

THE  
NATIONAL  
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ON CRIMINAL  
JUSTICE  
EVALUATION

39313

**Abstracts of Presentations**

PANEL 1

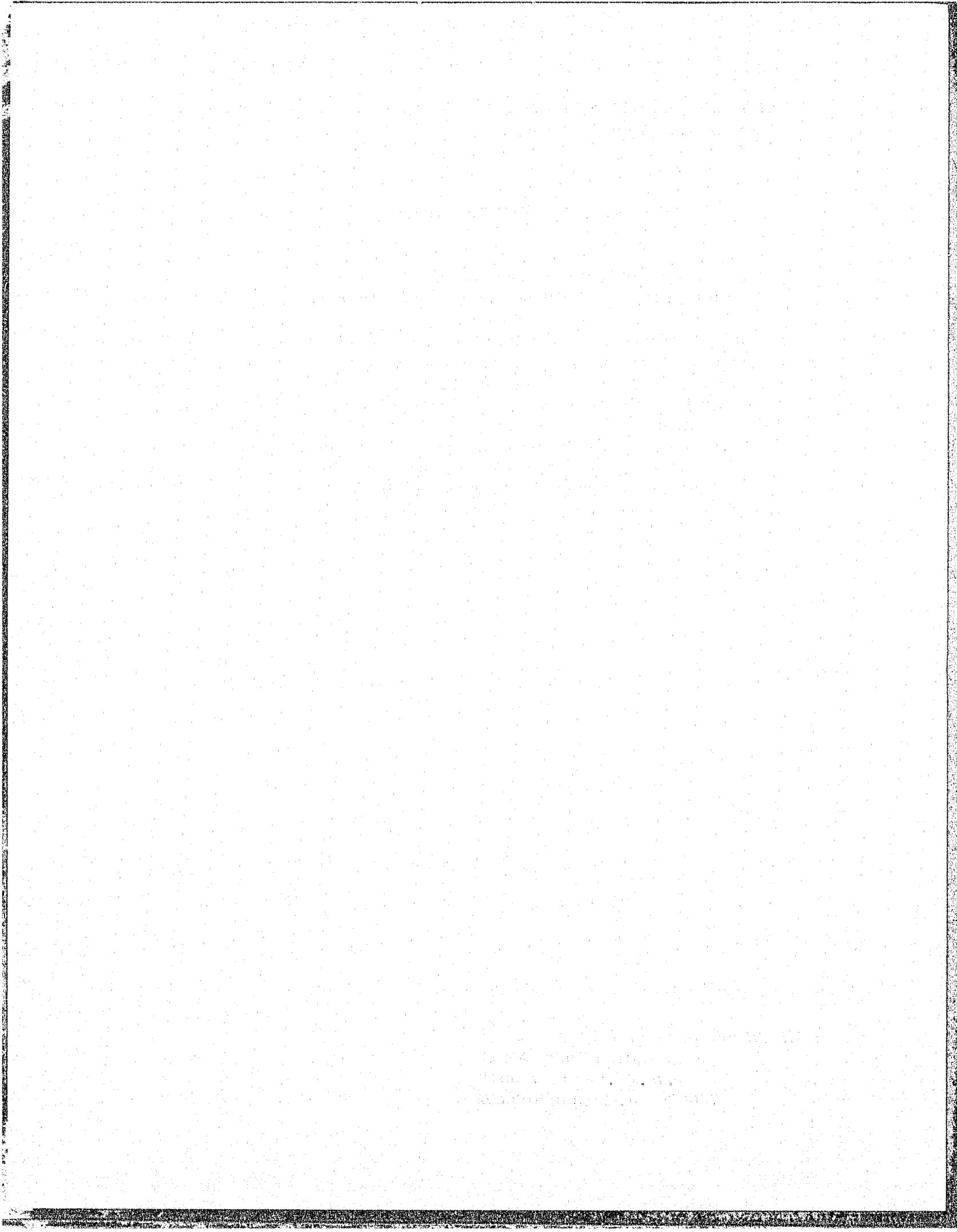
EVALUATION: ITS ROLE, ACTIVITIES AND RELATIONSHIPS

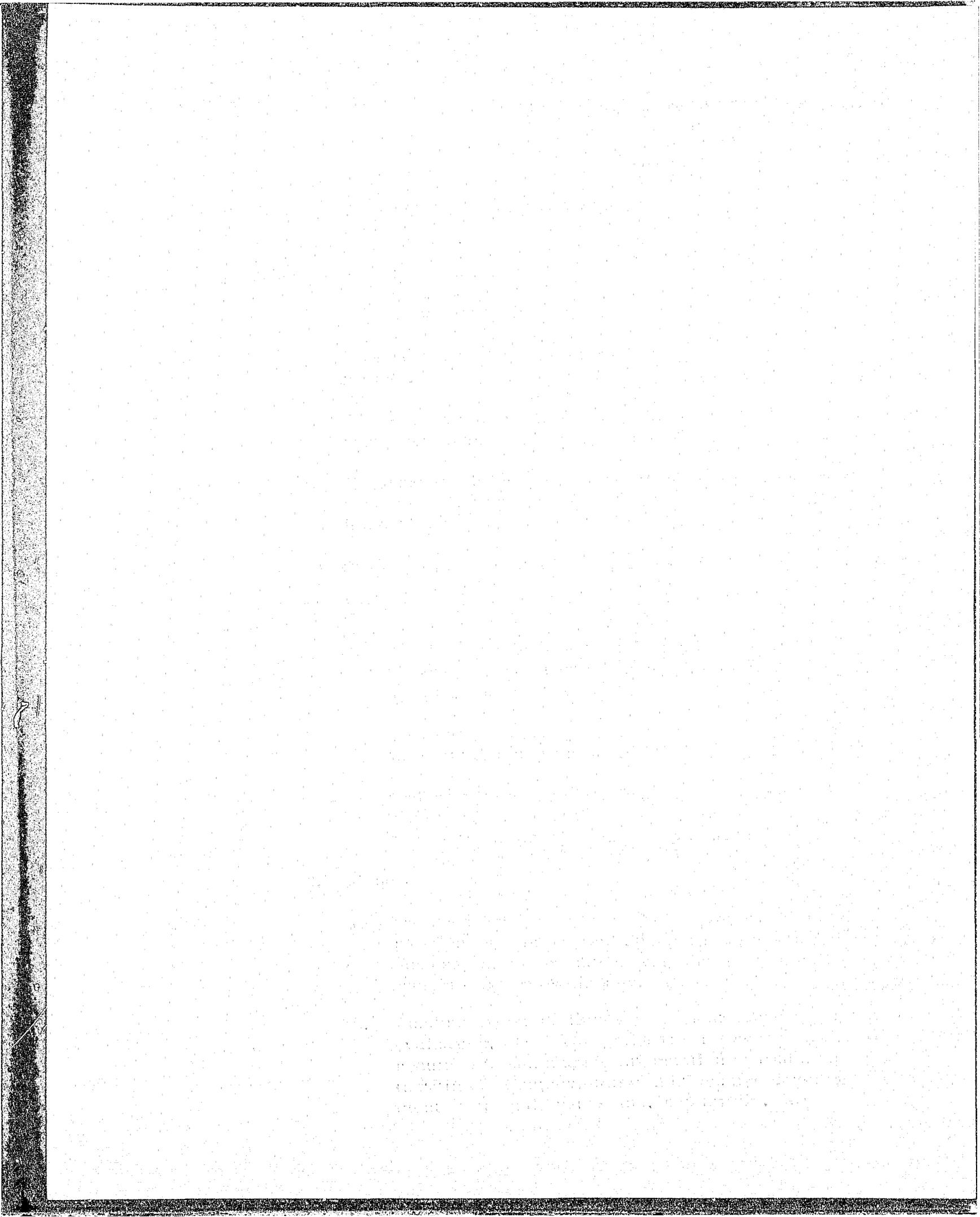
Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Criminal Justice Information Needs of Illinois  
Local Government Officials"

Robert A. Shay, Project Director, Crime  
Prevention Commission, Region 14,  
Illinois Law Enforcement Commission,  
Jacksonville and Burkett Milner, Sangamon  
State University, Springfield, Illinois





Evaluation for Decision-Making  
(Continued)

appearance before a group of decision-makers.

- c. There would be no financial constraints imposed by this use of evaluations in the decision-making process.
  3. Cooperation/coordination. Here again, the constraints parallel those for money, with the greatest impact linked to the most immediate need for information.
  4. Of all these constraints, time is the overriding concern.
- C. The consequences of these constraints upon the different levels of decision-making is clear to all of us: evaluations have not effectively responded to the needs of the first two kinds of decisions.
1. The need for interim reports responsive to the needs of management are seldom spelled out in a contract to the evaluator.
  2. There is rarely money provided to do the extra work involved.
  3. Any treatment program requires some "at risk" period to determine the effect the treatment had on behavior. Any measure of such a variable (recidivism is the most obvious example) requires at least one year from the time treatment has been completed before any conclusions can be expected (unless special arrangements have been made, and additional money provided).
- II. The problem- a dilemma: the shorter the time frame, the less reliable is the information on the effectiveness of the program (or efficiency).
- A. This is not a new problem-- it is well rehearsed in literature.
  - B. While many have urged that attention be paid to these issues of time, money and cooperation, little has been done to resolve the problem.
  - C. Evaluators have largely ignored the requirements of decision-makers and vice versa.

Evaluation for Decision-Making  
(Continued)

- III. While not suggesting that the problem can be resolved, let me outline some of the things our office is doing to respond:
- A. A greater emphasis is being placed on "process evaluation", which is nothing more than a monitoring report. This is information collected by project personnel in most cases, and can be used to determine the extent to which tasks are being completed in a timely manner.
  - B. Our Model Evaluation Project has emphasized the role of evaluation in the decision-making process. To this end we are hoping to improve the skills of evaluators, not only in the area of research skills, but also in the area of writing. This training effort will also be extended to planners and decision-makers on the local level. At the very least, it is hoped that this will help achieve a better understanding of the limits of evaluation as well as its virtues.
  - C. The Evaluation Review has been developed to summarize and distribute evaluation findings. This is a quarterly publication disseminating abstracts of evaluations.
    - 1. This will increase the awareness of the existence of evaluative information, hopefully leading to an increased interest in, and appreciation for such findings.
    - 2. It is hoped that responsibility will be increased--we want to make it impossible for decision-makers to ignore findings.
    - 3. Ultimately, our credibility will improve, both with project personnel, and with decision-makers, as our role in the process becomes routinized.
  - D. We are seeking a mechanism which will provide a commitment for decision-makers regarding those programs they would like to see evaluated.
    - 1. Such a commitment should provide a lead time in years, not in months.
      - a. Work with the Governor's Committee for Law and Justice
      - b. Work with the Governor's budget agency

Evaluation for Decision-Making  
(Continued)

2. Hypothesis: People will pay more attention to something that they "requested."
  3. Such a mechanism would be for agencies to determine which projects they would like to see evaluated--hopefully at the time the grant is first funded.
- E. Recognizing that not all decisions are funding or program decisions, we are proposing to generalize our findings into broader statements of what is known about a specific program area.
1. This would not constitute "state of the art" research; rather it would constitute generalizations based on the experience of such programs statewide.
  2. Such "research" might be expected to impact our Standards and Goals project; or,
  3. It might provide background material for the legislature.
- F. Different levels of evaluation are appropriate for the different levels of decision-making (and the different constraints facing those evaluations).
- We have three:
1. Process evaluation--a monitoring effort.
  2. Outcome evaluation--requires only a pre-post-test and a comparison group where possible.
  3. Impact evaluation--requires a more exacting experimental design, with the use of a control group, or cost-benefit analysis as a measure of efficiency.
- G. Recognizing that the audience for evaluation varies.
1. We have allowed cost-benefit analysis, or cost-effectiveness to be substituted for measures of effectiveness. This assumes some modification of the insistence upon crime reduction as the only honorable goal for an LEAA funded project.

Evaluation for Decision-Making  
(Continued)

IV. Conclusions: State Planning Agencies might be evaluated on the basis of the percentage of projects that receive funding beyond their termination of LEAA support. We must get involved in planning for decisions which may be years off.

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Panel 1 - Evaluation: Its Role,  
Activities and Relationships

LOCAL ELECTED OFFICIALS LOOK AT  
CRIMINAL JUSTICE EVALUATION

The purpose of this paper is to explore the relationship between local elected officials and criminal justice evaluators and to suggest ways in which they can work together in a partnership to create new policy directions.

Traditionally, evaluators have been too closely assigned with the administrative functions of project management rather than with the political demands of policy design and implementation. As a result evaluators stand removed from the political environment because of a lack of familiarity with and an appreciation of the political process by which policy is formed and constituent demands met. Evaluators also remain separated from impacting the political process by being submerged in a subculture preoccupied with the science of evaluation methodology and a highly technical language. To become relevant to the decision needs of elected officials, evaluators must understand the diverse roles, conflicting responsibilities, and long-term goals of individual politicians. They must become aware of relevant criteria upon which policy decisions are made and then assist the politician to make intelligent choices among policy options. In short, a new breed of highly skilled, highly political evaluators must be trained to work in policy-making offices to help elected officials create future programs that are relevant, cost/effective, and goal-oriented.

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PREDETERMINING THE EXTENT AND SOURCES OF  
SUPPORT/RESISTANCE SURROUNDING PROPOSED PROGRAMS  
AND POLICIES

The objectives of this study are unique. After brainstorming with our Florida colleagues directly involved in various careers related to juvenile delinquency, 27 relatively "new" program approaches and 32 suggested policy changes were summarized for a mail questionnaire. Each topic selected for evaluation was considered carefully with respect to its relevance, credibility and possible contribution for those decision-makers concerned with combatting juvenile delinquency.

The primary purpose of the study is to determine the extent to which various subgroups perceive each juvenile program as being effective or ineffective. Further, the respondents are asked to judge the practicality/impracticality of each program proposal. The policy suggestions are rated according to the extent each would be opposed or favored. Together, the responses provide a data base that allows the programs and policy changes to be ranked overall according to those receiving the most and the least support even before these programs and policies are officially attempted. Moreover, the nine subgroups, specified below, who most support or resist each program and policy proposal, can be identified prior to the topics being officially posed or funded.

Further analyses can reveal whatever common threads there are among career subgroups working with juveniles. The data can also be used to show the extent of variation among individuals within subgroups and the factors that explain the different orientations of the subgroup members. For instance, we will examine the extent to which there is consensus and dissent among law officers as to their taking a hard-line approach to handling juvenile offenders; the factors that account for and predict these different orientations will be systematically measured via multiple regression analysis.

Approximately 400 reliable responses from nine subgroups will be analyzed, including personnel in law enforcement, public and private youth agencies, State Attorney's Offices and Juvenile Courts, as well as responses from Circuit Court Judges assigned to Juvenile Court, public school officials, students and a random sample of the general public. A minimum of 30 responses will be collected from each subgroup, except that 75 responses from the student and general public subgroups will be collected.

Predetermining the Extent and Sources  
of Support/Resistance Surrounding Proposed  
Programs and Policies  
(Continued)

Agencies, departments and schools were randomly selected for the sample. The sample of respondents within each organization, however, was not truly randomly chosen since we requested the director of each organization to have a person knowledgeable in the delinquency area to complete their organization's questionnaire. We feel, however, that the sample will be representative of the various subgroups mentioned. Follow-ups on non-responses will, of course, be carried out.

The questionnaire was rather exhaustively pretested by members of the various subgroups and modified accordingly. The data will also be carefully "cleaned" and processed for analyses. Indices will be constructed and tested as an effective means of data reduction.

Copies of the questionnaire showing the response frequencies and median for each question item will be distributed to each person attending the conference session, along with a copy of the paper. The paper itself will include a series of tables showing the findings in a concise, clear manner. The explanations, implications and utility of the findings will be discussed in the text of the paper.

In sum, the paper will illustrate a unique method of ascertaining the extent to which various proposed programs and policies are likely to be supported and resisted as well as the sources of the support/resistance. Furthermore, the responses to these innovative topics will be of major interest in and of themselves. Finally, we note that this technique can be readily adapted to predetermine the effectiveness of innovative adult Criminal Justice programs and policies.

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## ENVIRONMENTAL EFFECTS ON PROJECT IMPLEMENTATION

During the past decade more and more individuals have come to accept the premise that effective criminal justice programming requires a feedback loop that provides information as to whether or not projects are working and why. The idea of evaluating social programs is not new, neither is it unique to the field of criminal justice. As with other areas of social programming, the interest in evaluating criminal justice projects has progressed from simple procedures to audit how much money was being spent to more sophisticated studies to determine the results achieved by projects. In general, the results of the latter studies have been disappointing to most public officials because most projects do not receive the results anticipated of them. This is true in the field of criminal justice as well as other areas of social programming.

There are at least three reasons for this apparent lack of success. First, our expectations for the success of such programs may be grossly exaggerated. This is what Campbell refers to as over-advocacy. Second, projects may not produce the anticipated results because of conceptual failure. That is, projects may fail because the theories and concepts upon which they were based were inaccurate or incomplete. Third, projects may appear to fail because they were never put into operation as intended - implementation failure. In other words, the ideas upon which the project was developed were never tested because the project was never carried out as originally specified.

This paper is intended to focus on the problem of implementation failure. Thus, it will emphasize the period in which the implementation of projects was actually attempted and on the implementation process itself. In general, the issue of project implementation has been neglected by organizational researchers and evaluation specialists as well as by policy-makers and program developers. It is almost as if everyone concerned wished to ignore the fact that policies, programs, and projects must be implemented in organizational settings by organizational members. In direct contrast to the existing pattern, this paper stresses the importance of organizational factors and the relationships between individuals and organizations for the successful implementation and institutionalization of projects. Thus it will focus attention on factors such as historical context, timing, goal clarity and consensus, organizational set and inter-organizational support and opposition.

Environmental Effects of Project  
Implementation  
(Continued)

Briefly, the study is based on a series of assumptions which view projects as being implemented through host organizations that are open-systems that are characterized by their dependency upon members of their external environment both for a supply of inputs (material, persons or information) and for the consumption of their outputs. Drawing upon planned change and organizational development literature, a series of research questions will be developed and explored concerning environmental influence on project implementation and institutionalization.

Data for this paper will be derived from an effects oriented study of special pro-active police units presently being carried out in collaboration with the Michigan Office of Criminal Justice Programs. This programmatic area was selected because of their assumed potential to help prevent or control crime. Additionally, such units also present an ideal opportunity to study the implementation process, particularly relationships with the external environment because they are dependent upon other units in the same department and/or other departments for the supply and utilization of information about crimes and criminals.

As presently planned, this paper will provide improved insights concerning:

the degree to which project implementation is influenced by external environmental (inter-organizational) factors such as goal consensus and mutual dependence;

specific strategies and/or conditions that may facilitate or hinder the implementation and utilization of planned innovations;

intended and unintended effects associated with these projects;

the relationship between project implementation and project institutionalization or rejection;

concepts, methodologies and guidelines for project monitoring and/or research on the implementation of planned criminal justice innovations.

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## THE ROLE OF THE LEGISLATURE IN PROGRAM EVALUATION

The literature on program evaluation has generally ignored the legislature as a major source of criminal justice policy but there is a growing expectation (recognized by the Crime Control Act of 1976) that they do and should play an important role in setting crime control policy and overseeing its proper implementation. While program evaluation has traditionally been seen as a managerial and knowledge building tool for executive branch agencies, program evaluation techniques can and have been utilized by the legislative branch.

This paper draws upon the recent efforts of the U.S. Congress to design, implement and use program evaluation in the criminal justice area. The program evaluation provisions of the Crime Control Acts of 1968, 1973, 1976, the Speedy Trial Act of 1974, and the Juvenile Justice Delinquency Prevention Act of 1975 are compared and contrasted, with special consideration given to different sources of congressional policy and the effects of such policies on evaluation programs. The variety of mechanisms (e.g., GAO, independent agencies) for implementing these congressionally-mandated evaluations are also examined. The paper concludes with an assessment of how Congress and other legislative bodies can become more effectively involved in setting evaluation policy.

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PANEL 2

PRE-TRIAL DIVERSION / INTERVENTION

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Improving the Decision-Making System in Arrest, Charging and Pre-Trial Screening and Diversion"

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VOLUNTARY PRE-TRIAL DIVERSION  
AND THE QUESTION OF COMPLIANCE:  
A PRELIMINARY EVALUATION

Many of the more serious criticisms of pre-trial diversion programs that appear in the literature are related to the maintenance of control over participants by legal authorities. Customarily, criminal charges against participants are pending and dismissal occurs only after favorable termination by program personnel. Some programs accept clients pre-charge but participants are told that unfavorable termination will result in the filing of charges and prosecution. The voluntary aspects of most programs, therefore, rest exclusively on the individual's choice of whether to participate in diversion rather than to allow the charge to be pursued through the traditional criminal justice process. Even for individuals who are uncertain themselves about their culpability for the offense, the likelihood of prosecution, or the merits of the evidence on which the charge is based, the alternative of pre-trial diversion is one of the offers that cannot be refused.

Among the observations of critics of diversion programs is the issue of expanding social control over individuals who, in fact, have not been convicted of a criminal offense. Low risk participants in diversion would likely be low priority for prosecution and those least likely to be convicted. Furthermore, a number of problems arise from the reinstatement of prosecution for unfavorable termination. First the defense effort may be prejudiced in that unfavorable termination in a diversion program might reduce the probability of negotiating a favorable plea or such prosecution may be given higher priority by prosecuting authorities. Secondly, if the threat of prosecution is not carried out--due to the priority given to more serious offenders who were not eligible for diversion and the usual high case load of prosecutors, program credibility may be reduced among participants. Effective prosecution of such cases may even be hampered by the time lapse between the offense and the unfavorable termination of the diversion participant. Finally, the defendant's right to a speedy trial is usually waived at time of entering a diversion program. However, if several months of participation is followed by unfavorable termination resulting in prosecution, such a waiver may reasonably be questioned.

The exercise of control over participants is behind the criticism that diversion programs may just be mirror of probation. Minimally, they provide a period of supervision-rehabilitation; at the most extreme, they delay prosecution to a later time after some participation in rehabilitative services and perhaps followed by conviction and probation or

Voluntary Pre-Trial Diversion and  
the Question of Compliance: A Preliminary Evaluation  
(Continued)

incarceration. Even for those participants favorably terminated, moreover, although they were not subject to traditional prosecution, they were placed in another system that may be just as intrusive as the criminal justice system given the element of official control. In sum, diversion programs, it is charged, do not truly divert people out of the criminal justice system.

This paper evaluates a pre-trial diversion program that avoids many of these criticisms by enabling client participation that is genuinely voluntary. Individuals are referred by the prosecutor before formal charges are filed and if accepted into the program these charges are not filed. Furthermore, once accepted into the program, the individual's behavior in carrying out the agreed upon terms of participation, and the specification of the terms themselves, is completely voluntary. That is, there are no legal consequences of unfavorable termination and thus no means of coercion or compulsion. The prosecutor has agreed that under no circumstances will the charges be filed and the accused is genuinely diverted out of the criminal justice system.

The obvious drawback to such a program--and the focus of this evaluation--is the high expected probability of non-compliance. Assuming that criteria of eligibility and acceptance into the program do not eliminate all but the most likely to succeed, can such a program succeed?

During the first year of operation, 200 individuals were accepted into the Champaign County (Illinois) Adult Diversion Program. Data were collected on demographic characteristics, behavior with respect to participation, and reasons for termination. In order to pursue the question of compliance, participants who had been terminated in the program by the 13th month of program operations were placed in categories of reason for termination established by the Illinois Law Enforcement Commission. In order to examine the effect of screening decision, participants were also placed into categories of high and low risk. Risk was defined both subjectively and objectively; that is, first, using the program's intake officer's assessment of the probability that the applicant will carry out the terms of a program agreement, and secondly, using current offense and prior offenses as indicators.

The findings are discussed in the remainder of the paper. The absence of an external standard of "treatment success" or "program success" by which to evaluate outcomes makes interpretation of findings a difficult task. Comparison with data from deferred prosecution programs or from other pre-charge programs in which non-compliance results in filing of criminal charges is one possibility. This is only suggestive, however, because there is no agreed upon measure of

Voluntary Pre-Trial Diversion and the Question of  
Compliance: A Preliminary Evaluation  
(Continued)

significance in any difference found. Some issues concerning definition of "favorable" and "unfavorable" in termination decisions that differentiate a voluntary program from others are also discussed.

This paper concludes that while true experimental designs are desirable the implementation of such designs remains problematic in most settings. Systematic analysis and display of data on participation is a necessary alternative as a means of providing accountability to the public. Given the multiple and sometime conflicting goals of diversion--in particular, that of providing services to those most in need and that of providing a humane alternative to those not likely to recidivate--community acceptance may be a legitimate evaluation criterion for a voluntary diversion program. If costs savings and reduction of the case load in the criminal justice system can be demonstrated, the question that must be answered is whether a particular community is willing to tolerate a certain proportion of noncompliance among diversion participants and what the limits of such tolerance may be.

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Panel 2 - Pre-Trial Diversion/  
Intervention

ASSESSING THE IMPACT OF TREATMENT AND OTHER FACTORS  
ON SUCCESSFUL COMPLETION  
OF A PRETRIAL INTERVENTION PROGRAM

A pretrial diversion program for first offender misdemeanants is evaluated using multivariate analytic techniques and models. These analyses provide: (a) an assessment of the impact of pre-trial diversion on participating defendants, and (b) a determination of the independent (demographic and socio-economic) and treatment variables which are associated with the observed results. Both descriptive and analytic techniques are used to explore a set of principal and interrelated questions: (1) Does the data indicate that diversion has had a positive effect on participants? (2) Which aspects of the program account for the relative successes and failures of project participants? (3) Which participants, as determined by intake and demographic variables, are likely to succeed in such a program? (4) Which services have had what impacts on what kinds of participants? Analytic models determined through discriminant analyses, are employed to determine a set of explanatory variables which can be included in predictive models for each project outcome (dependent variable). The findings therefore have theoretical and practical significance regarding early intervention and rehabilitation of first offender misdemeanants through deferred prosecution and increased access to counseling and employment related services.

Discriminant function analysis suggests that demographic and intake characteristics are the strongest predictors of program success both in court disposition and in job placement. In both instances, family stability (marital status, head of household) and social class (family income) were critical predictors, as well as age and sex variables. For job placement, a participant's labor status at arrest is the strongest predictor of job placement at termination. As expected and indicated in the literature detailing previous evaluative efforts in diversion, employment-related services were influential for each employment outcome, but were not significant in court dispositions. Counseling services were shown to have little or no effect in either termination state. Neither counseling modality was indicated as a predictor of either program success or upgrading employability.

Defendants exited the program socially dichotomized similarly to their intake status. Employed persons tended to exit the program in their original or newly-acquired jobs, while young, poor, and economically disenfranchised individuals remained unemployed and with

Assessing the Impact of Treatment and  
Other Factors on Successful Completion of  
a Pretrial Intervention Program  
(Continued)

little noticeable change in their socio-economic status. Those who received favorable recommendations for court dispositions also tended to be those persons who reflected "middle-class" societal characteristics: older, married, and with incomes well above poverty level. In addition, these individuals tended to be persons who were not receiving any form of public assistance.

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Panel 2 - Pre-Trial Diversion/  
Intervention

THE USE OF PSYCHO-SOCIO-EDUCATIONAL  
INSTRUMENTS TO IDENTIFY AND MEASURE  
DEFICIENCIES WITHIN TWO SAMPLES OF  
PRE-TRIAL INTERVENTION OFFENDERS

One of the most recent and promising innovations within the criminal justice system is the pretrial intervention (sometimes referred to as diversion) programs. These new projects are aimed at reducing the criminalization process (i. e., stigmatizing labels, acquiring an official criminal record, etc.), providing acceptable alternatives to the more traditional forms of punishment, reeducating the offender in order to alleviate certain educational and work related deficiencies which might have lead the individual to commit the crime in the first place, and the development of other personal-social skills (National Pretrial Intervention Service, 1974). Even though the present study focused on samples of adult pretrial intervention offenders, a number of pretrial intervention projects defer juvenile offenders from the criminal justice system. The investigators believe that the same research methods used with the adult pretrial offenders could also be employed with samples of deferred juvenile offenders. In fact, the deferring of juvenile offenders from the criminal justice system would facilitate the reeducation and counseling strategies used with defendants by providing the needed input into an offender's life at an earlier stage (adolescent years) then the intervention process which takes place with adult offenders at a later stage in the offender's life.

The scope of the present study was limited to an examination of selected psychosocio-educational instruments which were chosen to aid the staff in determining the needs/deficiencies of each incoming potential pretrial defendant. Once an individual was found "acceptable" to the project personnel, an educational and counseling program was developed for the offender based on his/her test results and other relevant background information.

The purpose of utilizing the psycho-socio-educational instruments at the screening intake level was to be better able to identify and measure important areas which were believed to be critical for "good" adjustment (acceptable to the public) within the community. After all, the offender's ultimate success within a community is based on whether he/she has developed sufficient skills and behaviors to be judged by the public as a worthwhile and productive member of the community. Without the community's acceptance of the offender, the reeducation and restoration of the individual is greatly hindered (National Conference on

The Use of Psycho-Socio-Educational Instruments to  
Identify and Measure Deficiencies Within Two  
Samples of Pre-Trial Intervention Offenders  
(Continued)

Criminal Justice, 1973; Pre-Trial Intervention, 1974; Rovner-Pieczenik, 1974, The Public Looks at Crime and Corrections, 1967).

The subjects (Ss) who comprised the non-offender sample were drawn from "law-abiding" students who attended either a Community and Technical College or Adult Basic Education program located in the Northeastern part of Ohio. Ninety-four Ss comprised the non-offender sample. On the other hand the Ss who made up the offender samples were drawn from pretrial participants who had already been either "accepted" into or "rejected" from a pretrial program operating in Northeastern Ohio. Ninety-eight Ss comprised the offender sample.

The research design that was used in this study was ex post facto. Even though this research was ex post facto in nature, it was guided by hypotheses and by past and present theoretical and empirical data. The analysis of data was accomplished by utilizing multiple linear regression analysis which is the general case of the least sum of squares solution.

The research findings of this investigation have demonstrated that those Ss who comprised the "accepted" (screened in) pretrial intervention group were significantly different at the .05 alpha level when compared to the non-offenders on the following variables: the Social-Nonconformity Scale of the Psychological Screening Inventory (PSI), the Debts Scale of the Environmental Deprivation Form (EDF), and the Church Scale of the EDF. On the other hand, the research results of this study suggested that those Ss who made up the "rejected" (screened out) pretrial intervention group were significantly different at the .05 alpha level when compared to the non-offenders on the following variables: the Cooperativeness Scale of the Test of Social Insight (TSI), the Total Score Scale of the TSI, the Church Scale of the EDF, and the interaction of the Total Deprivation Score Scale of the EDF by the Total Score Scale of the TSI

Based on the research findings, a number of treatment strategies are suggested for the pretrial intervention program staff to implement. In addition, the investigators have indicated recommendations for future research.

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Panel 2 - Pre-Trial Diversion/  
Intervention

EVALUATION OF ADULT DIVERSION PROGRAMS:  
THE CALIFORNIA EXPERIENCE

In the early part of 1974, the Research Unit of the California Department of Corrections was awarded a contract by the State Office of Criminal Justice Planning to conduct an evaluation of adult diversion programs receiving LEAA funds through that agency. On a statewide basis 16 adult diversion projects were selected for evaluation. There are projects with relatively small or large budgets. Some are located in major urban centers and others are in rural communities. The 16 projects evaluated concern: pre-trial intervention projects, residential facilities, and alcohol detoxification centers. Every project attempts to minimize the client's penetration into the criminal justice system.

This statewide evaluation project has been in operation for the past two years. The nucleus of this article will concern discussion of factors with regard to: how the notion of pre-trial intervention has been applied in California, the range of program effectiveness, procedures, and clients that are dealt with; difficulties associated with the implementation of pre-trial diversion projects, services rendered both direct and indirect. Of special significance will be an analysis of data collected from each category group concerning clients served.

The California Department of Corrections Statewide Evaluation Project of Adult Diversion Projects was a major endeavor, both in staff and funding. The difficulties, limitations, and elements of operation should be most valuable to everyone interested in the role of governmental agencies and criminal justice program evaluation. The experiences, data, and insights gained from this project are useful to improvement and operation of future evaluation efforts. This article will attempt to deal in a general manner, with the above mentioned areas, and the hazards and experiences from our California work.

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PRE-TRIAL DIVERSION/INTERVENTION EVALUATION REPORT

The evaluation of six adult pre-trial diversion projects funded by the Governor's Commission on Crime Prevention and Control in Minnesota is intended to provide information useful in decision-making by the Crime Commission, criminal justice planners, and project administrators. There are three major substantive sections in the evaluation: (1) a description of the pre-trial diversion processes in the six projects, (2) an analysis of the costs of the projects, and (3) an assessment of the success of the projects in reaching their stated goals.

A review of the literature revealed there was much confusion surrounding the concept of pre-trial diversion. The evaluation proposed the use of two factors--criminal justice system control and service delivery--for classifying projects within the general concept of pre-trial diversion. Through the use of this method, it was apparent that the six Minnesota projects are appropriately labeled "intervention" projects. To be accurate, therefore, the subject of this evaluation is pre-trial diversion/intervention.

Data were collected at participant intake, at termination from a project, and at four time periods after termination (6, 12, 24 and 36 month intervals) on all clients from each of the six projects for the period of Commission funding (usually three years). Because of the recent inception of the projects, data sufficient for analysis have not been collected for the last two follow-up periods. The data collected fell into three categories--demographic, socio-economic, and criminal history and/or activity (including reinvolvement with the criminal justice system).

The description of the projects revealed that there is no standard referral source for all the projects. No project has a referral system balanced among several officials; all projects rely upon one primary referral source who is either a prosecutor, defense attorney, or bail screening unit. Only one project has large percentages of its diversions approved by each of the court actors (judge, prosecutor, and defense counsel); the other projects rely upon only one or two of the actors.

When a size factor was included in the analysis, it was found that funding was similar for four of the six projects. There were delays in implementation for all projects due to the length of time required

Pre-Trial Diversion/Intervention Evaluation Report  
(Continued)

for fund transfers and hiring. Only two of the projects have reached desired levels of counselor caseload, but neither has met the clientele composition requirements placed on it by the Crime Commission. There is no indication that the projects have reduced court caseloads. The cost per client in the Minnesota projects covers a wide range, and the combined average for the projects for both cost per client and cost per favorable termination was less than those of the projects from cities outside Minnesota.

In the assessment of the projects in reaching their stated goals, it was found that successful project participation was related to a reduction in the needs of clients. In virtually all cases, those participants who have been favorably terminated from the projects have had their court cases dismissed. Only participants in one project demonstrated a great increase in school enrollment. Favorably terminated participants in three of the projects demonstrated a significantly greater increase in occupational skill level than did those unfavorably terminated. The same three projects showed a significant increase in employment. There was no significant difference in reinvolvement with the criminal justice system between favorably and unfavorably terminated clients during the follow up periods.

The evaluation is concluded with two short sections on legal issues and recommendations.

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PANEL 3

EVALUATING ALTERNATIVES TO INCARCERATION

Panel 3 - Evaluating Alternatives  
to Incarceration

INTENSIVE SPECIAL PROBATION PROGRAMS

As part of LEAA's National Evaluation Program, Georgia Tech was awarded a Phase I grant in the area of Intensive Special Probation. The research was conducted from January, 1976 until November, 1976. Included in the study was a thorough study of the literature, visits to twenty sites, and the synthesis of all collected information.

The study of past findings is inconclusive that caseload reduction results in a decrease in recidivism. Site visits to ongoing projects and recently prepared reports of additional sites claim decreases in the recidivism rate, but the associated evaluation designs may not be strong enough to warrant such claims.

Additional findings show only weak evidence of success of volunteer projects. However, projects specializing in serving particular client groups offer evidence of successful outcomes.

A serious problem of measurement was uncovered. There are no standardized measures for process or outcome which are widely used. Almost every element of information about intensive special probation is knowable through direct empirical study yet almost nothing is scientifically known and little will ever be known until measurement techniques are improved.

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ALTERNATIVES TO INCARCERATION:  
HUMANE CORRECTIONS OR LOW COST SOCIAL CONTROL?

Community Corrections has become a catch phrase among correctional innovators, and a wide new range of alternatives to the traditional incarceration patterns has evolved. Probation and Parole agencies may frequently be involved in these new forms of corrections processes, but more often than not, new agencies, governmental units not associated with the justice system, and in some instances even the private sector itself, have come to play roles in the corrections subsystem of the criminal justice system. These new actors and their systemic roles give rise to the questions of whether or not such new participants bring a new focus to corrections, or merely alter its apparent impact on and cost to society at large.

This paper will be addressed to community-level programs for persons adjudicated delinquent, thus avoiding discussion of the legal and other problems of pre-trial diversion efforts. Specifically, the types of settings to which persons might be sentenced will be examined for the implications of those settings for "corrections" as a process impacting on clients and for the effect of such redirection of the flow of clients away from the justice system and its institutional corrections locales.

In its discussion of new community settings for the serving of sentences the paper will assume that the judgement rendered by the court on the offender was that some sentence in excess of a term of simple probation was in order. Thus, the settings in question will lie along a spectrum in degree of social control running from the level of probation to the extreme of incarceration. Included will be halfway houses and community residences, heavier than normal probation supervision, probation conditional on continued participation in other programs and the like.

A theoretical discussion of the range of alternatives and their implications for corrections and social control will be developed, focused on both the degree of supervision and the auspices under which control is exercised. This discussion will be followed by analysis of the social control and corrections outcomes of several community settings operated in the United States under criminal justice system

Alternative to Incarceration: Humane Corrections or Low Cost  
Social Control? . . . cont.

sponsorship, participation or contro. (\*) The paper will conclude with an agenda for further research into the role played by different forms of community-level corrections alternatives to incarceration.

\* Data will be drawn from materials gathered by the author while working under grant 75 NI-99- 0118 from the National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, U.S. Department of Justice. Anonymity of agencies and agency locations will be preserved.

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## EVALUATING PROBATION PROGRAMS IN OHIO

The State of Ohio has a State Probation System, officially known as the Probation Development Section of the Ohio Adult Parole Authority, Department of Rehabilitation and Correction. The Section provides State Probation Officers to Common Pleas Courts (felony jurisdiction) upon request, provided an agreement is signed and funds are available. In 1975, fifty-five of the eighty-eight Courts had State Officers assigned to them.

Because of the large increase in commitments to the State's institutions during the past two years, the Section conducted research to determine what course of action the Department might take to reduce commitments. Results of that research indicate that commitments could be substantially reduced by increasing the number of State Probation Officers to the level requested by the Courts and dictated by the increasing caseload of the Courts.

The first study conducted was for the purpose of determining what influence the State Probation System had on the total number of cases disposed of by the Common Pleas Courts. Although the number of cases disposed of by the Courts does not represent convictions, it does give an indication of the increasing caseload in the Courts. The results indicate that for the past two and one-half years, the majority of cases disposed of by the Courts has been in counties receiving State Services. It also indicates that 40 to 44% of those cases are referred for Pre-sentence Investigation to State Probation Officers. Therefore, it suggests that if more State Officers were available, more referrals would be made.

The second study was undertaken to determine what happens to the cases referred to State Officers. The data indicated an increasing commitment rate from 1973 thru 1975. In order to determine if State Probation cases were contributing to this increase, all of the 5,260 PSI's assigned to State Officers were traced through the Corrections Department. This involved comparing the 5,260 cases with approximately 35,000 cases in the Department. The results are rather astounding. The commitment rate for State Probation Officers is 19.6%, which is comparable with the Saginaw Project, completed almost 20 years ago. However, when Shock Probation Releases are subtracted, the actual commitment rate is 12.9% of the total number of cases assigned to State Officers. With the commitment rate this low, the logical question is whether or not the revocation rate increased. It, however, remained relatively the same as it has been over the last ten years, which is 6% per year of the average number of cases under supervision.

Evaluating Probation Programs in Ohio  
(Continued)

Finally, the study which seems to be most significant, was undertaken to determine the most effective way of controlling institutional commitments of cases assigned to State Probation Officers. Since its inception, the State Probation System has operated under an administrative review system, whereby cases completed by State Officers were not presented to Courts until they had been approved, including the recommendation, by a Central Office Staff member. In July, 1975, due to budgetary constraints, the review system was delegated to the Unit Supervisor Level. It was decided to study the two methods of review as to effectiveness, the main criteria being whether or not commitments to the institution increased without Central Office review. If commitments increased, then the reasons why would have to be determined. PSI and PV recommendations and Court sentences on those same recommendations were gathered for the first four months on 1975 and 1976, the first group being under the Field Review System. Although all of the data has not yet been analyzed, it does indicate an increase in commitments to state institutions under the Field Review System when compared with the Central Office Review System. Further analysis, to be completed within two weeks, will provide the reasons for the increase.

These three studies provide a complete evaluation of a State Probation System, including the most effective way to reduce institutional commitments while maintaining community safety. The results are comparable to some previous research projects, i. e., the Saginaw Project, Case Decisions in a State Parole System, the book, Inside Bureaucracy, by Anthony Downs, etc.

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PORT PROJECTS: ALTERNATIVES TO INCARCERATION?

I. Purpose of Study

PORT projects were initiated in Minnesota to serve as a less costly and at least equally effective alternative to institutionalization for offenders who are not perceived by judges and probation officers as good probation risks.

Development of alternatives such as these has constituted a major focus for corrections programming and research during the past several decades. The results of most of the research have indicated two major conclusions:

1. On the basis of random assignment to institutional settings vs. intensive parole/probation/residential treatment, experimental subjects not assigned to an institution did no worse in terms of recidivism that did institutionalized offenders;
2. For experimental subjects, increasing the intensity of community supervision above "normal" levels resulted in no significant reduction in recidivism rates.

In addition to the question of recidivism effectiveness, a second community corrections evaluation issue concerns social control. It has been suggested by Lerman and others that community corrections results in an increase in social control at every level of the system: offenders who might have received suspended sentences are put on probation; those who would have been put on "regular" probation are being required to serve jail sentences or reside in a treatment facility, and so on up the line.

This study is directed toward the second issue and is designed to answer the following question: Are PORT programs being utilized primarily as an alternative for offenders who would otherwise have been incarcerated, or are they instead used for offenders who might have been assigned to more minimal probation supervision had the PORT programs not been available?

II. Method

The areas selected for the study are Dodge Fillmore Olmsted and Ramsey Counties, each of which have PORT projects that have

PORT Projects: Alternatives to Incarceration?  
(Continued)

been functioning for four or more years. Anoka County, which has no PORT program was selected as a control. Data was collected on offenders sentenced for gross misdemeanors and felonies from the middle of 1972 through 1974. Samples were constructed as follows: One for each of three probation populations, one for each of three institutional populations, and for each of the two PORT populations. PORT clients can be compared to institutionalized and probationed offenders both within the same county as well as from a county having no PORT-type program. All of the groups were randomly chosen except for the two PORT groups and the Rochester Institution group, where the entire populations were included.

III. Conclusions

PORT samples tended to be more clearly differentiated from probationed samples than from institutionalized samples. The variables most clearly differentiating PORT from probationed offenders are current age, age at first adjudication and prior record. The variable most clearly differentiating PORT from institutionalized offenders are current age and current offense. The sentencing patterns found in the data are, on the whole consistent with the objectives underlying community corrections.

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AN EVALUATION OF THE LEAA REPLICATION OF THE DES MOINES  
COMMUNITY-BASED CORRECTIONS PROGRAM

The Polk County (Iowa) Department of Court Services was "created to serve as an administrative framework for the coordination, integration and development of projects providing alternatives to the traditional institutions of the criminal justice system." Four components were organized within the Department. The two pre-trial components (release on recognizance and supervised release) predated the Department of Court Services. The two other components (intensive probation and community based corrections) were implemented at the time the new Department was organized.

The basic intent of the new Department was to equalize justice and reduce the stigmatizing effects of pre-trial and post-trial incarceration. It was assumed that "the overwhelming majority (of offenders) come from uneducated, unskilled, and economically deprived portions of the population," and because of these disabilities suffer various inequities when being processed through the criminal justice system. The Des Moines Project meant to alleviate these inequities, but retain community safety as a primary objective.

The Des Moines Project was judged successful because it crystallized two major thrusts in criminal justice policy -- alternatives to confinement and system organization. Thus, it represented a potential major effort in the field if it was demonstrated that the concept could produce similar results when established in new environments. The selection of the Des Moines Project as an exemplary program reflected the assessment by LEAA that the original project was a success. The decision by the Office of Technology Transfer to fund and evaluate demonstration/replication projects was prompted by the necessity to determine the transferability of the Des Moines concept. Five sites were eventually selected for federal funding.

LEAA funded an evaluation team from Florida State University to study the replication effort in five locations. This paper summarizes evaluation findings for one site: Salt Lake City, Utah. General findings of the evaluation are:

1. Salt Lake City was able to implement the replication project.

An Evaluation of the LEAA Replication of the Des Moines  
Community -Based Corrections Program  
(Continued)

2. SLC's version of the project was publicly justified, and eventually funded, in a manner consistent with community interest and political exigencies.
3. Some of the replication components underwent an evolution caused by local organizational interest.
4. SLC's project had an impact on caseflows as reflected in pre-trial confinement, dispositions, sentencing, failure to appear and rates of criminal behavior.
5. The ultimate outcome of the Salt Lake City Project served both "system" and "client" interests.
6. The project had an effect on the working relations between components of the criminal justice system, and upon community attitudes toward the criminal justice system.

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## EVALUATING COMMUNITY SERVICE DELIVERY TO OFFENDERS

Providing efficient and effective service delivery to correctional clients is a difficult task. Clients frequently view service providers with a mixture of trust and suspicion which interferes with the service-giving process. Program evaluation methods can help managers address this problem by identifying offender groups who benefit rapidly from services and contrasting them with offender groups who fail in the midst of service delivery.

Community Correctional Services is a court services agency which provides employment assistance and career counseling to offenders from every point within the local criminal justice system. Clients include pretrial releasees, probationers, parolees, and ex-offenders. The current recidivism rate for all C.C.S.-served clients is 10% though the program has only been operational for 14 months. Apart from this rough index of program success, however, there continues to be a need to identify the characteristics of offenders who do not profit from program services. The program director and evaluator have evolved a method for identifying these characteristics and adapting service delivery in an attempt to promote success.

Background characteristics (24 demographic variables) were contrasted for 20 successful and 30 unsuccessful clients. Client failure was defined as rearrest following service delivery. Number of weeks unemployed and yearly income were two of several variables on which there was wide and statistically significant separation between successful and unsuccessful client groups. These demographic characteristics were then correlated with ten service delivery variables to determine if employment help had been differentially given to certain offenders who succeeded or failed.

The resulting information was used in consultation with service delivery staff. Changes made by staff included a higher rate of initial contact and a more intensive service package for those offenders who (on the basis of background information) were high risks for potential failure. It is too early to determine if these changes will result in a lower overall recidivism rate. An additional 12 months of follow-up is underway which will help us decide if this approach to process evaluation will have lasting utility.

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SHOCK PROBATION: A NATURAL EXPERIMENT ON THE EFFECT  
OF A SHORT PERIOD OF INCARCERATION

Shock Probation is a mixed sentencing alternative incorporating features of both probation and incarceration. It was instituted in Ohio to give Judges an optional sentence for use primarily with young naive offenders. Advocates purport that it gives felons sufficient experience with prison (120 days maximum) to deter them from future crime with out risking "prisonerization." Opponents argue that Shock Probation makes regular probation more difficult in that felons are stigmatized and will assume that they have paid their debt to society. In addition it was thought that Judges might be tempted to use Shock Probation as a means of demonstrating to the community that they do not "coddle" criminals and then releasing inmates when public furor has died down.

The purpose of the present study was to describe the characteristics of Shock Probationers, determine an accurate recidivism rate, subsequent recidivism. The sample for the study consisted of all 418 males released on Shock Probation during 1969. Information was collected on 79 variables consisting of: demographic, personal history, academic, vocational, and psychological test matters. A Federal Bureau of Investigations Criminal Abstract was obtained for each felon during the latter part of 1974. The rap sheet provided information on arrest and conviction rates prior to the 1969 offense and for a minimum of four years nine months after release on Shock Probation.

The 1969 Shock Probationers were predominately young, uneducated, and unskilled. They displayed a normal distribution of intelligency scores. The marital and vocational histories suggested loose ties to the community. In general these felons do not differ from the general prison population with regard to standard background variables. Contrary to the intent of the Shock Probation Stature many of the felons had extensive criminal histories beginning with records: 60% had arrest histories; 40% had at least one prior felony conviction; and 19% had been currently convicted of a felony which was violent or potentially violent. Fourteen percent of the felons had served at least one prior prison sentence. In all these things it would appear that Shock Probation had not been used as the advocates had proposed.

It was found that within a minimum of four years after release 49% of the men had been rearrested, 32% were again convicted at least once for a felony, and 24% of the men had been returned to prison on at least

Shock Probation: A Natural Experiment on the Effect of a Short  
Period of Incarceration . . . cont.

one occasion.

The Shock Probation Bill mandated that felons serve between 30 and 130 days. The median time served in the present study was 95 days. However, 40% of the sample had served longer than 120 days. In effect a natural experiment had taken place. We found that it was possible to study the effects of a short period of incarceration on subsequent recidivism. Fifty-nine white felons who had served between 91 and 120 days were matched to like numbers of felons released under the same statute but who had served either between 1 and 90 days or between 150 and 365 days. The groups were matched for seriousness of prior crimes, seriousness of the current crime, age, and intelligence. An analysis of variance showed that the amount of time served had no effect on the subsequent number of felony convictions. A two way analysis of variance which compared time served (as described above) and race (black and white) for ten matched subjects per cell also showed no main effects for time served, race or the interaction of these variables.

Further analyses considered only those men who met the definitional requirements for Shock Probation (never been to prison, less than three felony convictions and had been convicted of a less serious offense) t-test were conducted between those men who had served less than 121 days (n=187) and those who served longer than 120 days (n=94). No significant differences emerged when the numbers of arrests, convictions, prison sentences or the most serious subsequent offense were used. In addition the length of time the subjects were on the street prior to the next arrest was also not significantly different. It can be concluded that incarceration for less than four months is no better or no worse than incarceration for up to one year.

Psychologists have long maintained that punishment disrupts and stops ongoing activity. It does not alter the performance of behavior except in the presence of the punisher. The present study is in agreement with this principle. It would appear that one can seriously deviant behavior.

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PANEL 4

COMMUNITY RESIDENTIAL TREATMENT FOR JUVENILES

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Group Home Study in Washington State"  
Jack O'Connell, Law and Justice  
Planning Office, Olympia, Washington

Panel 4 - Community Residential  
Treatment for Juveniles

PROBLEMS IN JUVENILE JUSTICE EVALUATION DESIGN:  
SHELTER CARE PROGRAMS

The Evaluation Unit of the Governor's Commission on Crime Prevention and Control for the State of Minnesota is undertaking a comprehensive evaluation of shelter care facilities over the next year. The design of such an evaluation provides a good prototype for highlighting the many problems involved in evaluation designs for the juvenile justice area. Hopefully, it will also demonstrate more or less effective strategies for overcoming these problems.

The Shelter Care Program, as is true of many in the juvenile justice area, is an "emergency" response to a change in the legal environment. In most cases with such ad hoc treatment programs there is little or no capacity on the part of planning agencies to set up experimental designs in the field. In this case the program is a direct response to Minnesota state law which requires the cessation of secure detention for status offenders. Therefore it is not possible to use secure detention as a possible treatment category. Also, because record keeping in the juvenile system is, at best, misleading we have no sound baseline data on which to measure things like numbers of status offenders securely detained prior to the program, much less things like recidivism rates for status offenders who have experienced secure detention.

As with many juvenile programs a major long range goal is to limit as much as possible the penetration of youth into the system. This presents problems because, first, it is based on highly tenuous theories of labeling and institutional socialization -- theories which provide few testable hypotheses concerning expected direct and indirect effects; and second, it requires expensive long term longitudinal study, an area in which behavioral science methodology and technology is perhaps the weakest. On top of this is the fact that the Shelter Care Programs are only a very small part of the diversion philosophy of juvenile treatment and are actually involved with a client for a very short time. This requires tracking through many potential diversion referrals which pose a myriad of possible confounding effects.

The potential for unintended consequences from such a program is also very great. The basic problem in the juvenile justice area is that given our limited descriptive knowledge of the juvenile justice system we have very little idea about how the effect may spread through the

Problems In Juvenile Justice Evaluation Design: Shelter Care Programs...  
Continued

system. Thus it is difficult to know where to look, much less guess what we might find.

One of the more nagging problems which has troubled the juvenile area for a long time and is now becoming a significant block to evaluation research is the issue of privacy and security of juvenile records. Not only are court records becoming increasingly difficult to come by, but even minimal information on clients participating in projects we fund is being limited. One of the problems here is the lack of firm guidelines for privacy and security and the legitimate dissemination of information. This, of course, raises the general problem of the lack of uniform definitions and administrative procedures in the juvenile area across jurisdictions even within the same state. This may be complicated even further by the possibility that this evaluation will be a joint effort with the State of Wisconsin. This is a problem which we may be able to take advantage of in the creation of rather robust quasi-experimental comparisons, but this is only a hope.

In summary, our paper will use the shelter care evaluation design as a means to focus on the general problems of data, analysis, and inference in evaluation designs which deal with juvenile justice treatment programs.

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ALTERNATIVE APPROACHES TO JUVENILE  
CORRECTIONS: A CASE STUDY

In recent years, professionals in the area of juvenile delinquency have argued that traditional methods of treatment in the juvenile justice system are both inhumane and inefficient. The state training institutes have been viewed as prisons where youths receive minimal treatment services and are taught the principles of crime by the more "hard core" juvenile offenders also incarcerated. As a response to these beliefs, many LEAA funds have been directed to the development of treatment alternatives. One such alternative has been the community-based residential treatment facility, the small group setting for delinquents which is designed to provide residential care and intensive treatment for extended periods of time.

In a paper assessing such a program in New Orleans, several issues are addressed relative to the feasibility of such a project, the limitations of such a project once implemented, the role and responsibilities of LEAA if the project is implemented in a manner inconsistent with the original planning document, and the usefulness of the community-based residential treatment facility as an alternative to traditional methods of treating the juvenile offender. A case study in design, the evaluation represents a shift from the more recent innovations in project evaluation. Proceeding from the assumption that the project design must maintain its internal logic if the evaluator is to use a more rigorous analytic model, the writer utilized the case study format in order to highlight issues that arise as a result of the diminution of the demonstration/experimental character of projects (in addition to the discussion of the residential facility as an alternative for juveniles).

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## Panel 4 - Community Residential Treatment for Juveniles

### A CONSUMER SATISFACTION FORMAT FOR EVALUATING COMMUNITY-BASED TREATMENT PROGRAMS FOR JUVENILE OFFENDERS

While the concept of community-based residential treatment for youthful offenders is not new, the emphasis on program evaluation of such facilities has appeared relatively recently. In years past, the common sense of youngsters at risk receiving humane care from sympathetic houseparents in a comfortable children's home was enough to sustain ideological as well as financial support for such facilities. As our increasingly complex juvenile justice system collides with the emerging era of accountability, however, face validity is no longer sufficient to ensure the survival of youth care/treatment enterprises. Program evaluation has become the watchword of those programs that wish to endure. Evaluation seems to be particularly critical to facilities that: 1) are new; 2) depend on public financial support; and 3) purport to offer a progressive or otherwise novel intervention strategy.

Depending on the level of sophistication attempted, program evaluation can be a complicated and time consuming undertaking. A carefully planned, adequately funded, and well executed evaluation, on the one hand, can produce objective and convincing data depicting the cost-benefit effectiveness of the program being evaluated as compared with that of available alternative programs of facilities serving the same population. Evaluation at this level typically focuses on long-term treatment outcome, i. e., the durable, post-treatment effects of the treatment program. As desirable as it is, this level of evaluation is arduous, slow, and expensive. It may be, hence, infeasible for short-term demonstration projects and ill-suited to all but the more durably entrenched ongoing programs.

Community-based treatment programs, especially those whose funding is fragile or uncertain, must consider more expedient and less expensive evaluation formats. The method and results of a meaningful evaluation strategy ideally suited to community-level intervention programs will be described and discussed. The distinctive features of this evaluation format are its simplicity and its focus on the satisfaction with the treatment program of those most directly affected by it (i. e., the programs' consumers). Among the eight group homes for youthful offenders where this evaluation format has been refined, program consumers include the youths themselves, the parents and teachers of the youths, the homes' boards of directors, and all agency and court professionals who have any contact with the homes or their residents.

Consumer Satisfaction Format for Evaluating Community-Based Treatment Programs for Juvenile Offenders . . . Continued

Briefly, the evaluation is administered by mail and solicits both quantifiable satisfaction ratings as well as spontaneous comments from consumers to such questions as, "How effective is the program in solving the problems of the youths it serves." The most apparent advantages of this consumer oriented evaluation format over more traditional evaluation techniques include the following:

1. Evaluation data are derived from those who are in the most direct and regular contact with the program.
2. Direct and specific feedback from the primary recipients of the treatment program, the youths themselves, is solicited.
3. Consumers are given a frequent and constructive vehicle for expression of problems.
4. It is economical enough to be administered frequently if multiannual evaluation is deemed desirable.
5. It is designed to provide performance feedback to the treatment staff as well as program feedback to administrators.
6. The consumer oriented aspect of the evaluation can be easily supplemented by a professional evaluation if an in-house or independent evaluation staff is available.
7. Multiple observers in each consumer category afford an inherent opportunity for checking evaluation reliability.

The paper will conclude with a demonstration of how this consumer oriented evaluation, presently in use at the Bringing It All Back Home Project in North Carolina, can be adapted for use by other community-based agencies and treatment facilities serving youths at risk.

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Panel 4 - Community Residential  
Treatment for Juveniles

A CONSUMER AND OUTCOME EVALUATION OF COMMUNITY GROUP  
HOMES FOR JUVENILE OFFENDERS: A COMPARISON OF THE  
EFFECTIVENESS OF TRAINED AND UNTRAINED CHILD-CARE STAFF

The last decade of juvenile corrections has been characterized by an increasing trend toward community-based services. The availability of state and federal funds to develop and maintain community treatment programs has resulted in the widespread development of group-home programs for juvenile offenders. With increased expenditures of public funds to develop and maintain these largely untested programs, has come a corresponding pressure to carry out evaluations.

This paper will describe the current results of an ongoing evaluation of the effectiveness of community-based group home programs based on the Teaching-Family Model of group home treatment (Phillips, Phillips, Fixsen, and Wolf, 1974). The evaluation provided the opportunity to conduct research on two topics that appear to have implications for the development and evaluation of group-home programs. The research focused on (1) a comparison of the effectiveness of trained versus untrained group home staff on treatment outcomes and (2) examined the relationship between subjective measures of effectiveness (which are practical to obtain and provide rather immediate feedback regarding consumers' perspective of program effectiveness) and the more traditional, but difficult to gather, outcome measures of police and court contacts and institutionalization rates. The Teaching-Family programs which are directed by professionally trained child-care staff (teaching-parents) serve 6 to 8 court-adjudicated adolescents. The treatment emphasis is on providing the youths with behavioral alternatives through the use of relationship-development, educational, motivational, self-government and advocacy procedures in a family-type setting.

The evaluation system has been applied to seven Teaching-Family programs (the original Teaching-Family home, Achievement Place, and six group homes which were replications of the first program) and to 5 comparison group homes which participated in an evaluation of community-treatment programs carried out for the state of Kansas (Kirigin, Fixsen, and Wolf, 1974) and LEAA (Kirigin, Fixsen, Phillips, and Wolf, 1974). The comparison programs were staffed by house parents (married couples in four programs and individual house parent staff in one program) and served youths with characteristics similar to youths in Teaching-Family programs.

A Consumer and Outcome Evaluation of Community Group Homes  
For Juvenile Offenders: A Comparison of the Effectiveness of Trained  
and Untrained Child-Care Staff . . . Continued

Effectiveness measures consisted of traditional objective measures of outcome gathered from the police and court records and subjective ratings of program effectiveness obtained from the consumers served by the program (e. g., the juvenile court, welfare, board of directors, the youths' parents and public school teachers, and the youths themselves). A standardized measurement system was developed to permit reliable recording of offense rates and post treatment institutionalization. (Kirigin, Fixsen, Phillips, and Wolf, 1974).

Complete data have been collected and analyzed for seven of the 12 group home programs. The preliminary results thus far indicate:

- (1) a significant correlation ( $r = -.71$ ) between the subjective ratings from the program's consumers and the traditional objective measures of effectiveness (i. e., offense rates).
- (2) the Teaching-Family programs appear to be more effective in reducing the level of offenses during the time the youths are in the group-home.
- (3) approximately half as many youths from Teaching-Family group-homes were placed in institutions during and following treatment than youths in comparison homes (15 percent vs. 31 percent).
- (4) in spite of the during-treatment differences in offense rates, post-treatment offenses appear to be equally high for both Teaching-Family group-home programs and comparison programs.
- (5) programs directed by professionally trained staff appear to be more highly evaluated by their consumers than programs staffed by typical untrained house parents.

The results of these preliminary program evaluations suggest greater effectiveness in group-home programs operated by professionally trained staff. In addition, the results support the use of consumer evaluations as an immediate and easily obtainable measure of program effectiveness.

Panel 4 - Community Residential  
Treatment for Juveniles

AN EXAMPLE OF HOW COST -BENEFIT ANALYSIS CAN BE  
USED FOR MANAGEMENT AND EVALUATION OF A COMMUNITY  
PROGRAM FOR JUVENILE CORRECTIONS

This paper describes how cost-benefit analysis can be used to develop criteria for project monitoring and for project evaluation. The analytical setting is an evaluation of a new project - a community alternative to an institutional setting for youths in the juvenile corrections system. The eventual success or failure of this alternative project is a function of project management, and the major influence of project management on the eventual (benefits ÷ cost) score is emphasized here.

The cost-benefit analysis described is based on a model which considers three sets of factors: "Cost savings" due to the alternative project, the costs of realizing these "cost savings" and differences in productivity of the youths in the two settings. A set of algebraic formulas and graphs are used to describe the model. The data were developed from the institutional records, budget studies and interviews. Only simple statistical techniques are used in data analysis. This model can be replicated for other situations. The model is also used to prepare a simulation of possible future performance of the alternative project, and this simulation analysis indicates "good" and "poor" combinations of performance measures. The performance measures are plotted on a graph and can be used for project monitoring.

In the initial months of the alternative to institutionalization project, the project did not show satisfactory performance. The recent data are more encouraging.

In addition to describing the cost-benefit analysis and methodology, this paper will discuss some propositions about cost-benefit analysis. These propositions outline important concepts to consider when using evaluation for decision-making. These are:

- (1) That cost-benefit analysis is a type of hypothesis testing. The technique is especially good for comparing alternatives, but the technique is subject to the same risks and limitations we associate with statistical hypothesis testing.
- (2) That cost-benefit results are very much a function of management actions.

An Example of How Cost Benefit Analysis Can Be Used for Management  
and Evaluation of a Community Program for Juvenile Corrections . . .  
Continued

- (3) That cost-benefit analysis can be used to develop objectives and targets for management monitoring and self-evaluation, and these guidelines should help the project managers.

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PANEL 5

EVALUATING DRUG TREATMENT PROGRAMS

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"A Follow-up Study of Former Clients of Drug Treatment Programs in Washington, D.C. and New York City"

Marvin R. Burt, Institute for Human Resources Research, Bethesda, Maryland

EVALUATION OF AN INSTITUTION-BASED  
DRUG TREATMENT PROGRAM

A residential drug treatment program was established in June, 1970 by the State of Washington, Department of Institutions (subsequently merged into the Department of Social and Health Services). This program was designed to provide specialized treatment for juveniles with a history of drug abuse who had been committed to the State Juvenile Rehabilitation System. An evaluation, incorporating an experimental design, was built into the program from the outset. Screening for the program occurred only when a vacancy existed in the program (capacity was 20 juveniles - all males): those juveniles meeting the eligibility criteria were randomly assigned to the drug treatment program (Aquarius Group) or to standard institutional programs (control group). Comparisons between the two groups were intended with respect to: 1) demographic characteristics; 2) behavioral assessments during the diagnostic stay; 3) psychological diagnoses and expected prognoses; 4) major movements through and exits from the institutional system; 5) institutional achievement; 6) improvements in personality and social dispositions; 7) parole adjustment; and 8) recidivism rate.

Earlier evaluation reports on this program have dealt with the full data set, although - because there was data loss due to changes in source documents, incomplete monitoring of weekly institution treatment reporting and failure of an information system under development to come on line - there are some inadequacies noted in them.

This report concentrates on post-institutional performances (7 and 8 above) of individuals in the experimental and control groups. Because juveniles spent approximately one year in institutions prior to release on parole or discharge, many subjects had either not been released to the community or had been a risk for future criminal/juvenile justice system involvement for only a short period of time when the June, 1975 report was prepared. This paper examines the performance of subjects after 15 additional months follow-up. Data in this report are derived from a basic client movement reporting system maintained by the Department of Social and Health Services and from a review of Juvenile Parole progress reports on the subject. Parole adjustment, further findings of delinquency, adult felony

Evaluation of an Institution-Based Drug Treatment Program . . . cont.

convictions and related dispositions will be determined and comparisons made between the two groups. These outcome indicators will be considered with program cost (input) data to formulate an estimate of the overall cost-effectiveness of the drug treatment program.

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Panel 5 - Evaluating Drug  
Treatment Programs

THREE YEARS LATER: A FOLLOW-UP OF  
DECERTIFIED ODAS CLIENTS

As part of its effort to evaluate state-operated treatment programs for narcotic addicts clients, the New York State Office of Drug Abuse Service (then the Narcotic Addiction Control Commission) in 1970 undertook the task of following a random sample of 351 clients who had been discharged from the NACC institutional program after two to three years of treatment. A broad-based questionnaire was administered annually for three years to this sample by highly trained street-wise former drug users.

This report presents data collected from 202 subjects for whom three usable interviews were obtained during the three year period. The four major variables examined herein are drug use, criminal activity, treatment experience and employment.

Over the length of the study period arrests and criminal activity declined; drug use, and especially heroin use, decreased; more subjects were fully employed and were employed for longer periods; and the proportion in treatment remained about the same.

Three conditions were associated with non-usage of heroin during the follow-up period: (1) being in treatment for all 12 months of each study year; (2) being employed for all 12 months of each study year; and (3) living with spouse or children for all 12 months of each study year. The number of subjects in stable nuclear families, in treatment and employed for 12 months of each study year increased during the course of the follow-up period. However, the dramatic decline in heroin use is apparent for all types of subjects. A range of alternative explanations for this declining heroin use are discussed.

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Panel 5 - Evaluating Drug  
Treatment Programs

SELF REPORTS AND FBI REPORTS:  
FURTHER NARA ANALYSIS

The purpose of this brief report has been to compare certain self reports with FBI reports. Two conclusions emerge:

Substantial disagreement regarding individual cases exists between the two systems; and

Substantial agreement obtains between the two systems regarding aggregate success/failure rates.

It is extremely important that these two (superficially contrary) findings be kept in perspective. That the individual level evidences substantial disagreement may indicate that interview techniques be refined, etc. On the other hand, the existence of such good fit between FBI failure and self reported heroin use for sample strata (while partitioning by gender) is indeed impressive and indicates that the CONSAD studies can justifiably be integrated with the recidivism-based work of the Bureau's Office of Research.

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DRUG OFFENDER REHABILITATION PROGRAM:  
RECOVERY RATES, PERSONALITY VARIABLES, AND  
MAINTENANCE FACTORS

The Drug Offender Rehabilitation Program at the Shelby County Penal Farm in Memphis, Tennessee, has been in operation for over four years. During this period of time it has served over 250 inmates and graduated over 100 clients from its treatment regimen. The treatment consists of a behavioristically oriented therapeutic community. The recovery percentage of graduated clients for years one and two is 67% while the recovery rate (for years 3 and 4) is 53.5% giving a total cumulative recovery percentage of 58%. This paper thoroughly analyzes the program's recovery rate while presenting an in-depth evaluation of DOR clients' psychological characteristics including a breakdown of clients into graduates and dropouts. A further analysis investigates factors contributing to success or failure following graduation from the program.

Results of analysis program dropouts indicated that these clients were significantly younger than program graduates. Dropouts have significantly lower educational levels and lower IQ's. Their personalities seem to be marked by greater psychopathological deviancy (MMPI) than those who remain in the program. The greater their verbal abilities, the longer they will tend to remain in the program. Finally, dropouts manifest less ability to deal with stress and have little insight into their behavior.

An evaluation of program effects upon personality tends to indicate that clients become more extroverted, open to communication, more realistic and interestingly enough, manifest more transient anxiety symptoms. These effects were found to be related to relative position held in the program rather than time spent in the program.

In an evaluation of factors affecting success or failure of program graduates, several factors were found important. The granting of probation tends to elicit more success than parole and the higher the relative program position at graduation the greater the probability of success. Finally, unsuccessful graduates manifest significantly greater MMPI maladjustment scores before treatment than successful graduates.

Drug Offender Rehabilitation Program . . . cont.

In discussing the results, the paper makes several suggestions including that supplemental support be given clients entering programs who are low in verbal abilities.

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Panel 5 - Evaluating Drug  
Treatment Programs

METHADONE PROGRAMS AND CRIME REDUCTION:  
A COMPARISON OF NEW YORK AND CALIFORNIA ADDICTS

Between 1971 and 1973 the Santa Clara, California, Methadone Treatment and Rehabilitation Program was evaluated for evidence of reductions in criminal activity on the part of program patients, among other things. From late 1969 through 1975 the Addiction Research and Treatment Corporation (ARTC), serving the Bedford-Stuyvesant/Ft. Greene areas of Brooklyn, New York, was also evaluated to determine reductions in criminal activity. Both evaluations were funded by the Law Enforcement Assistance Administration, the ARTC work being done by the Center for Criminal Justice, Harvard Law School. This report focuses on the ARTC Program, although comparisons of criminal activity in the preaddiction, addiction and post program entry periods were made by rate and severity of arrest for both populations. The questions addressed were: (1) Was patient criminal activity reduced to pre-addiction levels, or lower, thus having an impact on community crime rates, (2) did ARTC treatment produce decreased criminal activity only for specific groups of patients and not others, and (3) what background or program treatment factors were most related to program success?

For the ARTC program, 473 patients were followed for three (3) years after program entry using official New York City arrest data; 271 patients from California were followed for two (2) years using official arrest records. Offense types were "matched" for the two populations so they could be compared across both populations, and offense severity scores were affixed to each arrest using a modified version of the Wolfgang-Sellin offense seriousness scale.

Findings showed an overall decline in arrests for Brooklyn (ARTC) patients from the pre-addiction period to the third year after program entry. Although not a statistically significant decline, the arrest rate at the third year was at the pre-addiction level. The greatest decline were for drug arrests, violations and petty offenses. At the second year after program entry California patients had an overall decline in arrest rates. However, forgery and assault rates showed a persistent increase from before to after program entry. There was no clear explanation for these differences in arrest rate from the Brooklyn population, although it was found that Brooklyn patients were arrested less frequently but for more severe offenses across all periods.

Methadone Programs and Crime Reduction: A Comparison  
of New York and California Addicts . . . cont.

In order to determine reductions in community criminal activity, criminal complaints were examined for the ARTC service area. Ten precincts were studied for reductions in relation to the number of ARTC patients served and complaints per 10,000 precinct residents. There were no marked reductions in the four (4) precincts served most intensely by ARTC in comparison with six (6) adjacent Brooklyn precincts. Overall, from 1968 to 1973 the crime rate decreased slightly for the entire ten precincts, but not necessarily in those areas where ARTC patients were located in greatest numbers. It was suggested that ARTC may not be serving enough patients to generate a community-wide impact.

Eighty-two (82) background and program performance variables were used with five outcome variables in a stepwise multiple regression analysis to determine those variables associated with reduced criminal activity. In general, there was no set of independent variables which gave a strong prediction of reduced criminal activity. For males and females a better pre-program drug history and decreased drug use while on the program (fewer morphine positives) were related to decreased criminal activity at the third year after program entry. Age at program entry was also found significantly related to outcome, and it was suggested that ARTC as well as the California program may have shown reductions in criminal activity because they served older addict populations, both serving patients of an average age of 30 to 33 years.

Discussion of the findings suggested an approach to drug treatment utilizing aggressive outreach techniques, using epidemiologic methods, and stable programs relying on central screening and a range of services.

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PANEL 6

EVALUATING THE PERFORMANCE OF POLICE

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Police Performance Measures"  
Jerry Needle, American Justice Institute,  
Sacramento, California

Panel 6 - Evaluating the  
Performance of Police

USING CITIZEN SURVEYS TO EVALUATE POLICING

Citizen surveys can provide three types of information useful in evaluating police policy alternatives. Survey information about citizens' experiences can provide data not only on the victimizations occurring to citizens, but also on the kinds of encounters citizens have with police when they report crimes request assistance, or are stopped by police. Surveys are also a means of collecting systematic information on citizens' perceptions of what their police do and what they should do from those who may have had no direct contact with police. The third kind of information citizen surveys can supply is citizens' evaluations of how well their police are performing and how secure their communities are. Citizens' reports of their experiences are an important source of data on what is going on. Perceptions and evaluations of police as seen by the public at large are important sources of data for determining the responsiveness of police activities to citizens.

For survey data to be useful in evaluating policing, the data from citizens must be merged with data on the police departments serving the citizens. When specific aspects of police operations are to be evaluated, as in the Police Foundation Study of Preventive Patrol in Kansas City, each citizen respondent has to be identified in terms of the police policy variables under study. The same is true for studies of police organization in which a number of different departments are compared. Without data on the types of departments serving respondents to a survey, there is no way to use those survey data to determine which differences in police organization or operations are related to more favorable citizen experiences, perceptions, and evaluations.

Use of citizen surveys in the evaluation of alternative ways to organize and conduct policing must take into account the occurrence the different service conditions confronting police in different types of areas. We have undertaken a series of comparative studies of police organization in which police patrol areas were matched by similar service conditions (housing density, population age, income, and racial distributions, extent of home ownership and so on). Citizen surveys provided the data for our evaluations of the effectiveness and responsiveness of alternative ways of organizing police in the similar neighborhoods. Police expenditure estimates for the various neighborhoods, when combined with measures of police performance obtained through citizen surveys, permitted us to estimate the relative efficiency of the differently organized police departments. We conducted such studies in the Indianapolis, Chicago, and St. Louis metropolitan areas. Replications were conducted by colleagues in the Grand Rapids and

Using Citizens Surveys to Evaluate Policing . . . cont.

Nashville metropolitan areas.

All of these studies resulted in similar findings: large police departments are no more effective, responsive, or efficient than small departments. In fact, wherever differences in citizens' experiences, perceptions, or evaluations were reported across similar neighborhoods, the small departments compared favorably to the large. We have hypothesized that it is differences in police operations in the differently organized departments which account for the difference in citizen responses. To test some of those hypotheses about the police activities linking size of organization to citizens' experiences and perceptions and evaluations, we have planned a study which will examine what patrol officers do and how they are supervised in more than twenty departments of various sizes. Citizen surveys will again provide the information on the public consequences of policing which will permit us to evaluate alternative policies for police organization and operation.

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Consumer Evaluation of Police Performance . . . cont.

uses team policing, a decentralized form of policing which allows officers to become more familiar with the citizens and the community.

It is encouraging to the movement toward modernization and professionalization within police to see that the more highly educated officers received better citizen ratings.

A major factor in citizen evaluation was the attitude and behavior of the officer toward the citizen. If patrol officers showed personalized concern and took the time to explain police procedures citizens were pleased and reassured. Words indicating personal concern (cared, concerned, warm, friendly, tactful) occurred in 45% of the citizen ratings scoring above the mean, while occurring in only 8% of the citizen ratings scoring below the mean.

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Panel 6 - Evaluating the  
Performance of Police

WHY DO ARRESTS FAIL IN COURT?

While it is surely appropriate for some persons to be arrested and then not convicted, the national trend is for most persons who are arrested not to be convicted. This is but part of a larger picture in which most criminal episodes do not lead to arrest and in which around half of all convictions do not lead to incarceration.

Our research focuses primarily on the question: What can the police do to reduce the large volume of arrests that do not end in conviction? We do this by analyzing a recently assembled body of data, mostly from the Prosecutor's Management Information System (PROMIS), describing arrests, the offenses that give rise to these arrests, the police officers who make the arrests, prosecution decisions, and court outcomes.

The study focuses on three aspects of police operations; the arrest, the officer, and the interaction between the police, on the one hand, and the prosecutor and court, on the other.

We find opportunities for both the police and prosecutor to reduce the huge flow of cases in which the arrest is made and then dropped in court. We discussed specific proposals to achieve this reduction.

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Panel 6 - Evaluating the  
Performance of Police

PERSONNEL PERFORMANCE EVALUATION --  
FORCED CHOICE -- A MUNICIPAL EXPERIMENT

Personnel performance evaluation has long been a problem for most police departments. The Forced Choice system has proven itself to be objective; it is not a perfect system of personnel evaluation but it is a step in the right direction. This experiment is not only an attempt to develop an objective personnel evaluation system but it is also an evaluation of the method used to develop the system. This is a cursory examination of a complicated problem, a more comprehensive approach would fill a book. A presentation of this information could include visuals which would expand on the method, value and effect of this personnel evaluation system.

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Panel 6 - Evaluating the  
Performance of Police

THE CHALLENGE OF PATROL PERFORMANCE  
EVALUATION IN STUDIES OF POLICEWOMEN

Women on Patrol: A pilot study of patrol performance in New York City has recently been completed by the Vera Institute of Justice and the New York City Police Department.

In an attempt to gain additional knowledge about women in policing, the investigators first had to confront the issue of performance evaluation. Unless adequate performance indicators could be found or developed, it would have been most difficult to report on police patrol performance, whether by male or female officers; further, the need for reliable comparison of the sexes demanded performance indicators which were better than barely adequate.

It was the goal of the Vera-NYPD study staff to select and incorporate the best measures already existing and also to develop new measures with relevance to significant patrol skills, especially in areas where it was suspected that the performance of men and women might differ (strenuous physical activity, violence, human relations).

The process by which this was done can be described in three basic parts: 1) review of existing patrol performance measures; 2) old and new measures employed; 3) problems in implementation and future possibilities.

Existing measures which were reviewed for inclusion were: "productivity" measures such as number of arrests made and summonses issued; convictions/arrests ratio; supervisory evaluation scales; police training tests; client ratings; observer ratings and judgments. Those existing measures offering sufficient advantages over their drawbacks were adopted with modifications. At the same time an effort was made to develop new patrol measures. Among the innovations employed with varying degrees of success were:

peer ratings;

self-evaluation;

multiple indices for arrest quality;

test of community knowledge;

The Challenge of Patrol Performance Evaluation in Studies  
of Policewomen . . . cont.

activity measurement through observation;

observation as a tool for the measurement of "controlling"  
behaviors on patrol.

The last two of these attempts are considered most likely to be  
useful in future police patrol evaluation in an operational setting.

Problems in the implementation of these methods, especially  
in their applications to women on patrol, suggest future courses of  
action. Low cost methods of patrol observation and the use of field  
training exercise which simulate actual patrol conditions are recom-  
mended.

PANEL 7

USING THE PHYSICAL ENVIRONMENT  
TO REDUCE CRIME AND FEAR OF CRIME

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Evaluation of Programs to Prevent Crime Through  
Environmental Design"

William Brill, William Brill Associates,  
Annapolis, Maryland

"Street Layout and the Occurrence of Residential  
Burglary"

Douglas Frisbie, Governor's Commission  
on Crime Prevention and Control, St. Paul,  
Minnesota

METHODS FOR EVALUATING CRIME PREVENTION  
THROUGH ENVIRONMENTAL DESIGN PROGRAMS

In most program evaluations, there is no stock evaluation design that can be taken off the shelf and implemented without revision. We have found this to be especially the case for planning evaluations for environmentally based crime reduction programs. Described below are a number of characteristics of these particular evaluations that tend to distinguish it from other evaluations of crime reduction programs:

1. Operationalization of theoretical concepts. There are a large number of conceptual variables upon which program implementation is dependent but for which measures have been adequately developed. Such concepts as territoriality, defensible space, access control, surveillance, reporting, and cohesiveness are just a few of the concepts underlying program planning. These variables also form a logical link relating the program input to the ultimate program impact of crime reduction and reduced fear of crime. We have had to define these terms operationally and in some cases break these categories down into two or more categories. For example, we consider surveillance to consist of two components: visibility; i. e., perceptions regarding the ease of seeing persons in an area, and discriminability, i. e., perceptions regarding the ease of recognizing suspicious/criminal behavior in an area.

There are similar problems in defining territorial behavior in human beings. To our knowledge there have been no successful observational measures of territoriality or defensible space. We have attempted to deal with this concept through self-reports. We have also gone to direct observation in order to assess surveillance and access control. Direct observation of behavior is uncommon in evaluations, but we feel it is an extremely valid tool to use.

2. Multiple agency implementation. In the past, most evaluations have been concerned with determining the effectiveness of programs run by single agencies. For the most part the implementation and planning were done by the agencies themselves. In most of the programs we have dealt with it is probable that implementation problems will be more severe than any encountered in any evaluation within a single agency. Many organizations are involved in implementing the various program elements. In addition some of the strategies are to be implemented voluntarily by residents of specified blocks. Thus, the degree

Evaluation Planning for Environmentally Based Crime  
Reduction Programs . . . cont.

of control, experimental and otherwise, that can be exerted in implementing any of the design strategies is quite limited.

The data for the evaluation will be generated by many different agencies. Not all of these agencies collect data in the form and format that will be required for the evaluation, but the evaluation would not be complete without including their data as well.

3. Project elements and sequencing. In most cases in which many project elements are to be tested for impact, it is necessary to be concerned about the experimental design and the sequencing of project elements. Both of these are necessary to estimate the interaction effects of various project elements. Since there are many project elements involved in CPTED a complete factorial experiment is not feasible. Thus, it may not be possible to specify which project element was responsible for producing the ultimate impact. We take this into account in our evaluation plan by emphasizing the need for a process evaluation. Through this process evaluation logical conceptual linkages will be developed, which should give some indication of the degree of impact associated with the different program elements. In addition, in one program we have recommended a factorial design utilizing two of the major program elements.

4. Project cost and crime rate. Because of the cost of implementing environmental design projects, the geographic area over which the project extends is usually limited. Thus, the absolute number of crimes in a particular project area is necessarily small. The smaller the number of crimes the more difficult it is to attribute a change in crime rate to a project element. We suggest a number of ways in which this probably can be dealt with. One is simply to reduce the level of statistical significance needed to obtain an effect. In addition, we suggest increasing the time span of the evaluation.

5. Timing. Although not unique to environmentally oriented projects, it is expected that it will take some time before any impact will show up in the community. However, as in most evaluations, there may not be more than eleven or twelve months in which to determine the final outcome. We have attempted to deal with the limited time problem in two ways: One is to focus more on the intermediate impacts such as territoriality, reporting of crimes and surveillance. The other way has been to recommend that the evaluation be continued after the project has been completed. We feel this is not only critical to being able to obtain long-term impact measures but also critical to providing feedback to policy makers concerning the longevity of projects once funding has been removed.

Evaluation Planning for Environmentally Based Crime  
Reduction Programs . . . cont.

Conclusion. There are a large number of challenges that face evaluators working in crime prevention through environmental design projects. We have discussed some of the major difficulties to be encountered. This list of problems should not be seen as insoluble. In fact, these are the challenges that evaluators face in producing useful work. We hope through our efforts to not only provide valid information concerning project process and impact but to develop innovative methodologies for future evaluations.

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Panel 7 - Using the Physical  
Environment to Reduce Crime  
and Fear of Crime

DATA REQUIREMENTS IN CPTED EVALUATIONS

When changes are introduced into complex open systems, it is difficult to determine the effect of these changes. One example of this is CPTED demonstrations, which involved a mix of physical and social strategies. A number of public, private, and community organizations are responsible for funding and carrying out the strategies, over extended periods of time, often with substantial modifications and/or delays. The larger environments (economic, political, corporate, social, metropolitan, etc.), are themselves changing all the while, with indeterminate effects on the sub-systems being experimented upon.

In planning and evaluating such programs, there are obvious advantages in employing the same type of data at all stages; i. e., to justify the need for action, to identify the problems, to suggest solutions, to provide measures of effectiveness, and to test whether effects -- if noted -- occurred for the expected reasons. Equally obvious are the advantages in data allowing comparisons over time between areas receiving and not receiving the CPTED treatment.

Most CPTED strategies ultimately aim to impact on offender behavior, suggesting that offender may be an untapped and valuable data source. Remaining CPTED strategies impact on others (residents, businessmen, etc.) for these, more use might be made of known leading indicators of neighborhood abandonment as a data source. The relatively inexpensive types of surveys used in marketing and advertising research should also be of use, as well as other data routinely collected by insurance companies, local businesses, various organs of government, etc.

The nature of the CPTED interventions and their method of implementation will interact with the data available in determining what sort of experimental design and evaluation is chosen. The best tests possible may be of the intervening variables and mediating behaviors assumed in CPTED theory and practice; confounds at this disaggregated level may be easier to deal with than those that threaten holistic evaluations of the overall program package.

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Panel 7 - Using the Physical  
Environment to Reduce Crime  
and Fear of Crime

THE PRIVATE STREETS OF ST. LOUIS

For many students of the dilemma of American cities the decline of the City of St. Louis has come to epitomize the impotence of federal, state, and local resources in coping with the consequences of large-scale urban population change. Yet, buried within those very areas of St. Louis which have been experiencing the most radical turnover of population are a series of streets whose residents have themselves adopted a program to stabilize their communities, to deter crime, and to guarantee those necessities of life essential to urban survival. These residents have been able to create and maintain for themselves what their city was no longer able to provide. Even though the areas surrounding them are experiencing significant socio-economic change, high crime rates, physical deterioration, and abandonment, these streets are still characterized by middle-class, owner-occupied, residency -- both white and black. The distinguishing characteristic of these streets is that they have been purchased back from the city and are now legally owned and maintained by the residents themselves; they are also closed to through traffic.

These street associations are known collectively as the private streets of St. Louis. Most of them are no more than one block in length but there are some associations which incorporate as much as twelve blocks. The private street associations function, in effect, as small, independent states -- set within the larger context of their city. Their residents have taken both legal and physical action to protect their investment in their homes and community, and to set up a mechanism to allow them to reduce the incidence of crime, and the fear of crime.

This paper will compare three sets of private streets against three sets of public streets in different sectors of the city undergoing various degrees of change. The streets will be compared for crime rates, fear of crime, population characteristics, maintenance of property values, owner versus renter-occupancy, vacancy, and abandonment. In addition, an effort will be made to uncover some of the causal mechanisms which explain the differences found. This will be done through the presentation of the results of interviews with residents, patterns of friendship, and the nature of residents' use of the streets.

Panel 7 - Using the Physical  
Environment to Reduce Crime  
and Fear of Crime

IS "DEFENSIBLE SPACE" A DEFENSIBLE THEORY?  
A FIELD EXPERIMENT

This paper will report the results of our research evaluating a tenant security project in the Bronxdale Apartments -- a New York City public housing project. The project is based on the theory of defensible space (articulated by Oscar Newman) according to which people are the best defenders of their own environment. What is required for community self-defense, however, are physical arrangements which enable people to engage in routine surveillance of their habitat. The key element in making space defensible is the involvement of residents as continuous eyewitnesses of abnormal and/or criminal activity.

Based on this theory, the New York City Housing Authority developed a monitoring system which enables residents to view and hear their elevators, lobbies, and playgrounds. The system telecasts these locations to an unused channel of their own television sets. It is supposed to enable them to observe and report irregularities in sufficient time for police to intercept the crimes in progress and apprehend the criminals. Indirectly, it is hypothesized that the knowledge of the system's operation will circulate to the criminal population and act as a deterrent to crime.

The evaluation uses a pre-post, experimental-control research design. Half of the residents in the three buildings with the video system have been interviewed before the implementation of the program (in Spring 1976). They were asked about victimization, fear of crime, and restraints on their normal activities caused by the crime problem. The other half of the tenants are being interviewed three months after the program went into effect. In addition to being questioned about their crime experiences and attitudes, the latter respondents are being asked about their awareness of and participation in the program (on which effectiveness is highly contingent).

To control other variables potentially related to crime (such as changes in the neighborhood population or shifts in unemployment levels) which might well account for differences emerging from the two ways of interviewing, residents of three units in the 26-building housing project that do not have the television system are also being interviewed on a before-and-after basis. Two of the control units are quite remote from the experimental group, and one houses the office of

the Housing Authority Police. The latter was selected to examine the effectiveness of police proximity and/or presence as an alternative strategy for preventing crime and calming public fears of crime.

The report will analyze the empirical data, relate it to the theory of defensible space, and discuss policy implications.

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PANEL 8

USING MODELS AND SIMULATION IN EVALUATIONS, I

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Modeling to Measure Deterrence and Incapacitation Effects"

Alfred Blumstein, Carnegie Mellon University,  
Pittsburgh, Pennsylvania

"Determinants of the Seriousness of Criminal Activity:  
The Misdemeanor-Felony Distinction"

Ann Witte and Peter Schmidt, University of  
North Carolina at Chapel Hill

A PROGRAM EVALUATION MODEL FOR  
CRIMINAL DISPLACEMENT AND DETERRENCE

A model to describe geographic movement of criminals in crime commission is presented. The procedures for building the model, including data requirements, and its use in intervention analysis is described. Lastly, the potential use of the model in portraying the criminals risk or disutility "curve" prior to commission of a crime is discussed.

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APPLICATION OF MODELING AND COMPUTER SIMULATION IN THE  
ASSESSMENT OF PROGRAM ALTERNATIVES TO INCARCERATION

The National Center for Juvenile Justice has contracted with the Texas Youth Council to assess their Residential Contract Program and recommend changes and procedures to improve the program. The program lists among several goals: the community placement of 25 percent of the youth committed to the Texas Youth Council, the development of community resources, contracting with community based facilities and keeping program costs below the institutional alternative.

A Center study team of four persons spent over 25 days on site observing the Residential Contract Program specifically and the operation of the Texas Youth Council in general. A data tape consisting of T.Y.C.'s admissions, population movement and releases for the past six years was obtained. Cost data was also collected for the period covered by the operation of the Residential Contract Program. The information generated was sufficient to enable the development of a dual approach to modeling and computer simulation.

The proposed paper will demonstrate the use of two different modeling approaches. The first will be a Resource-Process model. This model incorporates the systems resources and capacity constraints with process flow according to predefined individual characteristics. The primary focus of the individual characteristics will be on hard to place youth. This particular model has the capacity to handle several different characteristics or client attributes. This approach was tested in the simulation of juvenile court intake, detention and detention hearings and an evaluation of a network of group homes.

The second model is a cost process model. This model can be used to determine the cost impact of testing various assumptions. It is developed by identifying cost centers and equating direct and indirect costs of each center to client flow and length of time at any particular cost center. This approach was used in the assessment of Juvenile Court Services in Wisconsin.

The purpose of the paper will generally be to discuss the two modeling approaches in tandem. Specifically, the paper will:

Application of Modeling and Computer Simulation in the Assessment of  
Program Alternatives to Incarceration... Continued

1. Define and demystify the process used to develop computer simulation;
2. Provide a description of the process used to develop the two models;
3. Identify the data used for input to include:
  - a. system description
  - b. branching ratios
  - c. processing times for different parts of the system
  - d. costs by cost centers
  - e. assignment of different client characteristics
4. Provide a presentation of the models and their validation;
5. Define assumptions used and results of assumptions tested; and,
6. Summarize observations concerning the use, problems, practicability, benefits and costs of using modeling and simulation in an evaluation.

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EVALUATING A POLICE-IMPLEMENTED AVM SYSTEM:  
THE ST. LOUIS EXPERIENCE

The St. Louis Metropolitan Police Department is the first major urban police department to implement an automatic vehicle monitoring (AVM) system. The AVM technology incorporates computer-aided dead-reckoning, thus facilitating vehicle tracking on individual streets in a city. Implemented as a Phase I prototype system in one police district early in 1975, the test system is evaluated in this paper utilizing a three-pronged approach. Focusing on 1) technology, 2) police operations and 3) attitudes and organizational impact, attention is given to operational performance in Phase I, to ameliorative action for Phase II, and to the effects of AVM on response time, officer safety, voice-band congestion and command and control.

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PANEL 9

MANAGING THE EVALUATION RESOURCE:  
SOME SPA-RELATED ISSUES

Panel 9 Managing the Evaluation  
Resource: Some SPA-Related  
Issues

MANAGING THE EVALUATION RESOURCE:  
SOME SPA-RELATED ISSUES

The program will not involve the presentation of formal evaluation products, but rather shorter presentations addressing the variety of ways in which SPAs respond to certain problems.

Probable topics for discussion would include:

A. Getting Money

1. Getting and using Part C funds for evaluation
2. Getting discretionary grants for evaluation purposes
3. Putting evaluation funds into project grants and doing the evaluations
4. Being the local evaluator for national evaluation projects
5. Contracting for evaluations funded by others

B. Getting Workers

1. Research skills vs. substantive knowledge vs. political sophistication
2. The model basic evaluation unit
3. The size of the evaluation unit in relation to the rest of the SPA staff
4. Sources of cheap (or even free) labor

C. The Politics of Evaluation

1. The relationship between the evaluation director and the SPA director
2. The relationship between the evaluation director and the supervisory board
3. The relationship of evaluation to supervisory board, administrative, and legislative action
4. The evaluation director -- researcher or politician?
5. Evaluation and the planning process

Managing the Evaluation Resource: Some SPA -Related Issues  
(Continued)

D. The Evaluation Process: Design, Data Collection, Analysis,  
Review

1. The evaluation director's role (if any) at each stage
2. The SPA director's role (if any) at each stage
3. Technical review of evaluations at each stage

E. Some Random Issues

1. The relationships among evaluation, research, and technical assistance in the SPA
2. An in-house evaluation unit vs. contracting -- advantages and disadvantages of each
3. Inter-state and regional cooperation in improving evaluation capabilities and coordinating evaluation efforts
4. The relationship between SPA evaluation efforts and NILE & CJ

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THE DRIP-DRIP FLOW OF EVALUATION DATA:  
A CASE STUDY OF NEW YORK STATE'S EVALUATION PROGRAM

This paper argues that the production of evaluations that meet the needs of administrators in New York State is low because of (1) the funding process for sophisticated causal studies projects and (2) the complexity of both projects to be evaluated and of information needs. Points (such as the preparation of subcontracts) where delays are frequently encountered in the funding process are identified. The author notes that problems in this process are hard to overcome because of the advantages of fairness and accountability of the present procedure compared to other procedures considered.

Complexity of projects has also been a problem in executing studies. Projects often have numerous components and objectives. Comprehensive evaluation of all of them requires detailed planning that is time consuming and expensive; the difficulty is compounded when the cluster evaluation of many "similar" projects is tried because of the differing project starting and ending periods. Not only complex projects but even supposedly simple projects require unusual research techniques and operationalization of variates such as "severity of crime" that are difficult to operationalize adequately.

There are no simple solutions to these problems caused by complexity. For example, prioritizing of information needs does not work in this situation since certain questions such as how does a project work require bulky information. Substantial cuts in bulk of information would interfere with collection of this vitally important data.

A major change is necessary in the planning and implementation of evaluations. It would entail defining a limited number of projects to be evaluated and providing more funds and more detailed planning for these projects. These projects would be mandatory. It is the only way to overcome most of the problems resulting from inadequate evaluation information on which to base various decisions such as institutionalization, project modification, and program planning.

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## USING GRANT EVALUATION FUNDS EFFECTIVELY

Many LEAA grants received by local law enforcement jurisdictions have an attached requirement for evaluation. The jurisdiction assigns a certain percentage of the grant funds, sometimes an inadequate amount, to evaluation. An evaluation consultant is then selected from proposals received.

The consultant conducts the evaluation, often independent of the Grant Manager or organization management. The evaluation results may be merely documentation of what the consultant is told by persons carrying out the grant activity on his trips to the jurisdiction. Although there are exceptions to this method of pursuing evaluation, and some regional criminal justice organizations have attempted to improve the use of evaluation funds, the above represents a common occurrence.

Another problem occurring with LEAA grants is that, although many of these activities are intended to be specific pilot efforts designed to discover improved methods of pursuing criminal justice objectives, persons in a position to make organizational changes are often not fully informed of grant program results. The Grant Manager is often the only vocal advocate of the particular new method being tested, partially because he is the only one with full knowledge of program effectiveness and partially because he has a stake in grant success. However, he may be resisted by other personnel engaged in more traditional methods of delivering the service or carrying out the procedure. They may feel (rightly) threatened by the new approach. The Grant Manager, however, is a distinctly interested party, and the management of the jurisdiction (Police Department, Sheriff's Office, etc.) is aware that the Manager cannot be relied on as the sole source for making the decision concerning continuation of the activity. This is particularly true when such a decision will be disruptive and difficult in terms of the organizational change and budgetary implications.

The result of the above is often that the grant approach, even when successful, is allowed to "fade away" after grant funding expires. This is merely the easiest and, perhaps, the only course of action open to the decision-maker in view of no dependable information that could cause him to decide otherwise. The net result is a feeling of the part of all parties -- the department or jurisdiction head, the top management staff of the agency, the Grant Manager, the personnel who carried out the new approach, the traditional other personnel in this

Using Grant Evaluation Funds Effectively . . . cont.

area of activity - that the grant activity was a "waste of time." This feeling is emphasized when they recall the extensive efforts needed to secure the grant in the first place, to contract for the grant, to select personnel and implement the grant, and to complete time-consuming reporting requirements associated with the grant. In addition, the top jurisdiction management is aware of the disruption caused by such administrative changes as finding and placing personnel to operate the grant, then facing the problem of having to find places in the organization to return these personnel after grant funds are expended.

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Panel 9 - Managing the Evaluation  
Resource: Some SPA-Related  
Issues

EVALUATION FOR DECISION MAKERS: USING RESULTS

Utah has been evaluating projects and programs since 1972. Besides being beneficial to project directors and planners, these evaluations are read, understood, and used by the supervisory council on determining program priorities and project refunding.

Using only Part B funds, the evaluation staff (part of the SPA) of three and one half persons evaluated thirty of fifty projects in fiscal 1976 and eight of nineteen programs. Evaluations were passed to the Review and Analysis Committee (a sub-committee of the state council) for approval.

The RAAC has demanded results from projects and program. One quarter of the projects evaluated received recommendations to not refund. The council backed the RAAC in these recommendations and the projects ceased.

On the positive side, three fourths of the projects were continued. Most evaluations contain recommendations for improving projects. Ninety-four percent of the recommendations were implemented by project directors.

The paper being presented describes our successful approach -- and how it evolved -- to getting timely, adequate and understandable information to decision makers. Feedback from council members indicates they feel they have enough information to make good decisions.

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EVALUATION FOR DECISION MAKERS  
THE SANTA CLARA EXPERIENCE

Nowhere has the need for evaluation as a tool for decision makers and planners been more recognized as acutely than in Santa Clara County, California. In implementing the Safe Streets Act in Santa Clara County, the Regional Criminal Justice Planning Board - Region J (RCJPB) recognized the fact that evaluation of action projects was essential to proper planning, and Region J (Santa Clara County) was one of the first regions in California to require that a portion of each block action grant be committed to evaluation.

Even while RCJPB has subcontracted with private consulting firms and individual consultants to engage in evaluations in order to diminish subjectivity and to increase expertise, a myriad of difficulties has arisen. These include: 1) lack of responsiveness by evaluators to the needs of local, state or Federal decision makers and planners; 2) loss to the Region of experience and knowledge gained by evaluators upon termination of contracts; 3) the questionable expertise of some consultants and consulting firms; 4) conflict of interest situations wherein the evaluator, fearful of losing second or third year contracts or subsequent evaluations, minimizes criticism of the project under scrutiny; and 5) fragmentation of knowledge available to decision makers and planners, even while that knowledge may be exemplary.

Cognizant of these problems and more, RCJPB - Region J has, through the LEAA granting process, developed an Evaluation Unit to deal with these problems. Such units, funded through LEAA, are not unique, and in many ways this unit is like all other such units in terms of its functions. Like other such units, its personnel engages in technical assistance to projects and to independent evaluators, helps in pre-program evaluation planning, reviews evaluation RFP's, reviews and analyzes evaluation quarterly (or interim) reports and final reports, offers syntheses of the accumulated data to the planners and decision makers, offers aid to sub-grantees or project proponents in preparing the sections of new applications or continuation applications dealing with evaluation, and all the other functions related to evaluation.

There are, however, unique aspects which differentiate this unit from others. The evaluation unit's grant is so structured that responsibility for evaluation throughout Region J is incumbent upon the unit. There are two critical features:

Evaluation for Decision Makers:  
The Santa Clara Experience  
(Continued)

First, all grants accepted after June 1976 include a special condition which specifies that subgrantees must arrange to transfer evaluation funds to the RCJPB, and that no RFP's dealing with evaluation may be issued without previous approval of the RCJPB Director. In essence, the evaluation unit controls the purse strings for evaluation, has a strong and direct voice in the entire RFP process from development through selection of an evaluator, and maintains a supervisory authority over evaluators.

Second, the Evaluation Unit is required to engage in program level evaluation, as stated in its grant summary, ". . . in order to assess the impact of at least one group of projects. . ." in its first year of operation.

The remainder of the paper deals with the Evaluation Unit's use of these two key items in both controlling evaluations and in developing program level evaluations such that the data accumulated may be translated for the planners and decision makers in a systematic and rigorously scientific fashion.

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PANEL 10

CITIZEN ACTION AGAINST CRIME --  
EVALUATIONS

Panel 10 - Citizen Action Against  
Crime -- Evaluations

NEIGHBORS AGAINST CRIME TOGETHER:  
A PROJECT EVALUATION

During late 1974, one of the last LEAA Impact Cities grants was funded in Denver, Neighbors Against Crime Together, or Neighbor's-ACT. This was a 1.2 million dollar effort designed to get the community actively involved in crime prevention and reduction. The main elements of the program included: (a) a cadre of neighborhood workers to elicit support of residents in high crime areas; (b) a public media effort to reinforce the work in the neighborhoods and keep the larger public informed; and (c) a pre/post-research survey to evaluate the impact of the project on crime reduction and shifts in citizen attitudes regarding fear of crime and changes in crime prevention behaviors.

The project was organized with a central coordinating office, which was to set policy, administrate the media and research efforts, and monitor operations in the target census tracts. In addition, the neighborhood work was contracted to community-based agencies on the East and West sides of the city.

The basic approach in the high crime residential areas was the "Neighborhood Protection Plan," which consisted of establishing a block-watching organization. Community workers were to go door-to-door and talk to as many residents in a neighborhood as possible. One-block areas were organized so that neighbors could watch each other's homes and report to the police any suspicious activity. Block "captains" were identified to coordinate meetings at which crime prevention educational presentations were conducted by project staff. In addition, once a target census tract was organized block by block a "mini-mass" meeting was held to make the immediate community aware of the total effort being made by other neighbors to reduce the threat of crime.

The media effort consisted of printed matter (i. e., brochures, billboards, taxi cab and bus cards, informational packets, and newspaper ads), as well as radio and T. V. ads. Specially developed radio and T. V. public service commercials were created to heighten interest in the community. Most of these radio and T. V. spots were broadcasted as "Public Service" announcements, required of all broadcast stations. However, a few radio spots were presented in prime time and paid for by local private business organizations.

Neighbors Against Crime Together: A Project Evaluation  
Continued

In order to evaluate the effects of the Neighbor's ACT program, three types of analysis were conducted on the collected data and one reported in this paper.

Base line data were collected during the Summer of 1975 from a disproportionate random sample of 1081 households in the City and County of Denver. The data collected covered the topics of crime prevention behaviors, ownership of crime prevention devices, attitudes about crime, fear of crime and victimization. Comparable data on these topics were collected from a second disproportionate random sample during the Summer of 1976.

In conjunction with the 1975 pre-test data collection and the 1976 post-test data collection, we constructed a panel of 91 households for which pre- and post-test data were collected.

In this paper we report on program effects by first analyzing the responses of 91 panel households with regard to ownership of crime prevention devices, crime prevention behaviors, fear of crime and victimization. The same substantive areas are examined by comparing the pre-test and post-test data.

Finally, an assessment of the program is made utilizing areas of the city designated as experimental and control areas. Specifically, four questions are addressed in this portion of the analysis. Was there a difference between the Eastside experimental and Eastside control groups both before and after the Neighbor's-ACT program?

Findings from the evaluation indicate that the Neighbor's-ACT Program had definite impacts on Denver residents. Residents are more likely to view crime as a serious problem in 1976 than in 1975. They also report being more willing to engage in crime prevention behaviors and report actually engaging in crime prevention behaviors not previously engaged. The data indicate that the program did not reduce victimization across a range of offenses.

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## OPERATION IDENTIFICATION

Operation Identification is an anti-burglary program designed to reduce the incidence of burglary and increase the recovery of stolen property for residences and businesses enrolled in the program. The methodology consists basically of engraving items with a unique identifying number, placing decals at entrances to the dwelling, and maintaining a centralized inventory of items marked. Items commonly engraved are those most susceptible to being taken in a burglary such as televisions and stereo equipment. The deterrent aspect stems from the placement of Operation ID decals at entrances into the dwelling to inform the potential burglar of participation in the program and the fact that items in the dwelling have been marked.

The objectives of the project are summarized as follows:

1. Enroll 25% of the residents in police districts I, II, and IV,
2. Reduce burglaries (residential) in districts I, II, and IV by 10% in 12 months,
3. Increase by 20% the value of stolen property returned to owners in Districts I, II, and IV,
4. Increase the clearance rate by 5% over 1972 rate and by 10% over the 1973 city-wide rate for ID homes,
5. Decrease citizen apprehension in regard to being burglarized.

Both operational and effectiveness data were collected to measure the impact of the project in meeting these objectives. Primary data sources included project records, police burglary reports, and a citizen telephone survey.

The project surpassed its operational objectives by enrolling over 50,000 households and businesses. There was no evidence of the project's effectiveness in burglary reduction since both area-wide and city-wide reported burglary rates increased. However, there was some evidence that the project did have a deterrent effect on burglary rates of participants in the program who were

Operations Identification, continued

five times less likely to be burglarized than non-participants. Selectivity biases may account for the differential burglary rates or displacement within the target area could have occurred to some extent. The project did not impact recovery or clearance rates, since most participants burglarized had property stolen consisting of cash and unmarked items such as jewelry.

A telephone survey of 2000 households indicated that most residents of the city had heard of the program, but were apathetic and not willing to take the necessary initiative to enroll in the project. Participants did feel less apprehensive about being victimized, although the general public did not seem highly concerned or apprehensive about being burglarized.

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COMMUNITY CRIME PREVENTION PROGRAM,  
JULY 1, 1973 TO AUGUST 31, 1976

Hypothesis: That the provision of Community Crime Prevention Program (CCPP) burglary prevention services of establishing block watch organizations, home security inspections and property marking would significantly reduce the occurrence of residential burglary for those residences and areas receiving CCPP services, when compared to residences and areas not receiving those services.

Operational Descriptive Evaluation: During the period July 1, 1973, to June 30, 1976, CCPP personnel conducted 7,630 home security inspections, performed property marking in 8,245 residences and organized 8,034 residences into block watch groups. The majority of primary services (92 percent or 22,031 of 23,909) were provided in 17 census tracts in Central, South Central and West Seattle in which at least 25 percent of potential program participants have received at least one of the project services. Based upon project six-month followup during September, 1975, to June, 1976, 40 percent (1,093 of 2,718) of residences receiving home security inspections had implemented at least one of the suggested security improvements.

During the third year of operation, 9,368 primary services were provided at a cost per service unit of approximately \$18.39.

Impact Evaluation: To determine project impact upon residential burglary, data from (a) three separate sources of self-reported burglary victimization, (b) Seattle Police Department (SPD) dispatch records and (c) official SPD information on reported residential burglaries were examined.

The project had two main crime objectives: (1) to produce a statistically significant decrease in the number of residential burglaries occurring in the target areas, and (2) to demonstrate a statistically significant increase in the number (or percentage) of burglary-in-progress calls received by the Seattle Police Department.

Objective one, to produce a statistically significant decrease in the number of residential burglaries occurring in the target areas, was assessed by self-reported victimization data and SPD official reports of residential burglaries. All three sources of victimization data collected at different times for different areas and in different manners indicated a statistically significant ( $p < .05$ ) decrease in pre/post basis

Community Crime Prevention Program, July 1, 1973 to August 31,  
1976 ... Continued

for program participants only (4.46 burglaries per 100 households per six months), (b) post-comparison of project participants with non-project participants (9.21 burglaries per 100 households per 12 months versus 11.09 per 100 households per 12 months), and (c) combined pre/post, program participant and non-program participant (on a rate per 100 households per 12 months: pre-CCPP = 6.2, post-CCPP = 2.4; pre-non-CCPP = 6.5, post-non-CCPP = 5.7).

Further examination of the third victimization data source cited above indicated that while reporting of burglary incidents increased from 47 percent to 58 percent in a control area (federal census tracts 96 and 105), during the same time, reporting in an experimental area (tracts 97 and 98) increased from 51 percent prior to project activity in that area to 76 percent following project activity. The pre-to-post increase in reporting rate for the experimental area was marginally significant ( $p = .06$ ).

Analysis of the number of residential burglaries reported to the Seattle Police Department on a census tract basis for areas serviced by CCPP in the first and second years (insufficient time having passed to evaluate the effect of third-year areas) indicated a significant relative decrease ( $p < .05$ ) in treated areas of Seattle versus non-treated areas for first-year areas (a -2 percent decrease for treated versus 11 percent increase for untreated areas). Areas treated in the second year showed a non-significant relative increase compared to the rest of Seattle (-9 percent for treated, -16 percent for non-treated). Combined first and second year data indicate an overall non-significant decrease favoring CCPP (-6.2 percent decrease in reported residential burglaries for treated areas versus -3.9 percent for untreated areas).

The failure of official SPD data to show the same consistent decrease of burglary victimization data is most likely due to increased reporting rates of residential burglary for areas treated by CCPP.

Objective two, to demonstrate a statistically significant increase in the number of burglary-in-progress calls received by the Seattle Police Department, was analyzed by examining SPD computerized dispatch records (SELECT). In the 13 SPD patrol car beats in which CCPP operations were conducted in at least 50 percent of the areas, burglary-in-progress calls as a proportion of total burglary increased significantly ( $p < .05$ ) from 9.1 percent to 11.6 percent, while for the rest of Seattle during comparable time periods, the change was from 8.5 percent to 8.8 percent.

**CONTINUED**

**1 OF 4**

## AN EVALUATION OF THE OPEN GARAGE DOOR BURGLARY PROGRAM

This study evaluates a crime prevention program that utilizes the elements of a patrol orientated and target hardening strategy, both of which have been used by police departments in the past to reduce crime. From April 1, 1976, to September 20, 1976, the St. Louis County Police Department implemented a pilot program designed to reduce unlawful entry garage burglaries and home burglaries in two of five precinct areas that are routinely patrolled by the Department. The program required patrol offices to record on a special report form the address of any residence that had an unattended open garage door. A computer list was created by the Department from these report forms and letters were mailed to every homeowner whose address was on the list. These letters informed their recipients about the substantial burglary risks that would ensue whenever a garage door was left open and unattended. In summary, the Department implemented a crime specific program that identified a high risk victim population and it had tried to change their negligent behavior patterns by the use of a mail campaign.

The program's implementation design had several advantages from an evaluation point of view. First, the program was not implemented in three of the Department's five precincts; therefore, a natural control area, which lacked the experimental stimulus of the program's presence, was automatically established when the program was implemented. Secondly, data from the computer address list provided the means to tabulate the number of letters that were mailed to residents in sub-precinct areas known as COGIS blocks. Because data were gathered for 84 of these sub-precinct areas in the test zone, variation in the implementation of the program could be noted and the subsequent impact for each area could be ascertained.

The study's first findings were that unlawful entry garage burglaries were a greater problem in areas patrolled by the Department than those areas which are patrolled by municipal police departments in St. Louis County. In addition, the data showed that unlawful entry garage burglaries had declined by 34 percent in the test area from a pre-program period (April to September, 1975) to the program period (April to September, 1976). However, home burglaries were shown to increase by 7 percent from the pre-program period to the program period.

In order to determine whether a 34 percent decrease in unlawful entry garage burglaries could be attributed to the impact of the program, a series of quasi-experimental tests were designed. In addition

## An Evaluation of The Open Garage Door Burglary Program .. Continued

three internal validity threats to the experiment were controlled for in these tests. These validity threats were: (a) testing (the effect that the program might have had on the reporting of garage burglaries to the police i. e., a change in the percent of non-reported crime in the test area), (b) instrumentation ( a shift in the recording practices of the police in the test area as a result of the program), and (c) regression (was the pre-test period an exceptionally high occurrence period for unlawful entry garage burglaries, thereby, causing a regression toward a general trend line that would have predicted fewer unlawful entry garage burglaries during the program period). These data convincingly showed that the program had no impact on unlawful entry garage burglaries.

In addition, the three internal validity threats, which constituted the most plausible explanations for the reduced crime level that was experienced in the test area during the program period, could not be supported by the data.

The program's failure to have an impact on unlawful entry garage burglaries is studied in detail at the conclusion of the paper. Two alternative explanations are explored. The first explanation develops the idea that the program did not achieve a very high saturation level i. e., only a small percent of negligent homeowners were reached by a letter. The second explanation explores the possibility that the letters did not provide the necessary stimulus to motivate negligent homeowners to change their behavioral patterns. In other words, the normal homeowner who received a letter from the Department simply ignored it. Because the data analysis for this part of the study has not yet been completed, the final results are not available at this writing. However, preliminary findings have indicated that the first explanation probably cannot be supported by the data.

In conclusion, several facets of this paper underscore its uniqueness. First, it evaluates a crime specific program that combines the elements of two different crime fighting strategies that have been used by police departments in the past i. e., a patrol orientated strategy and a target hardening strategy. Second, the study presents a series of uniquely applied quasi-experimental tests that (a) demonstrates the failure of program impact in the test area and (b) controls for the effects that three internal validity threats might have had in the experiment. Finally, the study concludes with an inquiry into why the program failed by positing and analyzing the merits of two alternative explanations.

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## EDEN PRAIRIE PRIORITIZED PREMISE SURVEY EVALUATION

The premise survey is rapidly gaining popularity among law enforcement agencies as one method of increasing residential and business security. In many communities, premise surveys, which involve officers' inspections of homes and businesses in order to inform citizens of possible corrections to their security deficiencies, are an integral part of the local crime prevention effort. In addition to actively promoting these inspections, some departments have experimented with their premise survey procedures in an attempt to gain optimal compliance with the officers' recommendations.

A recent evaluation of one such program, the Eden Prairie (Minnesota) Prioritized Premise Survey Program, stressed the importance of including evaluation as an essential component of any premise survey endeavor. This paper presents the Eden Prairie evaluation as a guide to other departments in developing their own program analyses. At present, many departments are offering premise surveys to their communities without doing sufficient research on citizens' actual compliance with the officers' recommendations or on the relationship of premise survey compliance and burglary. If more departments followed through with evaluation, perhaps this research could isolate the most effective premise survey procedures and determine the value of this activity as a burglary deterrent.

Those departments using a prioritized system of making recommendations should be able to apply most of the Eden Prairie evaluation strategy directly to their own efforts. The analysis is not specific to a prioritized system, however, and other departments should find the general compliance measures useful. In addition, the report examined the differences in cost and delay in making changes for each of several specified recommended devices and locations. This paper suggests how these findings might be used by other departments concerned about finding the most efficient ways of increasing compliance. Finally, the paper discusses the necessity of pursuing the issue beyond mere compliance -- into the relationship of premise survey compliance and burglary.

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PANEL II

INSTITUTIONAL TREATMENT OF OFFENDERS

AN EVALUATION OF A PRISON TREATMENT PROGRAM

Continuing controversy surrounds the issue of rehabilitation in prison settings. Some researchers claim rehabilitation does not and cannot work while others insist that it is or can be effective. Although some maintain that recidivism is the only goal of rehabilitation, others hold that it is one of many. Since recidivism is a function of many social factors outside the control of prison authorities, the evaluation of the effectiveness of treatment programs solely by reference to recidivism data tends to be misleading. The first test of a literacy program, for example, should be whether the inmates learned to read, not whether they were subsequently arrested or convicted.

The present study looks at changes in personality as a function of the treatment of offenders in prison.

In order to evaluate a prison treatment program, a population of 1344 consecutive admissions to the Federal Correctional Institute, Tallahassee, Florida, a medium security prison for young adults, was used. The institution is treatment-oriented with educational, psychological, counselling and vocational programs.

As part of a larger longitudinal research project, each inmate took two psychological tests, the Minnesota Multiphasic Personality Inventory (MMPI) and the California Psychological Inventory (CPI) upon entry to and later upon exit from the institution. Only those subjects with valid tests who were beginning their sentence at FCI were used.

Two questions were to be answered in the study: What is the nature and extent of the change, if any, from pre- to post-testing? Is the change related to the length of stay at FCI?

The answers to these questions were approached in two ways. The first was answered by clinical judgments of the before and after profiles, which were presented to a clinical psychologist blindly (one labeled A, one B) for his evaluation. He judged the profiles as (1) A improved (2) B improved (3) Neither improved (4) A invalid (5) B invalid (6) Both profiles invalid. Reliability was established with a second rater. An analysis of the mean change on each scale was also used to answer question one.

## An Evaluation of a Prison Treatment Program ... Continued

For the length of stay question, the population was divided into three groups. Short (90-270 days); average (271-450 days) and long (451 days and longer). The groups were compared by both methods discussed above.

On the profile comparison, 53 percent of the total population improved on the MMPI, 39 percent got worse and 15 percent showed no change. On the CPI, 43 percent of the population improved, 32 percent got worse and 24 percent showed no change. Roughly the same results were found among both blacks and whites.

The scale-by-scale analysis resulted in the majority of scales improving (20 out of 26). The most important change was that both races became less socially deviant, a finding that is congruent with the goals of prison.

Both races became less anxious, less depressed, and increased in ego strength and independent thinking. However, the whites became more insightful, less socially isolated, and more intelligent, while Blacks tried to portray a healthier psychological makeup than they had according to the tests. Blacks also improved with regard to general adjustment, conformity and values and social poise.

Length of time spent in prison was not a significant factor in profile change or scale-by-scale analyses.

It was concluded that the study lent support to the belief that prison has different effects on different individuals and that treatment in prison can be effective for a sizeable portion of the population. It was pointed out that the study is generalizable only to similar institutions (young, adult, medium security, treatment-oriented). Implications for further research and methodological considerations were discussed.

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OUTCOMES OF PRISON VOCATIONAL AND EDUCATIONAL  
PROGRAMS ON RECIDIVISM AND EMPLOYMENT SUCCESS

The effects of vocational and educational programs in prison on recidivism and occupational success is examined in an ex post facto survey of felons released from Oregon penal institutions between July and December 1974. A 20 percent random sample of those released was chosen. The sample consisted of half who had participated and half who had not participated in vocational training programs during the incarceration from which they were released in 1974. A total of 101 respondents was selected. The time period of a minimum of 18 months after release was chosen to allow sufficient time for adjustment to civilian occupational roles. Other variables related to post-release success were included in a theoretical model of occupational success, lack of recidivism and post-release education.

Data were gathered from records of the Oregon Corrections Division and by personal interview of those respondents who could be located. Sixty-four persons were interviewed. Of the remaining 37 sampled, 17 could not be located, 10 did not keep appointments for interviews after several had been made, 7 had absconded and were sought by the police and 3 refused to be interviewed. Of those interviewed, 28 were released outright or had completed parole, 22 were on parole and 14 had been returned to prison.

The research not only provided some insight into the effects of vocational training and prison education programs but also suggests methods for locating this class of respondents. Also, the study suggests the types of information that ought to be readily available in computerized form for evaluative research purposes.

The Joint Corrections Education Planning and Development Team for the state of Oregon will use the results of the study in several ways. Information on program effectiveness will be considered in program planning. Experience gained in conducting this survey will be used in designing a continuing follow-up of former inmates. Finally, the Team will propose changes in the existing system for storing and retrieving information.

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EVALUATION OF A CORRECTIONAL EDUCATION  
TREATMENT PROGRAM:  
VARIABLES AFFECTING INMATE BEHAVIOR

This paper discusses the effects of verbal instructions, contingency management and staff morale on voluntary attendance at a remedial education center in a penal institution. Attendance records maintained over a two-year period provided the data base for this study. Data indicated that various factors had a significant influence on voluntary attendance levels.

Contingency management was found to have a primary influence on dramatically increasing attendance. Further, it was determined that verbal instructions, coupled with contingency management in the form of an available, visible telephone, promoted the most sufficient level of attendance. Thus, extrinsic factors which were specified and controlled by an administrator were shown to be effective.

However, despite the effect of overt factors, a strong post hoc case can be made for the importance which the intangible influence of staff morale played in the behavior of the client population. Staff morale, though often a nebulous factor, was found to have effects which tended to alter or override systematically applied contingency management. Behavioral referents reflected by the "mood" of the staff became a pervasive force which undercut well-intentioned and seemingly appropriate staff maneuvers. Recommendations for further study were made.

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THE ACTUALIZATION AND IMPACT OF  
TEAM CLASSIFICATION IN STATE CORRECTIONAL INSTITUTIONS

Team Classification, a concept originally developed and implemented within federal institutions, seeks to bring together various levels of correctional staff and the inmate to discuss and resolve issues pertaining to such matters as work and cell assignment, disciplinary action, furlough requests and merit time considerations. The direct goals of Team Classification are those which largely define the process itself: universal application, development and use of a personalized plan for each inmate, open discussion among the team members, equal role and vote for inmate, decisions based on present rather than past behavior. The indirect goals of Team Classification are concerned with program impact: (1) among staff, increase job satisfaction, increase understanding of staff, increase understanding of inmates, reduce rule strain; (2) among inmates, increase satisfaction with work and cell assignments, increase understanding of staff, reduce alienation.

The evaluation focuses on the two aspects of process (actualization) and impact (attitude differences), but is forced to rely on cross-sectional data because the program has been under official mandate for three years. Samples of 1295 inmates and 555 staff from all adult correctional facilities in Missouri were administered questionnaires and/or structured interviews. The items were designed to elicit information pertaining to (1) involvement in and actualization of Team Classification, (2) attitudes toward their experience with Team Classification and (3) general attitudes about inmate and staff relationships. The inferences are based upon difference of means (T-test) and correlation coefficients (Pearson's zero-order and partial correlations), and the analysis is performed by type of institution.

The results indicate that the process of Team Classification actualization has not been successful in certain facilities; where it has been actualized however, there is a significant relationship between involvement in Team Classification and general attitudes toward staff, inmates, and job assignment.

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SEVENTH STEP FOUNDATION PROGRAM AT  
KENTUCKY STATE REFORMATORY:  
EVALUATION REPORT

The purpose of this report was to evaluate effectiveness of the 7th Step program in rehabilitating felony offenders.

7th Step is an offender-operated rehabilitation program that presently functions in five of Kentucky's correctional institutions. This program attempts to restructure offender attitudes in socially accepted directions through philosophical instruction and group support. 7th Step staff believes, along with other writers such as Kuehn (1969) and Beless (1972) that an offender-directed program can achieve more rapport and impact than programs directed by professional persons who have not shared offender problems.

7th Step is particularly oriented toward dealing with the hard-core, incorrigible offender and their Regular program was developed to handle this type of offender. In addition, 7th Step initiated the Community Reintegration Education Program (CRE) which is open to the general inmate population.

In this study, the socio-demographic characteristics and recidivism of members of these two 7th Step groups were reviewed and compared to a group of KSR offenders who had not participated in 7th Step.

Method - This study examined the number and type of services offered by 7th Step at KSR - LaGrange and the outcomes of these services in terms of recidivism of the 7th Steppers.

Criminal history information, socio-demographic background data, and recidivism measures were collected on 31 Regular and 35 CRE 7th Step members. In addition, a control group of 65 KSR offenders, non-7th Steppers, was selected for comparison purposes.

Information on the 7th Step members and Control group was collected from 7th Step records, Bureau of Corrections files, and evaluation staff records for 7th Step activities reported from September 1974 to September 1976.

Seventh Step Foundation Program at Kentucky State Reformatory:  
Evaluation Report . . . Continued

Results - The 7th Step administrative staff and inmate leaders have developed and instituted the programs specified in their grant for the KSR chapter. The general offender population and particularly offenders that can be characterized as incorrigible were provided services including basic orientation and remotivational philosophy sessions along with personal counseling and assistance.

The KSR chapter adequately met its goal in terms of number of offenders to be served. There were 156 members, Regular and CRE, as well as additional numbers (undocumented) who have attended 7th Step classes and received assistance.

For effectiveness of 7th Step regarding recidivism, there are two standards for comparison: 1) reincarceration rate projected in the grant application and 2) reincarceration rate of a Control group of offenders. The obtained reincarceration rate of 7 percent for the combined group of 7th Step members compares favorably with the projected rate of 8 percent. Comparison of the 7th Step rate with that of a Control group indicates no difference, 7 percent and 9 percent respectively. Related to this last point is the evidence in this report that 7th Step has worked with a more hard-core group and thus a higher recidivism rate would have been expected. On this basis, 7th Step should be considered effective in rehabilitating the hard-core offender.

In conclusion, the 7th Step project at KSR appears to be having impact. Regarding implementation of the project within the institution, 7th Step activities have been aimed at a large proportion of the KSR inmates and have apparently elicited active participation from the chapter membership. Regarding the project outcome of rehabilitation of offenders following discharge, reincarceration data indicate that 7th Step appears to have been effective, especially with the hard-core offender. Thus, it appears that the 7th Step program has delivered the services and has achieved a positive impact.

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## A REASSESSMENT OF THE TRUSTEE SYSTEM

Until very recently, the Mississippi State Penitentiary, locally known as Parchman, utilized inmates in a rather unique fashion - as guards. A highly select group of inmates were armed and given custodial responsibility over fellow inmates. While most prisons use inmate labor in the operation and maintenance of the institution, rarely have they relinquished the all-important task of social control to them. Nowhere did this practice find greater expression than in the deep southern states of Mississippi, Arkansas, and Louisiana. These systems of armed inmate guards resulted in considerable abuse and were universally condemned by professional psychologists.

These trustee inmates, to whom the security of the prison was entrusted, emerged out of the political, economic and social forces characteristic of many southern states following the Civil War. Their usage was linked, in many characteristic ways, to the former plantation system. The penal plantation represented a logical adaptation to southern prison needs in that it satisfied the economic problems of self-sufficiency and also, perhaps more importantly, it solved the pressing problem of what to do with the newly emancipated Negro. The penal plantation thus became a microcosm of the larger system from which it emerged and which it served.

To a greater extent than other inmate roles, the trustee role represented a structural accommodation to the official system which created it to meet certain institutional goals. Among these were the maintenance of prison order and work productivity. There was little and only incidental concern for the personal goals of the inmates or their long-term character reformation. Although universally condemned, the trustee system in a paradoxical way, had certain elements which have patent utility for inmate participation in staff roles as devices for changing inmate behavior in keeping with rehabilitation ideologies.

The extent to which inmates identify with the official or inmate social system will have an important bearing on whether or not organizational objectives will be achieved. The trustee because of his marginal position with respect to the basically antagonistic social system, would expect to undergo rather significant adjustment problems. Adjustment difficulties can be and were mitigated during the initial selection process in which certain inmates are chosen for promotion to trustee status. The classification procedures are based on "folk wisdom" which is a form of intuition derived from long-term

familiarity with behavior within a particular subculture and with the development of practical insights into behavior of individuals placed within the social setting shaped by the particular subcultural norms.

The present analysis challenges the popular myth that only the most violent, brutal and sadistic inmates are chosen for trustee guards. Evidence suggests that trustees are better educated, show steady employment backgrounds, normally are first offenders, are less violent offenders and are older than are others in the inmate hierarchy. Results also indicate that as inmates move through the status sequence of gunmen, half-trustee and trustee, there is an increased identification with the staff and the pro-social values which the official system espouses.

Further evidence which undermines some of the more popular stereotypes of inmate guards is an analysis of the role conflict that they inevitably experience as the result of dual membership in two mutually opposed groups. The trustee avoids open conflict by avoiding those situations in which he is forced to make a choice between rigid adherence to institutional rules or situations where inmate welfare is seriously jeopardized. Nonetheless, trustees appear to resolve the most serious conflicts in the direction of perceived staff approval.

Thus, the trustee system, despite its proclivity for abuse, may be seen as a treatment model in which inmates experience relational problems that may reasonably be anticipated following release or while on parole. The trustee role may be quite functional, not only in the achievement of the custodial objectives of the prison, but also in preparing the inmate for release. While not advocating a return to the system of armed inmate guards, a rational and objective analysis appears in order in the currently prevailing atmosphere of prison innovation and evaluation.

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SURVEY OF ATTITUDES AND PERCEPTIONS  
OF CUSTODIAL STAFF IN JAILS:  
CIVILIANS vs. SWORN OFFICERS

The National Advisory Committee on Criminal Justice Standards and Goals Corrections report (1973) calls for staffing of local jails by civilians. Two counties in Wisconsin have received LEAA funds to provide civilian custodial officers in their jails. This paper presents the results of a survey of custody staff in these two counties, and seven other counties operating jail projects with LEAA assistance and which are staffed by traditional law-enforcement officers, and a comparison group of four counties randomly selected from the pool of remaining counties in Wisconsin which had eight hundred or more admissions during 1974.

Custody staff responded to items relating to their perceptions of the role of the jail in corrections, attitudes toward inmates, and what their role should be at the jail. Responses were grouped according to experimental vs. control status and by civilian vs. law enforcement officer status. Age, education, and experience of respondents were also examined.

The paper attempts to assess the degree to which jail staff in general support programs which provide services to inmates as well as determining differences between groups of respondents.

The paper discusses the implications of the results for future policy decisions relevant to staffing and programming in local jails.

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VIOLENCE IN FEDERAL PRISONS:  
THE EFFECT OF POPULATION  
DENSITY ON MISCONDUCT

It is the goal of this investigation to explore the relationship between overpopulation and rule infractions in correctional institutions. Inmate populations are increasing faster than space acquisitions and as a result, federal institutions are overcrowded. There is evidence suggesting that density levels (amount of space per inmate) and rule infractions may be associated.

Studies conducted by ethologists on non-humans reveal that high population density tends to increase stress levels and leads to fighting. A similar pattern may exist for humans. High density is associated with non-cooperation, inability to achieve opinion consensus, and irritability. Density also tends to affect stress-related biological processes; high blood pressure, sweating and fast heart rates are associated with high density.

Confinement alone is enough to produce stress but confinement in a densely populated correctional institution stimulates symptomology. Inmates housed in crowded living units report more psychosomatic illnesses. Stress produced by high density may also affect rule infraction rates. Megaree's study of IDC reports at the FCI, Tallahassee revealed that "shots" occurred at higher rates when living conditions were more dense. Unfortunately, the results are specific to young populations -- and IDC reports were not separated into types of offenses.

This study analyzed IDC, total assault and assault on inmate rates in youth-juvenile, intermediate term adult, young adult and long term adult institutions. Offense rates were calculated in 37 institutions for the period FY 1973-1976 and were compared with average yearly density indices.

The results reveal that high population density (low amounts of space for inmates) is associated with high IDC, total assault and assault on inmates rates. The relationship was most evident in youth-juvenile and young adult institutions. Intermediate term adults react least violently to overpopulation. In long term adult institutions, assault on other inmates rates and high density are related but IDC rates remain relatively unaffected by density levels.

Implications and solutions are discussed. Aside from the obvious and most affective solution of acquiring more space, there are some

Violence in Federal Prisons: The Effect of Population Density on  
Misconduct . . . cont.

modifications that will help alleviate the effects of crowding.

1. More efficient use of institutions. CTCs, Camps and MCCs may have to be used for siphoning off excess population. Alternatives to incarceration should also be given consideration.

2. Designation decisions may need to be based in part on density "threshold" considerations. The results suggest that intermediate term adults are probably best able to withstand overpopulation pressures.

3. Minor alterations in procedures or facilities may reduce inmates' perceptions of density. Table 3 presents environmental qualities that have been associated reliably with low perceived density in numerous social ecology experiments. The challenge will be for administrators and planners to integrate security needs with environmental components that reduce density.

More evidence is needed before structural or procedural modifications can be made with confidence and future studies should be developed to determine: 1) institution and inmate density thresholds; 2) relative importance of institution density-related cues; 3) qualitative differences in kinds of offenses that occur when institutions are crowded, and ; 4) inmate-institution interactions.

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PANEL 12

EVALUATING ALTERNATIVES TO  
TRADITIONAL POLICE PATROL

ON SCENE ARRESTS IN RELATIONSHIP TO POLICE RESPONSE TIME:  
A PRELIMINARY ANALYSIS OF PART I CRIME DATA

Assumptions regarding police response time form the basis of current beat designs, manpower allocation, patrol procedures and the development of technological communications and patrol equipment because fundamental empirical knowledge is unavailable. This research was conducted to provide data concerning outcomes of Part I Crimes related to differential response time and to identify problems and patterns of reporting Part I Crimes. Data were collected in selected areas of Kansas City on 949 Part I Crime incidents through field observations, communications tape analysis, citizen interviews, injury follow-up, and arrest/conviction follow-up. Findings do not generally support time-hardened assumptions: (a) arrests occurred in 11.9 percent of all incidents and response-related arrests in only 3.7 percent with citizen mobilization time having a greater effect on arrest than police response did; (b) injuries occurred in relation to Part I Offenses in just 5.6 percent of the total sample with seriousness of injury differentially related to citizen mobilization and policemobilization, (c) citizen mobilization was the major determinant of witness availability; (d) citizens were generally very satisfied with police response time, however, their satisfaction was influenced by expectations and perceptions in addition to actual response time; (e) reporting problems occurred frequently and were usually caused by the citizen; (f) citizens did not reserve the use of special emergency numbers for reporting only emergency calls. Implications with respect to the effects of citizen mobilization on crime outcomes and on procedures to discriminate emergency from nonemergency calls are discussed. It is concluded that clarification of citizens' crime reporting responsibilities is required to develop an effective working relationship between citizens and police.

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COMMUNITY SERVICE OFFICER PATROLS  
AS A DETERRENT TO CRIME IN  
HOUSING PROJECTS

In partial response to relatively high crime rates within its six lower income housing projects, the City of Fall River, Massachusetts, through funding from the Law Enforcement Assistance Administration, instituted a Community Service Officer program in two of these housing projects in the Summer of 1972. The C S O program, which includes two and three man team patrolling during the hours of 6 P.M. - 2 A.M., eventually expanded to the other projects by January, 1975.

This study was undertaken to reveal the frequency of "Part I" crime types for eighteen month periods before and after commencement of the C S O team patrols, and consequently, to determine their crime deterrent impact. Chosen for study were three of the low income projects, the linear two-story stereotype with three or four units per apartment; all three share similarities as to architectural style, density, and income level of residents.

Although data abounds to document the program's effectiveness in decreasing the number of police service calls to the projects, this result is inherent in the ambit of delineated duties of the Community Service Officers. A more precise barometer of success study design indicating not only crime frequency changes within the housing projects themselves, but temporal and geographical displacement to proximate areas (intuitively identified as circumscribing a similar "turf") as well.

Formally stated, the major hypothesis is that the experimental stimulus (CSO) did effect a significant change in crime frequency. Several corollary hypotheses are also tested; these incorporate such variables as temporal scheduling, continuity and mode of patrol, displacement, character of potential displacement areas, and academic notions of "architecturally defensible space".

The data demonstrate that, as hypothesized, the post-CSO crime frequency during CSO patrol hours generally decreased in two of the three housing projects; in the third, a variety of elements extrinsic to the CSO program have seemingly combined to generate a significant increase of in-project crimes. Displacement to proximate areas was evidenced in all three projects, with numerical significance particularly during CSO patrol periods. The data, and lack of other important data, evince some important implications: a CSO patrol concept,

Community Service Officer Patrols As A Deterrent To Crime In  
Housing Projects . . . cont.

when undertaken in a continuous and systematic fashion, does have a deterrent effect on Part I crimes; regular police personnel should be aware of the displacement area factor and perhaps should devote more patrol emphasis to these areas. CSO presence instills in would-be thieves a latent cognizance in that the CSOs' present an additional hurdle to successful perpetration of crimes of opportunity; the presence of CSO patrols also acts as an attitudinal catalyst to operationalize resident surveillance and reporting by minimizing fear of reprisal. Furthermore, the lack of aggregated data as to less serious offenses underscores the need for a data collection rationale which would allow the determination of CSO deterrence of these other crime types.

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POLICE EVALUATION RESEARCH: AN  
ANALYSIS OF THE SIGNIFICANCE  
OF A CRIME PREVENTION TECHNIQUE

The significance of a helicopter patrol procedure directed toward the prevention of home burglaries was evaluated from experimental and cost-benefit perspectives. First, the helicopter patrolled one city zone which comprised 5.63 miles from 9 a.m. to 5 p.m. at an altitude varying between 50 and 400 feet for two 12-day periods. Each 12-day period was separated by a baseline period in which only normal patrol car levels were maintained. Secondly, the area of coverage of the helicopter was systematically increased to areas covering 12.83 square miles, 15.62 square miles, 20.85 square miles and 115.6 square miles. In each case the same evaluation procedures as were used with the first 5.63 square miles zone were employed. Significantly reduced burglary levels during the intervention periods as compared to baseline periods documented the experimental significance of the helicopter procedure in all areas except the 115.6 square mile target area. The cash costs implementing the patrol procedure was compared to two estimates of cash benefits that resulted from the helicopter deployment. This latter cost-benefit analysis was supplemented by a discussion of the intangible costs and benefits of the helicopter procedure. Taken together, the latter analysis documented that the marginal costs of the helicopter intervention were exceeded by all estimates of benefits in all areas except the largest area. Thus, the experimental and cost-benefit significance of the helicopter patrol were documented within specific geographical limitations.

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AN EVALUATION OF SPECIALIZED  
POLICE PATROLS

This report is based on both judgmental and empirical assessment of data related to specialized patrols. It covers a review of relevant literature, evaluation reports, and survey information collected from about 400 law enforcement agencies.

Contained in this report are selected portions of other documents submitted to the National Institute of Law Enforcement and Criminal Justice under the major heading of "Phase I National Evaluation of Selected Patrol Strategies: Specialized Patrol Operations Under the National Evaluation Program."

This report describes general uses and effects of specialized patrols and common assumptions underlying their existence. It is focused on the findings from a sample of projects selected as being representative of the state of knowledge on specialized patrols. The assessment of this sample includes information on success and failure as related to performance and effectiveness.

More research is needed before a definitive, final word can be written on the use of specialized patrols. The exact methods and uses of specialized patrols varied from location to location and the existing research and evaluation information on performance is of questionable accuracy and reliability. The various sources of formal and informal information that were collected have been systematically analyzed and displayed for each project under study. This permits the reader to examine both evaluation information and the present weight of informed police opinion on important issues such as arrest performance, deterrence in terms of increases and decreases in crime, the amount of change in arrests and deterrence effected by a unit, and the impact of a specialized patrol on the community it serves. Indicators are also developed and displayed about the collective performance and effectiveness of three general types of specialized patrols: Low Visibility, High Visibility, and Combined High/Low Visibility projects.

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WILMINGTON SPLIT FORCE POLICE PATROL

The patrol force of an urban police department has had two primary functions: to respond to calls for service and to conduct crime preventive patrol. Traditionally, patrol units first respond to calls for service and, secondly, conduct random preventive patrol in between responding to the calls for service. The Wilmington Split Force Patrol program is an experiment in police manpower productivity; it involves splitting the patrol force into two components, one of which concentrates on responding to calls for service, while the other is deployed to perform structured crime prevention activities. This paper summarizes the evaluation results and determines the efficacy of maintaining a split force. Major policy implications are also considered.

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PANEL 13

EVALUATION SYNTHESIS

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"The Three Faces of Evaluation: What Can Be Expected to Work"

Herbert C. Quay, Director  
Program in Applied Social Sciences  
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P.O. Box 248074  
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"Evaluation Synthesis"

Joe Nay  
The Urban Institute  
Washington, D. C.

"Synthesizing Evaluative Information for the Congress"

Joseph Delfico, Assistant Director  
Program Analysis Division  
General Accounting Office  
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"Phase I Results: Washington State Youth Services Bureau Study"

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RECIDIVISM AND RESEARCH DESIGN:  
LIMITATIONS OF EXPERIMENTAL - CONTROL RESEARCH

The widespread use of experimental-control designs in criminal justice research may have resulted in the overestimation of mean recidivism rates in the U.S. This paper will present data from a recent survey of post-adjudicatory research comparing the outcomes of various forms of experimental research with the made to explain differences in outcome through the introduction sample, the "definition" of recidivism utilized, and similar methodological considerations.

Based on these findings, recommendations will be made for appropriate ways of measuring recidivism and appropriate uses in experimental control research.

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MODELS AND POLICY EVALUATION:  
'OIL AND WATER?'

The last ten years within the Canadian Federal Government, and in particular the criminal justice agencies, have seen an increased pressure for more rational management. This has resulted in increased pressure for policy evaluations, many with quantitative modeling components. The present paper addresses first some of the pitfalls and needs for the use of quantitative models in policy evaluation. Second, the constraints for the evaluation process are described, including those on the input of models; on the modeler himself, on the problem area to be addressed and in the analysis to be undertaken. Although the use and relevance of models in policy evaluation are less than we feel is possible, the recognition of their significant differences and mutual support can only lead to more realistic expectations and less frustration in their application, in the future.

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INGREDIENTS FOR SUCCESSFUL  
IMPLEMENTATION OF A MODEL

Interviews and surveys have begun to clarify the process of implementation of criminal justice models in local operating agencies. In addition, user acceptance of three models available from The Rand Corporation has been tracked since their release over a year ago. These models -- the Patrol Car Allocation Model, the Hypercube Queuing Model, and a simulation model of patrol operations -- are intended primarily for police departments.

The following factors now appear to be most relevant for determining the likelihood of implementation ( i. e., application of the model by an agency for operational decisionmaking):

1. User perception that operations can be substantially improved by using the model. In a police department that considers its patrol beats to be satisfactory, for whatever reason, a beat design model is unlikely to be implemented.
2. Data requirements. A model that requires large amounts of data, or data that are not readily available, is less likely to be implemented than a model with modest data requirements. However, sometimes a model serves as a spur to data collection.
3. Compatibility with computer systems available to agencies. Models written in languages such as COBOL and FORTRAN are more likely to be implemented than those written in specialized languages such as SIMSCRIPT.
4. Presence of an advocate for the model in the agency, who has political skills and a long-term commitment to analysis.
5. Continued interest in the model by the model builder.
6. Availability of federal funds to support use of the model.
7. Quality of documentation, a complete user's manual being most important.
8. Verification. Models in which programming bugs are discovered, and not corrected, fall into disuse even if most agencies would not encounter the bug.

Ingredients for Successful Implementation of a Model . . . cont'd

9. Validation. Models whose output is found to match real data are trusted by their initial users and gain additional users by word of mouth.
10. Practitioner-to-practitioner transfer. Models are more successfully introduced to new agencies by satisfied users than by the model designers or salesmen.

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## PROBATION PREDICTION MODELS AND RECIDIVISM

The recent GAO effort<sup>1</sup>, applying predictive models to estimate probationer success, has received considerable attention. Their report claims success for three of the eight models they applied to data from three county probation departments. A central feature of their report is the recommendation that these models be used to predict probationer behavior with regard to:

- 1) the likelihood of recidivism in a community setting,
- 2) the best level of supervision, and
- 3) early probation termination.

An analysis of their data, however, suggests that the models recommended do not significantly increase the percentage of accurate predictions.

Our own applications of these models to randomly drawn populations of successful and unsuccessful probationers (N=96) suggest that they are of little value in predicting the likelihood of recidivism or early probation termination for our population. Nonparametric analyses of scores for the GAO models V, VI, and VII indicate an unfavorably high rate of false positives and false negatives. In particular, no model was able to accurately predict probationers who failed through re-arrest and re-conviction during the first nine months of supervision under conditions of either high or low service delivery. An examination of the criminal careers and demographic information available for this population sheds some light on the reasons for the models' failure to predict probation performance. For example, none of the three recommended models makes a predictive distinction between the petty crimes against person offender (who may recidivate rapidly) and the major crimes against person offender who may be an excellent long-term risk.

An alternative to the GAO recommendations is presented. Local jurisdictions can derive their own predictive models based on cohort data summarizing their recent successes and failures under supervision. Locally validated models can be constructed with a minimum of statistical and data handling effort. A methodology for deriving a local

Probation Prediction Models and Recidivism . . . cont.

model is illustrated with data from the Kane County experience. A relatively small number of variables is used to target some beginning probationers as high risks who require intensive surveillance and rapid service delivery.

<sup>1</sup>U.S., General Accounting Office, State and County Probation: Systems in Crisis, (Washington: May 27, 1976).

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METHODOLOGY FOR COMPARATIVE EVALUATION  
OF THE RELATIVE EFFECTIVENESS OF VARIOUS  
PROGRAMS

The propensity of ex-offenders to recidivate after release from various programs is the most often used measure upon which comparisons between treatment programs are made. Since it is commonly recognized that the probability of recidivating is time dependent, all releases are usually followed-up for a fixed time period following release. The proportions of offenders who recidivate from each release program during this time period are usually compared using a t-test. This technique has three significant limitations:

- o The time lag required to evaluate a program is excessively long. For example, if a 12 month follow-up is required for all offenders released by two programs during 1976, the persons released near the end of 1976 will not have had a full 12 months exposure until the end of 1977;
- o The technique does not account for the time at which recidivism events occur. Thus, for example, if k out of n people released from some program recidivate, the "proportion failing" (k/n) only uses part of the information available. Two cohorts could have the same proportion failing yet still have markedly different recidivism rates. Furthermore, using the above example, information that some of those were released early in 1976 lasted 12 months but still recidivated prior to the end of 1977 is typically ignored;
- o The proportion failing is an awkward measure to use for analyzing in-program (parole, probation, etc.) failures.

In-program analyses are usually based on the measure defined as follows:

$$P = \frac{K}{N_o + I}$$

where:

K = number failing while in-program during some period of time,

Methodology for Comparative Evaluation of the Relative Effectiveness of Various Programs . . . cont.

$N_0$  = initial number in the program at start of the period,

$I$  = number coming into the program during the period.

It will be shown that when  $P$  is computed for two or more parts of a period of time (say the first and second half of a year) that the average of the values calculated will always be less than the value calculated for the entire period (the whole year, for example.)

A technique, commonly used in testing the reliability of mechanical and electrical systems, will be presented which overcomes these problems. The technique uses the times to recidivism event for failure as well as the time to the end of the data collection period for successes. It is valid for making in-program comparisons and can be applied to any program as long as some offenders have been released who can be tracked.

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BASE EXPECTANCY MODELS: A NON -  
PARAMETRIC APPROACH AND AN  
EVALUATION METHODOLOGY

Statistical profiles (base expectancy instruments) have been used to discriminate between ex-offenders based on their probability of continuing to commit serious crimes. These instruments are used throughout the criminal justice system: in prosecutor's offices to screen more serious cases for intensive investigation and case preparation; in probation departments to screen offenders for diversion programs; and to select candidates for early release to halfway houses or parole. The efficiency of these instruments will be described in terms of two primary measures:

- o The percentage of offenders who "fit" the profile, i. e., the percentage selected for diversion, early release, or intensified prosecution;
- o The percentage of those selected by the instrument who are correctly screened, i. e., the percentage of those selected for early release who do not recidivate, etc.

These two measures can be used to describe the characteristics of perfect profiles. A method for evaluating profiles based on these measures and estimates of the costs and benefits of correct and incorrect screening decisions will be explained.

In addition a new technique for developing profiles will be demonstrated. Currently, multivariate statistical techniques, discriminating between population subgroups require the assumption that the characteristics of these subgroups are distributed as a multivariate normal with identical covariance matrices. A non-parametric technique based on conditional probabilities will be described. The technique can apply to continuous or discrete data and produce a probability of recidivating directly.

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PANEL 30

EVALUATING INNOVATIVE ALTERNATIVES TO ADJUDICATION

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"An Overview of Alternatives to Conventional Adjudication"

David J. Saari, Center for the Administration of Justice, The American University, Washington, D. C.

"The Problems of Comparative Evaluation"

Earl Johnson, Jr., University of Southern California and Social Science Research Institute, U.S.C., Los Angeles, California

"Some Preliminary Results of the Impact Assessment of the Community Arbitration Program"

Merry A. Morash, Community Arbitration Program, Annapolis, Maryland

ALTERNATIVES TO INCARCERATION -  
THE IMPORTANCE OF JUDICIAL PERFORMANCE TO  
DIVERSION AND REFERRAL PROGRAMS:  
THE CASE OF TASC

A recent trend is the proliferation of diversion and referral programs, in which the arrestee is channeled out of the traditional judicial process and into a special probationary status. In the case of TASC, projects use several forms of referral, including pre-arraignment, post arraignment, and conditional probation.

The logic of TASC and all other programs in which some form of social services or treatment is imposed as the alternative to judicial processing is based on the capacity of the program to provide an option for the arrestee that is more attractive than judicial processing. That is, the objective of the TASC program is to convince drug users that enrollment in a treatment program has a value greater than continuation in the courts. In short, the program tries to persuade drug users to adopt a course of action that they had previously not voluntarily chosen. This form of persuasion although not strictly coercive, relies on the leverage furnished by the judicial process. That is, TASC relies on the court system to function close to normative descriptions: to prosecute most of those arrested, to convict most of those prosecuted, and to incarcerate most of those convicted.

A recent study of one TASC program suggests there may be major problems in the TASC logic with respect to court performance. The present paper reviews those problems and their implications for all court referral treatment programs.

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Panel 30 - Evaluating Alternatives  
to Adjudication

AN ALTERNATIVE TO COURTS: AN EVALUATION OF THE  
ORANGE COUNTY (FLORIDA) BAR ASSOCIATION  
CITIZEN DISPUTE SETTLEMENT PROJECT

The Citizen Dispute Settlement (CDS) Project in Orange County, Florida is designed to provide impartial hearings for residents who have complaints involving ordinance violations, misdemeanors and minor felonies (e. g., simple assault). The concept can be traced to the early function of the Justice of the Peace, who served as an informal hearing arbitrator. In the CDS Program, attorneys from the Orange County Bar Association volunteer to serve as arbitrators, much like Justices of the Peace. However, in the CDS procedure no arrest has occurred, and the traditional criminal justice machinery and personnel are not involved beyond the point of referring potential clients to the project. In effect, CDS is an informal alternative to the traditional criminal justice system, where citizens attempt to reconcile their differences at a voluntary hearing by reaching a mutually satisfactory settlement. This project is part of a nationwide correctional reform effort by the American Bar Association's BASICS Project (Bar Association Support to Improve Correctional Services).

Preliminary planning for the CDS project began in the fall of 1975. As the project was being developed, an evaluation plan for the program was also created. The evaluation researchers were interested in the types of clients who presented complaints and the kinds of complaints which they brought to the CDS project. The researchers were also interested in assessing client satisfaction with the hearings, hearing officer satisfaction with the hearings, and the longer term effects of the hearings (e. g., were the citizens' problems actually solved?). In addition, the researchers were interested in the impact of the program on the Orange County criminal justice system.

Data based on the first year of the project's operation have been analyzed. These data indicate that clients, as well as hearing officers, are generally quite favorable toward the hearing procedure. In addition, complainants and respondents reported that, in general, the problems presented at the hearing are solved as a result of the hearing. The impact of the program on the Orange County criminal justice system was difficult to ascertain, due to other changes in the system which occurred during the program period. However, data which the researchers were able to collect provide indications that the program is having some impact in diverting less serious cases

An Alternative to Courts: An Evaluation of the Orange County  
(Florida) Citizen Dispute Settlement Project... Continued

out of the system. These data are discussed in greater detail in the paper to be presented at the Conference.

This type of program has wide applicability in other cities and counties throughout the nation. Because of this, the organization of the Project and of its evaluation will be discussed. The Project's evaluation was unusual in that it was an integral part of the program. The evaluators and program administrators worked together from the outset of the Project to develop an evaluation design that would be useful for ongoing program planning as well as for measurement of program results. Our paper will discuss this approach to program evaluation in greater detail. Recommendations will be presented which would help others about to begin a similar project.

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VICTIM-DEFENDANT RELATIONSHIPS  
IN AN ADULT DIVERSION PROGRAM

The Adult Diversion Program (ADP) of the Pima County Attorney's Office is currently diverting 8 percent - 10 percent of all indicted cases. Victim approval of the defendants diversion has been a requirement since the ADP began in 1973. Since less than 5 percent of victims indicate disapproval of defendant diversion, this paper initially deals with possible reasons for this low disapproval rate.

The ADP has also encouraged victim-defendant meetings where feelings could be ventilated, restitution negotiated, and defendants could be provided with an appropriate closure of their offense. Victims who participate in these meetings are given a before and after questionnaire which contains some questions related to their attitudes. The second half of the paper describes the victims and defendants who participated in such meetings (and were willing to fill out the forms) during 1976. Preliminary findings show that victims punishment orientation diminishes after such meetings as does the defendant's ability to depersonalize victims.

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PANEL 15

EVALUATING PAROLE PROGRAMS

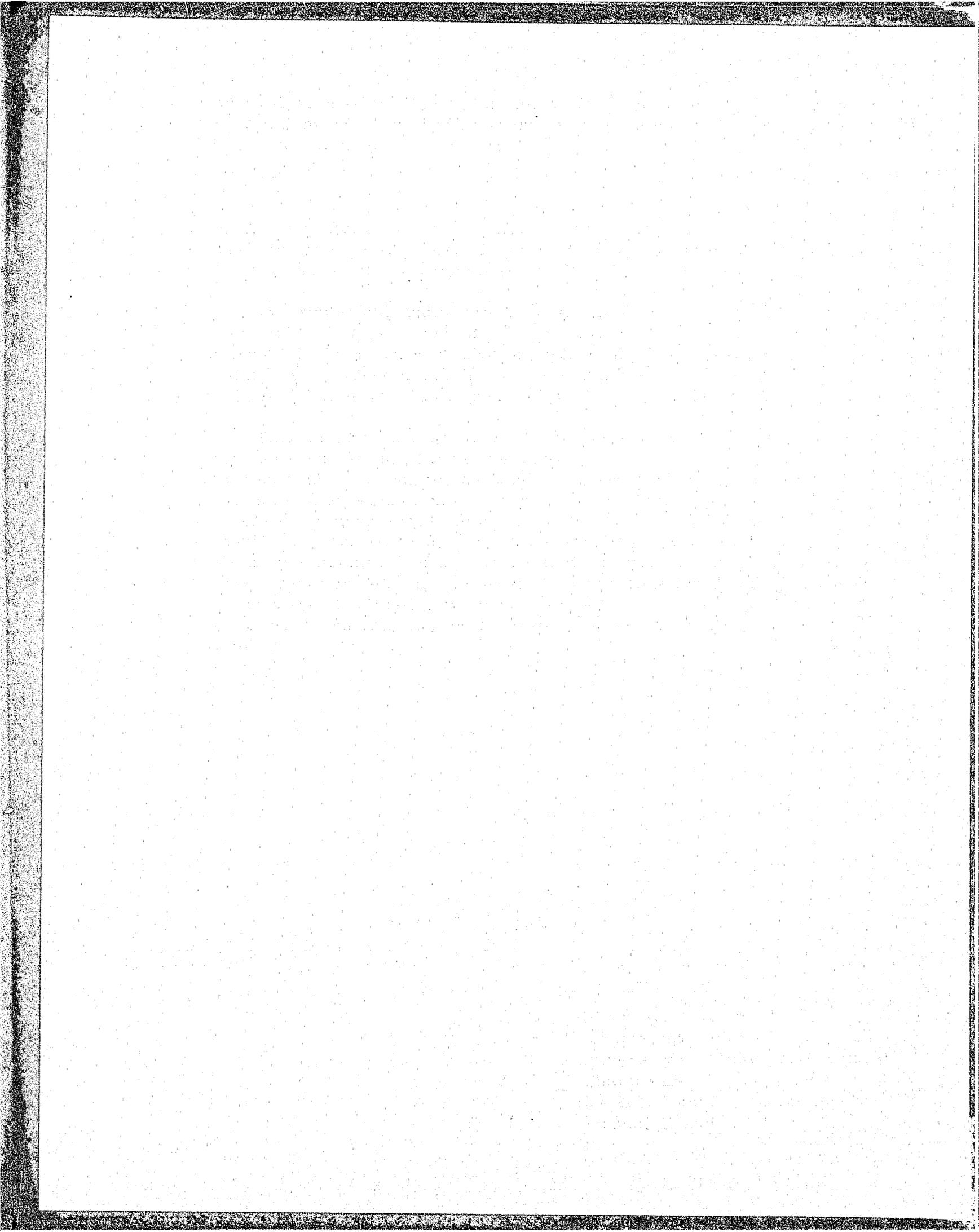
Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Something that Works: Financial Aid for Released Prisoners."

Kenneth H. Lenihan, New York,  
New York





KENTUCKY'S ADULT HALFWAY HOUSES:  
SIX MONTH FOLLOW-UP

Although a variety of relevant information has been presented on the Kentucky half-way house program, several points now seem worthy of review. In this study, the target population of this follow-up study was 130 parolees who entered and terminated from the Kentucky Half-Way House Program during 1975. As well as reviewing this group's reintegration into the community in terms of recidivism and employment, half-way house participants were compared with other Louisville parolees and half-way house parolees in other states.

The Kentucky half-way house group was generally a young group, unmarried, having less than a twelfth grade education. Property offenses were the most frequent crime of this group. On the whole, these parolees appeared similar in background characteristics to the other parolees surveyed.

This study focused primarily upon the recidivism of the half-way house group during the six months following their release from the house. It was found that 51 percent of the half-way house group had remained in the community with no significant contact with the criminal justice system; 27 percent had pending charges and 22 percent had been reincarcerated.

Considering the houses separately, Ervin House had a higher proportion (62 percent) in-community than Dismas House (47 percent). The reincarceration rates for both houses were similar, 26 and 22 percent, respectively. Blitz House for female offenders had one ex-resident in-community and three with pending charges. It appeared that success of performance within the house was directly and strongly related to the resident's subsequent legal status. In general, differences in recidivism were not found to be related significantly to background characteristics of the group.

An additional factor that was noteworthy concerned the second indicator of community reintegration--employment. Half-way house participants who were employed were more likely to be in the community with no serious legal problems than were the unemployed, and the unemployed were more likely to be reincarcerated. Of interest, however, is that less than half of the half-way house group (43 percent) had current or consistent employment during this follow-up period.

Kentucky's Adult Halfway Houses: Six Month Follow-up  
(continued)

When the reincarceration rate of the half-way house group was compared to that of the control group, the former evidenced a much higher rate, 22 versus 3 percent. The only discernable difference appears to be that the half-way house group does lack the initial family or community support that the direct releases presumably have.

Presently, the Kentucky program compares favorably with the Federal GAO study. However, the GAO reincarceration rate was suggested on the basis of a much longer time span, thus the Kentucky program might not result in the overall projected effectiveness of having 50 percent in the community trouble-free as release time lengthens. Further, when comparing Kentucky results to those of Minnesota, Kentucky half-way houses have a reincarceration rate twice as high (22 percent to 11 percent). Also, unlike Minnesota, the Kentucky study found that successful program graduates were much more likely to be non-recidivists than program neutrals or failures.

In summary, it appears that the Kentucky Half-Way House Program evidenced a relatively high rate of reincarceration during the first six months of follow-up compared with similar data from other Kentucky parolees, a Minnesota half-way house group, and the GAO half-way house participants. There are, however, factors that seem relevant when considering causes and remedies. First, program successes had fewer reintegration problems than others in the half-way house group. Second, employment was indicated as a deterrent to reincarceration. Third, location of prior residence and, hence, the factor of community support may have been related to reintegration. These factors suggest that selection criteria and programming in the houses might be reviewed in efforts to reduce the reincarceration rate.

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TWO STUDIES OF ADULT RECIDIVISM AND THEIR IMPLICATIONS  
FOR THE USE OF PAROLE PREDICTION DEVICES

This paper examines the findings of two recently completed studies on adult recidivism in the State of Washington and draws conclusions which question the feasibility of developing prediction instruments such as parole and probation base expectancies.

The first study of consideration was completed in March 1976 by Ralph W. Smith and constitutes a statistical analysis of returns to Washington State Institution. Its major findings include the following:

1. Over the last ten (10) years, return rates have been reduced.
2. Failure rates are almost as high during the second year following release as they are during the first, which tends to refute the notion of the "critical first six months."
3. After five years the percent returned levels off at under 40%. Even after 10 years follow-up, 60% of those released have not returned to a Washington State facility and indications are that less than 5% even end up in other state or federal facilities.
4. Those tending to have lower recidivism rates are first admissions, person offenders and drug offenders, and older offenders (over 35).
5. Recidivism by ethnic group shows that the "Other" category (including Japanese, Chinese, and Filipino) has consistently lower return rates while American Indians have significantly higher return rates than any other ethnic group. Return rates for whites and blacks are very similar, although whites tend to return to the institution at a somewhat higher rate during early months after release while blacks tend to return at a higher rate than whites after two years of follow-up.

The second study was by Ralph Smith and Steven Kuehl. This is an in-depth analysis of alcohol use and adult recidivism, and uses the same methodology as the previous study.

Two Studies of Adult Recidivism and Their Implications for the Use of Parole Prediction Devices . . . cont.

Its major finding was that while there appears to be a somewhat higher failure rate for persons who have a history of excessive alcohol use and for those who had alcohol involved in the commitment offense, that higher failure rate tends only to be present within the first 12 to 24 months following release. As the follow-up period is extended the failure rate for persons with no history of excessive alcohol use and with no alcohol involved in the commitment offense equals, and in some cases exceeds, that of the alcohol use groups. The only statistically significant difference in recidivism rates between the "alcoholic" and non-alcoholic groups after three to five years follow-up, was that the person offender who had alcohol involved in the offense had a significantly lower failure rate than person offenders who had no alcohol involvement.

The paper proceeds from this point to indicate that for some time there has been considerable interest in the development of objectified methods for determining parole success probabilities for adult offenders, and that the State of Washington has developed such a method in the form of a parole base expectancy score. This score is calculated for each offender admitted to a state correctional institution on the basis of the presence or absence of certain selected variables which are found to be related to parole success after a one to two year follow-up. This score is then used as one of the several criteria by which the Board of Prison Terms and Parole sets minimum terms and grants parole.

The variables commonly used in such prediction tools include, type of offense (whether person or property), history of alcohol use, juvenile record and marital status, all of these are used to calculate the Washington State BE score. Other variables used at various times and in other states include employment history, age and race.

The paper discusses how the findings presented in the two Washington studies suggest that base expectancies which use one to two year follow-up to establish actuarial tables cannot take into account the crossover effect apparent in the alcohol use variable and race variable as identified in the Washington studies.

The paper discusses the implication of this as well as other considerations in using prediction instruments, including the human rights issue of whether an objective score, developed using variables related

Two Studies of Adult Recidivism and Their Implications for the  
Use of Parole Prediction Devices . . . cont.

to parole failure for a group of offenders from a previous time period should be applied to individual offenders in subsequent time periods in affecting their length of incarceration, and whether such variables as marital status should be used at all in setting minimum length of institutional stay.

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PAROLE IMPACT:  
A PROTOTYPE IN INSIDE/OUTSIDE PAROLE SUPERVISION

An innovative method of parole supervision was implemented by the Massachusetts Parole Board in 1974 with LEAA funds. As is often the case in Criminal Justice agencies, the Parole Impact program and the concept of Inside/Outside supervision developed as an answer to a crisis situation. In 1973, the correctional facilities in Massachusetts were severely overcrowded. In order to relieve population pressures through responsible increased parole release, the Parole Department required additional manpower at the institutional level to supervise the extra cases after parole release. This paper describes the organization and implementation of a program designed to meet these needs. Results of evaluation are presented and implications for the national criminal justice system are discussed.

Organization

Under the Parole Impact Program, entry level Junior Parole Officer positions were created to handle both the inside pre-parole case preparation and the outside post-release parole functions. This dual responsibility is basic to the Inside/Outside concept. The major objectives of the program, as listed in grant application #73-ED-01-0011, are: 1) to reduce recidivism, 2) to provide accurate and complete information for Parole Board decision-making, 3) to provide an employment opportunity for qualified minority and female persons, 4) to evaluate the Inside/Outside concept, 5) to reduce the population at MCI-Concord.

The Parole Impact Program operates at Massachusetts medium security prison at Concord. MCI-Concord is the committing institution for younger male offenders. The sentencing structure for Concord commitments is indefinite. Parole Eligibility is not governed by Massachusetts statutes; rather, the Parole Board determines, by policy, an inmate's parole eligibility date. Even that date may be waived by the Board and an Early Hearing granted. As mandated by the original LEAA grant, program clients are male Concord commitments between the ages of 17 and 26. Potential program clients are screened usually within 1 to 2 months after commitment to the prison. Impetus for screening is either a letter from the inmate himself, a referral from the classification committee, or, infrequently, a referral from the Parole Board. Men admitted to the program must not be classified as sexually dangerous, and must not have pending court cases which will most likely lead to lengthened incarceration.

tion. And perhaps most importantly, the inmate must appear motivated to go straight. The most recent (April 1976) client profile shows that of the 304 clients then in the program 66% committed Offenses Against the Person, 5% committed Sex Offenses, 18% Crimes Against Property, and 9% Drug Offenses. After acceptance into the program each client is assigned to one of five Parole Officers on the basis of the geographic location to which the client plans to return. The client and JPO meet bi-weekly prior to the client's Parole Eligibility Date (usually for approximately six months) to plan a realistic self-actualizing parole plan which can be implemented immediately upon the inmate's parole release. During these contacts the inmate and JPO are able to develop a viable social-work relationship which bolsters the view of the Parole Office as a primary helpmate in bridging the gap between prison and free society. After working with the client for several months the JPO may feel that the man is ready for parole. In such cases, the Parole Impact Program submits the case to the Parole Board requesting an Early Consideration Hearing.

The JPO presents the client's case at the Parole Board Hearing and, in the presence of the inmate, gives his assessment of the client's readiness for parole. If the client is paroled, the JPO, already thoroughly knowledgeable about the parole plan, is in a unique position to ensure immediate and thorough implementation of the plan. The JPO continues meeting the client bi-weekly until the man is functioning stably within the community, usually six to nine months after release. Thereafter, the client is transferred to regular state supervision and monthly contact with the Parole Officer.

#### Results of Evaluation

To evaluate the success of the program in meeting its goals, the Research Division of the Parole Board has maintained a listing of all program clients. This list is used to obtain the computerized records of each inmate maintained by the Department of Corrections. Parole Board votes were also recorded.

Analysis of the data reveals that the recidivism rate of program clients is 12% lower than the base expectancy rate. Parole Board votes show that the program has lowered the number of Action-Pending votes by 6% compared to a similar group - other Concord commitments. These data indicate that the program is meeting its goal of supplying information for Parole Board decision-making as AP votes are traditionally given when the Board is lacking information. Minority employment statistics show that the program has consistently maintained minority employment at 50%. In the past 2½ years the Parole Impact program has doubled the number of minority Parole Officers employed by the state Parole Department.

Data also show that the program has been very successful in reducing

the prison population. The paroling rate for Impact from 1/1/74 to 6/31/76 was 20% higher than other Concord commitments. Additionally, the proportion of Impact cases applying for and receiving Early Consideration was 38% higher than for other Concord commitments. Data on program Early Releases from 2/1/74 through 1/31/75, show that 57 Parole Impact clients were granted an Early Release date. These clients were paroled an average of three months prior to the regular Parole Eligibility date. This amounts to a substantial reduction in the MCI-Concord population. This reduction in population may be converted to a dollar value. Alone, this one aspect of Parole Impact yields a savings to the state of approximately \$151,500. (Program expenditures during the same period were \$160,900.)

#### Conclusion

The results of Massachusetts pilot implementation of the Inside/Outside concept have implications for the criminal justice system nationwide--in the area of client services, as well as in the operation and quality of the criminal justice system. Parole Impact has, with limited resources, reduced recidivism, changed the nature of the client-Parole Officer relationship, provided an affirmative action career ladder within the Civil Service system, and reduced population in a severely overcrowded adult medium security correctional facility.

The success of the Parole Impact Program in Massachusetts calls for implementation of the Inside/Outside concept in other parole jurisdictions across the country. Such implementation should be accompanied by full scale evaluative research to ascertain if the Inside/Outside concept will contribute to the increased effectiveness of the criminal justice system on a national level.

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Panel 15 - Evaluating Parole  
Programs

EVALUATION OF A STUDY RELEASE CENTER

The evaluation of the University of Washington's Resident Release Project suggests that perhaps none of the data usually relied upon by a university or corrections department can predict the academic success and potential for recidivism of the applicants to the program.

Data for this evaluation have been obtained from official state and federal files and from university data. The absolute frequency is available for the 76 variables. Correlations have been run between selected variables and both academic and parole success. The most promising predictors are being used in regression analysis to determine if there are predictable quarters after admission to the Project in which a resident is likely to have success or failure.

The Resident Release Project is an especially good program upon which to base a claim that persons of extremely varied backgrounds, including criminal history, may be a "success" when granted early release and the option of participating in a college level program. This Project began in 1972 and is part of the University's Educational Opportunity Program; as such, it was authorized to accept persons whose formal educational background was less than that required of those entering the university under normal admissions procedures. The study includes 203 men and women who were permitted early release from state and federal prisons to live under minimum security conditions on the campus; their offenses ranged from murder to forgery and their academic background from lack of a high school diploma or its equivalent to acceptance into graduate school. Other demographic data are also presented.

For three years an evaluation has been conducted to determine what, if anything, could predict "success," both on and off campus. Evaluators first studied the academic background of the residents, including information on transcripts and from tests given during intake examinations upon entering prison. There was no significant correlation between any of this information and academic or other types of success. The evaluators then looked at the specific courses and instructors taken by the students in order to determine if the residents who succeeded academically had taken the easiest courses; this was not the case. The fact that residents may elect to receive special tutoring could offset the poor academic background their records indicate; however, the implications of these negative correlations could substantially alter the requirements which corrections personnel

and educators impose upon prisoners -- or persons seeking diversion from prison -- who express an interest in education. They should also make decision-makers question the value of the amount of money and manpower which is invested in some of the testing and gathering of information from prisoners after their admittance into prison.

None of the separate variables can predict parole success at an acceptable level of significance. Although there are still some regressions to run, all indications are that these too will prove insignificant. Only after one knows whether someone was a success in the Resident Release Project, i. e. they made parole without being returned to prison or being transferred to a work release facility, is it possible to ascertain success on parole. Correlations of criminal history and demographic data with parole success will be presented.

This paper will also suggest the extent to which conclusions can be drawn from the lack of predictability of parole success. This will be accomplished after describing a comparison group and their parole success.

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Panel 15 - Evaluating Parole  
Programs

OBJECTIVE SELECTION TECHNIQUES AS A LOGICAL  
PREREQUISITE TO THE EVALUATION OF WORK RELEASE PROGRAMS

While community-based correctional programs such as Work Release are viewed as providing an important transitional step in the readjustment of the offender to the responsibilities of community life, many evaluative studies have failed to demonstrate that Work Release participation adequately prepares, rehabilitates or reintegrates the offender into society. Most investigations pertaining to the effectiveness of Work Release in achieving these goals have utilized designs in which recidivism rates are compared for differing modes of release. The methodological weaknesses inherent in the use of recidivism as a sole measure of post-program outcome are well documented in the literature, and its continued use appears to reflect the determination of researchers to evaluate Work Release at a level which is greater than is currently possible or justifiable.

It is suggested that the successful operation of a Work Release Program will in large part be dependent upon the extent to which the proper individuals are selected for program participation. Proper selection techniques appear to constitute a logical prerequisite to any evaluation of subsequent program success. This research is specifically directed toward the development of an objective selection technique for determining the suitability of an offender to participate in the Work Release Program operated by the Virginia Department of Corrections.

Data were collected on a random sample of 250 adult male felons who had participated in Virginia's Work Release Program between 1973 and 1975. The criterion of success or failure utilized in the present study was the type of program termination. One hundred nineteen of the subjects successfully completed the program (to expiration of sentence or release on parole), and 131 participants were considered to have been unsuccessful (removed from the program due to violations of regulations, new offenses, or escape). Objective data on 21 pre-program characteristics were collected for each subject.

The data were analyzed through the use of linear discriminant function techniques. In order to insure that the discriminant function would be as conservative as possible without risking the possibility of denying what would otherwise be a potentially successful offender entrance into the program, each subject was assigned a 50% a priori probability of success or failure. Both the resulting discriminant score and the

classification coefficients were applied to each subject, thus yielding a probability of group membership.

The findings indicated that seven variables significantly discriminated between Work Release successes and failures at or below the .05 level of probability. These variables were: Level of Emotional Maturity, as measured by ratings on the Initial Classification Psychological, Relationship to Parole Eligibility, Number of Adjustment Reports, Time to Discharge, Number of Total Convictions, Type of Offense, and Number of Prior Felony Convictions.

After extensive monitoring and testing, the predictive strategy was formally incorporated into the Work Release Guideline. Within six months, the violation rate on Virginia's Work Release Program had been reduced by approximately 15%. Thus the identification of characteristics which significantly discriminate between Work Release successes and failures has proved to be of substantial theoretical and practical value for the Work Release Program. It is suggested that the implications of predictive selection strategies for community-based programs in general is worthy of careful consideration by correctional administrators.

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PANEL 16

JUVENILE DIVERSION PROGRAMS

METHODOLOGICAL AND THEORETICAL ISSUES IN  
JUVENILE DIVERSION: IMPLICATIONS FOR EVALUATION

In 1975, the evaluation of a major juvenile diversion program operated by the Orange County Probation Department was completed. The process of design and implementation as well as the results of this research clearly illustrates many of the major problems facing evaluators working in the area of criminal justice. The problems which are identified are not exclusively within the domain of the evaluation component, but rather in many cases are related to the broader issues surrounding the concept of diversion itself and exercise of social control. This presentation attempts to clearly articulate the current major issues facing diversion and through the process of illustration demonstrate their impact upon evaluation. Among the topics included for discussion and illustration are problems of goal definition and operationalization, referral procedures and their design and sampling implications, time frame restrictions and outcome measurements, the use of alternative program matriculation paths in the analysis and problems associated with the use of statistical controls in lieu of experimental procedures. Included in this paper is a presentation of the major findings resulting from the evaluation, as well as an analysis of important issues concerning interpretations and recommendations resulting from evaluation research.

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## RECIDIVISM RATES OF DIVERTED JUVENILE OFFENDERS

This paper reports on a rare situation: a field evaluation experiment employing random assignment of subjects to experimental conditions. The evaluated project was a police diversion program to refer juvenile offenders to community-based counseling agencies in lieu of ordinary court processing. In late 1974 in a large Western metropolitan police department, 306 juveniles were judged by juvenile officers to be referable, using their normal discretionary criteria. After being assigned to the referable pool, the project juveniles were then randomly assigned to four treatment and no treatment conditions: 1) ordinary court processing; 2) referral to a community agency with purchase of service by the police department; 3) referral to a community agency without purchase of service by the police department; and 4) outright release of the juvenile with no other action taken. Subsequent to treatment, the project juveniles were interviewed concerning their delinquent activities and official arrest information was obtained from a central county repository of juvenile arrest records.

Official re-arrest records after one year indicated clearly that police diversion of juveniles away from court is slightly effective in reducing rearrests when the juveniles are referred to agencies. Police diversion is shown to be more effective in reducing rearrest when no further action is taken at all. 62.2% of the juveniles assigned to court processing were rearrested; 58.2% of those referred to agencies with service purchased were rearrested; 45.5% of those referred to agencies without service purchased were rearrested; and 37.0% of those released were rearrested.

Although randomization has excluded the possibility that background characteristics accounted for the differing rearrest rates, it would remain unclear whether juveniles not released by the police may become more involved in delinquent activities or whether they only find themselves arrested more often for the same activities. To address this problem reports were obtained from the project juveniles themselves regarding their delinquent activity, for which they may or may not have been arrested. These interviews indicated that subjects in the four conditions did not differ appreciatively with respect to the level of illegal activities they reported. Rather, previously released offenders were not rearrested as often as their non-released comrades for the same illegal behaviors.

Recidivism Rates of Diverted Juvenile Offenders  
(continued)

Thus, the use of both official and self-reported delinquency indices in this study, in addition to the fundamental use of randomization, can guide speculation as to the specific mechanisms by which the four experimental conditions affected delinquency. Increased rearrest subsequent to societal intervention activities cannot be attributed to increased delinquent activity on the part of offenders not previously released by the police. Speculation must center instead upon the increased responsive efficiency of agencies and systems concerning themselves with social control.

Although randomization has prevented background characteristics from determining assignment to disposition in this study, naturally questions remain as to whether the effects of disposition are mediated by important background characteristics such as age, sex, and prior record. For instance, it may be that referral to a community agency reduces rearrests for firsttime offenders while increasing rearrests for repeat offenders. The final section of this paper reports on analyses of the interaction of disposition with certain background characteristics.

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THE DIVERSION OF JUVENILE OFFENDERS:  
INITIAL SUCCESS AND REPLICATION OF AN ALTERNATIVE  
TO THE CRIMINAL JUSTICE SYSTEM

While considerable attention has been focused on delinquency prevention, theory and research, clear directions for future policy and practice have been lacking. Three intervention strategies - community-based programs, nonprofessional/volunteer person power, and diversion from the justice system - show promise, but the lack of sound experimental examination and relative efficacy data renders definitive recommendations difficult.

The proposed paper will focus on the experimental examination of the efficacy of a diversion project for adolescent offenders. Data on two years of project operation and subsequent followups will be presented. The study included both confirmatory hypothesis testing as well as exploratory and descriptive process analyses. Specifically, the effectiveness of community-based, volunteer person power, diversion program for adolescent offenders was investigated in an experimental format. In the initial year of the project youth who were about to be petitioned to juvenile court were referred to the program. Following pre-assessment they were randomly assigned to an individualized program or "treatment as usual" control. The experimental condition paired referred youth on a one-to-one basis with undergraduate students who had received intensive training and supervision as behaviorally oriented child advocates. The second year of the project involved expanding the program operation. During the second year, referred youth were randomly assigned to a behavioral contracting condition, a child advocacy condition, or the control condition.

The evaluation design used involved pre and post assessment of all youth referred on the following dimensions: socialization, locus of control, social labeling, self-reported delinquency, and social desirability. These measures were taken from the perspective of the youth themselves, their parents, and nominated peers during both years of program operation. Archival measures from police, court, and school records were gathered for one year pre, post, one year and two year followup intervals. The focus here was on the frequency and seriousness of offenses for which a petition to court occurred.

The Diversion of Juvenile Offenders: Initial Success and Replication  
of an Alternative to the Criminal Justice System  
(continued)

A second major component of the evaluation design involved the construction of process analysis measures during the second year of program operation. Process interviews were conducted at six week intervals with target youth, their parents, the volunteer student (experimental youth only) and the student's supervisor (experimental youth only). A rational empirical strategy was employed to construct 33 process scales reflective of critical social systems support, perceptions of change, characteristics of the interventions, and performance on supervision and training.

The data on the initial year's project indicated significantly less delinquent behavior for the project group in contrast to the control condition. This phenomena was observed at the post, one year follow-up, and two year followup time points in terms of frequency of police contact, seriousness of offenses, and frequency of court petition. In addition, analyses of school data indicated that the project youth were more likely to continue attending school while the control youth decreased their school attendance dramatically. The second year's data produced identical results. Essentially, both the behavioral contracting and child advocacy approaches were effective in drastically reducing official law violations, and maintaining school attendance. Analyses of the pre-post questionnaire data from youth, parents, and peers on the dimensions mentioned earlier failed to yield significant changes from any perspective in either the first or second year of operation.

The relationship between process dimensions and outcome was also examined to begin to empirically understand the facets of the programs impact. After demonstrating that the process scales had excellent convergent and discriminant validity properties, these dimensions were examined in a complex analysis of variance. The results indicate that outcome was closely related to the events in the lives of the youth and the characteristics of the intervention received. More specifically, successful cases were much more likely to maintain positive interactions with significant social systems (e.g. family, school, employment), less likely to report further police involvement, less likely to report deterioration on change dimensions, more likely to successfully initiate their respective intervention package (advocacy or contracting) and more likely to receive broad band interventions (e.g. focusing on more than one social system). Those youth who become reinvolved in the justice system did so almost immediately after referral, to relatively narrow interventions focused on the justice system alone. In essence, those who failed to benefit from the juvenile justice system.

The Diversion of Juvenile Offenders: Initial Success and Replication  
of an Alternative to the Criminal Justice System  
(continued)

The results of this two year examination of the diversion project suggest a multiple contingency model of interventions in the juvenile justice system. It appears that several sets of critical events were involved in producing successful outcomes. Given the relationships between outcome, life events, and intervention characteristics it appears necessary to maintain some involvement in appropriate social roles as well as to facilitate the designated intervention procedures in order to produce a positive impact on diverted delinquents.

The policy impact of the proposed paper lies in two areas. First, the outcome data on the efficacy of the diversion project highlights the promise of diversionary alternatives. Obviously, systematic replication must be undertaken prior to widespread dissemination. Second, the program evaluation model developed as part of the project's operation has considerable implications for future work in the juvenile justice system arena. The combination of longitudinal experimental, designs, multi-level system monitoring, and exploratory descriptive designs provide the necessary ingredients for reflecting the complexity of juvenile justice system functioning.

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POLICE DIVERSION IN CALIFORNIA

The evaluation is of a program that started on a modest scale in 1971 when two student interns were assigned as diversion counselors at a local municipal police department. Funding came in the second year of operation, along with two additional cities. At the present, the program has 28 counselors serving 13 police departments and a sheriff's division.

The program has been (and is) funded locally and by the path leading from county planning agency through state planning agency to L.E.A.A. Contractual arrangements involve the University of California in the direct delivery of services, using faculty members, full-time counselors (who are university employees), student-intern counselors, and volunteers acting in the fashion of big brothers/big sisters (mostly students).

There were two broad aspects to the evaluation. The first encompassed evaluation of the program as a police diversion project that is expected to produce certain results regardless of the program's special characteristics. For example, a diversion program is expected to reduce contact with and penetration of the juvenile system, immediately and long-range. The second aspect encompassed evaluation of the impact of unique features of this particular diversion program. For example, diversion referrals were serviced by university, rather than criminal justice or mental or human service agency, personnel, and there are many questions of comparative effectiveness.

The principal foci of the first of these two broad aspects were determinations of impact upon: a) the juvenile justice system and b) the young offender and his or her family. In this process, 20% of all referrals were assigned to a control group by means of a table of random numbers. Comparison was intended between the effects of having an in-house diversion program (treatment) and not having a diversion program (no treatment) at all (a lack in previous trials pointed out by several evaluators of evaluations), so that when a referral was randomly designated control, the juvenile officer was told to deal with the youngster as he or she would have before the diversion program came into existence; that could be counsel or release or referral to another agency. Recidivism data were obtained from local arrest files and from the Central Juvenile Index. A double-blind procedure was used to evaluate family members at

Police Diversion in California  
(continued)

six-month and one-year follow-ups. It was accomplished by using interviewers who did not know if they were interviewing (by telephone) treated or control families, and by associating the interviewer with the police department rather than the program.

The second broad aspect of evaluation was directed to the more-or-less unique features of the program. This called for attention to the level of effectiveness of service-delivery in a system necessitating close working relationships between police and university personnel (historically not the closest of friends). And, since the University is primarily a center for teaching and research, one must assess the cost-effectiveness of the University as a community servicing agency. Evaluation of these factors was based upon questionnaire results, analyses of referral characteristics, and comparison of the cost of service as compared with other agencies serving comparable populations.

While there are too many details of evaluation to allow discussion in this context, a very broad (and admittedly fallible) indicator of success is community acceptance. Accordingly, growth since 1971 is as follows: a) paid full-time staff members; 1972 - 0, 1973 - 4, 1974 - 5, 1975 - 9, 1976 - 28, b) referrals; 1972 - 37, 1973 - 120, 1974 - 493, 1975 - 642, 1976 - over 1400. These results (and others) at least indicate the ability of police, major university, and community generally to work together toward a community goal of family counseling and youth advocacy for minor offenders. And since the returns to the University come in various non-dollar forms (faculty and students are unpaid but get research and education as pay-offs), the cost of the program per referral is between 1/4 and 1/10 of similar programs run by public agencies.

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POSITIVE DIRECTION PROGRAM  
(A POLICE YOUTH DIVERSION PROJECT)

As a program designed to divert youth from the juvenile justice system at the point of apprehension by a police officer, the Positive Direction Program succeeded with \$91,917 in 1975 in referring 330 carefully screened juveniles to 34 different community agencies, with 36 of these juveniles being rearrested.

The preparation for implementation of the program, including a formulation of an adequate organizational structure, a concise and comprehensive record-keeping system, and training for staff and agencies, was well executed. The procedure used to divert youth, and the criteria used to determine diversion eligibility, were carefully defined, although they were subject to changes as appropriate, and subject to considerations of staff with respect to individual juveniles.

The project operated as follows: when an officer apprehended a youth committing an offense, the officer completed a Diversion Score Sheet. Points on this sheet were given according to the number and seriousness of prior and present offenses, among other factors. If the total points were within a given range, the youth was recommended for diversion. Parents were contacted, prior juvenile court and police contacts were verified, and the Diversion Score Sheet was then sent to the police screening officers. These officers arranged with the parents for referral of the youth to a community agency. This agency was selected based on the type of services needed and the district of residence. The agency and the police screening officer sent monthly progress reports to Positive Direction. If the youth was not subsequently arrested, he/she formally "graduated" at the end of six months, when all confidential juvenile record information was returned to him/her.

All objectives for the first year of the program were met with relative success. Juvenile Probation Department and most community agencies were pleased with their relationship with the program, and wanted it to be continued in some form. The number of juveniles diverted fell slightly short of the goal, yet the number of petitions filed at the Youth Guidance Center at the time of initial court action decreased more than the program had proposed. The other more qualitative objectives of coordinating, insuring accountability of, and providing updated, comprehensive information about community

Positive Direction Program (A Police Youth Diversion Project)  
(continued)

agencies were in this evaluator's estimation achieved. A profile of released, diverted, and traditionally processed youth was provided. A result of the evaluation which was recommended for further study concerned the rearrest rates. It was determined that the recidivism rate for youth who were cited or booked was twice as high as for those diverted, but the recidivism rate and diverted youth was about the same as for youth who were admonished and dismissed.

Although the staff, participating agencies, and Juvenile Probation Department generally expressed satisfaction with the program, and although the program had relative success in achieving all of its objectives, numerous constructive criticisms and recommendations for improvement were offered by staff and agencies alike. These included 1) payment to community agencies for services rendered, 2) more and better services, especially in particular areas of the city, 3) more extensive orientation and training sessions for community agencies, and 4) more extensive involvement by the entire San Francisco Police Department. The Positive Direction Program has recently been incorporated into a more all-embracing diversion system utilizing the fee-for-service process, and many of these recommendations are being implemented.

The evaluation methodology utilized which produced these and other results was comprehensive, given the cost and time limitations. The administrative staff were interviewed. Questionnaires were distributed to the 21 police screening officers and to 28 community agencies who provided services. The number of juvenile court petitions filed in the first six months of 1974 and 1975 were compared. A sample profile was compiled of all rearrested, diverted, and traditionally processed youth who came into contact with the police during a one month period. Factors in the profile included age, race, sex, district of residence, type and location of offense, number of prior offenses, and Diversion Score Sheet scores. The rearrest rates for each of three categories over a six month period were compared using the one month sample population.

Discussion topics arise from this report regarding evaluation methodology and project impact. A recurring evaluation problem of not proving direct impact of project activities to project goals is evidenced here in some cases. Random selection of clients for comparison groups did not occur, thereby raising the practical and philosophical questions of utilizing control or comparison groups to evaluate a diversion program. Police sponsorship was also an interesting concept, useful in many ways for research purposes as well as for project operation, but adversely related to the diversion process in the eyes of some.

Positive Direction Program (A Police Youth Diversion Project)  
(continued)

Additional discussion and research areas based on this report could be suggested. Although alternative treatment approaches for juvenile offenders are becoming increasingly popular, most studies fall short of offering an example of a viable treatment program or a method of evaluating it. The Positive Direction Program presented a method to facilitate treatment in a community setting and addressed the problems of accountability and assessment. The evaluation report offers to the researcher pre-tested instruments which could be utilized for similar programs, discussion of methodological and programmatic pitfalls, and an example of a program which is potentially replicable in other regions.

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## COMMUNITY ACCOUNTABILITY PROGRAM

Hypothesis: That by holding juveniles residing within a given community accountable for their criminal activities, there would be a statistically significant decrease (1) in Part I and II juvenile contacts: (a) within the community and (b) for individuals appearing before an accountability board; and (2) in the incidence of selected Part I crimes as measured by reported residential burglary, auto theft and larceny.

### Operational Descriptive Evaluation

During the period September 1, 1973, through February 29, 1976, 711 youths were seen by the three branches of the Community Accountability Program. As of February 29, 1976, 211 youths were still enrolled in the CAP system. Of the total enrollment (711), 53 percent were referred from the Juvenile Court. Four hundred ninety-nine (70 percent) of the youths entered with at least one prior Part I contact with the Seattle Police Department. More than two-thirds of the enrollees were males, and 41 percent of the total client population were between 14 and 15 years of age. Approximately 42 percent of the youths were white, 42 percent were black and 11 percent were Asian.

The Community Accountability Board (CAB) component was operational from February 1974, through February, 1976, and heard 365 cases (representing 355 youths) during that period. Of the cases heard, all but one were assigned restitution and 79 percent of these youths had completed their assignments by February 29, 1976.

In addition to the CAB, the Community Accountability Program provided support social services. Services provided included placement of 300 youths on jobs, enrollment of 206 youths in alternative education, counseling of 308 youths and the supervision of 42 youths completing Juvenile Court assigned restitution.

### Impact Evaluation

The present report presents updated data on the Mt. Baker, Ballard-Fremont and Southeast CAP's from September 1, 1974 through February 29, 1976. This excludes those clients who participated only in the first year of operation of the Mt. Baker CAP. Based on the present crime impact analyses, the following conclusions can be made regarding the third-year operation of the Mt. Baker CAP and the second-year operation of the Ballard-Fremont and Southeast CAP's.

Community Accountability Program  
(continued)

1. During the most recent 12-month period (May, 1975, to April, 1976) compared with September, 1972, to August, 1973 (12 months immediately prior to project implementation), the combined rate for reported burglary, auto theft and larceny increased 7.2 percent in total CAP target areas (from 3,502 to 3,754), as compared with a 13.4 percent increase (from 27,609 to 31,298) in Seattle minus those areas (S-). This difference is statistically significant at the  $p < .05$  level of confidence. When individual crimes are added across CAP areas, no significant differences were found between the CAP areas and S- in reported burglary or auto theft. However, the increase of 9.2 percent in larceny in CAP areas was significantly lower ( $p < .05$ ) than the 19.3 percent increase in S-.
2. Total numbers of juveniles contacted for crimes within the CAP census tracts are down significantly within the Mt. Baker and Ballard-Fremont areas. In the Southeast CAP area, juvenile contacts have shown a nonsignificant increase, compared to the rest of the City. For the total CAP area, all juvenile criminal contacts are down significantly (1,109 to 990, or -10.7 percent) when compared to the rest of Seattle (5,112 to 5,483, or +7.3 percent) for the periods January through August, 1973, versus August, 1975, to March, 1976.
3. CAP client recidivism rates are significantly lower than comparisons with actuarial recidivism rates. When clients are separated into accountability board appearance groups versus CAP service-only groups, the reduction is significant for the accountability board youths only. For 250 youths with six-month followup, actual recidivism was one-half that predicted (only 27 were recontacted, opposed to a predicted 55). For twelve-month followup on 146 youths, recidivism was two-thirds that predicted (30 youths recontacted, versus a predicted 44).

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PANEL 17

MEASURING THE IMPACT OF  
LEGISLATIVE CHANGES

DETERRENCE REGAINED:  
THE CHESHIRE CONSTABULARY'S 'BREATHALYSER BLITZ'

For four weeks in September of 1975, every driver in the British county of Cheshire who came in contact with the police because of an accident or a traffic violation during drinking hours was required to take a breath test for alcohol. The test was requested regardless of whether the policeman had reason to suspect the driver of having consumed any drink. This policy was described by the local press as a 'breathalyser blitz'. Inspection of time-series data on crashes indicates that the 'blitz' resulted in a significant and impressive diminution of fatal and serious crashes. This experience supports the view that drinking and driving is deterrable by the threat of legal punishment when the probability of this punishment is rendered subjectively high.

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POLICE ROADBLOCKS TO DECRIMINALIZATION:  
A MULTIPLE-TIME-SERIES ANALYSIS OF LAW ENFORCEMENT'S  
RESPONSE TO CHANGES IN PUBLIC DRUNKENNESS STATUTES

While there has been increasing interest in therapeutic alternatives to the criminal justice system, little attention has been given to the intake process whereby the citizen is delivered to the public health system. The purpose of this study is to evaluate the performance of the police as the major agency responsible for the delivery of public inebriates to designated health facilities. It is designed to provide a comparative study of the intake process, criminal and therapeutic, of several representative cities in the United States. Specifically, we conduct this study by developing and utilizing three research models: impact, decision-making - police discretion, and prescriptive models.

The first step was to develop a quasi-experimental impact model to determine both the quantitative (i. e., size of the clientele) and qualitative (i. e., nature of the clientele - chronic skid row, non-skid row) effect of decriminalization on the intake of public inebriates. Three experimental jurisdictions (Washington, D. C.; St. Louis, Missouri; and Minneapolis, Minnesota) and three control jurisdictions (Houston, Texas; Richmond, Virginia; and San Francisco, California) were chosen for this phase of the project. Our essential research hypothesis is that decriminalization will produce a significant decrease in police intake despite the retention of the police as the mandated pick-up agent. As will be shown in the text, this hypothesis is confirmed.

Second, a police discretion model was developed and utilized to evaluate the reasons for the anticipated differences in police intake between: (1) criminal and decriminalized jurisdictions; (2) pre- and post-reform periods in decriminalized jurisdictions; and (3) police precincts with high concentrations of public inebriates and those with low concentrations of public intoxicants. While we projected that both departmental and patrol officers discretionary variables account for the anticipated decrease in intake, we hypothesized that the latter factors (i. e., the ingredients of "street-level discretion") principally account for the decrease in police pick-up practices. This hypothesis is not confirmed and in fact, departmental decision-making apparently plays a larger role than we anticipated in determining police response to this reform.

Last, we developed a prescriptive model for assessing the potential utility of a variety of intake mechanisms that are being used

throughout the United States. The model is premised on four principal elements: (1) the goals that a jurisdiction may wish to achieve; (2) the conflict and compatibility of these goals; (3) delivery mechanisms that are available to achieve these goals; and (4) techniques of administration whereby the delivery mechanisms are utilized to achieve the goals. The goals then are perceived as the dependent variables and the delivery mechanisms as the independent variables. Techniques of administration are treated as the intervening variables. To analyze the relationships among these elements, we conducted research in five additional jurisdictions where "innovative" intake mechanisms were being utilized.

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IMPACT OF THE MINNESOTA COMMUNITY CORRECTION  
ACT ON SENTENCING ALTERNATIVES

This paper focuses on the impact of the 1973 Minnesota Community Corrections Act. An assessment is made of the degree to which judges in participating county areas are using local correctional alternatives more and commitment to State institutions less since the CCA began to be implemented in July of 1974.

The philosophical premise of the CCA is that the reintegration of offenders must take place in the community and that many offenders can be shifted from custodial control within a large State institution to community based programs without the loss of public protection. The CCA is intended to address the following concerns: (1) increased institutional costs at the State level, (2) limited local correctional services, (3) overlapping correctional jurisdictions and, (4) a lack of uniform standards for delivering correctional services.

Major elements of the CCA include: (1) a community corrections advisory board in each of the participating county areas, (2) a comprehensive plan prepared by the advisory board and submitted to the Department of Corrections, (3) a subsidy determined by an equalization formula and (4) a per diem charge that participating counties pay for committing certain categories of offenders to State institutions.

The units of analysis for this study are the juvenile and district courts in the three county areas (six counties) that began participation in the Act in 1974. County and municipal courts are not included in this study in that they adjudicate only offenders charged with misdemeanor offenses and cannot commit offenders to State institutions.

The research design for this study is a multiple time series design which stipulates that sentencing alternatives are measured quarterly before and after a county begins participation. The design also calls for the periodic measurement of sentencing alternatives in a set of control counties. At the district court level, the distribution of sentencing patterns is measured in three ways: the percent of dispositions involving probation each quarter, the percent of dispositions involving local incarceration by quarter, and the percent of dispositions involving a commitment to a state institution by quarter. At the juvenile court level, sentencing alternatives are measured by the percent of dispositions

involving probation and the percent of dispositions involving State commitments. An analysis is also presented of the proportion of chargeable offenders (offenders for whom the county area pays a per diem when committed) committed to State institutions.

The analysis of the data on sentencing patterns has so far shown that among participating counties, there has been an increase in the use of local alternatives and a decrease in the use of State commitments as a sentencing alternative whereas among the control counties no such pattern emerged.

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EVALUATING THE 1973 NEW YORK STATE DRUG LAWS

The object of the New York City Bar Association's Drug Law Evaluation Project is to assess the impact of the 1973 New York State Drug Laws on patterns in drug abuse and on the State's criminal justice system. The 1973 drug laws were introduced as a deterrent to drug abuse and to drug-related crime, especially in New York City. The laws reclassified many drug offenses as serious felonies, made prison terms mandatory upon conviction of many drug crimes, and restricted plea bargaining by defendants indicted for the most important drug offenses. The laws were aimed primarily at narcotics offenses. Penalties for marijuana offenses and for most other non-narcotic offenses remained unchanged.

It should be emphasized that the project has been conducted in a non-academic institutional setting. The project is strictly policy-oriented. Our goal is to assess, within a relatively short period of time, whether the laws have had a significant impact on the specific problems with which they were designed to deal. For this purpose, the project has adopted a variety of research strategies and has examined many different types and sources of data.

We theorized that, if the 1973 laws were to be judged effective, the following results should have been apparent: first, there should have been a significant increase in the absolute number of prison sentences imposed on defendants convicted of drug felonies; second, the risk of imprisonment following conviction of a drug felony should have increased; third, existing levels or trends in drug abuse should reveal significant changes; and fourth, there should have been a significant reduction in drug-related street crime.

Data on the criminal justice system was more readily accessible than data on drug-abuse trends. We were able to rely upon official New York State statistics for data on drug arrests, indictments, convictions and prison sentences. The project also conducted its own sample survey for the purpose of collecting more specific information about drug offenders who had actually been indicted and convicted under the new laws. We encountered a number of problems in interpreting the meaning of official aggregate statistics on drug felony processing. In addition, data for the years prior to 1973 was seriously incomplete in a number of respects. The difficulty of obtaining adequate pre-law

data is, we believe, a general problem which probably confronts most researchers who attempt to measure the impact of legislative changes.

In order to measure trends in drug abuse, we relied upon a number of indirect indicators. These included statistics on narcotics-related deaths, serum hepatitis cases, emergency room drug mentions, and drug treatment program admissions. No direct means of measuring drug abuse levels is available. Data was also obtained on drug abuse indicators in a number of "comparison" cities in the northeastern United States.

Our findings to this date are as follows: there is evidence that the State's criminal justice agencies have not in general, responded positively to the legislation and, that they have not fully implemented the laws in the manner intended by the legislature. We believe that institutional resistance to the new laws is due to two primary factors: first, a belief among practitioners that the laws are either inappropriate or unwise, and, second, an inability to implement the laws fully because of manpower and related resource problems. In statistical terms, the laws have not led to an increase in the number of drug felony arrests, convictions, or prison sentences. The risk of receiving a prison sentence following a drug felony conviction has increased noticeably, but the absolute number of drug felony convictions has declined sharply from pre-law levels. Our findings on drug abuse trends and on drug-related crime are not as yet ready for publication.

As part of our final report, we hope to draw conclusions about the appropriateness of this type of legislation for other jurisdictions. We also intend to outline the major methodological problems involved in evaluating legislation of this kind.

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MEASUREMENT OF CRIME PATTERN MODIFICATION:  
AN EXAMPLE, GUN CONTROL

A quantitative approach to evaluating the impact of law enforcement programs on crime occurrences is presented. The evaluation setting and methodological considerations for detecting a shift from empirical-stochastic models of crime occurrence is first described. In the next section, the computer implementation and use by a decision maker is discussed. A sensitivity analysis of the methods is presented. Lastly, a substantive example of these procedures is applied in evaluating the effects of the legislative change of gun control on gun related crimes in Boston.

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PANEL 18

MEASURING PERFORMANCE OF THE COURTS

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Evaluating the Effectiveness of Defenders"  
Roberta Rovner-Pieczenik, The Police  
Foundation, Washington, D.C.

Panel 18 - Measuring  
Performance of the Courts

INDICATORS OF JUSTICE: MEASURING THE PERFORMANCE  
OF PROSECUTION, DEFENSE AND COURT AGENCIES INVOLVED  
IN FELONY PROCEEDINGS

This paper summarizes the results of an eighteen-month study of the use of statistical performance measures in the context of felony proceedings. The study, supported by a grant from the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration, U.S. Department of Justice, had two broad objectives:

- o To identify, screen, and evaluate sets of statistical performance measures as indices of progress.
- o To demonstrate the applicability of these performance measures in two selected (county) jurisdictions.

The paper will summarize the approach, the methods used, and the overall findings of the study, and will draw general implications for jurisdictions interested in applying the approach. It is intended as a guide to officials and practitioners in the criminal courts -- judges, prosecutors, public defenders, private defense counsel, and court administrators. It should also be of interest to criminal justice researchers and to other criminal justice practitioners, such as police and probation officials, whose work brings them in contact with the courts.

The study of performance measurement was limited to several major issue areas including charging standards, charging accuracy, plea bargaining, sentence variation, evenhandedness of outcomes, delay, efficiency of the use of practitioner time and attitudes of lay participants such as jurors, victims, other witnesses and defendants.

The paper focuses on the general findings of the study concerning the feasibility of applying statistical performance measures; methodology and data availability, desirable extensions to the work completed in the study and how potential capabilities and costs of planned information systems compare with the approach developed in this study.

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## MEASURING PROSECUTORS' PERFORMANCE

This paper examines prosecutorial policy and its effect on decisionmaking. It will show that initial charging decisions have a direct impact on the operations of the office; that charging decisions are made with reference to office policy; and that office policy profoundly affects the way in which cases are disposed. Four policy types were identified through on-site visits to prosecutors' offices. A typology is developed showing expected disposition patterns. The typology also shows how the use of such strategies as diversion, discovery and plea bargaining differ according to the policy and how resources in the office can be rationally distributed. It supports the need for uniformity and consistency in decisionmaking. Most importantly, this paper shows that the performance of a prosecutor's office cannot be judged until we know what he hopes to achieve.

The findings presented here are based on the results of a Phase I study conducted for the National Evaluation Program to examine the issues, assess knowledge and outline methods for further evaluation at the national and local level. The key finding of this study is that the prosecutor's policy regarding the prosecution and disposition of cases - however derived or communicated to subordinates - is directly and measurably related to charging procedures. Without knowledge of the policy, data on dispositions may be misinterpreted. When the policy is known, charging practices become understandable and, on the whole, rather predictable if the policy is applied on a reasonably consistent basis.

This paper identifies four charging policies, ranging from one which accepts for prosecution virtually all cases with the required legal elements to another which accepts only those cases which have been judged likely to result in conviction after trial. Other policies include one which emphasizes the defendant's rehabilitation through diversion from the criminal process and another which stresses efficiency, i. e. early disposition of as many cases as possible. These four policies are not exhaustive. Others may exist and in some offices a mixture of policies may be operating.

Where charging policy is articulated, it is expected that the aggregate dispositional data can be predicted. For example, in a system that emphasizes accepting only those cases likely to be won at trial, a high percentage of rejections at the charging level and of guilty pleas to the original charges would be expected. When the

Measuring Prosecutors' Performance . . . cont.

existence of the legally-required elements of the offense is the chief criterion controlling the charging decision, a low percentage of original rejections and of guilty pleas to the original charges can be predicted.

Because of these wide variations in expected dispositional patterns, it is clear that prosecutorial policy must be identified before any evaluation of prosecutorial performance is undertaken.

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PRIORITY PROSECUTION PROJECT

The primary purpose of the Priority Prosecution Project is to improve the processing and disposing of serious felony cases handled by the Denver District Attorney's office. Detailed data were collected and verified for 244 PPP cases dating from late 1973 through 1975. An analysis of these evaluative data resulted in the following findings:

- o About 75% of the PPP cases involved an Impact charge.
- o The average time span from filing to disposition was 5.6 months. Although it could not be determined to what degree PPP may have shortened time spans, TPS staff interviewed pointed out delays in case preparation as a key variable influencing final outcome.
- o About one third of the PPP cases were disposed of through a plea (although seldom to a misdemeanor).
- o About one-third of the PPP cases were disposed of through a plea (although seldom to a misdemeanor).
- o About one-fourth of the PPP cases were tried, typically resulting in a guilty verdict.
- o Slightly over one-fifth of the cases were dismissed, usually due to a witness problem or multi-case disposition.
- o On the average, a TPS spent 28 hours on a case with his primary work activities consisting of interviewing witness and investigating the scene.
- o Deputy District Attorneys felt that the TPS was essential or helpful in achieving the ultimate disposition in 121 of 130 PPP cases.

To determine if the pattern of PPP Impact case dispositions was different than Impact cases prior to PPP, a baseline of Impact cases was selected for comparative analysis. This analysis indicated a statistically significant greater proportion of trials and fewer dismissals/plea bargain case dispositions in PPP than the baseline. Although a greater proportion of PPP cases were disposed of with "guilty as charged",

Priority Prosecution Project . . . cont.

this increase was not statistically significant. The ratio of guilty verdicts to trials was several times greater for PPP cases than the baseline. Disposition analysis by type of crime also indicated more "favorable" outcomes for PPP than the baseline for all Impact categories except rape.

Sufficient data were not available to determine the effectiveness of the diversion program. However, a survey was conducted to determine the usefulness of the training component of PPP. The strongest element of this component appears to be the training manuals. Although not all Deputies who responded to the survey had been trained, an average of 40 hours of training, as stated in the objective, was achieved.

In summary, it should be noted that several aspects of the PPP project could not be evaluated and some objectives were not measurable. However, evidence of TPS effectiveness and improved case dispositions under PPP were found when PPP cases were compared to similar cases prior to PPP. Subjective measures also supported the effectiveness of PPP in processing and disposing of serious felony cases.

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EXPANDING THE PERSPECTIVE OF CRIME DATA:  
PERFORMANCE IMPLICATIONS FOR POLICYMAKERS

Statistics that are valuable indicators of the performance of individual criminal justice agencies often tend to obfuscate the combined, systemwide effectiveness of those same agencies because of a lack of comparability among interagency data. Through PROMIS (Prosecutor's Management Information System) various adjustments to District of Columbia data were made so that court, prosecutory, police and victimization statistics could be compared on an apples-with-apples basis to obtain crime-specific performance measures from the systemwide perspective of crime victims as well as from the perspectives of prosecutor and police. Comparable data also permitted a crime-specific analysis indicating the points at which criminal incidents dropped out of the criminal justice process. Particularly with reference to Uniform Crime Reports and victimization survey statistics, improved data collection procedures are recommended so that comparability of interagency statistics could be assured, which, in turn, would substantially enhance the utility of crime data for policymakers.

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Panel 18 - Measuring  
Performance of the Courts

COURT INFORMATION SYSTEMS PHASE I EVALUATION

This report presents a judgmental assessment of court information systems and the development projects which produced them. Sponsored by the National Institute of Law Enforcement and Criminal Justice and conducted by the MITRE Corporation as a part of the National Evaluation Program, this assessment reports on the existing state of knowledge of such systems from literature research, discussions with practitioners, an extensive nationwide telephone survey, and in-depth field site visits.

There is a new and growing awareness that information handling within the courts is significantly important in the processing of cases. This realization, together with increased caseloads, has produced considerable interest in information systems among those concerned with judicial administration. Some thirty jurisdictions have already developed, and are operating, comprehensive court information systems, thirteen of which were visited during the course of this study. Those court information systems provide not only day-to-day court operational information processing but data useful for court management as well.

The site visits revealed that little formal transfer of knowledge among jurisdictions concerning information systems is occurring because little authoritative information is available, although there is a considerable need. Courts are being influenced in system development decisions by conferences, peer groups, vendors, and other government agencies (primarily county data processing centers).

While recent literature alludes to the separation of judicial and executive powers as a possible barrier to system operation, 70% of the courts visited shared county data processing center equipment with county or municipal executive agencies.

For a variety of reasons system development projects were not carried out in accordance with the best management practices. For instance, specific statements of system goals and objectives have not been prepared, generally little comprehensive requirements analysis has been performed before system development, and the involvement of court operational or managerial personnel in the development process has been generally minimal. Yet, ninety percent of the resulting court information systems were on-

line and were operating, processing data and yielding reports, although many contained notable design deficiencies. Management reports which were produced by the systems were seldom used in court administration or caseload management.

No formal quantitative evaluations of such systems were uncovered, although system development project costs ranged from less than half a million to over four million dollars. Annual system operating expenditures require from one hundred thousand to over one million dollars.

The assessment concludes that court information systems are operating, but are still evolving into a useful, integral part of normal court operations. While their potential for reducing the average time to disposition, improving the quality of justice and improving the court's public image appears to be substantial, there has been insufficient evaluation to conclusively determine their effect. Such systems are, however, increasing in both numbers and complexity and play a significant role in those jurisdictions where they have been introduced.

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PANEL 19

EVALUATION OF EDUCATION AND  
TRAINING PROGRAMS

THE DEVELOPMENT AND USE OF EVALUATION  
DESIGNS IN CRIMINAL JUSTICE TRAINING  
PROGRAMS: THE COOK COUNTY MODEL

The Cook County Criminal Justice Training and Leadership Development Section was created with an LEAA grant in 1972 to provide training to criminal justice personnel in Cook County, Illinois. Since 1972 the Section has provided over 100,000 man hours of training to approximately 3000 county employees.

The approach of the Cook County Criminal Justice Training and Leadership Development Section to evaluation research was carefully tempered over time to take into consideration both the potential value of such research and the limitations of resources, time and the particular stage of the program's development.

The basic evaluation format employed was as follows:

1. Survey of Training Needs

This, together with other input from the agencies served, provided the basis for staff decisions concerning the approach and seminars to be offered.

2. Statement of Course Objectives

Instructors for each course or training module were requested to outline what they expected to accomplish in the course, especially along the dimensions of change in knowledge, attitudes and behavior. A decision was then reached on how readily such goals lent themselves to measurement.

3. Design of Instruments

To satisfy evaluation needs, a single questionnaire, usually to be administered on the final day of each training session was created. The instrument was designed to gather immediate feedback on how training was received by trainees. More specifically, the questionnaire elicited information on:

- a) the desired direction of change, if any, on general characteristics of the training seminar:

- b) the degree to which seminar objectives were achieved;
- c) the relevance of methods and materials implemented in training;
- d) instructor evaluation;
- e) general evaluation of the training program with suggestions for improvement.

4. Administration of Instruments

After the instruments were constructed, decisions were made about the number of trainees to be sampled, how to administer the forms and what introduction and direction were required.

5. Results and Analysis

The questionnaires succeeded in providing data that could be quickly analyzed to provide operationally relevant research "results". Once data from each training session was compiled the results were analyzed by the staff responsible for the program. When each program was completed, a report, including an analysis of all data collected was written up for the staff and agency involved. Where deemed necessary, a follow-up study was conducted to clarify any ambiguities.

The large number of courses, seminars and institutes with varying objectives, on divergent topics, for different audiences, dictated that one standardized course evaluation would be inappropriate and insufficient. There were, however, benefits such as comparability to be gained from standardization. Therefore, it was decided that all course evaluations would include some standardized questions which could be used for cross-course comparison.

The most significant training programs that have been evaluated were:

- o Juvenile and Group Behavior for staff members of the Cook County Juvenile Temporary Detention Center
- o Pre-Service Training for Adult Probation Officers
- o Training in Conflict Management for Cook County Sheriff's Deputies of the Juvenile Court

## The Development and Use of Evaluation Designs ...Continued

- o Training in Human Relations of Cook County Sheriff's Court Services Deputies
- o Training of Trainers Program
- o Training of Supervisors in the Clerk's Office of the Circuit Court of Cook County.

The comparative analysis of the Pre-Service Training for Adult Probation Officers exemplifies using participant feedback in planning and re-designing subsequent training. This particular evaluation, as well as others, have caused changes in program formats and have helped the section to meet the training needs of criminal justice personnel in Cook County.

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THE ANALYSIS AND DEFINITION OF CRITICAL TRAINING REQUIREMENTS  
FOR APPRENTICE SHERIFFS' OFFICERS IN TEXAS VIA JOB -  
TASK ANALYSIS AND THE GENERAL LINEAR MODEL

The purpose of this study was to define the optimum set of tasks which apprentice sheriffs' deputies working in Texas counties of greater than 40,000 population should be trained to perform. The optimum set of tasks defined in this study represented the actual work performed at the job site and the judgments of knowledgeable and experienced job supervisors on the critical need for training. The judgments competent supervisors made in arriving at their decisions on priority of tasks for training was evaluated using the policy capturing model. The model was based on the assumption that supervisors used at least eight sources of information in arriving at their decisions on priority of tasks for training. These sources (variables) were: (1) probability of task performance, (2) time spent on task performance, (3) probable consequences of inadequate performance of tasks, (4) task learning difficulty, (5) task delay tolerance, (6) time-in-grade with the sheriffs' office, (7) average rank of officers performing tasks and (8) number of raters of training priorities.

In the first stage of the study job-task information was collected from over 900 sheriffs' deputies working in all areas of the state by means of a job-task inventory. Data from this phase of the study supplied information for variables (1), (2), (6), and (7). Data for the remaining variables was collected from first-line supervisors, i. e., (3), (4), (5), and (8). Inter-rater reliabilities were computed on supplied data and inefficient raters were deleted before the data was input to the general linear model. The full model produced an equation to estimate the training priority of tasks and the full model accounted for 94% of the variance in the observed training priority ratings. The work requirement factors in the model which accounted for a majority of the variance were consequences of inadequate performance of tasks, task delay tolerance (a measure of the time allowed to begin performing a task once the officer observes that a task has to be performed) and time spent in performance of a task. Tasks were rank ordered on the magnitude of the estimated training priority for apprentice sheriffs' deputies. The Texas Commission on Law Enforcement Officer Standards and Education will use this output to design and develop a basic training program for apprentice sheriffs' deputies.

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POLICE EFFECTIVENESS IN HANDLING  
DISTURBANCE CALLS: AN EVALUATION  
OF CRISIS INTERVENTION TRAINING

A 56-hour course of training involving lectures, group discussion, role-playing, and videotape feedback was provided for all 64 patrol officers of the El Monte Police Department. Officers were trained in four "waves" of 16 students per class, spanning a four-month period. Evaluation was based upon three independent sources of data:

1. Dispatcher call-slips yielded information on the social and temporal dimensions of disturbance calls and provided a record of repeated calls to the same address. Call-slips were tallied over a seven-month period which included a 53-day period prior to the introduction of training, a 47-day period when only one-quarter of the department had been trained, a 51-day period during which the remainder of the department received training (three-quarters of the department had been trained at the median point of this time period), and a 55-day post-training period.

2. Officer ratings of disturbance calls were obtained during a 30-day period which followed the training of the first two waves of students, overlapped the training of the third wave, and preceded the training of the fourth wave of students. These ratings detailed the characteristics of the dispute, the officers' approach, and the outcome.

3. Telephone interviews were conducted (after a three-day "cooling off period") with a sampling of disputants who had been rated by officers during the 30-day period of officer ratings.

It was found that one out of every three residences required more than one police intervention during the seven-month period of study. Considering only those cases in which return calls occurred within four weeks of an earlier call, there were as many return calls within the first 2 days as occurred within the next 26 days. Signs of intoxication were observed in one-third of all primary disputants and one-fifth of second parties. Any level of intoxication in either disputant increased the aggressive intensity of the dispute and decreased the likelihood that the dispute would be successfully mediated.

Compared to untrained officers, trained officers spent more minutes per call, claimed a more thorough level of understanding of the causes of the disputes, and reported a higher proportion of disputes which were handled by mediation or referral. Similarly, a content analysis of telephone interviews revealed that disputants who had been served by trained officers tended to be more complimentary about the calming influence and professional competence of the police and they were less likely to perceive the police as being pushy or overly aggressive.

While trained officers seemed better prepared to manage crisis situations in ways that build good police-community relations, it does not appear that training dramatically improved the officers' ability to reduce the rate of "call-backs" to the same address. Training seemed to facilitate a very slight suppression of return calls within the first few days after the initial crisis; however, the rate of return calls occurring two weeks after the initial contact was not significantly lower than the department rate before training.

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AN EXPLORATORY ANALYSIS OF PERSONALITY  
DIFFERENCES AMONG POLICE RECRUITS AND ITS  
IMPLICATION FOR TRAINING AND PERFORMANCE

This exploratory study compared the response patterns of twenty police recruits (8 white males, 7 black males and 5 females-3 black and 2 white) on three psychological inventories (Firo B, Cope & the 16 PF) at four points during training. The instruments were administered to recruits at the start of training, after a field experience, after a crisis intervention workshop and at the end of training.

The purpose of the analysis was to examine if specific phases of training influenced participants' psychological traits. For example, the score recruits received at the start of the program on the scale measuring control was compared by a correlated T-test to those received after a field experience. Recruits were divided into three groups (i. e., white males, black males, and females) in an effort to isolate differential effects of the experiences on respective groups.

RESULTS

The first contrast (i. e., scores at start of training vs. scores after a field experience) for the white males revealed a significant difference between testing periods on the N scale of the 16 PF. The second contrast (i. e., scores at start of training vs. scores after crisis intervention) for the white males revealed no significant differences between testing periods on any scale. The third contrast (i. e., scores at start of training vs. scores at the end of training) showed a significant difference between testing periods on the L scale of the 16 PF.

The first contrast for the black males revealed a significant difference between testing periods on the B scale of the 16 PF. The second contrast for this group revealed no significant difference between testing periods on any scale. The third contrast for this group revealed a significant difference between testing periods on the Denial scale, F scale of the 16 PF and N scale of the 16 PF.

The first contrast for the females revealed a significant difference between testing periods on the QIV of the 16 PF. The second contrast for

this group showed a significant difference between testing periods on the QVI scale of the 16 PF. The third contrast for the females revealed a significant difference between testing periods on the L scale of the 16 PF.

### DISCUSSION

The preliminary results indicate that training has differential impact on the groups defined. First, the white males easily grasp the meaning of classroom experiences, perceive the application of facts, and can translate this to deductive thinking when confronted with a problem. They are also the individuals who perceive the difference between book learning and the actual manner of an officer. In other words, they are the first to recognize the difference between theoretical training and actual experience. In short, they grasp the classroom experience most easily and are also most aware of inconsistency which tends to foster feelings of cynicism.

The black recruits on the other hand, appear not to be influenced as much by any one phase of the training. The total experience seems to promote growth for this group. At the end of training recruits were less willing to use denial as a defense mechanism and more willing to make decisions by thinking critically through examination of facts. They also tended to be proud of being able and willing to think critically.

The female recruits seemed to come into the training independent and assertive, but as a result of the first two phases of training changed their feelings to dependency and looked for support from others. However, when leaving the training program feelings of independence and aggressiveness returned. As the male recruits, the females tended to perceive the difference between training and the real world. This perception might lead to increasingly greater feelings of cynicism.

In summary, the training seems to have a beneficial effect for black male recruits. White males and female recruits tend to grasp concepts early, but see differences between training and actual job experiences. Thus, they leave the program with feelings of mistrust, and tend to be unconcerned about other people.

### RECOMMENDATIONS

The length of training does not seem to be a critical factor. However the type of training experience seems to be important. Extended classroom experiences (i. e., reading material, laws, and so forth) should be minimized, since this activity appears to initiate feelings of cynicism. Skill building sessions should play a larger role. Simulated activities in which recruits would operate under near realistic conditions might serve as alternative learning experiences. This model provides recruits with the opportunity to make and discuss decisions in near realistic exercises.

Another alternative is to screen applicants by establishing an exercise to identify individuals who can deal with the conflicting issues and not retreat to cynicism.

Changes should also be made in training to permit female participants the opportunity to be assertive and independent. A repeated examination of one type of training program is necessary to see if similar effects can be identified for larger groups.

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**CONTINUED**

**2 OF 4**

CHANGING THE ATTITUDE OF CAMPUS POLICE  
TOWARD STUDENT ACTIVISTS AND MILITANTS: TRAINING  
IN COMMUNITY RELATIONS AND EMOTIONAL CONTROL

The relationships between campus police officers, student activists, and militant minority group members have become increasingly strained in recent years. A confrontation between student activists and campus police is likely to occur at any time.

The objective of the investigation was to build a model training program in community relations and emotional control for campus police, utilizing the experiences of a twelve-week training session, other similar programs, and available related literature.

In order to change the attitude of an individual toward a psychological object, it is necessary to "unfreeze" the existing attitude already formulated toward that object. The existing attitude represents an equilibrium. The unfreezing process is the movement of this equilibrium toward a new direction. Training, such as the program outlined in this paper, was designed to disturb the balance of the existing equilibrium and influence its movement toward a desirable direction. Therefore, the training is designed to increase the driving forces and decrease the restraining forces. Selecting a few officers as trainers is basically designed to reinforce this movement toward the desired direction and avoid a return to the old level, thereby stabilizing the change (refreezing).

The training under investigation utilized two groups of campus police who were selected at random from Florida State University and Florida A. and M. University. The course consisted of twelve two-hour sessions, and it lasted for a period of twelve weeks. The course was divided into four parts:

- Part A -- Short films followed by discussions.
- Part B -- Live, hostile confrontations of police with student actors.
- Part C -- The Primal Scream versus Rational Behavior Control  
          between student activists and campus police.
- Part D -- Private rap session.

Forty-three of the eighty-six items of the attitude questionnaire utilized were valid and reliable measures at the .10 level for both pre-test and post-test. When the forty-three items were used to test the first hypothesis that examined attitude change in all of the officers

who participated, it was apparent that such a change could not be attributed to the twelve-week training.

The data showed that no change in attitude of campus police toward the four psychological objects could be attributed to the twelve-week training session.

The reasons for this failure may be associated with the following:

1. Insufficient instructional hours and program duration.
2. Lack of planning and implementation of the program objectives.
3. Several sections were ineffectively designed to help the campus police perform their roles.
4. Lack of analysis of the role of campus police.
5. The creation of a "Halo Effect" that influenced the officers' opinion, not their attitude.
6. Lack of effective utilization of the project's human and non-human resources.
7. The failure to unfreeze existing attitudes.

A model training program in community relations and emotional control for campus police was built.

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CORRECTIONAL STAFF DEVELOPMENT IN VIRGINIA:  
A TENTATIVE EVALUATION

The Administration of Justice and Public Safety Department of Virginia Commonwealth University, through an LEAA funded project, has provided consultation, training materials, training and evaluator services for the Virginia Department of Corrections since 1973. Part of the Department's training efforts have included legislatively mandated basic training, currently for 252 hours, for all Adult Services Division personnel. Evaluative services have focused on this basic training program. This paper reviews the development, design and initial results of this evaluation.

Evaluation was done through a single group pre- and post-test design, since all Division staff were to be trained and no viable control group was available. Basic training objectives included attitudinal improvement as well as cognitive learning about corrections, departmental policies and institutional procedures. Pre-test and post-test questionnaires were therefore developed to assess attitudes about punishment, prisons, self, others, and job satisfaction, and "correctional work-related knowledge." Demographic data was collected during the pre-test; and attitudes about education, training and the basic training program were assessed during the post-test.

Initial results suggested that Virginia correctional officer trainees were somewhat more punitive than correctional officers elsewhere; but that mean punitiveness was reduced by training. Attitudes toward prisons were quite favorable, and changed little through training. Other attitudes, about self, others, and satisfaction with the job were also little changed by training. There was some evidence of cognitive learning: "correctional work-related knowledge" scores increased significantly during training. Attitudes about education, training and the basic training program were all consistently favorable.

When results were reanalyzed with demographic variables controlled, education and age were found to be most relevant. Not unexpectedly, better educated staff were found to be less punitive, less favorable toward prisons, more favorable about themselves, more knowledgeable about corrections, less satisfied with their jobs, and more aware of the need for more education. The same was true for younger staff, except that they were less positive about themselves and about others.

Correctional Staff Development . . . cont.

The specific sample of trainees tested (approximately 400 correctional officers) consisted primarily of newer employees; therefore, no conclusions about optimal time for training were possible. Additional data from other, more experienced, trainees is currently being analyzed and may provide answers in this area.

This evaluation has demonstrated that training has been well-received and somewhat effective. It has also provided a foundation for further, more sophisticated evaluation of staff development efforts.

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EVALUATION OF A PROGRAM TRAINING POLICE  
IN INTERPERSONAL COMMUNICATION SKILLS

(1) Title:

Overview of the Evaluation Plan and Preliminary Results.

(2) Major Purpose:

This paper will outline our strategy for program evaluation, identify the data collection devices being used, and give the results obtained up to the time of presentation.

(3) Procedure:

The evaluation plan focuses on three areas. The first is administrative: for example, were appropriate numbers and types of officers assigned to the training? The second area concerns the skills being taught: Was there measurable improvement? The third area, concerns the carry-over of those skills into the officer's job performance: Does the training produce an improvement?

Three instruments are used to evaluate improvement: (1) A test of officer communication skills scored officer response to videotaped role play situations; (2) The Evaluation of Program Questionnaire and the (3) Officer Follow-up Interview are self-report measures asking the officers to rate the training techniques and their relevance to officer's actual job performance.

Another planned measure of impact on job performance is the Citizen Field Interview. Interviewers will visit citizens contacted by officers who have completed training; those data will be compared with interview data from either citizens contacted by a control group of untrained officers or with citizen contacts of the trained officers before they participated in training. Additional measures of impact of the training are derived from the archival data discussed in another presentation in this symposium.

(4) Findings:

As of this writing (11/76) only partial results from the first year are on hand. Complete results for the first year will be included in the presentation.

## Administrative Objections

During its first 14 months the program met its administrative objectives. For example: 89 officers have completed training.

## Skills Improvement

Officer responses to the videotaped test items yielded two dependent variables measuring communication skill. Analyses of variance yielded highly significant ( $p < .001$ ) improvement from pre to post-training scores. The reliability of these measures was approximately .90. In response to the evaluation of Program Questionnaire, officers rated themselves as being significantly more helpful to others at the end of the training than at the beginning.

Officer Follow-Up Interview data have been analyzed for Module One only. The majority of officers in Module One stated that the program had been helpful. In particular, they cited the concrete listening which were relevant to their job situations. The officer's responses appear to be relatively consistent and candid.

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PANEL 20

EVALUATION DESIGNS FOR  
COMMUNITY CRIME PREVENTION PROGRAMS

Panel 20 - Evaluation Designs for  
Community Crime Prevention  
Programs

METHODOLOGICAL PROBLEMS FACING THE CRIME  
PREVENTION PROGRAM EVALUATOR

Nationwide, crime prevention has become a popular addition to the traditional methods of law enforcement. Inspired by the success of a few innovative agencies and often funded through LEAA, individual crime prevention programs have sprouted in police and sheriff's departments throughout the country.

In Minnesota, the major force behind the crime prevention movement has been Minnesota Crime Watch (MCW). Since 1973, MCW has coordinated media and law enforcement activity in an effort to make crime prevention programs available to all citizens of Minnesota. The MCW program was among the first attempts in the U. S. to develop a statewide crime prevention program, and its coordination of media and local law enforcement agencies was the first of its kind. Local agency membership in MCW at this writing includes 227 police departments and 78 sheriff's offices, all of whom benefit from MCW-produced crime prevention materials and media promotion. The response to MCW has been encouraging not only from the citizens of Minnesota. The states of North Dakota, Washington, Kentucky, Maine, Wisconsin, and Texas and the foreign shores of Finland, Sweden, and Denmark have all sought MCW's assistance in structuring their own programs.

When MCW started in 1973, it was by far the most ambitious program to receive LEAA funding in Minnesota. Evaluation of the program took place at the end of the second year of operation in order to determine MCW's strengths and weaknesses and to justify its continuation. The evaluation focused on MCW's progress in pursuing its goals, which included: 1) a reduction in statewide property crime, 2) a reorientation toward crime prevention activities within Minnesota's law enforcement agencies, and 3) an improvement in police-community relations.

The report, published in May, 1976, incorporated a number of evaluation strategies based on a variety of data sources. Each of the five major sections presented an analysis of appropriate project goals and objectives. Most sections also contained cost analyses and thorough reviews of MCW's progress reports. In addition, a large

part of the analysis is based on survey data. The evaluation makes extensive use of the results of two statewide public opinion surveys, a survey of selected personnel from a sample of 72 law enforcement agencies in Minnesota, and a telephone survey of all MCW member agencies. Crime statistics provided another important data source for the evaluation. Included were figures from the FBI, from the Minnesota Bureau of Criminal Apprehension, and from the crime files of all MCW member agencies, in particular three departments who permitted in-depth analysis of their burglary statistics for the years 1970-74. Other critical data sources were statistics from the U. S. Census Bureau and the U. S. Postal Service, and literature on similar crime prevention efforts in other states and cities across the nation.

The use of so many statistics in the evaluation of the entire MCW program was not without problems, however. Each of the data sources seemed to introduce new obstacles which forced constant modifications in the analysis. This paper presents a discussion of the methodological problems encountered in each of the major types of data analysis, along with data highlights and a condensed version of the report's conclusions and recommendations.

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## EVALUATING STREETLIGHTING PROGRAMS

Considerable public funds have been expended on streetlighting for the specific purpose of deterring crime. The purpose of this paper is to assess the present state of knowledge regarding the impact of streetlighting on crime and the fear of crime. The assessment has determined the range of performance and effectiveness of the various streetlighting projects; the accuracy and reliability of available data in the streetlighting area; the factors that seem most likely to influence the success or failure of projects; and the cost of implementing and maintaining alternative types of streetlighting projects/systems. Additionally, gaps in the present knowledge base are identified and recommendations concerning future research and evaluation activities are indicated.

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Panel 20 - Evaluation Designs for  
Community Crime Prevention  
Programs

EVALUATING CITIZEN CRIME PREVENTION EFFORTS

This paper reviews the difficulties that are faced in evaluating citizen crime prevention efforts. As with any crime control program, the identification of outcome measures and of the target population, as well as the assessment of displacement effects, are exceedingly difficult tasks. However, citizen crime prevention activities pose at least two additional burdens: (1) the activity is generally a voluntary one by definition, thereby making it impossible for a public agency to select sites and to impose a research design based on the manipulation of a crime prevention program; and (2) the activity, as reflected in any discrete project or program (e.g., neighborhood watch, radio patrol, Operation-Ident, or resident monitors) is likely to constitute a "weak treatment," in which little effect on a neighborhood's overall crime rate may be expected.

These difficulties in assessing citizen crime prevention efforts were addressed in a recent study of citizen patrols.\* The study identified the number of patrols in different cities, the salient characteristics of the patrols, and changes in patrol organizations over time. No attempt was made to evaluate any of these patrols, because the study (a Phase I NEP project) did not allow for the collection of primary data, nor had the patrols necessarily maintained the necessary logs or other input information that would have been needed. An attempt was made to identify existing evaluation studies of patrols, but few such studies were found.

However, the study did establish a typology of patrols, in which patrols that covered buildings or building projects were distinguished from those which attempted to cover a geographic area such as a neighborhood. For purposes of future evaluation, building patrols were deemed both a promising type of patrol activity and one that could be amenable to post-hoc evaluation designs. This paper concludes by suggesting the limitations of such an evaluation, and the questions that are probably unanswerable through any evaluation design.

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\* Robert K. Yin et al., "Patrolling the Neighborhood Beat," The Rand Corporation, Santa Monica, California, R-1912-DOJ, March 1976.

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Panel 20 - Evaluation Design  
Community Crime Prevention  
Programs

EVALUATION OF SECURITY SURVEY PROGRAMS

Evaluation studies of security survey programs, although limited in number, verified that the technique has a measurable effect in reducing burglary among those who comply with the recommendations. These programs have strong local support. In fact, this National Evaluation Program Phase I Study for the National Institute of Law Enforcement and Criminal Justice (LEAA) found that 40 percent of the 206 programs it surveyed are locally funded, while 80 percent of the programs currently funded by LEAA indicated that their activities would continue after federal support ended. LEAA-supported crime prevention training schools have been instrumental in creating these programs. The study found that 70 percent of the agencies contacted sent personnel to one of these schools prior to starting their survey program.

Although 80 percent of the agencies believed their security survey programs have had some effect, the NEP study conducted by the International Training, Research and Evaluation Council found that these programs have a number of shortcomings. They lack sufficient program structure, which impedes sound evaluation. The size of the target populations, in general, are too large for the available program staff to effectively service.

The study, in addition to reviewing prior evaluations, examined such aspects of the security survey as history; its relationship with other crime prevention activities; the assumptions, goals and objectives which undergird the program; available data and methods used in measuring program impact; and, factors that hindered or contributed to successful program implementation.

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Panel 20 - Evaluation Designs for  
Community Crime Prevention  
Programs

METHODS FOR EVALUATING  
CITIZEN CRIME REPORTING PROJECTS

The following sources were used to locate citizen crime reporting projects (CCRPs): (a) previously compiled files on crime reporting projects in cities of population 50,000 or greater; (b) telephone interviews of CJ/SPAs in all 50 states; (c) telephone interviews with staff members in LEAA regional offices; and (d) various literature and computer searchers.

This search resulted in 318 projects which were identified as potential CCRPs and reviewed. On the basis of this review, employing a priori screening criteria, 100 project sites were selected to receive our CCRP questionnaire. This questionnaire was our fundamental instrument of data collection and was structured so as to conform to the work description for NILECJ Phase I NEPs. The questionnaire was developed over a four-week period and pretested; the final draft of the questionnaire was sent to 100 project sites. Information was collected about projects in eight questionnaire categories: organization; budgeted and background; staff efforts; assistance; project goals; detailed project activity; crime statistics; citizen and community information; and evaluation. By the cut-off date, 78 of the 100 project sites had returned the questionnaire.

In addition to the information gathered from the questionnaire the names of experts about citizen involvement in crime prevention were acquired through telephone interviews of SPA personnel and CCRP project operators, as well as from a literature review on crime reporting and crime prevention. Twenty-nine such experts were interviewed by telephone.

Our staff members also made 20 site visits to CCRPs. During these visits more than 75 persons were interviewed. An attempt was made to site visit a cross section of project types. Finally, an advisory committee of eight persons was selected from among the experts and project directors previously contacted through site visits or telephone interviews. These committee members attended a conference sponsored by our project to review and respond to the initial findings of our NEP study.

Based on the information acquired through the various information gathering processes an evaluation manual was developed for

Citizen Crime Reporting Projects. This evaluation manual was written for project operators of Citizen Crime Reporting Projects with the intention of helping these persons to increase their ability to evaluate their projects. The manual was not intended as a comprehensive guide to project evaluation but was intended to provide project operators with enough information to enable them to understand and plan practical project evaluation. The manual contained sections regarding: (a) identification of CCRP objectives, evaluation criteria and target populations; (b) evaluation design; (c) data collection procedures; and (d) analyzing data, formulating conclusions, and presenting recommendations. In general, the manual suggests the following questions be addressed by a CCRP evaluation.

1. What (or who) is the target population for the project?
2. Is the target population aware of the crime reporting project?
3. What attitudes are held toward the crime reporting project by the target population?
4. Is the target population committed to crime reporting?
5. Does education of CCRP participants have an immediate impact on the recognition of crimes and on the quality of reports?
6. Does the CCRP have any impact on the actual crime reporting behavior of witnesses in the target population?
7. Has the CCRP had any positive or negative side effects?

In addition, it was our judgment that CCRPs, by themselves, should not be held accountable for demonstrating a reduction in crime.

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Panel 20 - Evaluation Designs for  
Community Crime Prevention  
Programs

VOLUNTEER/UNIVERSITY TEAMS FOR  
COMMUNITY PROGRAM EVALUATION

HANDS UP is a nationwide citizens' program to reduce crime. It is sponsored by the General Federation of Women's Clubs (13,000 individual clubs) under partial support from the Law Enforcement Assistance Administration. A team arrangement of professional statisticians and demographers working with the volunteers to insure maximum effectiveness to the community activities has been structured and is currently being implemented.

Because of the difficulty of performing meaningful evaluation on a national scale, the decision was made to use "micro-evaluation" at the community level. Projects will be structured according to a procedure suggested by Empey. Using this procedure the difficult and sophisticated presuppositions are isolated and identified for consideration by the professional demographer. Thus the volunteers are free to concentrate their attention upon the action elements - as opposed to the analytic elements - of the project.

Substantial assistance has been received from professionals from the American Statistical Association and from the National Academy of Sciences in the important task of contacting reputable scientists interested in involvement in the activity just described.

The spectrum of possible criminal justice projects has been divided into five separate categories. It would be ideal if volunteer groups in the same or adjacent areas would work in the same category since this would facilitate the verification of the presuppositions and assumptions. The process of verifying the assumptions can be expected to disclose societal relationships and problems not hitherto suspected and thus to continuously present new ideas and challenges to the volunteers.

Typically, in any community, the federated women's club works in a coalition with such other organizations as the Junior League, Kiwanis, Knights of Columbus, Jaycees, National Council of Jewish Women, National Council of Negro Women, Urban League, banks and insurance companies, police and sheriff's departments, elected and appointed governmental officials, and state and local criminal

Volunteer/University Teams...Continued

justice planning agencies. Hence the structuring must be a minimum in the interest of simplicity but sufficient to facilitate a meaningful evaluation. The procedures developed are now being implemented in a limited number of communities. The results will be shared through the regional and national workshops and conventions of the Federation.

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PANEL 29

THE MODEL EVALUATION PROGRAM:  
DEVELOPING EVALUATION CAPABILITIES

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"The Alameda Model Evaluation Program"  
Bruce Kern and John Lenser,  
Alameda Regional Criminal  
Justice Planning Board, Oakland,  
California

EVALUATION AND DECISION-MAKERS: PERCEPTIONS  
OF THE EVALUATION PROCESS

Purpose of Paper:

This paper will report on a study conducted in the State of Washington as part of a project funded under the Model Evaluation Program (MEP). The research is directed toward the determination of a strategy to increase the quality of evaluations and their use in administrative decision making.

The paper will be an empirical examination of the role of evaluation in the decision-making process. Data are drawn from a survey of members of six different groups with roles in the criminal justice system, including (at both the state and local level) evaluators, planners, program managers, project directors, supervisory personnel and members of state and regional advisory committees.

Questions were designed to elicit attitudes and perceptions of both producers and consumers of evaluations with respect to the utility of evaluation reports as aids to administrative decision making. Specifically, the paper will cover the following major topics:

1. A comparison of evaluator and decision-maker perceptions concerning:
  - (a) Perceptions of the amount and type of use given to evaluation reports that were produced by local and state evaluators in 1975-76;
  - (b) Confidence in the scientific accuracy of the results contained in the 1975-76 reports;
  - (c) Opinions of whether the evaluation reports provided the type of information needed for decision making;
  - (d) General level of support for evaluation;
  - (e) Weight given to evaluation information during decision-making in comparison with other types of information that can be used to guide decisions about project priority, funding level, and so on;

Evaluation and Decision-Makers: Perceptions of the Evaluation Process . . . cont.

- (f) Perception of the "ideal" amount of weight that should be given to information from evaluation reports during decision making compared with the "ideal" amount of weight that could be given to other sources of information;
- (g) Perceptions of the characteristics of evaluation reports that maximize the likelihood the information from the report will be used during decision making.

2. Correlates of greater (and lesser) reliance on evaluation reports during decision making:

For this part of the analysis, the dependent (criterion) variables will be (1) a scale representing the amount of use given by decision makers to actual evaluation reports produced during 1976-76; (2) a scale representing the degree of reliance on information from evaluation compared to other types of information that could be used in decision making; and (3) the decision makers' statements of the "ideal" amount of reliance that should be given to information from evaluation reports.

We expect that the use of evaluation information will co-vary with decision-maker's statements of whether the reports are done on time; whether they produce the information he/she wanted; the extent to which the decision maker expresses confidence in the scientific accuracy of the conclusions; the degree of (self-assessed) understanding of evaluation by the decision makers; the skill level of the evaluators who produced the report; and selection background characteristics of the decision maker including amount of training in statistics, previous experience as an evaluator, and so on.

The Data:

The data to be used in the paper were obtained from mailed/telephone surveys of more than 200 evaluators and decision makers at different levels of government. The decision makers include

Evaluation and Decision-Makers: Perceptions of the  
Evaluation Process . . . cont.

project directors, planners, program managers, administrators, and  
members of the advisory committees which have final responsibility  
for decisions at both the state and local levels.

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Panel 29 - The Model Evaluation  
Program: Developing Evaluation  
Capabilities

A MODEL METROPOLITAN EVALUATION PROCESS

In developing an effective local evaluation process, three primary factors should be taken into consideration: 1) the structure of the evaluation capability; 2) the scope of the evaluation unit's activities; and 3) the evaluation process itself.

I. STRUCTURE: The responsibility for conducting evaluations should rest with local units of government (city, county or regional units). The State Planning Agency's role should be one of coordination and providing of technical assistance to local units. The evaluation design for statewide projects should be developed and coordinated by the S. P. A. and implemented by the local evaluation unit.

A permanent evaluation capability is more desirable at the local level than is a contractual arrangement. A permanent capability, staffed with qualified generalists, will provide greater flexibility, will be less time consuming and less expensive than would a contractual capability.

II. SCOPE OF EVALUATION: The focus that a local evaluation capability takes will depend primarily on the resources available and the level of credibility that the unit has achieved. The local units would have more impact if it chose a broad focus that included non-LEAA funded areas of the system. Such a focus will increase the likelihood that evaluation results will be relevant to decision-makers. An on-going assessment and decision-making process as opposed to the use of a rigid evaluation schedule is recommended. The local unit should be willing to conduct process-level evaluations if true impact-level studies proved to be unfeasible. Such evaluation will provide useful data on the project's operation. An objective of the process-level evaluation should be to up-grade the in-house evaluation capability of the project to assure the presence of impact data in the future.

A combination impact and process level evaluation should be considered if impact data is available. Such an approach will enable determinations of the project's effectiveness, as well as the contributing factors to the project success or lack of success.

III. EVALUATION PROCESS: Prior to the start of an evaluation, it is crucial that effective two-way communication be established between the evaluator and the administrator of the project to be evaluated. Such communication should assure that agreement is reached on: the

purpose and objectives of the evaluation; the design to be used; the timetable to be pursued; and how evaluation results will be presented and disseminated.

Local evaluation managers should also consider using non-experimental evaluation designs. Sophisticated experimental designs may prove to require more resources than may be available to the local unit. Some research also indicates that non-experimental evaluations may have more impact on the system than the more rigorous type of designs.

Local evaluation capabilities usually have limited resources. Therefore, every effort should be made to utilize previously developed designs and data collection instruments. If necessary, such designs and instruments can be adapted to local conditions. Data processing of local evaluation data may neither be feasible nor necessary. Due to the limited focus of most local projects/programs, the generated data may be more efficiently processed manually.

An often neglected step in the evaluation process is the development of a post evaluation implementation strategy. During this stage the evaluator may assume the role of a consultant, an evaluator, and/or a resource person.

Tom Long

Panel 29 - The Model Evaluation  
Program: Developing Evaluation  
Capabilities

COMMUNITY--BASED RESEARCH TO IMPROVE  
METHODS OF EVALUATION

Project CRIME was funded by a grant awarded to the Association from LEAA through NILECJ under the Model Evaluation Program. The purpose of the project was to develop and implement an evaluation approach within the region served by the Association. The approach was to be simple in technique, allow for both monitoring and evaluation, and provide the information desired by local officials in considering the continuation of projects.

The approach developed by Project CRIME was derived from the framework for evaluations proposed by Edward Suchman. The approach retained the arrangement of objectives and categories of criteria suggested by Suchman with the main departure from the original framework occurring in the assignment of categories of criteria to the levels of objectives. For Project CRIME, the measurement of effort category was assigned to the immediate and intermediate objectives, and provided the criteria for monitoring. Evaluation occurred at the level of the ultimate objectives, through criteria from the categories of measurement of performance, adequacy of performance, efficiency of performance and process analysis.

A field test of the approach was performed through the evaluation of six volunteer projects. This test was limited by the lack of opportunity for the application to begin concurrently with the projects. As a result, necessary information for the evaluations was not always available.

Cost assessments for efficiency of performance was problematic and a consistent procedure was not achieved. Therefore, a means was not developed by which cost information could be compared across projects with similar ultimate objectives. Through inclusion of the approach in project planning, it would be possible to eliminate the shortcoming of the efficiency category, and also avoid other problems encountered in the field test application by Project CRIME.

The field test experience indicated that the approach met the criteria established. The structure imposed on project objectives was easily communicated to project directors, and allowed for both

Community--Based Research to Improve Methods of Evaluation . . . cont.

monitoring and evaluation within one framework. Furthermore, the use of the evaluation reports by two juvenile delinquency projects for the refunding cycle suggested that the necessary information for local officials was provided through the approach.

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Panel 29 - The Model Evaluation  
Program: Developing Evaluation  
Capabilities

NEW HAMPSHIRE -- MODEL EVALUATION PROGRAM:  
AN OVERVIEW

This paper addresses the problems involved in evaluating criminal justice programs in New Hampshire funded by the Governor's Commission on Crime and Delinquency.

Actual evaluation efforts of the 1976 summer Police Cadet Programs in New Hampshire are the primary example used to illustrate the problems encountered in New Hampshire evaluations.

Emphasis is placed upon the following observations:

1. The fact that New Hampshire is a small, low-crime rate, heterogeneously populated state involves relatively small numbers of similar or, at best, comparable situations or events.
2. Realistically, these evaluations must be analyzed by methods of non-parametric statistics like most questions of interest to behavioral scientists, despite enthusiasm for complex analysis and data processing, and
3. The programs to be evaluated are generally initiated and approved in a socio-political setting where expectations and assumptions are tacit and objectives are innocuous (often taking political appeal into consideration). The result is an unscientific methodology.

Also addressed are some of the same difficulties which LEAA also labors under, for example, certain stated "crime reduction" goals which border on unreality; most definite reductions are the result of "targeting" in specific instances. The remainder of the crime rates are rising at a predictable rate.

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LESSONS LEARNED FROM THE MODEL EVALUATION  
EFFORT IN ILLINOIS

In its Model Evaluation Program application, the Illinois SPA set as an objective the designing of uniform performance reports and evaluation strategies for 100% of projects and programs that could be evaluated. The Model Evaluation Program reached this objective but has determined the objective itself was ill-conceived. The volume of data created through this effort proved to be unmanageable by the small staff in terms of producing analyses both to project staff and decision-making boards in any timely fashion. A crucial problem lay in the lack of time to verify data submitted by projects. Attempts at random verification showed many weaknesses in the data, greatly reducing confidence in data that were not verified.

Another crucial variable in any success the program may have had depended upon the attitudes of the individual technical assistant and professional staff of the state agency who had responsibility for program monitoring.

Another issue that arose concerned the aggregation of raw data. In the Model Evaluation Program, the state evaluation staff had the responsibility for aggregating this data and the projects submitted only the raw data. A reversal of this process is now being put into effect which will greatly increase the time burden on a number of projects.

In general, there is a tendency not to allow in-house staff sufficient time to do thorough evaluations, e. g., third party contractors may undertake an evaluation where a final report is clearly not expected for 18 months. The day to day burdens upon all state agency staff work against providing such well planned freedom to an in-house staff.

The problem remains as a trade off between providing a very few thoroughly intensive evaluations as opposed to attempts to gather information on all projects. The Illinois SPA has decided that attempts to evaluate all projects are doomed to failure since sufficient time and resources cannot be made available. It is also determined that many projects are not worth the evaluation effort in any case.

Another aspect of the Illinois Model Evaluation Program was the funding of evaluators in three regional planning units. This effort has indicated that such an approach is promising both as

Lessons Learned from the Model Evaluation Effort in Illinois . . . cont.

attempts to get applications from potential grantees that are more clearly written and that provide more data. It also provides resources for data verification. However, very stringent guidelines must be instituted since the dangers of deflecting a regional evaluator's time to other tasks are very real.

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## MICHIGAN MODEL EVALUATION PROGRAM

The goals of the Michigan Model Evaluation Program are two-fold: to develop an evaluation system and to institutionalize the use of evaluation information within the SPA. From a review of the evaluation experiences within the SPA, it was determined that evaluation activities were inherent in the tasks performed by staff throughout the agency. That is, all professional staff were already involved in the development of information and the application of this information in the decision-making process. Missing, however, was a systematic process which integrated the information needs and provided products to the appropriate decision-maker in a timely manner.

In order to integrate the existing evaluation activities and to foster the development of a systematic approach to meeting the informational needs of the SPA, the following activities were built into the MEP; 1) training in basic evaluation skills for all SPA professional staff, 2) development of a process for selecting programs for evaluation, 3) development of procedures for the systematic collection of program information for projects funded by the SPA, 4) development of procedures to assure the utilization of evaluation findings in the decision-making processes of local, regional, and state criminal justice agencies, 5) development of a system for disseminating evaluation findings from major national and state evaluative studies, and 6) development of a long-range evaluation strategy.

Staff training was developed based on the assumption that every professional has a role in evaluation and should be involved in the development and implementation of evaluation designs. Each professional received approximately twenty-five hours in basic fundamentals in the development of a standard evaluation package. Fundamental training was conducted in large groups of about 30 persons. Application groups were organized by content areas. (Example: all professionals -- planners, grant managers, budget analysts -- involved with law enforcement projects were in one group). A product was developed by each of the four application groups which contained a basic evaluation design, data instruments, and data collection plans. These packages were then reviewed by RPU and project staffs and appropriate revisions made.

Program element selection for evaluation was based on the following criteria: 1) number of projects funded and level of funding, 2) nature of projects conducive to evaluation, 3) extent to which projects share

Michigan Model Evaluation Program . . . cont.

common procedures and goals, 4) current or previous evaluations in area, 5) SPA management and program staff opinion as to desirability of evaluation, 6) probability of legislative action relevant to program area, 7) degree to which program area was thought to impact crime reduction, and 8) representativeness of program elements to the program area.

Standard evaluation packages (SEP) provide a systematic collection of program information. The SEP model provides for an ongoing reporting system for all projects within a given project type. Four project types were selected across the range of criminal justice programs on the following criteria: 1) large amounts of funds expended, 2) number of projects, 3) representativeness to program area, and 4) transferability of findings within the program.

The SEP incorporates the following components: 1) the development of an evaluation design by OCJP functional area staff with evaluation assistance, 2) utilization of evaluation staff to train regions and subgrantees in implementing designs, 3) major responsibility for data reporting rests with subgrantees, 4) compilation and analysis of data by the evaluation staff. 5) preparation of data reports by evaluation coordinator and interns in a timely manner by OCJP, RPU/LPU, and subgrantee utilization, and 6) utilization of evaluation findings by appropriate decision-makers.

Intensive evaluations are those which 1) attempt to infer causation from project activities to the extent of achievement of project interim, outcome, and impact objectives, 2) use sufficient designs and analysis techniques to assure the production of information of maximum utility, 3) incorporate within the design, control, comparison, or project subgroups for comparative analysis, 4) design and implement a special data collection system for the life of the project ( past and current); 5) analyze the effect of the projects upon crime reduction as well as system improvement, and 6) focuses upon program analysis as well as individual projects. Two program elements are being evaluated under a contractual agreement with the Michigan State University, School of Criminal Justice: Youth Service Bureaus and Specialized Police Units.

Utilization of evaluation findings is built upon the premise that if decision-makers are provided with an opportunity to state what information they need to make future decisions and a system is developed to periodically provide them the information, then they will use the information in making their decisions. This concept was operationalized throughout the training and standard package development processes. The primary purpose of the training was to establish a common voca-

bulary, knowledge of evaluation, and process by which future evaluations could be developed.

In the application groups, all persons within OCJP with responsibilities within a particular program area applied the fundamentals of evaluation to a particular problem: the development of an evaluation design for one project type. The result of this effort was an evaluation package with which the group concurred. The package then becomes a requirement for subgrantees, requires that regions monitor them, and form the basis for program managers to make decisions for both new and continuing projects. Members of the group must know and be able to defend why information being requested is important and be able to explain how these data will be used.

Built into the SEP process is also a regional and project review. Input is solicited via meetings and site visits regarding the adequacy and feasibility of implementing the packages. As implementation of the packages at project sites began, periodic meetings with project directors, regional staff, and site visits pointed out areas in need of revision and revisions have been made in the SEPs. By obtaining knowledge of the full evaluation process, OCJP decision-makers are becoming circumspect about the amount, quality, and concurrent costs of information they request of subgrantees and inversely subgrantees are understanding that what information they provide are being used in a judicious manner by OCJP.

A system for dissemination of evaluation findings is emerging as all of OCJP, the RPU/LPUs, and local projects become involved in evaluations. Sharing of ongoing results among projects is occurring and as analysis of programs across time are possible, written communications and conferences will be utilized. Receptivity to and understanding of evaluation findings from the national level and other states has increased since MEP began.

Development of a long-range evaluation strategy was the single defined task of a management application group within MEP. This group has adopted the processes as developed within MEP as its current evaluation strategy: i. e., ongoing SEPs with development of additional SEPs as the need arises; and conducting future intensive evaluations.

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PANEL 21

EXPERIENCE WITH BUILDING  
IN-HOUSE EVALUATION CAPABILITIES

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Management by Objectives and Program Evaluation  
in the Department of Justice"

James F. Hoobler, U. S. Department of  
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AN EMERGENT MODEL FOR TRAINING  
EVALUATION RESEARCHERS IN CRIMINAL JUSTICE  
AGENCIES

This paper contributes to the growing interest in developing model training programs in criminal justice evaluation. It discusses problems encountered in a special graduate training program, analyzes factors contributing to the problems, and based upon an evaluation of the program itself develops a model training program in criminal justice evaluation.

The training program evaluated is now in its third year. This program developed from the premise that M. A. level students could be trained to do evaluation research in criminal justice agencies. The thrust of the program was to give trainees a solid and traditional background in sociology with additional course work in evaluation research and field work in criminal justice agencies. During the first year of the program problems arose centering around the field research aspects of the curriculum. To a person, students, faculty project personnel, and agency personnel involved in the program, expressed dissatisfaction with the field work aspect of the program. Students were frustrated by their inability to receive professional respect in the agencies, by the need to alter research designs to fit agency needs or data, and pleaded for faculty members to "run interference" in the agencies for them. Faculty and project personnel were alienated by reported treatment of trainees and by perceived negative attitudes of agency personnel, and by agency demands for "trade offs" in cooperating with the program. Finally, agency personnel were disillusioned by the lack of effective research projects helpful to agency goals.

Analysis of the problems generated by the field component of the program suggested a number of factors which might be responsible. Paramount among these were the likelihood that students were inadequately prepared to take on the internships and that adequate training probably could not be accomplished by traditional formats of seminars and by the traditional curriculum.

Suggested solutions were developed in response to the problems and their probable sources. Proposed changes in traditional graduate programs that wish to teach evaluation research center on three areas: the revision of traditional seminar format, a greater emphasis on interdisciplinary training and more specific structuring of field training.

An Emergent Model for Training Evaluation Researchers in Criminal  
Justice Agencies  
(continued)

The evaluation of an ongoing graduate training program in criminal justice evaluation supports the thesis that traditional graduate programs are probably not adequately preparing students for jobs in criminal justice agencies.

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STIMULATING THE USE OF EVALUATION AND ITS RESULTS:  
A UNIVERSITY COUNTY GOVERNMENT LINKAGE APPROACH

This paper for the National Conference on Criminal Justice Evaluation presents preliminary results from an experiment designed to deal with one of the most critical problems in program evaluation: utilization of evaluation findings. Beginning in 1974, Prince George County's criminal justice planner and a University of Maryland professor requested funds from Maryland's SPA to implement a three-dimensional evaluation strategy at the county level. One dimension is the creation of a county-based criminal justice evaluation unit (CJEU) which structurally links county government and the University. Its staff consists of one criminal justice faculty member (joint appointment), two graduate research assistants (one-half time assistantships), and student research interns who receive course credit for their involvement in evaluation tasks. Student interns are also required to participate in a special University program which provides extensive evaluation research training.

The second dimension of the evaluation strategy entails the use of process evaluation methodology. These research procedures are used to uncover those aspects of programs which are associated with high or low goal attainment. The primary purpose for using such evaluation methods is to generate findings which can provide decision-makers with an empirical basis for making program improvements or developing new programs. Although judgement as to the worth of programs can be made from process evaluation findings, the determination of success or failure is considered a secondary purpose.

The final dimension deals with heavy emphasis being placed on extensive contact with key decision-makers throughout the entire evaluation process. In addition, extreme effort is made to involve being evaluated, developing research instruments, selecting appropriate data collection methods and procedures, interpreting evaluation findings and critiquing written reports.

The multifaceted evaluation strategy discussed above has been operational for  $2\frac{1}{2}$  years. In an effort to assess its impact, interview and questionnaire data were collected in the Summer of 1976 from 88 decision-makers who had received varying degrees of exposure to process evaluation work products of the staff and student research

Stimulating the Use of Evaluation and Its Results: A University  
County Government Linkage Approach...Continued

select sample of decision-makers represent personnel working in 26 different criminal justice agencies, both executive and legislative branches of county government and Maryland's LEAA delivery system.

For conference presentation, emphasis will be placed on presenting data that provide a vivid description of the varying ways decision-makers share and use evaluation findings. Further, process variables such as amount and nature of involvement in the evaluation process will be analyzed as to their importance in discriminating between groups who make use of the results and those who indicated low or no use of such findings. In preparing this paper, it is important to present research findings which will be of interest to conference participants with varying professional backgrounds.

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THE CHALLENGE OF COMPREHENSIVE PROGRAM  
EVALUATION AND PLANNING

Central administration of the Division of Correctional Services in Colorado is a relatively new concept. Previous to 1974, budget preparation and planning was done by separate entities of the Penitentiary, the Reformatory, and the Division of Adult Parole. There was no research support, no evaluation expertise, no automated offender-based data systems.

This paper will explore the efforts of the Office of Research and Planning, a three-year LEAA-funded project. Obstacles to comprehensive evaluation, data systems, and planning will be examined. Progress of a central research agency will be described along with problems associated with the justification for continued (state) funding.

The primary thrust of this paper will be to discuss the development of a system based program evaluation approach. Components of this attempt will be the following: articulation by managers of program goals and objectives, assistance by research staff to establish evaluation mechanisms through which to track these objectives, development of computer data elements and reporting systems, interface of data systems with the budgeting process, and development of a mechanism for updating and re-evaluating objectives.

The focus of this report will include the programmatic concerns of cost-benefit analysis and the justification of funding before the Colorado legislature. The exposure of the legislature to criminal justice evaluation has come through LEAA-funded projects which have been submitted for continued state funding. The failure of LEAA grants to consider the priorities and perspectives of the legislature will be examined.

Problems associated with the implementation of a Division-wide approach to evaluation include the following: lack of knowledge by managers of the techniques and concepts of program evaluation, inability of managers to conceptualize cause-and-effect implications of current programming, difficulty in coordinating research which is focused upon cost benefit and other management-oriented considerations, lack of commitment on part of staff to provide accurate and timely data input, and other communication problems between research and management. Attempts and recommended approaches to overcome these obstacles will be elaborated.

The Challenge of Comprehensive Program Evaluation and Planning  
(continued)

Also to be presented in this paper are suggested data elements, development techniques, reporting formats, and time schedules. The paper should serve as a guide for comprehensive evaluation efforts as well as the evaluation of specific projects--especially where evaluation cost benefit is of prime consideration.

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EVALUATION MANAGEMENT AND ORGANIZATIONAL  
STRATEGIES

In the late sixties and early seventies, criminal justice agencies became cognizant of the need for professional planning capabilities, largely as a result of the Crime Control and Safe Streets Act and the corresponding creation of the Law Enforcement Assistance Administration. In the waning years of the decade we, as members of the criminal justice system, are becoming aware of another need - the need to be accountable for our programs and practices. In a word, we need to evaluate.

Morally, and in some locations legally, criminal justice agencies have a responsibility to the public to account for the expenditure of tax dollars. Yet the agencies are faced with a dilemma. Evaluation is generally misunderstood by policy makers, viewed with suspicion and abused by line management, threatening to program staff and a burden for "evaluators" who generally have other primary duties. Evaluation, too frequently, is a thankless task, at best it is damned with faint praise or, at worst, ridiculed, questioned, criticized, second guessed, and held to be invalid. But there remains the demand for quantitative assessment of program efficiency and effectiveness.

The state of the art of governmental functions leaves the correctional administrator with very little at his disposal when contemplating evaluation. Classical evaluation methodologies with roots in academic, scientific research, are impractical for use by criminal justice agencies on an ongoing basis. Even should the fiscal, personnel, and time resources needed for such efforts be made available, the results, most often, do not yield the information needed, wanted or understood by criminal justice personnel. Neither do task force reports disguised as evaluation nor subjective "self evaluations" meet the need for program assessment in this "Era of Accountability".

What organizational strategies then, does the manager use to provide valid, methodologically sound evaluations which are of interest to the administrators, government officials, and legislators who demand accountability? The Florida Department of Offender Rehabilitation was faced with this very question in the midst of its major reorganization two years ago. While it would have been easier to spend several years developing an evaluation strategy; legally there was no alternative. Action had to be taken at once. The paper,

Evaluation Management and Organizational Strategies...Continued

will discuss this action in terms of the problems encountered and successes achieved in establishing a comprehensive evaluation system for Florida Corrections.

Briefly, these efforts countered field resistance to intrusion by "ivory tower" evaluators; met the information needs of program managers and departmental administrators, and met the statutory requirement to evaluate, within the limited resources of the department. The results of the evaluation efforts of the Florida Department of Offender Rehabilitation were well received by all target groups. Now in the second year of this process, Florida is one of those paving the way for the new era of evaluating criminal justice activities.

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MANAGEMENT BY EVALUATION:  
PUTTING RESEARCH TO WORK

The contention of this paper is that research in juvenile corrections has had dismayingly little impact upon services delivery. Most research has been left to external monitoring agencies, often on a one-shot basis connected with grant monies. The price of this kind of organization is a high degree of irrelevance to the decision-maker.

In order to become viable and active in its impact upon client care, research must be organized as a management function. Several key principles are involved in developing an evaluation program with management applicability:

- (1) Evaluation must be inseparable from the management process. Research must become a regular and continuous agency function, clearly addressing the objectives and decision-process of the agency. The evaluation coordinator should be an agency manager, or at least a regular participant in management deliberations.
- (2) Evaluation efforts must achieve continuity of procedure and instrumentation --- across programs and over time.
- (3) Evaluation efforts must focus on client objectives and outcomes as first priority. In a service agency, the client is the cornerstone of all endeavor. Substantial efforts here will be rewarded by better agency and worker support. "People listen when outcomes talk." Desirable and undesirable outcomes must be agreed upon, defined, made measurable, and assessed thoroughly.
- (4) Objectives and measurements must be renegotiated regularly to sharpen efforts and maintain commitment.

In Michigan's juvenile institutions, heavy emphasis has been placed in the last four years on coordinating a comprehensive evaluation program with a Management By Objectives (MBO) management model.

Management by Evaluation: Putting Research to Work...Continued

This paper describes the design, instrumentation, and functioning of Management By Evaluation. Central research findings from the Division's Data Center are included. Several examples are given of the active interaction between research findings and management directions within the Institutional Services Division.

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### THE ONE MAN BAND

The increasing importance of research and program evaluations has led to an increase in the number of persons employed by criminal justice agencies in Pima County, Arizona. Since there has not been a concomitant increase in agency resources, researchers are often placed in awkward positions. This paper discusses the researcher as a member of the management team in a resource poor setting and describes how researchers are most commonly utilized in Pima County Criminal Justice Agencies. Several strategies for conducting program evaluation are discussed with real life examples furnished. A survey of the half-dozen research, statistician-positions in the county criminal system was conducted to obtain verification of these persons' perceptions of their relative effectiveness and influence with management.

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PANEL 22

EVALUATING PRE-TRIAL RELEASE

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Evaluating Pre-Trial Release"

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EVALUATION TECHNIQUES FOR STATE-WIDE  
PRETRIAL RELEASE PROGRAMS

The Commonwealth of Kentucky has recently established a state-wide pretrial services program to operate in lieu of commercial bail bonding companies, which were recently abolished by statute. This program is the first centralized service unit to be operated by the state's judicial branch of government.

This paper treats one important aspect of the program: its experience in conducting a continuous program of self-evaluation. Effective program evaluation can come in a variety of forms, and does not demand the hiring of additional staff. This effort in the Kentucky Pretrial Services Agency has essentially been conducted by two persons, each of whom exercises additional responsibilities.

After a brief narrative description of the agency, and its natural needs for continuous program evaluation, the paper discusses the several methods of evaluation conducted to date: 1) simple monitoring of statistics, 2) on-site field evaluations, 3) third party technical assistance, and 4) pre-planned, comprehensive, methodological research.

In each case, the discussion isolates reasons for the effectiveness and practicality of the method, and highlights the results so far achieved. Examples are provided to illustrate the discussion.

The primary piece of comprehensive, preplanned, methodological research conducted by the Agency has been personnel time utilization studies conducted in the state's three population centers: Louisville, Lexington, and Covington-Newport. The emphasis of the paper is the discussion of this study, and the results that have been achieved from the effort in Louisville. The studies conducted in Covington-Newport and Lexington had not been concluded when the paper was written.

Forms of future evaluation efforts are also briefly addressed in the paper. The Pretrial Services Agency anticipates the conduct of two evaluation projects in early 1977: a computerized isolation of indicators of pretrial predictability, and a significant neutral third party evaluation of the state-wide program. Plans and expectations in these areas are frankly discussed.

Evaluation Techniques for State-Wide Pretrial Release Programs  
(continued)

The Kentucky experience in pretrial self evaluation can serve as a vehicle through which other pretrial and criminal justice programs can learn to effectively evaluate themselves and adjust their programs to economically achieve their goals. Pragmatic and simple forms of evaluation are discussed which can be routinely applied everywhere, and when given an action oriented administrator, they can produce positive adjustments in criminal justice programs.

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PRE-TRIAL RELEASE IN NEW ORLEANS

Pre-trial release or release on recognizance (ROR) programs represent a manifestation of judicial reforms suggested in the early 1960's. Program development for ROR was relatively slow until the impetus of federal dollars awarded through discretionary and bloc grants succeeded in assisting the widespread development of these programs.

The basic rationale for these programs was generally two-fold: humanitarian and system improvement. It was felt that the traditional bail bonding system was both inadequate and discriminatory and reform would assist those unable to make cash bond to gain pre-trial release. In addition, it was believed that the release of these individuals would help ease the overburdened pre-trial detention population. The major concerns about the feasibility of these programs were whether the ROR's individual would appear for trial and whether he would be a threat to society.

This paper presents a review of the New Orleans experience with pre-trial release. The New Orleans program is one of the smallest nationally when measured in terms of funding and staff size, yet it is one of the most successful in terms of release rates, missed court appearances, and rearrests. It is also an exception to most programs in that the prosecuting attorney is the project director. The paper presents a brief history of the program in its quests for institutionalization in light of its success record. The program is briefly described in terms of its operations, eligibility criteria, and client characteristics. Selected measures of success as missed court appearances, bond forfeitures, and rearrested individuals are discussed. Several nationally comparable variables are also briefly discussed. Finally, a comment is made on the overall impact of the program and some limiting factors.

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Panel 22 - Evaluating Pre-Trial  
Release

BAIL REFORM AND BAIL JUMPING:  
THE CASE OF PEORIA

General evaluation area: Bail reform; Release-On-Recognition (ROR) programs; the possibility that different forms of pretrial release or pretrial investigation can significantly reduce failures to appear at trial (FTAs).

Area: Peoria, Illinois, is a medium-sized industrial city of 130,000 residents, in a metropolitan region of about 350,000. For many reasons, it is an ideal place to study pretrial release: the records maintained by the Peoria County sheriff's office and the clerk of the 10th Illinois judicial circuit are well-kept; a variety of forms of pretrial release are used; and the state has no bail bondsmen (whose independent judgments often complicate comparisons in bail research). About 1/3 of all criminally-accused persons are released under the circuit's five-year-old ROR program. The remaining 2/3 are released under the cash or property options available under Illinois's bail deposit statute. There are enough defendants in each group to permit meaningful comparisons.

Questions:(method) For purposes of evaluation research, what is the best way to define a "failure to appear"?

(substance) Is there a difference in the amount and pattern of FTAs between the group of criminally accused persons who are released under ROR programs and the groups which obtain other forms of pretrial release?

Is there a difference in the amount and pattern of FTAs between groups of accused persons who are accused of different crimes?

Is there a relationship between the crime charged, the failure to appear, and the form of pretrial release? Are persons charged with (say) armed robbery more likely to fail to appear when they are released under ROR programs than when they are released under other systems?

Is it possible to develop a profile which relates the likelihood of a given defendant's failing to appear to the crime charged?

Bail Reform and Bail Jumping: The Case of Peoria  
(continued)

Data: Bail and FTA records for Peoria county for the period 1971-75. For detailed analysis, a sample of cases will be used. The sample will include all cases docketed during four months of 1972. 1,295 cases are so identified, and they represent about 40% of all the cases docketed in Peoria during 1972. In this sample, 829 incidents of bail are identified.

Method: quasi-experiment, comparing the group of persons released under Peoria's ROR program with the universe of all criminally-accused persons, with the group of all criminally-accused persons who were released on bail, and with groups of criminally-accused persons who were released under other pretrial release programs (cash bail, property bail, etc.) The comparisons will be controlled for variables which are known or suspected to affect propensity to jump bail: age of the accused person, sex, marital status, permanence of residence, nature of the charges, etc. Appropriate correlational techniques will be used to determine the relationship between specific defendant characteristics, specific bail programs and incidents of failure to appear.

Importance: in the past fifteen years, there have been many innovative pretrial release programs, and all of them have been evaluated in one form or another. But a lengthy study by the National Center For State Courts (An Evaluation of Policy Related Research On The Effectiveness Of Pretrial Release Programs, #R0016, 1975) found most of this evaluation research flawed and of little use. A major failure was the lack of any useful definition of how to identify failures to appear. A second common failure was the lack of comparison between ROR and more traditional programs. The National Center identified six major concerns still to be determined in the evaluation of bail reform projects. One of these major concerns is the relationship between ROR projects (and other reforms) and bail-jumping, however defined. A second is the relationship between ROR programs and other forms of pretrial release. A third is the relationship between criminal charges and the propensity to jump bail. (pp. xvi-xix;39-41) Because existing evaluation research is so disappointing, they find these relationships largely unexplored, and the critical policy questions unresolved (xvii).

The Peoria study will contribute to resolving these questions. Although a study of a single city is, by itself, of limited use, still it has value: It deals with a manageable scope; it permits careful attention to basic definitions, and, perhaps most important, it permits

Bail Reform and Bail Jumping: The Case of Peoria  
(continued)

systematic comparisons. It is possible to compare the strengths and weaknesses of ROR programs with the strengths and weaknesses of other forms of pretrial release, and perhaps suggest a balanced "mix" of such programs for policy consideration. Finally, because a study of a single city is methodologically uncomplicated, it can be easily duplicated elsewhere.

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MEASURING THE EFFECTIVENESS OF THE BAIL BOND  
SYSTEM AS AN ASSURANCE OF TRIAL APPEARANCE

It is generally considered that there are two purposes of bail in the criminal justice system. One is to have a means of deterring potentially dangerous people from committing further offenses. The other purpose is to insure trial appearance of the accused by imposing a financial burden for non-appearance. It is the second of these purposes that this paper examines.

The bail bond is imposed upon the accused to insure his appearance in court, but it is not certain that any defendant will in fact appear in court just because he has been granted bail. The two decisions made by the judge, whether bail is to be granted and the size of the bail, are generally made at his discretion. When making those decisions about bail, he must use some criteria for granting or denying release, even if those criteria are informal. We may question, however, how closely those criteria can predict the probability that the defendant will appear in court. Since many defendants fail to appear in court, it is reasonable to suggest that improvements can be made over using these informal criteria to gauge the probability of forfeiting bail.

In testing 200 cases of bail forfeiture and 200 cases of non-forfeiture in Dallas County in 1973, we have established a statistical method for predicting bond failure. Personal history data on the accused offenders plus general traits of types of crimes are correlated with whether the accused forfeited bond or appeared at his trial. This method chooses the most significant determinants of forfeiture. For example, personal data such as length in time in Dallas County, employment, and relatives living in the area have proved to be inversely related to forfeiture. The type of offense, moreover, plays an important role in predicting forfeiture. Those accused of drug offenses tend to forfeit bail, whereas sex offenders (mostly accused of homosexuality) tend to appear in court.

By using statistical methods to measure the significance of the determinants of forfeiture, we can establish a model that will predict the probability of bond forfeiture of an individual, rather like an insurance claim. This model will provide the structure for analyzing such questions as:

Measuring the Effectiveness of the Bail Bond System as an Assurance  
of Trial Appearance  
(continued)

- What are the main determinants of bail bond forfeiture?
- How well does the imposition of bail assure trial appearance?
- Does the size of the bail bond affect the probability of trial appearance?
- How can economic (financial) penalties be used better to the advantage of the court system?
- Is the size of the bond left too much to the whim of the judge?
- If monetary bail is effective, would it be better to have bail financed by the court instead of by bailbondsmen?
- If monetary bail is not effective, would a non-monetary system of pre-trial release be better?

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THE PRE-TRIAL RELEASE PROCESS  
WHEN THE VICTIM AND THE  
DEFENDANT LIVE TOGETHER

When the Victim Witness Advocate Program began operation in 1976, it was approached by the Pre-Trial Release Project with a dilemma. The problem centered around the need of the ROR Project to verify community and family ties so that the Court could make a fair and impartial release decision and the fact that in certain offenses the persons from whom this information was collected were the complainant/victims. A working agreement which asked the Victim Witness Program to collect much of this information for the ROR Project in exchange for input into the release decision was entered into in early 1976.

This paper presents a summary and description of the cases and persons involved and deals with the impact of the information obtained on the complainant/victim, the accused, and the court's decision. These are preliminary descriptive findings and detailed statistical analysis is not included.

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EVALUATING THE EFFICIENCY OF PRETRIAL SERVICES

This paper discusses the use of input-output measures in evaluating bail and diversion programs. Inputs are discussed in terms of the recommendation and release rates as well as accompanying social-demographic data on the arrested population. Outputs are conceptualized in terms of appearance rates (the inverse of the failure-to-appear rate).

Based on evaluating of pretrial services programs in Philadelphia and Delaware County, Pennsylvania, the development of a regression-based point system and a simplified application are presented. Results, in terms of efficiency gain, are discussed, along with the development of a management information system based on an ongoing profile of defendants.

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PANEL 23

COMMUNITY BASED CORRECTIONS  
FOR ADULTS

Panel 23 - Community Based  
Corrections for Adults

PRERELEASE RESIDENCE AND PAROLE OUTCOME:  
PANEL STUDY METHODS AND PENNSYLVANIA RESULTS

This paper is based upon the experience of the authors in evaluating the Community Service Centers system in Pennsylvania. The Centers are a network of halfway houses designed to ease return to the community from incarceration in State Correctional Institutions.

Post-incarceration behavior and adaptation to the community, as evidenced by parole performance, are taken as the relevant measures of the success of the special release program relative to the normal parole procedures. Matched panels of persons pass in through the special Centers and persons nominally eligible for such programs but paroled directly from institutions were developed in order that the evaluation of special program participants and their community adaptation not be based on comparison to the total prison population, which would include many parolees who would not have been eligible, based upon their characteristics, for the special program.

The panel matching procedure is explained in detail, including the rationales used for the selection of the panel periods and the variables along which matching was pursued. The profiles of the special program clients, the general prison population and the matched prison panel are presented and analysed in terms of the biases which would have emerged in the evaluation of the Community Service Centers had the parole performance of the Center residents been compared to that of the total population of parolees from the state institutions.

The results of the panel comparisons are presents in the concluding section of the paper, in which the relative parole success rates of the special program group and the matched panel of "normal" parolees are discussed. The measures employed in these comparisons are:

(1) Number of "clean" months following release to parole, for the time periods for which data were collected (up to 21 months). Preliminary findings indicate that the special program group averaged almost 18 clean months out of a possible 21, while the routine parolees exhibited only 16 clean months on average.

(2) Length of time until first difficulty on parole following release from custody. Preliminary findings show that such problems arise for

Prerelease Residence and Parole Outcome: Panel Study Methods and  
Pennsylvania Results  
(continued)

routine parolees after 15 months on average while the special program participants did not encounter parole problems until more than halfway through their seventeenth month, on average.

Thus, the findings suggest some greater success on parole for the Community Service Center graduates. Since the program is operated at a cost per resident-day which is roughly half that of routine incarceration the special program is demonstrated to be significantly superior to the traditional release pattern for the types of inmates accepted to the program in terms of its overall cost-effectiveness.

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Panel 23 - Community Based  
Corrections for Adults

COST EFFECTIVENESS OF RESIDENTIAL COMMUNITY  
CORRECTIONS: AN ANALYTICAL PROTOTYPE

This evaluation of residential community corrections in Minnesota explicitly incorporates economic criteria. In recent years, economists have made substantial contributions to the analysis of crime and the criminal justice system (CJS). These contributions include the following concepts: supply-of-offenses function, definitions of CJS output, and CJS cost and production functions. All of these are used in this evaluation.

The Corrections Department is treated in a manner similar to a business firm which seeks to maximize profits subject to resource availability. More specifically, the goal of the Corrections Department is maximization of recidivism reduction subject to a legislative budget constraint. The Department must select the optimum allocation of offenders and resources among three alternatives: institutions (i. e., prisons), community corrections, and parole/probation.

An intensive application to corrections alternatives in Minnesota yielded the following results: (1) In the short run, the cost-effective outcome is the allocation of offenders to prisons; (2) In the long run, reliance on prisons should be drastically reduced, accompanied by greater reliance on alternative treatment modes, e. g. community corrections and parole/probation. These apparently divergent conclusions arise from combining marginal cost concepts with the distinction between long- and short-run costs.

This largely exploratory study presents useful and interesting results; it also suggests a strong need for more and better quality cost and output data as the CJS becomes increasingly sensitive to the need to operate efficiently, i. e. obtain the highest possible output with a given budget and a given state of the corrections art.

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THE COMMUNITY-BASED DIAGNOSTIC  
AND EVALUATION PROJECT

The major goal of the Community Based Diagnostic and Evaluation Project was to increase the number of convicted felons who were released in the community without increasing the risk to the community. Before the Presentence Project began the Seattle Unit was recommending in 24% of its cases that the client be sent to a state prison. In the original grant application, the Project was expected to reduce adult felony commitments to prison by 5 per month or 5%. The research data in this report reflects that during Project Year 1974 the Presentence Unit recommended that 11% of the clients go to prison and in Project Year 1975 the Presentence Unit recommended 15% of the clients go to prison. This is a reduction of 9% over the original October baseline data.

What is more important than the recommendations themselves is the fact that the Court concurred more with the Presentence Unit's recommendations in Project Years 1974 and 1975. There is a statistically significant difference from the October baseline data to the Project Years 1974 and 1975 for all recommendations for all categories of crime (82% versus 92%). This is directly related to the Unit's goal of increasing the number of adult felons retained in the community.

One of the measures of success for the Project was to compare baseline data involving probation revocations for King County in 1973 before the Project began, in order to test whether the Project had indeed "increased the number of convicted felons in the community without increasing the risk to the community." The assumption was that if these rates have remained the same, the Project was successful. The Office of Research in Olympia provided us with unpublished data which indicates that revocations were 4.3% in 1973. Included in these statistics are clients who were on probation for one day and clients who were on probation for one year, making an average time on probation approximately six months. We can roughly compare this to the Project data in which probation revocations were 4.1% after the clients had been placed on probation for six months.

According to the 1975 Annual Report, Human Resource Agencies published by the Office Of Programming and Fiscal Management, State of Washington, the rate of probation revocations statewide was 17%. These figures were based on the 1965 - 1970 rates. This is comparable to the follow-up study of this Project which reflects over

The Community-Based Diagnostic and Evaluation Project  
(continued)

a 24-month period that 16.5% of those individuals placed on probation were subsequently revoked and sentenced to a state prison. Both of these comparisons support the conclusion that the major goal of increasing the number of those placed on probation without significantly affecting the recidivism rate had been obtained.

84% of all persons placed on probation had no new arrests after a six month period of time. Those offenders who had committed person crimes had 4% fewer arrests than property offenders. The greatest number of arrests were for property offenses and traffic offenses. Of the 53 persons who had their probation revoked in a 24-month period, 51 had felony arrests, 29 had more than one felony conviction and 64 had one or more misdemeanor convictions. This is a measure of the crime impact for those offenders placed on probation during this time frame. These figures realistically should be considered only in relationship to the total amount of crime being committed in the community. As an example, 166 person offenders placed on probation, only 4 or 2% of those re-offended by committing another person offense. This is especially significant considering that a disproportionate amount of the Unit's resources were expended in behalf of the person offender. All offenders who had committed a crime against a person and an additional number of persons who, as a result of an initial screening process, needed the resources, were handled utilizing the team process.

The second major goal of the project was to increase the degree of success for offenders served and placed on probation by the Superior Court. Findings of this report indicate that there are significant differences between the success rate when the Court concurred with the Presentence recommendation and when the Court did not concur. The number of persons placed on probation by the Court when the Presentence Unit recommended commitment is small, but there are significant differences using the chi-square test of significance at the .05 level in these groups. In the majority of cases, the Court does agree with the Presentence Unit's recommendation of probation and approximately 86% of those probationers are still successfully on probation after a six-month time period, whereas in the non-concurrence groups, only 58% are successfully on probation at the end of the six-month time period. These differences would indicate that the enhanced diagnostic report prepared by the Project was useful in predicting probation success.

Evaluative data strongly suggests that, in fact, participation in a community program does make a difference in probation outcome.

The Community-Based Diagnostic and Evaluation Project  
(continued)

The most successful group, 97% successful, were those persons who were recommended for programs and completed or were still participating in the program at the end of the six-month period. The least successful group, only 81% successful, had dropped out, or had not started the program yet, or the probation officer had decided that the program was not necessary. Thus, for a substantial proportion of the population, appropriate treatment intervention was provided and for this group of offenders the degree of success on probation was significantly increased.

An unfortunate conclusion of the study was that in focusing on the outcomes of the recommendations and dispositions, the research methodology did not provide for adequate measures of the Presentence Investigation process. Although the Project provided an enhanced diagnostic report, it is impossible to provide any definitive statements regarding the impact that the case staffing and/or mental health consultants had on the Courts' response. As indicated previously, there were a number of changes in the research design for this project. Considering the original discussions which generated rationale for establishing a Unit of this nature, it is unfortunate that the research component did not provide for any kind of evaluative data on the process itself. The conclusion we make, therefore, is that an analysis of the process is the first important step in dealing with decision making in preparing recommendations for the Courts. The study points out the shortcomings and the need for reliable research efforts on the decision-making process and, in particular, the development of the standards and guidelines in the use of discretionary authority at this point in the Criminal Justice System.

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The Community-Based Diagnostic and Evaluation Project  
(continued)

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RESIDENTIAL CORRECTIONS PROGRAMS IN MINNESOTA:  
AN EVALUATION REPORT

This evaluation is the second major report of the Evaluation Unit on residential corrections programs in Minnesota. The programs included in this evaluation are limited to those programs which have received LEAA funding through the Governor's Commission on Crime Prevention and Control and which began operations in 1972 or later.

For purposes of evaluation the projects covered in this report are divided into three project types: (1) HALFWAY HOUSES, which were designed as re-entry facilities for adult parolees; (2) P.O.R.T. (Probationed Offenders Rehabilitation and Training) PROJECTS, which were designed as alternatives to incarceration for adults (and, in some cases, juveniles); and (3) JUVENILE RESIDENCES, which were designed specifically for juvenile offenders. Projects within each of these project types are pooled for evaluation.

This report has four main chapters: CLIENT CHARACTERISTICS presents a statistical description of the clients in each project type; CLIENT FLOW AND CLIENT COST presents information on the occupancy rates and cost/client/day of individual projects; EVALUATION OF EFFECT analyzes the outcomes of program participation in terms of program completion, and changes in employment, education, vocational training, financial resources, and legal status between intake and termination; and RECIDIVISM presents the analysis of recidivism data for the periods of residence and up to twenty-four months following termination from residence.

Because this report up-dates a previous report, on many items comparisons of results for 1975 and previous years are made. The recidivism analysis employs after-the-fact comparison groups for each of the project types: the halfway house analysis employs a comparison group of parolees; the P.O.R.T. project analysis employs comparison groups of adult probationers and parolees; and the juvenile residence evaluation employs comparison groups of juvenile probationers and parolees.

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IMPACT OF PSYCHOSOCIAL CONSULTATION  
UPON CRIMINAL ACTIVITY

The Central Intake Unit was established as an LEAA High Impact Anti-Crime Program in Denver, Colorado during 1975. The project provides diagnostic and consultation services to Denver's judiciary and corrections staff. While the value of the project was assessed using a number of quantitative methods, this abstract relates primarily to one important effectiveness goal of the Central Intake Unit. One project objective was to reduce the frequency of criminal activity through consultation with case managers. Preliminary analyses of this outcome data have indicated that the project provided effective intervention strategies for a large number of high risk offenders.

The basic intervention methodology of the project consisted of providing psychological diagnostic and consultation services to the judiciary and correctional workers by a staff of mental health professionals. Each diagnostic referral was carefully assessed by project staff, and a diagnostic plan was developed in conjunction with the referring agent. This initial dialogue continued through the evaluation process and into the implementation stage of the intervention plan. The evaluation procedures placed emphasis upon clinical understanding of the offender's dynamics and problems. While psychological tests were utilized as necessary, the primary method stressed clinical interviewing and judgment as opposed to the routine administration of a test battery. The overall intent of the evaluation process was to produce written and verbal information to the referring agent which could be used in making case decisions or in providing ongoing supervision. Particular effort was made to provide clear, specific and understandable information without the use of medical or psychological jargon. The intervention plans or recommendations presented detailed, relevant guidelines for working with the offender.

As previously noted, the project served the judiciary as well as correctional workers. However, the results contained in this abstract are related only to the approximately 100 offenders who were referred by community supervisors, i. e., probation or parole officers. Typically, the judiciary requested information which was more relevant to the legal disposition of a case rather than asking for case management guidelines.

Data analysis indicates that offenders evaluated by the Central Intake Unit were at high risk. These offenders had an approximate

Impact of Psychosocial Consultation Upon Criminal Activity  
(continued)

annual arrest rate of 1.25 prior to their referral to the Central Intake Unit. In addition, one criterion for acceptance to the evaluation component was that the offenders demonstrate substantial psychological or emotional impairment. Therefore, referrals were accepted only for offenders who substantively were viewed as being a psychological risk (e.g., prior history of assault, alcohol or drug abuse, or previous psychiatric history). Following the evaluation and intervention planning by project staff, the annual arrest rate dropped to less than one per year. Since an adequate comparison group was unavailable, these high risk offenders were compared with the general offender population. Comparative statistics generated by the Denver Anti-Crime Council indicated that 21.5% of the offenders under Community Supervision are reconvicted during the first year of their parole or probation term. For a comparable time period, about fifteen per cent of the CIU-evaluated clients were reconvicted of a new offense.

Several important features would be presented in more detail, such as:

1. The evaluation incorporates a more dynamic statistic, labelled annual arrest rate or crime-free months. By utilizing time as a covariate, this statistic goes beyond binary outcome index often found in criminal justice program evaluations.
2. The evaluation indicates that case managers might profit from adjunct psychological consultation in working with certain high risk offenders.
3. The evaluation supports the approach of jargon-free, problem oriented reporting to facilitate the implementation of a psychological case management plan.
4. The evaluation suggests that psychological variables which are systematically collected and analyzed may be relevant for more expeditious individual case management. This data would expand the more limited research focus from demographic and criminal justice history information to include psychological variables.

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EVALUATION OF THE OFFENDER AID AND  
RESTORATION PROGRAM IN NORTHERN VIRGINIA

The Offender Aid and Restoration program was established in Fairfax County, Virginia in 1971 and two evaluations have been made of its program -- the first covering the period November 1973 through October 1974 and the second the period September 1975 through June 1976. Both evaluations have been primarily descriptive and deal mainly with characteristics of OAR volunteers and offenders in addition to the services offered by OAR.

The Offender Aid and Restoration program's approach to evaluation has been quite pragmatic (i. e., produce some change in the case of offenders and ex-offenders). The focus of the evaluations centers on how successfully OAR reduces the criminality of individuals it serves (i. e., a reduction in recidivism or a reduction in the number of days contact with the criminal justice system). The theory upon which the program operates is based on the social interaction process that usually develops between OAR volunteer and offender. Thus a dedicated volunteer will provide a positive personalized role model for the offender eventually allowing the latter to "break criminal career patterns and become a productive member of the community."

The objectives of the OAR program are threefold: (1) reduce the criminality of the offender, (2) provide a contact point where ex-offenders and/or their families can receive advice or assistance, and (3) afford members of the general community insight and knowledge about rehabilitation needs of offenders and ex-offenders.

In order to measure the effectiveness of the program and ascertain whether the objectives are being realized a model for evaluation of the program was devised, called "planned versus actual performance." This consisted of first identifying the purpose of each unit of OAR (i. e., outreach, program development, transitional services, volunteer support, and economic development). Secondly, eight areas were identified as being crucial for continued success of the program (i. e., screening of clients, screening and supervision of volunteers, utilization of volunteers with expertise, utilization of community members for support, revision of objectives, plan for continued volunteer staffing, improvement of record keeping, and matching volunteers with offenders in order to maximize effectiveness of relationship).

Evaluation of the Offender Aid and Restoration Program in Northern  
Virginia  
(continued)

Each one of the eight areas was analyzed in terms of procedures implemented in light of past needs as stated by each area's purpose. This was measured both quantitatively and qualitatively with the projected future needs and demands of the program. For example, area 1 concerns the screening of OAR clients. Prospective clients are interviewed in jail or community settings in order to obtain a better knowledge of what OAR can offer. More clients are given a one to one relationship with staff which increases client length of stay in the program due to increased personalization of the relationship. The idea of using former clients in the capacity of helping others developed from this area's analysis.

The evaluation deals with such information as data on clients (i. e. , age, sex, race, marital status, educational attainment, residence, and legal status of offender); services rendered by OAR staff; agencies contacted to assist clients (i. e. , alcohol or drug treatment center, education/training, employment, medical treatment, offender programs, professional counseling, referral agencies, service and church groups); and analysis of volunteers (i. e. , age, sex, race, marital status, education, occupation, and length of time served as a volunteer).

The evaluations conclude that a successful OAR program requires the participation of a wide variety of people and interests; that there must be strong cooperative liaison patterns with both criminal justice and community institutions; that the transience of clients and staff makes long term resocialization efforts difficult; and that better liaison with professional criminal justice organizations (public and private) is needed.

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FACTORS RELATED TO OUTCOME OF VOLUNTEER  
INTERVENTION WITH CRIMINAL OFFENDERS

Within the last fifteen years there has been rapid expansion in the use of nonprofessional volunteer workers in the area of criminal rehabilitation. Until recently, research in this area has been largely limited to surveys and descriptive evaluations. Only in the past six years has research examined the individual traits and relationship variables of successful volunteer-offender interaction. The present study was designed to investigate individual and shared characteristics of volunteers and offenders that are related to the development of good and bad working relationships.

Adult and juvenile offenders and volunteer advocates were pre-tested on a variety of attitudinal, personality, and interest measures and randomly matched. Following a six month period during which the volunteer and offender met more or less regularly on an informal basis, the offender and volunteer were retested on the dependent measures. Data was also collected on the amount of contact, types of assistance, interaction characteristics, and recidivism during the six month period. Multiple sources of evaluation of the matches were obtained: researcher interviews, observer ratings, self ratings, and supervisor ratings. Complete data was collected on 40 pairs. The results were analyzed to determine the relationships of (1) offender characteristics, (2) volunteer characteristics, and (3) match characteristics to outcomes.

Analyses of the results revealed few changes in offender attitudes, personality, and interests over the six month interval. The volunteers also showed little change over the six month period, but they did reveal increased knowledge and awareness of offender habits.

Several volunteer and offender background and personality variables were found to be related to successful outcomes of the match. Overall similarity of background and volunteer perseverance showed the strongest relationship to successful matches.

Recidivism data and outcome evaluation measures did not appear to be significantly related to the quality of volunteer-offender relationships. Recidivism data was probably taken over too short an interval to determine the total merit of the offender-volunteer relationships.

Other findings include the overall inadequacy of standard psychometric measures (e.g., objective personality tests, and self ratings)

Factors Related to Outcome of Volunteer Intervention with Criminal  
Offenders  
(continued)

as predictors of successful or unsuccessful matches. Demographic variables and attitudinal measures proved most useful as predictors of compatibility.

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PANEL 24

ALTERNATIVES FOR TREATING JUVENILE OFFENDERS

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Evaluation of Major Youth Correctional Reform  
in Massachusetts"

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## JUVENILE PROBATION PROGRAMS IN THE IMPACT CITIES

As part of the national-level evaluation of the Law Enforcement Assistance Administration's High Impact Anti-Crime Program, an analysis of the effectiveness of five intensive supervision projects has been conducted. This research was undertaken to assess the validity of the assumption that intensive supervision is an effective strategy for reducing recidivism among probationers and parolees.

As the assumptions research proceeded, numerous research problems were encountered, forcing revisions in the methodology and restricting the possibilities for unambiguous inferences about effective variables. Some of the major problems were: the lack of control groups; the large variance between projects in terms of clientele, staff, and treatment and services; limitations on the resources for data collection and no possibility to impose these responsibilities; difficulties in the quantification of treatment and supervision variables; and the lack of enough parole projects for meaningful comparisons.

Five projects, all of them probation projects, were eventually selected for examination as part of this research. They are:

- (1) New Pride (Denver)
- (2) Essex County Probation Department's Specialized Caseload Project and Volunteer's Component (Newark)
- (3) Case Management Corrections Services (Portland)
- (4) Providence Educational Center (St. Louis)
- (5) Probation Aftercare #6 (Los Angeles)

For the client samples in each of the five projects and for the total client sample, five analyses were performed:

- (1) comparisons of the frequency of offenses based on a one-year baseline period and a one-year service period;
- (2) comparisons of the severity of offenses based on a one-year baseline period and a one-year service period;
- (3) the prediction of various criminal offense measures by client-descriptive variables such as age, ethnicity, and grade level;
- (4) the prediction of service period criminal offense measures by pre-service and baseline criminal offense measures; and
- (5) the use of stepwise multiple regression analyses to assess the predictability of service frequency from the best set of client-descriptive and criminal offense variables.

Juvenile Probation Programs in the Impact Cities  
(continued)

Additionally, a comparison of the frequency of recidivism for juvenile offenders in the assumptions research sample and juvenile offenders from Denver (matched on the basis of the number of prior offenses) was conducted.

The most significant results of these analyses are presented below:

All projects achieved significant reductions in frequency of recidivism in terms of baseline to service period comparisons. The overall percentage reduction was 50 percent reflecting a change from two offenses in baseline to one offense in service.

There was almost no difference in the seriousness of offenses committed during baseline and service periods.

Comparisons of the frequency of recidivism for juvenile offenders under intensive supervision and juvenile offenders from Denver matched in terms of prior number of offenses indicated that intensive supervision clients recidivated less at every level of prior offenses.

Of the client-descriptive variables, age proved most useful in terms of the prediction of criminal offense measures. There appeared to be a curvilinear relationship between age and baseline and service frequency such that frequency increased until age sixteen and decreased thereafter.

Overall, the criminal offense variables proved more useful in the prediction of service period offense measures than client-descriptive variables. The two best predictors of the frequency of recidivism were frequency in baseline and pre-service number of offenses.

An analysis of the interaction between baseline frequency and age revealed that the most serious recidivists were clients under sixteen who had committed three or more previous offenses. The least serious recidivists were juveniles under sixteen with less than three previous offenses.

Overall, the results of the multiple regression analyses indicated that the best set of predictors only accounted for 13 percent of the variance in the frequency of recidivism. The multiple correlation coefficients tended to be higher for individual projects.

Juvenile Probation Programs in the Impact Cities  
(continued)

Based on the comparisons provided, intensive supervision seems to have proven effective as a general strategy. It is true that because of the various methodological constraints and limitations that characterize this research (as well as most previous research related to caseload size), unambiguous evidence related to those factors which reduce recidivism is still lacking. To conclude from this that intensive supervision and/or community corrections do not work would, however, be both unjustified and counter-indicated by this research. Nonetheless a renewed commitment to the research spectrum of programmatic evaluation is necessary to isolate the effective variables and to permit the kind of prioritization required for program decision-making in this area.

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## PROJECT NEW PRIDE

Project New Pride is a post-adjudicatory juvenile project providing services to probationed youth who have at least two prior convictions in their criminal histories. Clients having been arrested for an Impact offense are referred to the project by the Denver Juvenile Court Probation Department. From the approximately 40 youth referred to the project, 20 are randomly selected. Random selection is utilized to reduce biases in selection of youth for the limited slots available, and to improve the evaluational efforts in determining the project's effectiveness in providing a variety of services to delinquent youth. Random selection occurs every four months, creating a series of cohorts which experience various intensities of services during the year long program participation. Following selection and acceptance into the program, three months of intensive services are experienced by the client followed by approximately nine months of follow-up and supportive services. In actuality, the project works intensively with the youth for a relatively short period of the clients' program participation. Termination typically occurs after the nine month follow-up period, when, in the project's evaluation, the client has demonstrated an ability to function adequately in the community.

Services provided by the project include educational testing and remediation, disability testing and remediation, employment counseling and pre-vocational training, job development and placement, personal counseling, cultural education, recreation and client advocacy in the criminal justice system.

Educational services provided clients during the intensive phase of program participation resulted in an average of 1.2 to 1.4 grade increase in mathematics, reading and spelling achievement. Following completion of the intensive phase, most clients returned to the public school or remained in the New Pride school. While educational increases were observed in all but a few clients, the increases still left the majority of clients below functional achievement levels. Because of the number of missing cases, increases in the education levels should be interpreted with caution.

Despite the recent economic conditions which have hampered job development and placement generally, the employment component has demonstrated success in placing clients, albeit in part-time positions. Employment was shown to be strongly related to the lack

Project New Pride . . . cont.

of deviant behavior. Employed clients recidivated less often proportionally than unemployed clients, especially as shown for the second year clients.

The most encouraging findings shown in this evaluation are the reductions in recidivism for all offenses and particularly for Impact offenses which showed 35.8% and 66.7% reductions, respectively. Indicative of the project's effect on recidivism over time is the absence of a sharp increase in rearrests following termination and, to a degree, following the completion of the intensive phase. Project recidivism rates were well below the expected rates as established by the DACC baseline study. The lower rates were significant at the .01 level.

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CORRECTIONAL GROUP COUNSELING:  
AN EVALUATION

The Family Court of Philadelphia established Correctional Group Counseling as an alternative to juvenile probation in May of 1972. The program, known as CGC, was designed to reduce recidivism and to train probation officers in the performance of group counseling as a means toward accomplishing the first objective.

The program's impact has been evaluated by comparisons of juveniles placed in CGC with juveniles placed on regular probation, matched individually for sex, age, race, prior delinquencies, and residential district (to control surrounding crime rates). Behavior following placement has been measured by comparisons of arrests, adjudications of delinquency or court convictions, and seriousness of court encounters.

Two groups were used to evaluate the impact of the project. The first group consisted in juveniles placed in CGC during its first year. These juveniles were compared with youngsters placed on regular probation during the same period of time. They have been retraced through the courts in a two-year follow-up. To assess possible changes in impact after modifications of the program, a second group of juveniles, placed in CGC or on regular probation in 1974, have been retraced a year after placement.

Evaluations of the impact of the program have indicated that a group counseling approach can be more effective than regular probation for juveniles who have not become entrenched in antisocial pathways.

The evaluation process appears to have contributed to the success of CGC as a cost-effective alternative to regular probation for juveniles.

A description of the program and its evaluation would be part of the paper.

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## CONTINUOUS EVALUATION OF A YOUTH SERVICES BUREAU

The Greenbelt Youth Services Bureau (Greenbelt CARES) is a community facility providing behavior modification counseling and other services to the youth of the community and their families. It has been in operation as a Youth Services Bureau for 3 and 3/4 years, the first three funded by the Maryland Governor's Commission on Law Enforcement and the Administration of Justice.

The population primarily served are teenagers (10 through 17) and secondarily children under 10 years of age, especially those from single parent families. The largest number of problems dealt with have been in the area of family relationships, followed in decreasing frequency by personal, school and legal problems.

Data evaluation covers the three years of Governor's Commission (LEAA) funding and focuses on data of the monitoring and rating systems built directly into the counseling program from intake through follow-up interviews. Three types of data were collected and analyzed: 1) demographic and problem-related material on families at first interview (pre-treatment, baseline data), 2) behavioral contracts and ratings by clients (treatment, process data) and 3) follow-up interviews (posttreatment-product-outcome data).

We have a suggestion in our data that the Housewife and clerical occupational groups may have benefitted less from our services than did other occupational groups. We also found support for believing that the design of the open space, family behavioral counseling is sound.

The general rate of success is 88% as measured in approximately 135 follow-ups. We have an outside rater also rating success. For the youngsters referred by the Maryland Department of Juvenile Services we find a 40% recidivism rate (12 out of 30) with less recidivism for 2-parent families and for those who receive more counseling. Both the 60% and the 88% rates of success are better than most therapeutic and prevention programs. Recidivism avoidance is over a 6 month to 2 year period following treatment. We are currently exploring for predictors of problems and of response to treatment by collecting data on parenting techniques and other childhood experiences.

Continuous Evaluation of a Youth Services Bureau  
(continued)

We expect to present a discussion of building evaluation into an ongoing and functioning facility.

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## EVALUATING THE EFFECTIVENESS OF GGI

Introduction: This paper summarizes an evaluation study on the effectiveness of a Guided Group Interaction (GGI) program at a state facility for male juvenile offenders. As its name implies, GGI utilizes positive peer pressure to influence individuals to find satisfaction in conforming to group (societal) norms. The GGI program was gradually instituted at the facility on a cottage basis. At the time of our evaluation, two cottages were using the GGI program and three cottages were using behavioral modification or counselor defined programs. The major problems confronting the study were: (a) defining program goals in terms of measurable outcomes; (b) assessing program effects over time in a nonreactive way; and (c) interpreting results for a program that had not randomly selected its participants.

Outcome Measures: After considerable discussion, it was determined that the primary goals of GGI were to increase resident morale and to induce positive interpersonal and intrapersonal changes. To measure resident morale, a 15 item scale was constructed which assessed residents' involvement in and satisfaction with various aspects of their respective programs. To measure interpersonal changes, a 12 item scale was constructed to assess the frequency with which positive (e.g., students can say anything to counselors) and negative (e.g., students play the inmate game) interpersonal interactions occurred. These scales consisted of original items taken from existing scales (Eynon, Allen, & Reckless, 1971; Moos, 1975). To measure intrapersonal changes, existing scales for self esteem (Rosenberg, 1965) and internal-external control (Nowicki & Strickland, 1973) were used. Two measures of intrapersonal changes were included to assess expected (increased self esteem) and unexpected increased externality outcomes.

Research Strategy: All scales were administered in one hour sessions, with each item being vocally and visually presented to residents who responded anonymously on written questionnaires. The basic research strategy was to compare GGI participants with non-GGI participants on the four outcome measures. Regression analysis (Logan, 1972) was adopted as the appropriate data analytic technique for these comparisons because it allowed for the simultaneous consideration of other factors (e.g., time in instruction, time in program, age, race, arrests, etc.). Program effects over time estimated from the data of participants who had spent varying lengths of time in their respective programs before our assessments were taken.

Evaluating the Effectiveness of GGI  
(Continued)

Results: For the morale scale, there was a significant program effect ( $p < .05$ ) which indicated that GGI participants were more involved in and satisfied with their program than were participants in the non-GGI programs. For the self esteem scale, results showed no significant or marginally significant effects. For the internal-external scale, there was a marginally significant program by time-in-program interaction ( $p < .10$ ). This effect showed that GGI participants became more externally oriented over time, while non-GGI participants did not change over time. For the interpersonal measure, there was a marginally significant program effect ( $p < .20$ ) which indicated that GGI participants engaged in more positive interactions and less manipulative behavior than did participants in the non-GGI programs.

Interpretations & Conclusions: Marginally and conventionally significant effects were discussed in terms of five alternative interpretations (Campbell & Stanley, 1966): (a) a selection effect -- the GGI program was effective because only the "best residents" were selected for participation in it; (b) a Hawthorne effect - the GGI program was effective only because it was a "new program;" (c) a program effect -- the GGI program had a genuine effect on its participants that could not be attributed to other factors; (d) a selection x Hawthorne effect -- the findings were due to a combination of having a "new program" and selecting the "best residents" to participate in it; and (e) a selection x program effect -- the findings were due to a combination of selecting the "best residents" and having an effective program. Based on supplementary analyses and logical argument, it was concluded that: (a) results of the morale scale were probably due to a genuine (expected) program effect; (b) results on the internal-external scale were probably due to a genuine (unexpected) program effect; and (c) results on the interpersonal scale were probably due to a selection effect.

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PANEL 25

POLICE MANAGEMENT

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Rochester Study of Managing Criminal Investigations"  
James Bell, The Urban Institute, Washington,  
D. C.

## STUDYING POLICE DECENTRALIZATION IN CINCINNATI

Between 1971 and 1975, The Urban Institute was involved in the evaluation of a team policing program in Cincinnati, Ohio, funded by the Police Foundation. Team policing attempts to improve the quality of police service by introducing structural and normative changes within a police department. In Cincinnati, special emphasis was placed on the decentralization of authority and decision making to small, 20-60 man teams who were to be given a major say in how police service would be delivered in the neighborhoods to which they were assigned.

The team policing program was carried out as an experiment. The program was implemented in one portion of the city. The remainder of the city served as a comparison area--with police patrols organized in the usual 8-hour, rotating shifts, and responsible for large geographic areas. The major findings of the evaluation will be published in the spring by The Police Foundation. That report will discuss in full the results of the experiment. This paper provides an opportunity to reflect on some important issues somewhat peripheral to the evaluation of the team policing program:

- What is involved in managing a large-scale effort to decentralize a police department?
- What tools are available to make decentralization more manageable?

The police, through the implementation of COMSEC (Community Sector Team Policing), set out to decentralize the decision-making responsibility within the organization. Teams were to have broad discretion and responsibility which had normally resided with district and bureau-level commanders. Moreover, patrolmen were to participate actively in decision making, to help set team goals, and to engage in a broader range of police activities than had previously been authorized. The evaluation attempted to determine the extent to which a participatory management style developed, whether broader roles were established, and whether officers were satisfied with the changes.

The monitoring of the decentralization suggested several generalizations concerning police department reorganization efforts:

Studying Police Decentralization in Cincinnati  
(Continued)

- Decentralization of some activities could seemingly not be accomplished without centralization of other activities and functions.
- The changes brought about by team policing, even in the context of "an experiment," were difficult to circumscribe. Moreover, many seemingly peripheral procedures were questioned and examined in the process of implementing the experiment.
- The change to decentralized policing was supported by line police officers to a greater extent than anticipated. However, it created problems for upper level middle management (captains and lieutenant colonels).
- Finally, the ongoing management of team policing turned out to be a more difficult task than implementation of the program.

To maintain a team policing effort over an extended period of time, and to defend it against various pressures to return to "business as usual," police administrators may require new tools for monitoring and evaluating their organization. One of these tools, periodic anonymous surveys of police officers, was developed for program evaluation. However, experience in Cincinnati suggests that such instruments may provide important data to police managers who are determined to give team policing a serious try in their departments.

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TEAM POLICING AND TRADITIONAL PATROL:  
UNANSWERED QUESTIONS

The proposed paper will briefly review the community and organizational issues which have stimulated interest in team policing and will consider types of study which could help to resolve undetermined issues of team policing effectiveness. The thesis of the paper will be that design options for studying team policing are not only suitable for studying police patrol issues generally, but that these general problems of police patrol are the appropriate framework for further team policing studies. The basis for the discussion will be the LEAA National Evaluation Program (NEP) review of team policing projects.

The NEP review identified three general aspects of team policing involving separable research problems requiring further study: (1) management and implementation of team policing, (2) patrol operations efficiency, and (3) measurement of program impact upon crime and police corruption.

Program management and implementation studies should examine problems of team leadership, management systems development, and officer role change. Patrol operations studies should consider the cost-effectiveness of alternative methods for organizing delivery of patrol and investigative services and for achieving community relations impact. To evaluate team policing program impact upon crime and police corruption, preliminary methodological research is first required to develop reliable and cost-effective evaluative tools. Specific examples of studies meeting needs in these areas will be presented.

Properly conducted evaluative studies involving relatively few departments could produce substantial national benefits for the management of police patrol. However, the conduct of rigorously-designed evaluative studies in small or medium-sized departments is not likely to have comparable benefits relative to the costs for the administrators of those departments. The planning of further studies should thus explicitly consider the need to redress imbalances in the distribution

Team Policing and Traditional Patrol:  
Unanswered Questions  
(Continued)

of the benefits and costs of evaluation studies at the national and program levels.

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## PLAIN FACTS THROUGH QUANTITATIVE ANALYSIS

Using extreme value theory, it was demonstrated that the existing police emergency service delivery system in a major metropolitan county could be expected to respond as much as an hour late to citizens' requests for service. The expectation was close to certainty that this extreme delay would occur within the period of one month. Quantitative proof of this unacceptable level of performance led to an energetic program of improvement. The analytic activity is believed to represent the first example of the application of extreme value theory to the police patrol activity.

The approach involved use of extreme value theory applied to measurements of the time consumed in the various sequential operations taking place in the delivery of emergency services by the Baltimore County Police Department. On the basis of sample measurements predictions were made concerning the frequency with which very long delays could be expected.

Extreme value theory differs markedly from the generally accepted approach to police patrol response analysis which emphasizes the measurement of average rather than extreme delay response. The emphasis upon extreme delay is useful in highlighting gross shortcomings which can contribute to breakdown in the delivery of services with its resultant catastrophic implications.

The technique is believed to be useful because it makes it possible to present quantitative proof of the potentially serious nature of existing shortcomings and thus enables the consultant to identify these deficiencies without loss of objectivity.

It was obvious from the start of the evaluation activity that there were serious operational problems. The analytic technique chosen permitted the demonstration that corresponding long delays were actually occurring and could be expected to reoccur. The following were among some of the situations of concern:

- The dispatcher frequently couldn't locate the particular police cars which were reported in service and available. It sometimes took fifteen to twenty minutes to reach the car.
- There was a great deal of ambiguity of street names which made it difficult to pinpoint the exact address of the emergency. For example, there might be a Rose Street, a Rose Avenue,

Plain Facts Through Quantitative Analysis  
(Continued)

and a Rose Drive. In addition, the number given might be the street number or a post office box number. People calling in the emergencies frequently didn't know or didn't give the street, avenue, or drive part of the name. This situation exists to some extent in all jurisdictions but is particularly serious in large counties like Baltimore County.

- The supervisor couldn't see the dispatchers at their consoles because of his physical position in the dispatch room. (The center was L-shaped and the dispatch consoles were in a separate room from the telephone operators and location look-up people.) This situation had existed from some time and proof was required that the physical arrangement was adversely affecting operations.
- The communications center was used for a lunch room and for coffee breaks by the rest of the police force. As a result, there was much noise and moving about, and the off-duty police tended to get into conversations with the on-duty operators, distracting them from their work. Since this situation had existed for years and there was no alternate area available for eating and relaxing, it was awkward for the consultant to suggest a change unless he could show the effect of the practice upon delivery of services.

The cooperation and responsiveness of the Baltimore County Police personnel throughout the measurement program was excellent and improvements were already being effected before the final report was complete.

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THE CRIMINAL INVESTIGATION PROCESS

This paper reports on an analysis of the criminal investigation process in municipal and county police departments using data generated by a national survey, interviews and observations in more than 25 police agencies, and samples of completed case records. Topics covered include: how investigators spend their time; how cases are solved; the collection and processing of physical evidence; victim satisfaction; investigation thoroughness for prosecution decision making; and investigative strike forces.

The paper will discuss the methodology employed in the study, the findings and recommendations developed, and the reaction of police agencies to the report.

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AN EVALUATION OF CIVILIAN AIDES  
IN WORCESTER, MASSACHUSETTS

The provision of public services in an urban environment has become increasingly burdensome, as demand has outstripped the potential of local government to provide such services. One way of minimizing the burden is to utilize more cost effective resources. In the area of police services, several major U.S. cities are beginning to utilize police service aides (i. e., unarmed but uniformed civilians in marked cruisers) to perform duties traditionally assigned to sworn officers. This paper presents a detailed evaluation of the experience of one such city. The presentation on police service aides includes information concerning their effectiveness in freeing up time for sworn officers; their capacity to perform different duties; their impact on and acceptance by the sworn officers, as well as by the community; and their morale, hopes and aspirations.

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PANEL 26

USING MANAGEMENT INFORMATION SYSTEMS  
IN EVALUATION

## PROJECT ARSON DETECTION AND IDENTIFICATION

Arson is the fastest growing crime in America. Nationwide, the number of suspicious fires has more than doubled since the beginning of the decade. Most urban fire chiefs agree that well over half the fires they fight today are of suspicious origin.

This year the Insurance Service Office estimates that total arson losses will exceed \$4 billion. In 1970, the losses were estimated to be \$2 billion. The Insurance Information Institute reports that it has become extremely profitable to burn your building in recent years. From 1973 to 1974, insurance company payments for fire losses increased by 75 percent. There is little doubt that arson for profit is the primary motive today.

The difficulty in detecting arson has also made it an attractive risk for many caught in a financial squeeze. Fewer than half of all suspicious fires are fully investigated, and only a fraction of those investigations result in arrests and convictions.

The problem is not only that it is difficult to detect arson, but that most local fire officials have not been trained adequately in fire investigation. Another major problem is lack of reliable data about arson, and the absence of constructive data analysis. We know that there are arsonists who act out of vengeance, sex deviates who commit arson, and others who are simply seeking attention, but no specific behavioral patterns have been established.

Project Arson Detection and Identification in San Francisco has made significant strides toward producing an accurate and reliable data base for arson investigation. This project designed and implemented a computerized management information system which produces instantaneous on-line information on arson incidents, modus operandi, victims involved, and provides access to other law enforcement and criminal justice information systems. The project also included programs to encourage citizens to be on the alert for arson.

This project has created one of the most innovative systems in the country and has addressed itself to factors never before considered. This is especially impressive when \$154,000 was invested, a minimal figure when compared to the cost of other modern management information systems. The creativity and cost feasibility of this project make it exemplary for program dissemination and replication.

Project Arson Detection and Identification . . . cont.

The timeliness of evaluating anti-arson programs could never be more urgent than now. The National Fire Prevention and Control Administration is currently urging the F.B.I. to reclassify arson as a major or Part I crime. Arson is presently classified as a Part II crime, which means that police departments are not required to report it. Simultaneously, an amendment to the LEAA Act which would add arson to the list of anti-crime programs which could be funded has been introduced to Congress by Representative Stephen J. Solary (D-Brooklyn). The Project Arson Detection and Identification Evaluation Report describes program details.

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THE POTENTIAL IMPACT OF INFORMATION SYSTEMS  
IN EVALUATING PROSECUTION AND COURT POLICY

The criminal justice system has been criticized for its failure to control crime. Various court and prosecution practices, including what the public perceives as lenient bail and sentencing, excessive plea bargaining, and delay, have been singled out as contributing to this lack of control.

Among the problems inhibiting any improvement in system performance has been the lack of statistical information that would reveal patterns of criminal and related citizen behavior, describe how the present interagency system is operating in processing arrestees and their cases, and help detect and explain problems such as why so many arrests do not result in conviction. An information system that could generate such statistics periodically, including the ability to track changes over time, could help court and prosecution policymakers evaluate the impact of their policies and programs.

One example of such an information system, PROMIS (Prosecutor's Management Information System), designed to support daily operations management of the prosecutor, and to provide necessary research and evaluation data, was developed and installed in the U.S. Attorney's Office of the District of Columbia in 1971. Since then, the system has accumulated almost 100,000 records of criminal cases, including data on criminal incident, the arrest, the defendant, victims and witnesses, the flow of cases through the judicial process, and the decisions made in the case by the prosecutor and court. The PROMIS Research Project is a demonstration of how such automated case management information systems can be utilized to provide timely information by which judicial administrators may evaluate the impact of their decisions.

The PROMIS Research Project has analyzed police operations from the court perspective, prosecution operations from the standpoint of their potential impact on crime control, and criminal justice system effectiveness from the victim's vantage point. These and several other studies, such as recidivism, court delay, bail and sentencing, will be described to illustrate their relevance in court and prosecution policy evaluation.

The paper discusses some problems in gaining acceptance of evaluative research findings, but suggests the power of multijurisdic-

The Potential Impact of Information Systems in Evaluating Prosecution  
and Court Policy  
(Continued)

tional comparisons in overcoming defensiveness on the part of the agency whose practices are being evaluated. Finally, the paper considers the status and implications of an evolving multijurisdictional data base that will provide comparable court and prosecution data for evaluative purposes.

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USE OF AN ON-LINE COMPUTER SYSTEM  
FOR PROGRAM EVALUATION

I. Introduction

In 1972, the Judicial Department began plans for an extensive on-line court and probation system, linked by terminals in each district to the main computer in Denver. Up until early 1976 only, cursory information concerning probation was received through a monthly batch system. Any studies which were done regarding success or failure of probation were one-shot, and as such, temporally bound. In early 1976, 10 districts' juvenile probation departments were put "on-line", and started maintaining computerized case files on their clients.

With the implementation of this system, a need was seen to create a means for measuring critical variables concerning program effectiveness in probation. The most valuable aspect of using an on-line computer system is that information is constantly updated; therefore, measurements can be made at various intervals, and trends can be noted. This fact helps in dealing with one of the biggest problems in evaluation research - change.

II. The Program Panel: Elements

The program panel has two main objectives:

1) To establish a consistent data collection system to measure program effectiveness for different districts and statewide; and

2) To determine both the short and long-range effects of treatment programs in probation.

Two records are included in a case file which captures the necessary information. These records are problem oriented, and deal with factors involving problem resolution. The W record contains information concerning each problem and the date, the current status, and the final status and date. The X record has treatment information for each problem area: a) what agency was involved, b) what service was provided, c) the date the agency was involved, d) the date the service was discontinued, e) the service level provided, f) the client participation level, g) the termination reason, and h) the result if any. Any combination of agencies, services, and problem areas is possible.

## Use of an On-Line Computer System for Program Evaluation (Continued)

All information is recorded by the probation officer when a change occurs, such as a change in service, or status, or agency. Items e, f, g, and h in the X record are entered after the service is terminated, and reflect the counselor's subjective opinion as to the overall situation of those variables.

### III. The Program Panel: Output

Currently output programs have been generated from this information. The first two are managerial in nature, providing requested information to the departments. The first lists the agencies where children are placed, and the second lists kinds of services and service levels by agency. The third and fourth are an attempt at correlational analyses: the third program is concerned with the relationships between client participation and termination reasons, for each case type, and the fourth program measures changes in the status of a problem, and the interaction between that and case type, service level, and client participation. There are two more programs being requested. The first will measure the relationship between program participation and police contacts while on probation, and the second concerns program participation and re-entry into the system following probation termination. Finally, the use of the panel will allow for eventual "quasi-experimental" (Campbell and Stanley, 1970) static group comparisons -- to determine if probation with treatment programs is truly more effective for preventing further criminal behavior than probation without treatment programs. The budgeting and planning implications of this are immense.

### IV. Present Situation

After lengthy consultation with the field staff, codes have been developed and incorporated into the probation system manual. As of December 1, data entry will begin. Two departments have agreed to input information to test the system. Three output programs have been designed and tested on a dummy caseload.

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## SYSTEMATIC OPERATIONAL PROGRAMS EVALUATION

The need for increased program evaluation in criminal justice agencies is nearly universally acknowledged. Yet, administrators are often reluctant to commit more resources to program evaluation because few evaluation efforts provide the information that would be most useful to administrators. The traditional approach to program evaluation is based on academic experimental model. It is designed to test the effect of an experimental treatment against random chance. This model does not match the conditions of criminal justice programs. It is frequently impossible in criminal justice programming to randomly assign subjects to different programs or to a program of no treatment. Approximating an experimental design in criminal justice usually requires an expensive multi-year project. In order to meet the conditions of experimental designs, the agencies standard operating procedures usually must be modified.

This traditional approach is of very limited use to criminal justice administrators. The results are seldom timely -- such studies often take years. Additionally, the results are based on the somewhat artificial conditions of the experiment. The administrator doesn't know if they apply to a program in normal operation. Finally, each experimental evaluation is uniquely designed which makes comparisons between the programs evaluated extremely hazardous.

The great need in program evaluation is to incorporate evaluations into the agency's standard operating procedures (SOP). This is the approach of systematic operational programs evaluation. It provides for the systematic (as opposed to piecemeal) evaluation of programs in their normal operating environment. It eliminates the distortions and inconveniences that are introduced by experimenter intervention.

The key to this new evaluation model is a complete offender based information system which includes effectiveness measures. The Arizona OBSCIS system, for an example, contains information describing each inmate in the Arizona State Correctional system and contains information on all of the major programs that he participates in. A follow-up check on each former inmate's status and any new arrest contained in CCH is conducted one, two, and three years after his institutional release. Thus, the Arizona OBSCIS data base includes all of the information needed to conduct recidivism studies on any program operated by the Arizona Department of Corrections.

**CONTINUED**

**3 OF 4**

## Systematic Operational Programs Evaluation (Continued)

With a consolidated data base, there is no longer the need to maintain a separate data collection process for the Uniform Parole Reports or for special studies. This system provides two important advantages for program evaluation: The data collection is uniform for all programs and the evaluative data is available for analysis as soon as the evaluation question is determined.

If, for example, the need to compare the effectiveness of work release programs to halfway house programs arose, the evaluator could immediately obtain comparable measures of recidivism for all the inmates who had been involved in work release programs and for all of the inmates who had been involved in halfway house programs. The data base would also contain efficient information about the inmate in each program that the researcher could go beyond the traditional conclusion of which program is better by determining which program is better for whom.

If the criminal justice agencies are to make rational program planning decisions, they must have useful program evaluation information at the time the program planning decisions are made. This requires an evaluation strategy tailored to the needs of operating agencies rather than one tailored to the needs of theoretical research. Computerized information systems provide the tool which criminal justice agencies can use to incorporate program evaluations into their standard operational procedures. Both administrators and researchers must affirmatively support systematic operational program evaluation if this new tool is to reach its potential.

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PANEL 27

EVALUATING COMPLEX PROGRAMS:  
CROSS-SYSTEM APPROACHES

ASSESSING THE PERFORMANCE OF ATTORNEYS  
AS ACTIVISTS: AN EVALUATION OF THE  
AMERICAN BAR ASSOCIATION'S BASICS PROGRAM

Our paper will discuss in some detail the manner in which we sought to determine the effectiveness of the BASICS (Bar Association Support to Improve Correctional Services) Program. The program was mounted by the American Bar Association with funding of \$1 million from the Clark Foundation. Its aims were to involve bar associations more directly and more effectively in criminal justice reforms. A rather unique operational procedure was followed, involving a planning phase during which a large number of associations were given seed money to be used to formulate sophisticated research and action efforts. This phase was followed by a second period in which a selected number of the associations were funded at higher levels to perform the tasks they had set forward on the basis of their earlier work.

Our task was to determine, among other things, whether the method employed by the administrators of the BASICS Program was effective and efficient in mobilizing bar association interest in the criminal justice field. We also assessed the Program's success in achieving a number of other goals established for the BASICS endeavor, such as the involvement of minority bars, the inclusion of persons other than attorneys in the projects, and the mobilization of resources within the associations to meet the specified BASICS goals.

At the National Conference on Criminal Justice Evaluation, we would like to discuss in particular the manner in which we set about determining the impact of the program, and to report some of our conclusions so that other groups seeking to establish far-reaching efforts such as BASICS might benefit from both achievements and errors in this pioneering effort. We believe that an unusual degree of rapport was established between the evaluators and the BASICS staff and we have a number of ideas to offer on how this was achieved without compromising the integrity of the evaluative effort.

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Panel 27 - Evaluating Complex  
Programs: Cross-System  
Approaches

META-SYSTEM EVALUATION: CAPACITY BUILDING

Capacity building, which is the operationalization of the national youth strategy supported by the Office of Youth Development since 1972, should be viewed on at least two levels. It is:

1. An attempt for higher levels of government to provide lower levels of government with greater technology which can help to objectify local decision-making, specifically, decision-making with regard to allocations of funds to youth services; and
2. Application of this technology to the entire youth service system of a community, county, or region with regard to the effects various youth service programs are having on youth and delinquency in those areas.

During the last few years, professionals have fairly consistently rejected medical models of delinquency which are oriented towards individual delinquents in favor of models which deal with the impact our institutionalized system has on youth. The national youth strategy and capacity building processes are operationalizations of the recognition of the importance of the interaction between person and institution.

The frame of reference is one of evaluating the impact of institutional policies and programs on alienation, negative labeling and access to desirable social roles among our youth. Rather than dealing with these variables on a global level, which might be well suited for academic purposes, the projects study these variables as they operate in a community, county, or region.

This paper outlines the development of the national youth strategy and the theories upon which it is based. Studies which validated these theories and other studies which relate to the process are described briefly. Discussion follows of the problems and pitfalls of funding and implementing such technology in political settings in which funding allocation decisions are made. The paper continues with summaries of some changes which have taken place in local youth service systems as a result of these projects. The concluding section deals with the lessons learned from experiences with these projects and with the future of large-system evaluations.

Meta-System Evaluation: Capacity Building  
(Continued)

The current emphasis in politics on accountability, cost effectiveness, coordination and non-duplication of services calls for development of new technology to objectively view systems along these parameters. While the activities known as "Capacity Building" are not the only avenue for exploring these parameters, they are a comprehensive attempt at making these concepts, which often receive little more than lip service, functional in a specific locale. Built into capacity building is a structure to assure public and political support of the recommendations generated in the process.

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TRACKING OFFENDERS THROUGH THE  
JUVENILE JUSTICE SYSTEM

This research project was designed to track a representative sample of juvenile offenders (juvenile delinquents and status offenders) through the Suffolk County juvenile justice system. As part of a comprehensive evaluation of the juvenile justice system, the tracking project followed a sample of juveniles from their entry into the system through the final outcome of their cases. The study provides accurate data describing the following: 1) characteristics of the involved youth population; 2) time lags in the system; 3) points of diversion and characteristics of diverted youth; 4) rate of recidivism and characteristics of recidivists; and 5) the relationship of youth characteristics, nature of offense and case outcome. Of particular significance for professionals in the field is the methodology employed in this evaluation and the practical value of developing a research design to examine the juvenile justice system as a whole, rather than examining in isolation individual components of the system.

Using a systematic, interpenetrating sampling technique, a sample of 533 juvenile offenders was selected from the 3232 youngsters processed through Probation Intake in 1975. Permission was obtained for the investigators to have access to Suffolk County juvenile records in the following departments and agencies: Suffolk County Juvenile Services Section of the Police Department, Suffolk County Department of Probation, Suffolk County Family Court, and the New York State Division for Youth. Data were obtained from those sources for 430 cases of the original sample. Results presented in this paper are based on this sample of 430. (Subsequent research provided information regarding 88 of the 103 missing cases, which has since been added to the data base.)

Optical scanning sheets especially designed for the research project were utilized for data collection. Over 80 variables were examined in the study, including offender background characteristics, salient family information (e.g., education, personal history of social deviancy, income level and sources, and occupation), prior offenses and prior case outcomes for the offender, days spent in secure detention and other placements prior to current case outcome, and time lags between each phase of case processing. Data collection took place over a three month time span. Statistical analyses were performed using computer programs. The results of these analyses and the methodology employed are the main focus of the paper, which

Tracking Offenders Through the Juvenile Justice System  
(Continued)

provides an overview of the sample and an evaluation of the juvenile justice system in terms of how offender characteristics relate to case outcomes and duration of time offenders spend in the juvenile justice system prior to case outcome.

Suffolk County on Long Island has a combination of rural and suburban characteristics and, according to the New York State Division for Youth Statistics, is second in the state only to New York City counties for the rate and size of its juvenile offender population. Procedures and findings of this research project should, therefore, be of general interest and application to practitioners in the field of juvenile and criminal justice.

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ST. LOUIS HIGH IMPACT CRIME DISPLACEMENT STUDY

This report presents the findings of an extensive investigation of the relationship between geographic crime displacement and the High Impact Anti-Crime Program in the City of St. Louis during 1972 and 1973. Crime and arrest data were collected for the City of St. Louis plus 93 municipalities and unincorporated areas of St. Louis County to test empirically the major components of a hypothetical crime displacement scenario.

Crime data collected for several years before and for two years after the beginning of the Impact Program indicates that no substantial decrease in City-wide crime occurred in St. Louis during the first two years of the Impact Program. Significant crime increases were recorded in St. Louis County during both 1972 and 1973.

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Panel 27 - Evaluating Complex  
Programs: Cross-System  
Approaches

HIGH IMPACT ANTI-CRIME IN NEW ORLEANS

In 1972 when eight cities were designated as recipients of High Impact Anti-Crime Programs and received \$20 million each, New Orleans was the recipient of a \$3 million mini-impact grant. The Target Area Crime Specifics Program was developed to address the problem of juvenile crime, drug abuse, and rehabilitation and consisted of eleven separate program components, an administrative unit, and an evaluation component.

While much has been written about Impact programs, the New Orleans program has been generally overlooked. This paper will review the history, the programs, and the outcomes of this three-year experiment and will discuss any similarities between it and the Impact program. The Target Area Program not only was an experiment with pilot projects but also taught lessons in administration, implementation, and evaluation. Several salient variables, including the effect of the political process are used as organizing concepts to explain the experience.

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CRIMINAL JUSTICE SYSTEM CAPABILITY BUILDING:  
A SYSTEM-WIDE APPROACH IN LOCAL GOVERNMENT

This paper describes the setting, the implementation experience, and the initial monitoring and evaluation results of Onondaga County's approach to system-wide CJS evaluation. It provides useful information and ideas for the establishment of a comprehensive evaluation program at the local level. Using the case study approach, the paper demonstrates that the lack of an integrated monitoring and evaluation process is a major problem which constrains impact assessment and contributes to fragmented, duplicative, and inefficient CJS efforts. Onondaga County, New York, a highly urbanized area with a half million residents, engages in a full range of Criminal Justice activities. CJS yearly expenditures (excluding town and village police departments) total approximately \$23 million. The County Criminal Justice Planning and Coordination Unit, responsible for planning, monitoring and evaluation funded CJS projects, is the focal organization for the system-wide evaluation effort.

The objectives of system-wide evaluation are: (1) to assist CJS personnel at various levels clarify and agree upon measurable objectives; and (2) to provide operational, middle level and policy personnel with timely, appropriate information (e. g., expected cost and impact data) on which to base ongoing program decisions. This evaluation approach assumes that CJS activities are dynamic and active. Thus, evaluation needs to target and work with projects at different stages of their development -- the CJS must be viewed as a highly interrelated flow of activities which all combine to bring about community impact.

A series of "assessment ratios" is developed to monitor and evaluate county-wide CJS performance. The denominators of the ratios are system-wide indicators used to measure the CJS process (numbers of complaints, arrests, charges-filed, recidivism-rates, etc.). These denominators are assigned to numerators generated for specific projects (number of services, costs, etc.). The result is a series of bilevel and interchangeable ratios applicable to various CJS projects. For example, a Victim-Witness Project, funded by the LEAA grant, is being monitored with these ratios. The monitoring design provided the following project specific information: (1) The availability of the services; (2) The visibility of services; (3) Victim access to services; (4) Program-contact efforts; and (5) Identity of

Criminal Justice System Capability Building: A System-Wide Approach ...  
(Continued)

the entire client population. These numerators form performance ratios based on recidivism rates.

Another example is the Probation Outreach Project which was evaluated following its second year of operation using system-wide assessment ratios.

The evaluation design yielded the following information: (1) The costs of Outreach services compared to traditional services; and (2) The level of probation services being offered. Such information provided a basis for system-wide, comparative impact analysis and measurement.

The Onondaga County approach to CJS evaluation capability building appears to have applicability for other local governmental units. Experience to date suggests that the approach is feasible, is decision oriented, and perhaps most importantly, can be implemented without major personnel and funding disruptions. Moreover, this design is both compatible with and supportive of conventional project evaluation strategies. These characteristics allow gradual implementation, thereby minimizing the costs and negative effects which often accompany evaluation efforts. As with other approaches the ultimate ability of a local government unit to implement this evaluation scheme will depend upon local conditions such as stage of CJS program development, political support for individual projects, demand for evaluative research results by the legislative branch, etc. In conclusion, the most salient feature of this approach is its ability to respond flexibly to changing conditions. Although some methodological rigor is sacrificed in not focusing exclusively on experimental control design our initial experience demonstrates that this type of evaluation allows government to be more responsive in its provision of cost-effective CJS services.

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### ATLANTA'S HIGH IMPACT ANTI-CRIME PROGRAM

The Impact program was designed to reduce the occurrences of serious crimes with the overall goal being set as a certain percent reduction in Impact Crimes (reported rape, homicide, burglary, robbery, and aggravated assault offenses) i.e., a five percent reduction at the end of two years and twenty percent at the end of five years. Individual impact projects were also to have had crime reduction goals, measured in the same manner, these were to contribute to the overall five to twenty percent reduction in Impact Crime. For example, an anti-robbery project funded in the beginning of 1973 had as its goal a twenty percent reduction in reported robbery at the end of two years of operation, the success or failure of the project being measured by the total number of robberies reported during the operation period as compared to the previous year.

The setting of quantifiable goals and the subsequent evaluation of project performance measured in terms of mere crime reduction over specific prior periods did not prove to be a good indicator of project success or failure. One factor contributing to the ambiguous evaluation outcomes is the absence of the trends the crimes were following at the inception of the projects. If robberies were increasing at certain annual rates and at the end of the project the rate of increase was reduced then the program did have a positive effect. Similarly, if robberies were decreasing at a certain rate and the reduction was not accelerated by the project then technically the program did not have any significant positive effect. The evaluation methodology should first deal with the question of "what can be expected in the crime rate had the project not been in operation?"

The whole subject of crime forecasting centers around this issue. It is therefore imperative that some sort of forecasting technique be used for evaluating any crime reduction program. In the short run (three to four years), time-series models using monthly data are the most appropriate. If sufficient historical data are available a time-series model with seasonal factors or the Box - Jenkins model are best suited for the purpose; otherwise, a linear projection will suffice. (A backward forecast for the months for which data are available can be done to check the accuracy of the models.)

Once a forecast is made of the months during which the project is expected to operate, the forecasted data become the base figures against

Atlanta's High Impact Anti-Crime Program  
(Continued)

which the project can be evaluated. After completion of the program, the data obtained from the project period is added to the original data base and a new trend line is estimated. The difference in the rates of changes between the original and the new trend lines is the net effect of the project. On many crime reduction projects (e.g. the Anti-Robbery) quantitative measures of the operations by month are available; for example, the number of stakeout and decoy operations undertaken each month. These operations can be correlated with the number of actual reductions (measured in terms of differences between the forecasted and actual number of reported incidences) to measure which particular type of operation was most effective.

The correlation analysis between reduction in reported incidences and the operation can be used as input for evaluating the cost benefit aspect of the program. This can tell cost per unit of reduction in reported offense and can show the marginal benefit (in terms of crime reduction) that can be obtained by expanding a dollar unit to each operation of the project.

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PANEL 28

JUVENILE DELINQUENCY PROGRAMS

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"A Longitudinal Evaluation of a Police School Liaison Program"

Rodney Mulder, Urban Studies Institute and  
Donald Williams, Grand Valley State College,  
Allendale, Michigan

THE ENVIRONMENTAL ROLES OF  
DELINQUENCY PREVENTION PROGRAMS

In order to fully understand the operations of delinquency prevention programs, it is necessary to examine not only their internal processes and the ways in which staff relate to clients, but also the ways in which the programs interact with the larger systems of which they are a part. Unlike correctional programs that have a legally defined population and often a self-contained program, delinquency prevention necessarily takes place in a rather amorphous network of interdependent agencies and community groups. Many of these agencies vary widely in philosophy and operating style and intervention strategies are often vague.

The author has been involved during the past year in the evaluation of a delinquency prevention program in South Philadelphia. He has developed a typology of delinquency prevention programs based on the different roles or functions that a program may perform within the community. The typology is based on two dimensions. The first is the level at which the program attempts to intervene; the individual or institutional level. The second is the extent to which the program is directly involved in bringing about change or plays a more indirect or mediating role. This leads to four distinct types: the direct service provider, the service broker, the planner and coordinator, and the network facilitator. A given program will choose to take on one or more of these roles, although programs trying to take on more than one may be faced with major role conflicts, as occurred in the particular program under study.

It is hypothesized that the different types of programs will have different perceptions of the environment in which they are situated and will develop different patterns of interaction with other groups or organizations. They will also make use of different strategies for managing relationships with their environment. These strategies include use of personal networks, formal exchange of information, standardized procedures, written agreements, creation of liaison roles, and creation of temporary or permanent planning and problem solving groups.

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FAMILY THERAPY WITH STATUS OFFENDER FAMILIES  
AT A CHILD WELFARE AGENCY

This paper is a report of a pilot project\* initiated in York, Pennsylvania funded by the Governor's Justice Commission. Family therapy services are provided to the Children's Services of York, a child welfare agency, to work with status offender youths i. e., incorrigibles, runaways and truants, and their families with the dual endeavors of dealing effectively with the problem which results in the youth getting into trouble and reducing the state and county's cost of placement of the youth in foster homes, group homes and institutions.

The paper discusses the results of the program and discoveries made about the process of working with this population. The form of intervention which includes the context of the family of the youth is emphasized. Ways of evaluation are suggested which encompass a description of the framework of a particular agency's interaction with a youth on one level and the wider context of a community at another level.

A basic assumption of the program is that the unit to be changed for many of these young people is the family. The behavior of the child which results in a signal to community agencies to do something could accrue from stress factors within the family i. e., divorce or threat of it by parents, economic factors or the family might be going through a difficult reorganizing phase around a crisis. Agencies, while appreciating the difficult family situations, will resort to isolating the youth in a placement with the idea that change will occur in that way. The model of therapy incorporated in the program is oriented towards seeing the family interaction and dealing with the immediate problem. The project does not purport or spend the time to solve all of the family's problems.

An issue in evaluation is how to view the impact of a program without the use of a research model of control and non-control groups. A discovery made during the course of work under the program is that

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\* Law Enforcement Assistance Administration grant #SC/76/C/6-6/6/338

Family Therapy With Status Offender Families At a Child Welfare Agency --- Continued

the framework of an agency and community involvement with the youth, or the interface, would be a viable point of observation. The case histories of status offenders who were already institutionalized were scrutinized and it was seen that a sequence unfolds which reflects the movement from initial contact with the agency to eventual placement.

The sequences illustrate a pattern of placement in a detention center, group or foster home, return to a family, another placement and so forth. The particular pattern for each youth is unique and is a function of his circumstances as well as state and local resources at a particular time. On the community level a sequence can be described that reflects the framework of agency involvement, i. e., base service units of MH-MR programs, private and quasi-public clinics, and schools in dealing with the same youth and the class of status offender youths.

Planners and administrators of programs might be interested in the evaluation of the frameworks which are responsible for these young people. Working with the family structure would appear to be one way of cutting into patterns of placement which have young people going from one placement to another at a high cost to county and state jurisdictions.

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HELPING DELINQUENT DROPOUTS TO COPE:  
AN EVALUATION OF AN INNOVATIVE PROJECT

The Blue Mountain Action Council of Walla Walla, Washington began its Dropout Project with the goal of reducing the juvenile justice system contacts of its participants by 50 percent. The key elements in this project were part-time paid work experience with accompanying training in work habits and skills, educational upgrading through tutoring, personal and vocational counseling, and an informal, down to earth, working class (as opposed to professional or middle class) organizational climate in which low income school dropouts could be at ease. In order to determine whether LEAA funding should be continued for a third year, the author performed an evaluation study in late 1974 after the project had been in operation for approximately two and one-half years.

A full analysis was made of all records kept at the project. Additional data were provided by interviews with availability samples of program participants, staff members, board members, parents of participants, citizens for whom work projects were completed, and past board and staff members. Finally, data on juvenile justice system contacts were evaluated using a classical control group experimental design. Because the evaluation was performed after the fact, it was impossible to randomly assign subjects to the control and experimental groups before treatment. Instead, the evaluation took the form of an ex post facto design in which subjects were matched in the past using official records and then followed into the present. Since the control group was obtained from official records, all its members were treated by the Juvenile Department. Thus, the comparison in this report is between standard and innovative treatments rather than between innovative treatment and no treatment.

The control and experimental groups consisted of individuals matched on the variables of age, sex, and number of previous contacts with the juvenile justice system using the technique of frequency distribution matching. In carrying out the control-experimental group comparisons, total official contacts, serious contacts, non-serious delinquencies, and dependencies were included. In addition, each individual case was evaluated and judged to have shown improvement (post test over pretest), deterioration, or stability, and these judgments were compared for the experimental and control groups.

Helping Delinquent Dropouts to Cope:  
An Evaluation of an Innovative Project  
Continued

Because of the matching process, the experimental and control groups were approximately equivalent in their rates of juvenile justice system contacts during the pretest period. The post test also showed strong similarities between the performances of the experimental and control groups. In general, both groups seemed to decrease total contact rates, and rates for dependencies and non-serious delinquencies, but this was not true for serious delinquencies. While young people who participated in the project reduced their total rate of juvenile justice system contacts by 55 percent (thus achieving the goal of the project), their rate of non-serious contacts by 70 percent, and their rate of dependency contacts by 94 percent, their rate of serious contacts increased 55 percent. This was due essentially to the delinquent/criminal activities of several individuals who spent only the minimum of three months in the program during the first quarter of its operation. Corresponding data for the control group showed a 47 percent decrease in total contacts, 46 percent decrease in non-serious contacts, 68 percent decrease in dependency contacts, and 5 percent decrease in serious contacts.

The Dropout Project was effective with young men and women who were too alienated to be reached by the more conventional methods used by the Juvenile Department, Mental Health Center, and other social agencies. It dealt with their alienation and isolation directly by fostering a variety of social relations and work experiences. It did not decriminalize them if they were heavily into crime at the felony level. The Juvenile Department was less effective with alienated, less criminal youth, and recognized this by referring them to the Dropout Project. However, the limited sample investigated indicates that they were more successful with serious offenders, and arrested their slide into increased offenses. While they did not reduce the level of these serious offenses, they were able to break to some degree the development from delinquency into hard-core adult criminality.

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Panel 28 - Juvenile Delinquency  
Prevention

DIFFICULTIES IN EVALUATING COMMUNITY SITED  
DELINQUENCY PREVENTION PROGRAMS - THE BPLAY PROJECT

From January, 1971 through early 1974, a community based delinquency prevention program was implemented within a large suburban metropolitan area of the United States. This program, sponsored by a grant from the Center for Studies of Crime and Delinquency, National Institute of Mental Health, through the Institute for Behavioral Research, was designed to test the efficacy of behaviorally managed leisure-time activities of young adults (junior high school aged) in minimizing juvenile delinquency problem behaviors.

It was the intent of the researchers to primarily use comparisons of data collected from the county police department, the State Department of Juvenile Services and selected county schools as a means of both suggesting the times and locations of interventions as well as determining program effectiveness. Additional data, to be gathered by a project ethnographer, was to be evaluated to determine the effects of the program upon the attitudes of parents and the general community population toward teenage problem behaviors.

Changes and problems occurred during the initial stages of the project which confounded the proposed evaluation of the success of the project's efforts. Local political problems, problems inherent in the agency and school data collection and problems with data recording processes also contributed to the difficulties of evaluation.

The project's findings indicated that, in dealing with community based criminal justice programs, the variables affecting not only the outcome but even the day to day operations are so numerous as to become a trying experience for the investigators. However, several lessons learned appear to provide general guidance for future programs of this type and should be of value to other researchers and justice system program planners.

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EVALUATION METHODOLOGY IN A LARGE-SCALE PROGRAM FOR  
HIGH SCHOOL STUDENTS: DELINQUENCY, DRUG ABUSE  
AND ATTITUDE CHANGE

This paper summarizes research on over 1,000 cases spanning several years or more. The program on which research data were collected is addressed to the needs of high-school-aged adolescents. An extensive battery of biographic, demographic, attitudinal and psychological scales was employed to evaluate program effectiveness in a number of important target areas. These areas include: juvenile delinquency; drug abuse; attitudes toward parents, schools, school administrators and police. Specific information was gathered on patterns of drug abuse, type of drug, frequency of drug use, number of arrests and suspensions from school.

Traditional pre- and post-intervention research design was employed for the purposes of program evaluation. This paper presents a number of new techniques which point up deficiencies in the traditional group-comparison approach to evaluation. Issues such as the appropriate use of target variables, post-hoc analyses, and practical considerations in the use of control subjects are discussed.

New evaluation strategies are proposed, and concrete examples of data analysis techniques using these strategies are presented, using current project research data. The relation of first-hand experience with adolescents to design and conduct of evaluation are demonstrated.

Finally, the relation of length of funding to evaluation issues is discussed. Emphasis is given to the problem-oriented, problem-specific evaluation design. This paper proposes a context in which to interpret research results in the fields of drug abuse and delinquent behavior.

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PANEL 31

EVALUATING THE PUBLIC DEFENSE FUNCTION

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Legal Delivery Systems to Prisoners: A Preliminary Evaluation"

Geoffrey A. Alpert, University of Texas at Dallas

"Evaluation of the Legal Aid Society Defender Division, Cincinnati, Ohio"

Shelvin Singer, National Legal Aid and Defender Association, Chicago, Illinois

## STATISTICAL FAILURE AND SUBJECTIVE SUCCESS

A major problem of criminal justice evaluation has always been in the definition of success. A program may be a statistical failure or have no measurable success, yet the people involved in the program including its clients may believe the program is a success. Basically the problem is measuring and differentiating between subjective and objective evaluation.

Recently we completed an evaluation of a program of augmented legal defense and social work for the poor. The valuation used multiple techniques to measure its success. It was found that the program had no measurable impact on the court system, however, judges, clients (including those sentenced to prison) and project personnel believed the program had been a success overall.

The paper will first discuss problems in subjective and objective measures of program success. Next the court project and its evaluation will be described, and, finally the impact of the project and its evaluation will be demonstrated.

Throughout, the importance of multiple levels and measures of program evaluation and success will be stressed.

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ALTERNATIVE METHODS FOR EVALUATING  
INDIGENT DEFENSE SYSTEMS

Purpose of Paper:

The purpose of the paper is to present several alternative models for outcome evaluations of indigent defense systems that focus on Public Defender offices as well as other methods of delivering defense services.

The approach we have taken in defining an "effective" indigent defense program and in identifying the expected determinants of an effective program differs from a substantial portion of previous writing on indigent defense. The most common evaluation model defines an effective program in terms of program organizational and process characteristics. From this perspective, an indigent defense system is effective if it complies with the standards of program operation established by national groups such as the American Bar Association, the National Legal Aid and Defender's Society, and so on. In contrast, we define program effectiveness in relation to the outcomes or impacts. Organizational features or methods of providing defense services are not considered valid indicators of effectiveness unless there is objective scientific evidence demonstrating that these contribute to the program's ability to accomplish its goals.

Undoubtedly the national standards of program operation have improved the performance of many systems and there are excellent theoretical justifications for believing many of the national standards contribute to a program's ability to accomplish its goals. But an evaluation plan must go beyond a comparison of program operation with the ideal standards of operation and must establish the validity of the standards themselves. It should be recognized that indigent defense programs have multiple goals and that some standards of program operation are more apt to achieve one goal rather than another.

In the course of our work on indigent defense systems, we identified five goals that could be proposed for these programs. A comprehensive evaluation model would provide for the collection and analysis of data to evaluate a program in relation to each goal. The evaluation should seek to answer the following question: Which organizational and service delivery procedures, under what conditions, contribute to the accomplishment of which goals? The goals identified are:

Alternative Methods for Evaluating Indigent Defense Systems . . . cont.

1. To provide effective, high quality, representation to the poor;
2. To develop procedures for insuring that a fair determination of eligibility is made;
3. To have positive, rather than negative, impacts on the accused and on their inclination to avoid subsequent criminal behavior;
4. To maintain good relationships with the community and with relevant professional, public interest, and client groups within the community;
5. To be cost-effective in terms of achieving one or more of the above objectives for the lowest possible cost.

The major parts of the paper will contain evaluation plans consistent with each of these goals.

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BY WHAT CRITERIA DO YOU MEASURE THE EFFECTIVENESS  
OF A DEFENDER OFFICE

In measuring the effectiveness of anything it is necessary first to understand and analyze why something is being measured. In the case of a defender office, the effectiveness question may relate to fiscal management, quality of service, personnel relations, scope of services, public relations, or perhaps to interagency relations. Some of these factors may reveal inconsistencies. For example, an office may be very efficient in terms of keeping down costs and yet close scrutiny may reveal that cost efficiency was achieved at the expense of quality service. An effective "management" oriented director may be commended for the manner in which he carries out his daily functions in keeping every staff member in line and productive while personnel records may reflect extensive staff turnover.

The "why", therefore, must be clearly understood before criteria for measuring a defender office are established. It might appear obvious that the initiator of an evaluation request would be the one to determine the "why" and yet that is not always the case. More often than not, a request is sparked by a special interest group that succeeds in convincing a government agency that an evaluation is necessary. The interest and motives of these parties may differ sharply and their expectations with respect to the manner in which the evaluation is reported out may also differ. In short, the evaluation process may take on a particular perspective, depending on how the evaluators perceive community expectations.

It is submitted that an assessment visit to the defender office to be evaluated is an essential element in the evaluation process. It is necessary to obtain first hand a sense of the community with respect to the criminal justice system as well as with the client community and other local persons interested in defense service. The objective of such an assessment visit is to understand why the evaluation was sought and to at least consider possible ulterior motives that may have figured into the request.

An assessment visit does not guarantee complete understanding; nevertheless it does provide an excellent opportunity to come to grips with the operative realities.

When you know why the defender office is to be evaluated then criteria and methodology for the evaluation can be established.

By What Criteria Do You Measure the Effectiveness of a  
Defender Office . . . cont.

A defender office is service oriented and the service recipient is the indigent client. It would seem natural to suggest that the clients' comments should receive the greatest weight in determining whether the service provided was of good quality. We know, however, that all too often defendants are in fact found guilty in spite of a defender's best efforts and the views expressed by ex-clients are tainted by their personal circumstances. Clients' comments are certainly one criterion. Additional criteria of a subjective nature are:

A. Perceptions by:

1. Judiciary
2. Private Bar
3. Special Interest Groups
4. Law Enforcement Officials
5. Probation Department
6. Local ACLU, NAACP etc.
7. Elected Officials
8. Prosecutors

B. Local newspaper articles dealing with the public defender office and cases.

C. Interviewing Public Defender staff

Some objective criteria are:

1. Caseload/Attorney
2. Trial vs Plea rate
3. Conviction Rates
4. Ratio of Attorneys to investigative and clerical support staff
5. Law Library
6. Brief Bank

By What Criteria Do You Measure the Effectiveness of a  
Defender Office . . . cont.

7. Staff Meetings

Further Discussion Areas:

Methodological Approach

Consultant Credibility Factor

Reliability of Survey Instruments

Report Format

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Panel 31 - Evaluating the  
Public Defense Function

DEVELOPMENTAL HISTORY AS A METHOD OF  
ORGANIZATIONAL EVALUATION: A STUDY OF THE D. C.  
PUBLIC DEFENDER SERVICE, 1960 - 1975

The early years are as formative for an organization as for a human being. Sometimes the first leader is strong enough to leave his mark on successive generations of an organization. In most cases, however, the first leader is replaced by one of almost opposite qualities, and this process is repeated thereafter. Pareto referred to this as the "circulation of elites": innovative leaders (he called them Foxes) are replaced by Lions who are concerned with survival. Evaluation of a program or an organization, if it focuses on a narrower period of time, will almost completely misunderstand or misjudge the social processes that influence the matters under study. These social processes, such as leadership and power, are problematic insofar as they are dependent on changing circumstances both within the organization and between the organization and its environment.

An evaluation of the first fifteen years of the D. C. Public Defender Service is undertaken to illuminate the social processes involved in its delivery of services to its clients. Interviews with key personnel and an examination of the Agency's annual reports (budget, caseload, etc.) allows for a partial reconstruction of the crucial stages in the organization's developmental history. It is concluded that the delivery of defender services by the Agency has never been based upon the needs or desires of the Agency's indigent clients. Instead, the nature of defense services provided by the Agency has depended upon the changing leadership of the Agency and the changing "climate of opinion" of the D. C. legal community.

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PANEL 32

EVALUATION PARADIGMS: OTHER APPROACHES

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Conducting Evaluative Research and Implementing Its Results: A Dilemma for Both the Administrator and Researcher"

Denis Szabo, University of Montreal,  
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EXPERIMENTAL DESIGN AND CAUSAL ANALYSIS IN  
CRIMINAL JUSTICE EVALUATION

According to the Law Enforcement Assistance Administration, the goal of evaluation is to identify techniques that cause improvements in the criminal justice system, such as lower crime rates or reduced court backlogs. This goal assumes that evaluators can determine causation through social research.

The problem of causal analysis in social research is the subject of an extensive literature. One important work is Experimental and Quasi-Experimental Designs for Research, by Donald T. Campbell and Julian C. Stanley. The authors describe several experimental and quasi-experimental designs, and assess the strengths and weaknesses of each.

This paper attempts to show how Campbell and Stanley's quasi-experimental designs can be applied to criminal justice evaluation. Four issues are addressed. First, the main features of true experimental design and quasi-experimental design are discussed. Second, Campbell and Stanley's "threats to validity" are proposed as a guide for selecting appropriate designs in criminal justice evaluation. Next, the authors of this paper argue that studies of long periods of project activity are superior to studies of brief periods; therefore quasi-experimental time-series designs are proposed as the best framework for causal analysis. Finally, given the nature of criminal justice data, the authors propose that in many instances quasi-experimental designs can be applied in ex post facto research settings. In sum, for some criminal justice activities the ex post facto use of a time series design may be the only research method that permits causal analysis.

The paper attempts to help the practicing evaluator design effective research projects. The authors explain Campbell and Stanley's conceptual framework and show how it can be used to design field evaluations. Finally, the authors attempt to show that certain problems which Campbell and Stanley attribute to quasi-experimental designs often can be remedied by the creative use of ex post facto studies.

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MEETING THE DEMAND FOR REPEATING SUCCESSFUL  
CRIMINAL JUSTICE PROJECTS BY USING ECONOMICS

The criminology literature is presently in a muddle. Although a number of theories have been tested, the results are inconclusive and conflicting. One reason for this is that key explanatory variables have been left out of the analyses. These omissions explain why replications typically fail even if the same project tries to reproduce its own results.

Typically the instructions for replicating a study include such items as demographic descriptions of subjects, type of experimental procedure and so on. However, an important omission in such instructions for replicating a study is information about the economic stresses that the research team, the service delivery system, and the subjects themselves experience while the study was conducted.

The recent work of M. Harvey Brenner (1976) together with the work reported in Dohrenwend and Dohrenwend (1974) have documented the pervasive influence of stressful life events on behaviors under study. In addition to explicating a framework for testing these hypotheses concerning failures of replication, and their relation to the current muddle in criminology, this paper will present concrete results from a long term delinquency intervention project. It will also interpret the fluctuation in the effectiveness of this program in terms of changes in the unemployment rate. These results are discussed in terms of Dingman's (1969) "Scientific method and reproducibility of results." The authors show how this approach can serve to resolve the theoretical confusion in criminology by explaining and accounting for the conflicting results and failures to replicate. Also, the authors demonstrate why this approach has considerable practical merit in identifying variables which predict the circumstances under which a certain treatment can be expected to produce cost effective results. It is not contended that these variables are necessarily the cause of behavior change.

On a priori grounds, certain interventions are differentially vulnerable to certain types of stresses. Consider Glasser's Reality Therapy, emphasizing the individual's need to take full responsibility for his or her success or failure. This type of strategy is more credible in periods when the large majority of people can find jobs if

only they will persist than in periods of economic decline when considerable numbers of people with high discipline and strong motivation cannot find any kind of work whatsoever. The practical significance of this point is that economic stresses such as unemployment may have direct implications for the choice of treatment interventions.

In summary, this paper presents a testable hypothesis concerning replication and theoretical and practical utility. It tests this hypothesis using six years' results of differential sentencing of traffic violators.

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ETHNOGRAPHIC APPROACHES TO EVALUATION:  
THE MYTHS, PROMISES, AND PERILS OF  
QUALITATIVE EVALUATIVE RESEARCH DESIGNS  
FOR CRIMINAL JUSTICE

In recent years, social science research has witnessed three major developments - the development of a highly sophisticated, mathematically based methodology, its application in less than optimum settings (including evaluative settings), and a loss of some faith in causal logic and theory. These at least parallel developments have had to all face an almost official agenda in the social sciences that the more quantitative the approach the more meaningful, reliable and valid the findings. Yet this agenda has had its opponents, and many of these opponents have attempted to adapt textbook techniques to a less than orderly world. Many evaluators of social programs have been heard muttering as they "muddle through" this problem, "What we need are more creative, responsive research strategies!" One strategy that has lead a resurgence since this assessment is qualitative, ethnographic research.

However, even in policy and evaluation research, ethnographic approaches have had to overcome a major impediment. That impediment is the myth that hypothesis testing cannot be carried out via a qualitative strategy. The debate over this issue has revealed three types of hypotheses that can be addressed via qualitative approaches: deductive, inductive and abductive. The discussion of these three types of hypotheses, and the relevance of each to an ethnographic approach, has unfortunately overestimated the utility of quantitative, causal designs in the development, specification, and elaboration of hypotheses. The conventional discussion of the relevance of ethnographic strategies, and finally a reassessment of the myths and promises of ethnographic approaches. This reassessment argues that ethnographic research is a good strategy to provide exact causal process. Finally, some perils of the approach are noted - particularly the possibility that the impact of "socialization" may be overemphasized. The particular role and relevance of qualitative strategies to policy and evaluation research is also discussed.

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THE NEED FOR "HYBRID" EVALUATION MODELS  
IN MULTI-MODULE CRIMINAL JUSTICE PROJECTS

Even when evaluations are conducted more rigorously than usual, usually a single research design or a single evaluation model is used. In the case of criminal justice programs with multiple modules such as the Improved Misdemeanor Program for Administration and Case-flow (IMPAC), a single model for evaluation tends to be highly inadequate. This paper deals with the problems and difficulties of multi-module evaluation studies. Some problems are basic to all evaluation studies while some problems are unique to the multi-module. Different evaluation models and combinations of these models are presented which would be most appropriate in the evaluation of a program with multiple modules. The models are 1) "output" or "effort" evaluation, 2) "performance" or "effectiveness" or "outcome" evaluation, 3) "efficiency" or "cost benefit" or "cost effectiveness" or "cost utility" analysis, 4) "process" evaluation, and 5) "comparative" evaluation.

The selection and/or combination of appropriate models for evaluation of multi-module programs is discussed and illustrated in the context of an IMPAC pilot program with the following modules: 1) Police Citation System, 2) Court Summons System, 3) Prosecution Case Screening, 4) PROMIS, 5) Pretrial Release, 6) Short-Form Presentence, and 7) Selected Offender Probation.

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### A FRAMEWORK MODEL OF EVALUATION

There are two related purposes to which this paper is directed. First, to provide a framework for identifying and examining the relation between a) evaluation and related programmatic or administrative activities, e.g., planning and budgeting, program management, and implementation; b) evaluation and other forms of inquiry, e.g., research, systems analysis, monitoring, audit, measurement, and control; and c) evaluation and its variations, e.g., descriptive, retrospective, formative, and summative. Second, to provide a framework for identifying and examining a specific proposed or completed evaluation in order to a) understand its characteristics, what it is, what it claims, etc.; b) discover its problems, potential, and limitations; c) evaluate it in comparison to its proposed objectives or purposes; and d) compare it with similar evaluations.

The model uses an information or decision based framework in which all variables of interest are characterized as events in space and time; these events are "selected" for examination through identification of the observer (participant, actor, decision-point) and specification of his relationship to the event(s) in terms of the concepts of confidence and utility. As a primitive, or definitional model, it provides not only stability and a direct one-to-one relationship with real world phenomena but also flexibility in application to a wide variety of current problems in evaluation. The model itself is presented in verbal, mathematical, and graphical forms to facilitate its use.

The framework model is based on prior research and was developed, in part, during the course of carrying out a specific evaluation of an LEAA sponsored project.

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EVALUATING A COMMUNITY BASED DIVERSION PROJECT:  
A GENERAL SYSTEMS STRATEGY

According to the LEAA prescriptive package on evaluation of corrections:

evaluation is a procedure for ascertaining whether an event, process or situation (real or conceptualized) is better than another. The procedures may include steps for measuring 'how much better' and for explaining the reasons for the difference. 1

Aside from ascertaining what behavior constitutes an improvement over other behavior, evaluators are most often confronted with an inability to manipulate events, processes or situations in the field as they can in laboratory experiments. Most often program administrators or other authoritative persons will not allow denial of treatment to members of a control group, will not tolerate major changes in organizational operations for the purpose of experimental manipulation and most often require evaluations to be performed long after provisions for an effective experimental design could be constructed.

Application of general systems methodology provides a partial solution to many of these issues.<sup>2</sup> Application entails description of the structure of an organization, i. e., the specification of its component parts, their interrelationships and the functions of the organization, i. e., how does the organization operate to produce certain outcomes? Most importantly, such information can be acquired without imposing an investigatory framework which is alien to the organization itself.

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1 U.S. Department of Justice, LEAA, National Institute of Law Enforcement and Criminal Justice, Evaluation Research in Corrections: A Practical Guide, March 1975.

2 See Charles Rice, "A Model for the Empirical Study of a Large Social Organization," General Systems, Vol. VI, 1961, pp. 101-106 for a general statement of a systems approach to organizational behavior.

## Evaluating a Community Based Diversion Project; A General Systems Strategy . . . Continued

The specification of explicit system components serves as the basis for making and recording observations and comprises the initial stage in the development of the evaluation. Posing the question: for what purpose has this organization been created and maintained, helps identify specified output variables, i. e., the organizational objectives to which the organization is formally committed. Implicit unspecified system components are also sought, e. g., interest in career advancement, internal conflict, and can be obtained from perceptions of funding agencies, organizational personnel, clients, other related organizations, etc. Behavior which is concerned with the internal functioning of the system, i. e., the program, particularly of the processing of clients, falls under the general heading of system variables. Input variables refer to the intrusion of various factors related to how the organization operates, particularly in respect to output variables, i. e., the condition to be changed or maintained. For example, variation of the policies and performance of other organizations may be important because such organizations may serve as the source of clients, funds or vital information. More importantly perhaps, are changes in the attributes of the clients themselves if such attributes are related to whatever changes or lack of change is desired.

This design relies on the ability to relate input and systems measures (predictors of client behavior) to output measures (selected aspects of client behavior). Measures of this sort take account of the intrusion of predictors which exist apart from whatever efforts are taken by program personnel to reduce or dampen particular behavior patterns in a preferred direction. Unlike the quasi experiment there is no assumption that behavior changes among program clients are the exclusive result of program impact or that the lack of behavior change among non-clients results from the lack of program participation. However, it is hypothesized that both client and non-client behavior is related to some aspect of the system being studied. Therefore, it is possible to have some idea of the presence or absence of desired results as well as the possible source of such results.

Finally, we are concerned not only with identifying various relationships between predictor and output variables but also establishing the cost of maintaining such relationships. As resources are always limited for all programs it may be possible to identify the comparative cost of establishing and maintaining linkages between predictor and output variables.

Evaluating a Community Based Diversion Project: A General  
Systems Strategy... Continued

This abstract is based upon the general strategy undertaken in an evaluation of a diversion project for pre and post disposition offenders. The execution of the design and a description of its strengths and weaknesses comprises part of the final report.

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PANEL 33

IMPROVING EVALUATION USE

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Utilization of Evaluation by Federal Agencies"  
Eleanor Chelimsky, The MITRE Corporation,  
McLean, Virginia

## EVALUATION, FEEDBACK AND POLICY

Data-based decision making is developing rapidly in the face of inflationary costs and increasing service demands in all aspects of criminal justice. The development of policy, the selection of projects, the shaping of programs must insure that the greatest likelihood of increases in effectiveness is associated with the lowest expenditure of available resources. Research and evaluation have played a significant role along this line as illustrated by California's Probation Subsidy Program, early discharge from parole, and the short-term return program.

However, of potentially greater importance is the value of feedback evaluation of policy and programs as they become operational. Too often new programs or procedures are initiated, based either on solid research findings or intuitive humanitarian hunches, only to be disregarded for long periods in terms of impact or output. The feeling seems to be that since the operation was planned and implemented on sound principles, from the point of view of the administrator, it will obviously work out in practice. Many programs are in operation for a considerable period before evaluation is attempted. Needless to say, such late stage examination of outcome may well uncover conditions that are quite at variance with planned consequences. The devastation of such late return is that there is no way of undoing the inadequacies discovered. Thus, the more dynamic approach of ongoing evaluation feedback is advocated. A number of applications can be cited to illustrate the value of the interactive approach to evaluation. In this kind of an arrangement, the evaluation team and the program staff work together to determine if objectives are being achieved and if deviations are within acceptable limits. Thus corrective action can be suggested to get the entire operation reoriented toward achieving the goals originally defined.

A number of illustrative incidents will be cited, including short-term federally funded diversion projects, temporary community release programs, the California work unit parole programs and the monitoring of the actions of the California Parole Board.

The conclusions reached are that research and evaluation can make two distinct, although possibly of equal importance, contributions to policy decisions. One aspect is to develop a data-based approach to

Evaluation, Feedback and Policy . . . cont.

the planning and development of policy. The second approach is to wed evaluation feedback to operational and administrative staff during the implementation phase in order to insure that procedures are developing in a manner consistent with established plan as well as leading preliminarily toward anticipated outcomes. Such efforts should help avoid costly and non-productive misdirection of effort.

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FRAMING THE QUESTIONS IN CRIMINAL JUSTICE EVALUATION:  
MAYBE YOU CAN GET THERE FROM HERE IF YOU ASK THE  
RIGHT QUESTIONS

In several speeches and articles, Donald T. Campbell of Northwestern University suggests that in addition to the quantitative considerations, researchers and evaluators must take cognizance of the qualitative aspects of evaluation/research efforts. By quantitative, Campbell refers to the data collection and analysis elements of a research project, the numbers game; by qualitative, he means the design and proposed methodology of the study.

However, going one step further than Campbell, prior to designing the study, one must carefully consider another qualitative element: the questions of interest. The questions raised will set the tone for the design and for the subsequent study.

Very often the questions raised in evaluation efforts focus upon asking whether or not a specific treatment or program "works". However, questions of this nature are misdirected and misleading. Answers generated to this type of question only provide general indications of the efficacy of a particular approach. However, they do not confirm under what conditions the approach may be useful, helpful, effective, etc. for some population. Thus, in sharpening the focus of future evaluation efforts, we must discipline ourselves to ask the most appropriate questions at the outset, namely, "Under what conditions will the program be effective in attaining the desired or expected results?" Framing the initial questions in this manner allows us to specify a wide range of variables which may be varied (i. e.: either by direct manipulation or by selecting comparable sites) during the evaluation period. In addition, the results obtained may provide a more complete answer to the question of not only what works, but when it works the best, and for whom.

Elements of the presentation will include a discussion of what questions are and should be raised in an evaluation effort; the importance and impact on the direction of the study and potential audiences of asking these questions; a consideration of the "political" consequences of framing these questions; and strategies of designing and implementing evaluation efforts which address these questions. As a case study, the presentation will outline an evaluation effort currently supported through the Corrections Division of the Institute, the Evaluation of Restitution Programs. In developing the solicitation for this project, I conceptualized

## Framing the Questions in Criminal Justice Evaluation

(Continued)

the effort with the "under what conditions" question in mind. Thus, the presentation will delineate the questions raised in the evaluation approach how the design and methodology will address the questions, and the pitfalls inherent in the approach.

This case study will provide an example of an approach to a challenging evaluation area.

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WHAT WORKS IN CRIMINAL JUSTICE?  
SOME USES OF PROGRAM EVALUATION

Enormous amounts of time and effort have been spent in the past decade in an effort to determine what works in the field of criminal justice. Program evaluation has played an interesting role in these efforts. While most program evaluation is concerned simply with the extent to which a given project is able to reach its stated goals, hence adding little to our accumulated store of knowledge, there have been numerous instances in which evaluation has been focused on a particular project because the project involves the use of some treatment or intervention modality. It is in these cases, where the project is illustrative of some set of procedures which may have effectiveness of applicability elsewhere, that program evaluation holds the key to the vexing question of "what works."

Three currently employed styles or strategies of program evaluation are reviewed here, with particular reference to their ability to illuminate the question of "what works" in the criminal justice system. Finally, a fourth and new strategy is outlined. The thesis is advanced that increased program evaluation efforts are not needed. What is needed is greater attention to local system evaluation, particularly in combination with more sophisticated data collection.

The first of the three common program evaluation strategies is one which deals with the single case and in the best of all cases with the "critical experiment." Usually limited to a single program (even where that program is operating in several locations) it strives to say something definitive about the effectiveness of the modality in question and its applicability elsewhere. In exemplary instances, such as the income maintenance experiment, this kind of evaluation is built into the project at the outset thereby giving the evaluator far greater control over the kinds of data that can be retrieved. As a method it has all the advantages associated with intensive evaluation but often has limitations associated with the scope and generalizability. As a general strategy for assessing all programs, it is prohibitively expensive. After several years of supporting this approach the State Planning Agency in Pennsylvania, for example, is gradually turning to a more selective approach involving limited evaluation or the evaluation of multiple projects.

The second common strategy involves cluster evaluations. In such cases similar projects are grouped together for the purposes of

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evaluation. Here there are fewer problems of scope and generalizability. The design and implementation of this kind of evaluation, however, usually follows several years of project operation. Consequently, it is not uncommon to find wide divergence in goals and methods among projects which are nominally similar. Results from this approach, as measured by increased knowledge, have been disappointing (e.g. Rovner-Piecznik, 1974; Dixon and Wright, 1975). A plea for more and better evaluations is the typical result.

Finally, there is a third evaluation strategy -- often termed "an evaluation of evaluations" -- in which the principal interest is in compiling and analyzing the results of a whole gamut of prior studies on a single topic. Such an approach is exemplified by some of the studies supported by the National Science Foundation's RANN Program. One also thinks of the work of Adams (1975), Bailey (1966), Berkowitz (1973), and more recently that of Lipton, Martinson, and Wilks (1975). The latter work, despite damaging criticisms of methodology, did seem to offer some promise. The major follow-up study, however, has apparently been stalled and beset by the investigators' misgivings about the value of this kind of approach.

Each of these strategies is therefore seen to have its own set of problems. Moreover, none of these strategies adequately deals with the problem of transferability of findings. In part, this reflects a lack of attention to the social and political context in which the original program operated. In part, it reflects the fact that it is difficult to separate the effects of a modality from the effects of the individual project members involved.

We need not abandon the quest for an answer to "what works" but we might more fruitfully ask "what works in Dubuque" or any other specific locale. In asking this question we find ourselves shifting from an emphasis on outcome evaluation to system evaluation. Now, it is true that many such system evaluations have been started in the past few years, usually at the behest of the state or city planning agencies, and that few have had much success owing, in large part, to defects in data collection and in particular, to an over-reliance on official statistics. But these flaws can be corrected. One need not necessarily lose track of detailed outcomes in a general system evaluation.

Recently, in Philadelphia, we have experimented with using field surveys and cohort analysis in an effort to create the baseline data which will help to describe a certain criminal justice subsystem, in this case, the aftercare system which is comprised of a network of formal after-care services as well as the approximately 10,000 ex-prisoners

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released to Philadelphia each year.

To describe this system we conducted a survey of aftercare agencies and a survey of ex-offenders. The agency survey was directed at the 70 helping organizations most likely to be used by ex-prisoners. As part of this survey a sociometric measure was derived which permitted us to measure the "professional distance" between agencies. A Smallest Space Analysis then gave us a graphic representation of the interrelationships between agencies in the aftercare system. Indices were worked to measure the overall degree of coordination between agencies in the system.

The ex-offender survey, based on random sample of 300 released prisoners provided sample estimates for the occurrence of a wide variety of post release behavior. These included the frequency and type of various contacts with formal aftercare agencies, the frequency and outcome of referrals, as well as data on adjustment patterns involving informal sources of help. Recidivism data included not only official statistics on re-arrest and re-conviction but also figures on self-reported criminality.

Agencies can now use our data in a variety of ways. By inspecting the agency interrelationships, an organization can locate its position in the system relative to other groups. It can also determine how it stacks up with other agencies on such discrete measures as the percentage of clients with knowledge of the agency or the percentage using the agency.

Using the survey of ex-prisoners as baseline data enables the agencies in the network to determine how the characteristics of their clients compare with the characteristics of the total pool of possible clients. It also enables them to compare their success rates vis-a-vis other agencies whether these are measured in terms of client ratings or in terms of client behavior (e.g. recidivism, financial adjustment).

In effect, the availability of such data establishes system benchmarks and lessens the need for each agency to go through the burdensome (and often ineffective) process of creating comparison groups or control groups. Good baseline data can serve as a "comparison group" for many projects simultaneously.

Now such comparisons will not yield definite answers as to "what works," but they do provide a rough measuring-stick for determining what is working best in Philadelphia.

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The evaluators of the Pilot Cities Program recently concluded that "unless there is good reason to believe that a full scale evaluation will help answer important unresolved issues, it should not be conducted. To replace the full scale evaluation LEAA should develop routinely collected measures into an in-house evaluation process." The periodic use of sample surveys, within the framework of system modeling, can be a valuable adjunct to this approach.

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THE IMPACT OF EVALUATION ON PROGRAM DEVELOPMENT:  
AN ANALYSIS OF THE MONITORING FUNCTION OF THE  
MINNESOTA OMBUDSMAN FOR CORRECTIONS

In November 1974 the Project Evaluation Unit of the Minnesota Governor's Commission on Crime Prevention and Control issued an evaluation report of the Minnesota Ombudsman for Corrections Program. This paper assesses the impact of that evaluation report upon three separate policy-making units -- the ombudsman office, the department of corrections and the State Legislature. The manner in which the report was utilized by these agents is linked to a discussion of the need for a monitoring capability in the evaluative process. It is suggested that the ombudsman can fulfill this role by evaluating systems through investigation of individual complaints and by closely following the implementation of policy decisions. The role and function of the ombudsman as systems' monitor-evaluator is outlined. The relationship between the evaluative function and the monitoring function is linked to the literature on the nature of organizational process and structure.

The conclusions reached are: 1) Evaluation reports can have significant impact if properly utilized by decision-makers. 2) The dysfunctions of bureaucracy necessitate the addition of a monitoring function to the evaluative process. 3) The ombudsman can function as a monitor and as an evaluator.

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THE CONCEPTUALIZATION OF PROGRAM EVALUATION AND THE  
IDENTIFICATION OF PITFALLS IN SOME CURRENT EVALUATION  
EFFORTS

A critical area of misunderstanding and misinformation frequently encountered in current evaluation efforts in criminal justice is that program evaluation is a multifaceted concept dealing with several distinct and complex categories of questions. The problem is that many operational agencies deal with only one or two of these categories in undertaking evaluation research and are either unaware of or have chosen to ignore the broader implications of treating the full range of evaluation issues. As a result, program evaluation, when undertaken, is often incomplete and sometimes meaningless because of insufficient or inappropriate design of the evaluation research.

There are of course, instances when conditions such as limitations on data collection force a restrictive evaluation design, and something less than a treatment of all relevant evaluation issues becomes necessary. But in such instances, evaluation researchers must be careful to recognize the concomitant limitations on the kinds of conclusions that may be drawn.

This paper will discuss evaluation research problems in criminal justice in three steps. First, a typology of generic evaluation forms (or questions) will be constructed covering the conceptually distinct issues inherent in the term evaluation research. The categories developed and the discussion of them will center about the following evaluation issues: Appropriateness; Adequacy; Effort; Efficiency; Effect; Impact and Process. The purpose of this conceptual framework will be to (1) define the various purposes of evaluation research, and (2) relate these purposes to the functions of management, specifically, program planning and program execution.

Second, as a means of exemplifying how some current evaluation efforts have failed to address the range of evaluation modalities identified in the conceptual framework some specific evaluation efforts in Michigan and Kentucky (proposed as well as ongoing) will be selected for critical review. These programs will not be randomly selected but will reflect a deliberate effort to focus on a few of the most important pitfalls in the "state of the art" as currently practiced in some instances. In other words, we are deliberately biasing our selection of examples as a means of highlighting these pitfalls.

The Conceptualization of Program Evaluation and the  
Identification of Pitfalls in Some Current Evaluation  
Efforts  
(Continued)

The examples chosen will concentrate on facilitating discussion of the following specific problem areas:

1. The difficulties associated with adequately evaluating programs when the evaluation design focuses on output (work) measurements and ignores measurement of outcomes (objectives).
2. The difficulties encountered when the problem area addressed by the program has been inadequately defined for evaluation research purposes.
3. The difficulties encountered in ineffectively operationalizing evaluation components with respect to data collection.

The third section of the paper will center about a short discussion of possible roles LEAA might play in encouraging more effective state and local level evaluation efforts.

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EVALUATION ANALYSIS FOR THE RECONCEPTUALIZATION OF  
URBAN LAW ENFORCEMENT

There is abundant evidence to suggest that public service delivery systems are not merely inefficient in providing health, education, law enforcement, welfare, mail, etc., but that, in fact, vast numbers of citizens are not receiving service that approaches even minimally acceptable levels. In the midst of this disarray of needs and services, prescriptions for the application of research technologies have abounded; approaches, such as result-oriented budget systems, operational research, simulation, social and economic planning, the linkage of function to structure, new forms of organizational analysis and games theory have all been applied to large scale social experimentation.

Unfortunately, just as intentions to manipulate well-specified public service policy or treatment variables sometimes fell short, the evaluations designed to contribute to the effectiveness of such action programs were not automatically accepted, and in many cases, were ignored or rejected by program administrators (Rossi, 1967: 227; Rein and Weiss, 1969: 237). The combined failures of so many planned attempts at major social change and the non-use of evaluations which attempted to document those attempts have been distacted at great length elsewhere (Caro, 1971). The upshot of such autopsies is that social reforms can no longer be expected to produce massive results.

From an administrative point of view, evaluation's benefits are greatest if evaluation is an on-going process for feeding information back to the administrator at each stage of a program to give him guidance on when and how to proceed. In this sense, the need for evaluation is not solely the provision of an experimental model employing randomization, control groups, and pre/post experimental data. Evaluation analysis of organizational activity is a much broader and a much less well-defined activity. The application of experimental design to proposals for changing internal organizational features may be inappropriate at the initial stages of the evolution of a program or program component. What is needed is, to borrow from E. F. Schumacher (1973), an "intermediate technology" of research analysis appropriate to the daily decision-making needs of public service agencies which may never receive a federal grant to initiate a massive coordinated attack on whatever the funding agency currently calls the "enemy." A public service institution is rather under pressure to improve its operation and presumably its service through incremental stages of data gathering,

Evaluation Analysis for the Reconceptualization of  
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(Continued)

analysis and feedback. This means that urban public services must be regularly reconceptualized if public agencies are to function effectively and efficiently in providing the services they were created to deliver. Public agencies need to break out of the remedial, reactive orientation toward social problems.

Reconceptualizing the thrust of a service agency is seen as a means toward altering the pattern of service system dysfunction. Evaluation analysis, using the on-going data collection common to public agencies as well as generating new data is seen as a necessary support element to the task of reconceptualization.

The purpose of this paper is to describe several illustrations of ways in which such reconceptualization and evaluation analysis be done with respect to law enforcement. The first example traces the effect of the historical origins of police patrol on practice and how examination of rationale for such practices leads to their reconceptualization. The second example cites data from an analysis of juvenile first offenders in the Kansas City, Missouri Police Department which was used as a means of improving decision-making. The final example illustrates the integration of reconceptualization and analysis relevant to improving police interventions in domestic disturbances.

One way the process of reconceptualizing a particular urban public service can be initiated is through examination of the assumptions on which current operation is based. Police patrol is a good example illustrating this process as, until quite recently, two century-old practices were widely accepted as standard operational procedure. Once traditional assumptions of the blanket effectiveness of rapid-response and preventive patrol are empirically challenged, then notions of how a police officer's time can be used best can be reformulated and the quality of service improved.

The second example of evaluation analysis illustrates the way in which utilizing an organization's own internal information base can improve decision-making. The Kansas City Missouri Police Department Youth Unit undertook an examination of the youth officer's disposition decisions on juvenile intake after arrest. There are essentially two options open to the Youth Unit officer: he can "warn-and-release", essentially a decision to send the youth home with his parents, or he can refer the youth to juvenile court for services and adjudication. Presumably, the more accurately a youth officer can predict youth recidivism, the better service decision he can make. Accordingly, a discriminant analysis was applied to the recorded variables of juvenile arrests. Results of this analysis show that knowledge of seven

Evaluation Analysis for the Reconceptualization of  
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variables (and their interactions) successfully predict future recidivism of first offenders in 62 percent of the cases. Ninety-five percent of the youths who do not recidivate after the first offense can be correctly predicted. In this case, the application of appropriate evaluation research techniques produced information to improve an officer's decision-making ability.

The final example of reconceptualization supported by data analysis is again drawn from the experience of the police. The connection between family disturbances and homicides has been well-documented (Wolfgang, 1958), but such homicides and aggravated assaults, particularly those of a domestic nature, have traditionally been held to be non-preventable by police action. In order to examine the long standing axiom of non-preventability, planning personnel of the Kansas City Police Department did an analysis of arrest records of homicide and assault participants. They found evidence of prior police involvement with these individuals in domestic dispute situations. Such findings were subsequently used to support the development of a program to reformulate police domestic disturbance intervention procedures to include: 1) training the officer in the recognition of high violence potential disturbance situations; 2) getting information to the officer so he can be forewarned when dispatched to disturbances where participants have a history of such involvements and possibly a history of violence; 3) organizing social service resources which can be supplied to domestic disturbance situations whose participants' needs go beyond the momentary defusion process; and 4) evaluating the way in which the above components of training, information and social services can be integrated into a coordinated effort to reduce future violence by the use of police disturbance calls as case-finding. Once again, these examples illustrate the way in which preliminary evaluation data analysis can guide the reconceptualization of service and so improve their delivery.

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CLASSIFICATION OF SOCIAL SERVICE FOR EVALUATION:  
A DILEMMA AND A SOLUTION

One of the major problems confronting administrators and evaluators of social service programs in general, and of corrections efforts in particular, is that associated with the identification of the outcomes of their activities as distinct from their organizational outputs. The latter are easily measured, and form the core of traditional information available on social services activities. The former, by contrast, present great difficulty, partially because jurisdiction over the clients served - and all contact, in fact - may be lost upon termination of the service delivery, and thus no feedback on post-intervention effects is provided to the agency. Beyond the problem of longitudinal tracking, however, there lies a more serious issue, which is that few social service deliverers have a clear picture of the delivery process in which they are engaged, and there exists a strong tendency for evaluators to assess all intervention programs on a standardized basis. Such standardization, moreover, may be shown to obscure rather than clarify.

This paper develops a four-way taxonomy of service delivery processes, based upon the duration of interaction and the determinacy of that duration. It is argued that the taxonomy assists in defining the data needed to determine the relevant service outputs as well as the information required for assessment of the service outcomes. The taxonomy can even contribute to a clearer specification of the outcomes actually expected, in terms of measurable changes as the result of some service delivery.

The four service delivery cases, with examples from the field of corrections, are as follows<sup>1</sup>:

(1) One-time, Short-term Services, including immediate post-institutionalization relocation assistance, crisis assistance to an inmate who just became unemployed, and other non-recurring, one-time services or interventions.

(2) Long-term Services of Stipulated Durations, such as job training or counseling programs, education services in scheduled

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<sup>1</sup> This scheme is derived from Peter B. Meyer, A Conceptual and Methodological Approach to Cost-Benefit Analysis of the United Services Agency. CHSD Report No. 53. University Park, Pa.: Institute for the Study of Human Development, 1974.

Classification of Social Services for Evaluation:

A Dilemma and a Solution

(Continued)

programs, and other programs which may or may not be completed (either voluntarily or involuntarily), but whose percentage completion can be derived.

(3) Long-term Services of Unspecified Duration with Behavioral Objectives, such as counseling programs, half-way houses for drug or alcohol abusers, and other programs involving agency-defined behavior change goals.

(4) "Terminal" Services, the provision of which is expected to continue for the remainder of the recipient's lifetime or period outside of prison walls, such as support services to ex-inmates incarcerated for so long that their capacity to function outside prison has been permanently impaired, in which no effort at "success" attainment is possible, or will be evaluated, at least not with an eye to termination of service delivery.

Each category will be developed in more detail in the paper, with specification for each of the activity and outcome data required for comprehensive impact assessment, and of the cost data required in order for cost-effectiveness or cost-benefit analysis to be conducted. The paper will conclude with a discussion of the information losses inherent in cross-program aggregation of activities and services, where effective duration varies significantly.

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PANEL 34

WITNESS ASSISTANCE AND COURT MANAGEMENT

Missing Abstracts:

Presentations also being made on this panel but not included in this printing of abstracts include:

"Introductory Remarks"

Marc A. Nerenstone, Office of Regional Operations  
LEAA, U.S. Department of Justice  
Washington, D.C.

"An Evaluation of the New York Victim/Witness Assistance  
Project's Court-Based Services"

Jeremy Travis and Robert Davis  
Vera Institute of Justice  
Brooklyn, New York

"Milwaukee County Project Turnaround"

Richard Knudten  
Evaluation Policy Research Associates, Ltd.

and

James Jensen  
Price Waterhouse and Company  
Milwaukee, Wisconsin

"Overview of Witness Assistance Programs"

William F. McDonald  
Institute of Criminal Law and Procedure  
Georgetown University  
Washington, DC

**END**