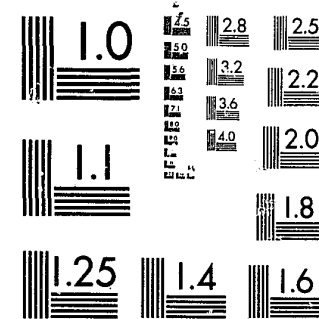


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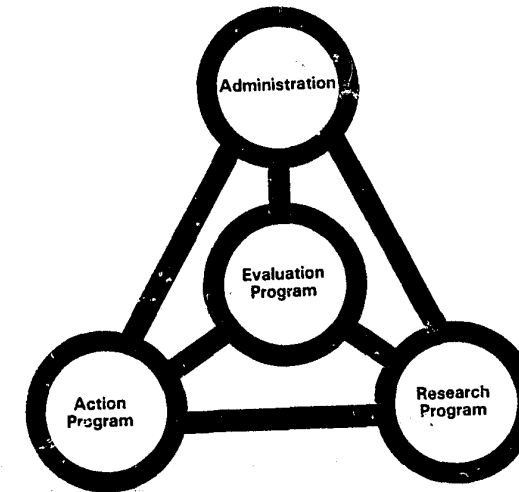
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September 1979

# A Study to Improve Evaluative Information Utilization at LEAA

## Volume I

Research Triangle Institute  
Research Triangle Park, NC 27709

Prepared for  
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Office of Planning and Management  
Washington, DC 20531

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## A STUDY TO IMPROVE EVALUATIVE INFORMATION UTILIZATION AT LEAA

Volume I

Philip S. McMullan, Jr., and Charlene Potter  
Research Triangle Institute

RTI/1412/02-F

NCJRS

MAY 16 1980

ACQUISITIONS

## FOREWORD

This management research project was performed as Task 2 under Master Contract J-LEAA-005-7 between the Research Triangle Institute and the Office of Planning and Management (OPM) of the Law Enforcement Assistance Administration, Department of Justice. The master contract is entitled Consultant Support Services Phase II and is intended to provide short-term and intensive research studies for the LEAA Administration and its supporting staff offices. Task 2, The Evaluation Utilization Study, is designed to provide evaluative information to OPM for its use in the continuing evolution of LEAA evaluation policy.

The findings of this study were discussed with the LEAA Task Technical Monitor and with senior staff of the Office of Program Evaluation before interpretations were made for this report. Although this study made use of these discussions, the RTI project leader is responsible for the judgments, conclusion, and recommendations.

The authors are most appreciative of the technical assistance and support provided by Dr. Ralph Swisher, Task Technical Monitor; and of the administrative support of Mr. William J. Langan, Government Program Manager, and his assistant for this task, Ms. D. Elen Grigg. The authors also would like to acknowledge the excellent cooperation of the LEAA staff and management. A number of RTI professionals and consultants made important contributions in the preparation of evaluation finding summaries and in the completion of interviews. The RTI staff were: James J. Collins, Jr., Alvin M. Cruze, William A. Glenn, Janet D. Griffith, David H. Stuart, Debbie L. Travis, Jerry C. Van Sant, and Jay R. Williams. The consultants were: John H. Kramer, Peter K. Manning, and Patricia P. Rieker. The project leader would like to express particular appreciation to Ms. Brenda Young, who has efficiently orchestrated the production of this report.

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## Chapter 1

### Executive Summary

#### A. Introduction and Background

Between November 1978 and March 1979 the Research Triangle Institute conducted a management study of the uses of evaluative information within central Law Enforcement Assistance Administration (LEAA) offices.<sup>1/</sup> The study is to help LEAA management improve internal procedures and practices so that evaluative information might be used more effectively in LEAA decisionmaking. The conclusions and recommendations of this executive summary are based upon information gathered in reviews of completed LEAA evaluation studies, interviews with users of these studies, and reviews of relevant LEAA procedures and practices.

Except for the equipment test program, LEAA had sponsored few evaluation studies prior to the Crime Control Act of 1973 and the development of an LEAA evaluation policy in 1974. Between 1974 and 1978, the Office of Planning and Management records show that 247 evaluation studies had been completed and 36 were nearing completion. Many of the evaluation studies completed through 1978 were broad national evaluations of groups of projects or policy-level evaluations of LEAA program areas. LEAA has used the experience gained in earlier studies to initiate comprehensive evaluation studies of most of its major discretionary programs. The LEAA Acting Administrator asked RTI to determine the extent to which these findings were utilized and whether changes in management procedures or planning practices would promote further utilization.

While the utilization study was in progress, the U.S. Senate was debating the Law Enforcement Assistance Reform Act of 1979 (S. 241), which would legislate a major reorganization of LEAA. In the bill the Senate clearly states its intention to continue support for LEAA programs of proven success and to deny funds where success is not demonstrated. The evaluation mandate is even more forceful in the 1979 Senate bill than in previous acts, and management of a reorganized LEAA will have no alternative but to utilize evaluation study findings to obtain continued funding in authorized program areas.

The recommendations that follow are made with the expectation that they will be implemented within a reorganized LEAA. For this reason, the recommendations deal with evaluation policy rather than with detailed procedures that might change during reorganization.

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<sup>1/</sup>This study was performed by the Research Triangle Institute (RTI) for the Office of Planning and Management (OPM) as Task 2, Evaluation Utilization Study under master consultant support services contract J-LEAA-005-7 with OPM, Law Enforcement Assistance Administration.

## B. Conclusions and Recommendations

### It is concluded that:

- + Use of evaluative information is increasing in LEAA program offices as more and better evaluation studies become available, but informal practices and formal procedures now in effect are providing inconsistent results and can be improved upon.
- + Lack of involvement of all relevant decisionmakers in framing evaluation questions is the critical missing element in LEAA evaluation utilization experience.
- + Administration needs are least well served because the Administration has not specifically made known its requirements for evaluative information.
- + New congressional mandates to a reorganized LEAA necessitate greater Administrative attention to obtaining and utilizing evaluative information.
- + No revisions of OPM formal procedures will achieve increased utilization until the Administration and program office decisionmakers are involved in the evaluation process.

### It is recommended that:

- + The Administrators should demonstrate commitment to utilization of evaluative information by personally participating in or being represented in the planning, implementation, and utilization of all significant program evaluations.
- + Program office decisionmakers should be committed to utilization by changing Management by Objectives (MBO) instructions to specifically require evaluative findings use in milestone reports and in program change recommendation memoranda.
- + The information needs of all relevant Administration and program office decisionmakers should be recognized and monitored within the MBO system by requiring the following steps in all evaluation studies:
  1. Identify and involve all relevant decisionmakers,
  2. Identify the evaluation questions that are important to these decisionmakers,
  3. Select research methods that will answer these questions,
  4. Obtain participation of decisionmakers or their staff in analysis and interpretation of the results, and
  5. Obtain participation of decisionmakers in developing policy and program implication for inclusion in the evaluation study report and in deciding on dissemination of results.

- + The Administration should formalize policy planning just as program planning has been formalized through MBO and the Action Program Development Process (APDP), and the following should be included:
  1. The policy planning process should require the use of evaluative information in projecting the probable outcomes of LEAA program initiatives.
  2. Evaluative information for this purpose should include crime and victim statistics, research results, and other quantitative information that can augment available evaluation study results in policy analyses.
  3. Competent policy analyses should provide rational estimates of what should be expected from innovative programs.
  4. These expectations should be used as a base in deriving relevant evaluation questions, which should lead to more effective evaluation study utilization in LEAA decisionmaking.

## C. Evaluation Utilization at LEAA

### 1. Utilization Patterns

The general results of the investigation into current practices and procedures are summarized according to broad patterns in this section. Discussion of formal practices and detailed utilization experiences will follow.

Figure 1 illustrates how evaluative information might flow within LEAA central offices between participants in an idealized LEAA evaluation utilization system.

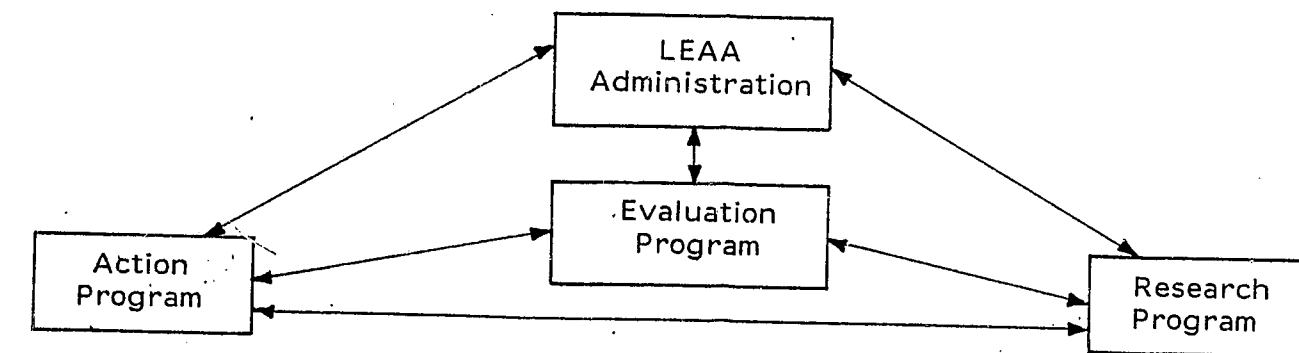


Figure 1. Idealized Evaluation Utilization System

The LEAA evaluation utilization practices observed during this study were usually subsets of this idealized system. For example, the Phase I National Evaluation Program (NEP) pattern in figure 2 is typical of several LEAA utilization experiences.

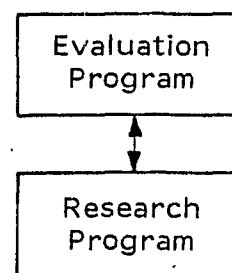


Figure 2. Typical NEP Study Utilization

In the typical NEP study, all evaluation questions are asked by the research planners. They want better knowledge to decide on needs for further research or evaluation in selected topic areas (typically groups of activities supported by LEAA block grant funds). NEP Phase I studies were utilized extensively for these intended purposes, but they were unused or misused outside of the NEP information network.

Evaluations of major LEAA programs also were utilized within a limited network like that in figure 2. Past Administrations typically contracted for broad scope historical evaluations, such as of the entire block grant program. The results of such evaluations were used in important policy decisions even though they were often late, did not address many of the more important questions, and leaned heavily on the professional judgment of the evaluation contractors.

A wider network for evaluative information was observed in the Institute's Office of Program Evaluation (OPE) and in the Program Development and Evaluation Staff (PDE) of the Office of Criminal Justice Programs (OCJP). This is illustrated in figure 3 as the OPE/PDE model.

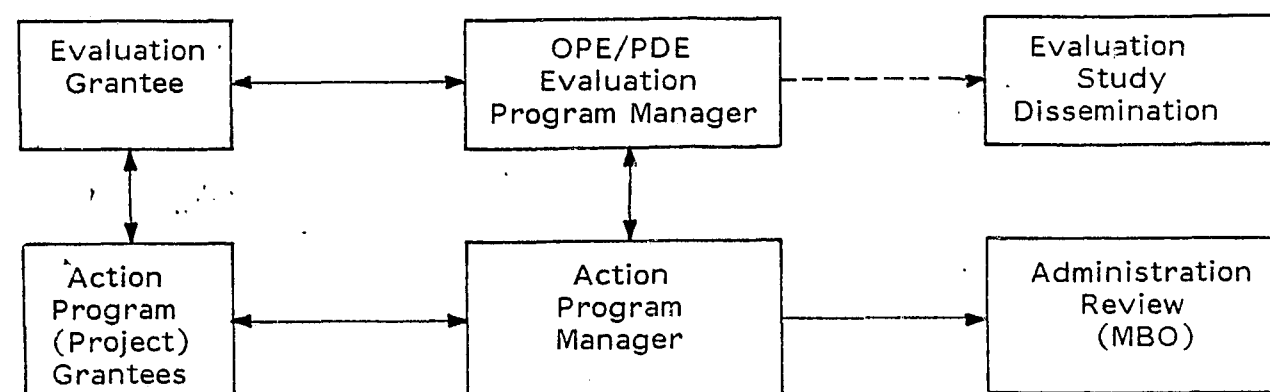


Figure 3. OPE/PDE Evaluation Utilization System

In the OPE/PDE model, both the action program manager and the evaluation program manager (or monitor) are in the network.<sup>2/</sup> Interviews within OCJP, OPE, and the Office of Community Anti-Crime Programs (OCACP) disclosed several examples of successful utilization of interim evaluative information within networks like that in figure 3. All successful examples were of program or project evaluations in which the action program manager and the evaluation program manager were close collaborators in the evaluation design prior to program initiation. Other examples were observed where action program managers and program evaluators were brought together after action programs had been implemented. In these cases, cooperation was more difficult and evaluation results were less utilized in program decisions.

In the typical PDE/OPE model of evaluative information flow, the Administration's interest in the evaluative information output is remote at best. As figure 3 shows, action program managers must report on the progress of their programs under the MBO system and must rationalize any major continuation or modification decisions. However:

- (1) they are not required to include the Administration's evaluative information requirements in the evaluation design,
- (2) they need not require that evaluation designs produce interim results prior to MBO annual planning cycle dates, and
- (3) the evaluative information need not be reported in rationalizing major program decisions.

Both OCJP and National Institute management require that PDE and OPE evaluation program managers analyze and summarize evaluation study reports. These analytical reports are prepared under Research Utilization Committee instructions in the Institute and under less formal procedures in OCJP. These internal summary reports have only a limited potential for enhancing utilization within the office(s) of origin of the evaluation study because participants will already have been informed of more significant results. Also, it is difficult for OCJP and Institute analysts to develop and report policy implications to the Administration because the Administration has not generally participated in the posing of evaluative questions. However, these analyses and summaries should have much greater potential for enhancing utilization under a formal policy planning process.

The Office of Juvenile Justice and Delinquency Prevention (OJJDP) and the National Institute of Juvenile Justice and Delinquency Prevention (NIJDP) report that they make use of evaluative information in a way similar to the idealized system shown in figure 1. Policy decisionmakers,

<sup>2/</sup> Both OPE and PDE employ outside evaluation grantees or contractors. However, OPE evaluation grantees are selected by the Institute, while PDE can only advise local grantees. The distinction is becoming less important as PDE emphasizes cluster evaluations in which groups of similar projects are evaluated by a single grantee. PDE is then in a better position to insure that cluster evaluation grantees are qualified and proper evaluation questions are asked.



research and evaluation program managers, and action program managers are organized for close daily contact and are located near each other. The utilization of evaluative information in OJJDP and NIJJDP occurs under formal procedures and informal practices linking policy, research, and action.

Processes for policy decisions, research planning, and action planning are also largely self-contained in the National Criminal Justice Information and Statistics Service (NCJISS) management and staff. NCJISS has no formal procedures for evaluation study initiation or the utilization of the results, but NCJISS provided examples of well-utilized and unutilized evaluation studies. Two earlier RTI evaluations can be used to illustrate. In the well-utilized example, the key decision-makers (Program Manager, Office Director, NCJISS Assistant Administrator, and LEAA Acting Administrator) participated in the evaluation design, and they each utilized the results. In the unutilized case, the LEAA Administrator directed that the evaluation be done and OPM hired the evaluation contractor. NCJISS managers did not participate in evaluation planning, did not find the results useful, and were not required by the Administration to respond or react to the findings. Because the two evaluation studies involved the same principal investigator and general approach, the difference in utilization is attributed to the fact that all key decisionmakers expressed their evaluative information needs before the study was designed.

Although the NCJISS example was only a temporary evaluation planning and utilization system, it best illustrated the principal requirement of utilization-focused evaluation:

Any and all decisionmakers who expect to utilize evaluative information from an evaluation study must make their requirements known explicitly prior to the initiation of data collection by the evaluation contractor/ grantee.

Although this requirement is necessary to insure evaluation utilization, it is the element most often found missing in the planning of evaluation studies throughout LEAA.

## 2. Utilization Experience by Functional Area

RTI analysts reviewed and summarized 33 of the 283 evaluation study reports listed in an inventory prepared by OPM. During the 120-day study period, 53 LEAA central office staff and managers were interviewed to determine their use of the 33 reports and to elicit their general comments on current LEAA practices and procedures for evaluative information utilization. The reports and interviews were selected to be representative of all major functional areas and most decisionmaking activity classes. A summary of results by functional area follows:

- + Six studies reviewed in the Enforcement area, all related to police patrol operations and criminal investigations, were utilized frequently in both research and action program decisions. Evaluative information concerning patrol operations and criminal investigation has

contributed directly to major action program decisions in the enforcement area.

- + Seven studies reviewed under Prevention were more diverse and less extensively utilized. Earlier Prevention studies evaluated simple tactics of preventing household property crimes and were regarded as inconsequential by program managers. In later Prevention area programs, the older tactics and community organization were combined, sometimes with capital expenditures for structural modifications. Improved utilization of evaluative information concerning these newer strategies is evident in LEAA offices.
- + With the exception of the role of evaluation in the Career Criminal program model development, utilization of five Adjudication studies was quite restricted. Little evidence of cooperation between research and action program managers in the design of the evaluation studies reviewed was noted and limited utilization occurred only in the offices in which the studies were initiated.
- + Six reports reviewed in the Corrections area were utilized only in the offices in which they were initiated, except for the Treatment Alternatives to Street Crime (TASC) Phase I evaluation. TASC was utilized frequently in both policy and program deliberations. Action office program managers reported on several evaluation studies, not reviewed by RTI, that had greater utility in action program planning than those selected for review.
- + The Juvenile Justice area interviewees reported extensive utilization of the three reviewed evaluation studies in policy and research planning decisions. Evaluation studies that might influence future action program decisions are not completed.
- + Five reports were reviewed in the Information and Statistics area. Interviewees reported extensive utilization of one evaluation study that they personally planned and monitored, relatively less use of a study that they initiated but did not monitor, and failure to use other evaluations in their area in which they had no part in the design or implementation.
- + The Major Policy area included five evaluation studies that were designed to provide policy guidance to the Administration for long-range planning or testimony to Congress. All were utilized for the purpose intended, although problems regarding timeliness and the selection of questions to be asked by the evaluations were noted.

## 3. Formal Procedures Relevant to Utilization

Several formal procedures and numerous informal practices influence the potential utilization of evaluative information within LEAA. APDP and MBO should further enhance the formal utilization of evaluative information in LEAA offices.

Programs developed under OPM Program Development Policy Instruction I 3000.25 (referred to as APDP) should include evaluations that are designed for utilization in LEAA policy and program decisionmaking. However, none of the APDP evaluation studies are far enough advanced for an assessment to be made of their utilization, and only a small portion of the LEAA budget is presently involved in or planned for APDP programs. A major weakness is that APDP is initiated by a policy planning stage, and LEAA has no formal policy planning process.

The MBO procedures cover all LEAA programs and require periodic and unscheduled decisions to be reported by memoranda to the Administration. MBO is a potentially strong formal procedure allowing the Administration to enhance evaluation study performance and utilization. It has not yet had this effect for the following reasons:

- + Instruction I 1310.50 for preparation of decision memoranda in the MBO system makes only passing reference to the use of evaluative information. The instruction does not require the utilization of evaluation studies in making program recommendations to the Administration; it only recommends that evaluation studies may be useful to support the recommendations.
- + The MBO pyramid was designed to categorize and provide objectives for the programs and subprograms that existed when MBO was installed. The pyramid is adequate for existing programs but has little flexibility to meet policy changes. Major policy changes (such as emphasis on victim-witness assistance) must be placed arbitrarily into the rigid system.
- + The Administration has directed that programs are to be evaluated. However, the Administration has seldom made known to the OPM Evaluation Program Coordinator or to program managers its specific needs for evaluative information to support program decisions at the Administration level.<sup>3/</sup>

Although APDP and MBO provide formal procedures for increasing the utilization of evaluative information in program decisions, no similar formal procedures exist for increasing utilization in policy decisions. The LEAA policy planning process does not formally require the use of evaluative information. Program analysts have not been required to forecast the probable results or impact on crime of a major new program that Congress or the Administration intends to implement. The Law Enforcement Assistance Reform Act of 1979, through amendments to the bill by Senator Joseph Biden, reemphasizes the importance of the policy planning process and the necessity of quantitative estimates of probable results and impact before major programs are implemented.

<sup>3/</sup>As stated in the LEAA Instruction I 2300.5 "...the only way to guarantee that evaluation findings are used is to make sure that the answers that evaluations give are directly linked to the questions to which agency managers needs answers."

## D. Synthesis and Report Contents

### 1. An Overall Synthesis of Finding

In synthesizing the utilization experiences of LEAA management and staff, as reported in interviews, this study defined the modes of use, misuse, or nonuse in table 1.

Table 1. Uses or Misuses of Evaluation Studies (Modes of Use)

<u>Class</u>	<u>Definition</u>
A	Utilized to provide <u>answers</u> to questions that need to be resolved before making a policy or program decision.
B	Utilized to provide enlightening <u>background</u> material that permits proper questions to be posed. (Includes coupling with other studies.)
C	Utilized to provide <u>confirmation</u> of a position already held or a plan already underway, making the position more legitimate.
D	Used or read as <u>documentation</u> that may influence decision-making at some <u>later time</u> .
E	Used <u>erroneously</u> . (Misinterpreted or misconstrued.)
F	<u>Failed</u> to provide information that reader could utilize.

Table 2 uses these modes of use in comparing the utilization experiences of LEAA decisionmakers in seven major functional areas. The 16 utility classes in table 2 represent modifications of the categories of decisionmaking selected by OPM for this study.

Table 2 is a synthesis of detailed utilization assessments of the 33 LEAA evaluation studies summarized in Volume II of this report and four others rated by interviewers but not reviewed by RTI. In each of seven functional areas, the table shows a mode of use for each utility class in which some evaluation study use was indicated by at least one respondent. The mode-of-use indicator for each utility class and functional area is shown as the highest (A down to F) that was recorded by RTI for any evaluation study for which there was use in the relevant class and area. For example, the A in the first row, first column, indicates that one or more enforcement evaluation studies provided specific answers needed in policy decisionmaking in the enforcement area.



\*This mode of use is based on a single evaluation study that is atypical of the others in the functional area.

Table 2 demonstrates that evaluative information has been used to provide direct answers (Mode A) to LEAA decisionmakers in one or more utility classes in all seven functional areas. Also, some form of utilization (Modes A, B, or C) was reported for 15 of the 16 utility classes. However, the results for the 37 evaluation studies synthesized in the table show considerable variation between functional areas in extent of utilization. As stated in the conclusions, there is much room for improvement in evaluation utilization practices within LEAA.

## 2. Report Contents

The study that has been summarized above is reported in two volumes. Volume I contains the approach, a synthesis of findings, and a discussion of conclusions and recommendations. The appendixes to Volume I contain four case studies on use of evaluation studies in LEAA. These case studies describe a pattern of utilization of evaluative information over time in the functional areas of Enforcement, Juvenile Justice, Information and Statistics, and Corrections. The Enforcement Area case study demonstrates clearly that research and evaluation studies have a cumulative benefit in decisionmaking. In future utilization studies, related groups of studies should be assessed over time to determine their combined impact upon decisionmaking.

A fifth Volume I appendix describes the evaluation utilization procedures of the Office of Education (OE). This office was one of several visited by RTI in an attempt to find practices or procedures that might be useful at LEAA. The case study report on OE includes lessons learned in all non-LEAA interviews. The OE procedures would be useful models for LEAA only if a reorganized LEAA creates a large central office for evaluation.

Volume II contains evaluation finding summaries for the 37 evaluation studies reviewed by RTI analysts in preparation for interviews at LEAA. The conclusion of each summary contains brief comments by LEAA staff and management concerning utilization experiences with each study. These comments in isolation tend to understate the extent of utilization. Case studies such as those in Volume I appendixes are much more accurate representations of LEAA patterns of evaluative information utilization.

## Chapter 2

### Concepts, Terminology, and Approach

#### A. Introduction

This chapter describes the approach that RTI used in the study of evaluative information utilization at LEAA. The approach involved (1) review and summary of evaluation study findings in a sample of LEAA reports; (2) interviews with LEAA staff and management involved in policy and program decisions related to the sample of reports; (3) synthesis of the findings in case study reports and tables; and (4) drawing of implications, conclusions, and recommendations. Further discussion of the approach is preceded by an explanation of how evaluative terms are defined in this study.

#### B. Evaluation Concepts

##### 1. Evaluative Information Defined

This study treats evaluation studies as research that can assist management with policy and program decisionmaking. However, this is not always the intended purpose of LEAA evaluation studies. Former NILECJ Director Gerald M. Caplan emphasized the role of evaluation studies for generation of knowledge. He saw evaluation as "a way of illuminating problems, putting them in sharper focus and plainer view" rather than as a way of finding answers and solutions [Chelimsky, 1976a:3]. In such knowledge generation studies, non-research management input is minimal and there is little to distinguish such evaluation studies from other types of research. Other LEAA research office studies are to aid in the evaluation of the discretionary programs of the action program offices. In such evaluation studies, non-research program managers are increasingly involved in setting of study requirements. Finally, LEAA management has asked outside experts to examine and judge the LEAA organization and its programs to determine if they can account favorably to Congress for their expenditures. The LEAA evaluation study inventory at OPM includes examples of all three of these distinctly different types of evaluation studies.

In her analysis of a symposium on the use of evaluation by Federal agencies, Chelimsky [1976b:6] summarizes the different views that Federal agencies hold toward evaluation as: (1) a knowledge perspective, (2) a management perspective, and (3) an accountability perspective. LEAA evaluation policy considers each perspective correct and appropriate at its proper time. Because of this, it is not useful for this study to define evaluation in terms that exclude either of these perspectives. This report will avoid the continuing debate over the correct definition of evaluation. Instead, this report defines 'evaluative information' to include any information that is potentially useful to LEAA decisionmakers for fixing the value or judging the worth of a policy or program. The

purpose of evaluative information is to serve as management information for assessing the operational efficiency of government programs, evaluating their effectiveness, and judging their efficacy. In this view the researcher provides the evaluative information and the manager assesses, evaluates, and judges. The initial title of this study, Evaluation Utilization System Study, is restated as, A Study to Improve Evaluative Information Utilization at LEAA, to better correspond with this concept of evaluative information.

Utilization of the knowledge from research studies can be aided by a knowledge dissemination system. Such a system is supported by LEAA to disseminate widely the results of research and evaluation studies after they have been completed, reviewed by peers, and published. However, evaluative information is useful to management only when it provides timely support to assist in answering current questions or to point toward possible solutions. Research planned without management input may make important contributions. However, research that is planned with management input and that provides timely information is much more likely to be used in decisionmaking. Utilization of evaluative information is thus more likely to occur when evaluation planning is incorporated into the policy and planning process of management and when the decision-maker takes the role of evaluator.

Evaluative information may be utilized in decisions that are recorded formally as a part of established procedures, such as the Management by Objectives (MBO) system and the program development process. Decision memoranda may communicate recommended decisions during annual planning stages or at any other time. In addition, numerous seemingly small but cumulatively important decisions are made daily but never officially recorded. In making many of these formal and informal decisions, LEAA managers and administrators are evaluating.<sup>4/</sup> When an LEAA decisionmaker evaluates a policy or program before making a decision, he may seek information from external sources or he may use his previously acquired knowledge. However, he cannot delegate his role as the evaluator without giving up the essence of his decisionmaking authority.

## 2. Information Flow in LEAA Decisionmaking Processes

Figure 4 is a schematic model of the LEAA policy and program planning process and of the flow of evaluative information within this process. The outer ring represents the nation's social system from which data are collected during research and evaluation studies. The inner ring represents the Federal, state, and local activities that LEAA performs or supports. Evaluative information flows into the center diamond that represents the process of evaluating and deciding. As defined in the previous section, evaluating and deciding are the roles of the administrators, directors, and managers at all levels in the LEAA organization.

The solid lines and arrows extending down from legislative requirements,

<sup>4/</sup>Evaluate is defined by Webster's Seventh New Collegiate Dictionary as "to determine or fix the value of" and "to examine and judge."

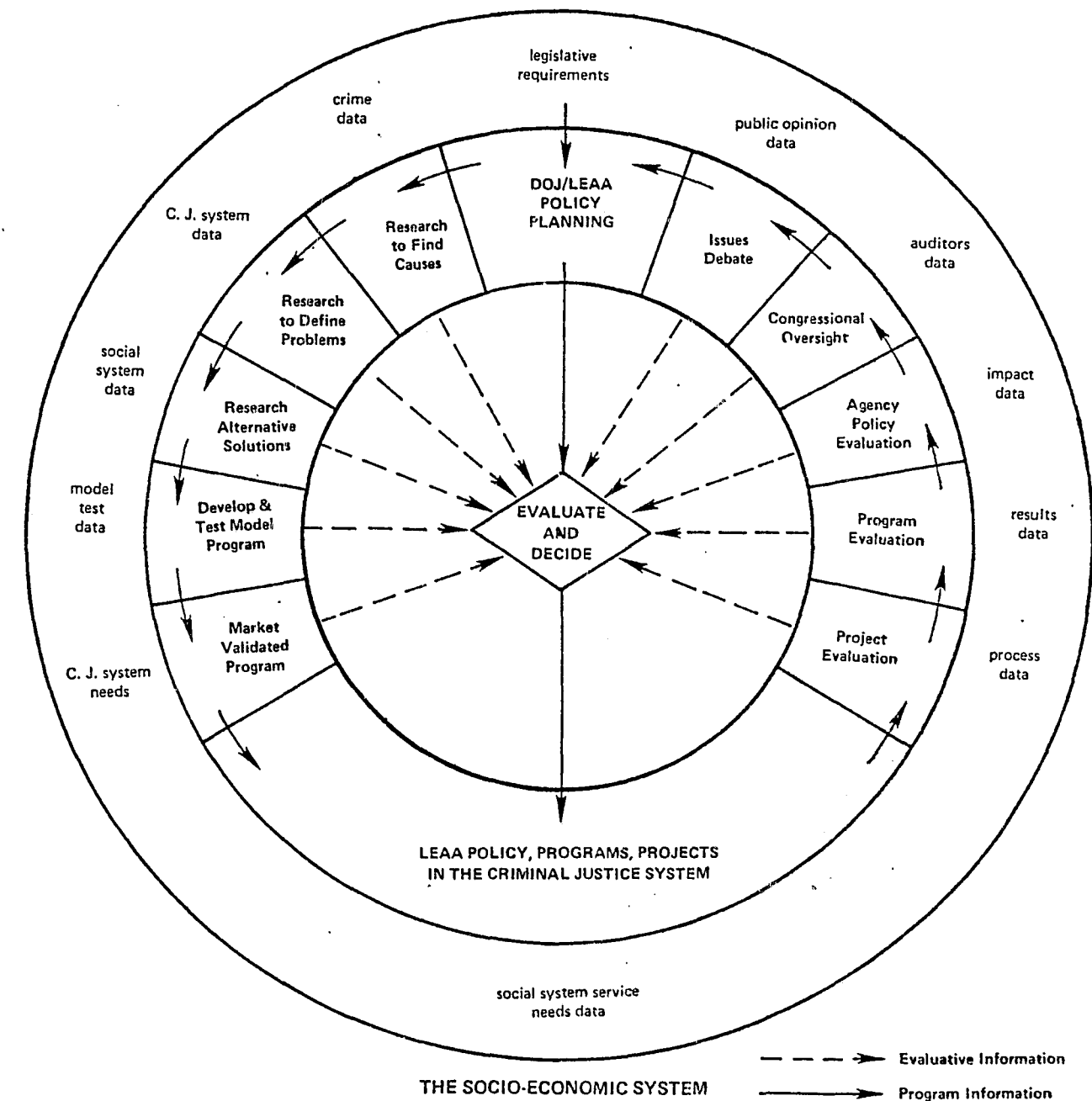


Figure 4. Flow of Evaluative Information to LEAA Policy and Program Decisionmakers.

through policy planning, and through evaluate-and-decide represent the steps that lead to LEAA policy, programs, and projects in the criminal justice system. Initially, LEAA followed this path without significant use of evaluative information. Local project grantees were required to provide self-assessments, with or without contractor assistance, to state planning agencies. The states were then to send such evaluative information to the Federal level in annual reports and plans, but the information proved to be inadequate for decisionmaking at the Federal level.

In 1973, the U.S. Congress mandated that LEAA conduct studies and analysis to determine the impact and value of projects and programs in accomplishing statutory objectives of LEAA's authorizing legislation. Following this mandate, LEAA sponsored project, program, and policy evaluation studies; the General Accounting Office performed audits; and LEAA and other groups sampled the opinions of the public. These activities in the right hemisphere of figure 4 produced evaluative information for LEAA decisionmakers and for congressional review of the LEAA program.

In 1976 Congress reemphasized evaluation in its LEAA reauthorization bill and LEAA responded with a plan to develop validated programs through research. The plan is represented by the left hemisphere of figure 4. This research-to-action plan starts with a new, hard look at crime and the criminal justice system to see what situations most need improving under LEAA's statutory objectives. Such situations are then defined as specific problems for which LEAA will allocate funds to find solutions. Alternatives are then explored; promising alternatives are developed and tested; and successful designs are marketed to the criminal justice system as validated action programs. Evaluative information is produced in each stage and can be used by decisionmakers to evaluate and decide on program continuation, modification, or termination. These systematic action program development activities are relatively new at LEAA. Mandates in the 1979 reauthorization bill (S. 241) will make it necessary for LEAA to initiate or identify programs that are validated; thus, the evaluative information-producing activities in figure 4 will receive increasing attention.

### 3. Utilization Categories

Figure 4 demonstrates that evaluative information is available to decisionmakers from numerous sources and that LEAA can benefit from evaluative information at many steps in the policy and program decision-making process. In order to record systematically the past experiences of central LEAA offices in utilizing evaluative information, RTI and the LEAA technical monitor developed the categories in tables 3 and 4.

Table 3 lists 16 classes of activities performed by LEAA decisionmakers in policy and program planning processes. Policy planning is an undefined activity at LEAA, but it is possible to identify evaluative information that has been utilized or has potential utility in the activity. Program planning includes the formal stages of the Action Program Development Policy (APDP) and activities formalized by the Management by Objectives (MBO) program. Less routine activities are

Table 3  
Utility Classes

1. Policy Development, Priority Setting, and Budgeting
2. Determining Future Research/Evaluation Needs
3. Developing Program Models
4. Selecting Test Strategy
5. Selecting Demonstration Strategy
6. Selecting Evaluation Strategy
7. Preparing for Training
8. Preparing for Marketing
9. Designing Research or Action Programs
10. Continuing Research or Action Programs
11. Modifying Research or Action Programs
12. Managing Research or Action Programs
13. Providing Technical Assistance
14. Providing Public Information
15. Providing Education
16. Debating Legislation

Table 4  
Modes of Use

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper questions to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

also represented within the 16 utility classes, including responses to congressional or special interest groups. It was anticipated that evaluative information from LEAA sponsored studies would have potential utility in each of the 16 classes.

In interviews with LEAA staff and management, RTI analysts obtained information to classify evaluation studies by mode of use as well as by utility class. The mode-of-use classes are in table 5. The classification scheme gives highest rank (Mode A) to evaluation studies that answer a decisionmaker's specific questions. This generally occurs when the decisionmaker is involved in the design, implementation, and interpretation of the evaluation study. Mode B is most appropriate to knowledge generation evaluations that clarify situations and define opportunities for decisionmakers. Mode C represents use of evaluation studies in which the judgement of the subject matter expert is confirmed and the decisionmaker uses the results because they are positive. Under present MBO procedures a program manager is not required to use the results of evaluation studies in decision memoranda, and findings can be ignored (Mode F).

Modes A, B, and C define utilization for this study. These are modes of use in which the user has a social mission to perform and the evaluative information contributes to decisions within the scope of this mission. The remaining modes are uses, misuses, or non-uses. Mode D categorizes use by a reader of the evaluation study report who has an interest in the subject but no responsibilities related to the findings. Mode E represents misuse of finding, whether inadvertant or on purpose. Mode F represents failure of the evaluation study to provide the person interviewed with findings of present or potential utility. Mode N rated studies were never read and a / is used to indicate that insufficient information was obtained to rank mode of use.

The utility classes in table 3 categorize activities in which it was anticipated that evaluative information would be used to assist with LEAA decisionmaking. The mode-of-use classes in table 4 permit RTI analysts to categorize the quality of use of information from a specific evaluation study by a user or potential user. These classes are used in summarizing the findings of this study.

### C. Utilization Concepts

A large body of literature on knowledge utilization and technology transfer was reviewed for this study. Much of the literature is concerned with information's slow movement from research into policy, programs, or commercial products. Engineering and the physical sciences have tried to deal with this problem for years, seeking to emulate the successes of the land grant colleges and Agricultural Extension Service. The social sciences have more recently tried to apply research to Federal policy and programs. The Human Interaction Research Institute reviewed all of the relevant studies of knowledge utilization through 1976 for the National Institute of Mental Health. They summarized the many factors researchers have proposed as influencing the likelihood of adoption or adaption of seemingly promising innovations. The following list of eight factors with the acronym, A VICTORY is attributed to Howard Davis:

Ability to carry out the change  
Values or self-expectancy  
Idea or information about the qualities of the innovation  
Circumstances prevail at the time  
Timing or readiness for consideration of the idea  
Obligation, or felt need to deal with a particular problem  
Resistance or inhibiting factors  
Yield, or perceived prospects of payoff for adoption

These are appropriate factors to consider when marketing an innovation or disseminating research findings. However, the evaluation study researcher knows in advance (or should know) who needs the evaluative information and why it is needed. Therefore, in a well-designed evaluation study, many of the factors noted by Davis are favorable before the study begins. Michael Q. Patton [1978] has derived a series of steps he believes will produce utilization-focused evaluation studies. These steps are:

#### (1) Relevant decisionmakers and information users must be identified and organized for the evaluation process.

This group would include the decisionmakers in the policy, planning, and operating processes as well as potential information users. They should have specific questions that they want answered. Provisions should be made for continuous direct contact between these persons and the researcher, possibly through a task force organized for the specific evaluation process. The group should be kept small and a sufficient time commitment should be required of each member.

#### (2) Relevant evaluation questions must be identified and focused.

The relevant decisionmakers and information users must agree on the purposes and emphasis of the evaluation study and on the components of the program to be evaluated. Evaluation questions must then be framed within the scope of the study thus defined. Questions may be framed in terms of the program's goals, in terms of implementation features (effort, process, treatment identification), and in terms of the program's theory of action (hierarchy of objectives, causal connections, linkage of treatment to outcome). The questions must be relevant to the program as it exists in each time period of the evaluation study. The researcher should participate in developing the questions, suggesting changes so that data that are relevant to the questions can be collected.

Patton states that "the fundamental, ever-present question that underlies all other issues is: What difference would it make to have this information? How would the information be used and how would it be useful?"



- (3) Selected [research] methods must generate useful information for the identified and organized decisionmakers/information users.

Researchers should select methods appropriate to the nature of the program and to the evaluation questions. Design and measurement decisions should be shared by researchers, decisionmakers, and information users to increase the user's understanding of, belief in, and commitment to evaluative findings.

- (4) Decisionmakers and information users must participate with researchers in data analysis and data interpretation.

The decisionmaker should be able to review the data and interpret them independently, away from the bias that might be introduced by the researcher's conclusions. Data analysis should be in a form that makes sense to the decisionmaker rather than to the researcher's peers. The decisionmaker should receive data as they come available so that surprises are avoided. Researchers must work closely with decisionmakers and information users to help them make full and correct use of the data.

- (5) Researchers and decisionmakers/information users must negotiate and cooperate in disseminating results.

The primary utilization is by the decisionmakers/information users that participated in the evaluation process. All participants share the responsibilities of disseminating results, and they should be identified in reports and present at any dissemination presentations.

A major problem hindering utilization of scientific knowledge can be avoided by following Patton's steps. This problem is that scientists write for associates who share their professional interests. Professionals in applied science groups (or LEAA action programs) may be interested in the knowledge generated by basic research groups, but they seldom have time or funds to acquire knowledge that might have utility. The two groups do not share the same jargon, and applied scientists have trouble framing questions for an information storage and retrieval system designed for basic researchers. Closed communication networks characterize many professional groups in private firms and government, as well as in academic settings, but Patricia Rieker [1979] suggests that the academic researcher networks may be more closed than those of others that participate in the evaluation process for the Federal government. In an unpublished paper made available to this study, Rieker states that 63 percent of interviewed researchers see their colleagues as the audience for their studies, while only 17 percent of for-profit firm researchers write for their colleagues.

Patton's five steps will be used as a model evaluation process against which to compare the evaluation processes observed in interviews within LEAA. Although Patton's evidence was obtained primarily through

local project-level evaluation and Rieker's observations were of national program evaluations for Federal agencies, their conclusions are similar. For example, Rieker reports 10 structural conditions for improving use of Federal evaluations, as follows:

- (1) On research/sponsor/information user interaction:

"The evaluation function within the sponsor's organizational structure must be one invested with legitimate authority and power, and ought to be directly connected to planning and program-decision functions. If the personnel in the evaluation division are subject to a hierarchical structure that assigns low status to use activities, it will provide a disincentive for undertaking such activities."

"Structural linkages or feedback mechanisms should be developed between the researcher and the sponsor and between both of these members and potential users. Unless the sponsor gets feedback from potential implementers about specific use or non-use, there is no way of knowing in the future how or what information to communicate. Likewise, if the sponsor, in turn, does not provide feedback to the researcher there is no other way that she/he can learn how to improve research procedures."

"The training and orientation of both government personnel and researchers should include delineation of responsibilities for dissemination and use."

- (2) On evaluation questions and design:

"The translation of the sponsor's concerns to a research design must take into account, but not be completely determined by, the sponsor's values, priorities, and the implementation level for which the information is required."

"The sponsor evaluation-review process is a major intellectual and organizational activity; to develop relevant criteria for judging the adequacy of research findings and to cope with their defects and biases require personnel with either considerable experience and sophistication, or someone trained for precisely that task."

- (3) On data analysis and interpretation:

"The translation of research results into recommendations ought to be a joint effort, at the very least, between the researcher and the sponsor. The purpose of joint recommendations is to assure that the sponsor does not misinterpret the "data" and that the researcher becomes aware of the realistic elements of alternative courses of action and their possible consequences."

(4) On dissemination:

"Attention must be directed at how to best communicate and disseminate evaluation results. Different types of audiences and "users" require information in a variety of forms. For some audiences/users it may be necessary to develop a role for research communicators, somewhat like that performed by agricultural extension agents." [or LEAA technical assistance contractors]

(5) On obtaining competent participants in the evaluation process:

"If a marginal or low status is assigned to evaluation research within the scientific disciplines, recruitment of well-trained persons to carry out this research will become more problematic than at present."

"The reward structure of the scientific communities must include incentives related to the legitimate use of social research. The reward structure within government bureaucracies must not only provide incentives for use activities but for undertaking evaluation at all."

"Research on the social and intellectual aspects of the decisions made by researchers, policymakers, and practitioners is long overdue. The use of evaluation or any other research results will never be fully comprehensible without it."

Policy documents show that LEAA is aware of such concepts for enhancing the utilization of evaluation finding. One major concept from Patton and Rieker is implied in LEAA's Evaluation Policy Instruction I 2300.5, in which OPM states:

"The only way to guarantee that evaluation findings are used is to make sure that the answers that evaluations give are directly linked to the questions to which agency managers need answers. The way to assure that this happens is to arrange for dialogue ..."

With new congressional mandates holding LEAA executives accountable for results, executive interest in utilization-focused evaluation should be enhanced.

The approach that RTI has taken in this study comprises an attempt to follow Patton's five steps, as restated below:

1. Identify and involve all relevant decisionmakers,
2. Identify the evaluation questions that are important to these decisionmakers,
3. Select research methods that will answer these questions,

4. Obtain participation of decisionmakers or their staff in analysis and interpretation of the results, and
5. Obtain participation of decisionmakers in developing policy and program implications for inclusion in the evaluation study report and in deciding upon dissemination of results.

The next section of this chapter includes a discussion of the background to this study, a description of the approach and a presentation of the schedule of activities.

D. Approach

1. Background for Study Approach

In the following extract from a December 4, 1978, memorandum to LEAA Program Offices from James M.H. Gregg, Assistant Administrator, OPM, the purpose of the study is stated and the background explained:

"The purpose of the study is to review the extent and the ways in which we have used evaluation results within LEAA to date, and to see if there are ways we can improve on present procedures and obtain greater utility from the rapidly increasing volume of evaluation findings."

"I view the study as potentially important for planning at all levels of LEAA during our transition period. It may also provide valuable documentation--for ourselves and in response to congressional interest--on the extent to which evaluation findings have been used to improve programs in LEAA."

"Research Triangle Institute (RTI) is conducting the study during the four months of November through February. They will be interviewing a number of LEAA office heads and members of their staffs about the use of results from a selected sample of completed evaluation reports."

"The focus of the study is on the processes and procedures of evaluation utilization systems within LEAA. Information on the extent and nature of utilization will be collected and analyzed with a view to improving processes and practices, . . ."

"We are interested in an efficient and meaningful set of utilization practices, with only the minimum of paperwork necessary for information exchange and accessibility in a complex and often interrelated set of programs. The experience and insight of the LEAA staff should be our most productive source of ideas, both for what to do and what to avoid."

Before this study began, the RTI project leader met with the Government Technical Representative (GTR); the Assistant Administrator for OPM, the Acting Director of the National Institute of Law Enforcement and Criminal Justice (NILECJ); the Director of the Analysis, Planning,

and Management Staff of NILECJ; and the Acting Director of the Office of Program Evaluation (OPE) within NILECJ. The purpose of these discussions was to find out what each individual expected from the study before RTI and OPM agreed on the study approach. During these discussions, no one disagreed with the purpose as presented in the quotations above. However, OPM and NILECJ had different expectations.

The NILECJ managers expected that the study would uncover past problems with utilization that had been corrected. There was some concern that the study might be yet another negative criticism of NILECJ research with little constructive value. Although the managers questioned the need to initiate such a study during a transition period, they agreed that OPM had a valid reason for requesting such a study. Further, they recommended that the new Administration set a strong and affirmative policy toward utilization of evaluative information throughout LEAA policy and program offices.

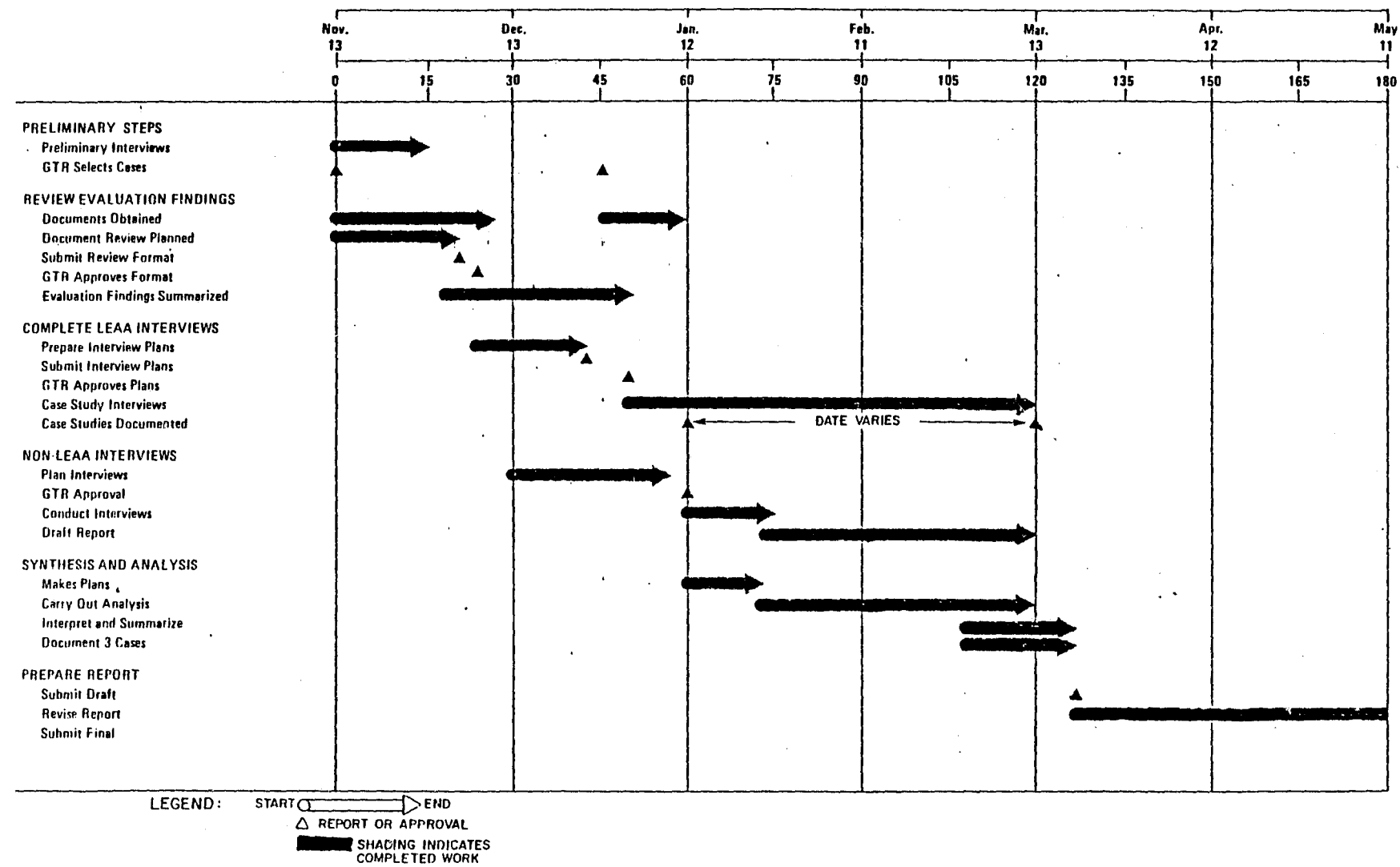
Whereas NILECJ viewed evaluative information from the viewpoint of a sponsor of research and evaluation studies, the OPM decisionmakers were concerned with utilization from several different perspectives. The OPM interviewees expressed the Administration's needs for evaluative information to support major decisions and its concern that all lower-level program decisions make maximum use of available evaluative information. The Assistant Administrator for OPM also pointed to a continuing and growing LEAA concern with congressional oversight and with the explicit demands for evaluative information being expressed by Rep. Elizabeth Holtzman and Senator Joseph Biden. He was not sure that LEAA needed a formal evaluation utilization system. However, he expected OPM to consider all feasible alternatives for incorporating requirements in other LEAA policy instructions and formal procedures.

## 2. Schedule of Activities

The procedures to be followed in completing this study were specified by OPM and agreed to by RTI after the preliminary discussions with LEAA decisionmakers for this study. The work plan and schedule are in figure 5. The study was completed and a draft report delivered in 4 months, and LEAA and RTI used 2 more months to review the draft and to expand the report to include interpretations that followed the discussions.

The first reports from the study were called evaluation findings summaries. These summaries were prepared after RTI analysts reviewed 33 evaluation study reports. The analysts abstracted the selected reports, summarized their findings, and judged their quality and appropriateness for use in LEAA policy and program decisions. The reviewers then gave the summaries to other interviewers or performed interviews themselves. The interview schedules included questions about the utilization of the evaluation findings in specific classes of policy or program decisions. Comments relating to specific examples of evaluation finding utilization were then added to the evaluation findings summaries which are in volume II of this report. Findings by utility class and mode of use are in chapter 4 and the case study reports are in the appendixes of volume I.

Figure 5. Work Plan Outline and Schedule



The purposeful sample selected by OPM provided coverage of each of the functional areas of adjudication, corrections, enforcement, juvenile justice, prevention, statistics and information systems, and major policy studies. The studies selected were intended to provide coverage in all of the utility classes in table 3. Some study reports were difficult to obtain because the National Criminal Justice Reference Service could not locate the reference or had none available; however, all were eventually obtained from OPM or NILECJ.

Interviews were held first with the project monitor for the evaluation study if he or she could be located. The interviewer then proceeded to other research and action offices on the suggestion of the project leader or because the office was a logical candidate for utilization. The interview guide and the questionnaire used in these offices appear in appendix F. All interviews were recorded unless the person interviewed objected; only two interviews were not on tape. The tapes were subsequently erased when this report was completed.

Interviews were also held in evaluation units of the Office of Education, the Department of Labor, the National Institute of Mental Health, and with an evaluation utilization consultant to the Department of Health, Education and Welfare. These interviews were to determine whether LEAA would enhance utilization of evaluation findings by adopting some of these agencies' practices. The Office of Education was the most informative, and a report on its evaluation utilization processes is presented in appendix A.

When all interviews were completed, the project leader selected four sets of related evaluation studies as the subjects of case study reports. The four completed case studies appear in appendixes B, C, D, and E. These case studies provide examples of utilization that illustrate the strengths and weaknesses of existing processes in four different functional areas of LEAA: enforcement, adjudication, juvenile justice, and statistics and information systems.

The next subtask of the study was to analyze the collected information and synthesize the findings. This was completed in a draft report submitted in March. The results were then discussed with OPM before interpretations of the findings were prepared for this final report and presented in chapter 5.

#### E. Summary

This chapter has described the concepts, introduced the terminology, and explained the approach of this study. The presentation of results begins with a review of LEAA evaluation policy and practice in chapter 3.

### Chapter 3

#### Evaluation Policy and Practice at LEAA

##### A. Introduction

This chapter discusses the evolving LEAA evaluation processes, the terminology used by OPM to describe these processes, and the types of studies that have provided information necessary for evaluation and decisionmaking processes. Information for this chapter was obtained from policy instructions, discussions with OPM's evaluation coordinator, and interviews and documents obtained in other LEAA policy offices. This chapter provides a historical background and organizational context for the discussion of findings presented in chapter 4 and in the four case studies in the appendix.

##### B. Evaluation Policy at LEAA: A Brief History

According to the Report of the LEAA Evaluation Policy Task Force [1974], LEAA's formal policy toward evaluation prior to the Crime Control Act of 1973 was only that involving testing in the equipment program. Following the emphasis on evaluation in that Act, LEAA initiated steps to insure that appropriate attention be given to evaluation at Federal, state, and local levels whenever LEAA funds were to be expended. The new emphasis began in a situation characterized by (1) little evaluation experience at any political level, (2) funding patterns that made initiation of evaluation studies awkward, (3) uncertainty about what an adequate response to the congressional mandate might be, and (4) a history of "new federalism," in which much of the responsibility for planning and evaluating criminal justice programs rested with the states and their local jurisdictions. The Task Force attempted to deal with these policy problems through a program that was to "provide LEAA with an evaluation program considerably more sophisticated and comprehensive than that of any other Federal agency..."

The Office of Planning and Management (OPM) was responsible for coordinating the LEAA Evaluation Program, and by 1976 Policy Instruction I 2300.5 described the recommended program as having the following elements:

- (1) Evaluation Guidelines for block and discretionary grant programs to meet the 1973 Act requirements for "such ... monitoring and evaluation procedures as may be necessary."
- (2) A Knowledge Program to meet the 1973 Act requirement that the National Institute of Law Enforcement and Criminal Justice (NILECJ) should undertake, where possible, to evaluate the various programs and projects for the purpose of determining their impact and the extent to which they have met the purposes and policies of the Act. Under the Knowledge Goal of developing information on the effectiveness of criminal justice programs and practices, NILECJ has initiated:

- The National Evaluation Program (NEP): phased evaluation studies of specific approaches and programs already operating within the criminal justice system, including those supported under the block grant program.
  - Program Evaluations: selected program-level evaluations specifically designed to develop information on the effectiveness of criminal justice programs or practices. (Discretionary programs are evaluated most often, because LEAA can exercise greater control over program design and execution.)
  - Evaluation Research: to develop new methods for assessing the effectiveness of criminal justice programs.
- (3) A Management Program to ensure that evaluation becomes an integral part of the management process for each administrative level of LEAA. The program includes:
- Management by Objectives: the program is to be accomplished in part through the MBO system. Objectives are set within this system, program plans are made and approved, and reports of progress against plan are required. The review of plans provides an opportunity to determine whether evaluative information is being used, and the plans must address how evaluation of the program is to be conducted.
  - Two-year Evaluation Plans: information about completed and planned evaluation activities are compiled and published annually by OPM.
  - Evaluation Utilization System: the plan calls for a system to insure that evaluation findings are utilized in agency decisionmaking.
- (4) A Development Program to build evaluation capabilities in LEAA and in the entire criminal justice system. The program is designed to incorporate and coordinate a variety of activities, including training, technical assistance, and supporting model evaluations at various levels. Its objectives are to: (1) provide the means for a long term increase in the capabilities of criminal justice agencies to conduct and utilize evaluations, (2) share evaluation expertise, and (3) provide leadership to criminal justice agencies in evaluation.

Of special significance to this study is the plan for an evaluation utilization system under the management program. LEAA policy guidance instructions explain that:

"...the only way to guarantee that evaluation findings are used is to make sure that the answers that evaluations give are directly linked to the questions to which agency managers need answers. The

way to assure that this happens is to arrange for dialogue between those who are planning programs and those who are able to ask questions about what program planners hope to learn, what hypotheses they are testing, and how they intend to use the results."

The planned elements of the system are:

- (1) Active involvement of NILECJ with the program offices in program design to ensure evaluation findings that can be utilized,
- (2) Preliminary analysis of evaluation findings by relevant program offices,
- (3) Standard system for reporting program evaluation findings to NILECJ,
- (4) Comprehensive analysis and integration of reported evaluation findings by NILECJ, and
- (5) Synthesis and production of an annual report of what has been learned about the criminal justice system through evaluation of LEAA-funded programs.

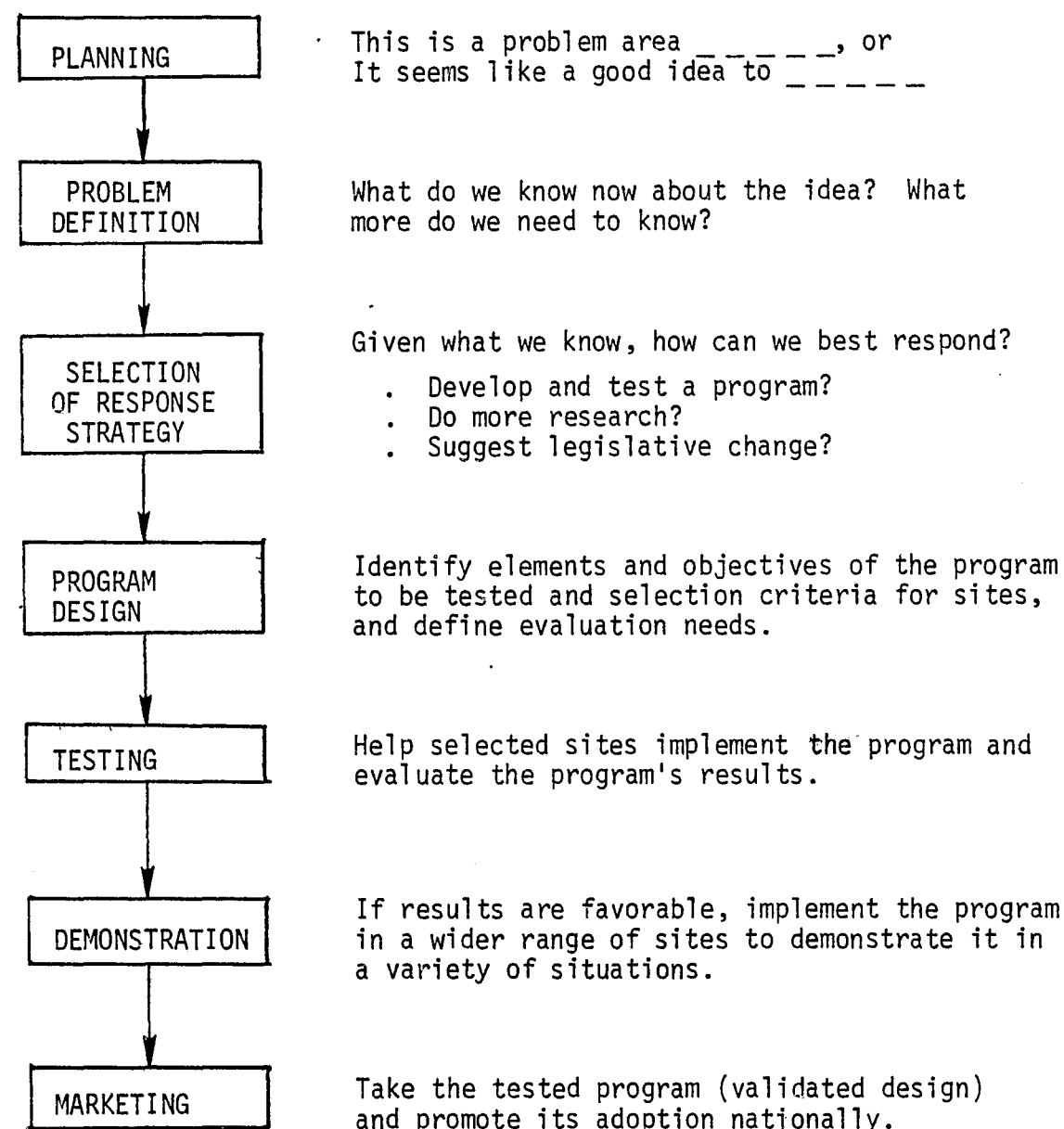
These policy instructions from I 2300.5, dated May 20, 1976, preceded a movement of LEAA policy and program planning toward a more formal process of action program development. Action programs at LEAA have often developed from the need to react to an issue quickly. Administrators apparently acted as soon as possible to meet the crisis of the moment and few of the resulting programs were validated. The shortcomings of this approach were discussed critically in Understanding Crime [White and Krislov, 1977] and in the Federal Role in Criminal Justice and Crime Research [U.S. Congress, 1977], but significant changes were under way in LEAA policy prior to the publication of either of these reports. Of particular note was the development of the Action Program Development Process (APDP).

The APDP process is described in the May 20, 1977 Instruction I 3000.2A titled Program Development Policy initiated by OPM. It is also described in brief as a part of the Action Program Development Process of NILECJ in the document Knowledge, Development, and Application produced by the Office of Development, Testing, and Demonstration (ODTD), March 1978. The simplified description from the latter document is shown as figure 6. The OPM instruction describes a similar set of stages in the APDP process, but OPM states that the process begins with policy planning rather than the "seems like a good idea to..." approach. However, the policy planning process is only vaguely described by OPM and leaves only the impression that the Administration will in some way provide criteria that will signal in advance to NILECJ that a "good idea" has a chance of being accepted as an APDP program model. Although the APDP is somewhat vague with respect to policy planning and is a relatively new process within LEAA, it is of significance for this study of evaluation utilization for several reasons:



Figure 6

Knowledge, Development, and Application:  
The Action Program Development Process



SOURCE: ODTD, 1978.

1. APDP is a formal policy document that requires use of evaluation findings in the LEAA program development process,
2. APDP formally requires coordination between research and program elements,
3. Model programs that process completely through the APDP sequence of steps to marketing are considered "validated," and
4. APDP comprises a logical set of steps for planning programs from research to action.

The next step in the sequence of historical policy events leading toward an evaluation utilization system was the preparation by OPM of the draft policy instruction entitled, Guidance for Analyzing Results of Research, Evaluations, Program Reviews and Monitoring Information for Policy and Program Implications, Utilization, and Dissemination. This 1978 instruction was an attempt to institute element 2 of the evaluation utilization system which required: "analysis of evaluation findings by relevant program offices." The draft instruction was not well received by its reviewers because it asked for a much more detailed review than was thought to be feasible, and it was unclear regarding who had responsibilities for declaring program/policy implications or acting upon these implications.

One other policy instruction reviewed for this brief policy history was the Standard Format for Submitting Recommendations to the Administration (I 1310.5) dated February 7, 1977. This instruction includes as an appendix a standard format for a Decision Memorandum. The instruction itself makes no mention of evaluations and the format explanation has only a casual reference to evaluations as one possible source of major assumptions behind the decision. It would appear that the preparer of a decision memorandum need not report that there has or has not been an evaluation... unless it will serve to support the decision that the author would like the Administration to make. The Administration does not formally require the use or disclosure of evaluative information by program managers when putting forth program decisions for Administrative approval.

In summary, the policy of LEAA with respect to evaluation has evolved, since the congressional mandate in the Crime Control Act of 1973, toward one in which evaluative findings are taking an increasing role in policy and planning decisions. However, program decisions are not particularly constrained by present policy to await evaluation results. As the following section will show, this may be the only practical approach until more evaluations can be completed.

C. LEAA Evaluation Studies Inventory

At the time of the LEAA Evaluation Policy Task Force in 1974, the only significant national evaluation was MITRE's Impact Cities evaluation. The Pilot Cities evaluations were underway, and the National Academy of

Sciences had been authorized to evaluate the National Crime Survey. However, a number of research studies for the Office of Research Programs (ORP) were nearing completion. These studies contained evaluative information and are listed in the study inventory compiled for this utilization study.

The evaluation inventory is a comprehensive list prepared by OPM of all of the LEAA studies having significant evaluative information for LEAA policy and program decisionmaking. When this study of the evaluation utilization system was initiated, there were 221 titles in the inventory. Of these, 157 were scheduled for completion before or during the study period. Later in the study, OPM supplied a supplemental list that contained 365 titles which were added because OPM expanded the working definition of evaluation to include evaluative research. Evaluative research projects were defined by OPM as those which include an empirical assessment of the effects of a policy, program, project, practice or procedure.

The evaluation inventory lists titles of evaluation studies sponsored by twelve different units of LEAA. The names of the sponsoring offices and the abbreviations used in the inventory are:

NILECJ - National Institute of Law Enforcement and Criminal Justice

NEP - National Evaluation Program (Initially in an Office of Evaluation, now in OPE)

OPE - Office of Program Evaluation

ORP - Office of Research Programs

OREM - Office of Research and Evaluation Methods

NCJISS - National Criminal Justice Information and Statistics Service

OCJET - Office of Criminal Justice and Education and Training

OJJDP - Office of Juvenile Justice and Delinquency Prevention

NIJJDP - National Institute of Juvenile Justice and Delinquency Prevention

OOS - Office of Operations Support

OPM - Office of Planning and Management

Table 5 shows the number of evaluation studies scheduled for completion each year through 1979. The Office of Research Programs was the principal sponsor in the inventory with 92 of the 283 studies scheduled for completion by 1979. These ORP research studies provided the enforcement areas with an early start in evaluation finding utilization. The Office of Program Evaluation will have completed 49 studies through 1979 and had 16 studies scheduled for completion in 1978. The Office of Juvenile Justice had 18 scheduled for 1978. A number of studies scheduled by OPE and OJJDP for completion in 1978 were extended into 1979.

Table 5

Distribution of the Evaluation Inventory  
by Sponsor and Year of Completion

Sponsoring Office	Completion Year						Total
	1974	1975	1976	1977	1978	1979	
NEP			12	14	5		31
OPE		5	8	13	16	7	49
ORP	11	15	32	11	13	10	92
NCJISS		2	7	4	2	2	17
OCJP	1	3	6	7	6		23
OCJET			1	1	10	5	17
OREM		1		1	2	9	13
OJJDP/NIJJDP		1	7	4	18	2	32
NILECJ			1	1	1		3
OSS		1				1	2
OPM			3		1		4
	12	28	77	56	74	36	283

SOURCE: OPM Evaluation Inventory, January 16, 1979.

Many of the ORP studies were not planned as evaluative research and a substantial number of the 1978 and 1979 studies are not yet complete. Thus, a relatively small and recent experience base was available to this study of evaluation utilization. This significantly limited the evaluative information utilization that could be reported in Chapter 4.

About 33 evaluation studies were selected from the inventory by OPM for this study. Studies were to be representative of each LEAA utility class and functional area. Table 6 shows the distribution of the evaluation inventory by functional area and year.<sup>5/</sup> All functional areas received some attention but there were more enforcement and juvenile justice evaluation studies. The inventory lists each project evaluation in the multiple sites of a few national programs as well as the national program evaluation. The Integrated Criminal Apprehension Program (ICAP) in the enforcement area, the Deinstitutionalization of Status Offenders Program (DSO) in the juvenile justice area, and the Model Evaluation Program (MEP) in the planning systems/agency area are examples of multi-site project and national program evaluations. These three programs account for 5, 10, and 13, respectively, of the evaluation studies in these functional areas.

The distributions in tables 5 and 6 show that the LEAA evaluation program started in 1974 and was well underway by 1976. There is some coverage of all functional areas where program planning occurs, as well as coverage for policy areas. The sample of 33 evaluation studies reviewed for this study is generally representative of this inventory.

#### D. LEAA Definitions of Evaluation

In the context of LEAA policy and program decisions, a value judgment or assessment is made by administrators and managers in policy and program positions within the agency. Any empirical assessment that can lead to better estimates of values or judgments of worth could logically be called evaluative information, and a variety of terms related to evaluative information are current within LEAA. Evaluation is defined by the Crime Control Acts of 1973 and 1976 as:

- (1) "Evaluation" means the administration and conduct of studies and analysis to determine the impact and value of a project or program in accomplishing the statutory objectives of this title. (Sec. 901)

<sup>5/</sup> The functional areas in table 6 are not long established classifications at LEAA. Within OPM the list of functional area classes changes frequently. This situation was not a problem for this RTI study, but it compromises the design of information and retrieval systems. Knowledge dissemination would be aided by a standard set of functional area descriptors throughout LEAA.

Table 6

#### Distribution of the Evaluation Inventory by Functional Area and Completion Year

Functional Area	Completion Year						Total
	1974	1975	1976	1977	1978	1979	
Prevention			5	1	3	1	10
Enforcement	4	4	9	11	12	6	46
Adjudication:							
Prosecutor/Defense	1		7		3		11
Courts	1	5	11	9	1		27
Corrections:							
Incarceration	1		7	5	3	2	18
Alternatives	3	1	5	8	4	4	25
Juvenile Justice		3	9	7	20	2	41
Systems & Statistics		2	7	7	2	2	20
Equipment & Forensics		2	3		2		7
Evaluation Methodology		2		1	4	10	17
State & Local Initiatives	2	2	1	1	6	4	16
Planning Systems/Agency		1	7	5	6	1	20
Policy/Program Evaluations		2	4	1	5	2	14
Policy Planning Studies				1	1	1	3
Comprehensive Programs		4	2	1			7

In its annually produced Evaluation Plan, OPM presents a number of evaluation related definitions with the intent of clarifying the set of items that might be included in or might encompass "evaluations" as defined by Congress. These definitions acknowledge terms that are in use in varying degrees within LEAA. The terms presented in table 7 are from the Glossary of the LEAA Two-Year Evaluation Plan, November 1978.

The glossary definitions appear in many of the policy documents and evaluation studies reviewed for this study. To the extent possible, this study has classified evaluative information by usefulness to classes of policy or program decisions for which the study was designed (utility classes). It was not always possible to determine the utility class from the study reports, because the studies seldom identified intended users or uses.

#### E. Summary

This chapter has briefly described the evolution of LEAA evaluation policy since 1974. Policy and terminology related to utilization of evaluative information was described. The concepts of evaluative information use proposed in chapter 2 differ only in terminology from the evaluation utilization system proposed in LEAA policy documents. Some difficulties will arise in gaining acceptance of the concept that the manager and not the researcher evaluates. However, OPM as evaluation coordinator would benefit if all LEAA decisionmakers acknowledge that they have more of a role in evaluation than that of an information user at the end of the evaluation process. Also, researchers should realize that they have not been delegated authority to judge the worth of a policy or program for society. Evaluation in Federal agencies should be a cooperative effort between manager and researcher, and LEAA policy is not contrary to this interpretation.

The chapter has also introduced the OPM evaluation inventory that comprised the universe of studies from which selections were made for the examination of past utilization within LEAA policy and program offices. The findings are summarized in the next chapter.

Table 7

#### Glossary of Evaluative Terms in LEAA Policy

Assessment. The most general term used by LEAA for a broad range of activities conducted for the purpose of defining what is happening, its importance and value. It includes evaluation, monitoring, and self-assessment, as well as judgments that are not necessarily based on systematic collection and analysis of quantitative data.

Monitoring. Periodic or continuous review or checking on the implementation, operation and results of [activities]... to establish whether or not inputs are sufficient to produce intended activities. [NOTE: other definitions restrict monitoring to observing, recording, or detecting with instruments that have no effect upon the operation or condition. No judgment or feedback is implied.]

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

Independent evaluation. An evaluation by a third party in order to obtain an unbiased assessment.

Program review. Refers to the gathering and assessment of monitoring information at a particular point in time, intended to identify design and implementation issues and to provide information useful for program management, development or restructuring. Program reviews include multiple grants (sites) supported under a common program.

Project review. An assessment of a single project, otherwise similar to a program review in scope and purpose.

Program evaluation. Intensive evaluation at the national program level, to include multiple grant sites.

Project evaluation. Intensive evaluation of an individual project.

Cluster evaluation. Intensive evaluation of multiple projects within a program in which the analysis emphasizes project level results rather than program level generalizations.

Performance measurement. Systematic program and project assessments, including self-assessment, monitoring, and evaluation. Includes systematic assessment performed by LEAA, grantees or an independent party.

Table 7 (continued)

Intensive evaluation. Those assessments which not only measure performance and outcomes, but are designed with a sufficiently rigorous approach to permit an attempt to establish a cause and effect relationship between program or project activities and results. Intensive evaluation ideally includes the system-atic measurement of project inputs, activities, immediate results, and outcomes (impact and value) in an attempt to determine causal relationships among these by testing the logic of the entire network of hypotheses contained in the program concept and model. (emphasis added)

Impact evaluation. Generally synonymous with intensive evaluation. However, the term "impact" implies a specific emphasis on impacts rather than on the process by which impact objectives are achieved, whereas intensive evaluation includes an intensive analysis of the entire logical linkage of the program or project model in order to ascertain how and why results and outcomes occurred as they did, or why they failed to occur. Impact evaluation may or may not include intensive process evaluation. Impact assessment and summative evaluation are generally synonymous terms.

Process evaluation. A type of evaluation that focuses on the relationships among project inputs, activities and results, but not on longer range outcomes or impact, and that is used to improve the efficiency and effectiveness of ongoing projects. Emphasizes measurement and assessment of the change process in the course of program and project start up and implementation, and such short term results as are feasible to measure, and focuses on whether and how well the change process is occurring in relation to planned inputs, activities and expected results, and whether the results indicate that the approach is likely to be an adequate, appropriate and effective response to the problem it addresses. (emphasis added)

Management evaluation. Used in LEAA to refer to assessment of programs or projects from the perspective of LEAA operations and management, as distinguished from assessment of grantee performance and effectiveness. The distinction is made because LEAA's legislative mandate for evaluation specifies LEAA responsibility for evaluating the impact and value of state and local criminal and juvenile justice programs and projects funded under the Act, not LEAA internal management.

## Chapter 4

### Summary of Findings by Functional Area

#### A. Introduction

This chapter summarizes the results of LEAA staff interviews about report utilization. It categorizes evaluation study uses by utility class and mode of use. Four case studies in appendixes of this volume further detail and analyze these use experiences in four functional areas: enforcement, juvenile justice, adjudication, and information and statistics. The separately bound volume II of this report contains a brief statement of use experiences for each reviewed evaluation study report.

Individual study reports are treated in this chapter as independent sources of evaluative information. The enforcement case study best illustrates that it is difficult to document utilization of a single report in decisionmaking at LEAA. However, LEAA staff may use a series of research and studies in a topic area to obtain input to continuing program decisions. The contribution of any one of the studies may be lost over time. As a consequence, this chapter's reports of uses of individual studies may understate rather than overstate utilization in LEAA decisionmaking.

#### B. The Enforcement Area

Use of the selected evaluation studies<sup>6/</sup> in the enforcement area is summarized in table 8. Only the first four of these six documents were reviewed in advance, but the other reports were discussed during interviews. Enforcement is an area in which a series of research and evaluation studies related to police patrol have contributed to major innovations in police operations. The case study in appendix A discusses how the studies contributed to enforcement area decisionmaking over an eight-year period.

Table 8 shows that modes-of-use A, B, and C, the three modes that signify utilization in policy and planning decisions, appear frequently in this classification of enforcement area reports. The seven interviewees reported that the Response Time Analysis study conducted in Kansas City was utilized in numerous decisions (9 utility classes). The three NEP studies are less well used, but the Traditional Preventive Patrol NEP was considered a most useful state-of-the-art assessment. All of these research and evaluation studies contributed to the accumulation of knowledge about police patrols. They also provided evaluative information to continuing program decisions in enforcement area action programs. The case study discusses circumstances in the enforcement area that may have accelerated utilization.

<sup>6/</sup> Studies reviewed are cited in the bibliography by functional area categories.

Table 8  
Utilization of Enforcement Evaluation Studies  
(By Utility Class and Mode of Use)

Utility Class	Evaluation Study Report Used					
	Crime Analysis NEP	Response Time Analysis	Special Patrol NEP	Tradit. Team NEP	Neigh. Team Police	Manag. Criminal Invest.
Policy Planning		A				
Determining Future Research/Evaluate Needs	B,F*	A,B	B,D	A,B	F,A	
Program Models		A,B	B	B	✓	
Testing Strategy		B	D	B	✓	A
Demonstrate Strategy		B	D	B	✓	
Evaluate Strategy	B	B	D	B	✓	
Training/Marketing	N	B	D	B	✓	A
Program Design	D	A	D,C	D,C		C
Program Continuation						
Program Modification						
Program Management	C	A	D	C		C
Technical Assistance	D		D	D		C
Public Information		(no interviews in this class)				
Education	N	N	N	N	N	N
Legislation		(no interviews in this class)				
No. Responding	4	7	7	7	6	7

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

\*Two modes of use are given when two program managers differ about the utility of a report. This usually means research and action program managers held different opinions.



C. The Prevention Area

Table 9 shows use of the reviewed evaluation studies in the prevention area to be considerably less intensive than in the enforcement area. Although the potential for utilization of future OPE results is promising, utilization of completed studies has been limited. Past studies have failed to influence Office of Community Anti-Crime (OCACP) policy planning because they were not addressed to any of the current concerns of OCACP. The past studies were referred to by OCACP as "cops and locks" studies, whereas the current thrust of OCACP concerns community action. Because it had some relevance for community action, the Seattle Exemplary Project on community crime prevention was utilized by OCACP in program design. The other studies in table 9 had utility as background for research planners if not for OCACP.

The major action program in the OCACP is now being evaluated with the assistance of the Office of Program Evaluation, and the cooperation is rated as very good by both Offices. The study has not yet produced an assessment of results, but the implementation progress reports are well received and acted upon. Early involvement of OPE in action program design contributed to the potential success of the OCACP program evaluation. The OCACP action program manager, the OPE evaluation project monitor, and the researcher appear to have continued cooperation in the evaluation process.

D. The Adjudication Area

The Career Criminal evaluation studies are the subject of a case study in appendix C, but the case is incomplete because research in the Career Criminal program has not provided the expected measurements of impact. In contrast to the OCACP program evaluation, there appears to be less coordination between the action program, OPE, and the researcher in the Career Criminal program. This may be a logical consequence for program evaluations that are attempted after an action program has been designed and implemented. Process information is being collected by the evaluation program researcher in preparation for impact measurement, but the information is reported to have no utility for the action offices.

Table 10 shows reported utilization for five evaluation studies in the adjudication area. The Court Information Systems NEP study is an example illustrating both utility and lack of utility. Initiated by the Adjudication Division of ORP, the study offered a direct answer to a question about research needs in the adjudication area. However, this NEP was not coordinated with relevant program managers in NCJISS or OCJP. The NCJISS program manager had already received the relevant findings of the NEP from other sources and had initiated programs to correct the situation. Action program staff in OCJP reported that the NEP results supported their previous decisions but that much more useful evaluative information was available from an OCJP technical assistance contractor. Very little utilization was uncovered for the four other studies in table 10.

Table 9  
Utilization of Prevention Evaluation Studies  
(By Utility Class and Mode of Use)

Utility Class	Evaluation Study Report Used						
	Citizen's Patrol NEP	Opera- tion ID NEP	Citizen's Crime Reporting	Security Surveys	Seattle Exem- plary Project	Comm. and Citizen Mob.	Project Turn- around
Policy Planning	F	F	F	F	F	F	
Determining Future Research/Evaluate Needs	B	✓	B	B		C	C
Program Models							
Testing Strategy							A
Demonstrate Strategy							
Evaluate Strategy							A
Training/Marketing							
Program Design	F	F	F	F	A	F	
Program Continuation		E					
Program Modification							
Program Management							
Technical Assistance							
Public Information							
Education							
Legislation							
No. Responding	4	3	3	3	2	4	4

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

Table 10  
Utilization of Adjudication Evaluation Studies  
(By Utility Class and Mode of Use)

Utility Class	Evaluation Study Report Used				
	Court Info. Systems	Neigh. Justice Centers	Career Criminal Evals.	Pre- trial Screening	Citizen Dispute Settlement
Policy Planning					
Determining Future Research/Evaluate Needs	F,A*			B	B
Program Models Testing Strategy Demonstrate Strategy Evaluate Strategy Training/Marketing	F	D	A		
Program Design Program Continuation Program Modification Program Management Technical Assistance	F  C D	F  F F	   ✓		
Public Information					
Education					
Legislation					
No. Responding	6	3	2	1	1

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

\*Two modes of use are given when two program managers differ about the utility of a report. This usually means research and action program managers held different opinions.

E. The Corrections Area

The individual studies rated for the corrections area in table 11 were generally of high utility. The mode-of-use indicators in table 11 show direct utilization by all but one person interviewed. Each study is reported to have provided specific answers (Mode A) in the utility class for which it was designed. They also provided background (B) or confirming evidence (C) in at least one other utility class.

An OPM analyst reported that research and action program coordination efforts in the corrections area had progressed slowly and, as a result, significant evaluation findings were not translated into action program decisions. Several interviewees acknowledged a past tradition of separation between research and action offices. However, effective utilization by program offices was reported for the three cost analysis reports in table 11, and they were managed in research offices.

F. Juvenile Justice

In a case study in appendix B, the special circumstances that enhance utilization of research and evaluative study findings in the juvenile justice area are discussed. Juvenile justice area programs are managed in two relatively small organizations with research, action, and administrative offices located near each other. It is a relatively new program area and, according to policy, no action programs are initiated in the field before an evaluation component is included. There is a guiding evaluation policy for the juvenile justice area that combine a knowledge generation goal with a goal of achieving program implementation. Utilization-focused evaluation designs are more easily implemented in this receptive and compact environment.

Three evaluation studies were reviewed for the juvenile justice functional area. Table 12 shows all three are utilized in four or more utility classes. Although they were initiated before OJJDP was organized, the NEP studies in this area were specifically designed to assist with juvenile justice area policy planning and to point out research needs. OJJDP program implementation and evaluation is in progress under evaluation guidelines that are similar to the APDP guidelines. Juvenile justice personnel interviewed believe that APDP was founded on principles already used in juvenile justice research and action offices.<sup>7/</sup>

G. The Information Systems and Statistics Area

Utilization of the first three of the five reports in table 13 is discussed in an NCJISS case study in appendix D. NCJISS experience shows that evaluation study findings are utilized best when the decision-makers participate throughout the study to insure relevant and timely

<sup>7/</sup>Other LEAA staff contend that APDP principles derive from military research and development, initially interpreted in the LEAA equipment test program.

Table 11  
Utilization of Corrections Evaluation Studies  
(By Utility Class and Mode of Use)

Utility Class	Evaluation Study Report Used					
	TASC NEP Phase I	Trans. from Prison to Employ.	Mont- gomery Co. work Release	Cost Analy. Insti. Based Programs	Cost Analy. Alt. to Arrest	Cost Analy. Pretrial Diversion
Policy Planning	F					
Determining Future Research/Evaluate Needs	F,A*			B	B	B
Program Models		A	A			
Testing Strategy	✓	A	B			
Demonstrate Strategy		✓	✓			
Evaluate Strategy	A	✓	✓			
Training/Marketing	✓	B	B			
Program Design	C	✓	✓	A	A	A
Program Continuation						
Program Modification	B					
Program Management	C					
Technical Assistance	C					
Public Information	C					
Education						
Legislation	C					
No. Responding	4	2	2	3	3	3

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

\*Two modes of use are given when two program managers differ about the utility of a report. This usually means research and action program managers held different opinions.

Table 12  
Utilization of Juvenile Justice Evaluation Studies  
(By Utility Class and Mode of Use)

Utility Class	Evaluation Study Report Used		
	Delinquency Prevention Theory	Detention Alternatives NEP	Responses to Angry Youth
Policy Planning	A	A	B,F*
Determining Future Research/Evaluate Needs	A	A	B
Program Models	D	B	
Testing Strategy			
Demonstrate Strategy			
Evaluate Strategy	A	A	
Training/Marketing			A
Program Design	D		F,A
Program Continuation			
Program Modification			A
Program Management			A
Technical Assistance			
Public Information			
Education			
Legislation			
No. Responding	3	3	3

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

\*Two modes of use are given when two program managers differ about the utility of a report. This usually means research and action program managers held different opinions.

Table 13  
Utilization of Information Systems and Statistics Studies  
(By Utility Class and Mode of Use)

Evaluation Study Report Used					
Utility Class	Surveying Crime	Utility and Benefits of NCS	Eval. of Accomp. & Impact of NCJISS	Tele- communi- cations	Cost & Benefit of CDS
Policy Planning	B	A	F	N	A
Determining Future Research/Evaluate Needs	B	D	C		
Program Models	D				
Testing Strategy	D				
Demonstrate Strategy					
Evaluate Strategy					
Training/Marketing		D	F		
Program Design	B	D		N	✓
Program Continuation	✓	A			
Program Modification	B	B	F	A	A
Program Management	B			A	
Technical Assistance					
Public Information	E				
Education					
Legislation					
No. Responding	4	4	4	4	4

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

answers. The NCJISS case study also shows that a study initiated by another office at LEAA will be ignored when NCJISS received no Administration pressure to respond to the findings. Finally, the NCJISS case study demonstrates that an independent judgmental evaluation of an NCJISS program may be responded to by the NCJISS decisionmakers, even when there is no pressure from the Administration. Public or congressional pressures may intervene to require response if the independent evaluation contractor is a prestigious institution.

The Telecommunication Study was completed before evaluation policy emphasized central LEAA participation and, as intended, the study served the needs of the state telecommunications planners rather than LEAA staff. The Comprehensive Data Systems (CDS) Cost and Benefits Study was one in which empirical data on early CDS operations were used to project ultimate CDS costs and benefits. The NCJISS managers preferred not to call it an evaluation study, but the results were used as evaluative information and led to a major program modification to reduce costs. Utilization at NCJISS is varied and unsystematic, depending on individual initiative rather than formal procedures.

H. Major Program and Policy Studies

Major program studies rated in table 14 include Pilot Cities, Impact Cities, and the Model Evaluation Program. The judgmental assessment Understanding Crime, influenced NILECJ research. The ACIR report is an assessment of the block grant program and overall LEAA policy.

The Pilot Cities, ACIR block grant and Impact Cities reports provided direct answers to policy-planning questions related to these programs. The ACIR report contributed to the continuation of the block grant program. The Pilot and Impact Cities reports contributed to design of a major program that was not implemented. All three provided answers to specific questions raised by LEAA management in preparing testimony for congressional hearings.

The negative findings of the Model Evaluation Program evaluation were directly utilized in a policy planning decision to discontinue the program. If the evaluation had demonstrated successful models, these would have been documented, validated, and marketed for use in other states. Although the evaluation study contained suggestions for improving evaluation studies in the states, these were not implemented. Thus, the report failed to have utility in classes where utility had been anticipated, and table 14 shows an F rating in these classes. However, the study continues to influence OPE evaluation planning because it identified factors that appear to encourage evaluation finding utilization in state criminal justice planning. These findings have been widely discussed by those at LEAA concerned with evaluation of programs and projects.

Table 14  
Utilization of Major Program and Policy Studies  
(By Utility Class and Mode of Use)

Evaluation Study Report Used					
Utility Class	Pilot Cities	ACIR Safe Streets	Impact Cities	Lessons from Model Evaluation Program	Under-standing Crime
Policy Planning	A	A	A	A	A
Determining Future Research/Evaluate Needs				B	B
Program Models				F	
Testing Strategy				F	
Demonstrate Strategy				F	
Evaluate Strategy				F	
Training/Marketing				B	
Program Design	B		B		
Program Continuation		B		A	
Program Modification					
Program Management					
Technical Assistance					
Public Information					
Education					
Legislation	A	A	A		C
No. Responding	4	4	4	2	3

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics.)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

The last evaluation study included in table 14 is Understanding Crime. NILECJ and OPM staff were very critical of the research quality of this study. However, they agreed with the recommendations of the study although they believed the recommendations were written before any research was undertaken. Even though NILECJ took exception to the research design and deplored the outdated conclusions about an inadequate NILECJ research program, the recommendations were accepted. Where possible, conclusions were implemented by administrative action. Others have been incorporated in legislation to reorganize LEAA. The empirical research findings were not utilized.

## Chapter 5

### Answers to Specific Questions and Discussion of Implications

#### A. Introduction

This study examined the utilization of evaluation studies in central LEAA offices and determined that there are opportunities for improving the utilization of evaluative information in LEAA policy and program decisionmaking. This chapter reviews and answers the questions that were asked of this study by LEAA management. It then discusses the implications of the answers on alternatives for improving utilization of evaluative information at LEAA. The study conclusions and recommendations were presented in chapter 1.

#### B. Questions Answered

##### 1. Are LEAA Evaluation Studies Used?

The findings summarized in chapter 4 and discussed in the case studies and in volume II are evidence that use is made of LEAA evaluation study findings for LEAA policy and program decisionmaking as well as for advancement of general knowledge for staff.

##### 2. When Were LEAA Evaluation Studies Used Most Effectively?

LEAA evaluation study findings were used most effectively when they provided timely answers to direct questions asked by the managers responsible for the policy, program, or project evaluated. This frequently occurred when relevant managers participated in the complete evaluation process. There were exceptional cases in which relevant research findings were discovered at critical times by program managers and became highly effective evaluative information for decisionmaking. However, evaluative information was much more likely to be utilized when the research or evaluation study was utilization-focused from the beginning. Because knowledge generating research should not be constrained to clearly defined policy and program questions, there is a need for another type of research (or utilization-focused evaluation study) to serve the evaluation needs of management more directly.

##### 3. Who Uses LEAA Evaluation Studies?

LEAA evaluation studies may be used by contractors, grantees, and other external users, but this study is concerned only with use in central LEAA offices. In these offices evaluation studies were most often used by technical monitors of the studies. Other frequency users were the research and program managers that participated in the complete evaluation process. When managers or policymakers were not directly involved in the research to obtain evaluative information, their use of the information was infrequent, except where there was external pressure for utilization. A typical example is when LEAA policymakers respond to studies by the National Academy of Sciences, Brookings Institute, or



Advisory Commission on Intergovernmental Relations (ACIR) because of the congressional and public notice of the findings. Studies by less prestigious organizations may be more easily ignored when they fail to meet the specific needs of the policymakers.

Action program managers do not routinely seek out past research and evaluation studies pertaining to their substantive area before planning their programs. A few of the more inquisitive program managers have made the extra effort to track down all past studies that might be relevant, but this task is more often done by program contractors or grantees after major program decisions have been made.

#### 4. Can Utilization at LEAA Be Improved?

Evaluative information utilization in policy and program decisionmaking can be improved if the Administration requires that it be improved. In past Administrations, little attention was paid to evaluative information, in part because so little relevant information was available. As the quantity and quality of evaluative information increased, program managers were encouraged but not required to utilize the available information. However, major program decisions were made at the policy planning stage and program manager options were limited. Since the Administration's policy planning process showed little inclination to use evaluative information, program managers also remained uncommitted.

#### C. Implication for Administrative Action

Many of the LEAA program managers and policy staff interviewed by RTI commented upon the importance of obtaining full Administration commitment for the utilization of evaluative information. If the Administration takes initiatives or sets priorities without reviewing evaluative information, program managers will be encouraged to do likewise. Simply requiring that programs be evaluated will not result in the desired utilization of evaluative information. The Administrators must become a more active participants in the evaluation processes.

It is obvious that the Administrators cannot become full-time participants in all evaluations in which they have an interest. However, alternatives to full participation might be considered. The following, alternatives may be considered singly or in combination:

- Delegate greater responsibility and authority for program decision.
- Make greater use of staff office personnel.
- Create stronger temporary organizations.
- Require more formal reporting.
- Develop a stronger policy planning capability.

1. Delegate Responsibility and Authority for Decisions - The new Administrators could delegate more of the evaluative responsibility and decisionmaking authority than was delegated by previous Administrators, but the organization structure of LEAA at present and under the proposed reorganization does not encourage this alternative. Future program decisions are likely to require greater rather than less coordination between Institutes, Offices, and Divisions. Delegation of greater program responsibility and authority would, by itself, encourage the present tendency toward independent rather than coordinated program decisions.

2. Make Greater Use of Staff Offices - The Administrators could extend themselves further into the evaluation process for major program decisions by delegating the more time consuming elements of participation to staff. After Administrators have declared their expectations for the program and the evaluation, the staff person assigned should monitor the evaluation process to insure that the program and the program evaluation are meeting the Administrator expectations. Departures from these expectations would be reported to the Administrators. When the results are available, the staff member should prepare a Policy Implications Memorandum (PIM) for the Administrators and their policy advisors. Participating program managers and researchers in the evaluation process should be given the opportunity to review the PIM, suggest revisions to it, or have their dissenting opinions submitted concurrently to the Administrators. The researcher or technical monitor should be brought in before major program decisions to present the evaluative findings to the Administrators. The Administrators give authority to the evaluation by active participation at the beginning and the end and by being represented throughout the evaluation process. Their decisions complete the evaluation process or move it to another level.

3. Temporary Organizations - LEAA has experimented with several organizational alternatives that could facilitate the evaluation process if they were successful. These are described in the Program Development Policy I.3000.2A instruction as Multi-Office Coordination, Single-Office Responsibility, and Program Management Teams. Multi-Office Coordination is a necessity in APDP and for many LEAA programs not now following the APDP process, but RTI interviews were not designed to determine the effectiveness of Program Coordinative Teams (PCTs) appointed under this instruction. The natural tendency of office managers will be to reserve the more effective program managers for promising opportunities completely managed within the home office. Unless some incentives for cooperation are offered by the Administration, PCTs will face an uphill battle in obtaining organizational status.

Single-Office Responsibility does not appear to be a change from standard LEAA procedures. LEAA has operated with a combined single office/Administration program responsibility model for many years. Unless this alternative involves delegation of more program change authority to program offices than has previously been the case, it is not obvious that this represents a change.

The third alternative is the Program Management Team (PMT), an alternative about which little information was obtained from the RTI interviews. In theory, a PMT should be an excellent mechanism for insuring the effective utilization of evaluative information in program decisions. The team leader is responsible for personnel evaluations and can provide incentives to team members. If the teams have competent personnel and organizational status, the PMT concept has obvious advantages for the management and utilization of evaluation studies. However, the current location of PMTs within the Adjudication, Enforcement, and Corrections Divisions of OCJP appears to be at variance with the statement in the policy that: "the team has a leader who is named by the Administration and is responsible for directing the team's work and reporting to the Administration." Also, it does not appear from the organizational information provided to RTI by OCJP that the present PMTs have expert staff to manage an integrated research, development, and action program as well as insuring that appropriate evaluation information is obtained at each stage.

An effective evaluation process can be developed for any organizational arrangement that brings together the relevant decisionmakers and information users when their input is required. If the Administrators can insure that the rewards of teamwork under any organizational arrangement are greater than the rewards of independent action, their needs for evaluative information are more likely to be served.

4. Require More Formal Reporting - The Management by Objectives (MBO) system requires that program offices report plans to evaluate programs. Decision memoranda must include explanations of the rationale for the proposed decision, but the requirement is mild: "(Cite any major assumptions... and refer to any information which strengthens or weakens this position, including statistical data and results of previous research, evaluation and program efforts)." A proposed instruction from OPM would have required completed research and evaluation studies to be analyzed for their program policy implications and reported to the Administration. This reporting requirement was not formalized because of the lack of agreement among reviewers about what should be reported, who should report, and who should utilize such reports. Although these issues may be resolved, it would be better to revise the LEAA decision-maker's concept of the evaluation process and reconsider information needs in the new context.

In the utilization-focused evaluation process suggested in chapter 2, research studies and evaluation studies need different treatment. Research study findings need to be treated as potential answers to questions that management may raise in future evaluation and decision-making exercises. Such unfocused research needs special treatment because it may be archived for years before it becomes relevant. The Research Utilization Committees (RUCs) facilitate this future decision orientation, but potential evaluative information should be stored so that it might be retrieved easily by the LEAA evaluation process as well as by peer researchers. The classification paradigms or systems presently used in numerous LEAA policy and program planning activities change frequently because they are not standardized. Stored research findings

can be retrieved only by reviewing all documents in broad topic areas to determine which are relevant. As a result, research findings are rarely reviewed outside the network of peer researchers.

Evaluative research utilization should not be hindered by the storage and retrieval problems that handicap less focused research findings. The evaluative research should be initiated within the evaluation process when decisionmakers know that they will need the results. If these decisionmakers participate actively in the evaluation process they can ensure that relevant questions are being asked, that appropriate research procedures are being used to answer the questions, and that the results are appropriately analyzed. The interpretation and dissemination of the results then becomes a joint responsibility of decisionmaker and researcher, with utilization built into the evaluation process. The decisionmaker can insist that every evaluation, up to and including the most intensive evaluation, be planned to provide a stream of relevant management information throughout the evaluation process. The Research Utilization Committee report and the Policy Implication Memorandum at the end of this process will then focus upon the world outside the evaluation process because the internal participants will have already been served.

5. Develop a Policy Planning Capability - Several LEAA program managers said they do not believe there is any rational process involved in policy planning other than political expediency and arbitrary choice. OPM staff involved in policy planning agree that more systematic planning is needed.

As it is presently performed, the LEAA policy planning process is an unsystematic assembly of inputs (such as congressional mandates, external advice, and internal advice) into a process that OPM does not attempt to articulate. Out of this process appear goals and objectives for the MBO system and criteria for making program choices. By improving the policy planning process, the Administrators could effectively exercise surveillance over evaluation processes without direct participation in them.

The APDP instruction explains that policy planning deals with the questions: "What should we do and why?" LEAA needs a more organized system for choosing what to do and explaining why to the world. The system framework should be comprehensive enough to include any goals, objectives, and program topics that might at any time fit into the mission of LEAA. The initial power of the standardized framework would be in organizing what is known and explaining what needs to be learned.

The planning process needs a comprehensive systems model of the socio-economic system, especially designed to organize information about crime in society and its negative effects on society. Matrix description might be an appropriate beginning for this model since the initial need is to identify the elements of the social system that interacts with the criminal justice system in its present or potential operations. There should also be a model of the criminal justice system embedded in the model of society. In matrix descriptive models, this requires no more

than placing all elements of the comprehensive but aggregate model of both society and the criminal justice system in the rows and the columns of the matrix. The cells of the matrix would be interactions between the two systems or interactions within the systems. The final element to be added to this comprehensive systems model is a classification of feasible activities to complete LEAA's mission. The classification must be comprehensive so that nothing within LEAA's broadest mandate is left out at the initial stage of policy planning. The systems model would help policy planners consider all alternatives in deciding what to do and it would provide a rational basis for explaining why certain alternatives were selected. It would be easier to explain policy decisions in the context of a model, through which LEAA initiatives were related to the assisted elements of the criminal justice system and then to the social system element to be served.

The comprehensive but unsophisticated model of the agency's universe proposed above would provide a starting point for obtaining internal and external assistance with the policy planning process. Quantification of the model should begin with the statistics from the National Crime Surveys, Uniform Crime Reports, and from other series that quantify elements of the criminal justice system. NILECJ could organize information on what is known or most strongly believed about the causes of crime in society; and the accumulated knowledge from research and evaluation studies could further characterize the innovations in the criminal justice system. Eventually the policy planners should be in a position to contract for or perform policy simulation to estimate the probable impact of alternative innovations.

A policy simulation is defined here as a quantitative test of a policy or program idea in concept before initiating an expensive test in reality. (Systems evaluation and policy analysis have similar objectives.) The objective would be to inform the Administrator of realistic expectations for a policy or program concept. If the concept were to involve extensive expenditures on a measurable tactic (e.g., to reduce arson), the modeling of the concept might involve econometric or mathematical models and computer simulations. However, some decisions may require rapid response and the policy simulation may involve asking a qualified researcher to lead experienced practitioners through a mental simulation of the proposed concept until realistic expectations can be stated. Such simplified simulations could, at a minimum, logically test the theory of operations proposed by the program office. Any such steps that would bring the broad goals of the Agency into closer alignment with realistic expectations would help the Administrator determine when it is safe to delegate more of his evaluation responsibility and when it is wiser to keep a close personal watch over the program.

#### D. Final Commentary

This study has been performed in an organization that will change its evaluation practices in ways that cannot now be documented. The difficulty in coordinating the evaluative interests of administrators with research and action program managers is expected to become even greater. Evaluation responsibilities may become more divided in a reorganized LEAA with coordination by an Office of Justice Assistance, Research, and Statistics (OJARS) that has little authority to enforce policy on the three independent agencies. The recommendations of this study are believed to be appropriate for any division of authority that may eventually result. However, the detailing of specific procedures should occur in the new organizations. When evaluation responsibilities and authorities are clarified, the recommendations should be implemented through specific procedures and instructions.

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## APPENDIX A

### CASE STUDY REPORT

#### Utilization of Evaluation Study Findings In LEAA Enforcement Area Offices

by

P. S. McMullan, Jr., Project Leader  
Charlene Potter

Utilization of Evaluation Study Findings  
in LEAA Enforcement Area Offices

I. INTRODUCTION

This is one of four case studies prepared for the Office of Planning and Management, LEAA by the Research Triangle Institute (RTI) under Task 2 of contract J-LEAA-005-07, entitled Evaluation Utilization Study. In this task, RTI and the LEAA technical monitor selected a number of evaluation studies to be reviewed and summarized. Interviews were held with the staff and management of LEAA offices who were believed to be potential users of these evaluation studies. Information obtained from the study documents and interviews was recorded and analyzed for this case study report.

The case study concentrates upon utilization of evaluation findings in the enforcement area offices of LEAA. Problems and successes with past studies and procedures are discussed, and opportunities for improved utilization in the future are described.

II. BACKGROUND AND APPROACH

A. General

Although the researchers originally proposed to follow a single document or a pair of evaluation study documents through the chain of events involving utilization, this plan is modified somewhat for the enforcement area. The enforcement area has evolved since 1973 into an area with a common priority in both research and in action offices on strategies of police patrol. LEAA research and action offices are in agreement that the traditional mode of police patrol is changing as a result of research and demonstrations supported by LEAA and the Police Foundation; thus, it is possible to trace the emergence of new ideas into action. To demonstrate this process it is necessary to use all of the enforcement related documents that were summarized for this study. Several studies that were not reviewed during the interviews are also discussed. The list of documents used in this case study is shown in table A.1, along with other studies that are direct descendents of the early policy and research.

B. History of Patrol Improvement Research and Development

The documents and studies listed in table A.1 have been used to prepare figure A.1 which illustrates the transformation of police patrol theory and practice as described through interviews in LEAA research offices. The central thread of the figure is the Integrated Criminal Apprehension Program (ICAP); however, changes in patrol emphasis are noted in both research and action offices.

Interviews in the action program offices concerned with the enforcement area disclosed that the concept of patrol operations began to change approximately in 1973, following several research studies initiated in Kansas City. The Police Foundation studied preventive patrol, and the Kansas City Police initiated a study of the relative importance of rapid police response to calls for service. During the years following the initiation of this Kansas City research (R.3 and R.6 in figure A.1) there was a reassessment of policy within the enforcement area of both action and research offices. The Kansas City Preventive Patrol Experiment by the Police Foundation (R.3) provided rationalization for a new emphasis on patrol; the Productivity Commission (P.2) focused attention on police and the high percentage of time spent on patrol; and the Standards and Goals Commission (P.1) recommended directions for both research and action. LEAA's Police Desk responded with the Patrol Emphasis Program (PEP) to help Police Departments that were interested in initiating new patrol strategies. By 1975 the concept of the Integrated Criminal Apprehension Program had been formulated by drawing upon early results of the Kansas City Response Time Study (R.6), the Police Foundation study (R.3), and the personal experiences of the program manager who had served as a police officer. The program manager contracted for state-of-the-art papers in crime analysis, patrol management, communications, record systems, patrol operations analysis, and training. These were developed into manuals that were made available with technical assistance and training to ICAP discretionary grantees. A national level evaluation of this discretionary program was initiated by the Office of Program Evaluation (OPE) in FY 78 (E-14).

In 1973 the National Institute and all of LEAA received a mandate from Congress to improve the extent of its performance and utilization of evaluation studies. The task force, organized by the administrator, advised of the need for a knowledge program for the Institute. The goal was to learn more about topics being funded in the states and determining the extent to which their effectiveness could be determined. The National Evaluation Program (NEP) was initiated in the Institute's offices, and Phase I studies were initiated on several topics related to police patrol operation. These Phase I NEP evaluations were monitored by the Office of Research Programs (ORP). They included Traditional Preventive Patrol (E-7 in fig. A.1), Specialized Patrol Projects (E-8), and Crime Analysis in Support of Patrol (E-10). These studies were completed in about a year and were used in the Police Division of ORP for some planning of later research, as will be discussed in a later section of this case study. The Traditional and Specialized Patrol NEP's were combined in a prescriptive package for wide distribution, and copies of the documents were made available to the police action planning offices.

In 1976 there were several other research projects underway that would influence the future of the ICAP program. The Rand Corporation completed a study, in 1976, on the criminal investigation practices of detectives and disclosed that much of their effort was useless in solving crimes (R.4). A related study by SRI presented a technique which would deploy detectives and police in a manner that would most likely produce successful prosecutions of felons (R.5). Both studies were relevant to ICAP planning because they pointed to the importance of

Table A.1  
Enforcement Area Evaluative Information  
Documents or Studies Referred to in Case Study

No.*	Title of Document or Study	Period of Study		
		Start	End	Report
P.1	National Advisory Commission on Standards and Goals, <u>Police</u>			Jan. 1973
P.2	National Commission on Productivity, Opportunities for Improving Productivity in Police Services			1973
R.3	Police Foundation, <u>Kansas City Preventive Patrol Experiment</u>			Oct. 1974
R.4	Rand Corporation, <u>Criminal Investigation Process</u>			1976
R.5	Stanford Research Institute's <u>Felony Investigation Decision Model</u>			1976
R.6	Kansas City Police, <u>Response Time Analysis</u>	1973	1976	Aug. 1978
E.7	NEP Phase I, <u>Traditional Preventive Patrol</u>	1975	1976	June 1976
E.8	NEP Phase I, <u>Specialized Patrol Projects</u>	1975	1976	Jan. 1977
E.9	OPE, <u>Neighborhood Team Policing</u>	1976	1977	Feb. 1977
E.10	NEP Phase I, <u>Crime Analysis in Support of Patrol</u>	1975	1977	Aug. 1977
R.11	ORP, <u>Wilmington Split-Force Experiment</u>	1975	1976	Apr. 1978
E.12	Managing Criminal Investigations Model Program Evaluation	1977	1979	
E.13	Managing Patrol Operations Model Program Evaluation	1978	1980	
E.14	Integrated Criminal Apprehension (ICAP) Discretionary Program Evaluation	1978	1980	
R.15	ORP, Kansas City Response Time Study Replication	1978	1980	
P.16	Comprehensive Career Criminal Program, <u>Guidelines Manual</u>			Sept. 1978

\*P, R, and E represent Policy Documents, Research Studies, and Evaluation Studies, respectively.



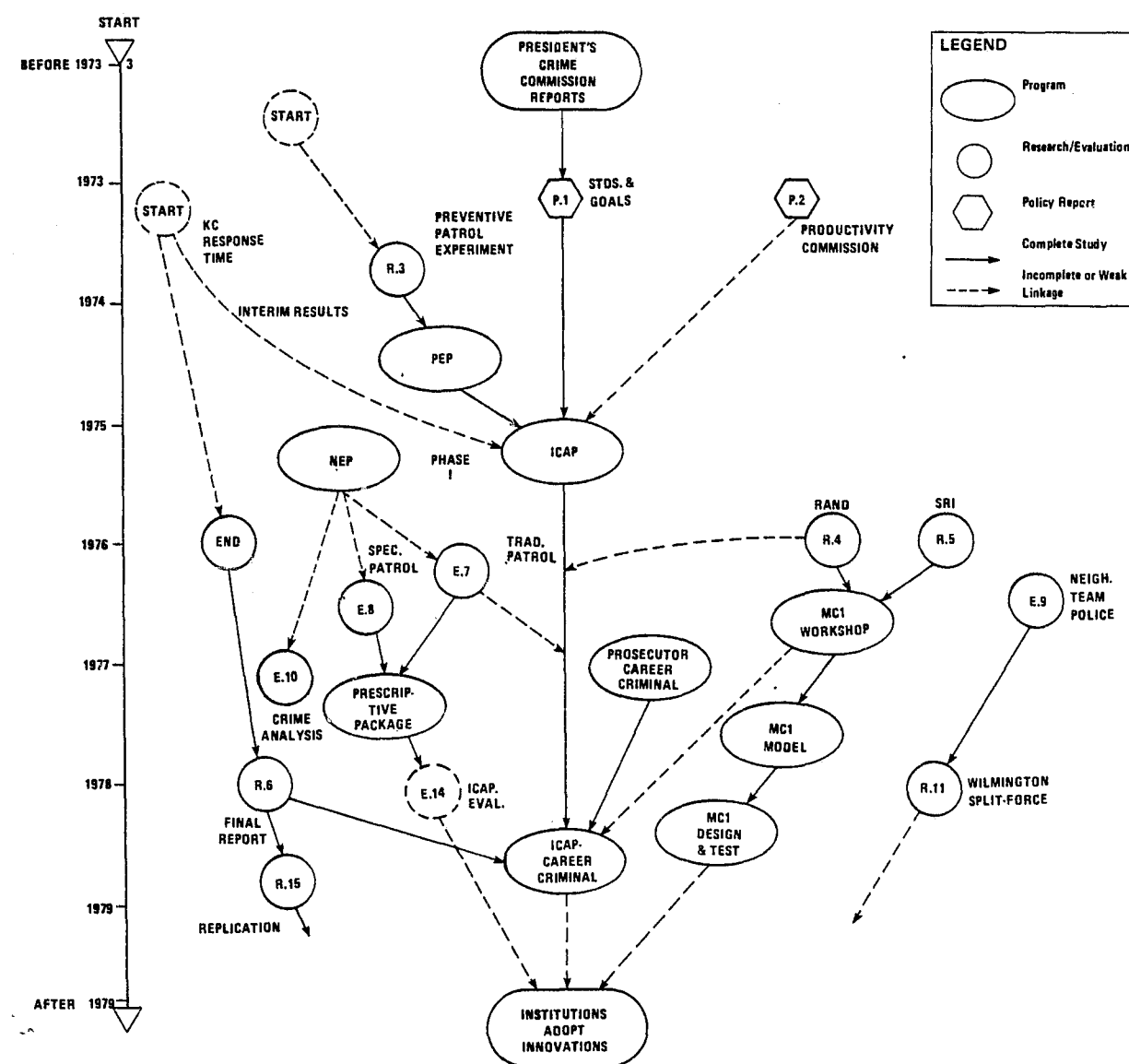


Figure A.1. Utilization of Evaluative Information in the Enforcement Area

the patrolman and the evidence that he could gather immediately upon arriving at the crime scene. The research findings supported the direction that ICAP had taken with regard to patrol allocation strategies and departure from traditional preventive patrol strategies which tended to waste patrol manhours. The Traditional Patrol NEP further confirmed the ICAP strategy.

The Rand and SRI results were publicized by LEAA and initially met with police resistance. Combined with other related research (Patrol Strategy Evaluations), these study findings served as the basis for developing a prescriptive package and a program model on Managing Criminal Investigations. These documents were used to prepare a NILECJ seminar for Federal officials and staff and a National Conference for police chiefs of 25 cities. The opinions of officials, staffs, and police chiefs were modified toward acceptance and the concept is being marketed as an incentive program (MCI) in the Office of Criminal Justice Programs (OCJP). Within NILECJ the field test and evaluation of an "MCI model" in the Action Program Development Process (APDP) is underway, and a validated program design is expected in FY 79.

Among other evaluation studies mentioned during this case study was the Neighborhood Team Policing Evaluation (E-9), which appears to have provided some input into police research but has not contributed to ICAP. For example, the Wilmington Split-Force Experiment (R-11) used the Neighborhood Team Policing report, and there has been a followup to the Wilmington Study. However, the ICAP program manager and his cooperating research program managers agree that the Split-Force experiment used a model that could not be duplicated in other sites, and its findings might be explained by factors other than the split-force concept. The R-11 report was reviewed by both research and action program managers before this conclusion was reached.

Another evaluation shown in figure E-1 is the Crime Analysis NEP (E-10) that was completed in mid-1977. The report was used by research offices who read that crime analysis in support of patrol was practically non-existent in police departments and that the more sophisticated techniques had less utility than the simpler techniques. This was not considered news to the ICAP program manager who was already attempting to develop practical crime analysis techniques for use by non-commissioned officers who actually deploy patrolmen. The Office of Research Programs concluded that there was no need to continue research and development on sophisticated crime analysis techniques for local police use.

Because of strong questions about its validity, the first Kansas City preventive patrol experiment is being replicated. The Kansas City response time analysis has now been completed and a second phase of that study is underway. The response time study results were utilized from progress and draft reports long before the final report was distributed. ICAP cities were receiving interim results through the action program manager. The program manager reports he is not receiving useful information from the interim reports of the national evaluation of the ICAP program. However, the evaluation study is not yet in the field.

The ICAP program has recently expanded into the Comprehensive Career Criminal Program area with a discretionary program component that emphasizes the joint role of the police and the prosecutor in the effective prosecution of career criminals, thus completing the history depicted in figure A.1.

### III. UTILIZATION EXPERIENCE

#### A. Summary of Experience

Tables A.2 and A.3 summarize the utilization experiences uncovered in interviews with eight LEAA staff concerned with enforcement area research, action, support and administration. Table A.2 classifies utilization by function performed in the office of persons interviewed. The interviews were with directors, chiefs, or staffs of offices that had managed the research/evaluation studies specifically identified in the columns. Other interviews were with directors, chiefs, and staffs of the relevant action and support programs.

Table A.3 presents summary information in terms of utility class and mode of use. The judgement of the interviewer, rather than the specific classification by the interviewee, is represented in the exhibits. Utility and mode classifications, were made after reviewing notes and tape recordings of the interviews.

#### B. Examples of Utilization

As explained in the history section, the Crime Analysis in Support of Patrol Phase I NEP study was considered of less utility than many other NEP studies. Those interviewed in research offices differed in regard to its utility from mode B to mode F. Action offices gave it a weak rating, which is interpreted as D in the table. In table A.3 the utility classes are varied. The class "program design" was used for those activities in the action offices leading to preparation of discretionary program guidelines, manuals, etc. According to the action program managers, the Crime Analysis NEP reinforced program decisions that were already made, but the study was too late and too general to be of much use. Research office staff gave varied opinions that the NEP was of no value and that it gave useful information on directions that should be avoided in future patrol research.

The Traditional and Specialized Patrol NEP studies also had differing utility ratings in research and action offices. Traditional Patrol was thought to be especially valuable in planning for future research, but action offices had already begun to operate under the concepts suggested by the NEP. In general, the Phase I studies were useful in planning future research because this was the purpose for which they were designed and carried out. They were generally rated as of more than adequate quality. Complaints about them appeared to be that the topics were too broad and that their level of effort was too limited. They were not sufficiently complete to answer important questions for model program

Table A.2

#### Utilization of Enforcement Evaluation Studies

##### By Office Type and Mode of Use

Function of Office of Interviewees (Number interviewed)	Crime Analysis NEP E.1	Response Time Analysis E.2	Special Patrol NEP E.3	Tradit. Prevent Patrol E.4	Neigh. Team Police E.7	Manag. Criminal Invest. E.8	Other Patrol Studies
Research Offices (5)							
Policy (0)							
Research (3)	B,F*	A	B,D	A,B	G,F	A	✓
Evaluation (1)	✓	B	B	B	✓	✓	✓
Develop/Test							
Training (1)		B	B	B	A	A	
Action Offices (2)							
Policy (1)	D	A	D	D	✓	✓	✓
Plan/Manage (1)	✓	A	C	C	C	C	✓
Evaluation							
Technical Assistance							
Other Offices (2)							
Administration							
Grant Management							
Training Support (1)	N	N	N	N	N	N	B
Education (1)	N	N	N	N	N	N	N

#### Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

\* Differences of experience or opinion on utility.

Table A.3  
Utilization of Enforcement Evaluation Studies  
By Utility Class and Mode of Use  
Evaluation Study Report Used

Utility Classes	Crime Analysis NEP (E.1)	Response Time Analysis (E.2)	Special Patrol NEP (E.3)	Tradit. NEP (E.4)	Neigh. Team Police (E.7)	Manag. Criminal Invest. (E.8)	Other Patrol
Policy Planning		A					✓
Program Design	D	A	D,C	D,C		C	✓
Program Models		A,B	B	B	✓		
Prog. Continuation							
Prog. Modification							✓
Monitor/Direct	C	A	D	C		C	
Future Res/Eval	B,F	A,B	B,D	A,B	F,A		✓
Strategy Test.		B	D	B	✓	A	
Strategy Demo.		B	D	B	✓		
Strategy Eval.		B	D	B	✓		
Train/Market	N	B	D	B	✓	A	
Tech. Asst.	D		D	D		C	
Public Info.		(no interviews in this class)					
Education	N	N	N	N	N	N	

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

development or action program modification. However, the Traditional Patrol NEP was thought to be an enlightened background for the "program model" utility class activities in the Office of Development, Testing, and Dissemination.

Of all the studies shown in the two tables, the Kansas City Response Time and the Managing Criminal Investigations activities were best utilized. They answered basic questions and provided enlightened background for research office utilization in changing research policy, selecting new research directions, and carrying out action program development stages in the Institute. The Kansas City study was useful to the action offices for answering questions relevant to the ICAP program, providing background for design modification, and providing confirmation of decisions that had already been made. Managing Criminal Investigations and its supporting research studies are important confirming studies, and this research/evaluation has resulted in an action program.

This review of individual reports shows that experiences and opinions within LEAA offices are quite varied. Utility of individual reports are rated low by one program manager and high by another. However, the set of reports taken as a whole has contributed significantly to LEAA enforcement area decisionmaking.

#### IV. FACTORS CORRELATED WITH UTILIZATION

##### A. General

Uses of the research and evaluation studies shown in tables A.2 and A.3 are discussed further in volume II of this report. However, the primary objective of this study is to determine if utilization might be improved by LEAA policy changes, and the complete documentation of utilization is not considered necessary for this purpose. It is more important to examine those factors that appear to be most closely correlated with utilization as a step toward finding opportunities for improvements in the utilization system.

##### B. Utility Factors Disclosed in this Case Study

###### 1. Good Studies on Relevant Questions

The LEAA offices are able to sort out studies that one interviewee called "self serving evaluations of local projects" and "academic exercises with methodology". The National Evaluation Program has sorted through many of these unprofessional or irrelevant exercises and pointed out how far the police divisions have to go before they can develop a completely innovative and validated model for effective police patrol operations. Some of the NEP study results provide very direct and comprehensive answers to the research offices about what is known and not known in a topic area. According to interviewees in research offices, the utility of NEP Phase I studies was sometimes low because the selected topics were too general. The NEP Phase I studies demonstrate that if

the right questions are asked in the design of the evaluation study and the scope of the inquiry is appropriate for the time and funds available, competent research/evaluation contractors produce results with utility. The findings clearly serve the purposes of the research office that asked the questions and scoped the study. However, knowledge program evaluation findings may have little or no utility for action offices that are looking for likely solutions rather than researchable problems.

The Kansas City Preventive Patrol, Kansas City Response Time, Rand Criminal Investigation, and SRI Investigator Allocation Studies are examples of research that produced findings of value to both research and action offices. The common characteristics were: (1) they challenged the common wisdom with carefully researched findings, and (2) they had immediate relevance to police operations. These provided opportunities for both research and action offices to initiate programs that could contribute significantly to LEAA's mission of improving the effectiveness of the criminal justice system. The Preventive Patrol experiment is less utilized because of serious questions about the validity of its research procedures, but a replication is underway to remove this barrier to its utility. The others are providing important research/evaluation underpinnings to current research and action programs. There were no apparent problems with utilization of these studies, and they experienced a very active knowledge dissemination effort by both NILECJ and OCJP. They would like to have much more solid research/evaluation of this type. The following relevant comments were received:

- .. The President's Crime Commission report was an important source of evaluative information.
- .. The Office of Regional Operations has funded more research on police operations than NILECJ.
- .. Not every evaluation requires a rigorous experimental design. If you need only a broad study like Rand's criminal investigations study to answer your questions, order a broad study.
- .. These recent research studies are changing the manner in which the entire field service delivery system is structured in policy.
- .. They are also useful to evolve a patrol research program and to publicize LEAA research.
- .. Research studies were incorporated into ICAP and they have a greater impact together than as separate studies.
- .. NEP reports on Police Patrol are less extensive than OCJP's own state-of-the-art studies.
- .. Kansas City Preventive Patrol Experiment led to OCJP's Patrol Emphasis Program (PEP) and ICAP.

.. Every piece of research in ORP has contributed to the knowledge objective of NILECJ even if not to action programs. The NEP's were not intended to result in action programs directly.

.. Traditional Preventive Patrol NEP absolutely reinforced results obtained in monitoring PEP.

.. The Specialized Patrol Projects NEP should have looked at tactics rather than broad strategies:

## 2. Information Networks

It has been noted by a number of students of knowledge dissemination that knowledge is not easily communicated outside of the discipline in which it is developed. For example, academic research is typically written for others in the same discipline and published in their professional journals. The engineers in closely related applied fields do not read these journals with ease and seldom follow the state-of-the-art in academia. Engineers read the reports in their interest area as soon as they can obtain a draft. They do not like to wait for a long, involved review and publication process such as that represented by the NILECJ Research Utilization Committee. The applied engineer is a reasonable model of the action program manager, and the enforcement area researchers and program managers are also more likely to favor the applied engineer's mode of information exchange.

The interviews did not disclose a close network of cooperative action between program and research staff, but the subject matter and the nature of the research/evaluation information available to be shared may have minimized the quality of cooperation required to date. The APDP process and the programs now underway in this process will change this need. Also, the initiation of program evaluations such as that of the ICAP program may uncover problems that have not surfaced in earlier research of action activities.

The enforcement area has the advantage that this component of the criminal justice system is better defined than many others, particularly in the area of patrol. There has been such uniformity of practice that when an opportunity for improvement was disclosed in Kansas City, other police departments had no difficulty understanding the problem, the nature of proposed solutions, and their applicability in other departments. The model of traditional police patrol operations uncovered by the NEP and that researched by the Kansas City police were based on a well established set of descriptors. By contrast, the term "crime analysis" has no long established set of components and functions, so there is no common understanding between research and action offices on the subject. Thus, there is basis for communication about traditional patrol between research and action offices that is grounded in a common constituency with an established set of descriptive terms, but a new set of ideas has been introduced by ICAP in the area of crime analysis and by ORP in Managing Criminal Investigations. It is to be expected that utilization problems will arise in ICAP and in Managing Criminal Investigations because they have been incorporated into the program development process

**CONTINUED**

**1 OF 2**

without the cooperative planning of action and research offices on design and evaluation questions.

The following comments that bear on the question of information exchange between research and action offices were paraphrased from comments recorded during the interviews.

- .. I am not close enough to OCJP staff to judge their utilization, but I believe Institute staff is better able to use evaluations. Managers should be taught statistics so that findings do not become accepted too quickly.
- .. Evaluation studies do not differ from any other studies in NILECJ, and ODTD has specific utilization responsibility for all our studies.
- .. Although past discretionary programs were used to meet the issue of the moment selected by the Administrator or the enforcement desk, the present enforcement program of OCJP is "well pressed into an MBO type of planning approach" that tends to utilize research and research products.
- .. Managing Criminal Investigations was force fit to APDP after a similar activity was already underway in ICAP. The evaluation is shaky and there may not be a validated program design.
- .. OCJP participates on the Exemplary Projects Board, assists with Executive Training sessions, and uses NCJISS assistance on computer systems evaluation.
- .. There is less interaction with the Police Section and the Enforcement Division by OPE than is desirable for knowledge-to-action.
- .. OCJP's prime function is to spend money, and they cannot wait for some of these findings to be validated.
- .. The impact of ICAP should be measured in terms of change in police department operations, not in statistics.
- .. The formal procedure for the Research Utilization Committee is cumbersome and everyone dodges it.
- .. Informal procedures are more conducive to effective utilization.
- .. Findings should be promulgated at the earliest possible opportunity.
- .. OCJP had informal input into the Traditional Patrol NEP through the contractor, but there was no coordination with NILECJ on its design.

- .. Knowledge has spread by word of mouth when staff move from the field to LEAA or from action to research offices.
- .. Limited information exchange occurs through the Law Enforcement Coordination Committee and through joint Police Foundation/NILECJ meetings to discuss ideas.

### 3. Improving the Utilization Process through APDP

Many of those asked to comment on procedures for improving the utilization of research/evaluation findings in LEAA mentioned the APDP process as the most logical method. No one is sure it is working, but there was almost a unanimous agreement that some system for cooperative development of valid programs was necessary for LEAA. However, the interpretations of the process varied widely. The relevant comments from the interviews were:

- .. Not familiar with the policy planning practices of the Administration, but believe research needs arise through informal processes rather than through APDP.
- .. Despite problems of ODTD and OCJP on the development of Managing Criminal Investigations through APDP, they have cooperated on technical assistance.
- .. APDP has not significantly affected research yet, but research should be more influenced by evaluations in the APDP mode.
- .. Neighborhood Team Policing has suffered in APDP but Managing Criminal Investigations has gained.
- .. APDP may not last through the reorganization.
- .. APDP is not initiated until ODTD sees that OCJP needs products in the topic area; APDP was out of sequence on Managing Criminal Investigations.
- .. APDP is logical.
- .. APDP is a new process that has not yet had a significant effect on DF programs.
- .. Ideal utilization follows an APDP-like process to produce valid models.
- .. MBO is a good exercise, but is unrealistic in dealing with the limitations of LEAA manpower.



## V. CONCLUSIONS

It is not appropriate to draw final conclusions about the need for a more formal LEAA utilization system from this single case study. However, the evidence indicates that there has not been a problem with the distribution of completed research findings within LEAA enforcement area offices. Research/evaluation studies that answer questions action program managers are asking are being read without any special encouragement. The resulting utilization depends upon the nature of the results and the commitment of the action program manager to the continuation of the action program being evaluated. If he is committed to both the program and the evaluation by being a party to both the design of the model and the design of the evaluative questions, he is likely to utilize the results in program decisions even if they go against his expectations. If he is not permitted to participate in the program evaluation design, he is likely to question its findings when they differ from his expectations. No evaluation provides an answer so perfect that its critics cannot find a way to challenge it.

The most effective action for increasing the probability of effective utilization of evaluation findings in the enforcement area may be to insure that the action offices are involved early and effectively in model program planning and development, and especially in the preparation of the question to be asked during the evaluation of program models. This may require a greater emphasis on process variables than OPE might prefer, but the sole concentration on impact is meeting with less favor in all Federal offices contacted in this study, including LEAA.

## APPENDIX B

### CASE STUDY REPORT

#### Utilization of Evaluation Study Findings in Juvenile Justice and Delinquency Offices

by

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Jerry C. Van Sant

Utilization of Evaluation Study Findings in  
Juvenile Justice and Delinquency Offices

I. INTRODUCTION

This is one of four case studies prepared for the Office of Planning and Management (OPM) of the Law Enforcement Assistance Administration (LEAA) by the Research Triangle Institute (RTI). The case studies are part of the task entitled Evaluation Utilization Study under Contract J-LEAA-005-7. In this task, RTI and the LEAA technical monitor selected a number of evaluation studies to be reviewed and summarized in Evaluation Findings Summaries (EFS's). Interviews were then conducted with the staff and management of LEAA offices that were believed to be potential users of the selected studies. Information obtained from the study documents and the interviews was recorded and analyzed for this case study report.

This case study is based on interviews in the Juvenile Justice and Delinquency Prevention offices concerned with research, action programs, and grants management. At the request of the technical monitor, the number of interviews was limited because of the time pressure on the small staffs of the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP). The number of evaluation studies reviewed in the JJDP area was also small. However, the JJDP area offers an interesting contrast to the pattern of utilization of research/evaluation studies found elsewhere in LEAA. For this reason, it was selected as a case study for this report.

II. BACKGROUND AND APPROACH

A. General Approach

Out of approximately two dozen studies that have been identified by OPM as evaluation studies in the JJDP area, three were selected for review and preparation of evaluation findings summaries. The first two, prepared under the National Evaluation Program Phase I, were initiated before the JJDP Act of 1974 and are:

- Ohio State Prevention Study, The Theory and Practice of Delinquency Prevention in the United States: Review Synthesis and Assessment. NEP Phase I Summary, 1976.
- University of Chicago Detention Study, Secure Detention of Juveniles and Alternatives to Its Use. NEP Phase I Summary, 1977.

The third study reviewed was a preliminary assessment of the de-institutionalization of status offenders (DSO) that provided the Special

Emphasis Office with interview results while awaiting the completion of the national DSO evaluation by the University of Southern California. The interim study is:

Arthur D. Little DSO Study, Cost and Service Impacts of De-institutionalization of Status Offenders in Ten States: Responses to Angry Youth. OJJDP Study, 1977.

The three studies are summarized in the appendix to this case study. They were used to initiate conversations in JJDP offices and were not intended to be either typical or exemplary among evaluations in JJDP. Interviews were conducted and tape recorded using interview guidelines approved by the technical monitor. Representatives of both research and action programs were included with the intent of tracing the flow of evaluative information between these functional areas. The interviews provided the following background information.

#### B. Background to Evaluation Study Utilization

Before the organization of NIJJDP, but while the Juvenile Justice and Delinquency Prevention Act of 1974 was moving through Congress, the present staff of NIJJDP had an opportunity to prepare for planning a comprehensive Juvenile Justice research program. The opportunity came with the selection by the National Evaluation Program of Juvenile Justice as a topic area. NEP studies were initiated in the four areas of detention, diversion, prevention, and alternatives to incarceration. The Juvenile Justice Division of NILECJ was delegated program management responsibility for NEP studies in four subtopic areas. The initial NEP plan was for Phase I studies to lead to full scale Phase II evaluations but a former Juvenile Justice Division researcher says that a Phase II study was never intended. The funds were used instead to "begin to develop some conceptional and definitional clarity" in the four subtopic areas that were being highlighted in the proposed act. There was a need for specific definitions of the terms being codified by the Act and a need to begin to find programs that could be described within the topic areas emphasized by the Act. These needs were met by the NEP Phase I studies.

The JJDP area has an advantage over all other parts of LEAA with respect to planning and carrying out a logical process of research, demonstration, evaluation, and utilization. Because the number of people involved at JJDP is small and all of the elements are managed under a single Assistant Administrator, the stages in the process can be planned at the beginning rather than waiting to plan and perform in sequence--or out of sequence. Also, the OJJDP and NIJJDP were organized by congressional mandate after LEAA had learned many lessons about the need for coordination planning. In fact, the persons interviewed in the JJDP area contend that the planning process of OJJDP/NIJJDP was reviewed by OPM and was the origin of the Action Program Development Policy (APDP) that now guides LEAA's research-to-action planning.<sup>1/</sup>

<sup>1/</sup>OPM and NILECJ advisers to this study do not fully agree with this JJDP contention.

The JJDP policy toward evaluation was documented by La Mar T. Empey in A Model for the Evaluation of Programs in Juvenile Justice (University of Southern California for NIJJDP, January 1977). This policy model for evaluation combines a knowledge goal with a program outcome goal in the design of programs in the JJDP area. The statement of the knowledge goal (theories and assumptions needing to be tested) is of equal importance to the program goals (outcomes or impacts to be achieved). The evaluation design policy calls for consideration of all of the following needs for evaluative information: (1) Tests of Basic Assumptions, (2) Examination of Program Process, and (3) Assessment of Outcome. The ideas are presented in a logical sequence that can be used in a research/action program development process such as APDP.

An interesting test of Empey's JJDP evaluation policy model is now underway through the University of Southern California's national evaluation of the Special Emphasis Program, Deinstitutionalization of Status Offenders, which will be completed later in 1979. When it is complete, a management assessment of this national evaluation should be informative to OPM to determine whether the JJDP program evaluation model has features that should be adopted elsewhere in LEAA.

### III. FINDINGS

#### A. General Discussion of Findings

There was little expectation on the part of the NIJJDP researchers that the NEP studies would turn up effective approaches that were already operating in any of the four areas. The expectation was fulfilled, except for a few approaches that could be labeled "promising" in the alternatives-to-incarceration NEP report. The other three NEP's were even more conceptual in nature.

The OJJDP has initiated major action programs in diversion and prevention following the completion of the NEP studies. The prevention NEP assisted in the design of the action programs. The NEP was of more value in planning for the evaluation of the action programs than in preparing operating guidelines. A national evaluation of the Special Emphasis Prevention Program by the National Council for Crime and Delinquency (NCCD) in San Francisco uses the concepts and the organization of the prevention NEP directly in its design. The knowledge was transmitted by the NEP researchers who participated on the program advisory board and who prepared a background paper for the program solicitation. The action program concentrates upon the private sector rather than upon public programs that were emphasized in the NEP research, but the results were still relevant for JJDP decisionmakers.

All of the NEP studies met the objective of providing conceptual and definitional framework needed to carry out the information and clearinghouse mandate of the NIJJDP. The NEP's assisted in formulating classifications of information for the clearinghouse function. One direct utilization of NEP's was in the decision to initiate the Assessment

Centers Program. Centers were set up to specialize in (1) delinquent behavior and prevention, (2) the juvenile justice system, and (3) alternatives to the juvenile justice system. The behavior and prevention center is building directly on the knowledge from the NEP and will have future input from the national evaluation of the action program as well as from other research programs. The alternatives-to-detention NEP was by the University of Chicago, which was also the successful bidder to organize the Assessment Center with responsibility for juvenile justice system alternatives.

The next phase in the use of the NEP-based information will be within the training institutes that are now being planned, and additional information from the Assessment Centers will add to the already available training material.

#### B. Analysis of Utilization

The key events in the story of utilization discussed above are depicted chronologically in table B.1 and graphically in figure B.1. The tables define the events in the figure.

The figure depicts a process that begins with the JJDP Act of 1974, the initiation of the NEP program in 1974, and the accumulation of experiences in Juvenile Delinquency Prevention Programs under Federal, state and local government and private sponsorship. The initial plans of the JJDP area were the first evidence of utilization of the NEP evaluation study findings. These findings were in the nature of needed concept and definitions more than of estimates of program effectiveness. Figure B.1 shows that the findings were utilized in the organization of programs of research for the NIJJDP assessment centers and directly in the planning for the evaluation of the DSO program. The other evaluation (E.6) on figure B.1 represents the study, Response to Angry Youth, by A. D. Little, which was done for the action office to give the program manager a basis for program modification and continuation decisions while waiting for specific results from the national evaluation.

All other events depicted on the figure are anticipated events. The Assessment Centers are to be a major source of research findings for the planning of future research and action programs, and they are to provide the information that will enter the Clearinghouse. Major research studies are soon to be produced by these centers. The Clearinghouse is still in the planning stage because it is not to be initiated until there is sufficient information available to make it worthwhile. When operational, the Clearinghouse will prepare special purpose reports for the advisory boards and for the many clients in public and private agencies around the country; however they will not duplicate the final report dissemination function of the Reference Service. A needs study is now underway to determine the type and form of information that will best serve the needs of client groups of the NIJJDP Clearinghouse. When there is sufficient information available to prepare training materials, Training Institutes will be organized. A needs study is being prepared in this area as well. NIJJDP is following a plan that was devised in 1975, stating that no element of the plan is initiated until the previous steps are adequately implemented. When the Training Centers are organized

- Table B.1

<u>Description of Studies and Events in Figure B.1</u>	
1974	Initiation of the National Evaluation Program (NEP) Phase I studies by the Juvenile Justice Division, NILECJ.
1974	Juvenile Justice and Delinquency Prevention Act (Public Law 93-415)
1975	OJJDP and NIJJDP organized entities under LEAA.
1976	Program plans prepared using concepts and definitions from the NEP studies:  E.1 - Detention of Juveniles and Alternatives to its use. (Chicago study)  E.2 - Prevention of Juvenile Delinquency (Ohio State study)  E.3 - Juvenile Diversion  E.4 - Alternatives to Juvenile Incarceration
1976	Start of OJJDP Special Emphasis Program, Deinstitutionalization of Status Offenders (DSO) and its national evaluation, (E.5)
1977	Completion of a general assessment of deinstitutionalization of status offenders for use by TA contractors.  E.5 - Responses to Angry Youth
1977	Selected National Assessment Centers for NIJJDP research in priority emphasis areas.
1978	Initiation of research at Assessment Centers.
FY 78	Planned Initiation of Clearinghouse, following an information needs assessment.
FY 80	Planned end of DSO evaluation and feedback of results.
FY 80	Planned initiation of Training Centers after assessment of training needs.

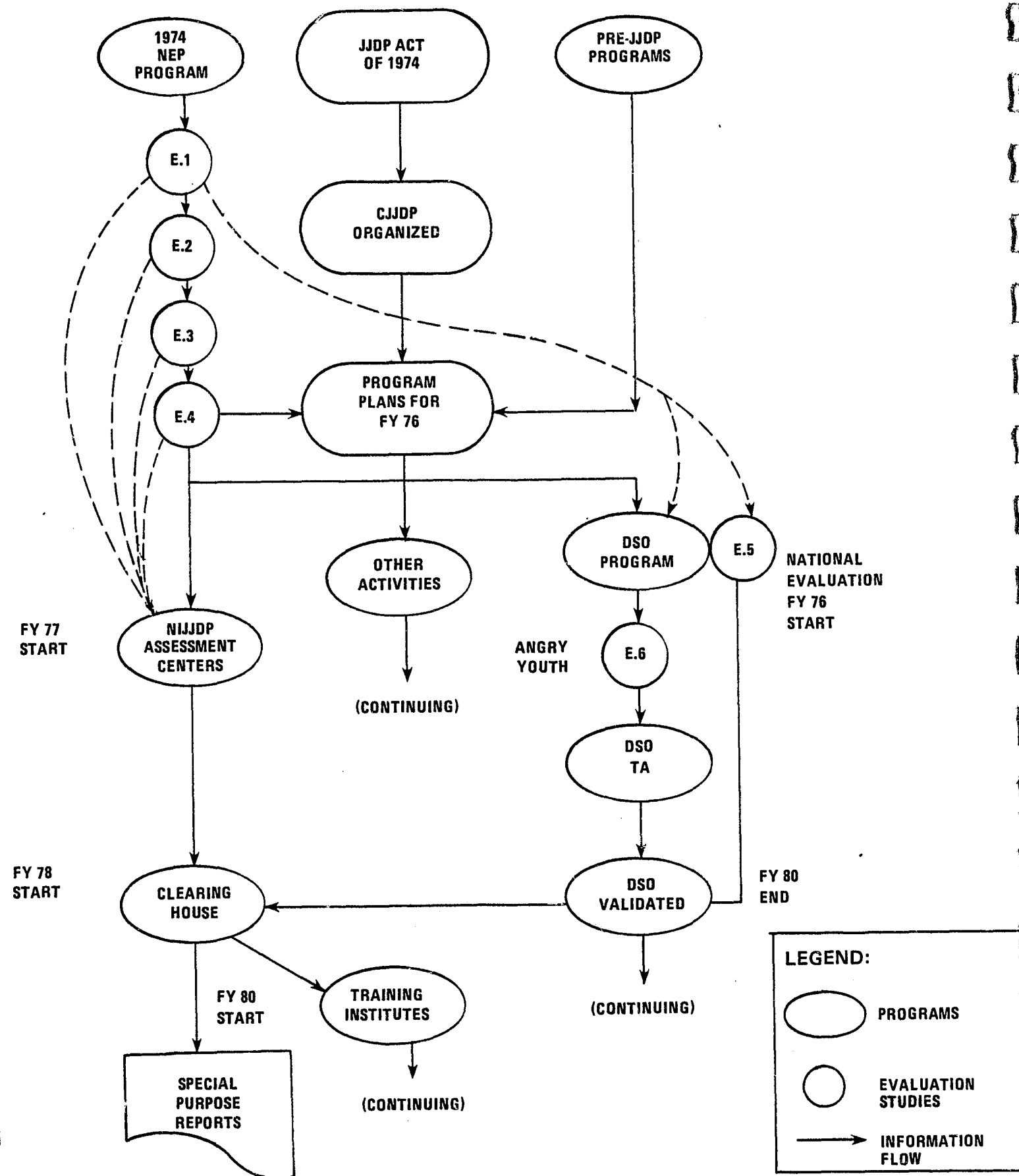


Figure B.1. Events Illustrating JJDP Utilization of Evaluation Study Findings.

and training is initiated, all major elements of the plan will be operational.

In the Special Emphasis Division of OJJDP, guidelines are prepared for action programs. The program managers use the broad information generated by the NEP's, specially prepared background papers from NIJJDP grantees, and the results of evaluations funded in conjunction with action programs, such as *Responses to Angry Youth*. The figure illustrates that the DSO action program and its evaluation were prepared together, and these were the first action/research packages for which guidelines were promulgated for discretionary funding under the Special Emphasis Program. The action program manager reports that the APDP process, which follows the JJDP process that had already been implemented, is a logical process for JJDP and should lead to a much better evaluation. When received, the DSO national evaluation should be the primary basis for a decision to advocate certain program models for formula grant funding and for selecting new initiatives in deinstitutionalization for further Special Emphasis funding.

In the Technical Assistance and Formula Grant Division, OJJDP, it was noted that few useful evaluations are being provided through formula grant funding. The mandate by Congress to deinstitutionalize status offenders has caused a flurry of activities to comply and little time to spend in considering more effective or efficacious alternatives. The A.D. Little study was used informally for making a decision to permit more flexibility in formula grant guidelines. The Division reports that there is no formal mechanism for getting the results of research and evaluation studies into guidelines, but the research people are always asked for input into the formula grant and technical assistance guidelines and programs. Personal contact is the primary mechanism for transmission of research information. The mechanism has been even more effective since the Regional Offices were disbanded and personnel relocated in the same building with NIJJDP.

### C. Summary of Utilization Experience Findings

Specific utilization of the three evaluation studies summarized in volume II is given in tables B.2 and B.3. The first presents the findings by type of office and the second in terms of the utility class of the use. Uses are summarized in the tables in this manner so that they can be compared with other case studies in other functional areas of LEAA. The modes of use are an indication of the depth that the use entailed for each office and utility class. When the mode of use in a cell includes two letters, such as A and F, the persons interviewed may have had different opinions about the study, or the study may have served well for one intended use and not for another.

Table B.2  
Utilization of JJDP Evaluation Studies  
By Office Type and Mode of Use

Function of Office of Interviewees (Number interviewed)	Delinquency Prevention Theory	Detention Alternatives NEP	Responses to Angry Youth
Research Offices (1)			
Policy	D		
Research (1)	D,A	B	B
Evaluation	A		
Develop/Test			
Training			
Action Offices (1)			
Policy			
Plan/Manage	D,A	D	A,F
Evaluation			
Technical Assistance			
Other Offices (1)			
Administration			
Grant Management (1)			F,B
Training Support			
Education			

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

Table B.3  
Utilization of Enforcement Evaluation Studies  
By Utility Class and Mode of Use  
Evaluation Study Report Used

Utility Classes	Delinquency Prevention Theory	Detention Alternatives NEP	Responses to Angry Youth
Policy Planning	A	A	B,F
Determine Future Research and Evaluation Needs	A	A	B
Program Models	D	B	
Testing Strategy			
Demonstration Strategy			
Evaluation Strategy	A	A	
Training and Marketing			A
Program Design	D		F,A
Program Continuation			
Decision			
Modification of Program			A
Monitoring and Directing Programs			
Technical Assistance			A
Public Information			
Education			

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.



#### IV. FACTORS INFLUENCING UTILIZATION

In the opinion of program managers in JJDP, the factors that are favorable to utilization of evaluative information in the juvenile justice area are:

1. The NEP studies were used by the JJDP area because they were designed to answer the questions that most needed answers to get a research and action program underway in JJDP.
2. Unlike other LEAA programs, the discretionary programs for action in the mandated priority areas were planned as a companion to the research programs to obtain knowledge. Although there were reports of some tension between research and action programs over guidelines, the problems were more easily resolved because of the more immediate access to the point of decision within OJJDP Administration.
3. The small staff and nearness of research and action offices makes formal coordination less necessary.
4. The JJDP program plan is long range and coordinated. The lessons of uncoordinated programs were learned from earlier LEAA mistakes, and the opportunity to avoid a repeat of these mistakes was taken.
5. Unlike the other offices in which APDP is being applied, policy and program planning is proceeding with a set of commonly defined concepts of juvenile delinquency in the social system and juvenile justice in the criminal justice system. There is a better idea of what is known and what remains to be learned. Priority setting in this context is made much easier.

#### V. CONCLUSIONS

It is concluded that the juvenile justice functional area is making effective use of the reviewed evaluation studies. The utilization has been in research, discretionary programs, and--to a lesser extent--in formula grant and technical assistance offices. The evaluation policy that NIJJDP has published emphasizes utilization-focused evaluation concepts. The plans to formally disseminate the information outside of LEAA are included in the plans for the Clearinghouse. The staff feels no need for any further formal procedures to encourage or require evaluation utilization within OJJDP/NIJJDP. The research-to-action process that APDP policy represents is adequate formality for their purposes.

As in most areas of LEAA, few evaluations of any kind have been completed. No evaluations have come full cycle under the OJJDP program evaluation policy. New issues of utilization may arise as the national evaluation studies become available, but at this time they appear to represent opportunities for rather than problems of utilization.

The relatively small staff and the proximity of NIJJDP and OJJDP encourage informal communications and can supplement the formal policy that exist to integrate research and action. This information communication network is an advantage that other functional areas do not have under present or proposed LEAA organizational schemes. Formal organizational contacts related to evaluation studies will be needed to build such communication networks in other areas.

## APPENDIX C

### CASE STUDY REPORT

Utilization of Evaluation Study Findings by the National  
Criminal Justice Information and Statistics Services (NCJISS)  
Statistics Division

by

Philip S. McMullan, Jr., Project Leader  
Jerry C. Van Sant

Utilization of Evaluation Study Findings by the National  
Criminal Justice Information and Statistics Services (NCJISS)  
Statistics Division

#### I. INTRODUCTION

This is one of four case studies prepared for the Office of Planning and Management (OPM) of the Law Enforcement Assistance Administration (LEAA) by the Research Triangle Institute (RTI). The case studies are part of the task entitled Evaluation Utilization Study under Contract J-LEAA-005-7. In this task, RTI and the LEAA technical monitor selected a number of evaluation studies to be reviewed and summarized in Evaluation Findings Summaries (EFS's). Interviews were then conducted with the staff and management of LEAA offices believed to be potential users of the selected studies. Information obtained from the study documents and the interviews was recorded and analyzed for this case study report.

This case study is based on interviews primarily in or related to the Statistics Divisions of NCJISS. The interviews were conducted by an RTI analyst with no involvement in the two RTI studies that were among the evaluation studies selected for this case study.

#### II. BACKGROUND

##### A. General

Of the functional areas considered in this evaluation utilization study, the statistics and information area has the broadest interest in other elements of the criminal justice system and of crime in the social system. The development of computerized criminal justice system functions involves the Systems Division in all other functional areas; and the Statistics Division collects statistics about all parts of the criminal justice system and about criminal behavior involving victims in the social system. Because of this overlapping interest in the many other LEAA functional areas that NCJISS supports, it was somewhat difficult to predetermine those evaluation studies that may have utility to the NCJISS staff. The seven studies selected for this case study are:

1. Surveying Crime, performed by the National Academy of Science for NCJISS, 1976.
2. Analysis of the Utility and Benefits of the National Crime Survey, performed by the Research Triangle Institute for the Statistics Division, NCJISS, 1978.
3. Evaluation of NCJISS, performed by the Research Triangle Institute for the Office of Planning and Management, 1976.

4. Assessment of Telecommunications Planning in the 50 States, performed for LEAA by the Association of Public Safety Communications Officers, Inc. (APSCO), with the help of Booze, Allen, Hamilton, Inc., 1975.
5. Costs and Benefits of Comprehensive Data Systems Program, performed by the Institute for Law and Social Research (INSLAW) for NCJISS, 1975.
6. Court Information Systems. Phase I NEP performed by the Mitre Corporation for NILECJ, ORP, Adjudication Division, 1977.
7. Evaluation of the PROMIS System in D.C., performed by INSLAW for the U.S. Attorney's Office, District of Columbia, 1976.

This set of evaluation/research studies provided a range of topics to be discussed with potential users in NCJISS, but the subject of this case study is the utilization of the three evaluation studies related to the Statistics Division's program and policy planning (number 1, 2, and 3 above). Evaluation findings summaries for all seven studies are in a separately bound volume II of this report.

#### B. Background to Evaluation Study Utilization

The three study documents for this case study are all related to the National Crime Survey, a national survey of 60,000 households which are interviewed semi-annually to measure the extent of victimization in the United States and to determine the "dark figure of crime." The term refers to those crimes that are not counted by the FBI-compiled Uniform Crime Reports, which includes only those incidents reported to the police and contains no information on the victims of crimes.

By 1975 the Statistics Division had completed and distributed very few victimization reports from the NCS, and the entire program of the Statistics Division was under criticism in OPM because of the apparent lack of utility of its products to potential Federal, state, and local agency users. At this same time, the entire LEAA set of major programs was being subjected to a policy level evaluation in preparation for Congressional oversight hearings into the continuation of the Agency beyond its second authorization period. One of several studies to be performed in anticipation of the hearings was a study titled, An Evaluation of the Accomplishments and Impact of the Programs of LEAA in the Areas of Information Systems Development and Statistical Services, which will be called the NCJISS Evaluation. The study was conceived and designed in OPM with the review but not advice of NCJISS management and staff. NCJISS objected to the evaluation plan and the use of NCJISS money for such a study. However, a new contractor (RTI) was selected competitively and a new member of the OPM staff was assigned as the project monitor. The study was completed within the four-month performance period and a draft was prepared. The results were presented orally to NCJISS and Statistics Division Management with the assistance of the OPM project monitor. The findings of the NCJISS Evaluation, with respect to the NCS, were that the victimization data and report had no users in

state and local offices and very few Federal executive users in Washington. The Statistics Division requested a telephone survey be conducted of a random sample from the distribution lists of several NCJISS publications, including one NCS publication. When this survey was completed, the results still indicated that NCS information was not utilized (through 1975) by the receivers of the publications.

The random sample of report receivers was requested by the new Director of the Statistics Division who had arrived to take the position after the NCJISS Evaluation was already underway. The new Director of the Statistics Division also found that he had inherited a National Academy of Science (NAS) evaluation of the NCS, entitled Surveying Crime. This study had been requested of the NAS by the new Director's predecessor who left LEAA soon after. The NAS study was also completed without the active direction or participation of the staff and management of the Statistics Division, and the results became available years after the Statistics Division and the NCS-related staff in the Census Bureau had been interviewed by NAS staff researchers. The final report was not representative of the status of the NCS at the time it was publicized, and it held up efforts to improve by Census.

Although the Academy report was largely supportive of the aims and accomplishments of the NCS, it contained constructive criticism that was wide ranging. The criticism was seldom in sufficient detail for the Statistics Division to act upon it without further research and development. A senior statistician at the Bureau of the Census reported to RTI that no outside critical evaluation had ever before been conducted of a major statistical series managed by the Bureau of the Census. He stated that any of the other series would be subject to much the same criticisms if evaluated in the same manner. Although the evaluation was unique in Census experience, the widely publicized findings of Surveying Crime caused several relevant decisionmakers in LEAA and the Department of Justice to become doubtful of the validity and efficacy of the NCS. Under the circumstance of such doubt and the need to make several major budget cuts in the Division, the Director of the Statistics Division and the NCJISS Assistant Administrator recommended to the Acting Administrator of LEAA and to Department of Justice officials that the NCS be temporarily terminated. A research program would then be initiated to correct the problems uncovered by the Academy study. A study of the potential uses and benefits of the NCS was planned to identify the important potential users of NCS and their needs. Because of an interest in the NCS for research uses, the academic community joined forces with members of the staff of the Subcommittee on Crime of the House Judicial Committee in objecting to the termination of the NCS. They were successful in having the termination decision postponed for six months while the LEAA/DOJ decisionmakers obtained more information.

The LEAA/DOJ decisionmakers required information to determine the utility of the NCS to user groups other than the academic community and an estimate of the potential benefits of the NCS if this utility were achieved. The RTI analysts who had completed the first investigation of the uses of Statistics Division products were asked to undertake this

Utility and Benefits of the NCS study. Meanwhile, the Division proceeded with a conference of persons knowledgeable about NCS methodology in an attempt to determine a set of priorities for an external program of research to improve the NCS and meet the criticism of the NAS study.

The RTI Utility and Benefits study was initiated within the Statistics Division. The questions to be answered were obtained from the Statistics Division Director and the LEAA Acting Administrator, and the project was funded and monitored within the Division. Preliminary findings were reported to the Director and the NCJISS Assistant Administrator several times during the five-month performance period. The first draft was reviewed by the Director and an OPM representative on the morning it was delivered, and the report and an oral summary of its major findings was given to the Acting Administrator on the same day. Within a few days after the delivery of the draft report, LEAA and DOJ decided to continue the full-sample NCS while developing modifications.

A major program of external research was decided upon in the months following the completion of the methodology expert's conference and the delivery of the Utility and Benefits study. At the time of the preparation of this case study, organizations had completed their bids for the external program of research to improve the NCS. All bidders were given copies of the Surveying Crime and Utility and Benefits studies as pertinent background to be addressed in the proposals.

III. FINDINGS

A. Examples of Utilization Experiences

Interviews were held with the persons in LEAA responsible for the NCS, the NCJISS Assistant Administrator, and the project monitor for the NCJISS evaluation in OPM who also assisted in the monitoring of the Utility and Benefits study. No one involved in the monitoring of Surveying Crime was interviewed for this case study.

The results of the interviews are summarized in tables C.1 and C.2. The utilization of the NCS evaluations received a mixed report in the interviews. The interviewees reported that Surveying Crime provided an important input to policy, research planning, and program planning by providing enlightening background that permitted pertinent questions to be asked (Mode B in the tables). At the same time the report created erroneous impressions in important policy positions (Mode E), and it failed to provide information that the Division could use and had requested (Mode F). The specific information needed was an assessment of the utility of the NCS for its more important user groups and the lack of such information in the NAS report was a primary reason for the request to RTI to perform the study of utility and benefits.

The Utility and Benefits of the NCS study was used to answer (Mode A) a specific policy question, as was explained in the previous section. It also provided enlightened background for the preparation of proposals

Table C.1

Utilization of Statistics Division Evaluation Studies

By Office Type and Mode of Use

Function of Office of Interviewees (Number interviewed)	Surveying Crime CJSS-1	NCS Utility Study CJSS-2	NCJISS Evaluation CJSS-3
NCJISS Offices (4)			
Policy (2)	B,E	A	F
Research (1)	B	B	
Plan/Manage (1)	B,F	B	F
Evaluation (1)			
Technical Assistance			
Other Offices (1)			
Administration (1)	✓	A,D	C
Grant Management			
Training Support			
Education			

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

Table C.2

Utilization of Statistics Division Evaluation StudiesBy Utility Class and Mode of Use  
Evaluation Study Report Used

Utility Classes	Surveying Crime CJSS-1	NCS Utility Study CJSS-2	NCJISS Evaluation CJSS-3
Policy Planning	B	A	F,C
Determine Future Research and Evaluation Needs	B	B	
Program Models			
Testing Strategy			
Demonstration Strategy			
Evaluation Strategy			
Training and Marketing			
Program Design	F	D	
Program Continuation	E		
Decision			
Modification of Program	B		
Monitoring and Directing Programs			
Technical Assistance			
Public Information			
Education			

Modes of Use Legend:

- A. Provided answer to question that needed to be resolved before making a policy or program decision.
- B. Provided enlightening background material that permitted proper question to be posed. (Includes coupling with other studies.)
- C. Provided confirmation of a position already held or a plan already underway, making the position more legitimate.
- D. Provided documentation which may have influenced decisionmaking at some point. (Includes suggesting concepts or topics)
- E. Led to erroneous use. (Misinterpreted or misconstrued.)
- F. Failed to provide information that reader could utilize.
- N. Document was never read.
- ✓ Use indicated but the mode was not determined.

for the improvement of the NCS and for the planning and management of the program when it is improved. One program interviewed outside of NCJISS used the report's conclusions in deciding policy for the NCS, and another considered the report to be of moderate value because it documented potential usage that might influence future decisions.

The third study, NCJISS Evaluation, in the two tables, shows a very low level of utilization. NCJISS said this third study failed to provide information with utility for NCJISS decisionmaking. Its utility to OPM was somewhat higher because it confirmed expectation of little utilization of Statistics Division publications by criminal justice agencies. However, the person interviewed admits that the confirmation was of no practical value because the Administration was not inclined and NCJISS was not required to implement the recommendation of the study.

B. Factor Influencing Utilization in NCJISS

As found in all other LEAA interviews about utilization of evaluation findings, NCJISS experience shows that evaluation studies must ask questions pertinent to important potential users if they are to have utility. Reaction is almost certain and program or policy decision utilization is probable when timely and relevant questions are answered. The reverse is also almost certain: evaluation studies that fail to address the questions that are pertinent to the relevant users will almost certainly not be utilized. At NCJISS, utilization was observed when (1) there was active participation of the concerned parties in the initial selection and design of the evaluation questions and methods, (2) there was participation in the review of progress of the evaluation study, and (3) there was opportunity for the decisionmakers to review the results and contribute to their interpretation.

The 1976 evaluation of the NCJISS program by RTI illustrates a study that lacks all three of these positive characteristics. The study answered the questions asked of it by the request for proposal, and it had the benefit of an active and helpful OPM project monitor. However, it lacked participation of any LEAA decisionmaker in the evaluation process.

The National Academy study of the NCS began with the full blessings of the relevant decisionmakers. In a broad policy sense, the questions were put to the Academy by these persons. However, the Committee staff that conducted the investigation had minimal contact with the Statistics Division after the initial interviews. Modifications of the NCS program occurred after these initial interviews but were not communicated to the NAS staff. Recommendations and conclusions were not discussed with NCJISS until the study was published. NCJISS anticipated an Administration review of the findings and a request for specific response, as would be the case in a GAO or internal audit. The Statistics Division Director prepared a point by point response to the criticisms and recommendations after convening an ad hoc committee in which NCJISS and the Bureau of Census staff thoroughly reviewed the report. But no Administration request to respond to the evaluation was received, just as none had been received formally on the earlier NCJISS evaluation by RTI. The Division proceeded with the utilization of NAS findings because of the public

criticism aroused by NAS publicity about the study. No formal internal systems required utilization. Thus utilization of the study occurred because of professional concern for the reputation of the NCS, and because the report correctly pointed out a need for methodological improvements. The way in which the evaluation was conducted, reported, and publicized made it more difficult to accomplish these needed improvements.

The Utility and Benefits study has the best reputation in NCJISS of the three studies regarding appropriateness of the questions, timeliness of the study and the report, and utility of the findings for NCS policy decisions and future research needs. The Division would have liked some estimates of potential economic benefits and considers the learning curve model to be inappropriate for some user groups. "Nevertheless, I see this as one of the most useful studies done for NCJISS and expect it to be a valuable management tool," the Division Director concluded.

In commenting more generally about evaluation utilization and steps that might be taken to improve it, the interviewees made the following points:

- . The only standardized procedure in NCJISS is a post-study briefing.
- . The result is a response pattern described as "creeping ad hoc-ism."
- . There is no clear system in LEAA by which program units are called to account for their use of evaluation products -- monitoring by OPM is toothless without stronger backing from the Administration.
- . The closest thing to organized accountability for evaluation results is in the annual budget review cycle when program changes must be justified. Interim decision memoranda may also reflect a response to evaluation findings.
- . The primary factor hindering full utilization is the process by which the study comes into being.
- . Studies imposed from outside are likely to be perceived as a threat.
- . Study quality is also a factor in achieving utilization, but the lack of quality normally results from the way in which the process comes into being.
- . Lack of a structured utilization system was viewed as a minor factor influencing effective utilization. Enforced action is likely to produce action for appearance's sake only.
- . OPM does not agree that effective utilization can result without some formal structure, though it should not represent coercion.

## V. CONCLUSION

The front-end relationship among the actors and their continuing interaction is the principle factor affecting the predisposition of an LEAA office to seriously utilize an evaluation study finding.



## APPENDIX D

### CASE STUDY REPORT

#### Utilization of Career Criminal Program Evaluation Findings

by

James J. Collins, Jr., Ph.D.

#### Utilization of Career Criminal Program Evaluation Findings

##### I. INTRODUCTION

This case study is one of four prepared under the Evaluation Utilization Study, a task performed by Research Triangle Institute for the Office of Planning and Management (OPM) to assist in OPM efforts to find ways to improve upon the extent to which evaluation study results influence LEAA's National policy and program planning.

The Career Criminal evaluation is an example of an evaluation of a program that was initiated in action offices, demonstrated with discretionary funds in 36 cities, then transferred back to the National Institute for program development within the Action Program Development Process (APDP). The evaluation is not complete, but interviews disclose characteristics about the program and its evaluation that represent opportunities for improving utilization of future evaluations. Summary statements which have been extracted from interviews are presented in quotations at several intervals in this case study.

##### II. PROGRAM AND EVALUATION DISCUSSION

###### A. The Early Development of the Career Criminal Program

Mr. Charles Work, a Deputy Administrator at LEAA from 1973 to 1975, was a U.S. Attorney in Washington, D.C., before joining LEAA. More than any other single person, he is responsible for the development of the Career Criminal Program (CCP) within LEAA. A number of factors were associated with the CCP development.

During Mr. Work's tenure as a prosecutor in the District of Columbia (D.C.), the PROMIS (Prosecutory Management Information System) automated data system, was installed. PROMIS enabled the prosecutor to monitor and evaluate his caseload. In those prosecutor's offices that must handle very large caseloads, the managerial-administrative tasks are formidable. It is common, for example, to have an individual offender who has more than one case pending at a given time. It is also common to have new cases develop for individuals who are currently released on bail or on parole for previous cases. In the absence of an automated data system, matching individuals and cases is difficult. In the absence of this capacity to track individuals, each case, in effect, has a life independent of the individual offender. The PROMIS system provides the capacity to track both individuals and cases and can, for example, tell a prosecutor how many open cases currently exist on an individual and whether or not an individual offender is already on bail or under the supervision of the criminal justice system for other cases.

When Charles Work was prosecuting cases in D.C., PROMIS data indicated that 7 percent of offenders were responsible for 24 percent of the

office caseload; that is, this small percentage of offenders was being arrested and charged multiple times. One implication of this finding from a case manager's viewpoint, was that this repeat offender group should be the focus of special prosecution efforts. It was reasoned that the efficiency of prosecution efforts might be improved if special attention were paid to this offender group. Other research results that became available simultaneously to the development of PROMIS confirmed that a relatively small percentage of offenders was responsible for a substantial percentage of offenses. The research of Wolfgang, Figlio and Sellin is almost always mentioned in this regard.<sup>1/</sup>

There is a second implication of the finding that a small percentage of offenders is responsible for a large percentage of offenses. Crime control efforts which focus on this group should maximize incapacitation impact. Incapacitation refers to the prevention of offenses during the time offenders are incarcerated.

After joining LEAA, Charles Work obtained the attention, and finally the approval, of then Attorney General William Saxbe to begin a CCP within LEAA.<sup>2/</sup> President Ford's address on crime to the International Association of Chiefs of Police (IACP) in September 1974, gave the CCP additional stature and support.

The ingredients of the program itself were relatively simple:

1. The program involved focusing on a selected group of serious offenders; jurisdictions were encouraged and did develop their own criteria for selection of the target offender group.
2. Experienced prosecutors were to handle career criminal cases. If additional staff attorneys were needed, they should be hired to replace the experienced attorneys assigned to the career criminal cases.
3. Vertical prosecution: career criminal cases assigned to a prosecutor were to be handled by the same prosecutor all the way through the adjudication process.

"We went out into jurisdictions, found out what was going on, what was needed and designed CCP around a few research findings and a few managerial concepts."

In the process of developing the CCP, Charles Work and several

<sup>1/</sup>Wolfgang, Marvin E., Robert M. Figlio and Thursten Sellin. Delinquency in a Birth Cohort. Chicago: University of Chicago Press, 1972.

<sup>2/</sup>Memo from Charles R. Work to Honorable William B. Saxbe. "Proposed Career Criminal Impact Program of the United States Department of Justice." August 7, 1974.

others at LEAA drew on their past experience, some research findings, a few relatively simple managerial concepts and the experience of other prosecutors. In the developmental months of late 1974 and early 1975, discussions were held with practicing prosecutors. The Bronx, New York, prosecutor's office had an operational program that was called the Major Offense Bureau (MOB). This operational program rested on some of the CCP notions and was used to inform the LEAA program development process. The Bronx, MOB project was later designated an LEAA Exemplary Project.

Several people noted during interviews that the CCP should be viewed as a program with a managerial objective. Charles Work maintains that the CCP was the first major prosecution innovation in more than thirty years. The crime reduction aspect of the program is viewed as desirable but secondary to the managerial objective. Given the complexity of the methodological problems and data requirements for dealing with the impact of CCP's on crime rates, some are skeptical that the question of CCP effect on crime rates is answerable.

#### B. CCP and APDP

"Career criminals preceded APDP but still followed some of the APDP program development steps."

The Career Criminal Program preceded the formulation of the Action Program Development Policy (APDP) process. This process attempts to standardize the development, design, testing and marketing activities for new LEAA action programs. Even though CCP preceded APDP, the development of the CCP seems to have generally followed the steps called for by APDP, though not formally or in the same sequence. Considerable planning, program definition, strategy selection, and program design activities took place before programs were funded. Since the first program was funded in May 1975, modifications in LEAA procedure and program activities have occurred. The Bronx MOB project might be called the functional equivalent of a validated program design. Marketing has been successful and programs have been continued in local and state jurisdictions after discretionary funds have stopped. Programs using CCP concepts and design have been implemented in some jurisdictions without the assistance of LEAA discretionary funds.

#### C. Evaluation of the Program

The evaluation of the CCP has been contracted to the Mitre Corporation by the National Institute of Law Enforcement and Criminal Justice. Although several volumes have already resulted from this evaluation, the final evaluation document concerning the impact of career criminal programs on crime levels remains to be submitted. This report is expected later in 1979.

The Mitre evaluation was not contracted until more than a year after the CCP had been underway; ten jurisdictions had received discretionary funds before the evaluation was funded and an evaluation design developed. Thus evaluation design and data considerations were not a part of initial program implementation.

The Mitre evaluation design uses case studies of four selected jurisdictions to evaluate program activities, criminal justice system performance, and the effects of the CCP on crime levels. The evaluation of program activities involves a description of the case flow process and of the implementation of the CCP. This might be called the process evaluation; it is essentially descriptive. The second and third components, the evaluation of criminal justice system performance and the program effect on crime levels, might be called the impact evaluation.

"There is some natural tension between the Institute and OCJP and between impact and process evaluation goals."

Those in LEAA associated with implementation of the action program, view the CCP as managerial in nature; the program is valued in terms of its potential to improve the adjudication process. It is also viewed by program people as a program that will have the desired effect on crime levels, but the program people resist the notion that the value of the CCP should be measured by its ability to produce a demonstrable crime reduction effort. This resistance is understandable given the interests of action program personnel, but should not be exclusively viewed in these cynical terms. The resistance of program people to the impact evaluation aspects of CCP may derive as much from concern regarding the validity and power of the evaluation design to measure accurately the actual program effects.

#### D. Evaluation Design Factors Influencing Utilization

LEAA is not charged by mandate with controlling crime, but the national need for better crime control was the formal *raison d'être* for the existence of LEAA. This simple fact has far reaching implications for LEAA and its programs. It is relevant here because the emphasis on crime control was partially operationalized by its integration into the stated goals of the CCP and into the evaluation design of the CCP. This also has important implications for the utilization of the CCP evaluation. It implies that the success of the CCP is to be measured in part by its crime reduction impact. This crime control criterion is emphasized by the OPE evaluation in spite of the fact that the individuals who originated the program and others who are now involved in the operation of the program emphasize the managerial function of the CCP. Career criminal programs were and are viewed by these individuals, and by relevant individuals in jurisdictions with CCP programs, as a managerial tool to improve prosecution efficiency by focusing on a selected group of offenders. CCP program managers and advocates express the belief that CCP's will help control the crime rate, but they generally resist the notion that this effect should be the criterion of success for the program. There are valid methodological reasons for resisting the use of crime rate impact as the success criterion and the measurement of this effect is scientifically problematic in a number of ways. However, the evaluation design emphasizes this criterion. The CCP program impact is to be measured largely by an elevated criminal justice performance and a reduced crime rate.

The nature of the evaluation design and choice of success criteria have important implications for the utilization of evaluation findings. In the case of the CCP, a design/utilization anomaly exists. The design is only partially appropriate for action program purposes. Because CCP's are fundamentally managerial at the implementation level, evaluation findings that emphasize impact are not directly useful. Program process is more important than program impact under a managerial focus. On the other hand, if CCP's do not improve criminal justice system efficiency and control the crime rate, LEAA may not wish to expend funds for them.

The Mitre evaluation of CCP has provided extensive descriptions of four local CCP's. However, these descriptions of the adjudication process were undertaken as a step toward the impact evaluation. The descriptions would be operationally useful if they identified organizational or process commonalities between the jurisdictions and extrapolated successful and/or problematic aspects of the programs. In this way the evaluation could assist ongoing programs and facilitate the establishment of new programs. However, the evaluation has progressed from a description of the process in the selected jurisdictions to addressing the impact of the programs. The potentially more useful (from a programmatic point of view) operations research analysis of process has not been pursued.

### III. SUMMARY - EVALUATION UTILIZATION

The LEAA CCP can be viewed as successful in several ways:

1. The central notion of the program, that of concentrating criminal justice resources on serious offenders and offenses, has remained viable and is being expanded. Targeted prosecution has expanded to include "targeted investigation" in the Integrated Criminal Apprehension Program (ICAP).
2. Jurisdictions continue programs after discretionary funding stops.
3. New jurisdictions seek funding for their own CCPs.
4. Conviction and incarceration rates for arrestees defined as career criminals are higher than these rates for other arrestees.

The last point is a finding of the evaluation of CPP, but evaluation is not yet complete, and the higher conviction and incarceration rates for career criminals may need further verification. The final product of the CCP evaluation, due to be submitted within a short time, will also address the question of the impact of the CCP on the crime rate in the four sites selected for inclusion in the evaluation design.<sup>3/</sup> The evaluation of the impact of career criminal funding on the operational efficiency of the selected criminal justice systems and on the level of crime in

<sup>3/</sup> Columbus, Kalamazoo, New Orleans, and San Diego.

those jurisdictions remains to have its effect on LEAA and its future programming decisions.

Although the CCP evaluation is not complete and the CCP was established prior to the formation of APDP, it is possible to make several points regarding the internal LEAA evaluation utilization process and about LEAA action program development. It should be emphasized that critical comments, to the extent that they apply to 1979 APDP standards, are unfair; these criteria were not established when the CCP was initiated and implemented.

"It is difficult to find a way to use the evaluation reports received to date."

The evaluation design and/or the allocation of evaluation resources for the CCP are inappropriate. A process evaluation would be most appropriate if the CCP is viewed as essentially a managerial program. An appropriate process evaluation would include the measurement of process impacts like comparative CCP/non-CCP adjudication times and comparative incarceration probabilities. A simple process evaluation would ignore the question of crime rate impact. Based on the evaluation reports available to date, and also on the apparent evaluation resource allocation to date, a process evaluation has been done. However, the process evaluation has not as yet provided an appraisal of within process CCP efficiency. The effects of CCP implementation on adjudicatory performance have not been specified.

If the CCP is to be viewed primarily as a program to reduce crime rates then a crime rate impact evaluation would be the appropriate design. It can be accurately argued that CCP is a program with both managerial (process) and crime control (impact) foci. The failure to be specific about the extent to which each goal is to be pursued frustrates the establishment and implementation of an appropriate evaluation design. It would appear that the bulk of the resources spent to date has been on the process evaluation, but reported results do not reach past the descriptive level. One effect of ambiguity in the evaluation goals to be pursued or of attempting to do too much within allocated time and resources may be the production of an evaluation product that is not very useful for any goal.

There is little evidence that CCP evaluation findings have had an influence on LEAA program planning. The absence of these effects is not surprising given the inconsistency and incompleteness mentioned above. Other factors are also relevant. The CCP predated APDP and the development, modification and testing of the program was not a well organized process. Some program changes were undoubtedly made in response to the "evaluations" of those involved in the program even though evaluation in a more formal sense was not systematically employed. Career criminal programs also need to be implemented in jurisdictions which have adjudicatory processes that are each somewhat unique and thus may not be appropriate contexts for a single validated program design. There is also a natural and appropriate tension between organizational components of LEAA; NILECJ and OCJP have different goals and agendas.

In summary: (1) the CCP evaluation is not complete; (2) there has been indecision or ambivalence about appropriate CCP goals and these have been reflected in the evaluation work; (3) a systematic program development plan is a recent development within LEAA; (4) jurisdictions vary in the structure of their adjudicatory processes and; (5) NILECJ and OCJP differ in their objectives. Under the above circumstances it would be surprising to find that evaluation results had been utilized to an appreciable extent. These factors are not offered as excuses, because CCP appears to be a success - a testimony to the power of a good idea and the dedication of hard working people.

## APPENDIX E

### CASE STUDY REPORT

#### Evaluation Utilization in Office of Education

by

Janet D. Griffith, Ph.D.

## Evaluation Utilization in Office of Education

### I. INTRODUCTION

This report describes the program evaluation activities of the Office of Education (OE) and the system used by the Office of Education for the utilization of evaluation studies. The experiences of the Office of Education and its utilization system are important and relevant to LEAA. OE has been actively involved in evaluation and evaluation utilization since the early 1970s. OE has been very concerned with the dissemination and utilization of evaluation and has developed a variety of mechanisms to achieve dissemination to a range of audiences, including program managers, project staff in the field, and relevant Congressional committees.

### II. BACKGROUND TO UTILIZATION

#### A. General

This section briefly describes the Office of Education, its mission and activities in the area of evaluation, and the history of evaluation activities within OE. It also describes the level of funding and organization of evaluation activities. These provide a background to the discussion in the next section of the utilization system for evaluation within OE.

#### B. OE Activities and Functions

The Office of Education is responsible for implementing and evaluating the national-level programs in education mandated by Congress. Specifically, OE is directed to evaluate the effectiveness of programs in achieving their legislated purposes. The Office of Education is responsible for the administration or monitoring of roughly 100 programs that provide funds, materials, staff, training, technical assistance, and other materials and support to all educational levels in the country. The budget for OE for fiscal year 1977 was approximately \$9 billion, and approximately 3,000 persons were employed in OE's Washington headquarters and regional offices. In recent years, the majority of OE's programs have been aimed at the disadvantaged. These programs include Title I of ESEA and the bilingual programs.

#### C. History and Funding of OE Evaluation

The first major funding for the evaluation of programs administered by the Office of Education was in FY 1970, when \$9.5 million was appropriated. The level of funding has varied since then, reaching a peak of \$12.5 million in FY 1972. Funding for fiscal 1977 and fiscal 1978 was \$7.1 million each year, and the 1979 funding is \$5.25 million. In addition, since FY 1975, up to one-half of 1 percent of programs funds has been set aside annually under Title I for program evaluation.

#### D. Organization of Evaluation Activities Within OE

The organization of evaluation activities within the Office of Education has several major features. First, it is highly centralized rather than being located within program offices. The evaluation and utilization function is located in the Office of Evaluation and Dissemination (OED), which is directed by John W. Evans, Assistant Commissioner of Education. This office has a permanent full-time staff of about 80 persons, with a substantial professional staff with graduate training in areas related to educational research; an average of 45 professional man-years are devoted to evaluation in a year.

The Office of Evaluation and Dissemination has three substantive divisions: the Division of Post-Secondary Programs; the Division of Occupational, Handicapped, and Developmental Programs; and the Division of Elementary and Secondary Programs. These correspond to program areas within the Office of Education. The OED staff deals directly with the staff of the corresponding program offices in planning and carrying out program evaluations and in utilizing the results of evaluation studies.

The basic approach to evaluation is to have the evaluation study designed and closely monitored by the OED staff and to have the fieldwork contracted out. Several aspects of the process of planning and carrying out evaluation studies are particularly relevant to questions of the utilization of evaluation findings. One is that the effectiveness criteria incorporated into an evaluation are based on the objectives for programs as stated by legislation and by program guidelines developed in the Office of Education. Another is that the planning and timing of evaluation studies is scheduled around knowledge about expiring legislation, upcoming budget decisions, and other elements of the planning and development process at the Congressional and Departmental level. In this connection it should be noted that OE is legislatively required to submit an annual evaluation report to Congress on its evaluation of all OE-administered programs.

A third aspect of the evaluation process relevant to the utilization of evaluation is that, while the office is separate from the program offices and activities being evaluated, OED staff work closely throughout the evaluation process with staff of the program offices. This close working relationship seeks to ensure that evaluations are responsive to the needs and concerns of each office and to facilitate utilization of evaluation findings by the program offices.

#### E. Special Features of OE Evaluation, and Relevance to LEAA Programs and Problems

The special features of OE's work in the area of evaluation and evaluation utilization are several. First, as noted above, the evaluation function is centralized in Office of Education in a separate office at the executive level. Furthermore, OE has a relatively long history of evaluation work within the Federal government and has been particularly sensitive to and concerned with problems of the utilization of evaluation. Like LEAA, it has the responsibility for administering and evaluating

national-level programs that are implemented by local communities and agencies. Also like LEAA, Congress is a key audience for the findings of its mandated evaluations. The Office of Education has been acutely aware of the importance of Congress as an audience for its evaluations, and its utilization system includes mechanisms to facilitate evaluation utilization by Congress, as described below.

In the next section OE's evaluation utilization system is described in detail.

### III. UTILIZATION SYSTEM

#### A. The Organization and Function of Evaluation in OE

As discussed in the preceding section, OE has a Congressionally mandated evaluation program, organized in a central office (the Office of Evaluation and Dissemination), which has a structure that parallels the major program areas and is staffed by technically trained professionals.

The professional staff within this office has the responsibility for carrying major pieces of evaluation through from the early planning stages through to the process of utilization. This integrated approach to evaluation and utilization is a key component of the OE system.

#### B. Components of the OE Evaluation Utilization System

The evaluation utilization system in OE can be viewed as a variety of communication devices directed at different audiences of decisionmakers, rather than as a sequence of utilization steps. Evaluation and its utilization within OE are designed for coordination with other OE activities in such areas as policy planning, the budgetary process, and program planning. The stated objectives of OE evaluation are to provide a basis for better decisionmaking by both the executive and legislative branches on legislation, resource allocation, and program management. Major audiences include Congress, OE program managers, other decisionmakers within OE, and--for some evaluation products--project field staff, educators, and others at the local level.

There are two major forms or products of dissemination at the Federal level. One is directed primarily at an internal OE audience and the other is directed at external audiences, including Congress, OMB, others within the Federal government, and state education officers and educators in the field. The two major products are: (1) Policy Implications Memorandums (PIMs), and (2) executive summaries. The Office of Evaluation and Dissemination is responsible for preparing both documents which are written after the final report for the project is received. In addition, the Annual Evaluation Report is prepared and submitted to the House Committee on Education and Labor, and the Senate Committee on Human Resources. The Annual Evaluation Report includes a chapter for each program administered by the Office of Education, with a major section in each chapter on program effectiveness and progress.



The executive summary is a major mechanism to ensure that evaluation findings are utilized. The executive summary is a five- to 10-page document that summarizes the background, methodology, and findings of the study. As of November 1978, 63 executive summaries had been produced and distributed by the Office of Evaluation and Dissemination. These summaries are prepared by the OED staff responsible for developing and monitoring the evaluation project. These executive summaries are distributed to Congressional committees, and to HEW staff, the Office of Management and Budget, chief state school officers, and educators in the field. These and the other utilization activities are planned as a series of devices that increase the awareness of evaluation findings on the part of appropriate decisionmakers within the agency, in Congress, and outside.

PIMs are primarily aimed at an audience within the Office of Education, and state the implications of the research in a form that can be incorporated into agency procedures and plans. OED policy is to prepare PIMs for each appropriate study, and five PIMs had been completed by November 1978. These include recommendations based on the study findings that are relevant to general policy, legislation, budget, management, and to planning, research, and evaluation. Once these are signed by the Commissioner of Education, they become executive directives to OE program managers. The PIM is essentially a bureaucratic device, and is useful to generate action steps. These steps are assigned by the Commissioner for accomplishment by specific offices and at specific times. Although a PIM is potentially a powerful bureaucratic mechanism, PIMs have been difficult to prepare for a variety of reasons, and relatively few have been completed to date.

A third device is the oral briefing, which the Office of Evaluation and Dissemination plans to prepare for major studies. These briefings would be presented to a variety of audiences largely within the Federal government such as the Congressional staff, the staff of the Assistant Secretary for Planning and Evaluation (ASPE), the Assistant Secretary for Education (ASE), and OE program staff. The first such briefing carried out was for the compensatory reading study.

These three mechanisms--the executive summary, the PIM, and the oral briefing--are forms of dissemination of the findings of evaluation studies commissioned under OE's legislative mandate and are designed to make relevant decisionmakers in the agency and the Federal government increasingly aware of evaluation findings. In addition, two other major dissemination and utilization activities within OE are described in section C.

#### C. Other Dissemination and Utilization Activities

The other two utilization activities are the distribution of final reports and the procedures for the review and packaging of information on effective projects. Final reports for all evaluations are prepared by the contractors, sent to OE, and distributed to the relevant OE program staff. In addition, copies are placed in the ERIC and National Technical Information Service systems and in depository libraries. Once

deposited in these distribution systems, the reports are accessible to the public and to educational researchers. Although this is technically a dissemination activity, it is a relatively passive one on the part of Office of Education, and is primarily designed to make access to final reports possible without requiring continuous distribution by the Office of Evaluation and Dissemination or other offices within the Office of Education. Although educational researchers and the general public are an audience for evaluation findings, they are regarded as largely self-sufficient in terms of their informational needs. They are not thought of as a key audience for active utilization efforts that draw on the OED's necessarily limited resources.

The other mechanism is the review and dissemination of effective projects for adoption in other areas. The evaluation component is located in the Joint Dissemination Review Panel (JDRP). The JDRP is composed of representatives from Evans' office and the National Institute of Education (NIE). It is an internal quality-control review mechanism, and its review is required when any program in OE or NIE wants to disseminate anything to the field with Federal sponsorship. The idea is that, before anything can be distributed responsibly, its effectiveness must be demonstrated. The JDRP is composed of persons with a methodological background, and this panel must review any proposal to disseminate a locally developed project as a model. To date they have reviewed roughly 400 projects and have approved about half for dissemination. These are local projects, whose staff did the evaluation or commissioned it locally. That is, the projects are not the product of OE's own evaluation program.

Once approved, projects can be distributed through the National Diffusion Network. This has \$14 million in funding, and has the responsibility for taking approved projects and disseminating them to the field through a variety of mechanisms. The mechanisms include awareness conferences, projects funded as demonstration, and Project Information Packages (PIPs). The PIPs include detailed information on how to set up a project similar to the original effective project in other field locations. Six PIPs in compensatory education have been field tested, six are under revision while in use, and four PIPs in bilingual education presently are in field testing. The PIPs are disseminated by the National Diffusion Network, the Office of Education and State program staff, and contractors.

The Office of Education takes note of the number of adoptions. The number has been substantial and from OE's viewpoint, the response is gratifying. In addition to the fact that the projects are being adopted, this is an attempt to change the nature of the debate about innovation in education and the process by which innovations are evaluated and implemented, with increasing emphasis placed on evidence of effectiveness of innovative practices.

#### IV. ANALYSIS OF SYSTEM

##### A. Assessment of Existing System

The preceding sections discussed the major components of the utilization system of the Office of Education. In this section a further analysis of the system is presented, including the comments of key OE personnel on the system and on potential changes in the system.

First, the overall assessment by OE staff is that their approach to evaluation is basically correct. The combination of centralized effort, close planning and monitoring of contract research by program staff and active dissemination efforts is regarded as an effective and appropriate approach.

Internal criticisms and questions focus on several problem areas. The first problem area involves difficulties inherent in the evaluation process itself. Three of these seem particularly important:

1. Vagueness of Goal. In many cases, the authorizing legislation specifies very broad and vaguely stated goals for the particular programs to be administered by OE. Without clear specification of what a program should achieve, program implementation and evaluation become extremely difficult. Overly broad or vague program goals make evaluation utilization difficult and may cause program evaluation to be irrelevant to the goals as understood by other actors in the system.
2. Impact Evaluation and Process Evaluation. To date, most OE evaluations have been assessments of the impact of programs, but these have important limitations. Mere assessment of impact does not address the question of what aspects of programs are responsible for variations in outcome or effect. In response to this problem, and at the suggestion of Joe Wholey in HEW, the Office of Education plans more exploratory evaluation. This kind of evaluation addresses questions about the extent to which objectives are being pursued and the extent to which program activities have realistic chances of achieving objectives, and so constitutes a clarification of the objectives of the program and a kind of "front-end" analysis that logically and practically precedes evaluations concerned with program outcomes.
3. Timing of Evaluations. A third major problem in the evaluation process itself involves timeliness of evaluation. Even if evaluations are methodologically sound and relevant, as the OED structure is designed to make them, much or all of their impact is lost if they are not available on time for utilization in budgeting, program planning, legislation, and other areas. This is a substantial and continuing problem, and one that is likely to be faced by many agencies.

A second set of problems in the area of evaluation utilization concerns problems in staffing, funding, and organizational priorities.

On the whole, OE is in a relatively strong position regarding staff and budget. The budget is substantial, if not fully adequate, and the staff is large and professionally trained. However, both the Office of Evaluation and Dissemination and individual staff members within the office are responsible for the entire evaluation process, from the design of projects and writing of RFPs to the implementation and utilization of evaluation findings. They feel they tend to do more in design and monitoring than in dissemination and utilization. The former are more immediately demanding, typically have greater time pressures, and generally are more clearly defined. Thus, although utilization is a major concern of the office, there is some concern that it does not take top priority in competition with other activities concerning evaluation.

A third set of problems in the utilization system involves difficulties inherent in the dissemination and utilization process itself.

Utilization is viewed as the responsibility of the Office of Evaluation and Dissemination, rather than the contractors or the ultimate users. Getting the results of the evaluation into the consciousness of the decisionmakers and into the decisionmaking process requires imagination and persistence, as well as bureaucratic mechanisms, organizational support, and receptiveness on the part of the decisionmakers. The bureaucratic mechanisms in use include the executive summaries, which are sent to Congressional committees, HEW offices, OMB, and other individuals and organizations, and the PIMs, which are distributed and implemented within OE. Although strong support exists for the use of these mechanisms within OED, relatively few have been prepared to date. This reflects a variety of competing forces, ranging from the demands of other work to competition and conflict in the assessment of the meaning of evaluation findings and application.

A potential source of difficulty lies in the response of persons whose programs are being evaluated by the Office of Evaluation and Dissemination. If the program managers feel alienated or threatened by the evaluation, they are likely to be resistant or unresponsive to the findings. One specific mechanism OED uses is to try to get liaison or co-monitors from the program office for evaluation projects.

Another source of problems lies in the political decisionmaking process, and the fact that the Office of Education evaluations and their utilizations necessarily take place within the political context. OE programs are typically large, national, and controversial. The organizations, activities, and programs that are evaluated have important constituencies with substantial influence in Congress and elsewhere. The rhetoric of Congress increasingly says that it is important to demonstrate the effectiveness of projects. However, the inability of such agencies as the Office of Education to demonstrate that particular projects are effective does not necessarily mean the budget for those projects will be reduced. The constituencies are important, and the programs

administered and evaluated by Office of Education have substantial constituencies, with considerable influence in Congress. These kinds of forces are largely outside the control of an agency such as Office of Education, and they necessarily play an important role in the political decisionmaking process. Perhaps the Office of Education does as much as an agency can or should do, which is to be aware of the constituencies and to direct their evaluation studies and the utilization of these studies at key decisionmakers in Congress, HEW, and elsewhere within the government. Executive summaries and oral briefings are planned to address audiences such as these. The OE evaluation staff wants to involve Congress more in the evaluation process, in the planning of evaluations, and in the utilization process itself through greater use of briefings and executive summaries.

In this same context, a member of the OE staff said that the impact of evaluation studies is not always, and perhaps not often, a direct function of their importance or quality. Thus, it seems that negative evaluations and findings always provoke attention and controversy, whereas positive evaluations of equal importance may often be overlooked. A recent example involves evaluations of, on the one hand, Title I of ESEA, and, on the other hand, Title VII, the bilingual education title. Title I is the controversial, heavily funded compensatory education program. Early findings indicated that target audiences of children were not being hit, that the activities were inappropriate, and the effects were dubious. More recently, however, Office of Education and National Institute of Education studies have had more positive findings; the programs increasingly focus fairly well on the target population and dispense appropriate services. Moreover, there is evidence of some measurable effects. Testimony on these findings has been given before Congress and evaluation summaries have been circulated. However, these new findings have been largely ignored.

The bilingual programs have been highly political. Negative findings of evaluations of these programs include findings that the programs served children who already know English and that the programs did not teach children English. This has been a very sensitive issue and the study has been attacked. But the attention given to this study is disproportionate relative to the importance of the recent studies of Title I.

#### B. Possible Changes and Improvements in Utilization System

We asked the OE staff about what changes they anticipate, or would like to see, and what they feel would improve the evaluation utilization system within their agency.

They say that while they need more budget and staff this is not the key problem. More fundamental is the need to improve communications and involvement with Congress and with program people at all stages of the evaluation process. This is partly a matter of informal relationships and communications, and partly an organizational matter.

One possible organizational change would be to have an office other than OED take responsibility for the utilization of evaluation, including writing the PIMs. According to Evans, this has not been done but might be a good idea. A separate office could be established, perhaps at the level of the Commissioner's office. This would give the office, by its creation, location, and composition, two advantages: (1) objectivity of the entire process, and (2) the status of the office in which it was located. The creation and support of such an office would communicate to potential users that the agency head is concerned with utilization, and that utilization efforts are not simply a matter of OED trying to get its work used. Although Evans feels that utilization can be the responsibility of the evaluation office, this kind of arrangement would be an alternative. However, only if it were located at a very high level would it be free of such problems as resistance by program officers to the implications of evaluation.

Another possible change would be the creation of a new Department of Education. This would make communication between the Office of Education and outside people more direct by eliminating one bureaucratic level that exists in the Department of Health, Education, and Welfare. The new department could facilitate communication and relationships with such outside groups as the Office of Management and Budget, the public, and Congress. Whether such a Department of Education will be created in the near future is unknown.

Two developments in the area of evaluation in the Office of Education are planned or underway. One development is the initiation of exploratory evaluation projects, as advocated by Wholey. A second is embodied in the recent bill introduced by Rep. Elizabeth Holtzman of New York, which calls for the evaluation of evaluation activity in education. This will be done from the Federal level on down, and will probably be directed by a NAS committee to be formed. Over the next few years this can be expected to have substantial effects on the evaluation process, presumably including utilization as well as the conduct of evaluation studies.

### V. CONCLUSIONS

This section examines some key features of the OE system as they relate to LEAA's interests and needs in the areas of evaluation utilization. The focus is on elements of the OE model that might be transferable to other settings and implications of the general OE approach for other agencies.

#### A. Organization

Centralization is a key feature of OE's evaluation and utilization system. By locating the evaluation function in a separate executive-level office, OE seeks to ensure objectivity of evaluation and to avoid the problems involved in self-evaluation by program staff. This approach has important implications for utilization of evaluation findings. First, objectivity and the organizational mechanisms to ensure objectivity

are necessary for outside audiences to accept and utilize evaluation findings. Second, under this organization the same staff is responsible for utilization and dissemination. These people generally have the organizational capacity and interest to reach a wider set of audiences than program staffs are likely to reach. Specifically, the central staff's utilization and dissemination mandate directs them to reach audiences ranging from the Congress and Congressional committees, to program managers within OE, decisionmakers in HEW, and local administrators and fieldworkers. This is likely to be a wider range of audiences than would be reached by program staff conducting its own evaluation.

#### B. Contracts

Another important feature of the evaluation process in the Office of Education that has major implications for the utilization of findings is the very close monitoring and control over the evaluation studies that is maintained by the OED staff. They use the RFP and contracts mechanism to ensure that the problem addressed in any evaluation study is defined in OE's terms, is responsive to OE's needs and the needs of the Congressional and other audiences, and is carried out under close supervision and control. The OED staff does this to ensure that evaluation is relevant and directly addresses their needs. To do this requires a substantial professionally trained staff, with both the time and background to monitor the contracts closely. It also requires the use of the RFP and contracts mechanism, rather than the grant mechanism. A question that may be raised is whether the grants mechanism is one that can provide an agency with the kind of evaluation data it needs for its own purposes. Because the nature of the evaluations is critical to the potential for utilization, this aspect of the OE system is important from the viewpoint of evaluation utilization as well as from the viewpoint of evaluation itself.

#### C. Dissemination Mechanisms

The Office of Education uses several specific dissemination and utilization mechanism that other agencies may wish to adopt. Within OE itself it is possible to achieve utilization through PIMs, once they are signed by the commissioner. These have the effect of implementing regulations within OE. Outside OE, utilization is not under the control of OE staff, and the major objective of OE is to try to ensure that the findings of the evaluation study enter the policymaking debate. Here the particular mechanisms used are the executive summaries, which are widely distributed, and oral briefings. It is worth noting that OED staff feel it is necessary for them to write executive summaries, even though the contractors may also have prepared an executive summary. The summaries prepared by the Office of Evaluation and Dissemination are more "journalistic" and more precisely directed to the audience as defined by OE.

#### D. Environment

A fourth major feature of the OE utilization system is its focus on key audience and its awareness of the political environment within which

decisionmaking takes place. The OE staff members are concerned with the importance of effective communication to ensure that evaluation findings enter the process. Broadly, their objective is to see that empirical evidence on program effectiveness becomes a part of the debate about innovation in practices and programs, that there is an increased commitment to the idea that innovations need to be assessed and that well-designed evaluations are the appropriate mechanism for such an assessment. In this sense, one of the objectives of the OE utilization system is to try to change the basis of the entire debate about innovation and program development in education, and to shift it away from anecdotal evidence to firmly based empirical evaluations. LEAA may be trying to achieve something similar in its own evaluation work, and OE's experience, concerning both its accomplishments and the problems encountered, is relevant here.

#### E. Exploratory Evaluation

Another feature of OE's evaluation studies, which has important implications for utilization of evaluation in OE and other agencies, is the proposed shift to exploratory evaluations and away from impact evaluations. The reasoning here is that it is important to examine the actual goals of programs, the processes by which they are implemented, the target population they are intended to reach and actually reach, as a kind of "front-end" work that is a necessary preliminary to doing more thorough evaluations of the impact of programs. In the long run, even impact evaluations will need to address not only the broad question of what is the total impact of a program, but also a whole range of questions about what aspects of the program have what kinds of effects on what target groups, at what costs. Increasingly, OE is intending to shift its evaluation research in this direction, as part of a larger movement toward exploratory evaluation within HEW as a whole. The implication of this kind of a shift for evaluation utilization are very substantial, since more refined and specific information on program operation and the ways in which programs affect target populations will allow better utilization. This would appear to have relevance for LEAA as well as all other agencies engaged in program evaluation.

#### F. Research Model

One OE staff person noted that OE is limited in the kind of evaluation they can do, by their mission, and that in some ways LEAA may be able to carry out evaluation studies with greater potential for effective utilization and implementation. Almost all of OE's money is for national, across the board programs. Although OE can use experimental methods to evaluate some pilot programs, they are limited in the extent to which they can use an experimental model. By contrast, LEAA may be better able to do genuine experiments, and this may lead to programs that can be more directly implemented. Experiments have the potential for getting more clear-cut results and thus may allow more effective follow-through. As this person noted, the kinds of research that can be done is intricately linked to whether the research can have an impact and whether results can be utilized and implemented in programs in the field. If LEAA can use an experiment approach, and gets clear-cut findings, the potential

for utilization of their evaluation studies may be very substantial, and may be greater than the inherent potential of some of the OE evaluations, with their greater constraints.

G. Departmental Setting

One last point came up in several discussions. This is that the "climate" within an agency or department is critical to the effectiveness of evaluation and its utilization. The degree to which the agency head or other top-level person demonstrates commitment to the idea of evaluation and to the utilization of evaluation in budgeting, program planning, and decisionmaking generally is fundamental to the effectiveness of any utilization effort. This is largely outside the control of the evaluation and utilization staff but must be considered in any attempt to improve the effectiveness of utilization within an agency.

APPENDIX F

Instructions to Interviewers



## Instructions to Interviewers

### I. INTRODUCTION

#### A. General

The purpose of this introduction is to explain how interviews are to be conducted for the project, Evaluation Utilization Study. The purposes of the interviews are to (1) determine how evaluation findings are being used in the policy and planning offices of LEAA and (2) to determine if more systematic and formal procedures are needed to increase the effective utilization of such findings. These will require an understanding of both the processes through which LEAA policy and program planning is completed and of the nature of present evaluation findings utilization.

The evaluation findings summaries that you and others have been preparing are intended to provide specific case studies with which to demonstrate the present and potential workings of an LEAA "Evaluation Utilization System." You will provide the specifics through interviews, as appropriate, with the evaluation study project monitor, the action program project monitor, other pertinent subprogram managers, and other LEAA staff that should be significant present or potential users of the findings from the evaluation studies assigned to you. I will synthesize your collected information and other information that I will obtain from published LEAA Policy Instructions into a complete description of the LEAA policy and program planning system, with evaluation utilization within this system clearly identified. I will then analyze this system and interpret your findings into recommendations for improving the utilization of evaluative information within the offices of LEAA. Four of the case studies will be selected for detailed documentation. All others will be summarized briefly in synthesizing the LEAA system. Please maintain records for your case studies so that records will be available for detailed documentation.

#### B. Scope and Planned Utilization of the Study

This study will be utilized by the Office of Planning and Management of LEAA (OPM) in the exercise of its monitoring responsibility for insuring that evaluations are completed and used in policy and program planning. Specifically, the results are expected to be used in revising a draft policy instruction (I2300) with the present title Guidance for Analyzing Results of Research, Evaluation, Program Reviews and Monitoring Information for Policy and Program Implications, Utilization, and Dissemination. Although this instruction will not be issued in its present form, it is an illustration of the Administration's interest in developing formal procedures to carry out the second part of the congressional mandate, to perform and make use of evaluation studies. Thus, the evidence for the results of our study will be the Administration, OPM, and all policy and program planning participants within LEAA.



In its evaluation program LEAA has a knowledge goal, a management goal, and a development goal. The knowledge goal results in the production of the evaluation reports for which we are preparing evaluation findings summaries. The products produced in satisfying this knowledge goal may have utility outside of LEAA in research institutes, state and local agencies, and other legislative and executive agencies. Such outside utilization is beyond the scope of this study. The development goal results in attempts to develop and utilize evaluation capabilities outside of LEAA, particularly in state and local agencies. The development goal is also not within the scope of this study.

The evaluation program goal of interest for this study is the management goal. This goal is to have all LEAA program managers employ management practices that plan for and use evaluation information in the formulation and direction of their activities. The principal means of achieving this goal (and the primary focus of this study) is the integration of evaluation planning with the annual program planning cycle and the requiring of the use of evaluation results in program decisions, modifications, and directions.

#### C. Pertinent Background Reading

Before beginning your interviews, you should have some familiarity with the formal procedures that are used in the policy and program planning system activities of LEAA. For simplicity, I will refer to this as the PPPS. The procedures of this system are discussed in appendix A to this instruction.

The specific procedures discussed are the annual planning cycle under the Management by Objectives (MBO) guidelines, Action Program Development Policy (APDP), and Decision Memoranda. These procedures do not cover all of the LEAA activities in the PPPS, but the discussion of them in the appendix includes several variations on these procedures that you may encounter. The interview guidelines described later assume that you have a familiarity with the MBO, the APDP, and other characteristics of the PPPS described in the appendix. If you uncover additional procedures that I should include in my description of the PPPS, please obtain pertinent documents or descriptions.

We have obtained some information about LEAA's organization, mission, plans, programs, guidelines, locations, and telephone numbers that may be of help in preparing your case study interview schedule. These are listed in the bibliography and Charlene Potter can help you locate them.

## II. INTERVIEW PROCEDURES

### A. Preparation

1. Review the appendix to this memoranda and the interview questions carefully.
2. Review the Evaluation Findings Summary (EFS) statement of expected utilization within LEAA carefully.
3. Discuss with project leader any points about utilization that are not clear from the above review.
4. If needed, revise or extend the EFS section on expected utilization so that it can serve as further guidance in your interviews.
5. Use the Document Control Form as a starting point in determining who is to be interviewed.

### B. Scheduling Interviews

1. Schedule the initial interview with the LEAA evaluation project monitor (EPM).
2. Discuss your other selected interviewees with the EPM or request names and position title of those EPM would recommend.
3. Schedule interviews, allowing sufficient time with or after EPM to review pertinent grant and contract information, research utilization memoranda, or other documents related to utilization. (Tell him what you would like to review if you can.)
4. Complete INTERVIEW CONTROL FORM for each person to be interviewed.
5. Give copy of form and interview schedule to Charlene Potter or Debbie Travis.

### C. Conduct Interviews

1. Verify information on the control form: correct identification and correct description of interviewee's role as it pertains to the case study.
2. Request permission to use tape recorder and use if permitted. (You may ask for additional off-the-record comments if the situation appears to call for it, but put the tape recorder away first. This should seldom be necessary or appropriate. We will use direct quotes when they help to illustrate specific points, but we will not use them in a way that will permit an individual to be identified.)

3. Conduct the interview using the interview guidelines as a checklist.
4. Request copies of documents that illustrate the utilization of the evaluation findings. (1. Recommended utilization, 2. Actual utilization.)
5. Ask about other persons that should be significant utilizers of the evaluation findings.
6. Ask whether there are other evaluation studies that can better illustrate the utilization of evaluation studies in this person's activities.

D. Prepare Report

1. Prepare a report answering the questions in the interview guidelines. (A more specific format may be supplied to you later after one or two are completed as models.)
2. Return the document file folder after adding a draft copy of the report, the interview tapes, and any collected documents. These will be returned to you if you are asked to prepare one of the three detailed case studies.

A copy of the interview control form and interview checklist are attached. Additional copies may be obtained from Debbie Travis or Brenda Young. Please let me know after your first set of interviews whether the interview checklist needs to be revised in any way.

One final suggestion: give each person interviewed an opportunity to take some catharsis time before, during, or after the formal questioning. Many of the offices you will visit have been exposed to some degree of excessive criticism by researchers, public officials, the press, or their own evaluation contractors. Be willing to listen and you will get better answers to your questions after they have "ventilated."

INTERVIEW CONTROL FORM

IDENTIFICATION OF INTERVIEWEE:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

LEAA Office: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

DISCUSSED:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

ROLE OF INTERVIEWEE WITHIN LEAA:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

COMMENTS:

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

RTI INTERVIEWER: \_\_\_\_\_

DATE OF INTERVIEW: \_\_\_\_\_

## INTERVIEW CHECKLIST

(Questions need not be asked in the order given)

Check  
Here

### I. Identifying Person and Activities

- A. Determine that Interview Control Form information is correct. —
- B. Determine the activities of the office in terms of policy and program planning or manning. Suggested questions: —
1. What are the program activities of this Division? What specific goals and objectives and sub-program are pertinent to the activities of this office (MBO categories)? —
  2. When are programs initially developed? What do you do each year in regard to program planning? —
  3. To what extent does this office participate in the APDP system? Will APDP control activities more in the future? How? —

### II. Describe Evaluation Utilization Experience

- A. Determine that the interviewee is familiar with the evaluation study or studies used in this case study. Ask interviewee to read abstract or other parts of EFS if this appears to be an appropriate way to determine familiarity or to determine that EFS is a fair representation of the study. —
- B. If the interviewee is the EPM, determine whether utilization was considered in the design of the evaluation. —
- Determine how this interviewee has used these evaluation findings. Encourage him/her to explain historical sequence from study, to use, to impact through planning, policy, or legislation. Suggested questions: —

1. (General) Were these findings useful to you? In what way: —
  2. Did this use result in any specific changes in (as appropriate)? —
    - a. Goals or objectives of your program?
    - b. Program models (strategies) to meet your goals or objectives?
    - c. Program or subprogram design?
    - d. Testing strategy?
    - e. Demonstration strategy?
    - f. Evaluation strategy?
    - g. Marketing strategy?
    - h. Training or Technical Assistance?
    - i. Legislation?
    - j. Fund Allocations?
  3. Did the findings verify that the (see above) list) did not need revision? —
  4. Did the use result in any specific changes in the routine operations of the interviewee's office or the way that the office is organized? (if appropriate) —
  5. Were the internal system and procedures changed following this study? (if appropriate) —
  6. Have grantees been urged to implement changes in projects as a result of contractors/evaluation findings or recommendations? —
- C. Ask to see or have the decision memoranda (or other document) that resulted from his/her utilization of these evaluation findings? —
- D. Determine actual or probable impact of evaluation findings utilization. (Is LEAA mission being better met as a result of changes determined in B? Are programs or projects being better met due to change?) —
- E. Determine why this interviewee did or did not use the evaluation findings. Suggested questions: —
1. What is your opinion about the quality of this study? Does it conflict with other evidence? —
  2. Were the results of the study useful to you? Did the results of the study fail to meet your needs? In what way? (Wrong subject, wrong objectives, process misunderstood, untimely, etc.) —

3. Was there anything about the planning, execution, or reporting of this study that made it particularly useful (or not useful) to you in carrying out your responsibilities?
4. Are you required to show that you have used evaluation findings by any formal procedure?
5. Did you participate in the evaluation design? monitoring? interpretation of results into recommendations? formal utilization decisions?

### III. Determine Evaluation Utilization Potential

- A. Determine whether there are any plans now under consideration in this office to make evaluation findings more fully utilized?
- B. Does the person interviewed have any recommendation for LEAA Administration for improving the usefulness and utilization of evaluation findings? Such as:
  1. Formal procedures
  2. Informal practices
  3. Better identification of questions for evaluation.
  4. Improved studies, reports, or interpretations
  5. Better dissemination
- C. Are there other evaluation studies that we should consider to better demonstrate evaluation utilization (or its potential) in this office?

### IV. Conclude

Recheck to be sure that you have all of the most important information; such as:

1. Do you fully understand the procedures of this office so that you can explain how evaluation findings are or can be utilized here?
2. Have you obtained documents or references to documents that illustrate the office procedure? its planning activities? its evaluation utilization process?

3. Have you obtained the opinions of the person being interviewed about both the problems of and the opportunities for improving evaluation finding utilization?
4. Have you received recommendations of other persons to interview or other evaluation studies to read?

**END**