

NOVEMBER 1978

LEAA  
TWO-YEAR  
EVALUATION  
PLAN

(FY '79 - FY '80)

54534

54534

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



LAW ENFORCEMENT ASSISTANCE  
ADMINISTRATION

TWO-YEAR EVALUATION PLAN: FY'79 - FY'80

HENRY S. DOGIN, *Acting Administrator*

JAMES M. H. GREGG, *Assistant Administrator*  
*Office of Planning and Management*

## PREFACE

A strong and creditable evaluation program is crucial to LEAA. Only such an effort will tell us what our contribution to history has been. It should be equally true that an effective evaluation program strengthens our contribution to law enforcement and justice.

LEAA has been criticized during its ten year history for the lack of clear information about which programs and program strategies have worked. We do know that some have been effective and that some have not, but we don't know enough about that nor do we always know why programs succeed or fail.

As I join LEAA's Administration, my priorities include three elements that I consider to be critical to a strong evaluation program in the agency: (1) LEAA, together with State and local authorities, must develop an evaluation strategy based on State and local needs; (2) We must respond to public concern about rising taxes by selecting the most cost effective methods for funding and conducting evaluation studies, and these in turn must help identify the most cost effective programs and strategies; and (3) We must get the widest possible dissemination and use of evaluation results by practitioners and planners, as well as making sure that we put what we learn to good use within LEAA in managing the agency's programs.

The evaluation programs described in this document should move us expeditiously toward those goals. I will be actively interested in their vigorous implementation, and in assuring that they move us toward the goals we have set.

  
HENRY S. DOGIN  
Acting Administrator



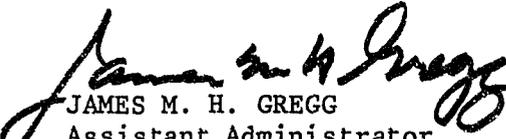
## FOREWORD

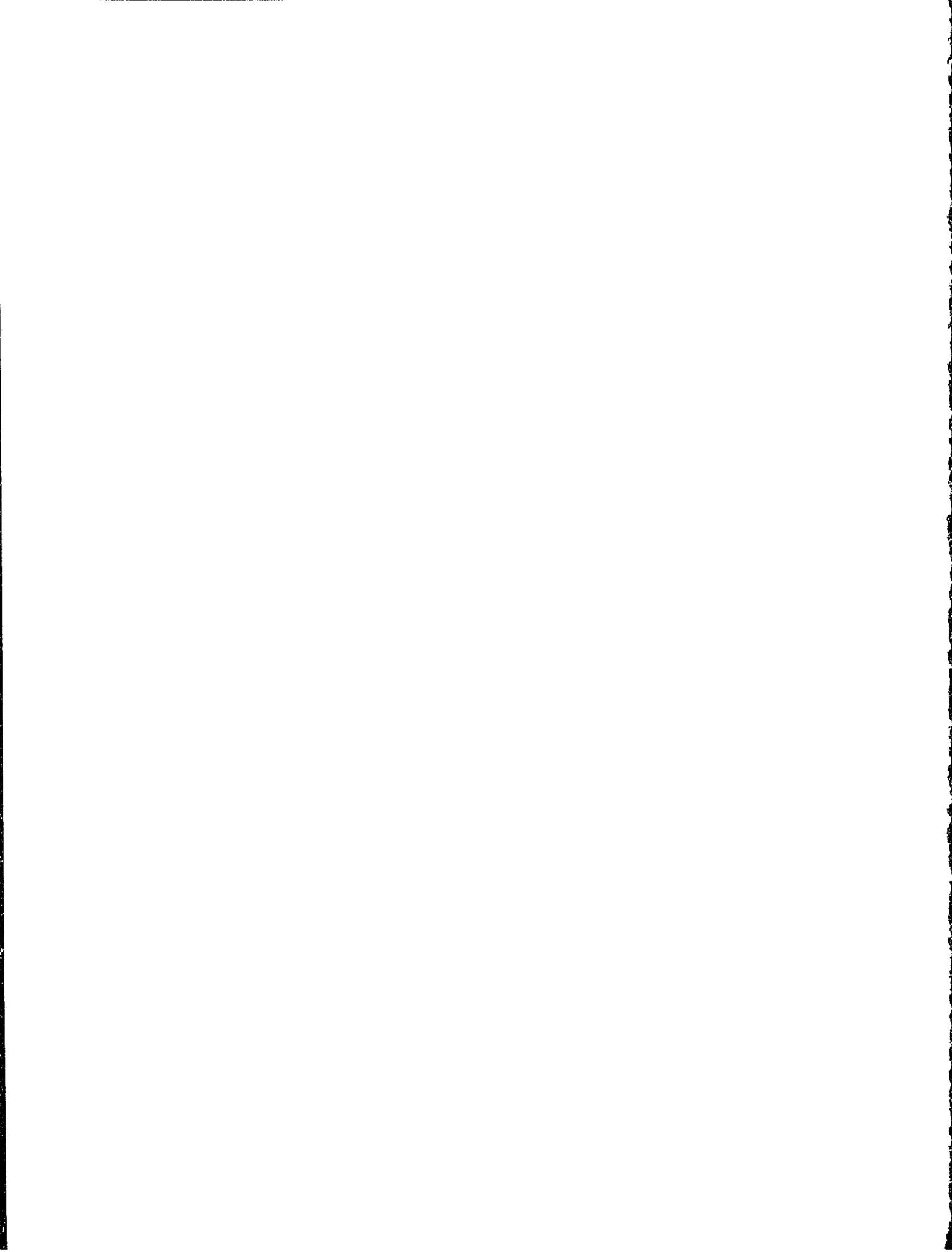
A vigorous and productive evaluation program and full, effective use of the knowledge it produces are essential to success in accomplishing LEAA's mission to combat crime and delinquency and improve the quality of justice. We must carefully assess traditional as well as innovative approaches to meet criminal justice problems, not only to ascertain whether the concepts we apply are valid, but also to determine whether the programs we mount are efficient, effective, adequate and appropriate ways to organize and implement action.

This plan and the accomplishments of previous years on which it builds reflect substantial achievement in the development of one of the strongest evaluation programs in the Federal Government. Virtually all major LEAA programs will have been evaluated, or be under evaluation, in Fiscal Year 1979. The National Institute is energetically implementing an ambitious program to develop carefully designed and tested programs addressing a broad variety of criminal justice system needs and problems. The special emphasis programs in juvenile justice and delinquency prevention, under intensive evaluation since their inception, are now benefitting from better understanding of seemingly intractable problems. The knowledge gained from all these evaluations is being used to make LEAA's programs increasingly effective, and to help determine which programs can use to greatest effect the scarce resources that are available.

Although many difficult questions remain to be answered, LEAA's investment in recent years initiating major evaluations is now producing a substantial increase in evaluation findings. During Fiscal Year 1979 we will be making a concerted effort to assure maximum effective use of the knowledge gained at all levels of program management within the agency, and also to make the new information broadly available for application by agencies throughout the criminal justice system.

As this plan is prepared, LEAA is on the threshold of a major reorganization designed to streamline and strengthen the agency's programs. The essential elements of the reorganization plan are embodied in the President's proposals to Congress for reauthorization legislation, scheduled for enactment in 1979. Whatever the changes, this plan constitutes a strong foundation for continued, meaningful evaluation as an inherent element in the development, testing and refinement of techniques and approaches to improve law enforcement and criminal justice, and to assist State and local agencies in developing the capability to make effective use of evaluation in meeting the tremendous criminal and juvenile justice problems they face.

  
JAMES M. H. GREGG  
Assistant Administrator  
Office of Planning and Management



CONTENTS

	<u>Page</u>
Preface . . . . .	i
Foreward . . . . .	ii
Contents . . . . .	iii
I. <u>INTRODUCTION</u>	
A.  PURPOSE . . . . .	1
B.  THE POLICY GOALS OF THE LEAA EVALUATION PROGRAM . . . . .	1
C.  RESOURCE ALLOCATIONS. . . . .	3
D.  EXPECTED RESULTS. . . . .	4
E.  LEAA REORGANIZATION . . . . .	8
II. <u>BACKGROUND</u> . . . . .	9
A.  LEAA'S MISSION. . . . .	9
B.  EVALUATION AND INTERGOVERNMENTAL RELATIONS. . . . .	9
C.  LEGISLATIVE REQUIREMENTS FOR EVALUATION IN THE LEAA PROGRAM. . . . .	9
D.  IMPLICATIONS OF LEAA/DEPARTMENT OF JUSTICE REORGANIZATION PLANS FOR THE EVALUATION PROGRAM . . . . .	10
E.  MANAGEMENT MECHANISMS FOR ACCOMPLISHING LEAA'S EVALUATION GOALS AND OBJECTIVES . . . . .	10
III. <u>THE LEAA EVALUATION PROGRAM STRATEGY, COMPONENTS AND         RESOURCE REQUIREMENTS</u> . . . . .	13
A.  PROGRAM STRATEGY. . . . .	13
B.  THE EVALUATION KNOWLEDGE PROGRAM. . . . .	13
1.  National Evaluation Program. . . . .	15
2.  Model Program Development. . . . .	18
3.  Evaluation of National Discretionary (DF) and Categorical Programs . . . . .	23
4.  Special Opportunity Evaluations. . . . .	24
5.  Evaluation of LEAA Incentive Programs. . . . .	25
6.  Evaluation of Juvenile Justice and Delinquency Prevention Special Emphasis Programs . . . . .	26
7.  Special Evaluation in Juvenile Justice and Delinquency Prevention . . . . .	27
8.  OJJDP Assessment Program . . . . .	27
9.  DF Project Evaluations . . . . .	28
10. Evaluations of Criminal Justice Information Systems and Statistics Programs. . . . .	29

11.	Research and Evaluation Methodology Development. . . . .	30
12.	Annual Synthesis of Knowledge. . . . .	33
13.	Evaluation Clearinghouse . . . . .	33
14.	National Evaluation Workshops. . . . .	33
15.	Evaluative Studies in NILECJ Research Program. . . . .	34
16.	Evaluative Studies in OJJDP Research Program . . . . .	36
17.	Summary of Evaluation Knowledge Program Resource Allocations . . . . .	37
C.	THE EVALUATION MANAGEMENT PROGRAM . . . . .	39
1.	The Evaluation Planning System . . . . .	40
2.	Management Evaluations and Program and Project Reviews. . . . .	40
3.	The Evaluation Utilization System. . . . .	41
4.	The Evaluation Program Review and Monitoring System. . . . .	44
5.	LEAA Evaluation of State Plans . . . . .	45
6.	The State Evaluation Plan Review and Monitoring System. . . . .	45
7.	Annual Reports of Evaluation Results . . . . .	45
8.	Summary of Evaluation Management Program Resource Allocations . . . . .	46
D.	THE EVALUATION DEVELOPMENT ASSISTANCE PROGRAM . . . . .	47
1.	Evaluation Training Programs . . . . .	47
2.	Evaluation Technical Assistance Program. . . . .	48
3.	An Institute Program of State and Local Assistance . . . . .	48
4.	The Evaluation Manpower Development Program. . . . .	49
5.	NCJISS State Assistance Projects . . . . .	49
6.	OJJDP's Technical Assistance Program . . . . .	49
7.	Summary of Evaluation Development Assistance Program Resource Allocations . . . . .	50
IV.	<u>EVALUATION STATUS AND PLANS IN SUPPORT OF AGENCY PROGRAM OBJECTIVES.</u> . . . . .	51
A.	CRIME PREVENTION PROGRAMS . . . . .	52
B.	ENFORCEMENT PROGRAMS. . . . .	54
C.	ADJUDICATION PROGRAMS . . . . .	57
D.	CORRECTIONS PROGRAMS. . . . .	60
E.	JUVENILE JUSTICE PROGRAMS . . . . .	64
F.	CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS. . . . .	67
G.	HUMAN RESOURCES DEVELOPMENT PROGRAMS. . . . .	71
H.	FUNDAMENTAL RESEARCH PROGRAMS . . . . .	72

V. SUMMARY . . . . . 73

    A. SUMMARY OF RESOURCES . . . . . 73

    B. EVALUATION PROGRAM RESPONSIBILITIES OF LEAA  
        OFFICES AND DIVISIONS . . . . . 74

    C. DISCUSSION. . . . . 75

        1. Resources and Programs. . . . . 75

        2. Improvements in LEAA's Evaluation Program  
            Processes and Procedures. . . . . 76

        3. Impact of Reorganization. . . . . 77

    D. RECAPITULATION. . . . . 77

        1. Allocations by Type of Funds. . . . . 78

        2. Level of Effort by LEAA Offices for  
            Evaluation Program. . . . . 79

APPENDICES

- A. EVALUATION OF DF AND OTHER CATEGORICAL PROGRAMS (Notice N 2300.12)
- B. CRITERIA FOR SELECTION OF LEAA PROGRAMS AND PROJECTS TO BE EVALUATED
- C. INSTRUCTIONS FOR PREPARING PROJECT EVALUATION SUMMARIES (HB 4500.2A)
- D. MAJOR SOURCES OF EVALUATION INFORMATION AND ASSISTANCE SUPPORTED  
    BY LEAA
- E. GLOSSARY



## LEAA TWO-YEAR EVALUATION PLAN: FY'79 - FY'80

### I. INTRODUCTION

#### A. Purpose.

LEAA's third annual evaluation plan provides for the implementation of the agency's evaluation program in FY 79 and FY 80. It is prepared pursuant to LEAA Instruction I 2300.5 - ADDITIONAL POLICY GUIDANCE TO SUPPORT THE CONTINUED IMPLEMENTATION OF THE LEAA EVALUATION PROGRAM.

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

#### B. The Policy Goals and Objectives of the LEAA Evaluation Program.

Measuring the impact and value of programs supported with LEAA funds is essential to the success of the agency's mission.

The mission of the Law Enforcement Assistance Administration is to aid in the prevention and control of crime and juvenile delinquency and improvement in the administration of justice by:

1. undertaking research and evaluation, building knowledge about the causes of crime and the performance of the criminal justice system and developing and transferring new methods for the prevention of crime and the detection, apprehension, and rehabilitation of offenders; and
2. encouraging States and units of local government, through the provision of Federal technical and financial assistance, to develop, adopt, and implement comprehensive plans to respond to their particular problems of crime and criminal and juvenile justice.

LEAA considers it to be of the highest priority that evaluation be made an integral part of the LEAA program at all levels, and that meaningful assistance be provided to the States to encourage the development and use of evaluation capabilities in the planning and management of their criminal justice responsibilities.

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

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

- Objectives:
- o To identify needs and opportunities for obtaining evaluative information on criminal and juvenile justice policies, concepts, legislative innovations, programs and practices.
  - o To assure the evaluation of all LEAA supported programs and projects for which evaluation needs exist.
  - o To synthesize and disseminate to the criminal justice community the results of evaluations.
  - o To develop improved methodological approaches, measurement methods and analytic techniques for criminal and juvenile justice evaluations.

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

- Objectives:
- o To provide for the overall management and coordination of the LEAA Evaluation Program.
  - o To ensure the use of evaluation results in policy and program decisions, program development, and the management of continuing programs.
  - o To integrate evaluation planning into the planning for new and continuing programs.
  - o To provide for the analysis of evaluation results for their policy, program and operational implications.
  - o To provide for evaluative information in the agency's management information system.
  - o To provide for the inclusion of information on the effectiveness of programs supported by LEAA in the agency's reports to the President, Congress and the public.

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

- Objectives:
- o Through the provision of training and technical assistance, to assist State and local planning and operating agencies to develop and utilize evaluation capabilities.
  - o In cooperation with the States, to develop and encourage the use of criteria and procedures for the planning, conduct, reporting and utilization of evaluations.
  - o To provide financial support to State and local evaluation activities likely to enhance the development of evaluation capabilities and the performance of the criminal justice system.
  - o To support long-term professional development of criminal justice system personnel involved in the planning, management, conduct and utilization of evaluation.

C. Resource Allocations.

Staff efforts and resources allocated to the achievement of these objectives are summarized on the following page. Staff efforts are reported in this and all subsequent tables in terms of professional person years. (1 P/Y is equal to the full-time dedication of one professional staff member for one year.) Monies reported represent resources allocated to external assistance - consultants, grantees and contractors - and are exclusive of LEAA salaries and supporting services.

In the resource tables throughout this plan, monies are shown in the fiscal year in which obligated, not necessarily the year authorized or in which program planning occurs. As a result FY 78 estimates appear deceptively high. They include a large number of activities planned in FY 77 and initiated in FY 78.

The majority of evaluation studies for which funds were obligated in FY 78 will continue into or beyond FY 79, with the result that a larger number of evaluations will be underway in FY 79 and FY 80 than during preceding years.

Budget Summary: LEAA Evaluation Program, FY 78, FY 79 and FY 80  
( \$ in thousands; LEAA staff in person/years )

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Knowledge:			
Budget	\$23,598	\$13,290	\$17,043
Staff	26.66	26.20	26.51
Management:			
Budget	50	100	100
Staff	51.25	53.10	51.70
Development:			
Budget	2,273	1,435	2,075
Staff	6.34	3.32	3.02
TOTALS: Budget	25,921	14,825	19,218
Staff	84.25	82.62	81.23

D. Expected Results.

LEAA's evaluation program, projected through the conclusion of FY 80, should accomplish the following:

1. With the initiation of evaluations planned for FY 79, virtually all of LEAA is major discretionary and other categorical programs will have been evaluated or be undergoing evaluation. All major new initiatives will be evaluated.

2. The National Institute will have a well established program producing validated program models, based on thoroughly evaluated field tests and demonstrations.

3. Evaluation and research will have significantly narrowed the gaps in knowledge about effective ways to deal with crime and delinquency problems and to improve the performance and quality of the criminal justice system. Critical areas include:

- o apprehension and incarceration of career criminals
- o effective police strategies and punishment policies that will deter crime
- o reduction of court congestion
- o effective correctional programs in institutions
- o deinstitutionalization of status offenders

- o delinquency prevention and juvenile diversion
- o the relationship of drug abuse to crime
- o fair and effective approaches to pre-trial release and to probation
- o assistance to victims/witnesses of sensitive crimes (rape, family violence, etc.)
- o community crime prevention activities
- o youth advocacy
- o school violence and vandalism
- o crimes against the elderly
- o arson
- o rehabilitation of ex-offenders
- o parole policies
- o neighborhood justice centers
- o restitution
- o sentencing policies

Although significant progress will have been made in these areas by the close of FY 80, for the foreseeable future there will remain major gaps in knowledge in the more difficult fields such as crime deterrence, rehabilitation, correctional programs and delinquency prevention.

4. LEAA will have evaluated the utility and cost/effectiveness of major law enforcement and criminal justice information systems and statistics programs.

5. With LEAA support, a number of legislative and policy innovations of national importance and interest initiated at the State and local level will have been evaluated to assess their success.

6. The criminal and juvenile justice communities and LEAA program managers will have ready access to current knowledge and data through criminal justice information storage and retrieval systems and data archives that have the ability to respond promptly to the needs of planners and operational agencies with relevant information in readily usable form. In addition, effective technical assistance will be available to aid in the use of that information in planning, analysis, and improvement of program designs and operations.

7. Progress will have been made in techniques for developing needed data, in performance measurement of criminal and juvenile justice programs, and for the analysis of crime and criminal justice data to detect changes and anticipate future needs. However, some problems will still require extensive additional effort, particularly the problem of developing reliable measures in such behavioral areas as juvenile and criminal motivation and rehabilitation and in the development of an efficient and reliable system for monitoring performance of the criminal justice system.

8. Planning for monitoring and evaluation of LEAA programs will be routine in LEAA program management, providing information needed to assess and improve program efficiency and effectiveness.

9. Use of research and evaluation findings by LEAA program developers, planners and managers will be routine, helping to guide program decisions and activities.

10. By the end of FY 80 LEAA will have supported the training of approximately 4,000 criminal justice personnel in a range of evaluation responsibilities, ranging from the conduct of intensive evaluations by professional staff to the use of evaluative information in program improvements and resource allocation decisions.

11. An effective system for assessing the likely effectiveness and impact of criminal and juvenile justice programs supported by Federal funds will be institutionalized in LEAA's management of the financial assistance program.

12. There will be a substantial improvement in the evaluation capabilities of State and local planning agencies and larger operating agencies, sufficient to enable them to evaluate priority criminal justice programs, to monitor effectively other programs covered in their plans, and to support operating agencies who need evaluative information. The gap will not have been closed by the end of FY 80, but effective and useful evaluation activity will be a common and visible result, manifestly useful to those who desire systematic approaches to improving the performance of their operations.

13. There will be a substantial and effective partnership program that provides evaluation technical assistance to planning and operating agencies. It will help meet continuing efforts to improve State and local evaluation capabilities, assist in addressing special evaluation problems, and will help operational agencies obtain routine feedback on program activities and effectiveness. This technical assistance program will draw on government and external resources at all levels, and will increasingly be able to meet needs from State and local resources without federal assistance. Federal coordination and State and local mutual assistance programs will combine to meet special needs.

14. By the close of FY 80 LEAA will have implemented, in addition to evaluation TA and training, a more effective support program for capacity building assistance in planning, analysis, monitoring and evaluation, with incentives to those planning agencies that are committed to improving their ability to undertake high quality evaluations planned for use in meaningful ways by policy makers, planners and operational managers.

E. LEAA Reorganization

This two-year evaluation plan spans the last year under LEAA's current authorization and the first year following the agency's proposed reauthorization and reorganization. Although the plan was prepared following the President's July 10, 1978, announcement of the Administration's reorganization plans, activities herein are presented under LEAA's existing legislation, organization and program structure.

Contingent upon the new legislation and on administrative reorganization by the Executive Branch, FY 80 will encompass significant realignment of the evaluation program to correspond with the appropriate nature and location of evaluation functions in support of the implementation of programs as they are envisaged under the reorganization plan.

The Administration bill, developed in cooperation with members of Congress, includes evaluation functions for each of the four principal organizations proposed under the reorganization:

- o The National Institute of Justice (NIJ)
- o The Bureau of Justice Statistics (BJS)
- o The Law Enforcement Assistance Administration (LEAA)
- o The Office of Justice Assistance, Research and Statistics (OJARS) to which NIJ, BJS and LEAA would report in the Department of Justice.

During FY 79 and FY 80 the agency will be planning and implementing the transition changes. Although it is not now anticipated that any of the significant kinds of evaluation activities reflected in this plan will be discontinued, it is expected that there will be some important changes in organizational roles, responsibilities and procedures.

## II. BACKGROUND

A. LEAA's Mission. LEAA's two-part mission includes (1) financial assistance to State and local governments to help improve their capability in dealing with problems of crime and delinquency and to improve the criminal and juvenile justice system, and (2) research, development, and technical assistance relating to crime problems and the performance of the criminal justice system. The financial assistance mission, through the block grant program to the States, is linked to comprehensive State criminal justice planning and the requirement that the States evaluate their criminal justice programs in order to determine their impact and value. LEAA's research and development mission inherently requires evaluation to assess the effectiveness of programs and to provide documentation supporting replication through transfer and adaptation to differing State and local environments.

B. Evaluation and Intergovernmental Relations. The evaluation roles of LEAA and State and local agencies are influenced by the nature of LEAA's intergovernmental program. National level evaluations are mandated as the responsibility of LEAA in the Omnibus Crime Control and Safe Streets Act of 1968, as amended, and the Juvenile Justice and Delinquency Prevention Act of 1974, as amended. These include both evaluations of LEAA's discretionary programs and national evaluations covering classes of programs and projects supported through the block grant program. State and local agencies conduct evaluations to serve their own particular needs, identified in state comprehensive plans, and furnish the results to LEAA for dissemination to the interested criminal justice community, as well as for use by LEAA in reporting to the President, Congress and the public on the effectiveness of programs supported under the block grant program.

### C. Legislative Requirements for Evaluation in the LEAA Programs.

1. The Crime Control Act of 1973 specifically mandated that the National Institute of Law Enforcement and Criminal Justice undertake evaluations to determine the effectiveness of criminal justice programs. It further requires that 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 or failed to meet the purposes and policies" of the Act. The Institute, in addition, is to receive and review the results of state and local evaluations. Evaluation results are to be disseminated to state planning agencies and, upon request, to local governments. The Act also requires that the state comprehensive law enforcement and criminal justice plans provide for "such...monitoring and evaluation procedures as may be necessary."

3. The Crime Control Act of 1976 gave added emphasis to elements of the legislative mandate for evaluation activities in the LEAA program: (1) LEAA is explicitly required to provide both technical and financial assistance for State and local government evaluations of their programs; (2) SPAs must develop and implement an evaluation plan and procedures as part of their comprehensive criminal justice plans; (3) NILECJ must receive and disseminate State and local evaluations; (4) NILECJ is to develop in cooperation with the SPA's criteria and procedures for the conduct and reporting of evaluations by the States; and (5) criminal justice coordinating councils are enabled to undertake an evaluation role.

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

One of the top priorities of the Department of Justice is to improve the efficiency and effectiveness of the Federal Government's program to assist States and local governments in crime control and criminal justice system improvement. On November 21, 1977, the Attorney General submitted a comprehensive proposal to the President which, among other significant changes in organization and program structure, would strengthen the Federal government's programs in justice research, development and evaluation. The President, on July 10, 1978, announced the Administration's reorganization plan and the Administration bill for the agency's reauthorization, through which the reorganization is to be implemented.

A principal implication of the proposed reorganization for the evaluation program is the increasing importance of evaluations of carefully developed and tested national priority programs, both to assure their effectiveness and to document successful implementation and operation for use in replication by a wider audience of interested agencies. A second effect of the reorganization plan is to give increasing priority to the evaluation development program's assistance to local planning and operating agencies in support of the added emphasis on assistance to major urban areas. A third is the use of evaluations to document ineffective programs that will not receive LEAA support. A fourth is a new requirement that all discretionary programs must be evaluated.

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

There are four major internal management mechanisms with which LEAA will accomplish its evaluation objectives and a variety of mechanisms for coordination with state and local evaluation efforts.

### Internal Management Mechanisms

1. A consistent agency policy for developing and implementing evaluation program activities specifies how each of the major evaluation objectives is to be accomplished and defines the roles of each organizational unit. LEAA has developed and issued detailed policy and procedural guidance in the form of an evaluation policy statement, embodied in Instruction I 2300.5, and guidelines for LEAA block and discretionary grant programs. For the block grant program this additional guidance is found in paragraphs on performance measurement plans and on the utilization of performance measurement in the effective edition of Guideline Manual M 4100 -- State Planning Agency Grants. Performance measurement guidelines for discretionary grants are contained in Guideline Manual M 4500 (effective edition) -- Guide for Discretionary Grant Programs, Appendix 4. (See also Appendix B hereto, which contains internal LEAA criteria for selection of programs and projects to be evaluated.)

2. LEAA's evaluation planning cycle produces the annual agency evaluation plan. Evaluation goals and objectives are set; programs, activities and resources to support them are specified; and implementation plans are prepared for each.

3. A program of training, technical and financial support has been implemented by LEAA to build the capabilities of State and local governments to plan, manage and utilize evaluation, and to assure that such evaluation capabilities can be maintained once LEAA support ceases.

4. The establishment within agency offices of evaluation systems and procedures, integrated into LEAA's Management-by-Objectives program, that will result in management processes which provide for evaluation planning, management and utilization in the direction of LEAA programs. During FY 79 and FY 80 special emphasis will be given to these systems and procedures in order to improve the efficiency and performance of the evaluation program in the agency and to establish a pattern of evaluation activities that will guide staff efforts through the reorganization changes with a minimum of disruption and delay, leaving fully effective evaluation processes and procedures in place and functioning to support the agency's mission, goals and objectives.

### State and Local Coordination Mechanisms

Coordination with State and local evaluation occurs through a variety of mechanisms serving different purposes. The States are consulted on the selection of national level evaluation topics, and during the design and planning phase of many LEAA evaluations. State evaluation plans are reviewed, and State and local planning agencies are consulted on their needs during planning for LEAA's evaluation training and technical assistance programs. Their evaluation studies are received, reviewed, made available to others, and are used by LEAA in preparing its annual report to the President and Congress on the effectiveness of programs supported by block grant funds.

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

Ultimately the success of State and local jurisdictions in raising the standards of performance in law enforcement and justice requires effective use of evaluative information to assess the impact of their initiatives and improve operational performance. LEAA's evaluation program provides national leadership and perspective on basic concepts and other significant evaluation questions. However, it cannot and should not meet all the evaluation needs of State and local government. Although it is an important stimulus to the criminal justice system, LEAA's total program contributes less than four percent of the total funds committed by State and local governments to criminal justice. Further, national evaluation programs cannot meet the specific questions of a large number of diverse local criminal justice planners, policy makers or decision makers, particularly not those questions addressed to the performance of their own specific programs.

### III. THE LEAA EVALUATION PROGRAM STRATEGY, COMPONENTS AND RESOURCES

The annually updated two-year evaluation plan specifies the agency's evaluation strategy, what evaluation activities will be carried out, manpower and financial resources allocated to the three evaluation programs and their component elements, and assigns responsibilities within LEAA for the accomplishment of the tasks set forth for each program area.

#### A. PROGRAM STRATEGY

Subprograms described on the following pages are designed to implement an agency evaluation strategy that is based on the pervasive role of evaluation in the LEAA mission, recognizing at the same time the limited LEAA resources available vis-a-vis the evaluation needs of the criminal justice system throughout the States.

The overall strategy is designed to expand the range, utility and quality of information available to policy makers, planners, decision makers and managers to help improve the performance of the criminal justice system, and to assure that it is effectively used to that end. It envisages evaluation primarily as providing management information, and emphasizes the application of rigorous scientific methods that will not only improve the validity and reliability of the information produced, but also advance and refine the body of theoretical knowledge that is necessary in understanding the complex phenomena of criminal behavior and the responses of the criminal justice system and society.

The five elements of this strategy are: (1) to develop and maintain a system of evaluation activities to assess the impact and value of LEAA programs; (2) to assess common types of programs, projects and functions in the criminal justice system as a whole; (3) to develop and maintain an efficient and reliable system for overall performance measurement for all components of the criminal justice system; (4) to assist in the development of State and local evaluation capabilities adequate to meet the policy and management needs of the criminal justice system at all levels; and (5) the synthesis, dissemination and utilization of evaluative information as an integral part of policy development, and program planning, development and management in LEAA and throughout the criminal justice system.

Subprograms are conducted to implement each of these five elements of the program strategy as described on the following pages.

1. Evaluation of LEAA program tests and demonstrations focuses on the validation of candidates for national priority programs of proven effectiveness, through a careful development, design and testing procedure. Evaluations of LEAA's other discretionary and categorical programs and projects capitalize on the opportunities they afford for gaining knowledge about their operational effectiveness and provide program managers with information for use in program direction and improvement. Management evaluations and program and project reviews provide the LEAA Administration with assessments of the performance and utility of agency programs from the perspective of their planning and management by LEAA program offices, and as implemented by grantees.

2. The National Evaluation Program (NEP) is conducted to evaluate types of projects and common functions in the State and local criminal justice system. The NEP is the primary LEAA mechanism for evaluation of the block grant program and its environment in the CJ system. State and local evaluations are the other principal source of information about the effectiveness of programs and projects in the criminal justice system as a whole. Special State and local legislative and policy initiatives of potential national significance are evaluated by LEAA to develop information about their effectiveness and consequences.

3. A special program of research and evaluation methodology development includes two principal thrusts: (1) advances in approaches and techniques of measurement and analysis; and (2) looking toward a more efficient and reliable system for assessing the overall performance of the LEAA program as well as the criminal justice system, the development of an evaluation information system within LEAA and an overall performance measurement system for all principal components of the criminal justice system.

4. A nationwide delivery system for State and local evaluation technical assistance and training comprises the primary means of assisting in the development of evaluation capabilities throughout the criminal justice system. Long range manpower development objectives are supported through curriculum development, student and faculty support in institutions of higher education. LEAA is reviewing its strategy for special financial support to State and local evaluation system development and institutionalization as an integral part of criminal justice system planning and management.

5. LEAA synthesizes results of LEAA, State and local evaluations, broadly disseminates this information, provides technical assistance to aid in its utilization, and within LEAA provides for agency-wide evaluation planning, coordination and monitoring to assure that evaluation subprograms address priority evaluation needs of the criminal justice system as well as the needs of the LEAA program, and assures that evaluation findings are utilized in the planning and management of the LEAA program at all levels of the agency.

The following summary descriptions of the plans for subprograms and activities that fall under each of the three major evaluation programs (Knowledge, Management, and Development Assistance) identify program responsibilities within LEAA and outline the strategies, major components and resource requirements of each.

B. THE EVALUATION KNOWLEDGE PROGRAM\*

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

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

The Knowledge Program has a strong national focus. Its results will be of use to a national audience of criminal justice system planners, decision makers and operational personnel. It responds to the Congressional mandate to identify what has been learned about reducing crime and improving criminal justice through the LEAA program, and to disseminate that information to the criminal justice community. At the same time the Knowledge Program strongly supports program development and management at all levels within LEAA.

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

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

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

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

---

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

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

Thirty-five Phase I studies and a manual of evaluation standards were initiated from FY 75 through FY 78, covering types of projects in virtually all components of the juvenile and criminal justice systems. Topics are listed in Appendix K.

A new strategy has been adopted by the National Institute for FY 79 NEP Phase I studies. Topics will focus on selected criminal justice system functions rather than on projects as such. The Institute has determined that such studies could contribute more to filling remaining knowledge gaps by focusing on common functions that are performed in the CJ system, whether or not they are the focus of specifically defined projects.

With a budget of \$750,000 in FY 79 and \$600,000 in FY 80, three or four topics will be selected in FY 79 and two or three in FY 80. (If no topics are determined to be appropriate for more intensive Phase II studies in a given year, the \$400,000 Phase II budget is added to Phase I funds to increase the number of Phase I studies. This will occur in FY 79.)

Topics under consideration for FY 79, subject to final decisions in light of annual survey results and agency analysis of needs, include these:

- Family Counseling
- Evaluation and Screening for Mental Health Services
- Police Liaison (with Prosecution, Courts, Community)
- State and Local Use of Evaluative Information
- Minority Employment in the Criminal Justice System

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,994	\$ 750	\$600
Staff P/Y	1.4	1.4	1.2

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

Three Phase II studies have been initiated in FY 77 and FY 78:

- Treatment Alternatives to Street Crime (TASC) (1977);
- Pre-Trial Release Projects (1977); and
- Intensive Evaluation of Probation (1978).

No Phase II evaluation will be initiated in FY 79. One is planned in FY 80. (If no topics are determined to be appropriate for NEP Phase II studies in FY 80, as in FY 79, the \$400,000 Phase II budget will support NEP Phase I Studies.)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,000	--	\$400
Staff P/Y	.70	.10	.30

2. Model Program Development (NILECJ, Office of Development, Testing and Dissemination (ODTD); Mary Ann Beck, Program Manager; evaluation support by Office of Program Evaluation (OPE), Frank Vaccarella, Acting Director.

Evaluation supports each phase of model program development in the National Institute's Office of Development, Testing and Dissemination. In early 1977 the Institute initiated a formalized program design process which involves its program development, testing, research and evaluation offices in a joint effort to develop field test designs that are both operationally feasible and capable of rigorous evaluation. Representatives of LEAA action program offices and other DOJ or Federal agencies are also invited to join these working groups as appropriate.

The team develops a detailed design document which identifies the essential elements of the model to be tested, including a careful articulation of the objectives of each component and the assumptions and hypotheses underlying each objective; defines the methodology to be used in testing and the issues to be addressed in the evaluation; and specifies the criteria for selection of test sites. A panel of experts conversant with the critical research and operational issues in the topic area assists in the final refinement of the design and advises on potential test sites.

This test design then becomes the basis for an independent evaluation, funded by the Office of Program Evaluation, of the test implementation that is funded by the Office of Development, Testing and Dissemination. ODTD usually funds two to four sites to implement the test. In addition, States with a special interest in the concepts and strategies being examined are encouraged to use the test design to mount and evaluate parallel efforts.

Evaluation findings, as they emerge, are continuously fed back to the test sites so that operations can be improved and the model refined. The final evaluation results are published and, if sufficiently positive, are used by ODTD in the development of a refined model or validated program design.

This design may be used as the basis for further demonstration, for national priority programs eligible for LEAA incentive program funding, or for broad dissemination, documenting the program to encourage replication in the criminal justice community.

This type of program development follows a careful research and development process conducted by the National Institute. Another type of activity under Model Program Development identifies outstanding criminal justice projects that have demonstrated significant benefits, validates evidence of their effectiveness, and documents their implementation and activities to assist other agencies to understand the concepts and adapt the projects in their own communities. Products include Exemplary Projects, documenting individual projects that meet all criteria for selection as exemplary, and Program Model documents which synthesize the best aspects of several similar projects. These projects may subsequently form the basis of LEAA testing, training or demonstration efforts, and--contingent upon successful outcomes--a validated program design.

The following schedules summarize Institute plans for program development, tests, and evaluations, and the production of program models.

a. Model Program Development Schedule

<u>Program</u>	<u>Program Test Design</u>	<u>Evaluation of Program Test</u>	<u>Validated Program Design*</u>
***Team Policing		FY 76	FY 79
***Juror Usage and Management		FY 76	FY 79
***Managing Criminal Investigations		FY 77	FY 79
****Prosecutor Career Criminal Programs		FY 76	FY79
Neighborhood Justice Centers	FY 77	FY 78	FY 80
Local Criminal Justice Planning	FY 77	FY 78	FY 79
Community Response to Rape	FY 77	FY 78	FY 79
Pre-Release Centers	FY 78	FY 78	FY 81
Managing Patrol Operations	FY 78	FY 78	FY 80
Improved Correctional Field Services	FY 78	FY 78	FY 81
Sentencing Guidelines	FY 78	FY79	**
Commercial Security Against Burglary and Robbery	FY 79	FY 79	**
Structured Plea Bargaining	FY 79	FY 79	**
Arson Prevention and Control	FY 79	FY 79	**

\* Publication of validated program design contingent upon sufficiently positive evaluation results.

\*\* To be scheduled, depending on results of evaluation of program test

\*\*\* Validated program designs will be based on evaluation of NILECJ field experiment evaluations. NILECJ field experiments preceded the current program design, testing, evaluation and validated design strategy.

\*\*\*\* Validated design based on NILECJ evaluation of OCJP demonstration program.

Program Test Designs (NILECJ, ODTD, Mary Ann Beck, Program Manager)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$120	\$120	\$120
Staff	3.00	3.00	3.00

Evaluation of Program Tests (NILECJ, OPE, Frank Vaccarella, Acting Director)

OPE will evaluate four ODTD Program Tests in FY' 79 and four in FY' 80.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$2,150	\$1,900	\$1,900
Staff	3.60	3.60	3.60

Validated Program Designs (NILECJ, Office of Development, Testing and Dissemination (ODTD), Susan Oldham, Program Manager)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$108	\$115	\$123
Staff	1.00	1.00	1.00

b. Program Models Based on Other Research and Evaluation Results

The following program models are syntheses of available research, evaluation and operational experience.

<u>Program Model</u>	<u>Availability</u>
Guide to Establishing a Defender System	FY 78
Presentence Report Handbook	FY 78
Special Programs in Probation and Parole	FY 79
Consolidation of Small Law Enforcement Agencies	FY 79
School Vandalism Programs	FY 79
Employment Services for Ex-Offenders	FY 79
Victim Compensation Programs	FY 79
Methods for Analyzing Community Security Problems	FY 79
Pretrial Release Criteria and Standards	FY 79
Managing a Warrant Service System	FY 79
Court Management (3): Personnel, Records, Fiscal	FY 79
Prevention, Detection and Correction of Corruption in Local Government	FY 79
Regionalization and Consolidation of Community Correctional Services	FY 79
Community Correctional Centers	FY 79
Correctional Programs for Women Offenders	FY 79
Arson Prevention and Control	FY 79
Security Techniques for Small Businesses	FY 79

Some program models become the basis for subsequent tests and/or demonstrations to develop validated program designs.

Development of Program Models (NILECJ, ODTD)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$520	\$556	\$595
Staff	3.00	3.00	3.00

c. Documentation of Exemplary Projects (NILECJ, Office of Development, Testing and Dissemination (ODTD) Frank Shults, Program Manager)

During FY 79, in addition to the program models identified in the foregoing schedules, ODTD will complete the following projects:

(1) Complete documentation of information on four projects designated Exemplary in FY 78 (additional Exemplary projects will be selected in FY 79 and FY 80):

Concealed Cameras Project (Seattle, WA)  
Connecticut Economic Crime Program  
Stop-Rape Crisis Center (Baton Rouge, LA)  
Community Arbitration Project (Anne Arundel Co., MD)

(2) Complete monographs based on syntheses of projects on:

Victim/Witness Assistance Programs  
Evaluation of Criminal Justice Training Programs

(3) Produce a synthesis of measurement difficulties encountered in the review of Exemplary Project applications.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$261	\$279	\$300
Staff P/Y	1.00	1.00	1.00

3. Evaluation of National Discretionary (DF) and Other Categorical Programs (NILECJ, Office of Program Evaluation (OPE), Frank Vaccarella, Acting Director )

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

Eighteen of LEAA's DF and other categorical programs have been designated for program level evaluation by the National Institute from FY'72 through FY'78. Ten of these have been funded and managed under this subprogram; eight were implemented through other funding or management mechanisms within the Institute or by other program offices with the Institute providing funding and technical support.

Studies initiated under this subprogram include:

High Impact Anti-Crime Program (1972)  
Pilot Cities Program (1974)  
Prosecutors Career Criminal Program (1976)  
Standards and Goals Program (1976)  
Community Anti-Crime Program (1977)  
Reduction in Court Delay (1978)  
Integrated Criminal Apprehension Program (1978)  
Treatment and Rehabilitation of Addicted Prisoners (1978)  
Property Crime Program (Anti-Fencing; STING) (1978)  
Comprehensive Urban Anti-Crime Program (1978)

Evaluations implemented through other funding or management mechanisms include:

Treatment Alternatives to Street Crime (NEP Phase II evaluated DF projects. 1977)  
Law Enforcement Education Program (NILECJ funded LEEP evaluation managed by the Office of Criminal Justice Education and Training; Phase I 1977, Phase II 1978)  
Family Violence Program (jointly funded with National Institute for Juvenile Justice and Delinquency Prevention, which initiated evaluation. 1978)  
Integrated Police and Prosecution Witness Assistance Program (DF projects evaluated in NEP Phase I. 1978)  
Model Procurement Code Implementation (NILECJ funded and assisted evaluation by Office of General Counsel. 1978)  
Improved Correctional Field Services (DF projects serve as test sites for ODFD test of model program design. 1978)  
Restitution (NILECJ/Office of Research Programs evaluated monetary restitution DF projects under Corrections Research Program. 1977; 1978 supplement)  
Media Campaign on Crime Prevention (NILECJ/Office of Research Programs funded evaluation under Community Crime Prevention Research Program. 1978)

Four program evaluations will be initiated in FY 79, one ongoing study will be expanded in FY 79, and the second phase of another ongoing evaluation will be implemented in FY 80. Additional FY 80 evaluations to be selected.

New Initiatives

White Collar Crime Program (\$200,000)  
Statistical Analysis Centers (\$200,000)  
Jail Overcrowding and Pretrial Detainee Program (\$200,000)  
Community Service Restitution (Modification to FY 78  
NEP Phase I study, Survey of Restitution Projects)(\$250,000)

Continuation Supplements

Community Anti-Crime Program (Expanded in FY 79 \$350,000)  
Property Crime Program (Anti-Fencing; STING)(Phase II in FY 80  
\$400,000)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$2,755	\$900	\$1,300
Staff P/Y	3.60	3.50	3.50

4. Special Opportunity Evaluations (NILECJ, Office of Program Evaluation (OPE), Frank Vaccarella, Acting Director)

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

Thirteen evaluations have been funded under this subprogram in Fiscal Years '76, '77 and '78:

Impact of Massachusetts Gun Law (1976)  
Impact of New York State Drug Law (1976)  
Elimination of Plea Bargaining in Alaska (1976)  
New York City Court Employment Program (1976)  
Use of Computers in Police Departments (1976)  
St. Louis Automatic Vehicle Monitoring System (1976)  
Impact of Decriminalization on Intake Process for Public  
Inebriates (1976)  
Impact of Michigan Gun Law (1978)  
New Jersey Sentencing Guidelines (1978)  
Correctional Outcomes (1978)  
Industrial Security Program in Chicago (1978)  
Impact of Proposition 13 on CJ Programs in California (1978)  
New Jersey SPA Program Evaluation System (1978)

Additional evaluations of State and local initiatives will be undertaken as significant opportunities arise.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$995	\$300	\$300
Staff P/Y	1.00	.40	.40

5. Evaluation of LEAA Incentive Programs

The new LEAA Incentive Programs are programs which, on the basis of research, demonstration or evaluations by the National Institute, by State or local governments, or by other public or private organizations, have been shown to be effective, and meet additional criteria established by LEAA.

LEAA Incentive Programs are based on program models proven effective through evaluations of program tests or demonstration programs. State and local nominations for programs to be eligible as LEAA Incentive Programs must be accompanied by evidence of proven effectiveness. Before acceptance, their effectiveness will be validated by LEAA.

Because successful evaluation results are one criterion of eligibility for these programs, they will not normally require further intensive evaluation. However, LEAA may establish evaluation requirements for Incentive Programs grants to assure general replicability in environments that vary significantly from those in which the program has been validated or to meet other special evaluation needs.

6. Evaluation of Juvenile Justice and Delinquency Prevention Special Emphasis Programs (OJJDP's National Institute for Juvenile Justice and Delinquency Prevention, NIJJDP), James C. Howell, Director)

All OJJDP major special emphasis programs are evaluated as mandated by Juvenile Justice and Delinquency Prevention Act of 1974, as amended. Background (state-of-the-art) work for use in the development and design of these programs is accomplished by NIJJDP. Evaluation plans are also developed by NIJJDP prior to program implementation. Program development work and/or actual evaluations for six such programs were initiated during FY 76 through FY 78:

- Deinstitutionalization of Status Offenders (1976)
- Diversion of Juvenile Offenders from the Criminal Justice System (1976)
- Prevention of Juvenile Crime and Delinquency through Youth Service Agencies (1976)
- Juvenile Restitution to Victims (1976)
- Reduction of School Crime (1976)
- Youth Advocacy Programs (1978)

One special emphasis program evaluation will be designed in FY 79, through OJJDP's assessment centers, for initiation in FY 80.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$4,500	\$930	\$5,000
Staff P/Y	.75	.61	1.00

7. Special Evaluations in Juvenile Justice and Delinquency Prevention (OJJDP, NIJJDP, Peter Freivalds, Program Manager)

In addition to evaluating OJJDP's major special emphasis programs, NIJJDP evaluates projects of special interest, other LEAA programs funded with maintenance of effort monies, and the implementation of important State legislation in the juvenile area.

In FY 78 NIJJDP initiated the evaluation of the Family Violence DF program managed by OCJP (evaluation \$1 million NIJJDP, supported by \$100,000 NILECJ/OPE DF program evaluation funds) and provided continuation funding for an assessment of the implementation of new State legislation on the deinstitutionalization of status offenders in California. In FY 79 implementation of new juvenile justice legislation in Washington and Maine will be assessed (\$350,000).

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,500	\$350	\$500
Staff	.25	.32	.25

8. OJJDP Assessment Program (NIJJDP, Peter Freivalds, Program Manager)

In addition the National Institute for Juvenile Justice and Delinquency Prevention (NIJJDP, OJJDP) undertakes a major, continuing assessment of evaluation requirements and overall design for evaluation of major initiatives and important projects. These studies are similar in purpose to the state-of-the-art surveys in the National Evaluation Program Phase I efforts.

During FY 76 and FY 77 OJJDP established four "assessment centers" (located at universities and research organizations) which assess, synthesize, and prepare for dissemination, knowledge in the juvenile justice field. Established in FY 76 were a Center for Assessment of the Juvenile Justice System, a Center for Assessment of Alternatives to the Juvenile Justice System, and a Coordinating Center. The fourth, established in FY 77, is the Center for Delinquent Behavior and its Prevention.

The Assessment Centers Program is a major component of OJJDP's knowledge synthesis and dissemination program and is therefore not formally a part of the NIJJDP Evaluation Program, nor is planned refunding (two year grants totalling \$2,500,000) in FY 79 included in resource summaries of this plan. However, assessment activities do play a major supportive role to evaluation planning and the synthesis and dissemination of evaluation designs, measures, methodological problems, and results of research and evaluations.

9. DF Project Evaluations (Office of Criminal Justice Programs,  
Program Development and Evaluation Staff; Irving Slott, Director)

In addition to national level program evaluations, LEAA's Office of Criminal Justice Programs requires intensive evaluations of approximately 25 projects each year that are supported with discretionary funds and are not selected for program level evaluations. Grantees are required to set aside up to 15% of their grant for an independent evaluation, with the additional requirement that LEAA approve the evaluation plan and the qualifications of evaluators.

a. In FY 79 OCJP will require project level evaluations under four programs that are also being evaluated at the national program level by NILECJ: Two will be "cluster" evaluations by a common, independent evaluator; two programs require individual project evaluations:

Community Service Restitution (cluster) (\$150,000)  
Jail Overcrowding and Pretrial Detainee (cluster) (\$150,000)  
Integrated Criminal Apprehension Program (individual) (\$350,000)  
White Collar Crime (individual) (\$50,000)

b. In addition, OCJP plans for selected project level evaluations in the following programs:

Courts Training (continuation, FY 78 cluster) (\$350,000)  
Courts Technical Assistance (cluster) (\$150,000)  
Fundamental Court Improvement (includes Court Unification)  
(cluster) (\$100,000)  
Treatment Alternatives to Street Crime (individual) (\$255,000)  
Indian Programs (individual) (\$135,000)  
Organized Crime (individual) (\$90,000)

c. Technical assistance contractors supporting three DF programs will provide major evaluation support to grantees:

Prosecutors Career Criminal Program (TA contractor analyzes project data, provides written report, and discusses implications with each project)  
Integrated Criminal Apprehension Program (TA contractor assists projects in developing data and planning project evaluations)  
Correctional Standards Implementation (Accreditation) (Research contractor will assess development and implementation of correctional standards in the accreditation process.)  
(FY 78, \$340,000)

\* Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,423	\$1,340	\$875
Staff P/Y	.20	.25	.25

\*Resources listed do not include approximately 5% of the amount of action grants used by grantee for project evaluations.

10. Evaluations of Criminal Justice Information Systems and Statistics Programs (National Criminal Justice Information and Statistics Service (NCJISS), Systems Development Division and Statistics Division. Terry Boyd, NCJISS Evaluation Coordinator)

NCJISS evaluations occur in two general contexts: systems development programs/projects of a type that typically requires development and testing against technical performance standards of systems and equipment; and assessments of statistical as well as systems programs/projects in terms of utility and impact on the problems addressed. Evaluations conducted or managed by NCJISS and support to other LEAA offices evaluating NCJISS programs include the following continuations and new initiatives:

a. Continuations and Supplements

- \*\*Standardized Crime Reporting System (SCRS) Phase III (\$100,000)
- State Level Latent Fingerprint Identification System (\$20,000)
- \*\*Computer Assisted Prisoner Transportation Index Service (CAPTIS) (\$135,000)
- \*\*Jail Accounting Microcomputer System (JAMS) (\$60,000)
- Microcomputers and Criminal Justice (\$137,000)
- State Judicial Information System (SJIS) Phase IV:
  - Cost Benefit Study (\$9,000)
  - Quad Cities 911 Project (\$88,000)
  - Dial 911 Systems Assessment (\$75,000)
  - Evaluation of CJ Management and Administrative Statistics (\$282,000)
  - Computer Related Crime (\$125,000)
  - Public Assistance Fraud (\$125,000)

---

\*\* Funding shown is FY 79 extensions, supplements or phases of projects initially funded in prior years.

b. New Initiatives in FY 79

Correctional Information Systems (\$100,000)  
Evaluation of Corrections Statistics Programs (\$75,000)  
Evaluation of National Courts Statistics (\$25,000)  
Support to OAI Review of Comprehensive Data Systems (\$100,000)  
Support to NILECJ Evaluation of Statistical Analysis  
Centers (\$100,000)

c. Evaluative assistance is an integral part of national technical assistance contracts to support development, testing, documentation, transfer and assessment of criminal justice communications and information systems. Because such evaluative activities are not separately budgeted and accounted for under evaluation planning or programs, the supporting resources are not included in the following resource summary or elsewhere in this plan.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$866	\$695	\$700
Staff P/Y	.40	.26	.25

11. Research and Evaluation Methodology Development (NILECJ, Office of Research and Evaluation Methods, Richard Linster, Director)

The National Institute supports a program of research and evaluation methodology development to advance the state-of-the-art in the development and refinement of measurement techniques of greater efficiency and reliability for criminal justice applications. The program includes research in four methodological areas. Projects under each are listed below.

a. Methods Research (James Scheirer, Program Manager)

This subprogram will manage 16 continuing projects funded in prior years and will solicit and fund additional projects in FY 79, emphasizing research aimed at expanding the class of designs useful for criminal justice evaluations. Ongoing projects are:

- Stochastic Modeling and the Analysis of Crime - Phase 2
- Empirical Study of Methods Used in Criminal Justice Evaluations
- Alternative Approaches to Criminal Justice Statistical Analysis
- Crime Indicators Development Program
- Multivariate Taxonomic Techniques for Criminal Justice Research
- Conventional and Frontier Analyses of Cost Functions
- Characterizing Large Scale Corrections Institutions

Specification and Test of "Population at Risk" Crime  
Rate Statistics  
Ecological Approach to Environmental Evaluation of  
Residential Treatment Homes  
Robust Estimation in Latent Trait Analysis  
A Comparative Validation of the Randomized Response  
and Direct Question Methods  
Development of Criminal Incidence and Prevalence Models  
Sources of Error in Survey Data Used in Criminal  
Justice Evaluations  
Bayes Estimates in Stochastic Models of Crime Commission  
Rates  
Blockmodel Techniques in Criminal Justice Research  
The Analysis of Intergovernmental Networks in the  
Delivery of Criminal and Juvenile Justice Services  
Study of the Potential for Offender Rehabilitation

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,853	\$650	\$650
Staff P/Y	1.70	1.70	1.70

b. General Deterrence Measurement (Joel Garner, Program Manager)

This subprogram focuses on analyses of deterrent effects of actual criminal justice policy changes and program initiatives. Based on a National Academy of Sciences review of deterrent theory and measurement problems, this program was initiated with a general solicitation in FY 78. Projects under active consideration for funding in FY 79, based on FY 78 solicitation responses, include the following (one or two additional projects will be selected during FY 79 ):

Detering Automobile Repair Fraud: A Field Experiment  
Deterrence and Data Disaggregation: Geographic, Temporal,  
and Offense Refinement  
Improved Estimates of the Deterrent Effects of Arrest  
and Imprisonment  
The General Deterrence of Bank Robbery  
Panel Analysis of State Crime Rates  
The Deterrent Effect of Arrest and Incarceration:  
A Criminometric Approach  
Economic Analysis of Crime and Deterrence  
Deterrent Effects of the New Arizona Criminal Code  
Development of a Deterrent Simulation Model (ANALOGS)  
The Perception and the Reality of Sanctions

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	--	\$1,350	\$350
Staff P/Y	1.00	1.50	1.50

c. Incapacitation and Criminal Career Research (George Silberman, Program Manager)

This subprogram was planned during FY 78 for initiation in FY 79, to provide support for research and evaluation aimed at a better understanding of how incapacitation operates to produce crime control effects. It will expand upon other LEAA work on career criminals as well as on research funded through other agencies. Planning estimates are for six grant awards in FY 79 and in FY 80.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	--	\$650	\$650
Staff P/Y	.50	1.10	1.10

d. Performance Measurement (Ed Zedlewski, Program Manager)

This subprogram was initiated in FY 78 to develop a system of performance measurement for the overall criminal justice system at the systems level, as distinguished from performance measurement at the project, program or individual agency level. The program is a long term developmental effort based on five interrelated grants focusing on major criminal justice system components and an overall system perspective. The projects comprising the subprogram are:

- Performance Measurement and the Criminal Justice System: Systems Level Perspective (1)
- Performance Measurement Theory and the Criminal Justice System: (2) Police; (3) Courts; (4) Prosecution and Defense; and (5) Adult Corrections

Four supporting, complementary grants are planned in FY 80.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$1,232	--	\$500
Staff P/Y	.40	.40	.40

12. Annual Synthesis of Knowledge (NILECJ, Office of Program Evaluation, Paul Lineberry, Project Manager)

Annually, the holdings of the Evaluation Clearinghouse of the National Criminal Justice Reference Service are reviewed and a report is prepared summarizing the results of those studies that exhibit a level of quality to merit inclusion. (Research results are also compiled annually by NILECJ; research and evaluation results by NIJJDP/OJJDP.)

Resources (\$ is thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$91	\$90	\$90
Staff P/Y	.10	.10	.10

13. Evaluation Clearinghouse (NILECJ, Office of Program Evaluation, Paul Lineberry, Project Manager)

The Office of Program Evaluation, NILECJ, maintains a special Evaluation Clearinghouse within the National Criminal Justice Reference Service, which is funded and managed by the Office of Development, Testing and Dissemination to provide comprehensive information services and to act as international clearinghouse for criminal justice information. This evaluation support activity is funded by NILECJ's Office of Development, Testing and Dissemination and is an integral part of its overall Reference and Dissemination Program.

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

14. National Evaluation Workshops (NILECJ, Office of Research and Evaluation Methods, Joel Garner, Project Coordinator)

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

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$90	\$90	\$90
Staff P/Y	.40	.40	.40

15. Evaluative Studies in NILECJ Research Program (NILECJ, Office of Research Programs (ORP), W. Robert Burkhart, Director)

A substantial portion of the National Institute's applied research program, managed by the Office of Research Programs, is evaluative in major respects and contributes to evaluative knowledge in the areas of law enforcement, courts, corrections and community crime prevention. Some studies are undertaken specifically as evaluations; others include a major evaluation component. Only those studies designed specifically to use evaluations as a research vehicle are included in summary tables for the Evaluation Program.

Relevant research projects in ORP include the following:

a. Police Research (David Farmer, Director)

Implementation and Evaluation of Prototype Rules and Procedures for Police Discipline (FY 76)

Managing the Demand for Police Services (To test a department-wide system for managing the demand for field services from initial call for service through final investigation. FY 77)

Alternative Response Strategies (Cost effectiveness analysis of police response procedures in four cities and development of alternative response models. FY 78)

National Project to Develop Police Performance Measures (FY 76)

Police Narcotics Control Patterns and Strategies (To identify and assess the effectiveness of various goals and strategies in narcotics law enforcement at the local level. FY 76)

Preventive Patrol (To replicate the Kansas City Patrol Experiment. FY 79)

b. Adjudication Research (Cheryl Martorana, Director)

Impact of Sentencing Guidelines on Court Discretion (To examine the effect of sentencing guidelines, with special attention to charging, plea bargaining, delay, and number of jury trials. FY 76; FY 78)

Pretrial Settlement in Criminal Cases (To test the feasibility and effectiveness of a pretrial settlement process that allows plea and charge negotiations in formal conference presided over by a judge with participation by prosecutor, defendant, and possibly the victim. FY 76)

Analysis of State Speedy Trial Provisions (To identify and analyze the effectiveness of various types of speedy trial provisions and to make recommendations as to which may be better and why. FY 77)

Alternative Designs for Defense and Prosecution (To contrast effects of statewide, regional and local provision of defense and prosecution services. FY 79)

Empirical Consequences of Court Unification (To examine the effects of various court unification efforts in such areas as budgeting and planning, and trial court consolidation and rulemaking. FY 79)

Alternative Procedures for Family Violence Cases (To assess a range of existing procedures for cases involving non-stranger assaults and violence and develop alternative approaches that are most responsive to needs. FY 79)

c. Corrections Research (John Spevacek, Director)

National Evaluation of Adult Restitution Programs (FY 76; FY 78)  
Assessment of Prison Industries (To assess the effects of the "Free Venture" prison industry program (resembling private industry) on participating inmates and prisons in Minnesota.) (FY 78)

Strategies for Determinate Sentencing (To analyze and assess the impact of fixed sentences on courts and corrections policies, practice and administration; on inmate populations and programmatic needs; and on subsequent criminal behavior.) (FY 78)

Survey of Criminal Justice Evaluation Studies (Systematic examination of a large body of studies of the effectiveness of correctional programs. FY 76). Analysis of Data Base (FY 79)

Assessing the Impact of Determinate Sentencing and Parole Abolition in Maine (FY 76; FY 78)

Alternative Recidivism Measures (To develop a unique measure of recidivism that can be applied as a standard measure in assessments of correctional projects. FY 77)

Research in Correctional Education (To compare the efficacy of two models of delivering correctional education services: delivery by prisons and by non-prison schools; to assess educational attainment in: adult basic education, secondary/GED programs, post-secondary vocational education, and social education. FY 79)

d. Community Crime Prevention Research (Fred Heinzmann, Director)

Hartford Residential Neighborhood Crime Control Project (To design and evaluate a comprehensive neighborhood crime control program involving physical environment measures and community and police strategies. FY 75)

Hartford Project Reevaluation (An evaluation of the long-term effects on crime and fear of crime of the Hartford project, to determine if short term successes against burglary, robbery and fear of crime were sustained. FY 79)

A Mass Communication Strategy for Generating Citizen Action Against Crime (Research and evaluation related to a national media campaign to promote citizen awareness and involvement in crime prevention. FY 78)

National Survey on Crime Prevention (To study the public's knowledge and perceptions about their role in preventing crime, and the impact on their behavior. FY 79)

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$2,140	\$2,225	\$2,000
Staff	2.00	2.00	2.00

16. Evaluative Studies in OJJDP Research Program (OJJDP/NIJJDP. Peter Frievalds, Program Manager)

The following juvenile justice and delinquency prevention research projects in FY 79 include substantial evaluative elements, but are not planned under NIJJDP's evaluation program because they are not undertaken specifically as evaluations.

a. Delinquency Prevention

Learning Disabilities

An Inquiry into the State of Youth in California

Choice of Delinquent Careers among Puerto Rican Dropouts

Teenagers' Attitudes Toward Rape

b. Causes and Correlates of Juvenile Delinquency

R&D Project for Sexually Abused and Exploited Children

Youth Gang Violence

Delinquency in a Birth Cohort

Assessing the Relationship of Adult Criminal Careers to Juvenile Careers

c. Juvenile Justice System

Survey of Children's Residential Institutions and Alternatives

Limits to Heterogeneity

Assessment of Waiver Procedures and Results

Problems of Secure Care in a Community Based Correctional System

Assessment of Non-Judicial Duties of Juvenile Courts

Assessment of Interstate Placements

d. Alternatives to the Juvenile Justice System

Community Agencies' Response to Delinquent Youth

Children's Hearings in Scotland

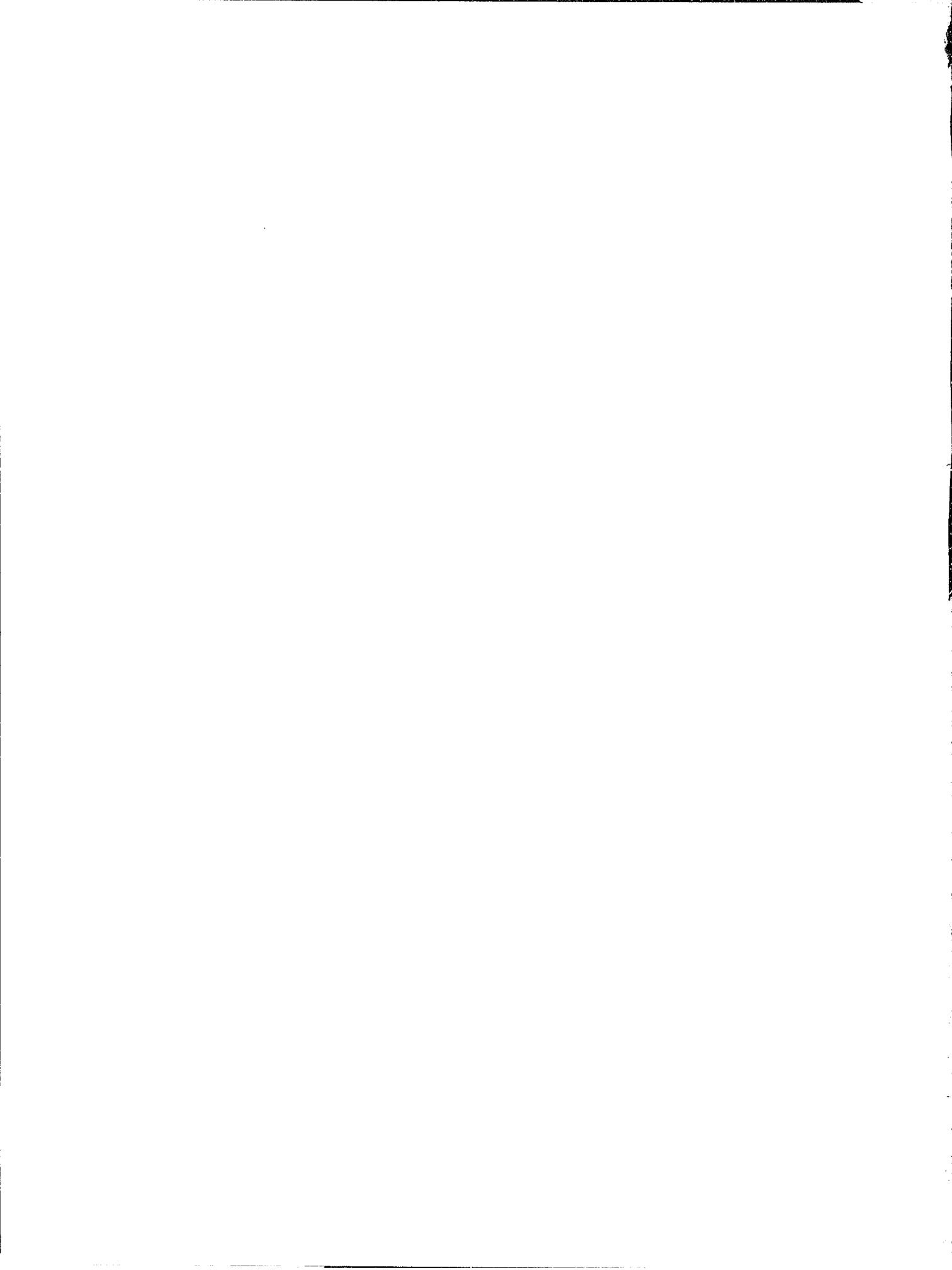
(Survey of Children's Residential Institutions and Alternatives)

(Funding for these studies is not included in any of the summary resource tables in this document.)

17. Summary of Evaluation Knowledge Program Resource Allocations  
 (\$ in thousands; LEAA staff in person/years)

<u>SUBPROGRAMS</u>	<u>\$ &amp; STAFF</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
NEP Phase I	\$	\$1,994	\$750	\$600
	Staff	1.40	1.40	1.20
NEP Phase II	\$	1,000	--	400
	Staff	.70	.10	.30
Evaluation of Program Tests	\$	2,150	1,900	1,900
	Staff	3.60	3.60	3.60
Model Program Development	\$	1,009	1,070	1,138
	Staff	8.00	8.00	8.00
DF Program Evaluation	\$	2,755	900	1,300
	Staff	3.60	3.50	3.50
Special Opportunity Evaluations	\$	995	300	300
	Staff	1.00	.40	.40
Evaluation of JJDP Special Emphasis Programs	\$	4,500	930	5,000
	Staff	.75	.61	1.00
Special JJDP Evaluations	\$	1,500	350	500
	Staff	.25	.32	.25
DF Project Evaluations	\$	1,423	1,340	875
	Staff	.20	.25	.25
Systems & Statis- tics Evaluations	\$	866	695	700
	Staff	.40	.26	.25
Methodology Development	\$	3,085	2,650	2,150
	Staff	3.60	4.70	4.70
Annual Synthesis of Evaluations	\$	91	90	90
	Staff	.10	.10	.10
Evaluation Workshop	\$	90	90	90
	Staff	.40	.40	.40
Evaluations by Research Programs	\$	2,140	2,225	(2,000)*
		2.00	2.00	2.00
TOTALS	\$	23,598	13,290	17,043
	Staff	26.66	26.20	26.51

\* FY 80 funds for evaluations by research programs estimated on the basis of NILECJ/ORP funding of such studies in prior years as a percentage of ORP budget. Actual funds depend on research projects selected and funded. Evaluative studies are not separately planned as a budget category in ORP.



## B. THE EVALUATION MANAGEMENT PROGRAM

Coordination of the Management Program is primarily the responsibility of the Office of Planning and Management (OPM), with responsibility for major subprograms and activities assigned to the National Institute (NILECJ), the Information Systems Division, Office of the Comptroller (ISD/OC), the Office of Audit and Investigation (OAI), the Office of Criminal Justice Programs (OCJP), the Office of Juvenile Justice and Delinquency Prevention (OJJDP), the Office of Community Anti-Crime Programs (OCACP), the Office of Criminal Justice Education and Training (OCJET), the National Criminal Justice Information and Statistics Service (NCJISS), and the Office of Operations Support (OOS).

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

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

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

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

Staff Effort (In Person/Years)

<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
2.0 P/Y	2.0 P/Y	2.0 P/Y

2. Management Evaluations and Program and Project Reviews are planned on an annual basis, designed to provide evaluative information to inform LEAA management decisions. Assessments are also initiated to meet special needs for evaluative information required by the Administration as needs arise.
  - a. Management Evaluations for the Administration of LEAA. Management evaluations of program operations for which LEAA is responsible assist in policy and program decisions, as well as insuring accountability to Executive Branch and Congressional oversight. Major program offices also use management evaluations in the management and direction of their operations. An assessment of LEAA's Action Program Development Process was conducted in FY 78 by NILECJ and OPM. Early in FY 79 OPM will initiate a study of LEAA's evaluation utilization system procedures. Other management evaluations may be undertaken as required by the Administration or initiated by office heads to meet their needs.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$ 50	\$100	\$100
Staff P/Y	.25	.10	.20

- b. Program/Project Reviews (Office of Audit and Investigation; others as assigned)

Beginning in FY 78 primary responsibility for program and project reviews was assigned to OAI, to provide LEAA management with short term evaluative information on programs and projects selected by OAI and approved by the Administrator. Other offices conduct reviews as assigned.

Eight program reviews were initiated by OAI in FY 78, one was conducted by OPM, and one project review was completed by OCJP.

Ten reviews have been selected for OAI in FY 79:

<u>REVIEW</u>	<u>OFFICE</u>
Validation of LEEP Assessments	Denver
Privacy and Security	Atlanta
Anti-Fencing Program (STING)	Washington
Juvenile Justice Prevention Program	Atlanta
Management Information Systems	Washington
Mini-Block Program	Chicago
Audit of the State Planning Agency	Denver
SPA/Property Management	Sacramento
Technical Assistance Provided by State Planning Agency	Chicago
Program Evaluation Performed by by State Planning Agency	Sacramento

Staff Effort (LEAA staff in person/years)

<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
45 P/Y	45 P/Y	45 P/Y

3. The Evaluation Utilization System is designed to ensure the use of evaluative information in agency decisionmaking at all levels. Effective utilization is based on efficient access to evaluation results and their analyses for policy and program implications. Programs plans, decision memoranda, and policy and program option papers are required to identify prior research and evaluation findings relevant to current or new programs and to specify how these findings are being used, or why they are not, with respect to directly pertinent issues in program plans and designs and in proposed options.

LEAA managers at all levels will place heavy emphasis on the analysis and utilization of evaluation results during FY 79 and FY 80. The rising cumulation of evaluation findings coincides with agency reorganization and a concentrated effort to focus shrinking resources on programs of demonstrated effectiveness as well as continuing to improve the efficacy of these programs. Model program development activities in NILECJ will be an especially heavy user. However, evaluative information will also help guide overall planning of the agency's programs and will be used by program offices to review and improve all discretionary and categorical programs that the agency continues to support.

Utilization activities during FY 79 and FY 80 include the following:

a. During the first half of FY 79 OPM will initiate and complete a study of evaluation utilization within LEAA with a view to improving utilization procedures. (Resources shown under Management Evaluations, p. 39.)

b. Processing Evaluation Results into LEAA's Management Information System (PROFILE). Grant Managers Assessment Reports are entered in PROFILE at the time of grant closeout. If a formal evaluation of a grant has been performed by an independent evaluator, either as a selected project level evaluation or as part of a national program level evaluation, the project monitor will submit a separate Grant Evaluation Summary for entry into PROFILE. (See Appendix H.)

A special file has been created in PROFILE for "Notable Project" summaries, including Exemplary Projects selected by NILECJ and Promising Projects that have been nominated by SPA's and verified by LEAA.

In addition, LEAA is upgrading the content of grant quarterly progress reports to provide for performance information on active grants that will reflect their current status in terms of progress toward the achievement of project objectives.

Staff Effort (LEAA staff in person/years)

<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
2.0	2.0	2.0

c. Analysis of Evaluation Results.

Analyses of evaluation results, focusing -- as appropriate -- on implications for agency policy; program policy, design and management; research, technical assistance and training needs and opportunities; and potential dissemination to encourage utilization by the criminal justice community are prepared by responsible offices at the following times:

- i. Upon completion of each evaluation report;
- ii. To support the annual program planning process, synthesizing relevant results and incorporating them, as appropriate, in program plans and designs;
- iii. During preliminary development of new programs and in the preparation of decision memoranda proposing the development of new programs or major redevelopment of existing ones, to document proposed program policies, strategies and designs; and
- iv. To meet the need for evaluative information for management decisions as policy and program issues arise.

- d. Utilization of Evaluation Results in Program Planning and Development occurs in several ways:
- i. Model program development and validation in the National Institute, by design, includes the heavy use of evaluation results as an integral part of the action program development process. Available evaluative information is used in the initial phase of model program design; intensive evaluation of program tests is used to test effectiveness and refine the model; additional evaluation results, if available, are used with test results in preparing validated program models; and provision will be made for continued, though less intensive, evaluation during subsequent demonstration and marketing phases. Evaluative information is also used in developing the training and technical assistance that supports test and demonstration phase implementation.
  - ii. During the annual LEAA MBO/ZBB program planning cycle, program managers must identify evaluation results in program plans and briefly describe how they have been used to improve the program, to confirm the program model, or must explain why evaluation results have not been used.
  - iii. Decision memoranda prepared to propose new programs or major changes, including discontinuation, must document pertinent evaluation information as it relates to alternative courses of action and to the option recommended to the Administration.
  - iv. Program managers and staff should use evaluative feedback, including quarterly evaluation reports, to facilitate mid-course adjustments in individual projects and to review program design requirements and realistic expectations for results.
- e. Evaluation reports scheduled for completion in the final quarter of FY 78 and during FY 79 and FY 80 will be analyzed for their policy and program implications, and the results will be used in reviewing or developing LEAA programs as indicated in Section IV.

The agency is also developing, for internal management, an Evaluation Data Bank to contain information on the current status of selected field tests and demonstration programs. The pilot project is based on quarterly reports of standardized measures describing site activities and the accomplishment of objectives. The pilot system is based on quarterly reports from Managing Patrol Operations, Pre-Release Centers, Neighborhood Justice Centers, and Improved Correctional Field Services. Other programs may be added as standardized measures and reports are developed and become available.

f. Enhancing State and Local Utilization of Evaluation Results.

The Evaluation Knowledge Program includes provision for receipt, review and dissemination of State and local evaluation results, as well as synthesis and dissemination of knowledge produced directly by LEAA managed studies.

During FY 79 LEAA will be reviewing its various dissemination, technical assistance and training programs with a view to improving the methods used to encourage and assist the States in the utilization of evaluation results.

4. The Evaluation Program Review and Monitoring System includes two principal elements:

- a. The Evaluation Policy Working Group, with representatives of all offices that have evaluation program responsibilities, reviews the overall agency evaluation policy and programs annually in order to facilitate agency-wide coordination of evaluation plans and activities consistent with agency policy goals, to review evaluation policies and programs for the Administration, to recommend actions which will assure the continued improvement of the program, and actions needed to meet legislative requirements contingent on the agency's reorganization.
- b. The Evaluation Program Monitoring System is used by OPM to provide the LEAA Administration and office heads with continuous review of the implementation, operation, results and utilization of LEAA evaluation programs and supporting activities, to identify problems that may require corrective action, and to assure that the components of the evaluation program continue to make progress toward achievement of LEAA's evaluation policy goals.

Staff Effort (LEAA staff in person/years)

<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
2.00	4.00	2.50

5. LEAA Evaluation of State Comprehensive Plans

The Crime Control Act of 1976 requires the LEAA Administrator, prior to approval of any State plan, to evaluate the plan's likely effectiveness and impact. In FY 77 LEAA initiated the development and implementation of an improved system of criteria, standards and procedures for reviewing State plans. The system will be further refined and modified during FY 79 and FY 80 in the course of planning for the agency's reorganization.

6. The State Evaluation Plan Review and Monitoring System

OCJP's Criminal Justice Assistance Division (CJAD) reviews the evaluation component of State planning grant applications and comprehensive plans, under their responsibility for monitoring the LEAA formula programs. Other program offices review State evaluation plans and results to assist in planning their activities which support State and local evaluation. CJAD monitors the implementation of evaluation plans by the States. NILECJ receives and reviews the results of State and local evaluations conducted under their plans, and places the evaluation reports in the Evaluation Clearinghouse of the National Criminal Justice Reference Service.

7. Annual Reports of Evaluation Results

Evaluation results generated by LEAA and the States are integrated into LEAA's Annual Report to the President and the Congress. Juvenile Justice evaluation findings are similarly incorporated into the Annual Report of the Office of Juvenile Justice and Delinquency Prevention.

The results of completed State evaluations are contained in the progress report sections of comprehensive plans (or annual updates of multi-year plans), and are also reported by the States under their Section 519 reporting requirements.

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

<u>SUBPROGRAMS</u>	<u>\$</u> <u>Staff</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Evaluation Planning	Staff	2.00	2.00	2.00
Admin., Mgmt Evaluations	\$ Staff	\$ 50 .25	\$100 .10	\$100 .20
Program/Project Reviews	Staff	45.00	45.00	45.00
Evaluation Summaries (PROFILE)	Staff	2.00	2.00	2.00
Review & Monitor Evaluation Program	Staff	2.00	4.00	2.50
<hr/>				
TOTALS	\$ Staff	\$ 50 51.25	\$100 53.10	\$100 51.70
<hr/> <hr/>				

D. THE EVALUATION DEVELOPMENT ASSISTANCE PROGRAM

Primary responsibility for coordination of the Evaluation Development Assistance Program is assigned to the Office of Criminal Justice Programs (OCJP). Elements of the development assistance program are also managed by NILECJ, OOS, OCJET, NCJISS and OJJDP.

Principal elements of the program in FY 79 are evaluation technical assistance and training; the development of materials for use by State and local agencies in planning, conducting and utilizing evaluations; and curriculum development in planning, analysis and evaluation for criminal justice programs in institutions of higher education.

1. Evaluation Training Programs

a. Criminal Justice Training Centers (CJTC's) (OOS, Training Division, Richard Ulrich, Director)

During FY 78 the Training Division, OOS, completed development of evaluation training courses and transferred them for delivery through the five CJTC's at Northeastern University, the University of Wisconsin at Milwaukee, Florida State University, Washburn University, and the University of Southern California. The CJTC's provided evaluation training for 350 persons from State and local planning agencies in FY 78. An additional 1,000 persons also received some evaluation training in related courses in planning and analysis through the CJTC's in FY 78. In FY 79 and FY 80 500 personnel will participate annually in the evaluation courses and 900 will attend complementary courses in planning, analysis, program development and program management.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$695	\$700	\$700
Staff	2.00	1.50	1.20

In FY 79 and FY 80, \$600,000 is budgeted annually to support the conduct of evaluation courses, \$70,000 annually to evaluate the delivery and impact of these and complementary courses, and \$30,000 annually is budgeted to build an evaluation component into new course development.

b. Evaluation Training for Juvenile Justice (OJJDP, NIJJDP)

NIJJDP provided specialized evaluation training in FY 78 for 800 persons from juvenile delinquency prevention programs and projects. The course focused on management oriented evaluations.

The project was supported by \$178,000 and a staff effort in NIJJDP of .05 person/year.

2. Evaluation Technical Assistance Program (Office of Criminal Justice Programs, Program Development and Evaluation Staff (OCJP/PDES), Jerold Levine, Program Manager)

The Evaluation TA Program was implemented in FY 78 by OCJP/PDES in close coordination with OOS/Training Division's training program for criminal justice planning system personnel. This TA program provides technical assistance to evaluation activities of State and local criminal justice agencies with an emphasis on building capabilities and on their meaningful utilization. Technical Assistance Resource Centers (TARC's) are co-located with the five Criminal Justice Training Centers at Northeastern University, the University of Wisconsin at Milwaukee, Florida State University, Washburn University, and the University of Southern California, in order to provide for maximum coordination between these closely related assistance activities. A small program to reprint practical evaluation materials supports the TA grants. An initial allocation of \$513,000 implemented the program in FY 78. Allocations are \$360,000 in FY 79 and \$1 million projected in FY 80.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$513	\$360	\$1,000
Staff P/Y	1.50	1.50	1.50

3. An Institute Program of State and Local Assistance (NILECJ, Office of Program Evaluation. Paul Lineberry, Program Manager)

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

- (1) An LEAA Evaluation Handbook for State and Local Agencies (\$58,579).
- (2) A Handbook that will detail procedures employed in a relatively new evaluation approach based on priorities and expected utility of results. (\$78,000)

During FY 79 the results of an evaluation of NILECJ's former Model Evaluation Program will serve as the basis for planning a new initiative to assist State and local evaluation system development and institutionalization.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$228	\$ 50	\$ 50
Staff P/Y	2.45	1.50	1.50

4. The Evaluation Manpower Development Program (Office of Criminal Justice Education and Training (OCJET), Dale Beerbowe Program Manager) This subprogram encourages the inclusion of high quality evaluation courses by institutions of higher education in programs in the administration of justice. OCJE supported evaluation curriculum development for this purpose with a two-year grant of \$325,000 in FY 78.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$325	--	--
Staff P/Y	.27	.10	.10

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

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

- a. State Judicial Information System (SJIS III & IV): To assist States in the development, implementation and evaluation of a model judicial information system.
- b. Offender Based State Corrections Information System (OBSCIS III): To assist States in the development, implementation and evaluation of a model corrections information system.

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$54	\$45	\$45
Staff P/Y	.06	.06	.06

6. OJJDP's Technical Assistance Program (Tim West, Program Manager) This program provides evaluation TA through three contracts supporting Deinstitutionalization and Diversion, the Formula Grant Program, and Delinquency Prevention (\$4 million annually of which approximately seven percent involves evaluation TA to program and project level management).

Resources (\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Budget	\$280	\$280	\$280
Staff	.01	.01	.01

7. Summary of Evaluation Development Assistance Program Resource Allocations  
 (\$ is thousands; LEAA staff in person/years)

<u>SUBPROGRAMS</u>	<u>\$</u> <u>Staff</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
1. Evaluation	\$	\$695	\$700	\$700
Training (CJTCs)	Staff	2.00	1.20	1.20
2. JJDP Evaluation	\$	178	--	--
Tng for Mgmt.	Staff	.05		
3. Evaluation TA	\$	513	360	1,000
	Staff	1.50	1.50	1.50
4. State & Local	\$	228	50	50
Assistance	Staff	2.45	.15	.15
(NILECJ)				
5. Evaluation	\$	325	--	--
Curriculum	Staff	.27	.10	.10
Development				
6. NCJISS State	\$	54	45	45
Assistance	Staff	.06	.06	.06
7. OJJDP TA for	\$	280	280	280
Evaluation	Staff	.01	.01	.01
<b>TOTALS</b>	<b>\$</b>	<b>2,273</b>	<b>1,435</b>	<b>2,075</b>
	<b>Staff</b>	<b>6.34</b>	<b>3.02</b>	<b>3.02</b>

IV. EVALUATION STATUS AND PLANS IN SUPPORT OF AGENCY PROGRAM OBJECTIVES

The preceding Section III is structured in terms of the LEAA Evaluation Program and its components. This section is organized to reflect the evaluation status of LEAA's programs in the major functional areas around which the overall agency program is structured: crime prevention, law enforcement, adjudication, corrections, juvenile justice, CJ system support, and CJ human resource development.

For each functional area, and attendant program objectives, are listed evaluations of discretionary and other categorical programs and projects, evaluations of NILECJ field experiments and program tests, National Evaluation Program Phase I studies, and selected evaluative studies in NILECJ's applied research program, evaluations of State and local initiatives, CJ systems and statistics programs and projects.

The table below summarizes the approximate LEAA investment in FY 78, '79 and '80 evaluations supporting programs in each functional area, and evaluation methodology and measurement projects which focus on each. Related evaluative research projects and assessments are included.

Resources (Estimates in thousands)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80*</u>
PREVENTION	\$4,404	\$1,276	\$ ---
ENFORCEMENT	2,808	3,261	1,276
ADJUDICATION	2,152	2,648	659
CORRECTIONS	6,017	1,025	---
JUVENILE JUSTICE	6,000	1,280	5,500
CJ SYSTEM SUPPORT	\$2,822	\$2,080	2,130
HUMAN RESOURCES	\$ 628	200	200
METHODOLOGY **	\$3,126	\$3,150	\$2,150

\* FY 80 figures include only specific tasks now projected for FY 80. Because evaluation planning is not budgeted in advance by functional area, those FY 80 evaluations and other evaluative projects which are yet to be selected are not included in this table.

\*\* Methodology development estimates presented above include some projects included in other categories in the table. Projects with specific application to a particular functional area have also been included in the estimates for that category. However, the Methodology category does not include any part of the funds allocated to other fundamental research programs listed on p. 71, although those programs will make a contribution to advancing evaluation, substantively and methodologically.

A. CRIME PREVENTION PROGRAMS: To prevent crime and decrease the fear of crime through reducing opportunities and motivation for criminal behavior, and increasing public confidence in the justice system:

OBJECTIVES:

- To increase citizen and neighborhood involvement in crime prevention and criminal justice activities.
- To reduce opportunities for criminal behavior through environmental design, target hardening, or other measures.
- To prevent crimes of violence which occur between family members.
- To improve treatment of victims of crime.

DISCRETIONARY PROGRAMS

EVALUATION STATUS (\$ in thousands; FY designates year of initiation)

FY 79 - FY 80 EVALUATION PLANS

Comprehensive Urban Crime Prevention Program

Program evaluation (FY 78, \$400)  
Study of Governmental Responses to Crime (FY 78, \$923)

Completion FY 80  
Completion FY 80

Community Anti-Crime Program

Program evaluation (FY 77, \$666)

Expand scope, extend one year (FY 79, \$350). Completion FY 80.

Citizen Initiative Program

OAI program review FY 78

Monitoring

Family Violence Program

Program evaluation by NIJJD  
(FY 78, \$1,000)

Completion FY 81.

PROGRAM DEVELOPMENT

PROGRAM MODEL

PROGRAM TEST DESIGN

EVALUATION OF PROGRAM TEST

VALIDATED PROGRAM DESIGN \*

Community Response to Rape  
Commercial Security Against Burglary and Robbery

FY 77  
FY 79

FY 78  
FY 79

FY 79  
\*\*

Arson Prevention and Control

FY 79

FY 79

\*\*

Security Techniques for Small Businesses

FY 79

Victim Compensation Programs

FY 79

\* Publication of validated program design contingent upon sufficiently positive evaluation results.

\*\* To be scheduled, depending on results of evaluation of program test.

CRIME PREVENTION PROGRAMS (cont.)

<u>RESEARCH PROGRAM(EVALUATIONS)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Crime Prevention Through Environmental Design	Residential, commercial and school CPTED project evaluations completed in FY 78 (FY 75 - 78, \$1,000)	Hartford Project Reevaluation (FY 79, \$150)
Mass Communication Strategy for Generating Citizen Action Against Crime	Research and evaluation related to national media campaign (FY 78, \$447)	Completion FY 80
National Survey on Crime Prevention	To study public's knowledge and perceptions of their role in preventing crime and impact on their behavior.	FY 79, \$200

NATIONAL EVALUATION PROGRAM PHASE I STUDIES

Early Warning Robbery Reduction Projects (FY 75, \$99)  
Citizen Crime Reporting (FY 75, \$101)  
Citizen Patrol Projects (FY 75, \$108)  
Security Survey: Community Crime Prevention Programs (FY 75, \$99)  
Operation Identification Projects (FY 75, \$96)  
Street Lighting Projects (FY 76, \$130)  
Victim/Witness Assistance Projects (FY 77, \$250); completion FY 79.  
Shoplifting and Employee Theft Programs (FY 78, \$250); completion FY 80.

OTHER EVALUATIONS

Industrial Security Program in Chicago (FY 78, \$250); completion FY 80.  
Quad Cities 911 Project (FY 78, \$88); completion FY 79.  
Dial 911 Systems Assessment (FY 78, \$75); completion FY 79.  
Stop Rape Crisis Center (FY 78 Exemplary Project, Baton Rouge, La.); completion FY 79.  
Model Procurement Code: Evaluation of Implementation (FY 78, \$35; FY 80, \$100 projected); completion FY 81.

B. ENFORCEMENT PROGRAMS: To improve capabilities to deter, detect and apprehend offenders.

OBJECTIVES:

- o To improve capabilities to detect, apprehend, and contribute to the subsequent conviction of offenders.
- o To control organized crime.
- o To control economic crimes through increased cooperation of business and government.
- o To improve capabilities to prevent, deter and control acts of terrorism.
- o To improve law enforcement organization and management, including training, recruitment, equipment standards, planning and policy making.
- o To develop, test, evaluate and transfer prototype communications and information systems for use in law enforcement.

DISCRETIONARY PROGRAMS

EVALUATION STATUS (\$ in thousands;  
FY designates year of initiation)

FY 79 - FY 80 EVALUATION PLANS

Property Crime Program  
(Anti-Fencing; STING)

Phase I (street criminals)  
(FY 78, \$250)

Phase II (fences)(FY 80, \$400)  
OAI program review FY 79.

Integrated Criminal  
Apprehension Program

Program evaluation (FY 78, \$400).  
5% of each grant earmarked for  
evaluation data generation and  
analysis. TA support for project  
level evaluations by grantees.  
(Project eval. FY 78 - \$300)

Impact phase of program evaluation  
possible FY 80 or FY 81. Project  
earmark of 5% and TA support for  
evaluation continues FY 79 & FY 80.  
(Project eval. FY 79 - \$350;  
FY 80 - \$350)

Rural Law Enforcement  
Program

Documentation of program models  
initiated through TA contractor  
in FY 78 (\$75)

DF program discontinued. Complete  
documentation of program models  
and performance FY 79.

Organized Crime Program

Selected project eval. FY 78 - \$30.

Selected project eval. FY 79 - \$90;  
FY 80 - \$90.

White Collar Crime Program

Project level eval. FY 78 - \$48.

Program evaluation (FY 79, \$200);  
Project level FY 79 - \$50; FY 80 - \$50.  
Monitoring

Counterterrorism Program

OCJP program review in FY 78

Monitoring

International Activities

Project reviews in FY 78

Police Management Training

Monitoring; assessment by trainees.

Monitoring; assessment by trainees.

ENFORCEMENT PROGRAMS (cont.)

<u>PROGRAM DEVELOPMENT</u>	<u>PROGRAM MODEL</u>	<u>PROGRAM TEST DESIGN</u>	<u>EVALUATION OF PROGRAM TEST</u>	<u>VALIDATED PROGRAM DESIGN *</u>
Managing Criminal Investigations		FY 76	FY 77	FY 79
Managing Patrol Operations		FY 78	FY 78	FY 80
Team Policing	FY 79			
Managing a Criminal Warrant Service System	FY 79	* Publication of validated program design contingent upon sufficiently positive evaluation results.		
Prevention, Detection and Correction of Corruption in Local Government	FY 79			
Consolidation of Small Law Enforcement Agencies	FY 79			

RESEARCH PROGRAM(EVALUATIONS)EVALUATION STATUSFY 79 - FY 80 EVALUATION PLANS

Implementation and Evaluation of Prototype Rules and Procedures for Police Discipline (FY 76, \$390)	Continuing	Completion FY 79
Managing the Police Demand (Wilmington Split-Force Evaluation)(FY 77, \$400)	Continuing	Completion FY 79
National Project to Develop Police Performance Measures (FY 76, \$426)	Continuing	Completion FY 79
Alternative Response Strategies (FY 78, \$305)	Continuing	Completion FY 79

ENFORCEMENT PROGRAMS (cont.)

<u>RESEARCH PROGRAM(EVALUATIONS)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Police Narcotics Control Patterns and Strategies (FY 76, \$254)	Continuing	Completion FY 79
Preventive Patrol	To replicate Kansas City Preventive Patrol Experiment	Initiate FY 79 (\$450). Completion FY 81.

NATIONAL EVALUATION PROGRAM PHASE I STUDIES

Specialized Patrol Operations (FY 75, \$103)  
Traditional Preventive Patrol (FY 75, \$100)  
Team Policing Projects (FY 75, \$96)  
Patrol Support Systems: Crime Analysis Units (FY 75, \$95)  
Policing Urban Mass Transit Systems (FY 76, \$99)  
Police Training Programs (FY 77, \$250); completion FY 79.  
Police Command and Control Programs (FY 78, \$250); completion FY 80.

OTHER EVALUATIONS AND EVALUATION METHODS RESEARCH

Stochastic Modeling and the Analysis of Crime (Phase II)(FY 78, \$183) Completion FY 80.  
Automatic Vehicle Monitoring System Evaluation (Phase II)(FY 76, \$150) Completion FY 78.  
Performance Measurement Theory and the CJ System: Police (FY 78, \$202; FY 79, \$125) Completion FY 80.  
State Level Latent Fingerprint Identification System Evaluation (FY 78, \$20) Completion FY 79.  
Computer Related Crime (FY 78, \$125) Completion FY 79.  
Public Assistance Fraud (FY 78, \$125) Completion FY 79.  
Standardized Crime Reporting System (Phase III) Assessment (FY 79, \$100) Completion FY 80.  
Deterrence Measurement Studies (FY 79, \$1,350; FY 80, \$350) Studies to be selected.  
Concealed Cameras Project(FY 78 Exemplary Project, Seattle, WA) Completion FY 79.  
Connecticut Economic Crime Program (FY 78 Exemplary Project) Completion FY 79.

C. ADJUDICATION PROGRAMS: To improve the timely, effective and equitable disposition of criminal cases.

- OBJECTIVES:
- o To reduce case backlogs in criminal courts and decrease the time from arrest to disposition.
  - o To increase the rate of successful prosecutions of serious and habitual offenders.
  - o To better assure due process for defendants through improved defense, improved pretrial procedures, and more equitable and appropriate post-conviction dispositions.
  - o To improve court organization and management, including training, recruitment, equipment standards, planning and policy making.
  - o To improve services for witnesses.
  - o To develop, test, evaluate and transfer prototype information systems for use by prosecutors, public defenders and courts.

<u>DISCRETIONARY PROGRAMS</u>	<u>EVALUATION STATUS (\$ in thousands; FY designates year of initiation)</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Court Delay Reduction Program	Program evaluation (FY 78, \$357)	Completion FY 80
Jail Overcrowding and Pretrial Detainee Program	Project level evaluation planned for FY 79.	Project cluster evaluation (FY 79 - \$150); completion FY 80. Program level evaluation FY 80 (\$200). Completion FY 79
Career Criminal Program (Prosecutors)	Program evaluation (FY 76, \$385; FY 78 suppl., \$25)	Completion FY 79
Fundamental Court Improvement Program	Court Unification projects require project evaluations.(FY 78 - \$100). OAI program review FY 78.	Candidate for program evaluation in FY 80.
Integrated Police/Prosecution Witness Assistance Program	Program evaluation (FY 78 via NEP Phase I modification. See below)	Completion FY 80.
Prosecutorial/Courts Information Systems	Program evaluation of PROMIS (FY 78 via NEP Phase I, see below). NCJISS assessments of PROMIS and SJIS.	PROMIS NEP completion FY 80. SJIS project eval.(FY 79 - \$22.5; FY 80 - \$22.5).
Courts Training and TA	Training evaluation (FY 78, \$350, "cluster"); completion FY 79.	TA evaluation (FY 79, \$250,"cluster"); completion FY 80.
Presentence Investigation	New FY 79 program planned in FY 78	To be determined.

ADJUDICATION PROGRAMS (cont.)

<u>PROGRAM DEVELOPMENT</u>	<u>PROGRAM MODEL</u>	<u>PROGRAM TEST DESIGN</u>	<u>EVALUATION OF PROGRAM TEST</u>	<u>VALIDATED PROGRAM DESIGN *</u>
Prosecutor Career Criminal Programs		FY 76	FY 76	FY 79
Neighborhood Justice Centers		FY 77	FY 78	FY 80
Sentencing Guidelines		FY 78	FY 79	**
Presentence Report Handbook	FY 78			
Guide to Establishing a Defender System	FY 78			
Structured Plea Bargaining		FY 79	FY 79	**
Juror Usage and Management	FY 79			
Court Management: Personnel	FY 79			
Records	FY 79			
Fiscal	FY 79			

\* Publication of validated program design contingent upon sufficiently positive evaluation results.

\*\* To be scheduled, depending on results of evaluation of program test.

<u>RESEARCH PROGRAM(EVALUATIONS)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Impact of Sentencing Guidelines on Court Discretion	FY 76, \$273; FY 78 suppl., \$81. Special attention to effects on plea bargaining, delay, and number of jury trials.	Completion FY 80
Pretrial Settlement in Criminal Cases	FY 76, \$315. To test feasibility and effectiveness of negotiations by principals with judge presiding.	Completion FY 79
Analysis of State Speedy Trial Provisions	FY 77, \$255. Analysis and comparison of various State provisions' effectiveness and reasons.	Completion FY 79
Alternative Designs for Defense and Prosecution	To contrast effects of statewide, regional and local provision of defense and prosecution services.	FY 79, \$300; completion FY 81

ADJUDICATION PROGRAMS (cont.)

<u>RESEARCH PROGRAM (cont.)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Empirical Consequences of Court Unification	To examine effects of court unification projects in such areas as budgeting and planning, and trial court consolidation and rulemaking.	FY 79, \$350; completion FY 82
Alternative Procedures for Family Violence Cases	To assess a range of existing procedures and to develop alternative approaches most responsive to needs.	FY 79, \$200; completion FY 81

NATIONAL EVALUATION PROGRAM PHASE I & II STUDIES

Phase I Studies

Pretrial Screening Projects (FY 75, \$109)  
Pretrial Release Programs (FY 75, \$86)  
Court Information Systems (FY 76, \$109)  
Prosecutors Management Information Systems (PROMIS) (FY 78, \$250); completion FY 80.  
Victim/Witness Assistance Programs (FY 78, \$250); completion FY 80.

Phase II Study

Pretrial Screening Projects Intensive Evaluation (FY 76, \$599); completion FY 79.

OTHER EVALUATIONS

Evaluation of the Elimination of Plea Bargaining in Alaska (FY 76, \$385). Completion FY 79.  
Evaluation of New York City Court Employment Program (FY 76, '77; \$620). Completion FY 79.  
Evaluation of Massachusetts Gun Law (FY 76, \$298). Completion FY 79.  
Evaluation of Michigan Firearms Statute (FY 77, \$168). Completion FY 80.  
Performance Measurement Theory and the CJ System: Courts (FY 78, \$200; FY 79 \$125) Completions FY 80, '81.  
Community Arbitration Project (FY 78 Exemplary Project, Anne Arundel Cty., Md.); completion FY 79.  
State Judicial Information System - Phase IV: Cost Benefit Study (FY 78, \$9); completion FY 79.  
Evaluation of National Courts Statistics (FY 79, \$25); completion FY 80.

D. CORRECTIONS PROGRAMS: To increase the humane and effective control and supervision of offenders and to maximize their individual potential for successful reintegration into society.

- OBJECTIVES:
- o To reduce overcrowding and improve physical environments of State and local correctional facilities.
  - o To improve and better assure the availability of basic inmate services, such as legal services and health care.
  - o To increase the availability and effectiveness of rehabilitation and treatment programs, including those for offenders with special needs, such as drug abusers and alcoholics.
  - o To increase the adoption, implementation and enforcement of correctional standards by States.
  - o To increase the effectiveness of control and supervision of offenders and their successful reintegration into the community through noninstitutional means, such as probation and parole, half-way houses, and related support services.
  - o To improve corrections management, including employee recruitment and training, planning, and policy making.
  - o To develop, test, evaluate and transfer prototype correctional information systems.

<u>DISCRETIONARY PROGRAMS</u>	<u>EVALUATION STATUS (\$ in thousands; FY designates year of initiation)</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Correctional Facilities Standards Implementation	OAI program review in FY 78	Monitoring
Correctional Program Standards Implementation	Supporting research contract (FY 78, \$340) includes evaluation in implementation and accreditation process.	Continuation
Legal Services	Project level evaluations	Continuation
Prison Industries	Cluster evaluation of projects (FY 78, \$100).	Completion FY 79.
Improved Correctional Field Services	Program evaluation (FY 78, \$425) (DF projects serve as sites for NILECJ program test.)	Completion FY 80
Community Service Restitution (Adult) (Previously Adult Restitution)	Evaluative research (FY 78, \$559) Phase 2. NEP Phase I FY 78.	Completion FY 80 Completion FY 80. Project cluster eval. FY 79 (\$150); completion FY 80.

CORRECTIONS PROGRAMS (Cont.)

DISCRETIONARY PROGRAMS (cont.) EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

Treatment Alternatives to Street Crime (TASC)	Program evaluation (NEP Phase II, FY 76, \$444). FY 78 and future projects require project level evaluation. (FY 78 - \$255)	Process evaluation completion FY 79. NIDA impact evaluation continuing. Project eval. FY 79 - \$165.
Treatment and Rehabilitation of Addicted Prisoners (TRAP)	Program evaluation (FY 78, \$250).	Completion FY 81

General Corrections TA	Monitoring	Monitoring
------------------------	------------	------------

<u>PROGRAM DEVELOPMENT</u>	<u>PROGRAM MODEL</u>	<u>PROGRAM TEST DESIGN</u>	<u>EVALUATION OF PROGRAM TEST</u>	<u>VALIDATED PROGRAM DESIGN *</u>
----------------------------	----------------------	----------------------------	-----------------------------------	-----------------------------------

Improved Correctional Field Services		FY 78	FY 78	FY 81
--------------------------------------	--	-------	-------	-------

Special Programs in Probation and Parole	FY 79			
--	-------	--	--	--

Employment Services for Ex-Offenders	FY 79			
--------------------------------------	-------	--	--	--

Regionalization and Consolidation of Community Correctional Services	FY 79			
--	-------	--	--	--

Community Corrections Centers	FY 79			
-------------------------------	-------	--	--	--

Correctional Programs for Women Offenders	FY 79			
---	-------	--	--	--

---

\* Publication of validated program design contingent upon sufficiently positive evaluation results.

---

CORRECTIONS PROGRAMS (cont.)

<u>RESEARCH PROGRAM(EVALUATIONS)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
National Evaluation of Adult Restitution Programs	Phase I complete. Phase II (FY 78, \$559) to follow up on 4 of 6 sites. DF projects included. (FY 76, \$367)	Completion FY 80
Assessment of Prison Industries	FY 78, \$99. To assess "Free Venture" prison industry program effects on inmates and prisons in Minnesota.	Completion FY 80
Strategies for Determinate Sentencing	FY 78, \$600. To assess impact of fixed sentences on courts and corrections policies, practice and administration; on inmate populations and program needs; and on subsequent criminal behavior.	Completion FY 80
Survey of CJ Evaluation Studies	FY 77, \$298. Synthesis of large body of evaluations of corrections programs.	Further analysis of data base FY 79, \$200. Completion FY 80.
Assessing the Impact of Determinate Sentencing and Parole Abolition in Maine	FY 78, \$237.	Completion FY 79
Alternative Recidivism Measures	To develop a standard measure of recidivism for correctional evaluations. FY 77, \$225.	Completion FY 79

CORRECTIONS PROGRAMS (cont.)

NATIONAL EVALUATION PROGRAM PHASE I & II STUDIES

Phase I Studies

Treatment Alternatives to Street Crime (TASC)(FY 75, \$86)  
Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders (FY 76, \$156)  
Institutional Furlough Programs (FY 76, \$97)  
Intensive Special Probation (FY 76, \$96)  
Institutional Education Programs for Inmates (FY 76, \$107)  
Coeducational Correctional Institutions (FY 77, \$140); completion FY 79.  
Correctional Personnel Training Programs (FY 78, \$250); completion FY 80.  
Community Service Restitution Programs (FY 78, \$250); completion FY 80.

Phase II Studies

Intensive Evaluation of Treatment Alternatives to Street Crime (TASC)(FY 76, \$444) Process evaluation completion FY 79; impact evaluation by NIDA continuing.  
Intensive Evaluation of Probation (FY 78, \$1,000); completion FY 81.

OTHER EVALUATIONS

Evaluation of the Development of Correctional Outcome Measures (FY 78, \$240). Completion FY 80.  
The Impact of Decriminalization of the Intake Process for Public Inebriates (FY 75, \$270). Completed.  
Empirical Investigation of Short and Long Run Cost Functions Characterizing Criminal Correctional Institutions: Conventional and Frontier Analysis Techniques (FY 78, \$97). Completion FY 80.  
Ecological Approach to Environmental Evaluation of Residential Treatment Homes (FY 78, \$92). Completion FY 79.  
Study of the Potential for Offender Rehabilitation (FY 78, \$246). Completion FY 80.  
Performance Measurement Theory and the CJ System: Corrections (FY 78, \$200; FY 79 \$125). Completion FY 80.  
Jail Accounting Microcomputer System (JAMS)(FY 79, \$60). Completion FY 79.  
Offender Based State Correctional Information Systems (OBSCIS). NCJIS assessments.  
Community Based Corrections (FY 75, \$492). Completed FY 78.

E. JUVENILE JUSTICE PROGRAMS: To prevent and reduce juvenile delinquency and to improve the quality of juvenile justice in the United States.

- OBJECTIVES:
- o To prevent delinquency by increasing normal socialization opportunities for youth and expanded services for youth and their families.
  - o To assure that the rights of youth are protected and that due process safeguards are adhered to in the handling of youths in programs inside and outside the justice system.
  - o To improve services, through advocacy programs, for youth affected by the justice system and alternatives to justice system processing.
  - o To reduce the placement of juvenile status offenders and dependent and neglected youths in detention centers, jails and correctional facilities.
  - o To reduce the commingling of adults and delinquent youth in detention and correctional facilities.
  - o To increase the diversion of juveniles from the traditional juvenile justice system through such means as police and court diversion projects, restitution and other means.
  - o To reduce school crime and vandalism.
  - o To provide leadership to and coordination of all Federal juvenile delinquency activities.
  - o To develop, encourage the adoption and implementation of, evaluate, and refine standards for the administration of juvenile justice at Federal, State and local levels.
  - o To increase knowledge of the causes and correlates of delinquency and the effectiveness of prevention, intervention and treatment approaches.
  - o To disseminate knowledge and improve the skills of persons who work with juveniles.
  - o To develop, test, evaluate and transfer prototype juvenile justice information systems.

-64-

<u>SPECIAL EMPHASIS PROGRAMS</u>	<u>EVALUATION STATUS (\$ in thousands; FY designates year of initiation)</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Delinquency Prevention Through Youth Serving Agencies	National evaluation initiated FY 76.	Initial phase completed; evaluation through life of program. Periodic reports, project and program.
Deinstitutionalization of Status Offenders	National evaluation initiated FY 76.	Initial phase completed; evaluation through life of program. Periodic reports, project and program.

JUVENILE JUSTICE PROGRAMS (cont.)

<u>SPECIAL EMPHASIS PROGRAMS</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Diversion of Juvenile Offenders from the Criminal Justice System	National evaluation initiated FY 76.	Initial phase completed; evaluation through life of program. Periodic project and program reports.
Juvenile Restitution to Victims	National evaluation initiated FY 76.	Initial phase completed; evaluation through life of program. Periodic project and program reports.
Reduction of School Crime	National evaluation initiated FY 76.	Initial phase completed; evaluation through life of program. Periodic reports.
Youth Advocacy Programs	National evaluation initiated FY 78.	Continuing; evaluation through life of program. Periodic reports.
Delinquency Prevention Through Alternative Education	Under development	National evaluation design to be completed in FY 79, initiated FY 80.  OAI review of Juvenile Justice Prevention Program FY 79.

RESEARCH (EVALUATIVE) FY 79 PROJECTS

Delinquency Prevention

Learning Disabilities  
An Inquiry into the State of Youth in California  
Choice of Delinquent Careers among Puerto Rican Dropouts  
Teenagers' Attitudes Toward Rape

Causes and Correlates of Juvenile Delinquency

R&D Project for Sexually Abused and Exploited Children  
Youth Gang Violence  
Delinquency in a Birth Cohort  
Assessing the Relationship of Adult Criminal Careers to Juvenile Careers

JUVENILE JUSTICE PROGRAMS (cont.)

RESEARCH (cont.)

Juvenile Justice System

Survey of Children's Residential Institutions and Alternatives  
Limits to Heterogeneity  
Assessment of Waiver Procedures and Results  
Problems of Secure Care in a Community Based Correctional System  
Assessment of Non-Judicial Duties of Juvenile Courts  
Assessment of Interstate Placements

Alternatives to the Juvenile Justice System

Community Agencies' Response to Delinquent Youth  
Children's Hearings in Scotland

NATIONAL EVALUATION PROGRAM PHASE I STUDIES

Prevention of Juvenile Delinquency (FY 75, \$143)  
Alternatives to Juvenile Incarceration (FY 75, \$158)  
Juvenile Diversion (FY 75, \$153)  
Youth Service Bureaus (FY 75, \$246)  
Detention of Juveniles and Alternatives to Its Use (FY 75, \$157)  
Police Juvenile Units (FY 77, \$161) Completion FY 79

SPECIAL EVALUATIONS IN JUVENILE JUSTICE

Assessment of Implementation of New State Legislation on the Deinstitutionalization of Status  
Offenders in California (FY 78, \$500)  
Assessment of Implementation of New State Legislation on the Deinstitutionalization of Status  
Offenders in Washington and Maine (FY 79, \$350)  
Evaluation of OCJP Family Violence Program (DF) (FY 78, \$1,000)  
Deinstitutionalizing Chronic Juvenile Offenders: UDIS in Chicago (FY 78, \$110). Completion FY 79.  
Evaluation of Philadelphia Youth Services Center - Phase Three (FY 76, \$264). Completion FY 79.

F. CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS: To improve law enforcement and criminal and juvenile justice through formula grants and technical assistance to States and local governments to enhance their efforts to deal with the crime problems in their jurisdictions.

- OBJECTIVES:
- o To assist States and units of local government to develop, adopt, and manage comprehensive plans for the improvement of law enforcement and criminal justice.
  - o To assist States and units of local government, through the provision of formula funds, to implement projects and programs set forth in State plans.
  - o To monitor and assess the effectiveness and impact of the implementation of approved State plans and the compliance of those plans with statutory requirements.
  - o To provide technical assistance to criminal justice agencies to respond to needs that can best be met through national resources.
  - o To increase the capability of State and local governments to plan for, manage, and evaluate criminal justice programs and services, including the delivery of technical assistance.
  - o To increase the extent to which States and major units of general local government initiate, sustain, and effectively carry out criminal justice system analytic and support activities (such as planning) necessary to strengthen intergovernmental and interfunctional coordination, and to improve criminal justice policy and resource allocation decisions.
  - o To assist States and local governments in their efforts to prevent and reduce delinquency and improve the system of juvenile justice through direct financial (formula grant) and technical assistance.

LEAA BLOCK & JJ FORMULA GRANT  
PLANNING AND IMPLEMENTATION

EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

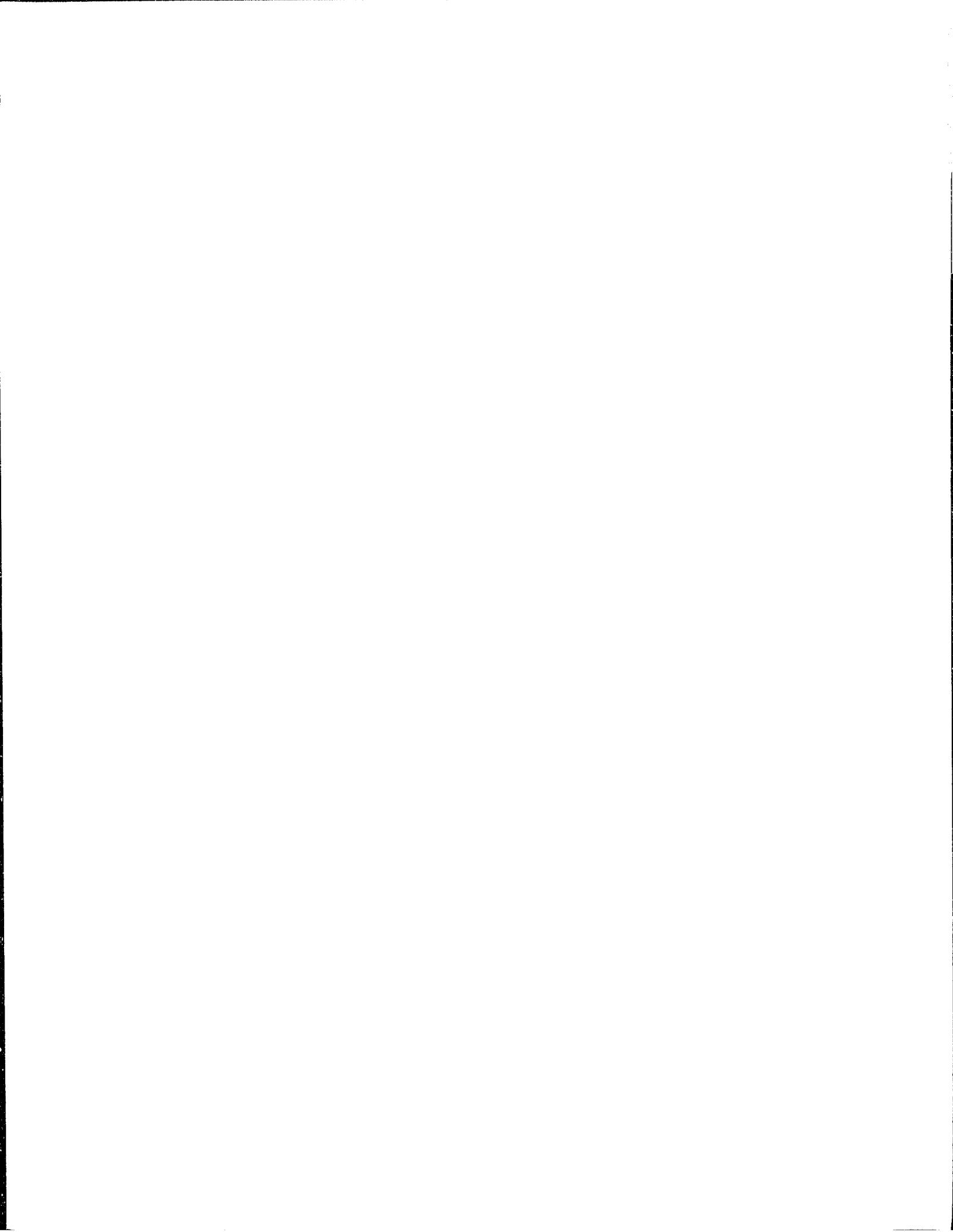
Planning Grant Review  
and Award

CJAD reviews evaluation plan to assure (1) plans included to evaluate some priority programs; (2) use of prior evaluations is indicated. NILECJ survey of State evaluation funding was done for FY 76 & FY 77 plans.

Continuation. In FY 79 OPM & OCJP plan to compile State evaluation plans and funding information.

CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS (cont.)

<u>BLOCK &amp; FORMULA GRANTS (cont.)</u>	<u>EVALUATION STATUS</u>	<u>FY 79 - FY 80 EVALUATION PLANS</u>
Comprehensive Plan Review	CJAD review of evaluation plans. ADMIN evaluates likely effectiveness of plan.	Continuation
Comprehensive Plan Implementation	Monitoring. State and local evaluations furnished to NILECJ for NCJRS Evaluation Clearinghouse.	CJAD to monitor evaluation TA delivery and utility. Four OAI national reviews in FY 79: Mini-Block Program, Audit of SPA's, SPA Property Management, and Program Evaluations by SPA's.
JJ Formula Plan Review	OJJDP reviews plan compliance with evaluation requirements.	Continuation
JJ Formula Plan Implementation	Monitoring. State and local evaluations furnished to OJJDP to satisfy continuation requirement. OAI review of JJ special requirements FY 78.	Continuation
<u>DISCRETIONARY PROGRAMS, TA &amp; TRAINING SUPPORT</u>		
Institutionalization of Criminal Justice Planning	NAPA development of resource materials partially evaluative.	Monitoring only
Development of Statewide Program Priorities	Activities supported include use of and provision for evaluative information.	Monitoring only
Building State TA Capability (Operational Agency TA)		Assess model TA delivery strategies. OAI review of TA provided by SPA's FY 79.
TA in Support of JJ Programs	Approximately 7% of \$4 million annual TA supports JJ Special Emphasis Program evaluations by States/grantees.	Continuation



**CONTINUED**

**1 OF 2**

CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS (cont.)

DISCRETIONARY PROGRAMS,  
TA & TRAINING SUPPORT(cont.)

EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

Evaluation TA Program:	Initiated FY 78 (\$513) through 5 TA Resource Centers, co-located with CJ Training Centers.	Continuation (FY 79, \$360; FY 80, \$1,000). Evaluation of program deferred to FY 80.
Development and Delivery of Training in Planning, Analysis, Management, Evaluation and Program Development	Evaluation training course finalized, transferred to CJTCs, and initiated FY 78. Evaluation 10% of development cost, 5% of delivery cost. (FY 78 - \$695)	Continuation of evaluation training; evaluation of training course impact, FY 79, \$600 training, \$30 development eval., \$70 impact eval.; same FY 80.

MODEL PROGRAM DEVELOPMENT

PROGRAM TEST DESIGN

EVALUATION OF PROGRAM TEST

VALIDATED PROGRAM DESIGN \*

Local Criminal Justice Planning

FY 77

FY 78

FY 79

\* Contingent upon positive evaluation results.

RESEARCH PROGRAM (EVALUATIONS)

EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

Institutionalization Research	Partially evaluative in nature. (FY 78, \$185)	Continuation; completion FY 80.
Analysis of Interorganization- al Networks in the Delivery of Criminal and Juvenile Justice Services	Methodology development study (FY 78, \$117)	Completion FY 80
Crime Indicators Developmen- tal Program (Los Angeles RPU)	Contributes to planning and evaluation methods.	Completion FY 79
New Jersey SPA Evaluation System Project	Computerized evaluation infor- mation system development (FY 78, \$107)	FY 79 continuation will focus on utilization of evaluative information produced by the system. (FY 79 - \$100)

CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS (cont.)

RESEARCH PROGRAM(cont.)

EVALUATION STATUS

FY 79--FY 80 EVALUATION PLANS

Performance Measurement and  
the Criminal Justice System:  
Systems Level Perspective

Development of research agenda  
for performance measurement at  
the systems level (FY 78, \$325).  
Planning and coordination for  
CJ system measurement in police,  
courts, prosecution and defense,  
and adult corrections.

Completion FY 80

Knowledge Utilization in  
Criminal Justice

To develop a fuller understanding  
of the knowledge utilization  
process in criminal justice and  
to improve NILECJ strategies  
for promoting the transformation  
of new knowledge into widespread  
practice and policy.

Initiate in FY 79 (\$350), 24 mos.  
Second and third phase projects  
of 18 mos. each planned to follow.

State and Local Evaluation  
Assistance

FY 78, \$228; to develop technical  
materials to assist State and  
local evaluation: Evaluation  
Handbook; MAUT Handbook (Multi-  
Attribute Utility Theory)

FY 79, \$50; FY 80, \$50.

SYSTEMS AND STATISTICS

EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

Study of National Criminal  
Justice Administrative  
Statistics

FY 78, \$282.

Completion FY 79

Comprehensive Data System

Cost benefit study completed  
FY 76. NCJISS staff applies  
evaluation design, developed by  
contractors, in monitoring.  
OAI program review FY 78-79.

SAC program level evaluation  
FY 79 (\$200).

Privacy and Security

NCJISS assessment of State  
implementation of privacy and  
security regulations of LEAA.  
FY 78.

OAI review of State implementation  
of LEAA privacy and security  
regulations FY 79.

State Management Info Systems

OPM review FY 78

OAI review FY 79

CRIMINAL JUSTICE SYSTEM SUPPORT PROGRAMS (cont.)

OTHER EVALUATIONS (Includes evaluations of major discontinued discretionary programs)

High Impact Anti-Crime Program (FY 72, \$2,000; \$442 supplements), completed FY 76.  
Pilot Cities Program (FY 74, \$309), completed FY 75.  
Standards and Goals Program (FY 76, \$525; FY 77, \$35 supplement), completion FY 79.  
Model Evaluation Program (FY 77, \$77), completion FY 79.

G. HUMAN RESOURCES DEVELOPMENT PROGRAMS: To identify and help address the human resource needs of State and local criminal justice agencies.

- OBJECTIVES:
- o To gather and analyze information and develop policy regarding criminal justice human resource and training needs.
  - o To improve curricula for criminal justice education.
  - o To assist criminal justice systems in meeting their personnel needs through the management of national level human resource development programs (such as LEEP, Internships, and Graduate Fellowships).

CATEGORICAL PROGRAMS

EVALUATION STATUS

FY 79 - FY 80 EVALUATION PLANS

Law Enforcement Education Program (LEEP)

LEEP Assessment: Phase II (FY 78, \$100) developed LEEP Assessment Program. Phase III implemented program FY 78: Minimum Standards in CJ Education (FY 78-\$173).

Phase III continuation: Minimum Standards in CJ Education - FY 79, \$200; FY 80, \$200. Plan for utilization of assessments to be developed FY 79. OAI review of validation of LEEP assessments FY 79.

Educational Development Program

Curriculum development projects include provision for evaluation of curricula. Includes project to develop model curriculum in CJ planning, analysis, research and evaluation (FY 78, \$325).

Continuation. Completion of evaluation curriculum in FY 80.

Manpower Planning

Manpower Survey of CJ system needs completed in FY 78.

Analysis of results for policy and program needs.

MODEL PROGRAM DEVELOPMENT

H. FUNDAMENTAL RESEARCH PROGRAMS: To increase fundamental knowledge about crime, causes of crime, and the administration of justice.

OBJECTIVES:   o To improve criminal justice research and evaluation methodologies.                   o To increase knowledge of the causes and correlates of criminal behavior.

RESEARCH AND EVALUATION METHODS DEVELOPMENT (Methods studies with specific application to the various functional components of the CJ system are listed in the preceding categories. All methodology studies are listed on pp. 30-32, except National Evaluation Program Manual of Evaluation Standards.

Methods Research. Sixteen ongoing projects, additional selections annually. FY 78, \$1,853; FY 79, \$650; FY 80, \$650.

General Deterrence Measurement. Program developed in FY 78 on the basis of National Academy of Sciences assessment of deterrence measurement needs. Ten projects under consideration from FY 78 solicitation. Additional selections annually. FY 79, \$1,350; FY 80, \$350.

Incapacitation and Criminal Career Research. Program planned in FY 78 for FY 79 initiation. FY 79, \$650; FY 80, \$650.

Performance Measurement System Development. Five interrelated projects initiated in FY 78 (\$1,232). Complementary projects to be selected in FY 79 (\$500) and FY 80 (\$500).

NEP Program Manual of Evaluation Standards. Selected evaluation design models from NEP Phase I products. FY 78, \$41.

CORRELATES AND DETERMINANTS OF CRIME. Basic research program. Will develop measures, correlations and hypotheses useful to evaluations.

RESEARCH AGREEMENTS PROGRAMS. Exploratory research programs focusing on selected topic areas:

Reactions to Crime (Northwestern University). Results useful to Community Anti-Crime Program and Comprehensive Urban Crime Prevention Program evaluations and to program managers.

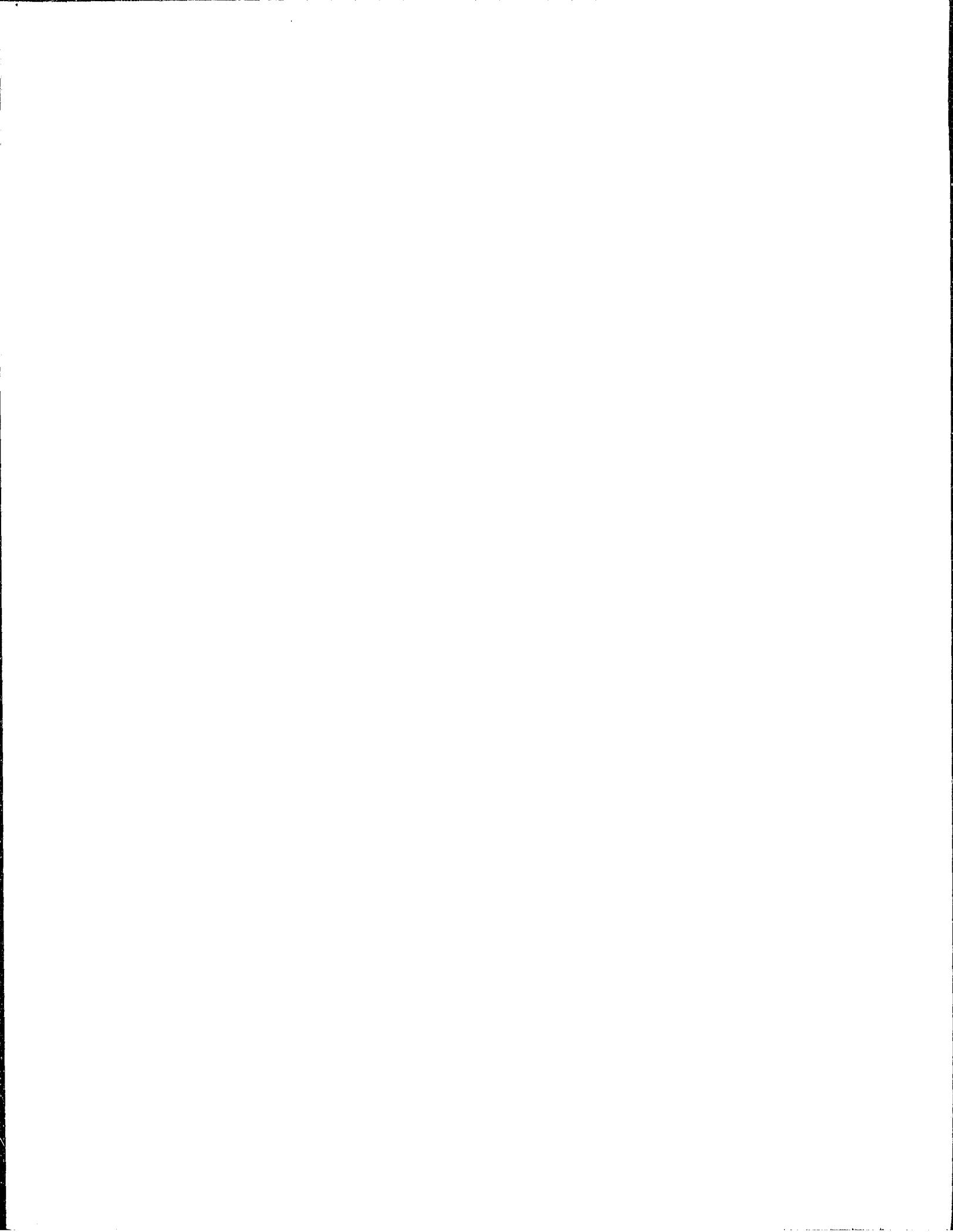
Career Criminal (RAND). Results useful to Career Criminal Program evaluation and program management.

White Collar Crime (Yale University). Results useful to White Collar Crime evaluation and program.

Econometric Studies of Crime (Hoover Institute). Complements Research and Evaluation Methods Program.

Employment and Crime (Vera Institute). Types of employment effective in curbing crime.

PROGRAM NEEDS FOR EQUIPMENT AND STANDARDS. Technological needs assessment; development of standards for selected law enforcement equipment; test and evaluation of new equipment and CJ applications; development of forensic science techniques; assessment of forensic lab performance.



V. SUMMARY

This Two-Year LEAA Evaluation Plan provides for: (1) an accelerated Knowledge Program to learn more about effective ways to reduce crime and improve the performance of the criminal justice system, and to disseminate that information to the criminal justice community; (2) the further development of an effective Management Program, to plan for and use evaluative information in the development and direction of LEAA programs at all levels; and (3) implementation of a Development Program to encourage and assist State and local criminal justice planning and operating agencies in the development, use, and institutionalization of evaluation capabilities.

A. SUMMARY OF RESOURCES

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

Budget Summary: LEAA Evaluation Program, FY 78, FY 79 and FY 80  
(\$ in thousands; LEAA staff in person/years)

	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
Knowledge:			
Budget	\$23,598	\$13,290	\$17,043
Staff	26.66	26.20	26.51
Management:			
Budget	50	100	100
Staff	51.25	53.10	51.70
Development:			
Budget	2,273	1,435	2,075
Staff	6.34	3.32	3.02
TOTALS: Budget	25,921	14,825	19,218
Staff	84.25	82.62	81.23

B. EVALUATION PROGRAM RESPONSIBILITIES OF LEAA OFFICES AND DIVISIONS

This section identifies lead and support responsibilities of LEAA offices and their divisions for the agency's evaluation programs and subprograms.

<u>PROGRAM COMPONENT</u>	<u>LEAD RESPONSIBILITY</u>	<u>SUPPORT RESPONSIBILITY</u>
<u>Knowledge Program</u>	NILECJ, OJJDP	OCJP, OCACP, NCJISS
National Evaluation Program	NILECJ/ OPE	OCJP, OCACP, NCJISS, OJJDP
Evaluations of Program Tests	NILECJ/ OPE	OCJP, OCACP, NCJISS
Validation of program models	NILECJ/ ODTD	
Evaluations of DF programs	NILECJ/ OPE	OCJP, OCACP, NCJISS
Special opportunity Evaluations	NILECJ/ OPE	NILECJ/OREM, ORP
Evaluations of JJDP Initiatives	OJJDP/ NIJJDP	
JJDP Assessment Program	OJJDP /NIJJDP	
Evaluation of DF Projects	OCJP/ PDES	NILECJ, OCJP Program Divisions
Evaluation Methodology		
Development	NILECJ/ OREM	
Annual Synthesis	NILECJ/ ODTD	NILECJ/OPE, NIJJDP
Evaluation Clearinghouse	NILECJ/ OPE	All Knowledge and Program Offices
Annual JJDP Evaluation Report	OJJDP	
<u>Management Program</u>	OPM	All Knowledge and Program Offices; OC, OAI
Evaluation Planning	OPM	Knowledge and Program Offices; OC
Management Evaluations	OPM	Knowledge and Program Offices
Program and Project Reviews	OAI	OCJP, OCACP, NCJISS, OPM
Analysis of Evaluation Results		NILECJ, OPM
Grant Evaluation Summaries	Program offices	OC/ISD
Notable Project Summaries	OC/ISD	OCJP, NILECJ
Evaluation Utilization	Program Offices	OC, OPM, NILECJ, OJJDP
Evaluation Program Monitoring	OPM	All Program Offices
State Evaluation Plan Review and Monitoring	OCJP/CJAD, PDES	OAI, NILECJ, OOS/TD, OPM
Annual Report	Admin.	All Knowledge and Program Offices, PIO, OEL
<u>Development Program</u>	OCJP/PDES	NILECJ, OOS/TD, OCJET, NCJISS, OJJDP, OPM
Evaluation Training Program	OOS/TD	OCJP, NILECJ, OPM, OCJET
Evaluation Manpower Development Program	OCJET	NILECJ, OOS/TD, OCJP, NCJISS, OJJDP
State and local Evaluation Assistance	NILECJ/ OPE	OCJP, OOS/TD, OJJDP, NCJISS, OPM
Evaluation TA	OCJP/PDES	OOS/TD, NILECJ, OJJDP, NCJISS, OPM

C. DISCUSSION

1. Resources and Programs.

- a. Substantial programming of funds in FY 78 to evaluation activities, bolstering important elements of the Evaluation Knowledge and Development Programs, places the agency's overall evaluation program in a solid position to produce a major increase in results in FY 79 and beyond. Virtually all major LEAA programs will have been evaluated or be under evaluation in FY 79.
- b. Budgetary support for the Knowledge Program will be at about \$13 1/4 million by FY 79, with program results increasing substantially because of evaluations initiated in FY 76, FY 77 and FY 78. LEAA staff dedicated to Evaluation Knowledge Program activities will have increased from approximately 15 P/Y in FY 77 to about 26 P/Y in FY 78 and will be maintained at that general level in FY 79 and FY 80.
- c. The Evaluation Management Program has experienced a dramatic increase in LEAA staff time, from 4.4 P/Y in FY 77 to over 50 P/Y in FY 78, FY 79, and FY 80, primarily reflecting the addition of the Office of Audit and Investigation's program and project review function to LEAA activities that are designed to produce timely evaluative information to the LEAA Administration and to program managers at all levels. Program offices are also increasing the level of management focused evaluations, particularly studies to assess the efficiency and cost effectiveness of support activities funded by their offices.

A special emphasis will be placed on the utilization of evaluation results in the planning and management of LEAA programs in FY 79. A large number of evaluations are scheduled for completion during the year, and the utilization system itself will be reviewed to improve procedures to assure maximum use of new knowledge.

- d. Evaluation Development Program funding has increased from approximately \$350,000 in FY 77 to about \$2 1/4 million in FY 78, supporting new initiatives. Approved development programs are projected for \$1.4 million in FY 79 and \$2 million in FY 80. New initiatives in this area are under consideration.
- e. NILECJ's Model Program Development initiative has developed dramatically in the Institute, initiating an evaluation subprogram in support of the action program development process adopted in LEAA to develop national model programs. This process closely integrates evaluation into a careful development and testing process for criminal justice programs.

- f. With the implementation of LEAA's new evaluation training program and the redeveloped evaluation TA program, the agency is in FY 79 in a position to provide a more adequate response to the needs and opportunities for assisting state and local criminal and juvenile justice agencies to develop and utilize evaluation capabilities in a meaningful way.

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

- a. The Evaluation Management Program achieved a new stage of maturation in FY 78 with the initiation of integrated and concurrent program and evaluation planning for FY 79. This change, replacing the prior procedures in which evaluation decisions followed program planning decisions by several months, now allows a more coherent decision process for establishing agency program and evaluation priorities in relation to each other.
- b. Annual program planning for all priority LEAA programs includes planning for evaluation, with provision for evaluation staff participation or coordination in early stages of program development and implementation.
- c. Beginning in FY 78 multi-year planning for DF program evaluations was initiated. Intensive process evaluations are initiated in the first year of new programs to provide the base for impact evaluations under subsequent year funding if the first year effort indicates that these are feasible and warranted and to assure the development of baseline data for impact evaluations.
- d. Close coordination is being initiated between program and project level evaluations in those programs selected for intensive national level evaluation by NILECJ.
- e. During FY 78 LEAA initiated in selected programs a new pilot strategy to integrate intensive process evaluation into the TA program supporting implementation of discretionary programs. Analysis of data reported quarterly by grantees to TA contractors provides evaluative feedback to both grantees and LEAA program managers during the start up and implementation of projects, thereby providing more extensive and timely information on performance, problems, progress and results beginning in the early stages of the projects and continuing throughout the life of the program.

- f. The decision to co-locate Evaluation Technical Assistance Resource Centers with the five area Criminal Justice Training Centers that deliver capacity building training in planning, analysis and evaluation to CJ agencies initiates a more coherent approach that will improve the coordination between the closely related and complementary assistance activities of training and TA.
- g. Efforts in FY 78 to review, purge, synthesize and improve access to and dissemination of holdings of the Evaluation Clearinghouse in the National Criminal Justice Reference Service should greatly increase the utility of this resource to State and local users during FY 79 and beyond.

3. Impact of Reorganization

The impact of LEAA's reorganization on evaluation programs and activities will bring changes in functions, their location in the agency, and in the budgets supporting various activities. During the course of reorganization planning and implementation close attention will be given not only to assuring the continuity of critical evaluation activities that are affected by program and organizational changes, but also to opportunities afforded by reorganization to improve the efficiency, effectiveness, productivity and utility of the agency's evaluation program.

D. RECAPITULATION

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

The following two tables summarize:

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

Allocations by Type of Funds  
(\$ in thousands)

<u>BUDGET CATEGORY BY</u> <u>EVALUATION PROGRAM</u>	<u>FY 78</u>	<u>FY 79</u>	<u>FY 80</u>
<b>Research &amp; Evaluation:</b>			
Knowledge	\$15,309	\$ 9,975	\$ 9,968
Management	50	---	---
Development	228	50	50
TOTAL	<u>15,587</u>	<u>10,025</u>	<u>10,018</u>
<b>JJDP Research &amp; Evaluation:</b>			
Knowledge	6,000	1,280	5,500
Development	458	280	280
TOTAL	<u>6,458</u>	<u>1,560</u>	<u>5,780</u>
<b>Technical Assistance:</b>			
Knowledge	350	150	---
Development	1,108	1,060	1,700
TOTAL	<u>1,458</u>	<u>1,210</u>	<u>1,700</u>
<b>Systems &amp; Statistics:</b>			
Knowledge	866	695	700
Development	54	45	45
TOTAL	<u>920</u>	<u>740</u>	<u>745</u>
<b>402b(6) Training:</b>			
Development	100	---	---
TOTAL	<u>100</u>	<u>---</u>	<u>---</u>
<b>Part C (DF):</b>			
Knowledge	478	725	725
Development	325	---	---
TOTAL	<u>803</u>	<u>725</u>	<u>725</u>
<b>Part E:</b>			
Knowledge	595	465	150
TOTAL	<u>595</u>	<u>465</u>	<u>150</u>
<b>Management &amp; Operations:</b>			
Management	---	100	100
TOTAL	<u>---</u>	<u>100</u>	<u>100</u>
<hr/>			
<b>TOTALS</b>	<u>\$25,921</u>	<u>14,825</u>	<u>19,218</u>

Level of Effort by LEAA Offices for Evaluation Program  
 (\$ in thousands; LEAA staff in person/years)

<u>OFFICE</u>	<u>FY 78</u>		<u>FY 79</u>		<u>FY 80</u>	
	<u>Budget</u>	<u>Staff</u>	<u>Budget</u>	<u>Staff</u>	<u>Budget</u>	<u>Staff</u>
NILECJ	\$15,587	27.90	\$10,025	25.85	\$10,018	25.85
OJJDJP	6,458	1.11	1,560	.94	5,780	1.26
OCJP	1,936	4.50	1,700	5.00	1,875	4.50
NCJISS	920	1.52	740	1.50	745	1.37
OOS	695	2.00	700	1.50	700	1.20
OCJET	325	.27	---	.10	---	.10
OCACP	---	.35	---	.35	---	.35
OC	---	.10	---	.25	---	.10
OAI	---	45.00	---	45.00	---	45.00
OPM	---	1.50	100	1.75	100	1.50
<u>TOTALS</u>	<u>\$25,921</u>	<u>84.25</u>	<u>\$14,825</u>	<u>82.62</u>	<u>\$19,218</u>	<u>81.23</u>



A P P E N D I C E S

APPENDIX A

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 79 - FY 80

NOTICE N 2300.12: EVALUATION OF DF AND OTHER  
CATEGORICAL PROGRAMS

UNITED STATES  
DEPARTMENT OF JUSTICE



LAW ENFORCEMENT ASSISTANCE  
ADMINISTRATION

# Notice

N 2300.12

Subject: EVALUATION OF DF AND OTHER CATEGORICAL PROGRAMS

Cancellation

Date: February 1, 1979

1. PURPOSE. The purpose of this Notice is to implement the Administration's decisions on DF and other categorical action grant programs to be evaluated by NILECJ in the FY '79 program year.
2. SCOPE. This Notice applies to the professional staff in the National Institute of Law Enforcement and Criminal Justice (NILECJ), the Office of Criminal Justice Programs (OCJP), the Office of Community Anti-Crime Programs (OCACP), the National Criminal Justice Information and Statistics Service (NCJISS), the Office of Criminal Justice Education and Training (OCJET), the Office of Audit and Investigation (OAI), the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and the Office of Planning and Management (OPM). It is of general interest to all LEAA professional staff.
3. BACKGROUND.
  - a. The Administration's FY '79 program evaluation planning decisions were made August 14 and 22, 1978, selecting the agency's DF and other categorical action programs for which national level program evaluations will be initiated in FY '79.
  - b. Eleven DF program evaluations that were initiated in prior fiscal years will be completed during or continued throughout FY 79. These include (FY indicates year study was initiated):

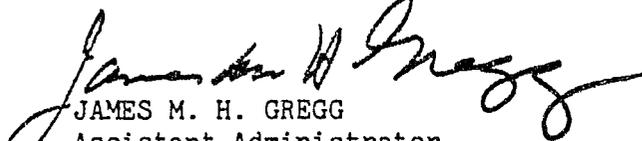
Standards and Goals Program (FY 76)  
 Career Criminal Program (FY 76)  
 Community Anti-Crime Program (FY 77)  
 Comprehensive Urban Crime Prevention Program (FY 78)  
 Integrated Criminal Apprehension Program (FY 78)  
 Property Crime Program (STING; Anti-Fencing) Phase I (FY 78)  
 Integrated Police and Prosecution Witness Assistance  
 Program (FY 78)  
 Family Violence Program (FY 78) (OJJDP/NIJDP lead, joint  
 study)  
 Reduction in Court Delay (FY 78)  
 Treatment and Rehabilitation of Addicted Prisoners (FY 78)  
 Improved Correctional Field Services (FY 78)

Distribution: All Professional Personnel

Initiated By: Office of Planning and  
Management

- c. DF program evaluations are generally designed and conducted by NILECJ. Some other categorical programs may be evaluated by the cognizant office with technical evaluation assistance provided by the Institute. In addition to the Institute's allocation for program evaluations, program funds may also be employed.
  - d. Evaluation activities assigned herein cover new evaluation initiatives for FY '79, and FY '79 funding of new phases of evaluation plans initiated in prior program years. Only those Action programs that were nominated for evaluations by NILECJ's discretionary program evaluation budget are included. All other agency evaluation activities scheduled for FY '78 will be identified in the forthcoming "LEAA Two-Year Evaluation Plan (FY '79 - FY '80)".
4. a. The following program evaluations shall be initiated or modified, as indicated, in FY 79 by NILECJ with support from OCJP, OCACP and NCJISS:
- (1) Community Anti-Crime Program (Supplement) (OCACP)
  - (2) Property Crime Program (Anti-Fencing; STING) Phase II (OCJP)
  - (3) White Collar Crime Program (OCJP)
  - (4) Jail Overcrowding and Pre-Trial Detainee Program (OCJP)
  - (5) Statistical Analysis Centers (NCJISS)
- b. The decision on evaluation of Court Unification projects under OCJP's Fundamental Court Improvement Program is deferred pending further information on research and evaluation needs and plans in this area.
- c. Law Enforcement Education Program (LEEP) Evaluation - Phase II shall be implemented as planned by OCJET; no additional funds are to be provided by NILECJ.
- d. NILECJ shall design, fund and manage the conduct of program level evaluations of the OCJP, OCACP and NCJISS programs selected for evaluation.

- e. OCJP, OCACP and NCJISS shall ensure that these programs are designed so that implementation and the achievement of objectives can be evaluated, and shall cooperate with NILECJ by defining program concepts, activities and objectives in terms that permit measurement of performance and impact.
- f. NILECJ, OCJP, OCACP and NCJISS shall coordinate with OAI on the evaluation of any programs that have been or will be assigned to OAI for program reviews. The purpose of the coordination is to avoid field problems and improve the efficiency and usefulness of the separate efforts.
- g. NILECJ and OCJP shall coordinate the planning and conduct of the evaluations of the Property Crime (Anti-Fencing; STING) and White Collar Crime Programs with the other agencies involved in order to provide for proper attention to the special sensitivities concerning security of operations in these programs.
- h. OPM shall actively monitor the implementation of evaluation activities directed by this Notice, shall provide the Administration and office heads with quarterly progress reports, and shall bring to their attention any problems that appear likely to prevent successful completion of the evaluations.

  
JAMES M. H. GREGG  
Assistant Administrator  
Office of Planning and Management

APPENDIX B

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 79 - FY 80

CRITERIA FOR SELECTION OF LEAA PROGRAMS AND PROJECTS  
TO BE EVALUATED

CRITERIA FOR LEAA SELECTION OF PROGRAMS AND PROJECTS TO BE EVALUATED INTENSIVELY

Criteria to be used in LEAA for selecting LEAA programs and programs and projects for intensive evaluation include:

- a. Priority Projects. Those activities which relate directly to LEAA high priority goals and objectives should be given high priority for intensive evaluations.
- b. Importance of Problem. If the problem which the program or project addresses is an important problem of crime reduction or criminal justice system performance, an intensive evaluation should be given high priority.
- c. New Initiatives. A high priority will be placed on selecting those programs which are undergoing substantial revision. A sound evaluation design is most easily incorporated at the beginning of the program development cycle. All Juvenile Justice initiatives are required to be evaluated by the enabling legislation.
- d. Innovative Character. If a program or project appears to be representative of a relatively new approach, an established but unevaluated approach, or one which has yet to be tested adequately an intensive evaluation should be conducted. Early intensive evaluation of new approaches should speed the systematic development of the "state of the art" in criminal justice programs.
- e. Controversial nature. In those instances in which a program or project is expected to be particularly controversial, an intensive evaluation should be conducted to permit the objective analysis of the program/project and its results.
- f. Congressional or Public Interests. If Congressional or public interest in a particular program area is high, pertinent programs or projects should be evaluated.
- g. Replicability or Transferability. If demonstrated to be successful, many projects can be replicated widely in other jurisdictions and agencies. In those instances where there is great potential for replication and transfer to other jurisdictions, an intensive evaluation should be strongly considered.

- h. Size of Grant. As a general rule, all large projects should be evaluated, because of the potential significance and impact of the expenditure of large amounts of resources.
- i. Duration and Continuation. Those projects which expect to apply for continuation funding should be designed to insure that information about the project's performance is available upon which to base a decision concerning continuation funding. A strong monitoring effort may provide sufficient information upon which to base a decision on continuation funding, but an intensive evaluation may be necessary if effectiveness measures are important to the continuation decision. Short term projects which are not expected to be continued by LEAA or other agencies should not ordinarily be intensively evaluated.
- j. Nature of Project. Some programs and projects because of their nature may not require an intensive evaluation. Large purchases of equipment that has already been evaluated or the construction of facilities may be examples. Others would be simple activities and results easily assessed through good monitoring. The emphasis here should be placed on evaluating the need for the equipment or facility when it is directly related to a program with specified objectives, or results requiring analysis beyond monitoring.
- k. Cost and Difficulty of the Evaluation. Certain programs and projects by nature are methodologically far more difficult and/or costly to evaluate than others. In some instances, to obtain impact information sufficiently accurate and complete to warrant a reasonable level of confidence, it is necessary to allocate more for the evaluation than appears reasonable for the project. The results obtained from such an evaluation may not warrant the expense. If undertaken, such evaluations must begin with a feasibility study.
- l. Feasibility. If it appears to be infeasible to conduct an evaluation that will produce meaningful results, given the program design and anticipated difficulties of conducting an evaluation in the field, an intensive evaluation should only be attempted if there are overriding considerations, and the evaluation must begin with a feasibility study.

- m. Redundancy. If there is little likelihood that a major evaluation will produce answers that are not already known or that are not self-evident, an intensive evaluation is probably not warranted.

These criteria are to be used as a set of considerations. No single criterion is overriding in all cases. For example, a large and expensive initiative in a high priority area of need will not require evaluation if prior studies have already answered important questions. Such a situation may occur with the launching of a major demonstration program based on a proven approach. Intensive monitoring might be sufficient under these circumstances.

APPENDIX C

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 79 - FY 80

INSTRUCTIONS FOR PREPARING PROJECT EVALUATION SUMMARIES

PROJECT EVALUATION SUMMARIES

(HB 4500.2A)

Dec 2, 1977

b. Grant Evaluations

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

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

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

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

## (a) Title of the Evaluation:

State the title of the evaluation grant or contract.

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

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

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

- (d) Evaluation Methodology:

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

- (e) Evaluation Findings:

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

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

DEC 2 1977

108. SUBMISSION OF LEAA GRANT, CONTRACT, OR IN-HOUSE RESEARCH PROJECT REPORTS TO THE NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE.

- a. Reports affected. Procedures for submission to NCJRS, given to subsequent subparagraphs, apply to the following reports:
- (1) Reports produced under LEAA categorical grants. If published, dissemination copies are not produced, LEAA Form 4587/1, Discretionary Grant Progress Report (final narrative only) should be submitted.
  - (2) Reports produced as in-house research projects by an LEAA component. If published dissemination copies are not produced, final manuscript copies should be submitted.
  - (3) Reports produced under LEAA contracts (non-administrative). Final reports of all LEAA research or system development contracts should be submitted. Reports should not be submitted until the Government Project and the Contracting Officer have agreed and acknowledge that the reports are in final form.
  - (4) Reports of third-party evaluations of LEAA categorical programs and projects. Final reports of third-party evaluations of LEAA programs and projects shall be submitted.
- b. Copy Requirements. To support the activities of NCJRS and its data base of substantive research information, five copies of final progress reports and/or products (two copies of audio-visual materials) whether published and disseminated or unpublished, should be sent to NCJRS, Attention: Acquisitions Librarian, for consideration as NCJRS data base entries.
- c. Forms of Reports. Special formatting beyond that suggested by either LEAA Guideline 1432.2 or LEAA Form 4587/1 is not required for submitting reports to NCJRS. Some reports may only be summaries, narrative or formal publications. However, all final reports are to be submitted to NCJRS.
- d. Exceptions. Documents issued under the LEAA directive system, such as Instructions, Notices, and Handbooks, which are administrative in nature of confidential reports which should not be disseminated beyond a grantee or documents which are not issued as part of a grant, contract, or in-house study project, are not subject to this instruction.

DEC 2 1977

e. Uses of Submitted Reports.

- (1) All LEAA reports processed into the NCJRS data base will be abstracted, indexed, microfiched and entered into the Document Loan Program. Copies of all NCJRS holdings will be maintained in a permanent file for use by the criminal justice community throughout the nation.
- (2) All LEAA grant, contract and in-house reports which are published through government printing facilities are initially disseminated through the Department of Justice Distribution Unit. However, subsequent dissemination of these reports, in response to requests, may be made through NCJRS which will furnish or loan either paper or microfiche copies to requestors from supplies on hand or refer requestors to the Government Printing Office for purchase. Dissemination or other than microfiche copies of reports will be limited to those reports which have been approved for publication and dissemination by LEAA.

f. Responsibility for Report Submission. Submissions of reports under this instruction will be considered an administrative requirement for each grant manager.

--0--

(Five copies of evaluation reports, accompanied by one copy of the abstract, may be sent by grant managers or project monitors directly to:

NCJRS  
P. O. Box 6000  
Rockville, MD 20850  
Attn: Evaluation Clearinghouse.

Within LEAA, inquiries should be directed to James Heenan, NILECJ/ODTD, NCJRS Program Manager.)



APPENDIX D

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 79 - FY 80

MAJOR SOURCES OF EVALUATION INFORMATION AND ASSISTANCE

SUPPORTED BY LEAA



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

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

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

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

Inquiries concerning the Assessment Centers should be directed to:

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

The four Assessment Centers supported under the program are:

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

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

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

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

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

Questions and requests for TA should be directed to:

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

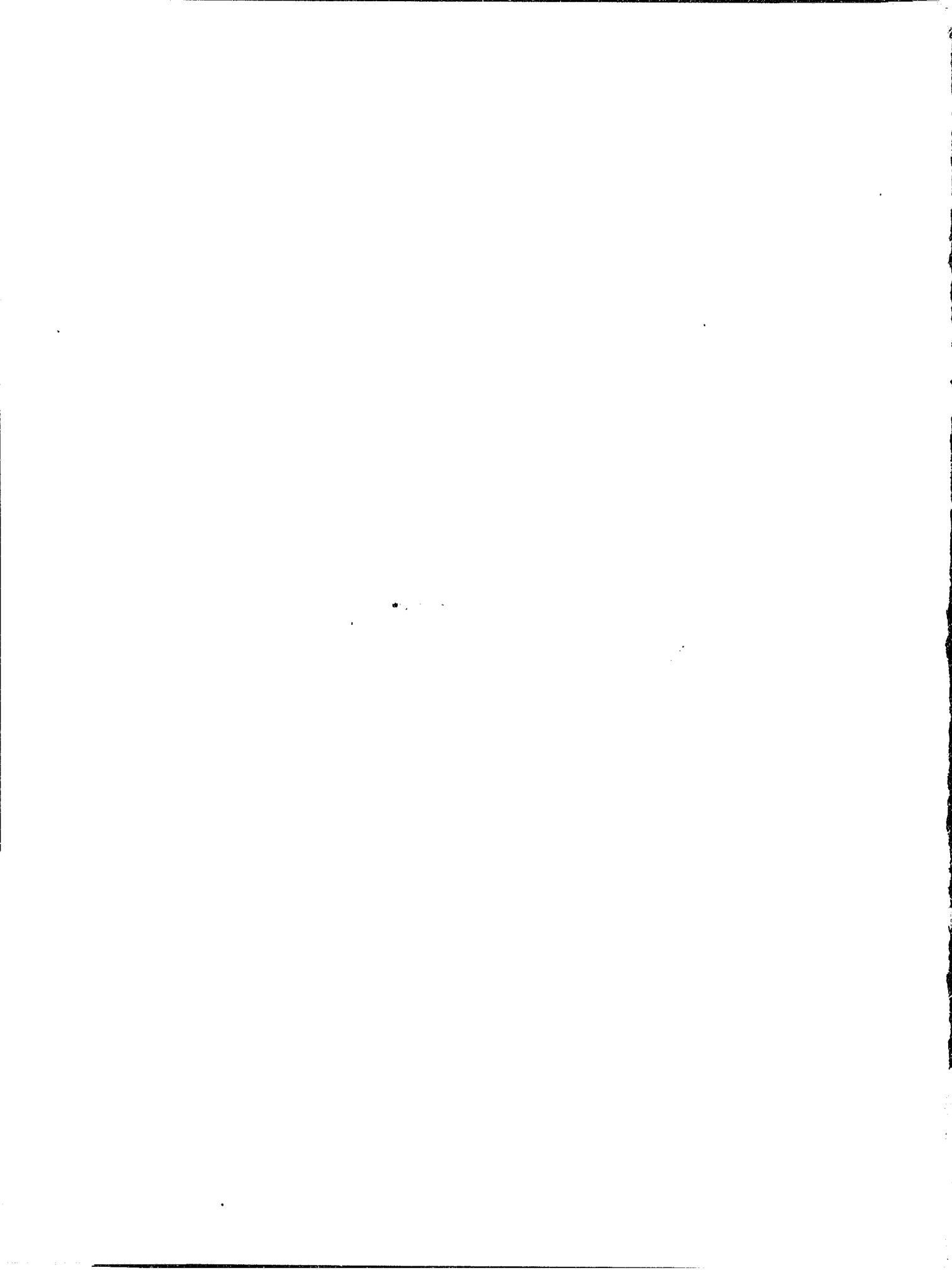
SEARCH Group maintains a clearinghouse of information on criminal justice information systems that have been developed and documented.

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

Direct requests to:

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

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



APPENDIX E

TO

LEAA TWO-YEAR EVALUATION PLAN: FY 79 - FY 80

GLOSSARY

GLOSSARY

The following terms, as used in this document, have the primary meanings defined below. As with any terms, the meanings and interpretations in a particular application may vary. However, the context in which they are used herein will usually remove any ambiguity which might arise from different uses of the same term.

1. Evaluation. The Crime Control Act of 1976 defines "evaluation" as "the administration and conduct of studies and analyses to determine the impact and value of a project or program in accomplishing the statutory objectives of this Title." LEAA directives and guidelines provide more detailed definitions designed to give specific guidance for various evaluation activities required by the Act or undertaken to provide evaluation support for a number of different kinds of uses in the LEAA program. Thus the following definitions, as the evaluation plan itself, reflect specific legislative requirements, different time frames, levels of scientific rigor and diverse intended applications. Included are the four types of performance measurement identified in LEAA's DF Guidelines (self-assessment, monitoring, program evaluation, and project evaluation) along with several other terms commonly used in the LEAA system.
2. Assessment. 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.
3. Performance measurement. Systematic program and project assessments, including self-assessment, monitoring, and evaluation. Includes systematic assessments performed by LEAA, grantees or an independent party.
4. 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 systematic 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.
5. Program evaluation. Intensive evaluation at the national program level, to include multiple grant sites.
6. Project evaluation. Intensive evaluation of an individual project.
7. Cluster evaluation. Intensive evaluation of multiple projects within a program in which the analysis emphasizes project level results rather than program level generalizations.

8. Monitoring. Periodic or continuous review or checking on the implementation, operation and results of projects, throughout the life of the grant, comparing actual inputs, activities and results with those specified in the grant or project plan, and attempting to establish whether or not inputs are sufficient to produce intended activities and expected results.

9. 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.

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

11. 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.

12. Independent evaluation. An evaluation performed by a third party (that is, other than the program or project being evaluated or funding or supervisory authority), in order to obtain an unbiased assessment.

13. 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.

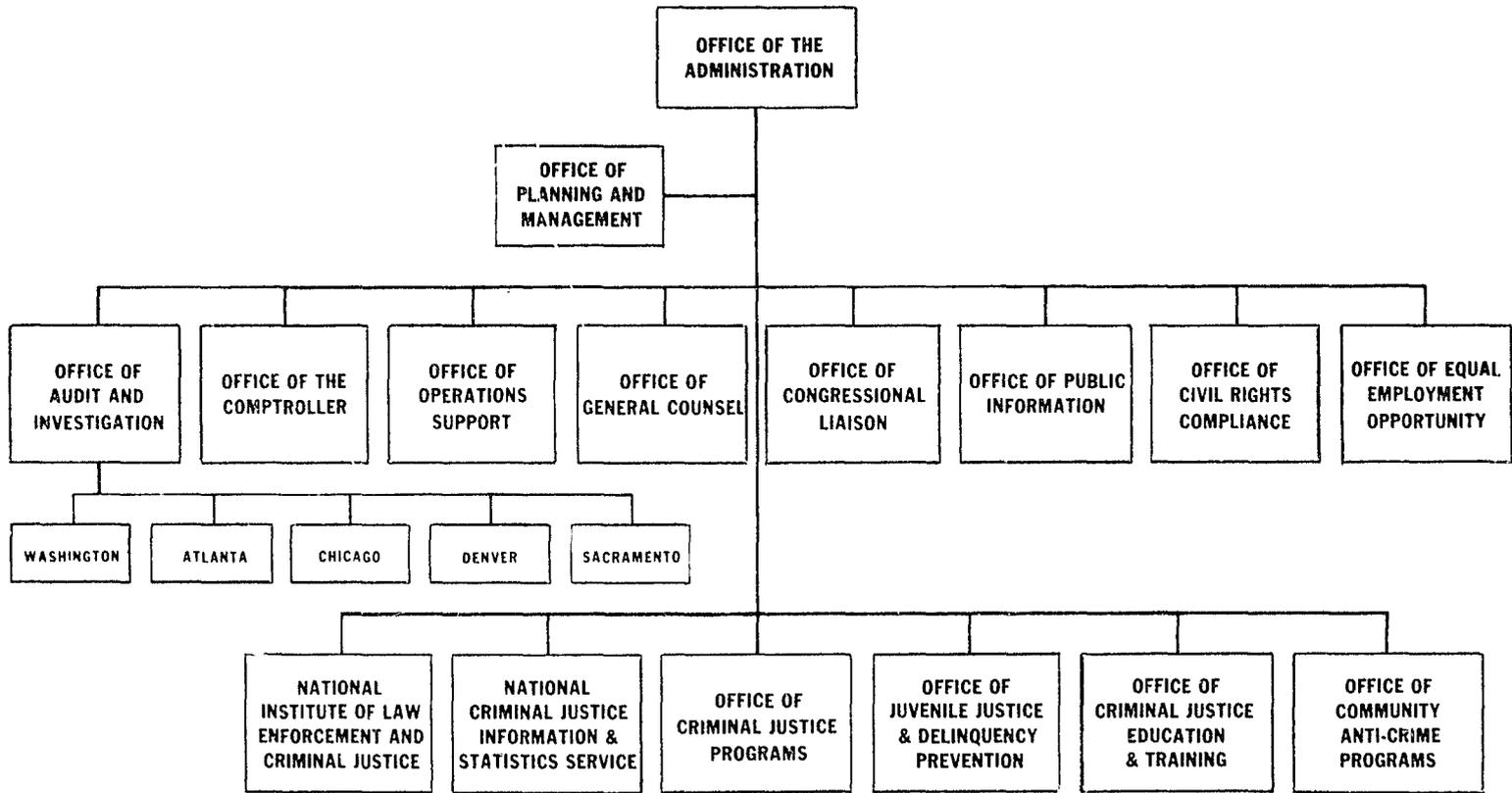
14. Process evaluation. A type of evaluation that focuses on the relationships among project inputs, activities and results, but not on longer range outcomes or impact, and that is used to improve the efficiency and effectiveness of ongoing projects. Emphasizes measurement and assessment of the change 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.

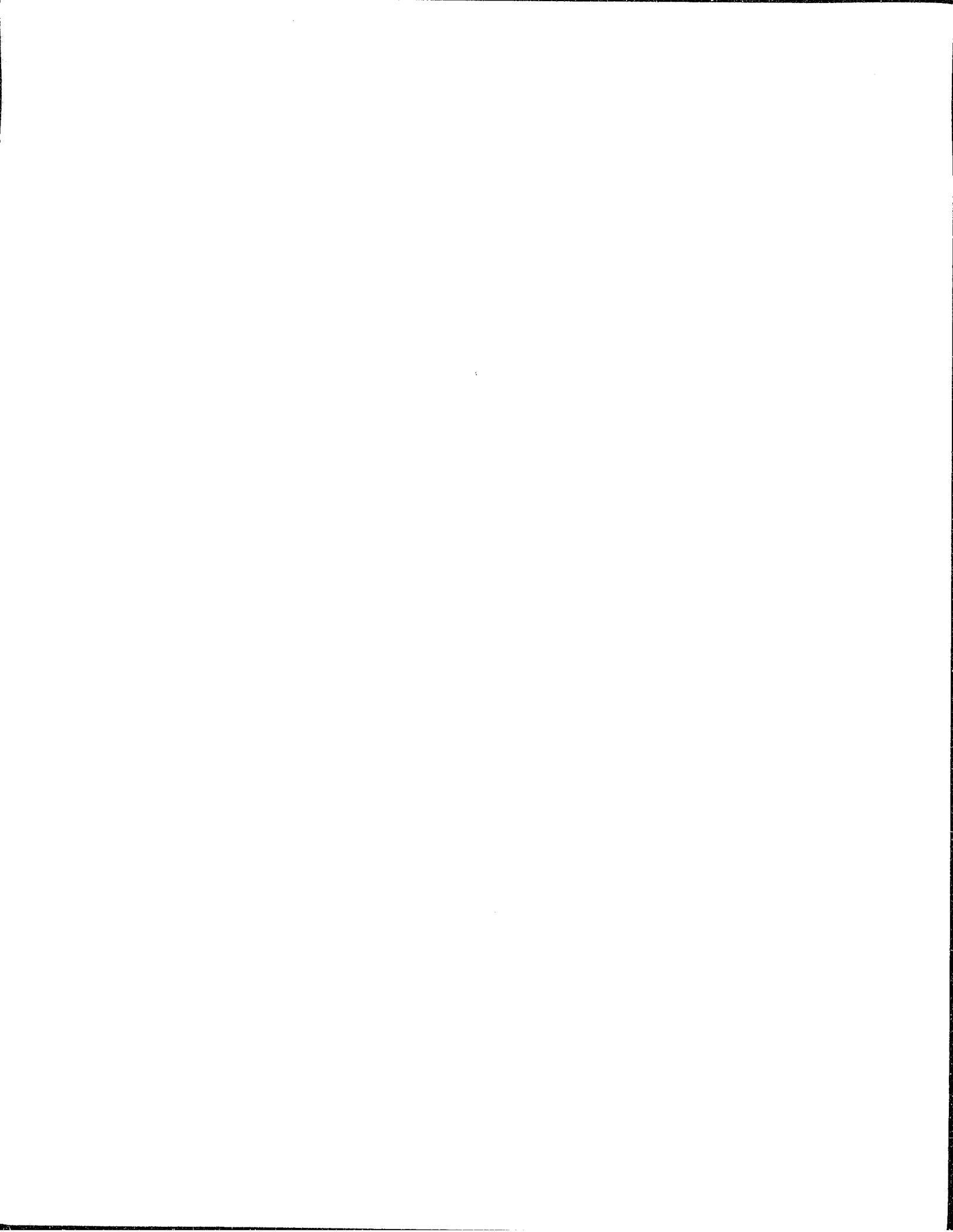
15. Management evaluation. Used in LEAA to refer to assessment of programs or projects from the perspective of LEAA operations and management, as distinguished from assessment of grantee performance and effectiveness. The distinction is made because LEAA's legislative mandate for evaluation specifies 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.

16. Program. A set of related activities under a common general authority, designed to address some problem. A program may consist of one or many projects or tasks, similar or complementary in nature and contribution to the achievement of program objectives.
17. Project. A planned intervention at one or more sites, under the direction of a specific manager, operationalizing a set of closely related activities. The term "project" implies a tighter organization and integration of activities in a more coherent effort than does the term "program."
18. Action Program Development Process (APDP). A series of interrelated activities, following a research and development model, leading to the design, testing and implementation of carefully evaluated projects or programs which offer potentially effective approaches to the problems of crime and delinquency control and criminal justice system improvement.
19. Program model. Documentation of a program concept, implementation design and performance standards, based on a synthesis of evidence of successful performance at one or more sites.
20. Program test design. A detailed design document which identifies the essential elements of a program or project model to be field tested, including a careful articulation of the objectives of each component and the assumptions and hypotheses underlying each objective; defines the methodology to be used in testing and the issues to be addressed in the evaluation; and specifies the criteria for selection of test sites.
21. Program test. A carefully evaluated test implementation of a program test design in one or more sites.
22. Validated program design. A program model design that has been carefully tested, evaluated, refined, and proven to be effective.
23. Exemplary Projects. Projects from the criminal justice system that are nominated through State Planning Agencies and examined by an independent evaluator to verify their (1) overall effectiveness in reducing crime or improving criminal justice, (2) adaptability to other jurisdictions, (3) objective evidence of achievement, and (4) demonstrated cost effectiveness, and are subsequently designated "exemplary" by an advisory board of LEAA and SPA officials, who make the final decision.
24. Incentive programs. A new concept in grant making for LEAA to provide support from categorical funds, training and technical assistance for programs of criminal justice improvements or advanced practices which have been shown to be effective, either through LEAA's experience with research, testing and validation in its action program development process or through State and local experience that has been documented and validated. The major element of the program is the transfer of programs that have been proven effective, and that are identified as high priority statewide or local programs in State plans, funded at fifty percent of LEAA's normal match.

25. National priority programs. A category of programs envisaged by new legislation for LEAA proposed by the Administration, similar in concept to incentives programs and based on validated program designs. These programs are to be based on proven effectiveness, validated by careful research, testing and evaluation; must be designated as national priority programs by the agency; and under proposed legislation would receive fifty percent funding support from Federal categorical funds, along with training and technical assistance. States could use any funds available to them for the purposes of the program, including criminal and juvenile justice formula grants or other Federal grant funds, to meet their fifty percent of the costs.
26. Criminal justice system. All agencies and processes, both official and unofficial, which deal primarily with crime and delinquency.
27. Criminal justice community. Includes all elements of the criminal justice system, and also includes the research community and interested public groups.
28. Juvenile justice system. All agencies and processes, both official and unofficial, which deal primarily with juvenile justice and delinquency.
29. State Planning Agency (SPA). State planning agencies were mandated in LEAA's basic legislation, when the formula (block) grant program to the States was created, as the State level planning and administrative vehicle for receiving and administering LEAA formula grants to the States. In order to be eligible for formula grants each SPA prepares a comprehensive state law enforcement and criminal justice plan. Upon receipt of the formula grant the SPA allocates the funds to subgrantees, principally operating agencies and regional or local planning units, to carry out approved programs and projects. SPA's also have an administrative and coordinating role for LEAA categorical grants to State and local criminal justice agencies. The actual title of SPA's varies from State to State, because it is assigned by the State action that creates the SPA as a State government entity.
30. Regional/Local Planning Unit (RPU/LPU). The Act also makes provision for criminal justice planning units in regions within States (RPU's) and in single units of general local government (LPU's). Their plans are reviewed by the SPA and, as approved, incorporated into the State comprehensive plan. Actual titles of RPU's and LPU's vary from State to State and among local jurisdictions.
31. Criminal Justice Coordinating Council (CJCC). As provided by the Act, any body so designated which serves a unit of general local government or any combination of such units with a population of 250,000 or more, and has responsibility for assuring improved planning, for the coordination of local criminal justice agencies within its jurisdiction, and for monitoring and evaluation of criminal justice programs, projects and operations.

# LEAA ORGANIZATION CHART





**END**