation to it as shown in Figure V.

The developing policy evaluation process consists of four different stages or phases. In the first phase, any policies or major programs for the Ministry of the Solicitor General are identified and brought to the attention of the agency heads and the Deputy Solicitor General. There is then some selection made of those issues about which they wish further information of an evaluative nature.

The second phase consists of the development of terms of reference for such an evaluation. This may include the description of some options for the objectives for the program or policy which is to be implemented; it will identify the relevant components of the major program thrusts as well as their possible indicators. These terms of

reference are then brought back to the senior decision makers within the Ministry of the Solicitor General (SPAC) and a decision is taken as to whether to proceed further with the development of an evaluation. At this point, the terms of reference which have been developed can either be sent back for revision, rejected completely, or accepted. In the latter case, the evaluation proceeds to the third phase of the evaluation process.

Phase three consists of the development of alternative evaluative models for the program thrust or policy. In this phase, a number of different models, with different costs, and offering different levels of measurement, are developed in some detail. The resulting models are then reviewed and a recommended position is brought back to SPAC (Senior Policy Advisory Committee) for review. Once again, SPAC has the option of either discontinuing the evaluation process if it is clear that the evaluation may be impossible (or none of the evaluative models are acceptable), or of continuing to the next phase.

Assuming that one of the evaluative models is selected (and these can vary all the way from simple monitoring models to substantial, in-depth, long term evaluative research models), then the evaluation process proceeds to phase four. In phase four, the actual evaluation is undertaken under the supervision of SPAC

with the Evaluation Division assisting in such a way that the evaluation is carried out according to the original terms of reference, and that reports are made on a regular basis back to SPAC.

Throughout the steps in the evaluation process, it must be realized that the evaluation professionals do not necessarily have the lead role. Indeed, in many of the issues which may be of great concern to either the agencies or other parts of the Secretariat, they may play simply the role of participants with other groups or persons who would assume the leadership for the process. This is particularly true of an issue where only a part of it may be of interest to SPAC, and other parts of which may be knowledge acquisition for research, or directly concerned with programs and operations of concern only to the agency where they are instituted. It is here, however, that a coordinated approach appears to be useful since the evaluation which is of interest to SPAC can be coordinated with that part of the evaluation which is of concern to the agency or other part of the Ministry. Thus, there is not a duplication of the resources and presumably, economies can be realized both in terms of financial resources, as well as in involvement of Ministry personnel in determining the direction for the evaluation, and receiving information from it. At the present time, this process has been begun for

the Gun Control Program contained within proposed legislation of Bill C-51.

In addition, five other parts of that program have been identified for beginning the evaluation process.

These include:

1. the dangerous offender legislation;
2. the murder sentences, both first and second degree, as well as the abolition of capital punishment;
3. the shift in responsibility in temporary absences from the Canadian Penitentiary Service to the National Parole Board;
4. the change in remission regulations so that all remission is earned; and
5. the development of parole procedural safeguards for the offender.

In reviewing this process itself, it is important to emphasize that although a large proportion of the process is creative, in the sense of identifying policy issues and identifying alternative strategies for addressing these issues, a great deal is consultative in ensuring agreement on the priority of particular issues and their need for allocation of resources and a great deal needs to be implementative and within operational reality. As we have suggested, a structured process may be used at a policy level throughout the development of alternative strategies. Perhaps most substantially it can be used in the final phases when basic information and evaluative indicators must be developed and regularly monitored in order to determine the degree of success and effectiveness of the program or policy undertaken.

IV CONCLUSIONS

The process proposed in the previous section can now be examined in light of the criteria developed in Section II. We see that it is quite concrete and it relates to present ongoing activities and priorities within the organization. Indeed, this identifies perhaps its major disadvantage, in that it may not develop sufficient longer term objectives for the total organization.

In the development of priorities and the allocation of activities under them, the process has involved all levels of decision making within the organization and involves them as participants, not bystanders, thus insuring either acceptance of the implementation, or modification to an acceptable level in the development of priorities.

In proceeding from priorities to short term objectives, this process relates directions intended (normative) to present and anticipated ongoing activities within the organization. Because it builds on present systems within the organization, and indeed inputs to the annual budgeting cycle for the organization, it relates directly to existing planning and control mechanisms and may be of considerable assistance to them.

Obviously the exact working arrangement for implementing such a process depends on the function of the organization and its environment. Indeed, it might be suggested that this is a disadvantage, since this depends to a large degree on the management style or the organizational structure and function. As such, it could be argued that there may be no obvious transferability of this particular method from one organization to another. Experience within the federal Ministry of the Solicitor General has suggested an informal working group (not committee) is perhaps most appropriate for developing the priorities; from them the short term objectives (with perhaps simultaneous development of, and relation to, long term objectives); and after senior decision making input, development of strategies and participation in the budgetary process.

Questions can obviously be raised as to how much it assists, especially at the more operational levels of the organization in directing activities, since it serves merely to summarize ongoing activities. However, because of its continual assessment by decision makers with the organization, it should be flexible and adaptable to current needs of the organization. Similarly, its links to overall government and social objectives may be weaker than desirable.

It may be suggested that this is really the same traditional planning and evaluation processes described in the introduction, but that we have loaded or emphasized the front end of this process. Although we would maintain that this is not the case, and that there is a fundamentally different method of interaction with, and of gaining input from, decision makers, there is undoubtedly a question of emphasis. Much has been written about methodology for planning and evaluation. However, they are frequently, as many authors have suggested, applied to the wrong problem. It may therefore be time that we make problem definition and relevance to the policy decision or process a much larger part of the design and of any social science "methodology".

Many researchers (particularly quantitative) may suggest that multiple criteria decision makers could make harder (quantitative) assessment in such processes and could involve methodologies for assigning weights (such as that involved in the Delphi process). While this may be true in some cases, the policy process, which is at best vague, must be dynamically involved in defining the constraints, basic objectives, and alternatives. Thus, the values and fundamental needs, which are constantly changing, must be reflected in the analysis to be undertaken.

Obviously, further work is needed for in-depth analysis and evaluation of the ways of approaching such problems. Especially at the policy level, there is a need to explore other means of linking such analyses to the decision processes of an agency to ensure relevance and, at the same time, to ensure, as far as possible, methodological rigor and objectivity. Work which we are now doing will hopefully suggest better means for undertaking and developing the evaluation process. However, the inherent instability between objectivity and relevance will remain.

The complete assessment of this methodology will have to await its full implementation and use over a number of years within an organization. We have attempted to outline why we believe it has potential to be realistic and concrete, while at the same time defining a more general normative direction for the organization, and building on previous work. This should enable the identification of new thrusts and activities which the organization might undertake in the future, and some realistic alternatives for proceeding in these directions.

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1.

APPENDIX I

PLANNING PROCESS EXAMPLE

In order to show an example of the way in which priorities are identified and developed at the policy level within the Ministry of the Solicitor General, we will look at one specific example of the identification and development of policy in drug abuse within the Ministry of the Solicitor General.

As Figure A.1 indicates, there are a number of factors influencing the original identification of drugs as a priority policy concern, including the increase in charges on drug offences, and particularly public concern over drugs in Canada. This identification led to the formation in Canada of the LeDain Commission which assisted in a better definition of the problem area, as shown in Figure A.2.

The LeDain Commission made a number of recommendations relating to legislation, control of availability, possession, etc., but these were primarily definitional rather than relating to the specific policy tools which

FIGURE A.I

DRUG ABUSE

- INCREASING CHARGES IN LATE 60s
- INCREASED CHARGES ON DRUG OFFENCES
- INCREASED PUBLIC CONCERN OVER DRUGS
- PRESSURE FOR CHANGES IN - DRUG LAWS
- TREATMENT
- ESCALATION OF ORGANIZED CRIME IN DRUGS



IDENTIFY
PROBLEM AREA

FIGURE A.II

- SHAFER COMMISSION IN U.S.
- LE DAIN COMMISSION IN CANADA
- RECOMMENDATIONS ON
- LEGISLATION
- CONTROL OF AVAILABILITY
- CONTROL OF POSSESSION
- EDUCATION AND INFORMATION
- REMEDIAL PROGRAMS



DEFINITION OF
PROBLEM AREA

might be used by the Ministry of the Solicitor General to address this issue.

Upon receipt of the LeDain Commission Report, the federal government formed an interdepartmental committee (see Figure A.3) in order to develop the governmental response in terms of policy initiatives. This committee brought forward recommendations on legislation, controls on production and distribution, as well as on possession.

Although many different recommendations were made by the interdepartmental committee it must be realized that during the early seventies, while the problem was being defined and the policy developed, the problem of drug abuse escalated significantly in Canada. For this reason, it was necessary as is shown in Figures A.4 and A.5 for the Ministry of the Solicitor General to develop the specific drug policy, goals and strategies as well as programs and policies. At this point, evaluation is being undertaken to ascertain exactly the state of the drug policy within the Ministry of the Solicitor General and the future directions which might be contemplated.

As can be seen, even for this example, the progress through the policy development process may not be

FIGURE A.III

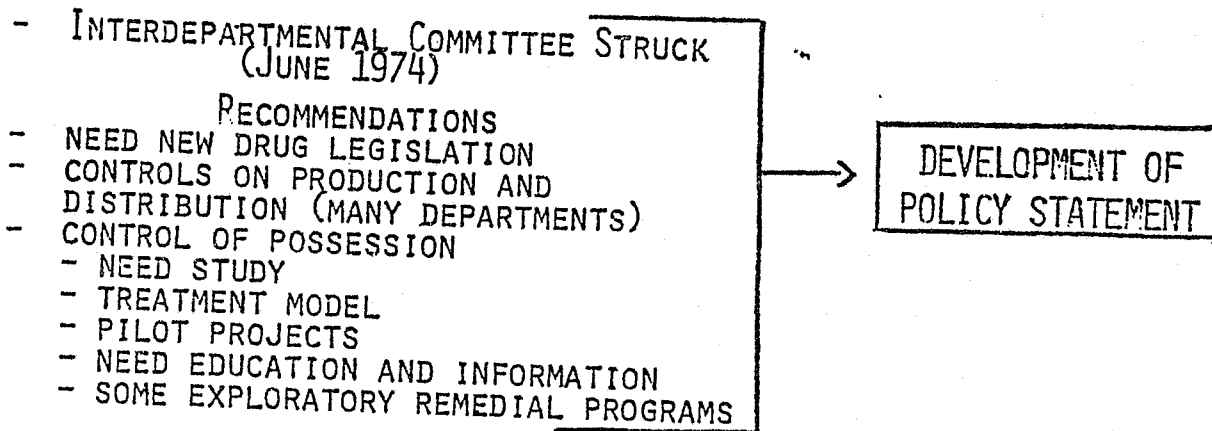


FIGURE A.IV

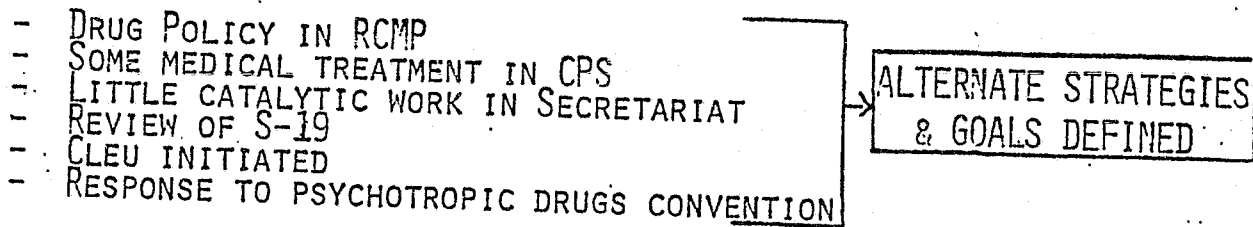
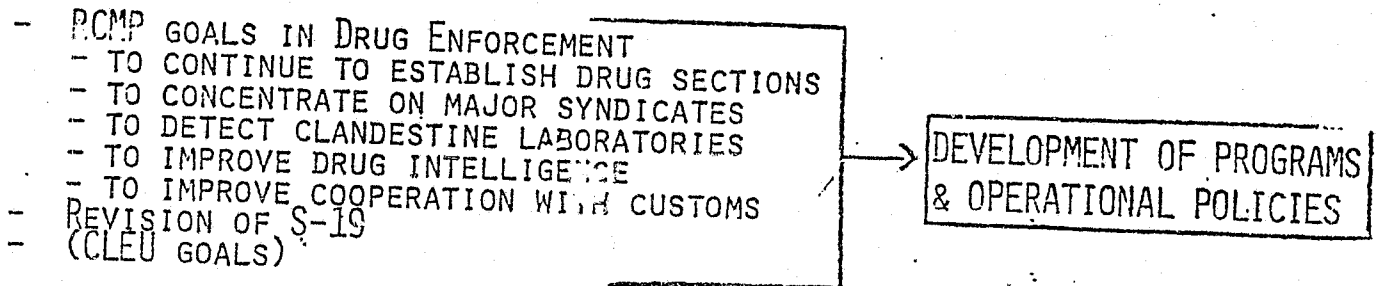


FIGURE A.V



sequential but tended to be done simultaneously at the operational and policy levels. Although there is more consistency if the process is followed sequentially, clearly the operational reality will always be such that the process will have to be adaptable to such realities. It is the flexibility and adaptability of the process which we feel is so important, both in its development and implementation in a department.

1.

APPENDIX II

EXAMPLE OF POLICY EVALUATION

In order to illustrate the way in which we feel the evaluation process should be defined, and particularly some of the additional constraints which are necessary, we will use as an example a policy evaluation undertaken within the Ministry of the Solicitor General, with the provincial governments of Canada. This was a federal-provincial evaluation of correctional objectives and alternative divisions of correctional jurisdiction within Canada.

At the present time in Canada, the provincial governments are responsible for all offenders sentenced to two years or less of imprisonment, and the Federal Government is responsible for all offenders sentenced to prison sentences over two years. Criticisms have been leveled at this split, stating that it has no rational basis and indeed other splits would be more advantageous. It was necessary to undertake two such evaluations, one with a single province and another with a number of provinces (six in all), and the comparison of the two

policy evaluations leads to some rather interesting conclusions about the way in which they should be structured, the types of inputs, and the relevance of any conclusions reached.

As the first step in defining the policy evaluation process, it is necessary to obtain information on the actual problem area. That is, using the first example above, simply saying that there is something wrong with corrections is an insufficient stimulus for the evaluation. At this point, the evaluator needs information on what is happening in corrections, both qualitative and quantitative, which would include such information as public attitudes, costs, number of offenders, and the number of institutional programs in federal and provincial jurisdictions. However, it is also necessary at this point to have input from the decision maker or policy maker on the objectives with which the problem should be examined. In this case, it was decided for the evaluation study to look at the jurisdictional split of corrections between the federal and provincial governments in Canada as a possible means of addressing many of the areas of concern. As a result, two task forces were struck for the policy evaluation, the first between a number of the provinces

and the Federal Government, and the second between a specific province and the Federal Government.

At this point, it becomes necessary to develop a strategy (or set of strategies) for addressing the particular policy evaluation. Several alternatives present themselves which must be looked at jointly by the decision maker and the policy evaluators. The use of a coordinating staff or consultants is one alternative,¹ the use of a task force representing different interests from different jurisdictions, a second, the use of one organizational unit, a third, and finally, there is the "man and a boy" operation which simply does a "back of the envelope" analysis of the various considerations involved. During the development of the strategies, a large portion of the decision will be based on how much information is available; the type of information which must be used for the policy evaluation; the objectives of the evaluation, to the extent they represent many different jurisdictions and interests; and the extent to which indicators can be developed for these different areas.

¹ This is the process used in the regular policy evaluation process within the Ministry of the Solicitor General, to identify and ensure, where necessary, that major program thrusts are evaluated.

In developing the analysis, or evaluation of the policy in the case of the jurisdictional split in corrections in Canada, there are two basic parts; the first of these was to develop the alternatives which might be examined (in this case, alternatives for the division of jurisdiction). Here, it is necessary to obtain information from decision makers, on feasible alternatives (politically and bureaucratically) as well as descriptive information, in order to formulate several options which may be possible. A second step is to develop criteria from the objectives for the study, in order to evaluate the alternative policy proposals which are being put forward.² Here again, there is a need to consult frequently with the decision makers to obtain their input on the criteria which are to be used.

It is interesting to note that one task force consulted only at the very beginning with the decision makers involved, whereas the other task force had continuous meetings with the decision makers. At the end of the two task forces' evaluations, it was clear that the analysis which had constant interaction with the decision makers

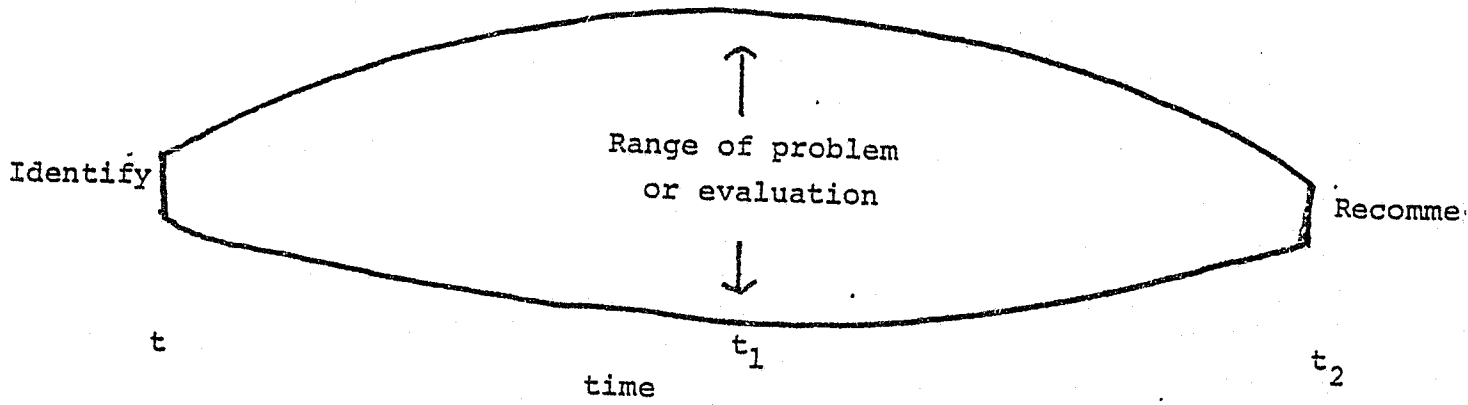
² Although the program thrust has been chosen for the "regular" policy process described as the second example, there is a need to describe alternate possible evaluation models in much the same way.

arrived at a much more complete and useful analysis³, as well as one which was intellectually satisfying (the methodology used was not amenable to saying it was more or less perfect than the other) to the participants as well as the users of the analysis. Here, it is often necessary⁴ to give the decision makers examples of the types of analyses which might be undertaken in order to allow them to make input on the alternatives which should be examined and the criteria which should be used.

It will no doubt be noted by the reader that this method of cutting down on the alternatives and of refining the criteria with the decision makers is a form of "muddling through", since it is a method for interim

³ Indeed, the criteria and process developed in the policy evaluation which had frequent interaction with decision makers, were eventually adopted (in modified form) for the other analysis.

⁴ Naturally, it is here that the conflict of interest arises as was highlighted earlier. Complete conversion to the point of view of the decision maker, his biases, and indeed, his choice of alternatives, will contribute very little in the sense of additional information or "objective" evaluation of the issue being considered. However, a totally separate and often unintelligible evaluation will have an equally small effect, simply because the decision maker will neither understand nor wish to use the results of the evaluation. It is the fine line between communicating with the decision maker and remaining somewhat separate which must be constantly assessed, particularly in a policy evaluation.



where:

from t to t₁, problem and evaluation is expanding;
from t₁ to t₂, it narrows to a solution, recommendation
and/or advice.

modification (and consolidation of) the total universe of possibilities and concerns to be addressed within the evaluation. However, it should be noted that there is a difference from the "muddling through" orientation, since in this case, rather than simply cutting down on options or comparing them pairwise, the options and criteria are gradually modified to reflect ongoing needs of the decision makers. In this way, the criteria which are used to evaluate the different options are at least roughly consistent across the options, and the set of options selected for evaluation remain to the final analysis.⁵ This modification of the scope of the evaluation is shown pictorially in Figure A.VI.

After preliminary analysis is made by the evaluator, there is a need for feedback from the decision maker on whether the evaluation is proceeding in the right direction.⁶ It should be noted that this feedback

⁵This can, of course, be critiqued for an incompleteness similar to the Lindbloom (1959) approach, but there is a longitudinal consistency which is very important here. Also, any criteria of significant weight would not likely be removed at any stage in such a process.

⁶The corresponding development in the regular policy evaluation process is the submission of alternative evaluation models to senior management or the decision maker. At that point, they have the opportunity to select those criteria (at various levels of cost and depth of measurement) as well as alternatives which need to be evaluated. Their feedback then allows the evaluation to continue usefully and the actual evaluation of the program thrust or policy to be fed back to the decision maker at regular intervals.

must be active and not passive, since the decision maker has an opportunity to change the direction of the evaluation at this point in time without many of the significant costs which might be incurred with a later change.

With such policy evaluations, we have found that a dialectic form of evaluation, giving arguments both pro and con within each of the criteria involved, is most useful (simply because this allows the decision maker greater latitude in making trade-offs). This is, however, primarily oriented to those evaluations taking place for policy at a conceptual level, where arguments for and against may be made in verbal and semi-quantitative form.

Finally, once the evaluation has been completed, there is a need for the decision maker to input how such evaluations are to be summarized. It is here that frequently the most drastic modifications to the evaluation are made. For this reason, the decision maker must be involved in order that critical issues or criteria are not missed or misrepresented. Obviously, we cannot completely involve decision makers since then a summary would not be necessary. However, they must be involved to the extent that they define guidelines or principles for the way in which the summary is to be made.

This is a brief description of the type of evaluation process which allows a decision maker to input at all points

during the policy evaluation. We feel this provides greater insurance for the analysis to be intellectually honest, realistic, and understandable (as well as useful) to the decision maker.

END