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ANNEX A: Supplemental Material
ANNEX B: The Development of the Guidance for a Phase I Study
ANNEX C: Example of Forms Used
ANNEX E: Reviews of Phase I Results by the Phase II Review Committee

to

THE NATIONAL INSTITUTE'S INFORMATION MACHINE
A Case Study of the National Evaluation Program

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ACQUISITIONS

Supplemental Material

ANNEX A

to

THE NATIONAL INSTITUTE'S INFORMATION MACHINE
A Case Study of the National Evaluation Program

This annex contains some examples of materials produced by the Special Programs Division of the National Institute during the course of the National Evaluation Program work.

A-1: National Evaluation Program Report of Activities for December 1976 (includes list of the grantees for Phase I grants through that date and accession numbers for the NEP documents store in the National Criminal Reference Service).

A-2: The first formal announcement of the National Evaluation program, issued in July of 1974.

A-3: An example of the letter used to solicit state inputs on topic areas.

A-1

National Evaluation Program Report of Activities for December 1976 (includes list of the grantees for Phase I grants through that date and accession numbers for the NEP documents store in the National Criminal Reference Service).

REPORT OF ACTIVITIES
NATIONAL EVALUATION PROGRAM
December, 1976

I. INTRODUCTION

LEAA has implemented a number of approaches to monitor and evaluate criminal justice programs funded under the Crime Control Act of 1973 to determine the impact and value of these programs, as required by Public Law 93-83, Part D, Section 402.

The core of LEAA's effort to evaluate widespread criminal justice programs funded under Part C is the National Evaluation Program (NEP). The NEP was first announced in July of 1974 by the National Institute of Law Enforcement and Criminal Justice.

The following sections of this report discuss the background of the NEP, its goals, approach and accomplishments to date.

II. BACKGROUND

In order to rationally allocate limited funds, institute new programs or phase out or change existing ones, national policy makers and state and local decision makers require sound information concerning major criminal justice hypotheses, project results, and nationally applicable standards. The Crime Control Act of 1973 instructed the Law Enforcement Assistance Administration to strengthen its capability to gather such information through evaluation of law enforcement and criminal justice projects and programs receiving LEAA support. Section 402(c) of the Act designates the National Institute as a major participant in the development of this capability:

> The Institute shall undertake, where possible, to evaluate the various programs and projects carried out under this title to determine their impact upon the quality of law enforcement and criminal justice and the extent to which they have met or failed to meet the purposes and policies of this title, and shall disseminate such information to State Planning Agencies and, upon request, to units of general local government.

In response to this legislation, LEAA established in late 1973 an Evaluation Policy Task Force responsible for developing recommendations for a broad LEAA evaluation program. One of the three major recommendations of the Task Force Report of March 1, 1974 was the establishment within the Institute of a "knowledge" program aimed at the "production and dissemination of information on the cost and effectiveness of various approaches to solving crime and criminal justice problems" to be identified as the National Evaluation Program (NEP). During the Spring of 1974, the National Institute developed the detailed program objectives and strategy of the NEP and began implementation of the program in early fiscal year 1975. In the Spring of 1976, LEAA's overall evaluation strategy, including the NEP, was reviewed by an Evaluation Policy Working Group (EPWG) and reaffirmed in the form of an LEAA Instruction, which is appended (see Appendix A).

III. NEP PROGRAM DESCRIPTION

A. Objectives

To accomplish the knowledge goal, LEAA's National Institute of Law Enforcement and Criminal Justice has undertaken the NEP, conducted in cooperation with the LEAA Regional Offices and State Planning Agencies. The program involves major evaluations of various areas of criminal justice activity, including those LEAA supports through its block grant program, and is administered by the National Institute's Office of Research Programs.

Specifically, the National Evaluation Program's objectives are:

- --To provide a timely, objective and reliable assessment to Congress and the public of the effectiveness of LEAA's programs.
- --To extend our present knowledge and technical capability in all aspects of criminal justice.
- --To test criminal justice standards and goals and, through critical research, refine and evaluate them.
- --To provide criminal justice administrators with relevant information which they can use to administer their programs more effectively.

B. Approach

1. Selection of Project Areas for Research

The Office of Research Programs, through a survey of State Planning Agencies and LEAA Regional and National Offices, identifies the issues and concerns that might be most effectively addressed by means of evaluations under this program. Projects identified as being related to these issues and concerns are clustered into "Topic Areas", each of which consists of comparable projects with similar activities or similar measurable objectives. Iteration of this process at regular intervals permits additional Topic Areas to be selected on an annual basis. As Topic Areas are identified they become candidates for Phase I assessment.

2. Phase I Assessment

For each Topic Area selected, an analysis is conducted to determine what is currently known about the project type, what additional information could be provided through further evaluation of the project type, and what would be the cost and value of obtaining the additional information. In addition, Phase I assessments are expected to result in the identification of areas in which the Office of Research Programs might effectively undertake further research.

The products of the Phase I assessment are:

-A state-of-the-art review synthesizing what is now known about the topic area.

-Descriptive material documenting the typical internal operations of projects in each topic area.

-Analysis of available information drawing conclusions about the efficiency and effectiveness of projects in the topic area.

-Alternative strategies and designs, with cost estimates and anticipated benefits, for in-depth evaluation of the topic area to fill gaps in existing knowledge.

-An evaluation design for typical projects in the topic area which will assist project administrators in assessing their own operations.

The Phase I assessments give LEAA a sound basis for determining if intensive evaluation is warranted. Where appropriate, the des gn for intensive evaluation is implemented as a "Phase II" evaluation. Phase I assessments can be conducted without extensive data collection and analysis efforts through reviewing completed evaluation projects of the type being studied and by conducting a limited number of site visits. While available data may not permit a definitive evaluation, it generally supports an assessment of the potential effect of a type of project and permits an estimate of the confidence which can be placed in existing project cost and effectiveness information.

In those instances where available data and prior study are not a sufficient basis for an assessment of potential effects, Phase I field work forms the basis for the development of strategies for obtaining the necessary data; included are definition of data requirements, recommendation of measurement techniques, and identification of measurement points. In developing alternative long-term evaluation strategies and designs, the grantee begins with five basic options arising out of LEAA's structure:

a. Use of on-going block or discretionary grant projects.

b. Modification of existing or planned block grant or discretionary programs.

c. Replication of a specific project design in a number of locations.

d. Data collection on all LEAA-funded projects of selected types.

e. Use of a research design not based on particular projects.

Whichever strategy is selected by the Phase I evaluator, rough estimates of the cost of implementation are developed, along with a specification of the type of information to be produced and the anticipated uses for the information.

Beginning in fiscal year 1977, the structure of the Phase I assessments will be expanded to include a limited pretest of the Phase II evaluation design in a small number of test sites. Original data will be collected and analyzed and a report on the results submitted along with any necessary revision of the Phase II design. A Phase II pretest should result in more conclusive results at the Phase I stage, a well-grounded estimation of the feasibility of the Phase II evaluation, and an opportunity to improve the Phase II design. This expansion of the scope of the Phase I effort will entail longer and somewhat more expensive studies, but should be justified by increased confidence in conclusions. In conjunction with this change in the Phase I scope, the number of new Phase I assessments initiated will be reduced. However, it is anticipated that a high percent of these studies will be continued into the Phase II stage. This will not, therefore, involve a reduction of the resources budgeted for the NEP.

To date, 27 Phase I assessments have been funded. Of these, 20 have been completed. A list of all funded Phase I assessments, including an indication of the present status, is appended. (See Appendix B.)

3. Phase II Evaluation

Upon the completion of Phase I assessments, the National Institute selects those Phase I topic areas which will undergo long-term, in-depth study (Phase II evaluations). Phase II topic area selection is based upon the judgements of the Phase I evaluators in terms of the value, feasibility and cost of in-depth evaluation. The National Institute also selects and works with the Phase II evaluator to further develop the Phase II research design; a major input in formulating Phase II research designs are the in-depth evaluation strategies recommended by Phase I evaluators.

In implementing a Phase II evaluation, the Office of Research Programs and the evaluator work closely with other components of LEAA to insure that the conditions of the research design are met. Special attention is also given to coordination and monitoring activities. An immediate task of the Office of Research Programs and the evaluator is to develop an operational plan for implementing the design. Projects that will be involved in the evaluation are identified and plans for managing the projects within the constraints of the design are established. Due to the block grant approach to the funding of most LEAA projects, the development and implementation require the coordination and commitment of a variety of criminal justice agencies. Establishing this coordination represents another essential input toward the success of Phase II evaluations.

The initial two Phase II evaluations have recently been chosen. The Phase II evaluation of the Treatment Alternatives to Street Crime (TASC) program involves two coordinated efforts. First, through an inter-agency agreement with the National Institute on Drug Abuse, an evaluation of TASC client performance, in terms of both further criminality and drug abuse, is being carried out as part of a larger follow-up study of drug treatment program effectiveness. The second part of this Phase II involves an LEAA contract to support an evaluation of TASC project operations per se. This contractor will work closely with the NIDA effort in order to estimate the cost-effectiveness of TASC. It is anticipated that this part of the Phase II will be completed by late 1978 at a cost of approximately $250,000.

A Phase II evaluation of Pre-Trial Release projects is now being processed for funding at the $600,000 level. This evaluation will concentrate on pre-trial crime by defendants on release, the fairness of release criteria, and the effectiveness of release criteria in identifying defendants who fail to appear or are in risk of committing criminal offenses while on release. Funding of this Phase II is expected by February, 1977; completion of the evaluation will take approximately 2 years.

In addition, a second round of Phase II evaluation topic areas are presently being selected. Two or three Phase II studies will be funded during FY 1977.

4. Evaluation Products

The results of both Phase I and Phase II efforts will contain the following information to the extent possible:

-An analysis of the internal operations of the projects studied including staffing patterns, project cost data, organizational structure, appropriate standards of project output, and detailed descriptions of typical day-to-day activities.

-An analysis of the effectiveness of the projects studied including comparisons of cost-effectiveness among different methods of operation or other program alternatives.

5. Dissemination of Results

In order to achieve substantial payoff from the Phase I assessments and Phase II evaluations, the results of these efforts are widely disseminated to the criminal justice system. The purpose of the NEP is to conduct evaluations only when something can be learned and program managers and policy makers have a need for the knowledge to be produced. The Office of Research Programs has taken steps to see that potential users of the Phase I and Phase II efforts are kept informed of progress and provided with the results.

Each Phase I assessment results in a summary report of the findings which is printed and disseminated to all LEAA Regional Offices, State Planning Agencies, Regional Planning Units, and appropriate criminal justice agencies. Further, the full reports from the Phase I assessments are placed in the National Criminal Justice Reference Service (NCJRS), and are available on microfiche or on loan upon request. A similar dissemination process will be followed for the products of Phase II evaluations.

Follow up studies of the utilization of Phase I results are now underway and will be completed by June, 1977.

IV. NEP ACCOMPLISHMENTS AND FINDINGS

To accomplish the evaluation mandate of the 1973 Crime Control Act, there was a clear need for national level evaluations, each of which was prospectively a lengthy and costly undertaking. Additionally, the Institute identified a large number of criminal justice project types - from halfway houses to property-marking projects - that were serious candidates for evaluation. Given limited funds, however, the prospect was for a limited number of evaluations with payoffs years in the future.

The National Evaluation Program was developed to respond to this dilemma. The NEP approach of sequential collection of information through Phased studies, described in preceding sections, has the goal of lowering the initial cost of evaluation and thus increasing the number of program types that can be examined. At the same time, the NEP strives to provide more rapid turnaround of information to policy-makers at all levels.

The NEP's innovative approach to evaluation has been systematically implemented in 27 topic areas in the past two years. A great deal of information about a number of criminal justice project types has been gathered and disseminated as a result of completed Phase I studies. Much has been learned, and the learning continues.

A. General NEP Findings

The NEP studies have revealed a compelling need for an educational effort in the area of evaluation. A startling and frequent NEP finding is that many researchers and government officials at all levels are unable to design or conduct a field evaluation, or even to completely comprehend the tasks involved. It is apparent from previous research and evaluation in the criminal justice area that researchers are often unsure of or unable to deal with real measures, i.e. measurement and comparisons from actual projects operating in the field. Clearly, further research and training in evaluation methodology and concepts would be of value.

Perhaps related to the fact that evaluation of operating projects in the field is a very difficult task, a number of NEP Phase I's have uncovered broad discrepancies between program theory and policy intentions, on the one hand, and the activities of operating programs on the other. Where this is true, an NEP Phase I is in an advantageous position to quickly and inexpensively discover gaps between policy and implementation. By focusing on the actual processes implemented in the field, the NEP can identify the real strengths and obstacles in law enforcement and criminal justice activity, resulting in improved policy decisions at an earlier point.

For example, a primary goal of Operation Identification projects is the return of stolen property to its owner. The Phase I assessment, however, clearly shows that the large majority of these projects fail to accomplish the property return goal, primarily because of nonuse of identification markings on the part of police department property divisions. In the juvenile area, most national experts and policy makers supported Youth Service Bureaus (YSB's) as agents of system reform and juvenile advocacy. The Phase I assessment of YSB's, however, revealed that most projects are predominantly involved in the provision of direct services to juveniles and client referral. Juvenile Diversion and Alternatives to Incarceration projects were developed to reduce the flow of juveniles through the juvenile justice system, just as the juvenile system was created to divert the flow of juveniles from the adult criminal justice system. Phase I assessments in these areas show, however, that in at least some cases the actual projects are increasing the numbers of juveniles who come into

contact with the quasi-legal portions of the juvenile justice system without significantly reducing the numbers processed through the legal agencies of the system.

These Phase I studies and others, while oversimplified here, have created opportunities for decision-makers at all levels to re-examine policy issues in terms of more clearly drawn pictures of current operating practices. Successive decisions, even if only to evaluate further, can now be made on the basis of what is actually being done rather than what was originally desired or believed.

Another finding of the NEP concerns the relevance and accessibility of program data necessary for performance evaluation. Phase I studies indicate that data collection varies from project to project across the criminal justice system, and data accessibility varies with the researchers' approach and focus. In the case of many projects examined, relevant data was available but had never been marshalled satisfactorily to address performance. For example, in the case of pretrial screening of criminal cases by prosecutors, much data is available, but the Phase I grantee concluded that unless the prosecutor's screening policy is considered, using this data to measure success can easily produce invalid results.

A problem exists generally with criminal justice evaluation measures and measurement and the NEP Phase I studies are making headway toward solving this problem. When performance measures are selected locally or nationally without a measurement model (or referent evaluative framework), the measures may not meaningfully relate to project activities and will likely vary from project to project in meaning and interpretation. There is clearly a need for improved project monitoring and evaluation at the local level and for standard measurement models and measures that can be applied nationally. The more successful Phase I studies are developing a basis for such work.

As the NEP proceeds with additional Phase I assessments, completed studies are beginning to generate research indications, findings for dissemination and requirements for larger Phase II evaluations in a few specific cases. These studies are also producing the basis for development of measurement models for the criminal justice activities involved or affected by each project type examined. In order to more knowledgably choose future research and evaluation topics and to comprehend overall cost-effectiveness and system effects of programs, there is a need for larger systematic maps of the related parts of the criminal justice system.

B. Specific NEP Findings

To date, reports from 16 NEP Phase I assessments have been published and disseminated to national, state and local criminal justice decision makers and/or introduced into the NCJRS loan library. The findings from these studies are briefly summarized below. Appendix B lists the 27 Phase I studies which have been funded and their current status.

1. Treatment Alternatives to Street Crime (TASC)

The Treatment Alternatives to Street Crime (TASC) program identifies drug abusers who come into contact with the criminal justice system, refers them to drug treatment projects, and monitors their progress during treatment. As a relatively new program, the impact of TASC has not yet been thoroughly analyzed. Little is known, for example, about its long term effects on either addiction or criminality because no follow-up studies have been made of TASC clients after they leave the program.

On the positive side, the study reports encouraging findings for those in treatment. Only 8 percent of TASC participants have been arrested while in the program. This low rate of recidivism during treatment is particularly significant since the typical TASC participant is a heroin addict under a felony charge with a lengthy criminal record. Suprisingly, the study found that 55 percent of the TASC clients are receiving their first treatment for drug abuse. Although not originally designed as an outreach program, it is clear that TASC has been able to reach many drug abusers who might otherwise never have sought or received treatment.

In another encouraging development, local governments have assumed financing of all six TASC projects that have completed the maximum Federal funding period. In view of the fiscal pressures facing many jurisdictions, this support reflects considerable local confidence in the TASC approach to drug treatment.

2. Operation Identification Projects

This report examines the effectiveness of burglary prevention programs that encourage citizens to mark their valuables with a unique traceable number or name. Results show that:

- There are only a small number of participants in Operation Identification Projects.

- Participants have significantly lower burglary rates than non-participants, but city-wide burglary has not decreased in Operation Identification communities nor has the number of apprehended burglars increased.

-Markings have not increased the recovery and return of stolen property.

3. Security Survey: Community Crime Prevention Programs

In an effort to limit burglaries, police departments in more than 300 communities now assist citizens in assessing their individual security needs. These "security surveys" typify cooperative police-community crime prevention; police departments offer to survey the home or business of any interested citizen and to recommend appropriate security measures.

The National Institute's assessment of security surveys supports the utility of this approach. There is some evidence to document that individuals who followed survey recommendations proved less likely to be victimized by burglars. The report further suggests that security surveys help to improve police relations with the community, and cites the number of units established or maintained with exclusively local funds as evidence of impressive community support.

However, the study also indicates that security surveys are not being used to fullest advantage. Their benefits are not well understood by the general public and many police departments lack the resources to reach their entire jurisdiction. To realize the full potential of security surveys, continued experimentation is called for: first, to develop more economical and efficient means of deploying survey units; and, second, to stimulate citizen participation through more effective promotional campaigns.

4. Citizen Crime Reporting Programs

The types of citizen crime reporting projects (CCRP's) involved in this research fall into two major categories, each having three project types. The first category consists of projects which facilitate the means of reporting suspicious/criminal activity - whistlestop, radio watch, and special telephone line projects. The second category consists of projects which use an educational approach to encourage witness reporting of suspicious/criminal activity - group presentation, membership, and home presentation projects.

Unfortunately, the lack of well designed CCRP evaluation studies does not allow for conclusive findings in this area. Expert opinion, however, indicates a positive assessment of the effectiveness of CCRP's. The recommendations for Phase Two research include: evaluation of home presentation CCRP's,evaluation of radio watch CCRP's, and a survey of witness behavior (the factors which influence witnesses to report crimes).

5. Citizen Patrol Projects

It is estimated that more than 800 resident patrols are currently active in a wide variety of neighborhoods. Most have been initiated since 1970. They often arise in response to a sudden spurt in local crime and continue on an average for 4 to 5-1/2 years. Most are voluntary efforts, operating on low budgets independent of public funding.

The study identified four types of patrol: building, neighborhood, social service, and community protection. Of the four, building patrols appear to be effective in reducing crime and increasing a sense of security. In public housing projects they seem to act as a mediating force in encounters between residents and the police. Lack of data makes it difficult to draw conclusions about the other types of patrol, although there is evidence that neighborhood patrols perform valuable services. Overall, those patrols with carefully selected and well-trained members, established administrative procedures, affiliations with community organizations, and positive contacts with local police are most likely to succeed.

These findings suggest that citizen patrols can be an economical way to help prevent crime in the community. A common concern about such groups -- the threat of vigilante activity -- is not borne out by this study. It appears only an occasional problem, and one that can be minimized by careful planning and review of patrol operations.

6. Traditional Preventive Patrol

This project has resulted in perhaps the first systematic description of the traditional preventative patrol function, i.e., a specification of the interrelationships among its component sub-systems and, for each sub-system, an identification of its inputs and processes. The analytical framework focused upon two categories of patrol inputs: modes of transportation for patrol and patrol officer characteristics; and three patrol processes: supervision, task assignment and deployment.

Major findings show that:

- An unprecedented opportunity exists for increasing the productivity of the patrol division by entering into directed patrol activities oriented toward serving the explicitly defined needs of the community. Programs in the area of directed and interactive patrol and community profiling for example, constitute significant attempts to improve the delivery of all services.

- Evidence indicates that significant opportunities exist to enable police departments to restructure officers' time in order to provide for the delivery of these directed services without jeopardizing the ability of the department to respond effectively to calls for service. In support of attempts to restructure and better utilize officer time, it is noted that sufficient technology and equipment exists to permit the fine manipulation of deployment patterns which can reflect the desires of the patrol command and the needs of the community.

- Research on patrol modes indicates that while the patrol car remains the appropriate vehicle of choice for general patrol duty assignments, alternative modes can be effectively utilized for specific purposes, i.e., in high-density commercial and residential areas, foot patrol seems to have a favorable impact upon the community; bicycles have been found to be of utility in patrol directed against burglaries; motor scooters have been found to facilitate patrol in urban areas, but the associated problems of officer safety and vehicle reliability are of considerable concern.

- While the paramilitary organization of police departments and its orientation toward close supervision of patrol officers has been viewed as the most effective way of maximizing officer attention to duty, indications are emerging that increased emphasis upon officer initiative, the inclusion of officers in the planning process, and the assignment of officers to duty in direct proportion to the level of demand for services all improve the officers' orientation toward duty and may in turn minimize the need for such close supervision.

7. Select Patrol Strategies: Specialized Patrol Operations

Twenty-one projects using the patrol tactics of civilian dress, mechanical devices, and/or uniformed tactical units have been classified into project families (low visibility, high visibility, and combined low/high visibility patrols). The three types of specialized patrol are further analyzed by uses - location oriented, crime oriented, or suspect oriented.

Major findings related to success and failure indicate that high/low visibility patrols are more effective at apprehension than deterrence while the reverse appears for the high visibility and low visibility patrols. Researchers concluded that a sound knowledge base on specialized patrols does not exist, although tentative conclusions indicate that the combined use of civilian dress and uniformed tactical units may be the most successful approach.

8. Early Warning Robbery Reduction Projects

In these projects a police-owned alarm system is installed in stores to signal police when a robbery is in progress. Stake-out patrols, usually cruising, unmarked cars, are stationed near vulnerable, storefront businesses such as convenience stores and gas stations. These patrols receive a direct radio alarm from the nearby store when a robbery is in progress. The goal is the apprehension of the offender at or near the scene of the crime with the stolen money or goods.

Early Warning Robbery Reduction Projects are a new development and it is still too early to firmly assess their value, but the results so far hold promise. A field survey of 22 EWRR projects--approximately half those currently in operation--shows that almost all communities surveyed reported robbery reductions in stores participating in EWRR. By enabling police to respond quickly, the program appears to increase both apprehensions and convictions.

9. Team Policing Projects

This report investigated the impact of team policing programs upon expanding the role of the patrol officer, combatting crime, and improving police-community relations. The information contained in this report relies heavily upon formal evaluations of team policing programs in fourteen cities, including Albany, Charlotte, Detroit, Dayton, New York City, Palo Alto, and San Diego. Team policing projects are classified into five program types-basic patrol teams, investigative teams, community relations teams, and full service teams, both generalist and multi-specialist. The review of these projects indicates that several team policing programs have failed because of the inability of departments to implement the most basic components of the program. Where team concepts have been operationalized, however, several departments have demonstrated that team policing can improve the performance of patrol, investigative and community service activities.

The most serious shortcoming in the evaluation of team policing has been the failure of evaluators to carefully monitor the extent to which planned program activities have actually been implemented by team managers and officers. Because of this problem it has not always been possible to determine whether the concepts of team policing or extraneous variables are responsible for the evaluation results reported.

10. Pretrial Screening Projects

This project reviews pretrial screening of cases by prosecutors, its utility as a decision-making tool and the factors governing its use. The key finding is that the prosecutor's policy regarding the prosecution and disposition of cases -- however derived and communicated to sub-ordinates -- 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. Despite the importance of a clearly defined charging policy, however, the study found that prosecutors typically pay little heed to developing and articulating charging practices.

The study identifies four distinct 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, the report notes. In any prosecutor's office, a mixture of policies may be operating for different types of cases. Using this study as a guide, however, a prosecutor who articulates his charging policy can interpret aggregate dispositional data more coherently and can predict what the data will show. 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 original charges would be expected. When the 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 original charges can be predicted. The data obtained in this study support these expectations.

11. Pretrial Release Programs

During the past fifteen years, major reforms have taken place in the area of pretrial release of criminal defendants. A major, though no surprising, finding of this study is that these programs have, often dramatically, brought about a change from almost total reliance on money bail as the means for obtaining release prior to the 1960's to extensive use of release on recognizance and other non-financial forms of release. Unfortunately, it also found that few careful studies have been carried out to evaluate the impact of this change relative to important issues such as pretrial criminal activity on the part of releasees. Even the question of failure to appear rates, which appears to be universally accepted by these programs as a measure of effectiveness, has not received the amount of careful documentation which would permit drawing definitive conclusions about the success of these programs or about the comparative value of different types of pretrial release.

12. Court Information Systems

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. 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.

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; comprehensive requirements analysis has rarely been performed before system development; and the involvement of court operational or managerial personnel in the development process has been minimal. Yet, ninety percent of the resulting court information systems were on-line and operating, processing data and yielding reports. 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 and annual system operating expenditures require from one hundred thousand to over one million dollars.

The assessment concludes that court information systems are evolving into a useful, integral part of normal court operations. However, their potential for assisting in court administration and caseflow management activities has not yet been realized. Recommendations have been presented to provide (1) a more rational approach to system implementation, (2) a method for evaluating existing systems, and (3) greater utilization of system capabilities.

13. Prevention of Juvenile Delinquency

Analysis of the major explanations of delinquency indicates primary orientation of theorists and researchers to one of three focal points, rather than to the interactive aspects of all three levels of explanations. Attention is typically given to the conceptual classification of theories and assumptions according to whether the major focal point is the individual, social institutions, or social interaction.

Major assessment findings include: extreme programmatic weaknesses in the areas of client identification and program evaluation; intervention strategies seldom linked to either assumptions about causation or identification procedures; parental consent requirements and program screening procedures which inhibit the delivery of services to large numbers of youth; and the overall inability of practitioners, administrators, and policy makers to address those individual, interpersonal, and societal conditions from which delinquent behavior emerges.

14. Juvenile Diversion

This report examines projects that strive to divert juveniles from the formal juvenile justice system, which is thought to stigmatize them and encourage delinquent behavior. In theory, and as traditionally defined, diversion is the process of removing a juvenile from the system altogether, with or without referral to another social agency outside the system. In practice, however, the report concludes that diversion has come to mean minimizing the penetration of a juvenile into the system through referral to a program within the system or to one closely related to it. According to this report, a program within the juvenile justice system has a greater chance of adding to the system's costs and to the number of juveniles within its control.

This change in diversion program emphasis leaves open the question of how to view the experience of juveniles in diversion projects. Will there still be stigma attached if diversion programs are perceived to be an integral part of the formal juvenile justice structure? There is little research to answer this question or, for that matter, whether diversion to programs completely outside of the system also is damaging.

15. Alternatives to Juvenile Incarceration

According to this study, there has been a trend toward the increased use of community-based facilities but not a major decline in the use of training or reform schools. The result is that many programs are serving as a supplement to incarceration rather than replacing secur institutional care. A major exception is the network of community-based programs developed in Massachusetts since that state closed its training schools in 1970-1972.

The study highlights the need to assess community-based programs as an integral part of the juvenile justice process. If not viewed in terms of systemic impact these programs run the risk of "widening the net" - a problem that has been pervasive in major programmatic reforms.

16. Residential Inmate Aftercare (Halfway Houses) for Adult Offenders

The study of halfway houses was based on the review of 55 evaluations of house programs and the survey of an additional 153 halfway houses. The study maintains that few methodologically sound evaluations of halfway houses have been completed because of the use of insensitive outcome measures and vague program goals and objectives. A review of existing evaluations suggests some conclusions about halfway houses which include: houses are as effective in preventing criminal behavior in the community as alternatives which involve community release; the placement of a halfway house in a community neither increases crime nor decreases property values; houses assist their clients in locating employment but not necessarily in maintaining it; houses are able to provide for the basic needs of their clients as well as other forms of release; at full capacity, houses cost no more, and probably less, than incarceration although they cost more than parole and outright release; the available capacity of halfway houses is only partially utilized at present, thus driving up actual per diem costs; and evaluations of halfway houses tend not to produce changes in actual house operations.

V. IN SUMMATION

As indicated above, the conclusiveness of judgemental assessments made possible as the result of Phase I efforts vary widely as a result primarily of four factors: (1) the quantity of evaluative information available in the topic area, (2) the quality of evaluations performed in terms of validity, reliability, and generalizability, (3) the numbers of existing projects available for site investigation, and (4) the quantity and quality of information available at those sites.

The sixteen projects discussed are those for which Summary Reports have been published and/or full reports have been made available (see attached Status Chart) through November, 1976. Based upon program experience during the first two years of the NEP, the Phase I modifications noted earlier have been introduced to the program. The inclusion of pre-testing of the Phase II design should allow for more conclusive assessments during future fiscal years.

Upon completion of Phase I's a number of options for future effort based upon these studies become possible: (1) selected individual topics can be focused upon in order to help fill identified knowledge gaps through various funding mechanisms: Phase II's, Exemplary Projects, Prescriptive Packages, and/or special conferences, (2) a redirection can be implemented at the Phase II level which either increases or decreases the scope of the area investigated at the Phase I level, or (3) topic areas can be combined into clusters, e.g., a single patrol Phase II might be defined from the input of the Phase I's on traditional and specialized patrol and early warning robbery reduction projects. The support of Phase II efforts has been initiated with the funding of TASC and the call for papers on Pre-Trial Release. Continued review of Phase I findings is underway in terms of the varying types of follow-on options noted above. Only through the performance of Phase II evaluations and other follow-on activities will the full potential of the National Evaluation Program be realized.

We hope that this report has proven of interest and value. Any comments and/or recommendations concerning the NEP or this report will be appreciated and should be addressed to the Special Programs Division:

Richard T. Barnes, Director
Special Programs Division
National Institute of Law Enforcement
and Criminal Justice
LEAA-DOJ
Washington, D.C. 20531
202/376-3910

Appendix A to this Progress Report is LEAA Instruction 12300.5, dated May 20, 1976. It has not been reproduced in this annex to The Urban Institute Report.

NATIONAL EVALUATION PROGRAM: PHASE I GRANTEE ORGANIZATIONS

December, 1976

1. Operation Identification Projects

The Institute for Public Program Analysis
230 South Bemiston
Suite 914
St. Louis, (Clayton) Missouri 63105

2. Treatment Alternatives to Street Crime (TASC)

The Lazar Institute
Suite 840
1800 M Street, N.W.
Washington, D.C. 20006

3. Pretrial Screening Projects

Bureau of Social Science Research
1990 M Street, N.W.
Washington, D.C. 20036

4. Select Patrol Strategies: Specialized Patrol Operations

Institute for Human Resources Research
7315 Wisconsin Avenue
Bethesda, Maryland 20014

5. Early Warning Robbery Reduction Projects

The MITRE Corporation
Westgate Research Park
McLean, Virginia 22101

6. Citizen Crime Reporting Programs

Loyola University of Chicago
Department of Psychology
6525 N. Sheridan Road
Chicago, Illinois 60626

7. Pretrial Release Programs

National Center for State Courts
1661 Lincoln Street
Suite 200
Denver, Colorado 80203

8. Prevention of Juvenile Delinquency

The Center for Vocational Education
The Ohio State University
1960 Kenny Road
Columbus, Ohio 43210

9. Alternatives to Juvenile Incarceration and

10. Juvenile Diversion

University of Minnesota
Department of Criminal Justice
Studies
314 Social Sciences Building
Minneapolis, Minnesota 55455

11. Traditional Preventive Patrol

University City Science Center
Washington Program Office
1717 Massachusetts Avenue, N.W.
Washington, D.C. 20036

12. Youth Service Bureaus

Boston University
Metropolitan College
Urban Affairs Program
755 Commonwealth Avenue
Boston, Massachusetts 02215

13. Team Policing Projects

National Sheriffs' Association
1250 Connecticut Avenue, N.W.
Suite 320
Washington, D.C. 20036

14. Citizen Patrol Projects

The Rand Corporation
2100 M Street, N.W.
Washington, D.C. 20037

15. Patrol Support Systems: Crime Analysis Units

Foundation for Research and Development in Law Enforcement and Criminal Justice, Inc.
515 Woodcrest Drive
Bloomington, Indiana 47401

16. Detention of Juveniles and Alternatives to Its Use

School of Social Service Administration
University of Chicago
5801 S. Ellis Avenue
Chicago, Illinois 60637

17. Security Survey: Community Crime Prevention Programs

International Training, Research and Evaluation Council
Suite G
10500 Sager Street
Fairfax, Virginia 22030

18. Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders

Program for the Study of Crime and Delinquency
The Ohio State University Research Foundation
1314 Kinnear Road
Columbus, Ohio 43212

19. Court Information Systems

The MITRE Corporation
Advanced Program Development/Justice Systems
P.O. Box 208
Bedford, Massachusetts 01730

20. Institutional Furlough Programs

University of Alabama
School of Social Work
P.O. Box 1935
University, Alabama 35486

21. Intensive Special Probation

Georgia Institute of Technology
School of Industrial and Systems
Engineering
225 North Avenue
Atlanta, Georgia 30322

22. Employment Services for Releasees in the Community

The Lazar Institute
1800 M Street, N.W.
Suite 840
Washington, D.C. 20006

23. Street Lighting Projects

Public Systems Evaluation, Inc.
929 Massachusetts Avenue
Cambridge, Massachusetts 02139

24. Policing Urban Mass Transit Systems

The MITRE Corporation
Criminal Justice System Research Department
Westgate Research Park
McLean, Virginia 22101

25. Institutional Education Programs for Inmates

Lehigh University
School of Education
Bethlehem, Pennsylvania 18015

26. Police Juvenile Units

The Police Foundation
1909 K Street, N.W.
Suite 400
Washington, D.C. 20006

27. Coeducational Correctional Institutions

Koba Associates, Inc.
2001 S Street, N.W.
Suite 302
Washington, D.C. 20009

NATIONAL EVALUATION PROGRAM: PHASE I REPORTS AVAILABLE
FROM THE NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE

December, 1976

1. Operation Identification Projects

NCJ - 28907 Evaluation of Operation Identification: Evaluation of the Program's Effectiveness

28908 Evaluation of Operation Identification: Survey Findings, Other Evaluations of Operation Identification, and Evaluation of this Study

28909 Evaluation of Operation Identification: Summary of the Assessment of Operation Identification's Effectiveness, and Plans for Evaluating a Single Project

2. Treatment Alternatives to Street Crime (TASC)

NCJ - 32493 Treatment Alternatives to Street Crime (TASC): A State of Knowledge Review

32494 Treatment Alternatives to Street Crime (TASC): Analytical Framework

32495 Treatment Alternatives to Street Crime (TASC): Evaluation Design for the TASC Program

32496 Treatment Alternatives to Street Crime (TASC): Evaluation Considerations for an Individual Project

32497 Treatment Alternatives to Street Crime (TASC): An Evaluative Framework and State-of-the-Art Review

3. Pretrial Screening Projects

NCJ - 30003 Design for a Phase II Evaluation of Pretrial Screening Programs

30004 Design for a Single Pretrial Screening Project Evaluation

30005 Issues in Pretrial Screening

30006 Pretrial Screening in Perspective

4. Select Patrol Strategies: Specialized Patrol Operations

NCJ - 30380 National Evaluation of Selected Patrol Strategies: Literature Search

30381 National Evaluation of Selected Patrol Strategies: The Universe and Selected Project Descriptions

30382 National Evaluation of Selected Patrol Strategies: Project Families, Synthesis Framework and Measurement

30383 National Evaluation of Selected Patrol Strategies: Assessment of the Knowledge on Specialized Patrol

30384 National Evaluation of Selected Patrol Strategies: Study Designs for Local, Multiple Project and Field Experimental Evaluations of Specialized Patrol

5. Early Warning Robbery Reduction Projects

NCJ - 32498 Early-Warning Robbery Reduction Projects: An Assessment of Performance

32499 Early-Warning Robbery Reduction Projects: Individual Project Evaluation Design

6. Citizen Crime Reporting Programs

NCJ - 34140 National Evaluation Program Phase I Report: Citizen Crime Reporting Projects Final Report

34141 National Evaluation Program Phase I Report: Evaluation Manual for Citizen Crime Reporting Projects

34142 National Evaluation Program Phase I Report: Design for Phase II Research on Citizen Crime Reporting Projects

34143 National Evaluation Program Phase I Report: Towards Increasing Citizen Responsibility, Surveillance and Reporting of Crimes

7. Pretrial Release

NCJ - 32738 Phase I Evaluation of Pretrial Release Programs: Issue Paper

32739 Phase I Evaluation of Pretrial Release Programs: Evaluation Framework

32740 Phase I Evaluation of Pretrial Release Programs: Assessment of the Present State of Knowledge Concerning Pretrial Release Programs

32741 Phase I Evaluation of Pretrial Release Programs: Designs for Phase II National Scope Research on Pretrial Release Programs

32742 Phase I Evaluation of Pretrial Release Programs: Single Program Evaluations

8. Prevention of Juvenile Delinquency

NCJ - 32487 Theory and Practice of Delinquency Prevention in the United States: National Evaluation Program

32488 Theory and Practice of Delinquency Prevention in the United States: Review, Synthesis and Assessment

32489 Juvenile Delinquency Prevention: Priority Areas for Evaluation and Research

32490 Principles and Guidelines for State and Local Administrators of Juvenile Delinquency Prevention Programs

9. Alternatives to Juvenile Incarceration

NCJ - 32491 Community-Based Alternatives to Juvenile Incarceration

10. Juvenile Diversion

NCJ - 34472 Juvenile Diversion: Final Report

34473 Juvenile Diversion: Key Issues

11. Traditional Preventive Patrol

NCJ - 35438 Traditional Preventive Patrol: A Site-Specific Evaluation Design

35439 Traditional Preventive Patrol: A Design for Phase II Research

35440 Issues in Traditional Preventive Patrol: A Review and Assessment of the Literature - Bibliography

35448 Issues of Traditional Preventive Patrol: A Review and Assessment of the Literature - Phase I Report

35449 Traditional Preventive Patrol: An Analytical Framework and Judgemental Assessment

12. Team Policing

NCJ - 34480 Issues in Team Policing: A Review of the Literature

34481 Neighborhood Team Policing in the United States: An Assessment

34482 Monitoring and Evaluating Team Policing Programs

13. Citizen Patrol Projects

NCJ - 34856 Patrolling the Neighborhood Beat: Residents and Residential Security

34857 Patrolling the Neighborhood Beat: Residents and Residential Security - Case Studies and Profiles

14. Security Survey: Community Crime Prevention Programs

NCJ - 34858 Recommendations concerning Phase II Research of the Security Survey

34859 Plan for Evaluating a Single Security Survey Program

34860 Assessment of the Crime Prevention Physical Security System

15. Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders

NCJ - 36379 Residential Inmate Aftercare: The State-of-the-Art

36380 Residential Inmate Aftercare: The State-of-the-Art, Supplement A - Survey of Residential Inmate Aftercare Facilities

36381 Residential Inmate Aftercare: The State-of-the-Art, Supplement B - Abstracts of Evaluations Reviewed

36382 Residential Inmate Aftercare: The State-of-the-Art-Single Halfway House Evaluation Model

36384 Residential Inmate Aftercare: The State-of-the-Art-Phase II Evaluation Design

16. Court Information Systems

NCJ - 37882 Court Information Systems: A Single Court Information System Project Evaluation Design

37883 Court Information Systems: Preliminary Findings and Issues

37884 Court Information Systems: A Judgemental Assessment

37885 Court Information Systems: An Assessment Framework

37886 Court Information Systems: Phase II Study

NEP PHASE I ASSESSMENTS

NOVEMBER, 1978

TOPIC AREA	FUNDING STATUS: UNDER CONSIDERATION	FUNDING STATUS: AWARDED	GRANT STATUS: IN PROGRESS	GRANT STATUS: COMPLETED	PUBLICATION STATUS: REPORTS UNDER REVIEW	PUBLICATION STATUS: FULL REPORTS AVAILABLE FROM NCJRS ☆	PUBLICATION STATUS: SUMMARY PUBLISHED
FY 1975							
Operation Identification Projects		X		X		X	X
Treatment Alternatives to Street Crime (TASC)		X		X		X	X
Pretrial Screening Projects		X		X		X	X
Select Patrol Strategies: Specialized Patrol Operations		X		X		X	
Early Warning Robbery Reduction Projects		X		X		X	X
Citizen Crime Reporting Programs		X		X		X	
Pretrial Release Programs		X		X		X	
Prevention of Juvenile Delinquency		X		X		X	
Alternatives to Juvenile Incarceration		X		X		X	X
Juvenile Diversion		X		X		X	X
Traditional Preventive Patrol		X		X		X	X
Youth Service Bureaus		X		X	X		
Team Policing Projects		X		X		X	
Citizen Patrol Projects		X		X		X	
Patrol Support Systems: Crime Analysis Units		X		X	X		
Detention of Juveniles and Alternatives to Its Use		X		X	X		
Security Survey: Community Crime Prevention Programs		X		X		X	
FY 1976							
Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders		X		X		X	
Court Information Systems		X		X		X	
Institutional Furlough Programs		X		X	X		
Intensive Special Probation		X	X				
Employment Services for Releasees in the Community		X	X				
Street Lighting Projects		X	X				
Policing Urban Mass Transit Systems		X	X				
Institutional Education Programs for Inmates		X	X				
FY 1977							
Police Juvenile Units		X	X				
Coeducational Correctional Institutions		X	X				
Crime-Specific Prosecution Units	X						
Correctional Data Systems	X						
Basic Police Training Programs	X						
Alternative Schools for Disruptive Youth	X						
Citizen Victim Service Projects	X						

☆ Full reports can be obtained on a loan basis by writing the National Criminal Justice Reference Service, P.O. Box 24036, S.W. Post Office, Washington D.C., 20024, Attention: Evaluation Clearinghouse.

The first formal announcement of the National Evaluation program, issued in July of 1974.

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D. C. 20530

July 1974

THE NATIONAL EVALUATION PROGRAM

The Office of Research Programs in the National Institute of Law Enforcement and Criminal Justice is currently implementing the National Evaluation Program which is described in the enclosed material. Basically the program consists of a series of phased evaluation studies in various areas of criminal justice activity including those LEAA supports through its block grant program. Each of these studies will concentrate on a specific Topic Area consisting of on-going projects having similar objectives and strategies for achieving them. In a "Phase I Evaluation" of a Topic Area, basic information related to the area will be collected and assessed and a design for further in-depth study will be developed. Where appropriate, this design will be implemented as an intensive "Phase II Evaluation Study".

An initial list of candidate Topic Areas has recently been selected and is provided below. Various criteria were used in making these selections including size of LEAA commitment, interest of state and local administrators, feasibility in terms of applying evaluation techniques, likelihood of available data on which to base conclusions, and potential for identifying further research needs.

TOPIC AREAS FOR PHASE I EVALUATION

- PROPERTY IDENTIFICATION PROJECT
- YOUTH SERVICE BUREAUS
- DETENTION OF JUVENILES
- RESIDENTIAL PROGRAMS FOR JUVENILES
- NON-RESIDENTIAL PROGRAMS FOR JUVENILES
- ALTERNATIVES TO JUVENILE JUSTICE SYSTEM PROCESSING
- DELINQUENCY PREVENTION PROGRAMS
- PRE-TRIAL SCREENING
- PRE-TRIAL RELEASE
- COURT INFORMATION SYSTEMS

- COURT ADMINISTRATION AND UNIFICATION
- ALTERNATIVES TO CONVENTIONAL ADJUDICATION
- EXPANSION OF COURT PERSONNEL AND SERVICES
- POST ADJUDICATION ALTERNATIVES TO JAIL
- INDIGENT DEFENSE PROGRAMS
- INTENSIVE SPECIAL PROBATION
- FURLOUGHS FOR PRISONERS
- CORRECTIONAL PROGRAMS FOR WOMEN OFFENDERS
- INMATE AFTERCARE PROGRAMS
- NEIGHBORHOOD TEAM POLICING
- SPECIALIZED POLICE PATROL OPERATIONS
- PREVENTATIVE PATROL
- POLICE CRIME ANALYSIS PROJECTS
- POLICE COMMUNICATIONS, COMMAND, AND CONTROL
- EARLY-WARNING ROBBERY REDUCTION PROJECTS
- CRIME SCENE INVESTIGATIONS
- TREATMENT ALTERNATIVES TO STREET CRIME
- CRIME PREVENTION THROUGH CITIZEN ACTION

It is anticipated that additional Topic Areas will be selected on a continuing basis to reflect the most current needs and interests of the potential users of the results.

The National Institute will award Phase I Evaluation Grants to qualified individuals and organizations with experience in evaluation. A short paper describing in more detail the tasks required in a Phase I Evaluation is available on request. A qualification statement should accompany such requests. Please address inquiries to:

Dr. Richard T. Barnes
National Institute of Law Enforcement
and Criminal Justice
LEAA
U.S. Dept. of Justice
Washington, D.C. 20530

We are optimistic that this new program represents a major step forward in developing capabilities for program evaluation in the criminal justice field and utilizing the results of these assessments in the administration of our programs to assist state and local governments in their efforts to reduce crime and delinquency and improve the administration of criminal justice in America.

Gerald M. Caplan
Director

THE NATIONAL EVALUATION PROGRAM OF THE LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

PROGRAM OBJECTIVES

LEAA has identified the production and dissemination of information on the cost and effectiveness of various approaches to solving crime and criminal justice problems as one of its major evaluation goals.

National policy makers and state and local decision makers need sound information concerning major criminal justice hypotheses, project results, and nationally applicable standards. To meet these needs LEAA's National Institute of Law Enforcement and Criminal Justice is undertaking a National Evaluation Program (NEP) to be conducted in cooperation with the LEAA Regional Offices and State Planning Agencies. The program will involve major research studies to evaluate various areas of criminal justice activity including those LEAA supports through its block grant program, and will be implemented through the National Institute's Office of Research Programs.

Specifically, the National Evaluation Program will help:

--To provide a timely, objective and reliable assessment to Congress and the public of the effectiveness of LEAA's programs.

--To extend our present knowledge and technical capability in all aspects of criminal justice.

--To test criminal justice standards and goals and, through critical research, refine and evaluate them.

--To provide criminal justice administrators with relevant information which they can use to administer their programs more effectively.

PROGRAM DESCRIPTION AND IMPLEMENTATION

1. SELECTION OF PROJECT AREAS FOR RESEARCH

The Office of Research Programs, in consultation with State Planning Agencies and LEAA Regional and National Offices, will identify the issues and concerns that might be most effectively addressed by means of evaluations under this program. The projects identified in this manner as being related to these issues and concerns will then be clustered into "Topic Areas," each of which will consist of comparable projects with similar

objectives. Iteration of this process at regular intervals will permit additional Topic Areas to be determined on a continuous basis. As Topic Areas are identified they become candidates for Phase I Evaluations as described below.

2. PHASE I EVALUATION

For each Topic Area selected for evaluation, a relatively short analysis (four to six months) will be conducted to determine what is currently known about the project type, what additional information could be provided through further evaluation of the project type, and what would be the cost and value of obtaining the additional information. In addition, Phase I Evaluations are expected to result in the identification of areas in which the Office of Research Programs might effectively undertake further research.

The products of the Phase I Evaluation will be:

--A quick but usable assessment of the project type based on available data and documentation;

--Alternate strategies and designs for further evaluation, with rough estimates of cost and expected results.

The Phase I Evaluations will also give LEAA a sound basis for determining if intensive evaluation is warranted.

Phase I Evaluations can be conducted without extensive data collection and analysis efforts by reviewing completed evaluations on projects of the type being studied and by conducting a limited number of site visits. While available data may not permit a precise evaluation, it will generally support assessment of the potential effect of a type of project amd permit an estimate of the confidence which can be placed in existing project cost and effectiveness information.

Where the Phase I evaluator finds that further evaluation efforts would be justified, he will outline general strategies for obtaining additional information. In developing alternative long-term evaluation strategies and designs, he should start with five basic options arising out of LEAA's structure:

a. Use of on-going block or discretionary grant projects.

b. Modification of existing or planned block grant or discretionary programs.

c. Replication of a specific project design in a number of locations.

d. Data collection on all LEAA-funded projects of selected types

e. Use of a research design not based on particular projects.

Whichever strategy is selected by the Phase I evaluator, rough estimates of the cost of implementation will be developed, along with a specification of the type of information to be produced and the anticipated uses for the information.

3. PHASE II EVALUATION

Upon the completion of Phase I evaluations, the National Institute will select those Phase I topic areas which will undergo long term in-depth study (Phase II evaluations). Phase II topic area selection will be based on the assessments of the Phase I evaluators in regard to the value, feasibility and cost of in-depth evaluation. The National Institute will also choose and work with the Phase II evaluator to further develop the Phase II research design; a major input in formulating Phase II research designs will be the in-depth evaluation strategies recommended by Phase I evaluators.

In implementing a Phase II evaluation, the Office of Research Programs and the evaluator will work closely with other components of LEAA to insure that the conditions of the research design are met. Special attention will also be given to coordination and monitoring activities.

An immediate task of the Office of Research Programs and the evaluator will be to develop an operational plan for implementing the design. Projects that will be involved in the evaluation will be identified and plans for managing the projects within the constraints of the design established. Due to the block grant approach to the funding of most LEAA projects, the development and implementation will require the coordination and commitment of a variety of criminal justice agencies. Establishing this coordination will be essential to the success of Phase II evaluations.

4. EVALUATION PRODUCTS

The results of both the Phase I and Phase II evaluations will contain the following information to the extent possible:

--A complete analysis of the internal efficiencies of the projects studied, showing, for instance, the average staffing for such projects, staff qualifications and salaries, organization, operating budgets, and cost per client (or other appropriate standard for project output), and

--A complete analysis of the external effectiveness of the projects studied, showing, for instance, the rate of recidivism for persons passing through the program, or rate of reported crime or average police response time.

5. DISSEMINATION OF RESULTS

In order to achieve substantial payoff from the Phase I and Phase II evaluations, the results of these efforts must be made available to and utilized by the criminal justice system. The purpose of the NEP is to conduct evaluations only when something can be learned and program managers and policy makers have a need for the knowledge to be produced. The Office of Research Programs will take active steps to see that potential users of the Phase I and Phase II evaluations are kept informed of progress and provided with the results.

A-3

An example of the letter used to solicit state inputs on topic areas.

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D. C. 20531

NATIONAL EVALUATION PROGRAM

TOPIC AREA SELECTION

The Special Programs Division of the Office of Research Programs is currently developing the National Evaluation Phase I Program topic list for fiscal year 1977. As we initiate the third year of the Phase I Program, we would like to emphasize the importance of State Planning Agency and Regional Office participation. SPA's and RO's have provided invaluable assistance in providing input into the topic area selection process for fiscal years 1975 and 1976 and in subsequent technical assistance to Phase I grantees as they identify existing projects and programs in their respective areas. The interest and cooperation of SPA and RO personnel has proven one of the most essential ingredients for the success of individual projects and the overall program.

We have appended a brief description of the National Evaluation Program (see Attachment 1) for recently hired personnel who may not be familiar with its objectives or products. I also urge interested personnel to call upon any of the Special Programs Division staff (202/376-3677) for more detailed information. We have also appended a status report (see Attachment 2) on the Phase I Program for 1975 and 1976 which includes a discussion of our tentative plans to initiate Phase II activities later this year. A list of Phase I Project Directors and their addresses is also included for your information (see Attachment 3).

The initial list of topic areas under consideration for funding during fiscal year 1977 (see Attachment 4) has been prepared in a format which will allow you to indicate the relative priority of these suggested areas. We anticipate funding six to eight Phase I studies in 1977 and would appreciate your rank ordering six to ten topic areas which you feel will provide evaluation results most useful to you. Please note that space has been provided on this form for comments on topic areas noted as well as for additional topic area suggestions which you may have.

Criteria you may wish to consider in making your priority decisions include:

- °Project or program types which you expect may be related to future funding priorities in your agency.
- °Areas of the criminal justice system which you feel require assessment or reassessment in order to assist you in other planning and/or management decisions.
- °Experimental project or program types which you or other agencies would fund were there existing information on relative effectiveness/efficiency.
- °Projects or programs which receive considerable funding but where future support is under question due to lack of information on effectiveness.

The National Evaluation Program has a primary objective to provide useful information to state and local decision makers about the effectiveness and efficiency of various approaches to law enforcement and criminal justice. In order to achieve this goal, input from the SPA's and RO's is essential. I urge you to participate in the establishment of topic area priorities and look forward to receiving your suggestions for new topic areas. We would appreciate your response as soon as possible so that our analysis of combined State and Regional Office input can be initiated.

We would also appreciate your input on final products disseminated under the National Evaluation Program. Your office has received three Phase I Summary reports to date, entitled "Operation Identification Projects", "Pre-Trial Screening Projects", and "Treatment Alternatives to Street Crime (TASC)". We will continue to disseminate NEP Phase I Summary reports as they become available. (See Attachment 2, Status Report.) Your comments on the usefulness of these documents in your planning and program activities will be highly appreciated.

Thank you for your assistance.

Sincerely,

Gerald M. Caplan

Gerald M. Caplan
Director

Responding Agency:_____

PRIORITIES AMONG POTENTIAL TOPIC AREAS FOR FY 1977

Please indicate below the topic areas for which you feel Phase I studies would generate the most useful information for your agency. Indicate six to ten topic areas by priority ranking, using the number 1 for the topic of highest usefulness to you. If information would be useful to your agency for less than six topic areas, number only those. Add topics of interest to you which are not present on this list under "other".

Priority Ranking	Topic Areas
	Courts
_____	Crime-Specific Prosecution Units
_____	Paralegal Programs in the Criminal Adjudication Process
_____	Psychiatric Services in the Criminal Courts
_____	Interpreting Services in the Courts
_____	Court Reporting Systems
	Adult Corrections
_____	Institutional Diagnostic and Classification Units
_____	In-Service and Pre-Service Training Programs for Correctional Personnel
_____	Legal Assistance to Inmates
_____	Correctional Data Systems
_____	Institutional Counseling Programs
	Police
_____	Police Legal Advisors
_____	Police Education Programs
_____	Police Community Relations Programs
_____	Basic Police Training Programs
_____	Police Organized Crime Units
_____	Police Minority Recruiting Programs

Priority Ranking	Topic Areas
	Juvenile Justice
_____	Alternative Schools for Disruptive Youth
_____	Juvenile Court Intake Units
	Forensic Sciences
_____	Education and Training Programs in the Forensic Sciences
_____	Crime Laboratories
	Community Crime Prevention
_____	Citizen Victim Service Projects
	Other
_____	_____
_____	_____
_____	_____
_____	_____

Please also complete the attached form, pp. 3-4 at least for those topic areas you have indicated as priorities and for any additional topic areas you have suggested.

RESPONDING AGENCY _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	HOW MANY FUNDED BY YOUR AGENCY				PRESENT STATUS IN YOUR STATE/REGION				ESTIMATED EXPENDITURES		ANY AVAILABLE EVALUATIONS IN YOUR STATE/REGION		COMMENTS (Attach additional pages, where necessary)
	0	1-5	5-10	Over 10	Considering	Starting	Underway	Completed	FY 1975	FY 1976	Yes	No	
Crime-Specific Prosecution Units													
Paralegal Programs in the Criminal Adjudication Process													
Psychiatric Services in the Criminal Courts													
Interpreting Services in the Courts													
Court Reporting Systems													
Institutional Diagnostic and Classification Units													
In-Service and Pre-Service Training Programs for Correctional Personnel													
Legal Assistance to Inmates													
Correctional Data Systems													
Institutional Counseling Programs													
Police Legal Advisors													
Police Education Programs													
Police Community Relations Programs													
Basic Police Training Programs													
Police Organized Crime Units													
Police Minority Recruiting Programs													

RESPONDING AGENCY _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	HOW MANY FUNDED BY YOUR AGENCY					PRESENT STATUS IN YOUR STATE/REGION					ESTIMATED EXPENDITURES		ANY AVAILABLE EVALUATIONS IN YOUR STATE/REGION		COMMENTS (Attach additional pages, where necessary)
	0	1-5	5-10	Over 10		Considering	Starting	Underway	Completed		FY 1975	FY 1976	Yes	No	
Alternative Schools for Disruptive Youth															
Juvenile Court Intake Units															
Education and Training Programs in the Forensic Sciences															
Crime Laboratories															
Citizen Victim Service Projects															
Other:															

- o Assessments of the actual results of each Phase I effort by both U.I. and NILECJ staff.
- o Follow-up surveys of field users of the summary product.
- o Follow-up interviews of National LEAA users of Phase I reports.
- o Interviews and meetings with LEAA and NILECJ administrators about desired changes in the nature of Phase I studies and their reports.

This material was examined and synthesized and led to the final work description displayed in A-3. This work description is now in use in the conduct of Phase I studies.

Improvements in the Ability to Specify the Nature of the Work

The ability to describe the approach in detail can be partially illustrated by considering the amount of specific guidance included in the work description. Early in the program much of the detail had to be supplied by briefing and discussion meetings. Table B-1 presents an assessment of the specificity of the initial work description in terms of:

- o Statement of the Activity to Produce the Product
- o Statement of Expected Items of Content in Product
- o Descriptions of Product and Product Items
- o Descriptions of the Activity to Produce the Products
- o Examples of the Products
- o Methods for Carrying Out Activities

Each of these steps represents an increasing ability to formally specify what a product is and how it is to be produced.

As the work progressed and the information described above was collected and analyzed, the level of specificity of the guidance was improved and additional examples beyond those in the guidance were developed. Table B-2 presents an assessment of the February 1977 guidance in terms of the same elements. An additional row has been added to include project characteristics and universe information (previously transmitted in briefing sessions). A final row has been added for field tests of measurements proposed by grantee.

TABLE B-1

ANALYSES OF THE SPECIFICITY OF THE NOVEMBER 1974 PHASE I WORK DESCRIPTION

	Statement of the Activity to Product Product	Statement of the Expected Items of Content of Product	Descriptions of the Product and Product Items	Descriptions of the Activity to Produce Products	Examples of the Products	Method for Carrying Out Activities
1. Issue Paper	• "issue & substance of expert views & opinions... drawn from available general knowledge & past findings" • "gathering of general knowledge" • "gathering past findings"	None	None	None	None	None
2. Project Flow Models	• "thru field work & telephone interviews... develop a detailed picture of interventions" • "collect any available... information"	• description of what activities each project actually carries out & how they are... related ...., effort or personnel allocations, important known or potential intervening variables, potential points of measurement....	(includes description of what information was to be developed & presented in the flow diagrams) o a process flow diagram & an accompanying description....	None	None	None
3. Framework	• "framework that encompasses the apparent underlying operation assumptions...." "created thru a synthesis of knowledge...."	• can be used to describe the chains of assumptions linking expenditure.... to impact.... Included will be potential measurement points, ... data elements... methods of measurement	(includes description of what was to be included in framework)	None	None	None
4. Assessment of Topic Areas	• "a judgmental assessment in terms of the framework...." • "statement of the quality, reliability & accuracy of the assessment...."	• assessment... of success or failure in topic area • gaps in present knowledge & the importance of these gaps • range of performance • confidence in data	None	None	None	None
5. Evaluation Design for Phase II	• "the assessment, the framework... are to be used in developing... designs" • "contains both technical design & discussion of costs & value .... of the designs" • "designs should estimate importance, feasibility...."	None	None	None	None	None
6. Single Project Evaluation Design	• "represents an adaptation of the same framework developed in (3) to a single ... project"	• contains key data elements & the measures & comparisons to be used	None	None	None	None

TABLE B-2

ANALYSES OF THE SPECIFICITY OF THE FEBRUARY 1977 WORK DESCRIPTION

	Comments	Statement of Activity Involved	Statement of Product Content Items	Description of the Product (Format, Items)	Description of the Activity (Process)	Examples of the Product	Method for Carrying Out Activity
0. Defining Project Characteristics and Universe	Previously transmitted in briefing sessions.	Yes	Yes	Yes	Yes	No	No
1. Issue Paper	Includes idea that a linkage must be made to the analysis (previously transmitted in briefings).	Yes	Yes	No	No	No	No
2. Project Flow Models		Yes	Yes	Yes	Yes	Yes	No
3. Framework	Changed to models for measurement and further developed through a feasibility study.	Yes	Yes	Yes	Yes	Yes	No (See Annex D)
4. Assessment of Topic Areas		Yes	Yes	Yes	Yes	No	No
5. Phase II Evaluation Design		Yes	No	No	Yes	No	No
6. Single Project Evaluation Design	Dropped as being too much additional work for a single grant of this nature and timing. To be produced separately.	Yes	No	No	No	No	No
7. Field Test of Measurement Design	Added to provide actual field experience and data gathering experience with measurements proposed by the grantee.	Yes	No	No	No	No	No

Illustration of the Growth in NEP Capability

Figure B-1 compares the growth in capability as illustrated by the wor' descriptions.[1] The table shows the elements of instructions (for each pr duct) that were available for the first work description, available for the second description, and that have been recently developed. Some of the additional squares can be filled in by using available research material (e.g., Elements of an evaluation design are called out in Urban Institute Working Paper 783-10, Design of Evaluations, Joe Nay and Peg Kay, November 1976).

Note that additional material has been added in most of the desired product areas. The single project evaluation design--a badly needed product--proved to generally be too much work to carry piggy-back on these high work-load short term efforts and is being pursued separately. On the other hand, the basic Phase I approach was modified (in time and money) to include a 6 month field test (following the main study effort) during which the measurements and measurement design produced and proposed by the grantee are tested in the field. This is aimed at providing a much sounder basis for the decision upon a Phase II evaluation and for estimating the size, cost, and yield of a Phase II. This intermediate step has been included in studies being let at present and will be tested in the upcoming series of studies.

Finally, the recently completed feasibility study into the production of models for measurement (Annex D to this report) has provided a description, procedures, and limited examples for this work and is now available for use in the NEP program.

The figure demonstrates the increase in specificity that can be obtained in an approach to buying information when the approach is implemented, the process and its results are studied over time, and the information gathered is used to tailor and improve the basic approach to buying information.

1. Growth in supporting examples, capability of NILECJ staff and product quality occurred as well. The work description is used here as a keying device to give a simple illustration of capability growth over time.

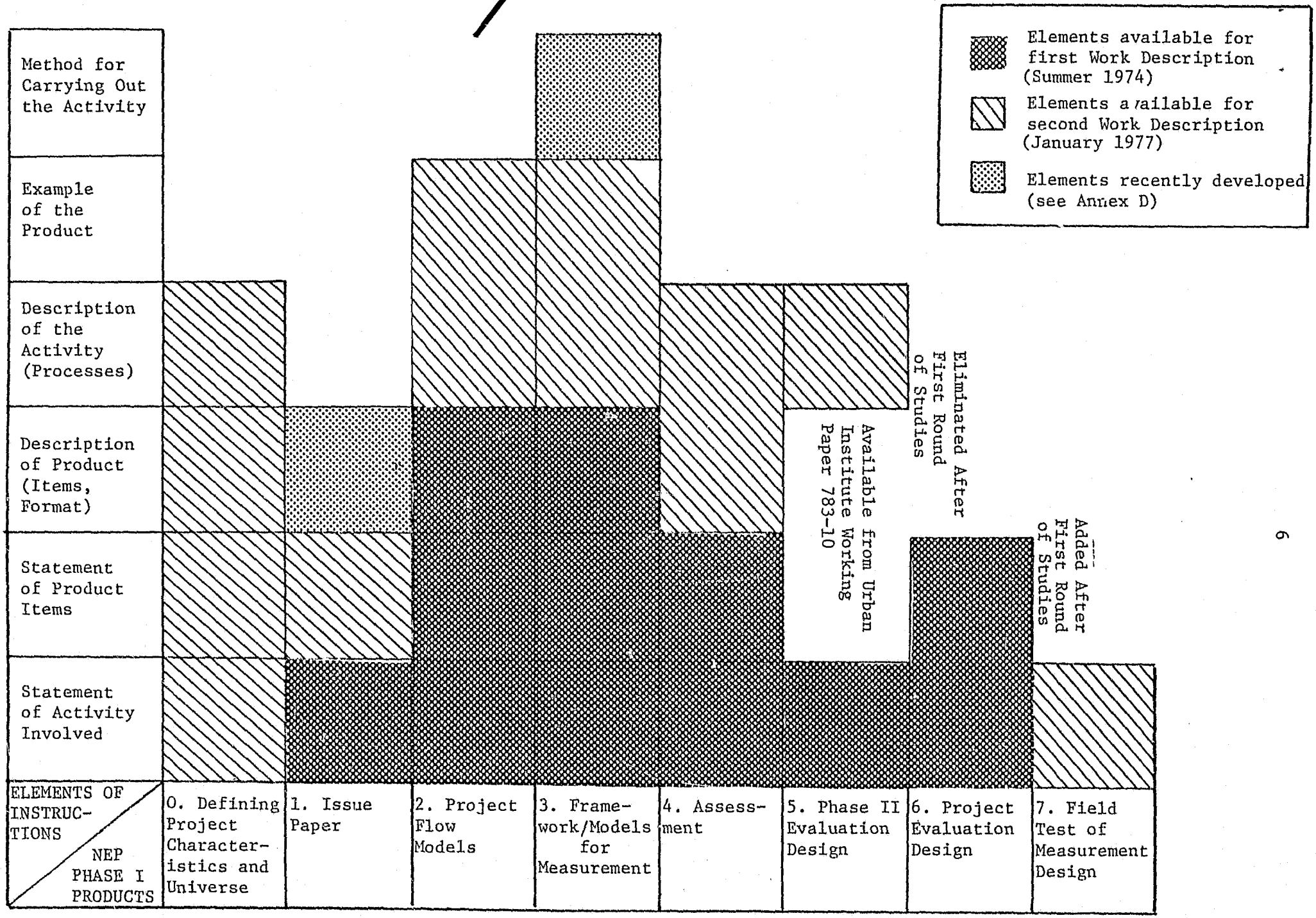

Figure B-1

Growth of NEP Capability
As Illustrated by the Two Work Descriptions

B-1

Work description for a Phase I Study
Under the National Evaluation Program,
NILECJ/LEAA; November 1974.

WORKING PAPER: 5027-01

November 1974

WORK DESCRIPTION FOR A PHASE I STUDY UNDER THE NATIONAL EVALUATION PROGRAM

NILECJ/LEAA

by

Joe N. Nay
Richard T. Barnes
Joseph S. Wholey

THE URBAN INSTITUTE
WASHINGTON, D.C.

TABLE OF CONTENTS

	Page
Preface	i
I. INTRODUCTION AND BACKGROUND	1
A. THE NEED FOR A NATIONAL EVALUATION PROGRAM	1
B. THE NATIONAL EVALUATION PROGRAM	1
II. PARTICULAR TOPIC AREA DESCRIPTION	3
III. SUMMARY OF THE PRODUCTS AND THE WORK REQUIRED IN A PHASE I INVESTIGATION	7
A. REQUIRED PRODUCTS	7
B. RELATION OF THE WORK EFFORTS TO THE PRODUCTS	9
IV. DESCRIPTION OF THE WORK REQUIRED IN A PHASE I INVESTIGATION	11
A. GATHERING OF GENERAL KNOWLEDGE IN THE TOPIC AREA	11
B. GATHERING PAST FINDINGS IN THE TOPIC AREA	11
C. DEVELOPMENT OF A DESCRIPTION OF THE ACTUAL INTERVENTIONS MADE BY THE PROJECTS IN THE FIELD	11
D. WHAT TYPES AND ACCURACIES OF EVALUATION INFORMATION ARE NEEDED?	14
E. DEVELOPING A FRAMEWORK: THE SYNTHESIS OF A BASIS FOR EVALUATION IN THE TOPIC AREA	14
F. ASSESSMENT OF THE PRESENT STATE OF KNOWLEDGE ABOUT PROJECTS IN THE TOPIC AREA	16
G. DESIGN FOR PHASE II	17
H. SINGLE PROJECT EVALUATION DESIGN FOR STATE AND LOCAL USE	18

Preface

This working paper contains the "work description" presently in use by LEAA for defining the Phase I portion of the National Evaluation Program. This program is being conducted by the Office of Research Programs at the National Institute of Law Enforcement and Criminal Justice. The development of the work description has been a joint effort by personnel from the NILECJ and The Urban Institute.

This work description represents an attempt to fashion, from a general evaluation approach,[1] a suitable vehicle for meeting the particular requirements of LEAA for this program[2] at this point in time. A revision will be issued once sufficient experience is accumulated in using this description to indicate areas in which change is needed.

Two concepts have been strongly emphasized in the design of this program. One is an ordered plan for the sequential purchase of information in well-defined Criminal Justice topic areas. That is, a small amount of information is generated during topic area definition. During the Phase I studies, additional information is purchased in order to determine what is already known about an area of interest, what may yet need to be known, and what the likely costs are of filling these needs. In this way the agency can pass through a series of decision points before each commitment of resources to buy further information, especially before purchasing full-scale evaluations of programs. Within a single Phase I study, the emphasis is upon an iterative approach rather than a single cycle of information gathering and analysis.

The second factor emphasized is that the operations of actual existing intervention projects are to be the basis for development of assumptions linking money to activity and activity to outcome. This assumption framework is then used as the basis for both the assessment of present knowledge and the evaluation design. The heavy emphasis on designing around "what's out there" grows from the fact that the National Evaluation Program is an attempt to learn from a variety of projects that are already in the field (indeed, in some cases completed). They vary greatly. A Phase I assessment will determine what has been learned from them and what can be learned now and as they recur again. An assessment based upon what may actually be measurable in the field aids in deciding whether further information can be obtained from past and existing projects, or whether further research or an experiment will be required.

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1. As reflected in the Working Paper "Urban Institute Plan for the Design of an Evaluation," by John D. Waller and John W. Scanlon, The Urban Institute, March 1973.

2. The Report of the LEAA Evaluation Policy Task Force, U.S. Department of Justice, Law Enforcement Assistance Administration, March 1, 1974.

I

INTRODUCTION AND BACKGROUND

A. THE NEED FOR A NATIONAL EVALUATION PROGRAM

The LEAA Evaluation Policy Task Force, a joint effort of State Planning Agencies (SPAs) and LEAA representatives, has recommended that certain types of information can best be produced through nationally coordinated evaluations. This is especially true of information that indicates whether a particular idea for reducing crime or a particular approach for improving criminal justice is likely to be successful under a variety of conditions, organizations, and management.

State Planning Agencies and local criminal justice system administrators select, direct, and control the projects implemented under the LEAA grant programs. Although particular types of projects are now often operated with some frequency throughout the country, it is difficult for an SPA or criminal justice system administrator to obtain comparison data on similar projects, to determine in advance whether a type of project under consideration has been generally successful or unsuccessful in other communities, or to find out what effect emphasizing particular components of a project may have on its success or failure. The major reason for this problem has been a lack of comprehensive evaluations that covered similar types of projects and collected similar information about each project.

B. THE NATIONAL EVALUATION PROGRAM

The Office of Research Programs of the National Institute of Law Enforcement and Criminal Justice is beginning a program to produce this type of information for use by SPAs and local administrators. Evaluation information about particular topic areas commonly encountered by SPAs and local administrators will be produced. Each topic area will contain a group of projects that appear to have similar goals and methods and which are common enough to be of interest to many SPAs and local administrators.

In each topic area an attempt will be made to assemble what is known about the methods, outcomes, and effectiveness of projects of that general type and to determine if the present knowledge--when assembled--is sufficient to be useful in planning and funding decisions by the SPAs and local agencies. If the present knowledge does not appear sufficient, designs will be developed specifying how such information could be obtained and at what cost. After consultation with a coordinating committee, an effort may be made to obtain missing information. In each topic area examined, there may be as many as

three steps: a Phase I investigation, consultation with the evaluation coordinating committee, and in many cases a Phase II evaluation.

In each topic area examined, the Phase I investigation will cover the collection, synthesis, and assessment of what is already known and one or more designs for evaluations that would fill any gaps in that knowledge, if such gaps appear to exist. A consultation among NILECJ, LEAA, and SPAs and local administrators will take place once the product of Phase I is in hand. The mechanism for this consultation will be an evaluation coordinating committee composed of representatives from the national office, the regional offices, and the SPAs. This consultation will address whether present knowledge of project results is adequate and, when it is not, which of the proposed evaluation designs should be implemented to obtain additional needed information. The production of that additional information, when necessary, will constitute the Phase II evaluation in the investigation of the topic area. By proceeding in this way, the National Evaluation Program can capitalize on the projects and information already existing and at the same time tailor its outputs to the actual needs of SPAs and local criminal justice system administrators.

It is expected that some of the Phase I investigations will either be adequate in themselves, will demonstrate the infeasibility of further evaluation in that topic area, or will indicate that the cost of obtaining more accurate knowledge is higher than its possible value to LEAA, the SPAs, and the local administrators. In the other cases, however, a Phase II (an actual field evaluation) will be implemented based upon the design developed during Phase I, or selected portions of that design. This document describes only the work effort to be conducted during Phase I in the topic area described in Section II below. The contractor or grantee selected for a Phase I effort will neither be assured nor prohibited from conducting the Phase II evaluation should such an effort be implemented.

II

PARTICULAR TOPIC AREA DESCRIPTION

The following examples are brief samples of the type of particular topic area descriptions that are being included in this section.

PERSONAL PROPERTY IDENTIFICATION PROJECTS - IDENT

This Phase I topic area encompasses projects involving local marking of items of personal property with identification numbers for use in recovery of and identification of stolen property. Typically, the numbers are registered with the Police Department and a distinctive decal prominently displayed by the property owner to deter theft. An individual project will be taken to include any publicity compaigns; registration programs; records systems; uses by authorities in recovery, prosecution or deterrence; and the degree to which the available information is made a standard part of investigatory, recovery, or prosecution efforts by authorities. Identification projects are funded by LEAA, insurance and other private agencies, and by local police departments themselves. Further scoping of the topic area will be a joint effort between LEAA/NILECJ, their technical advisor, and the grantee.

Known issues involve effects on overall burglary and theft of property, displacement of crime, the development of identification numbers that are both permanent and do not violate personal privacy, and degree of usage by both citizens and police. This topic area is expected to involve primarily efforts of and effects upon citizens, police operations, and criminals.

TOPIC AREA: PRE-TRIAL SCREENING OF CASES BEFORE A DECISION TO PROSECUTE OR INVESTIGATE FURTHER

This topic area is intended to investigate projects that involve arly screening out of cases that the prosecuting attorney decides not to prosecute. A variety of projects have been funded that affect the flow of cases from the police to formal prosecution investigation and case preparation. Projects may be screened out because of insufficient evidence, ameliorating circumstances, availability of diversion mechanisms, or other criteria, implementing mechanisms, and effects on the work of the police, the prosecuting attorney's office, and the persons involved. Further scoping will be determined jointly by LEAA/NILECJ, their technical advisor, and the grantee.

Known issues include effects on workloads and successful court prosecutions, alternatives available locally, effects on backlog, necessary information linkages, police arrest and investigation techniques, effects on and types of linkages to diversionary programs, and effects on the accused. Review of these projects is expected to produce better understanding of their mechanisms for having effect and the effects on case flow from arrest to a decision to prosecute. Both police and prosecutor operations will be directly involved with linkages to other programs to be determined and laid out where they exist.

TOPIC AREA: YOUTH SERVICE BUREAUS (YSB)

Youth Service Bureaus will be taken to include programs that act either as a substitute or as an alternative to passing juveniles unnecessarily through the juvenile justice system. The California Youth Authority report[1] adopted the "butterfly" hunter approach. If a project was thought to be a YSB, they studied it. Based upon this and other completed work, several models of alternative types of YSB's commonly encountered will need to be developed and used in this assessment. The key bounding parameter which will be used at present is that the project is multi-method or multi-service oriented and creates or aims to create an alternative to passing juveniles through the courts. Further scoping will be accomplished through joint efforts by LEAA/NILECJ, their technical advisors, and the grantee.

The report referenced above (and an extensive additional literature) outlines many of the issues involved. Work on this grant will involve an orderly approach to representative models of activity in the field and the issues involved in each model. Projects in this area may be expected to involve police, possible prosecutors, the juveniles, a myriad of local social agencies, and in some cases, courts.

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1. Robert L. Smith (Project Director); National Study of Youth Service Bureaus; California Youth Authority; SRS Publication: (SRS) published by HEW, 73-26025.

III

SUMMARY OF THE PRODUCTS AND THE WORK REQUIRED IN A PHASE I INVESTIGATION

This section summarizes the required products and the relationship of the work to be accomplished to those required products. Section IV then examines each part of the work effort in further detail.

A. REQUIRED PRODUCTS

The products required from the Phase I investigation of a particular topic area may be summarized as follows (numbers in parentheses refer to Exhibit 1 page 5):

- (1) Paper outlining the issues and substance of expert views and opinions in the topic area drawn from available general knowledge and past findings.

- (2) For projects in the topic area, a process flow diagram of the intervention actually made by the project and an accompanying description of the project keyed to the flow diagram.

- (3) A framework(s) that represents a synthesis of the assumptions that underlie the projects (or families of projects) in the topic area and can be used to describe the chains of assumptions linking the expenditure of funds to project activity or intervention, the project activity or intervention to immediate outcome, and the immediate outcome to the impact on the problem addressed by the topic area. Included will be potential measurement points, suggested data elements to be measured, and methods of measurement for testing the assumptions. Also included will be a listing of those factors affecting a project that are believed to be under control of the project and those likely intervening factors not under the control of the project.

- (4) A judgmental assessment in terms of the framework, its operating assumptions, and the specified data elements of the success or failure in the topic area and a statement of the quality, reliability, and accuracy of this assessment made on the basis of present knowledge. This assessment will also point up gaps in present knowledge and the importance (or unimportance) of these gaps in making an authoritative assessment of success or failure.

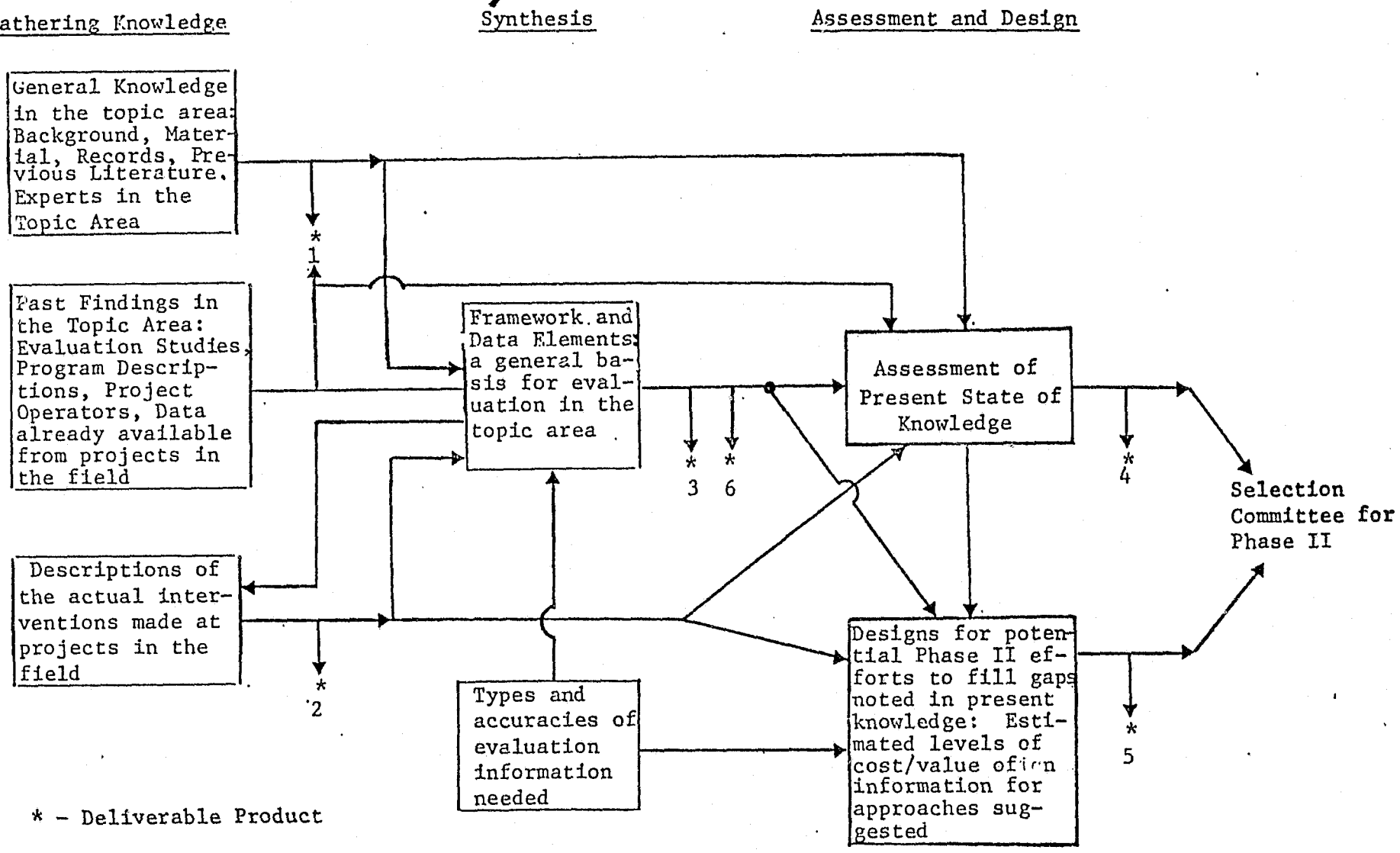

Exhibit 1: Relationship of the Various Phase I Tasks For One Topic Area

This must be a publishable summary of the known quantitative results in the topic area. It should include the best data available on both the costs and effectiveness of projects in the topic area.

- (5) An evaluation design based on the framework developed above for filling gaps found in present knowledge in order to produce an authoritative and useful assessment of success or failure. This design should estimate the importance, feasibility, methods, and costs of obtaining measurements to further test the assumptions laid out in the framework (where that appears to be necessary).

- (6) A model data collection and evaluation design for use with single projects of the type included in the topic area at the state and local level. This represents an adaptation of the same framework developed in (3) to a single local project.

B. RELATION OF THE WORK EFFORTS TO THE PRODUCTS

Exhibit 1 displays the various portions of the work effort during Phase I and relates this work to the products to be produced. At the left side of the exhibit are three knowledge gathering activities. These relate to general knowledge in the topic area, past evaluation or research findings in the topic area, and descriptions of the actual interventions being carried out at existing projects. The earliest product required is a paper on the topic area (1) combining the two types of available knowledge and further scoping and illustrating issues in the topic area. The first draft of this paper will serve as a discussion point with NILECJ of the approach being taken by the grantee.

Through field work and telephone interviews, the grantee is expected to develop a detailed picture of the interventions that are actually being carried out by existing projects. This information--while not expected to be in publishable form--is the second deliverable product (2).

In order to produce a general basis for evaluation in this topic area, a framework that encompasses the apparent underlying operating assumptions of existing projects and the likely points and methods of measurement is to be created through a synthesis of the knowledge collected. This framework (described in more detail below) is the third deliverable product (3). It should be adequate in detail to support both the Phase II design for the topic area and the design of a model evaluation for local use by single projects as well.

The framework is to be used as a basis for performing and presenting an assessment of the present state of knowledge (4). This assessment, the framework, user needs, and the descriptions of the actual projects in the

field are to be used in developing one or more designs for the collection and analysis of any additional evaluation information that is needed nationally (5). This product contains both the technical design and also discussion of the costs and value of implementing various portions of the design.

Since the framework contains a detailed basis for evaluating the type of project considered in the topic area, it is also to be used to produce the model data collection and evaluation design for use with single projects at the local level (6). This product should contain key data elements and the measures and comparisons to be used.

The exhibit is not meant to imply that the activities necessarily take place sequentially. It is rather more likely that development of products will in each case be an iterative process of development and improvement over time as more information is produced. For instance, some working framework or model will probably be necessary in order to assess the field interventions efficiently. But discovery during the field work of the actual interventions that are made in practice will probably cause the grantee to significantly alter the initial framework used. Similarly, the topic area paper will be expected to be revised as field work begins to indicate that particular past findings either appear sound or may be faulty. Each activity is described in more detail in the next section.

IV

DESCRIPTION OF THE WORK REQUIRED IN A PHASE I INVESTIGATION

A. GATHERING OF GENERAL KNOWLEDGE IN THE TOPIC AREA

This activity relates to general qualitative or loosely quantitative knowledge that is not necessarily evaluative or project specific. It includes background material, past research, historical development, views of experts in the topic area, and similar material. Familiarization with and development of a broad perspective on the key issues involved in the topic area is the emphasis in this activity. This should serve to establish the context and background of the problem area, the general goals to be achieved, alternative approaches both within and outside the topic area. A bibliography of sources used should be developed.

B. GATHERING PAST FINDINGS IN THE TOPIC AREA

In contrast to the review of general knowledge, this activity involves the review of available (or those discovered in the course of the effort) findings of fact in the topic area. This should include past evaluation studies; project descriptions or reviews; discussions with or by operators, auditors or evaluators of past projects; and other data of a quantitative nature that may already be available from past projects in the topic area. A bibliography of the sources discovered should be developed. This activity is both to aid in issue development and to gather past data for assessment.

C. DEVELOPMENT OF A DESCRIPTION OF THE ACTUAL INTERVENTIONS MADE BY THE PROJECTS IN THE FIELD

A goal of the Phase I investigations is to produce in an orderly manner knowledge of known reliability about the success or failure of actual projects, in the process additional lines of research may be developed. The grantee will be expected to use the actual operations of the projects in the topic area as the basis for the Phase I work. This will require development of knowledge of exactly what interventions or processes are being implemented at the projects in the field.

This knowledge is expected to be developed through site visits to a sample of projects and by telephone interviews with other projects in the topic area. The desired information is not to be confused with grant requests

and similar project descriptions that are statements of intent, but rather is a description of what activities each project actually[1] carries out, how they are in practice related to each other, and how they are related to other efforts.

The information collected should be specific enough to construct a detailed flow diagram, and an accompanying narrative description, of what project activities actually form the intervention into society (or into the criminal justice system) that result from expenditure of funds by the project. In cases in which the LEAA funding is only a portion of a larger effort, it may be necessary to detail project activities including the additional non-LEAA funded activities in order to accurately describe the totality of the intervention made by the project and its effects on the criminal justice system or the larger society. Additional non-LEAA funded projects may be included in the sample where this is appropriate.

For each project considered, the flow diagram[2] developed and its accompanying narrative should describe the activities of that project and their relationship to each other, effort or personnel allocations, important known or potential intervening variables, potential points of measurement and potential measures for process activities, immediate outcomes, and impact on the problem.

To take a property registration project as an example, suppose that funds are made available to a police department for such a project. It may be determined that the police department relies upon a publicity campaign to generate inquiries, provides each interested party with a registration kit, maintains a log of citizens who have identified their property, and uses this information to trace stolen material. The exact actions, or interventions, of the project and the cost, method, and amount of effort of each action is to be determined and reduced to a flow diagram. The detailed accompanying narrative will describe what actually constitutes this project at this police department. It will include the effort involved, likely measures and measurement points, and potential uncontrolled factors that might affect outcome.

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1. The continued use of the word "actually" is an attempt to reinforce the point that Phase I grantees are attempting to discover and describe the objective, measurable actions that take place in a project. Thus, if a project is described as "improving the communication, dispatch, and efficiency of patrolmen" and the only action taken by the project is to purchase and issue a number of hand held two-way radios; the latter description is preferred. On the other hand if the project made an extensive measurable effort to alter and redesign dispatch techniques as well, a description of that process should be included.

2. The continued use of terms like "framework," "flow diagram," etc, is intended to imply that all causal links in the project will be specified from the expenditure of funds to the production of an impact in the society or in the criminal justice system.

Another department with a similar project may train officers, reserves, police auxiliaries or citizen groups; equip them with property registration materials; and send them door-to-door to assist citizens in registering their property. The registration lists may then be used to notify second hand stores, pawn shops, etc., of stolen goods on a routine basis. In this case, perhaps, a strong effort in prosecution of receivers of stolen goods may be coupled with the registration project. Clearly, the second project will generate a different flow diagram and description of its actual implementation process. Another department may be found to implement property registration only as part of a larger organized burglary prevention program. Yet another different detailed description and narrative will be generated.

The purpose of collecting all of this information is to develop systematically a set of descriptions of the nature of the intervention actually made at each of the projects in the field. This information will be the raw material for all subsequent steps which attempt to develop a common framework for discussion of the topic area. It is an attempt to draw out the diversity (or similarity) in intervention techniques and methods, underlying assumptions, goals, and the amounts of effort put into the different projects in the topic area.

The field visits are intended to anchor the information acquired even more firmly in reality by validating on location the tentative project descriptions which have been developed from documents and exploratory telephone interviews. Through these attempts to validate and obtain more precise detail about the several activities involved in particular projects, a more accurate assessment of the similarities and differences among projects in the topic area can be developed. Once a good understanding of the operational realities of projects in the topic area is obtained, it should be possible to begin to expand the set of descriptions of actual projects by using structured telephone interviews. Further cases will probably arise during this telephone effort where field visits may be necessary to get an accurate representation of an operating project.

During this phase the grantee will be expected to collect any readily available evaluations, performance, and cost information, but not to produce evaluative data through his own efforts. Grantee may use his own judgment as to making additional attempts to obtain internal breakdowns of projects costs by activities, beyond those readily available from projects, either on a general basis or small sample basis. Such breakouts may become a factor in attempts to attribute success or failure to components or emphasis within projects.

The information developed during this step and described here is to be carefully assembled and filed by project. It will be a necessary factor in each of the following steps. While it is not necessary that it be in publishable form, this set of project descriptions is considered a product deliverable to LEAA. It must also be deliverable to the Phase II evaluation contractor, in cases in which a Phase II effort is initiated.

D. WHAT TYPES AND ACCURACIES OF EVALUATION INFORMATION ARE NEEDED?

Questions of how far to go in developing data, what size of samples are necessary, how much detail to include in flow diagrams, etc. are heavily conditioned by the needs of the intended users. A similar problem must be addressed in the design phase when attempts are made to contrast the costs of possible designs with the value of the information that they produce to potential users. The grantee should collect information indicative of the most potentially useful levels and types of information from potential users in the field in the course of the data collection effort above. A user statement for each topic area will be developed jointly by the grantee and NILECJ.

E. DEVELOPING A FRAMEWORK: THE SYNTHESIS OF A BASIS FOR EVALUATION IN THE TOPIC AREA

Using the information developed above, each project file will next be assessed by the grantee to determine the apparent assumptions of those operating the project. Each project is to be described as a chain of assumptions involving expenditure of funds to produce an intervention, intervention to produce an immediate outcome, and impact of that immediate outcome on the problem. (Note that this step is not to determine what those assumptions should be but, as nearly as possible, what they actually are at present.) An effort will be made in each case to develop these underlying assumptions for each project considered in terms of hypotheses that might be tested. For instance, in the first property registration project described above, the hypotheses set for the actual operation might look something like:

- The publicity campaign will generate inquiries from citizens,
- A significant portion of those who inquire will identify their property and post announcement stickers on their premises,
- The registered and posted property will deter burglary,
- Registration will result in more recovery of property and more successful prosecutions,
- More successful prosecutions will reduce burglary by reducing the number of burglars and receivers of stolen property both through convictions and through deterrence.

Review of the second property registration project described above would produce at least two different assumptions.

One of the objectives of the Phase I investigation is to determine the assumptions that appear to be represented by each of the actual activities of a project and to determine if, at what points, and by what means these assumptions are measurable and testable. This is the reason for determinin whether the activities and their underlying assumptions form a plausible. testable chain of activities extending from the expenditure of funds to the goal of the topic area (in the example, presumably, the reduction of burglaries). For each project involved, the grantee will have produced in the intervention descriptions a flow diagram of activities with a detailed narrative, the apparent underlying assumptions keyed to these activities, and a list of potential measurements of evidence of both the activities and their results. All of the projects considered will be described; however, it is not expected that all of the projects will produce plausible, testable assumptions.

As the information that was gathered is analyzed on a project by project basis, the grantee will attempt to develop a general framework(s) for describing the projects (or particular families of projects) within the topic area. This framework should contain a representation of the major elements or activities of significant numbers of projects in the topic area in a way that could lead to plausible testing of assumptions linking the expenditures of grant funds to the desired outcomes. Not all projects will exhibit all of the activities displayed in the general framework. Actual project descriptions will be compared with the general framework to determine the degree of homogeneity (or heterogeneity) in characteristics of the various projects in the field and the possibility (difficulty) of linking of causes to effects throughout the topic area (or throughout a family of projects within the topic area). In the progress of the actual research, of course, the framework will be modified and adjusted. Some framework will be necessary to begin information collection; continuing information collection may be expected to suggest alterations in the general framework.

As the work progresses, criteria are to be developed for selection of projects (or sets of projects) most suitable for evaluation purposes in the topic area. In addition this work should lead to a firmer idea of what types of projects belong within the scope of the topic area. The grantee should be aware that some projects within a topic area may turn out to not bear much resemblance to one another in terms of activities and operating assumptions, but only in terms of overall goals.

This framework(s) is a key product of the research performed in Phase I, since it serves as the basis for assessing the present state of knowledge about the topic area, for the development of the evaluation design and as a general basis for further evaluation in the topic area. It is a deliverable product. The framework will include definitions of important measurement points in the process and the definition of the key data elements to be measured at each point.

F. ASSESSMENT OF THE PRESENT STATE OF KNOWLEDGE ABOUT PROJECTS IN THE TOPIC AREA

The grantee will be expected to organize and to assess the performance information already available and that collected or discovered in the course of this study in terms of the framework created above, in order to provide a quick orderly assessment of the present state of knowledge in the topic area. The grantee is to state from the existing data what appears to be known in terms of the assumptions included in the framework, what gaps in information and knowledge exist, and what confidence might be placed in the presently available results. This will involve not just the simple use of past findings, but an assessment of their accuracy and reliability in terms of what has been learned in this phase.

As with performance data, the Phase I grantee is expected to collect and relate all existing or easily available cost and/or effort allocation data from the projects both to the specific project descriptions and to the general framework created.

The Phase I grantee may or may not be able to evaluate the success or failure of the projects in the topic area at the end of Phase I. He must assess and summarize the state of knowledge presently available about success or failure. By using a general framework for assessing the existing information, the present state of knowledge about success can be explored to determine the nature of gaps in the information about both the internal assumptions and activities of the projects and the impact of these assumptions or activities on outcomes. This assessment should be a separate end product as well as a consideration in suggesting alternative Phase II evaluation strategies.

This product should summarize grantee's best judgment of what is known and how accurate that knowledge is. This product is expected to be given wide distribution and should be useful to both practitioners and researchers. It is likely in some topic areas that there will be lack of comparability in many cases, omissions of needed data, etc. Nevertheless, grantee is held in this assessment to the task of making a professional judgment of all collected information and placing confidence limits on the answers given in that judgment.

The assessment will encompass:

- Determination of ranges of performance and effectiveness of projects within the assumptions outlined in the framework.
- Confidence in data available in previous studies, problems in previous work.
- Identification of any factors seen likely as leading to success or failure
- Clear gaps in present knowledge and why.

- Costs of alternative versions of projects in topic area.
- Alternatives not included in the topic area.

G. DESIGN FOR PHASE II

The framework provides a general basis for any type of evaluation in the topic area. Assessment of the present state of knowledge arranges the known information in terms of that framework. The projects that have been described provide an existing universe for potential measurement. The design for a potential Phase II evaluation draws upon all of these previous efforts and, wherever present knowledge appears insufficient, determines through what approach and at what cost needed improvement in the present knowledge base can be obtained. In addition, it will be necessary to determine if there is already a suitable universe of existing projects for evaluation, or if specific expansion of existing projects, funding for special data collection efforts, funding of additional projects with similar operations, or other augmentation will be necessary to produce sufficiently definitive answers. (The ideal finding, of course, would be that present information is sufficient and no further evaluation needs to be carried out.) The design must address these technical questions of how to obtain missing information; it must also address the question of how valuable it would be to obtain various levels of certainty.

For local use, it is important to determine whether sets of projects (or families of projects) nationally have large and significant impacts, or generally have a small or non-existent impact.[1] LEAA/NILECJ is not interested in distinguishing impacts that are too small to be of practical importance. In this sense, the ideal finding (in a case requiring further evaluation) might be that a sizable group of projects of a similar type appear on the basis of collected information to be generally effective or generally ineffective. The design effort for the Phase II evaluation could then be concentrated on developing the methods and estimating the costs for producing an accurate evaluation[2] of the effectiveness of projects of this type (improving the accuracy of present knowledge). Results of the Phase II evaluation, along with detailed descriptions of the type of project, could then be made available nationally for use by SPAs and by local officials.

However, in this type of highly decentralized environment, what is generally found is that the projects are similar in intent but dissimilar in selection of, or emphasis on, particular intervention activities and also dissimilar in the level of results produced, often ranging from obvious

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1. To successfully spread a technique or approach across the country, that technique or approach must succeed over a variety of conditions and with average personnel and management. Thus "sets" of projects with similar outcomes are a more powerful demonstration than single project successes.

2. The grantee should offer NILECJ a choice among evaluations producing definitiveness and accuracies of different degrees. These should be associated with their expected costs.

successes to obvious failures. In these cases it becomes necessary to develop an evaluation design based on a general framework of activities and including sufficient numbers of operating projects that mathematical techniques can be used to assess the degree to which various operating assumptions are valid. In some cases, efforts may be necessary to attribute the apparent effect that project components had on the success rates for the projects involved. The grantee will estimate the importance, feasibility, methods and cost of obtaining various measurements to test the assumptions given in the framework.

Where further evaluation appears warranted, the grantee will estimate the importance, feasibility, methods and cost of obtaining controls, comparisons or relative comparisons for testing operating assumptions and establishing effectiveness. As applicable, the grantee will discuss the necessity for, cost of, and potential methodology for attributing success to particular components within a type of project.

In summary, the design effort determines whether additional evaluations are necessary, what evaluation options should be considered, and what universe of projects would be necessary for making the tests suggested, and specificly details those designs and their expected costs.

H. SINGLE PROJECT EVALUATION DESIGN FOR STATE AND LOCAL USE

Using the framework as a basis for design, grantee will develop and describe an evaluation strategy for use by state and local users that is applicable to a single project typical of the topic area. This will include measurements (standard data elements) and comparisons to be made at the local level. This should be simple and specific enough to be implemented directly by a local project

ANNEX B

The Development of the Guidance for a Phase I Study

Introduction

The development of the guidance (or work description) for a Phase I study provides an example of the growth in capability that can be obtained when a systematic process is followed, the results examined, and improvements made. This annex contains three documents:

B-1: Work Description for a Phase I Study Under the National Evaluation Program, NILECJ/LEAA; November 1974.

B-2: Reporting the Results of a Phase I Study (Guidance Memo: NILECJ to Phase I Grantees); June 2, 1975.

B-3: Work Description for a Phase I Study; February 1977.

Improvements in the ability to specify and describe a Phase I study through the work descriptions will be discussed briefly in this annex.

Information for Improving the Guidance Over Time

The first work description that is displayed in this annex (issued in present form in November 1974) was available early in 1974 and was in essentially this same form throughout the first 27 Phase I studies. Considerable effort was put into briefings elaborating various aspects of the work description for monitors and grantees. After the first 17 Phase I studies came to completion, the following material had been generated concerning the work description.

- Interviews with grant monitors and report users concerning strengths and problems.
- Interviews with Phase I study Principal Researchers concerning strengths and problems.
- Work description copies marked up by Principal Researchers and NILECJ staff to indicate strengths and weaknesses.

The Development of the Guidance for a Phase I Study

ANNEX B

to

THE NATIONAL INSTITUTE'S INFORMATION MACHINE
A Case Study of the
National Evaluation Program

This annex contains:

B-1: Work Description for a Phase I Study Under the National Evaluation Program, NILECJ/LEAA; November 1974.

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B-3: Work Description for a Phase I Study; February 1977.

B-2

Reporting the Results of a Phase I Study
(Guidance Memo: NILECJ to Phase I Grantees);
June 2, 1975

UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE
WASHINGTON, D. C. 20530

To: National Evaluation Program
Phase I Grantees

June 2, 1975

From: Richard T. Barnes
NEP Coordinator

Subject: Reporting the Results of a Phase I Study

Reference: "Work Description for a Phase I Study under the National Evaluation Program;" August, 1974; NILECJ/LEAA (Attached).

I. INTRODUCTION

Each Phase I Study calls for assembling--in a structured way--available knowledge in a particular topic area. A determination is then made of what is "known" at present and what is "knowable" with a reasonable amount of further investigation. The particular structure of the work requirements and products is explained in detail in the reference cited above (pages 7-18). Each grantee should periodically review both the work description and their own proposal in the course of their work. As part of the National Evaluation Program, each final report will be carefully reviewed against other final reports and against the products required in the work description.

As yet, no final Phase I Study products have been received, critiqued and used, although some will be arriving soon. Therefore, we are still dealing with a rather abstract question in our attempt to develop the most useful format for the final report. Our feeling is that the type of arrangement described in this memo will be the most useful and accessible format for use, both here at The Institute and for a variety of distributions that will be made soon after the report is delivered. As we gain further experience with actual reports from these studies, we will forward further information to you.

II. THE FINAL REPORT

Some grantees will be delivering each work product as a separate document, some will be combining them into a single final report, according to the terms of each grant. In each case, the final reporting of the work is expected to draw its structure from the work products referenced in the work description. Where a single final report is submitted, each work product is expected to be reported in a distinct section of the final report. These sections are described in the reference cited and are reiterated with illustrative questions in an attachment to this letter. Since the products are designed to build one upon the other, this arrangement should simplify presentation and reduce duplication. Additional sections or appendices may be added by authors.

The work product report, or section of the final report, that is drawn from Work Product 2 (field work) should contain the final topic area definitions selected, the universe of projects considered, the method of sampling, the projects contacted or visited, and any applicable summary data about the universe of projects or about those contacted. The field collections made in Work Product 2, while deliverable, are not required in publishable form. The field collections themselves may be submitted in triplicate, loosely bound.

By design, the time and resources available to a Phase I grantee are very limited. Careful use of both is essential and demands that the grantee keep primary Phase I goals (as described in the work description) uppermost in his mind as he paces his activity. It also means that the grantee avoid the temptation of going beyond what a Phase I calls for. We are not expecting a thorough and academic treatise on the pros and cons of all issues and all philosophies underlying project designs; rather, we expect a catalogue of what those issues appear to be. We are expecting a concise "snapshot" of what each topic area looks like in reality, based on surveys, phone surveys, and site-visits. We are expecting to know what "success" means and how it can be measured in the topic area. We are expecting, a determination of how much "knowledge" exists, what that knowledge implies, and what additional information, or research, would be necessary to support or reject the conclusions drawn from prior research and presently available data. We are expecting evaluation design(s) that, if implemented, would produce such knowledge nationally and locally. We are expecting estimates of the cost of carrying out such an evaluation. We are expecting a design showing the owner of a single such project what he could (and should) monitor and evaluate.

III. THE FINAL SUMMARY

Researchers interested in the full technical details will be referred to the full final report(s). For policy makers and operational personnel, such detail may not be appropriate. Based on comments upon my February 27th memo on format, the Phase I grantee should deliver to the Institute the following summary. This summary material should be succinct, not highly technical, but written with programmatic personnel in mind, and should be capable of standing alone (although it may contain references to the full final report). Also, it should be suitable for wide distribution: camera ready copy typed on 8 1/2 X 11" paper with all margins to be 1". The page count given below is intended as an upper limit. In many cases, summaries can be much briefer and still convey a sound representation of the content of the final report.

- o A 40 page (or less) summary that summarizes the material in the main report representing Wc k Products 1,2,3, and 4. This summary will cover issues, field work, synthesized framework, and assessment of what is known in terms of the framework. It should be capable of standing alone for distribution.

IV. RELATION OF NON-SUMMARIZED FINAL REPORT MATERIAL TO THE SUMMARY

Work Product 5 (Design for a Phase II) will either be reported separately or be represented by a section in the main report (depending upon the terms of your particular grant). Persons considering whether to approve a Phase II evaluation will be initially given the summary above and Work Product 5. Since Work Product 5 would always be accompanied, when distributed, by the summary above, it need not repeat material contained in the summary.

Similarly, final Work Product 6 (Single Project Evaluation Design) should be suitable for local administrators. Since Work Product 6 results would always be accompanied, when distributed, by the summary above, final material from this work product also need not repeat material contained in the summary.

The summary and these last two work products will undergo a rapid review process and subsequently may be disseminated to the LEAA Central Offices, LEAA Regional Offices, and State Planning Agencies. They will provide the earliest representation to become available of the results of your Phase I Study.

This approach should allow us to provide operational personnel with useful feedback which is as rapid as we can make it. In addition, Phase I final reports will receive consideration for publication in full with wider dissemination. The grantee's final report will undergo the standard NILECJ internal and external review process, and a decision as to publication will be made. Regardless of that decision, this final report should be publicly available (through NCJRS, NTIS, or SSIE).

V. REVISING AND IMPROVING THE APPROACH

Since the NEP is being developed to be a continuing activity, we are interested in learning about both the problems in understanding it and the problems of executing such a study. The Urban Instiute will be contacting you (both during your project and following it) in order to collect information about the usefulness of this approach and your problems with it. The material gathered will be used both to improve the NEP approach and to prepare a case study of the execution and results of the NEP. Copies of the final case study report will be made available to the grantees for their comment and use.

VI. ENCLOSURES FOR YOUR USE AND/OR INFORMATION

(1) List of the six required work products annotated with illustrations of the types of questions that might be answered in each work product.

(2) List of LEAA Regional Office and State Planning Agency contact persons for NILECJ related business. Please utilize this list to inform both the relevant Regional Office and State Planning Agency of your plans to undertake research activities within their jurisdictions prior to doing so. Site-visits and project level interviewing in particular should be cleared with the Regional Office and State Planning Agency prior to their being undertaken.

(3) TASC Phase I background brochure. The Lazar Institute, the NILECJ Phase I grantee assessing the Treatment Alternatives to Street Crime Program, has prepared an exemplary brochure which succinctly describes their project. They are using this brochure to provide interviewees and other sources of information with a basic understanding of their activities. It promises to facilitate cooperation and conserve valuable interview time, and is included as an example you might wish to emulate.

(4) List of all current Phase I grant project directors and their addresses. This is provided to facilitate the exchange of information and the opportunity for commiseration among Phase I grantees.

CONTINUED

1 OF 3

ATTACHMENT

LISTING OF THE SIX REQUIRED WORK PRODUCTS ANNOTATED WITH ILLUSTRATIVE QUESTIONS

Briefly (see work description for more detail), the work products required are:

Work Product	
1	o Issue paper drawn from general knowledge and past findings.
2	o Flow diagrams of existing project intervention activities and accompanying descriptions (not required to be in publishable form).
3	o A synthesis from the information collected of a framework(s) for use in analyzing existing activities in the topic area.
4	o An assessment--in terms of the useful measures and comparisons shown by the framework--of what is presently known about interventions in the topic area.
5	o An evaluation design based upon the framework and all prior knowledge gathered. The design should cover what is not known that could be authoritatively evaluated, how such evaluation(s) would be performed, and probable cost(s).
6	o The design of a project evaluation in the form useful for a single local project.

I am optimistic that some important questions can at least be partially answered as a result of each Phase I Study. Representative questions are given below to illustrate some of the areas that you will be addressing. Additional questions may be drawn from the attached work description and from your own work.

Issues:

What are the theoretical issues and types of interventions believed to be promising in the topic area?

What seem to be the implementation problems and operational issues in the topic area?

Universe of Projects:

What are the defining characteristics of the universe of projects or activities which properly fall into this Phase I area?

Which projects are comparable because the basic activities engaged in are similar, which are comparable only through similar measurable objectives, and which are non-comparable? (It might be well to remember that in order to proceed to the other work tasks at least some sets of comparable projects must be selected for study.)

Based on the definiton of the universe, what data are available that describe this universe, i.e., numbers of projects of a type, funding levels, characteristics, etc.?

Field Work:

What sampling method was followed to select the projects to be contacted by survey, phone, phone interview, and/or on-site visits?

What information is now being collected by the projects, or could be, which makes it possible to monitor project progress or evaluate success? Is either monitoring or evaluation being carried out?

What flow and function diagram(s) shows the actual interventions made by projects and indicates the basis for and measuring points of assessment data? What comparisons would be made?

What assumptions represented by actual activities best describe the strategy of intervention carried out by the projects visited? For purposes of evaluation, should we depict more than one general project family or type within the topic area?

Synthesis of a Framework:

What basic assumptions appear to represent the actual activities in the field; beginning with the money spent to produce project activity, the project activity to produce an immediate outcome, and carrying through from the immediate outcome to the impact upon the problem addressed.

What flow and function diagram(s) could be synthesized from the previous products to represent a typical project(s) in its Criminal Justice System context? Where on the diagram do intervention activities, immediate outcomes, and impact occur? What would be measurable? Where on the framework?

Assessment of Known Results:

From your work, what relevant data are now available? How accurate or reliable do you think these data are? Why? Who is collecting them? How are they presently used? What conclusion can be drawn with what degree of confidence?

From the past evaluations collected, what evaluation results are now available? How accurate or reliable do you think this knowledge is? Why? Can additional calculations be made from existing data? Which of the measures suggested above are satisfied?

Are there, or have there been, some obviously proven successes or failures?

Are there environmental or exogenous factors which must be accounted for (or measured) in order to evaluate success or failure?

What are the information or evaluation gaps? How important are these gaps in making authoritative statements of success or failure of projects?

Using the framework(s) from Product 3, show what would be needed to make an assessment of success or failure of projects in the topic area on activity measures, outcome measures, and impact measures.

Phase II Evaluation Design:

Having identified the gaps in our present knowledge, what additional data would be required to produce a valid evaluation of success or failure in the topic area at the levels of project activities, immediate outcomes, and impact on the problems defined? How feasible is it to collect such data? How costly?

What measures and comparisons would be used? How are these related to the flow and function diagram.

Should a Phase II evaluation be performed in this topic area? What would it consist of? What would it prove beyond what is already known? How could the evaluation information recommended be used? How much would it cost?

Evaluation Standards for Individual Project:

Adapting the framework and measures developed in the course of your study, what common evaluation design is feasible and should be implemented for individual projects of this type? What activity or output related data should, at a minimum, be routinely collected for monitoring and how could such information be used? What measures should be adopted by a single project? These recommendations will hopefully be a step toward the development of evaluation standards for criminal justice activities.

B-3

Work Description for a Phase I Study;
February 1977.

WORKING PAPER: 5070-03

WORK DESCRIPTION FOR A PHASE I STUDY

by

Joe N. Nay
Richard T. Barnes
Peg Kay
Elliot Z. Ratner
Lucile Graham

February 1977

THE URBAN INSTITUTE
WASHINGTON, D.C.

TABLE OF CONTENTS

Page

I. INTRODUCTION 1

A. BACKGROUND 1
B. THE APPROACH 2

II. OVERVIEW OF A PHASE I STUDY 5

A. WORK TASKS 5
B. PROCEDURES 6
C. PRODUCTS 8

III. WORK TASKS REQUIRED 11

A. DEVELOPMENT OF CRITERIA FOR THE INCLUSION OF PROJECTS IN THE TOPIC AREA; INCLUSION OF PROJECTS; SURVEYS OF THE INCLUDED PROJECTS 11
B. DESCRIPTION OF THE ACTUAL INTERVENTIONS MADE BY OPERATING PROJECTS AND CREATION OF EQUIVALENT FLOW DIAGRAMS AND MEASURES 14
C. CREATION OF A SYNTHESIZED FLOW DIAGRAM AND MEASURES FOR THE TOPIC AREA 22
D. GATHERING GENERAL KNOWLEDGE IN THE TOPIC AREA 30
E. COMPILATION OF PAST FINDINGS OF FACT IN THE TOPIC AREA 31
F. COMPILATION OF EXPECTATIONS FOR PROJECTS IN THE TOPIC AREA AND SPECIFICATION OF METHODS AND POINTS OF MEASUREMENT TO SHOW WHETHER EXPECTATIONS HAVE BEEN MET 31
G. ASSESSMENT OF THE PRESENT STATE OF KNOWLEDGE ABOUT PROJECTS IN THE TOPIC AREA 32
H. DESIGN OF AN APPROACH FOR OBTAINING MORE INFORMATION 34
I. FIELD FEASIBILITY TEST OF THE MEASUREMENTS DESIGNED 35

IV. PRODUCTS 37

A. THE PRELIMINARY REPORT 37
B. THE INTERIM REPORT 37
C. THE PUBLISHABLE REPORT AND ANNEXES 37
D. THE PUBLISHABLE SUMMARY 39
E. TASK H DRAFT REPORT 40
F. THE SUPPLEMENTAL REPORT 40

TABLE OF CONTENTS (Cont'd)

LIST OF TABLES

Table		Page
II-1	-- PROCEDURES FOR ACCOMPLISHING PHASE I TASKS	7
II-2	-- DELIVERABLE PRODUCTS	9
III-1	-- EXAMPLES A AND B: TABULATION OF MEASUREMENT POINTS AND MEASURES	25
III-2	-- EXAMPLE C: SYNTHESIS OF MEASUREMENT POINTS AND MEASURES OF GENERAL INTEREST AS DERIVED FROM EXAMPLES A AND B	26

LIST OF EXHIBITS

Exhibit		Page
II-1	-- Relationship of Work Products to One Another	10
III-1	-- Intensive Special Probation Project Flow Diagram	17
III-2	-- Intensive Special Probation Simplified Case Flow Diagram for a Project Intervention	18
III-3	-- Sample Pre-Trial Screening Decision Flow Chart	19
III-4	-- Example A - Simplified Measurement Model of an Intensive Special Probation (ISP) Project - Client Flow Diagram	23
III-5	-- Example B - Simplified Measurement Model of an Intensive Special Probation Project - Client Flow Diagram	24
III-6	-- Example of an Intensive Special Probation Generalized Client Flow Diagram (Synthesis of Examples A & B)	27
IV-1	Publishable Report	38
IV-2	Publishable Summary	40

I.

INTRODUCTION

The National Evaluation Program (NEP) of the Law Enforcement Assistance Administration (LEAA) is conducted through the Special Programs Division of the Office of Research Programs at the National Institute of Law Enforcement and Criminal Justice. The program is administered through a series of specific grants and contracts from the National Institute.

A. BACKGROUND

In response to evaluation provisions contained in the Crime Control Act of 1973 (PL 93-83), LEAA established an Evaluation Policy Task Force composed of representatives of State Planning Agencies (SPAs) and LEAA. The purpose of the Task Force was to develop a comprehensive evaluation policy for LEAA. Identifying the "production and dissemination of information on... various approaches to solving crime and criminal justice problems"[1] as a major evaluation goal, the Task Force recommended that LEAA undertake a National Evaluation Program (NEP). Recognizing that "certain types of information can best be produced through a nationally coordinated evaluation,"[2] the Task Force suggested that the NEP capitalize on the action grant program by building evaluation designs around operating projects so as to assess whether a particular concept is likely to be successful under a variety of conditions, organizations, and management.

Under the action grant program, SPAs and local criminal justice system administrators select, direct and control implemented projects. Many of the implemented grants fall naturally into groupings of projects that have similar activities or objectives (e.g., preventive patrol, pre-trial screening...).

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1. U.S. Dept. of Justice, LEAA, "The Report of the LEAA Evaluation Policy Task Force," March 1, 1974, p.17.
2. Ibid., p.5.

Yet despite the fact that projects of similar natures are and have been operated with some frequency throughout the country, it has been difficult for an SPA or criminal justice system administrator to (1) obtain comparison data on a project type, (2) determine whether a type of project under consideration had been generally successful or unsuccessful in other communities, or (3) find out what effect emphasizing particular components of a project type might have on its success or failure. The major reason for this problem has been a lack of comprehensive evaluations that cover types of projects with the same activities and collect similar information about each project.

Both because of these problems and because of the Congressional requirements for better oversight information, the Office of Research Programs of the National Institute of Law Enforcement and Criminal Justice launched the NEP. It is expected that experience with the program will lead to an understanding of the methods required to successfully gather, collate, and present information that is usable--and used--by SPAs and local administrators.

In consultation with state and national law enforcement officials, NEP personnel compiled a list of projects and clustered them into objective-related topic areas. The types of information required for each topic area were assembled and a general plan was conceived for satisfying the requirements. That plan for gathering knowledge is implemented in two distinct, successive phases: Phase I and Phase II.

The Phase I studies are designed to specify more accurately what exists, what is known, and what the real information needs are. In each topic area an attempt is made to assemble what is known about the actual activities, outcomes, and effectiveness of existing projects of that general type and to determine if the present knowledge--when assembled--is sufficient to be useful in planning and funding decisions by the SPAs and local agencies. If the present knowledge does not appear sufficient, designs are developed specifying (1) what, (2) how, and (3) at what cost information should be obtained.

Phase II studies take the next step of systematically collecting evaluation information from selected projects based on what was learned in the Phase I study.

B. THE APPROACH

The NEP approach differs from more traditional research and evaluation efforts in that (1) it employs a methodology designed to obtain comparable measurements from a wide variety of projects which, because of the necessary absence of "experimental rigor," are often adjudged "non-comparable," (2) the same detailed work plan is followed by all research units in order to insure both that all elements of interest will be systematically investigated and

that unambiguous information will be easily accessible to users, and (3) it contains a mechanism for the evaluation of the NEP itself so that, while the basic approach is held constant over time, a continuous assessment[3] of its progress and yield will lead to improvements in the process as the program matures.

The essence of the NEP approach is the sequential accumulation of knowledge, the identification of "knowledge gaps," the systematic comparison of the estimated cost of filling those gaps to the expected value of filling them, and a regularized procedure for making stop-go decisions.

The elements involved in the NEP approach are:

- The identification of areas of interest by the expected users of the information, i.e., national law enforcement and criminal justice officials, SPAs, and local administrators.

- The grouping of operating projects into "topic areas" of expressed general interest.

- The systematic investigation of topic areas with paramount effort directed toward on-site observation and analysis of projects as they operate in their environment.

- The presentation of results in the form of flow diagrams which display the salient characteristics of each project observed and which are used as the touchstone of discussions about each topic area.

- Assessments of what presently is and is not known in the topic area.

- The creation of evaluation designs for the purpose of gathering information to fill specific, identified "knowledge gaps."

- A staged review process to determine when the information gathered is "enough" and/or whether the purchase of additional information would be worth the price of purchase.

The NEP follows a structured approach divided into two formal phases. Phase I covers the collection, synthesis and assessment of what is already known. Many Phase I investigations are either adequate in themselves, demonstrate the infeasibility of further evaluation in that topic area, or indicate that the cost of obtaining more accurate knowledge is too high when compared with its possible value to LEAA, the SPAs and the local administrators. In the other cases, however, Phase II (an actual field evaluation) is implemented following the conduct of the Phase I.

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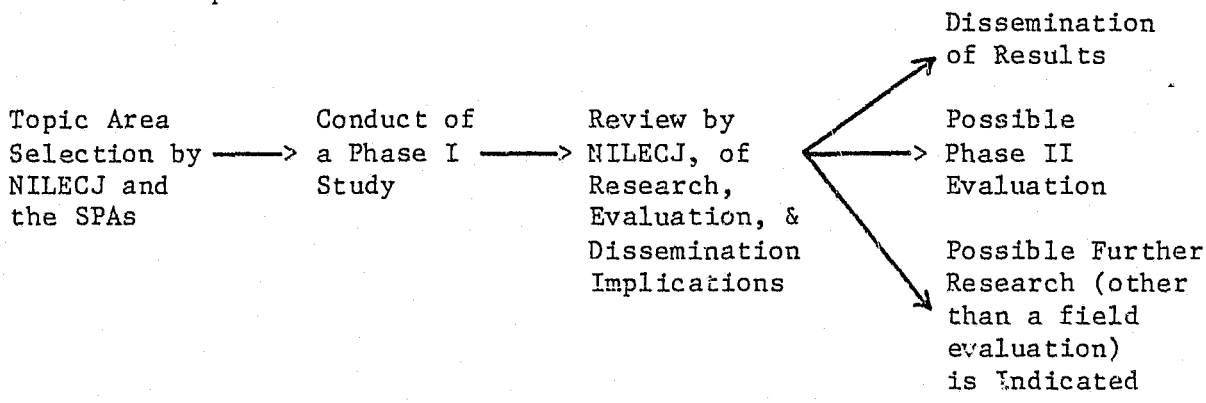
3. Under a grant from NILECJ, the Urban Institute is serving as a technical advisor and is preparing a case study of the entire NEP effort.

The sequence of events is:



This document describes only the Phase I work effort to be conducted in a topic area.

II.

OVERVIEW OF A PHASE I STUDY

Each grantee will undertake an extensive study covering the collection, synthesis and assessment of what is known about a given topic area. While the studies will include a review of general knowledge and reported findings of fact, its main thrust will be to build upon observation of actual projects in the field.

A. WORK TASKS

Nine work tasks (discussed in detail in Section III) will be accomplished:

Task A: Development of criteria for the inclusion of projects in the topic area; inclusion of projects; surveys of the included projects.

Task B: Description of the actual interventions made by operating projects and creation of equivalent flow diagrams and measures.

Task C: Creation of a synthesized flow diagram and measures for the topic area.

Task D: Compilation of general knowledge in the topic area.

Task E: Compilation of past findings of fact in the topic area.

Task F: Compilation of expectations for projects in the topic area and specification of methods and points of measurement to show whether expectations have been met.

Task G: Assessment of the present state of knowledge about projects in the topic area.

Task H: Design of an approach for obtaining more information.

Task I: Test of field feasibility of the measurements designed.

B. PROCEDURES

The tasks outlined above, taken together, constitute a Phase I study. In order to complete the tasks, it is necessary to follow prescribed procedures. Table II-1 describes the procedures. The Phase I process is iterative and the tasks cannot be performed sequentially. Many of the tasks develop information that is used to refine the products of other tasks. Thus, usually several tasks are dependent on the procedures outlined in the table. The final column of the table indicates the tasks dependent on the procedure described in that row.

The most important step in each Phase I study is to determine and describe the activites that actually occur at operating projects within the topic area.

Flow diagrams are to be created that are equivalent (for measurement purposes) to the actual field activities of a set of operating projects. These diagrams are to be constructed on-site through observation. Other activities directly affected by the projects, or directly affecting the projects, are to be included in each flow diagram. All previous (or proposed) measurements of expected process, outcome, and impact for each project must be assessed in terms of the equivalent flow diagram for that project. Process, outcome, and impact measurement points and measurements must be identified, defined, and discussed in terms of the project flow diagram.

The flow diagram is used to form a basis for discussion of the extent to which the applicable, desired measurements already have been made and to bound the possible (or likely) range of further answers that could be obtained through measurement. The flow diagram and its related measurements serve as a framework for the assessment of what is known and what is not known for each project that is visited.

The grantee or contractor accumulates both the detailed knowledge of the activities performed by a set of actual operating projects and also a wider knowledge of the topic area. The grantee or contractor then draws on this information to synthesize general flow diagrams (and related measurement points and measures) for use in addressing expectations about similar projects (or similar sets of projects) in this entire topic area. Past research, monitoring, and evaluation information throughout the topic area are then assembled, examined, assessed, and presented in terms of the synthesized flow diagrams. What is known or not known about expected performance in the topic area generally is then discussed and designs for developing missing, but valuable, information are developed for use in two ways, nationally and by single isolated projects. The cost of executing these designs is estimated. Finally, the grantee or contractor will be asked to field test some portions of their own designs for collection of data and information.

Procedure	Description	Purpose	Outcome	Dependent Tasks
Acquire list of projects related to the topic area (universe).	Compilation of the names and locations of projects that apear to fit the topic area. Data is gathered from a variety of sources, e.g., grants lists, snowball interviews, specialized journals and trade publications....	Creation of a pool of projects for investigation.	List of candidate projects.	A-H
Define and detail topic area.	Development of criteria for inclusion of projects within the topic area. These criteria may include (among others) functional descriptions (e.g., Pre-trial Screening progress will include only non-felony cases) boundaries (e.g., Pre-trial Screening will include activities between booking and seeking an indictment), and activities (e.g., screening for community ties).	Limitation of universe to be considered.	List of criteria for inclusion of projects.	A-I
Match universe list with criteria for inclusion of projects within topic area.	Process of iteratively reducing the pool of candidate projects and revising the criteria for inclusion.	1. Reduction of the list of candidate projects to a manageable size. 2. Revision of criteria for project inclusion in order to ensure an adequate pool of projects of interest.	1. List of projects of interest. 2. Revised description of topic area.	A,B,C,E,F,G,H.
Acquire and examine both general knowledge of the topic area and specific findings of fact relevant to the topic area.	Compilation of the known theories, methodologies, laws, research studies, evaluations, and other material relevant to the topic area. Data is gathered both from the generally available literature and from sources contacted during the performance of other activities associated with this project.	1. Creation of a basis of communication with the people involved in the projects of interest. 2. Development of a base of theoretical knowledge and hard data.	Outline of theories and putative facts.	B,D,E,F,G.
Determine level of interest in each of the projects listed.	Classification of projects according to the amount of information to be collected about them. This is done by "scanning" the projects through surveys, telephone interviews, and the like, to see which projects (1) actually exist, (2) operationally fit the developed criteria, (3) will cooperate, (4) are of manageable scope, (5) have characteristics of general interest.	Determination of how the effort for the investigation of actual projects is to be allocated	Stratification of projects into levels of passing interest (information needs satisfied by survey), moderate interest (information needs satisfied by telephone interview) and great interest (information needs satisfied by site visits and analysis).	A,B
Describe selected individual projects through on-site observation.	Description of project personnel's expectations of the project's outcome and/or impact, the administrative and organizational activities, the point-of-service activities, the allocation of resources, and the exogenous variables affecting the project. Data is gathered during on-site observation.	Introduction of reality.	1. Description of the point-of-service activities of each project. 2. Lists of expectations of each project. 3. Lists of resource allocation of each project. 4. At least three diagrams for each project to include an illustration of: the project from resource input to expected outcomes; the interventions made directly by the project (organized around some unifying flows); and the project in the larger environment that may have to be explored in order to assess its expectations. 5. List of potentially useful measurements extrapolated from project expectations and elements of interest indicated in the literature. 6. List of environmental characteristics of each project	B,C,F,G,H,I.

TABLE II-1

PROCEDURES FOR ACCOMPLISHING
PHASE I TASKS

Procedure	Description	Purpose	Outcome	Dependent Tasks
Compile composite description of individual projects and their environments.	Categorization of elements of interest related to each project under general descriptors (e.g., "intake criteria," "types of contact," "service rendered").	Display of all reasonable options for measurement points and measures at the project sites.	Tabulation of all elements of of interest.	C,F,G,H.
Synthesize individual project flow diagrams into topic area flow diagrams.	Creation of one or more "master" flow diagrams displaying elements of interest common to all or representative groups of projects investigated.	Display of widely applicable options for measurement points and measures.	Synthesized flow diagrams illustrating measurement points and measures.	C,F,G,H.
Match findings of fact to synthesized flow diagrams.	Discussion of putative facts, (as reported in the literature and uncovered during site visits) as they relate to measurement points indicated on the synthesized flow diagrams. Professional judgment is exercised to separate reported measurements that appear valid from those of dubious validity.	Compilation of all known valid measurements of interest relating to the topic area.	Matrix displaying known valid measurements reported against expectations and the measurements feasible, indicating both what is known and gaps in knowledge.	G,H.
Match general knowledge to descriptions of point-of-service activities and to synthesized flow diagrams.	Discussion of reported hypotheses, outcomes, and theories as they have been applied in the projects investigated. Discussion includes applicable measurement points as indicated on the flow diagrams and anecdotal items of interest as reported in the point-of-service descriptions.	Compilation of possible measurements to test reported hypotheses and expectations and applicable narrative commentary.	Matrix displaying reported theoretical hypotheses and expectations against related known activities, confirmations or contraindications. Table indicating gaps in knowledge and unreconciled differences between theory and practice.	G
Match "knowledge gaps" to estimated level of interest in obtaining valid information.	Assessment of whether the acquisition of given information would be of value to potential users. The judgment is made in the context of interest reported in the literature, interviews and discussions held during the course of the investigation, and needs of federal and state decisionmakers.	Identification of potentially useful areas of further evaluation or research.	List of measurements necessary to obtain the desired information.	G,H,I.
Identify and/or develop methods of acquiring the potentially useful information.	Development of instruments, data collection techniques, sampling strategy, cost-of-research estimates and site selection.	Definition of strategy options for further evaluation of research.	Alternative designs for monitoring and evaluation.	H.
Select level-of-effort.	Match of expected cost of alternative strategies to expected value of the information to be obtained. This is a judgment arrived at by NILECJ in consultation with the investigator and others.	Preparation for feasibility testing in the field.	Selected strategy.	I.
Test evaluation strategy and measurement techniques.	Test of the selected strategy. Performed at selected sites, the test is relevant to questions of feasibility, accuracy of estimated costs, and the value of information obtained.	Acquisition of information to support decisions on continuing research.	Phase II and further research decisions.	

TABLE II-1 (Cont'd)

PROCEDURES FOR ACCOMPLISHING
PHASE I TASKS

The process of arriving at a final report is one of successive correction through making alternate adjustments to the definitions, universe, synthesize flow diagram, and suggested field data collections until the topic area can be treated in a manner that is both consistent and believed to be representative of some major set or sets of the actual field projects. It is impossible to perform one of these studies by simple sequential steps or simply through classic closed-end surveys.

C. PRODUCTS

Six deliverable products are created during Phase I. They are described in Table II-2.

The Phase I products are essentially all components of a single master report (each product dependent on the completion of its predecessors). The relationship of the products to one another is shown in Exhibit II-1.

TABLE II-2

DELIVERABLE PRODUCTS

Product	Description	Time To Delivery
1. Preliminary Report	Definitive description of topic area including criteria for inclusion of projects; list of projects being considered for investigation; sources from which list of projects was obtained; types of activities that represent sets of actual projects; prevalent expectations for projects in the topic area; level of interest in each of the projects; preliminary plans for site visits.	6-8 Weeks
2. Interim Report	1) Individual site visit reports including flow diagrams, description of intervention activities, measurement points and measures to be taken, statements of measurable expectations, external intervening variables, and project resources. 2) Synthesis of information collected on site visits including synthesized topic area "master" flow diagrams, related measures, mechanisms and logical chains through which expectations are to be realized, relative or absolute costs and resource levels and and allocations.	6-8 Months
3. Publishable Report	Main report on the work of the study; theory, policy, and expectations for the types of project in the topic area; synthesized flow diagrams and measures for topic area; assessment of present state of knowledge about the topic area.	11 Months
4. Publishable Summary	Short version of the publishable report, suitable for wide distribution.	11 Months
5. Preliminary Monitoring and Evaluation Designs	Proposed designs for obtaining additional information, including designs for Phase II evaluations and for monitoring single projects.	11 Months
6. Supplemental Report	Final designs for Phase II evaluations and for monitoring single projects; results of field feasibility tests.	18 Months

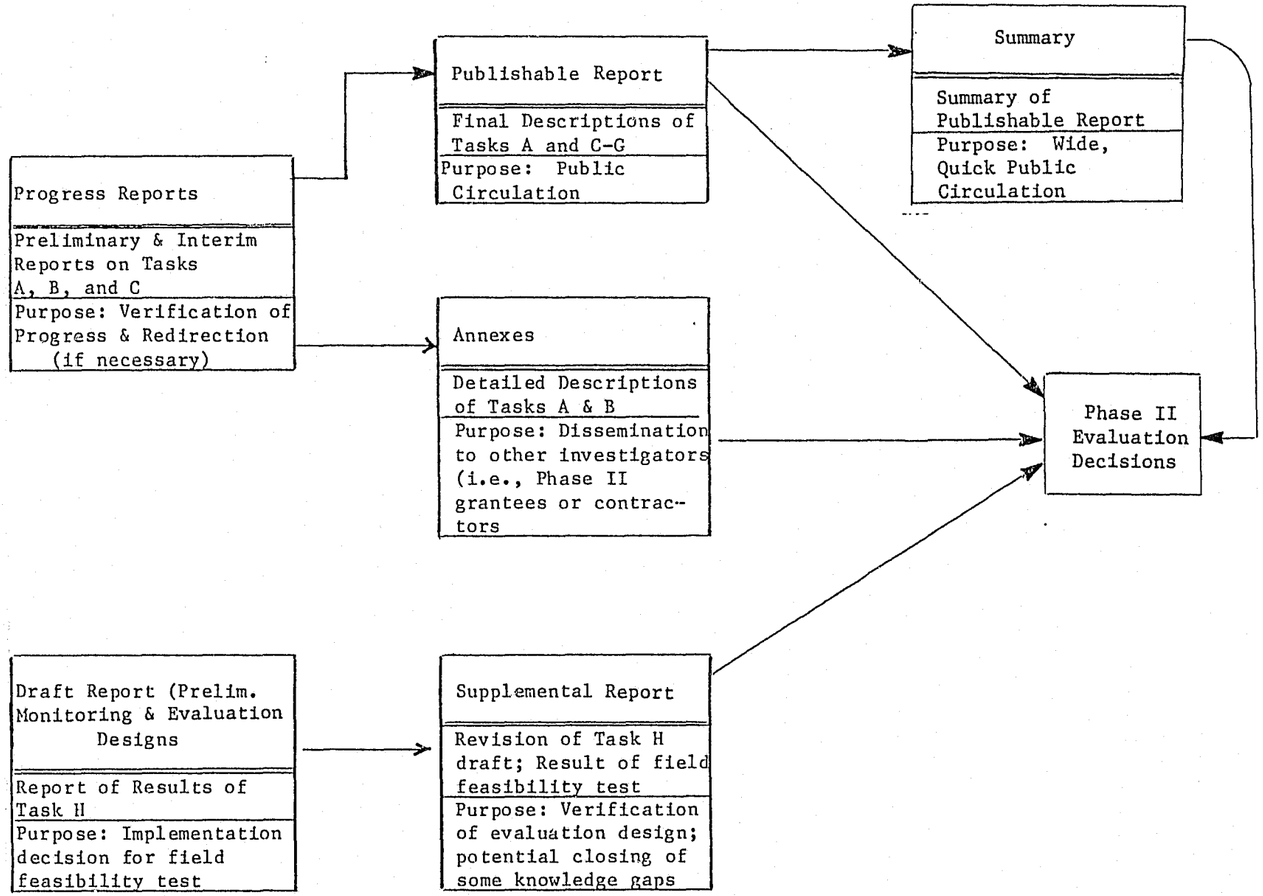


Exhibit II-1

Relationship of Work Products to One Another

III.

WORK TASKS

During most of Phase I, work on several tasks will proceed simultaneously. Information gathered in the course of performing one task can be expected to alter the work on and findings of other tasks. The sequence in which the tasks are presented below are principally for discussion purposes. In practice, much of the work will be iterative and interrelated rather than sequential.

A. DEVELOPMENT OF CRITERIA FOR THE INCLUSION OF PROJECTS IN THE TOPIC AREA; INCLUSION OF PROJECTS; SURVEYS OF THE INCLUDED PROJECTS

1. DEVELOPMENT OF CRITERIA FOR THE INCLUSION OF PROJECTS IN THE TOPIC AREA

The grantee or contractor must decide what projects are to be included in the study. For this to be done, the topic area must be well-described and the description must say what the topic area projects actually involve or look like in the field. (This will undoubtedly require some informal telephone interviews or visits to operating programs.) Each time that another project is found, the investigator must decide whether it belongs in the topic area or outside of it.

In some topic areas precise definition of what types of projects to include will be known beforehand. In other topic areas such definitions can only be developed as the variation in the types of existing projects becomes apparent. In either case, the grantee is responsible for developing a written definition that can be used to decide which projects belong within and which are excluded from the Phase I assessment.

The definition will include, as a principal component, the criteria that test a project for inclusion. The criteria may include such characteristics (among others) as function (e.g., pre-trial screening programs dealing with legal sufficiency), boundaries (e.g., pre-trial screening activities between booking and seeking an indictment), activities (e.g., screening for community ties), or personnel (e.g., screening by court-employed case workers).

2. INCLUSION OF PROJECTS

In the National Evaluation Program, the emphasis is on the assessment of an approach when it is used in many places by ordinary people. Information from a few pilot projects may indicate whether or not an approach can be made to work at all. But such demonstration projects may be operated by exceptional people or tested under exceptional circumstances. The emphasis of the NEP is upon how well an approach succeeds or works when it is tried in a large number of places under ordinary field conditions by ordinary people. For this reason, a large number of projects believed to fall in the topic area is located and listed.

The list is then screened to eliminate those projects that either turn out not to exist or do not match the developed criteria. Of this narrowed list, the grantee or contractor must decide which projects will be considered in the study and in what way. The decisions are made by "scanning" the projects through surveys, telephone interviews, or informal site visits in order to quickly learn more about their actual operations and to determine which projects contain characteristics of general interest. (Some projects will already be described in research reports and will in a sense be pre-selected because knowledge about them is already available.)

As more becomes known about the projects, the list will be sorted into levels of interest based on whether the estimated information needs can be satisfied by a survey or telephone interviews, or merits site visits.

After the formulation of a synthesized flow diagram and measurement scheme (Task C), it is often necessary to recontact some subset of projects to assure that the synthesis has a wide enough applicability. Finally, a number of specific projects will be selected for demonstrating field feasibility of the measurements selected and recommended (Task I) or for any recommended Phase II (Task H) evaluations.

The initial list should include most of the LEAA funded projects that fit in the topic area. Because of the nature of the distribution of these federal monies to the various Criminal Justice Systems, it should be expected that projects may be included that are totally LEAA funded, partially LEAA funded, and totally funded by others. Past grantees have found the LEAA Grant Management Information System, telephone surveys of the SPA's, snowballing of information from telephone inquiries, lists from previous research studies, and association memberships to be useful sources of candidates for the overall universe of projects. Seldom has one of these sources alone proven sufficient.

When Tasks A1 and A2 have been completed, a progress report containing the definitions and indicating the believed major types of activities of the projects should be forwarded to LEAA for comments. LEAA will notify the investigator within three weeks of any major modifications required.

This preliminary report is the first deliverable product (scheduled for 6-8 weeks after starting) and should include:

1. Definitive description of the topic area including criteria for inclusion of projects within it.

2. List of projects being considered.

3. Sources from which the list of projects was obtained.

4. Sets of similar types of projects (activities) prevalent within the topic area.

5. Prevalent expectations for projects within the topic area.

6. Level of interest in each of the projects.

7. Preliminary plans for site visits.

3. SURVEYS OF THE INCLUDED PROJECTS

Surveys of various kinds may be used for gaining overview information. The amount learned about projects in the topic area through this technique will vary from simply the location of many projects that apparently fit the description of the universe through brief sketches of the size, approach, activities, cost, and possible indicators of success or failure of many projects.

In surveys, less accurate and more general information is usually acquired about large numbers of projects. This is contrasted with the site visits where a much greater amount of information will be learned about a few projects. The particular mixture of this staged approach of gathering ever more detailed information about smaller and smaller samples of projects must be tailored to each particular topic area. Telephone survey(s) will generally be a necessity early in the project because of the tight time schedule of a Phase I assessment. The investigator may also choose to conduct (for background information) a wider mail survey for later analysis. Alternatively, even the broader survey might be conducted by phone. Surveys are either exploratory or supplemental, however, and are not to be used for constructing models of actual projects.

B. DESCRIPTION OF THE ACTUAL INTERVENTIONS MADE BY OPERATING PROJECTS AND CREATION OF EQUIVALENT FLOW DIAGRAMS AND MEASURES

The major intent of a Phase I investigation is to provide information of known reliability about the way that real projects are actually being operated in the field. In Task B, the grantee or contractor is to observe and describe a number of projects as they actually exist, as distinct from the statements of intent or expectation that may be contained in their grant applications, in other material reviewed, or received from those responsible for them. The grantee or contractor will utilize primarily on-site visits for observation, supplemented by telephone interviews, as the major methods for collecting this information. This information will be the raw material for all subsequent steps that attempt to develop a common model for measurement, analysis, and assessment of projects in this topic area. Once a good understanding of the operational realities of a number of projects in the topic area is obtained, it may be possible to expand the set of descriptions of actual projects by again using telephone interviews.

The field visits are intended to:

- o Anchor more firmly in reality the other information acquired; and
- o Obtain more precise detail about the actual activities that constitute the interventions of some particular projects.

The investigator will be expected to develop a detailed project file on each project to which a formal site visit is made. At a minimum, the file should contain the following:

1. Description of Intervention Activities;
2. Project Flow Diagrams;
3. Measures of the Project Activities, Outcomes, and Impact;
4. Statements of Expected Project Activities, Outcomes, or Impact;
5. External Intervening Variables; and
6. Project Resources.

1. DESCRIPTION OF INTERVENTION ACTIVITIES

Projects will differ substantially in terms of the activities actually conducted and the relation of their own activities to the activities of others outside of the projects. For example, Project Ident[1] may be operated in police departments as simply a marking or registration project or as a series of activities integrally connected to a larger burglary prevention or property

1. Project Ident is a series of LEAA funded projects aimed at burglary reduction, whose main strategy is the marking and registration with the police of personal property.

recovery program. It is important that the investigator define the actual[2] intervention[3] activities being conducted on-site and the relationship of these activities to each other and to the project expectations.

2. PROJECT FLOW DIAGRAMS

At least three flow diagrams are generally involved for each project site visit. The investigator should first develop an individual flow chart that describes the activities of each project visited as a linked set of the activities that starts with the expenditure of project funds, and includes commitment of resources, project activities, interventions made, and expected outcomes. This provides an internal picture of the project.

Secondly, the grantee or contractor should develop a flow chart organized around some unifying flow (in many cases a flow of people or cases) that illustrates the direct intervention points and interventions of the project. This second diagram is then developed into a third diagram on which is added external non-project activities that affect or are affected by the project and are necessary for assessing outcomes or impacts of the project. This provides a picture of the project as seen in its environment. The investigator should be careful to avoid introducing or modifying the actual activities, causal links, etc. observed in an attempt to introduce greater logic or "tidy-up" the project design. This task is not intended to describe what should, or could exist; rather it must capture what does exist. Three diagrams are suggested:

- o A flow diagram illustrating the project from resource input to expected outcomes.
- o A flow diagram illustrating interventions made directly by the project (organized around some unifying flow--often the flow of people or cases will be appropriate).
- o A flow diagram illustrating the project in the larger environment that may have to be explored in order to assess the expectations for the project.

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2. The continued use of the word "actual" and "actually" is an attempt to reinforce the point that Phase I investigators are attempting to discover and describe the objective, measurable actions that take place in a project. Thus, if a project is described as "improving the communication, dispatch, and efficiency of patrolmen" and the only action taken by the project is to purchase and issue a number of hand-held two-way radios, the latter description is preferred. On the other hand, if the project made an extensive measurable effort to alter and redesign dispatch techniques as well, a description of that process should be included.

3. Interventions of the project generally imply the transactions involved when someone in the project does something for or to another person (in most cases, a non-government person) who expects the project to perform those transactions.

Simplified illustrations of these diagrams are given in the next three exhibits (Exhibits III-1,III-2,III-3). Exhibit III-1 is from a particular intensive special probation project and shows the steps at the project from th funds received through the interventions attempted and on to the expected out comes. This is a flow diagram of the development of the project from resources, an attempt to trace the path through which resources turn into expected outc es.

Exhibit III-2 shows the interventions of that particular intensive special probation project (again considerably simplified) to illustrate the use of the flow of cases through the project as a unifying concept. Much more detail would have to be added to address what happens at major points of measurement. (See Exhibits III-4 and III-5.) This diagram shows the actual activities and interventions ordered around a natural unifying concept of case flow.

As a flow diagram is extended into an elaboration that may include the other parts of the criminal justice system that interact with or are necessary to assess expected process, outcomes, and impact from this intensive special probation project, a larger more complicated flow diagram would be obtained.

Shown in Exhibit III-3 is an example of an extended flow diagram which shows a pretrial screening project in New Orleans and the associated criminal justice system.

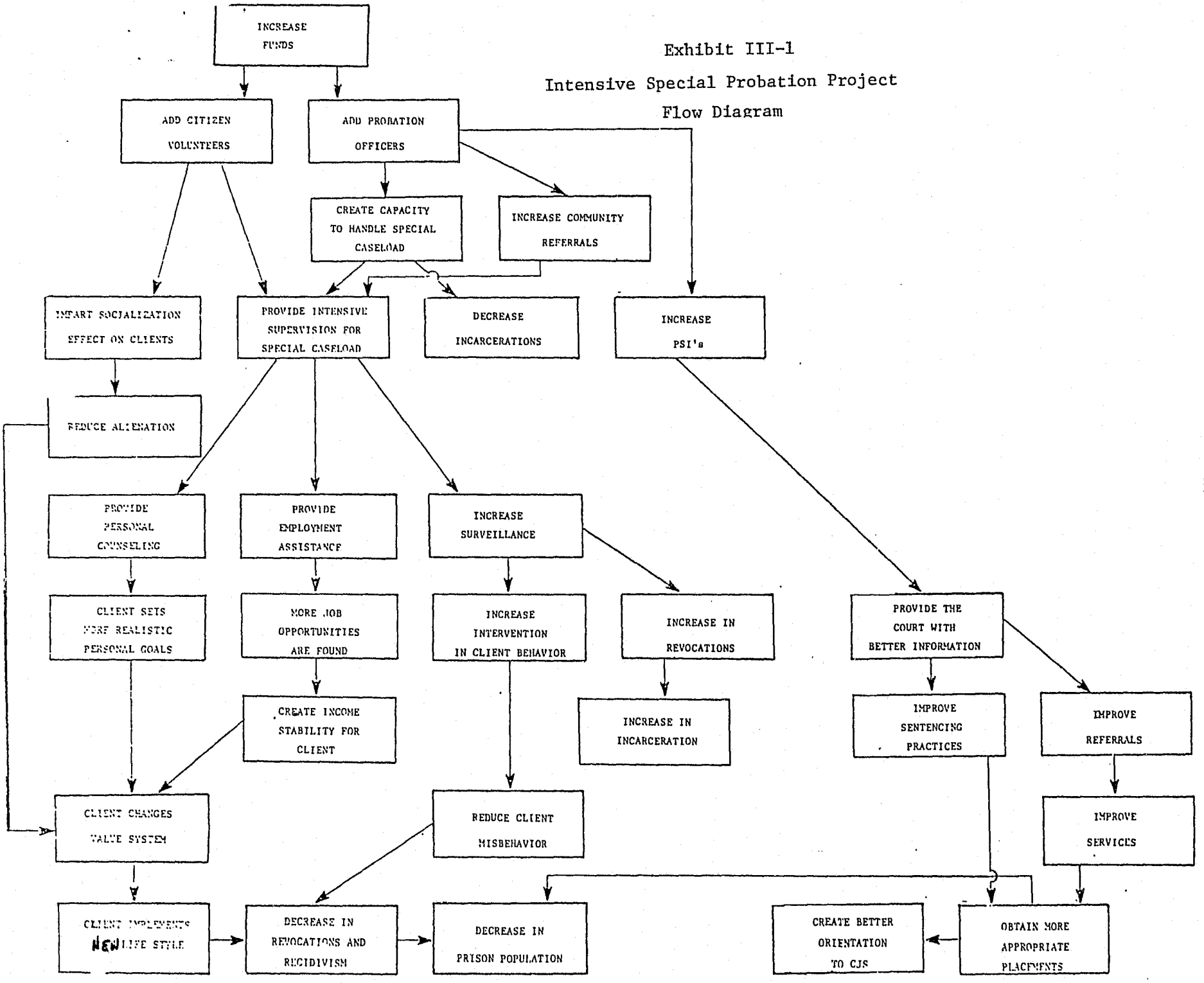
The second and third type of flow diagrams are the ones around which discussions of the methods of measuring expected outcomes should take place. Expected outcomes can then be expressed in terms of measurement points, measures, and comparisons related directly to locations on the two diagrams. Detail can be expanded as necessary to illustrate the treatment of specific measurement problems that are aimed at answering specific expectations of performance. Part of the information about what the expectations are from projects in a topic area will be collected from each of the projects visited in the field as part of Task B and treated more generally in Task F. Additionally, there are generally national, state, and academic expectations for many topic areas. Levels of detail in treatment vary, of course, with the particular topic area.

For <u>each</u> project visited, the flow diagrams developed and their accompanying narrative should describe the activities of that project and its environment (and their relationship to each other), effort or personnel allocations, important known or potential intervening variables, potential points of measurement and potential measures. Included should be enough about process activities so that expected process, immediate outcomes and the paths through which impacts on the problem may be caused by these expected immediate outcomes can be shown.

Exhibit III-1

Intensive Special Probation Project

Flow Diagram



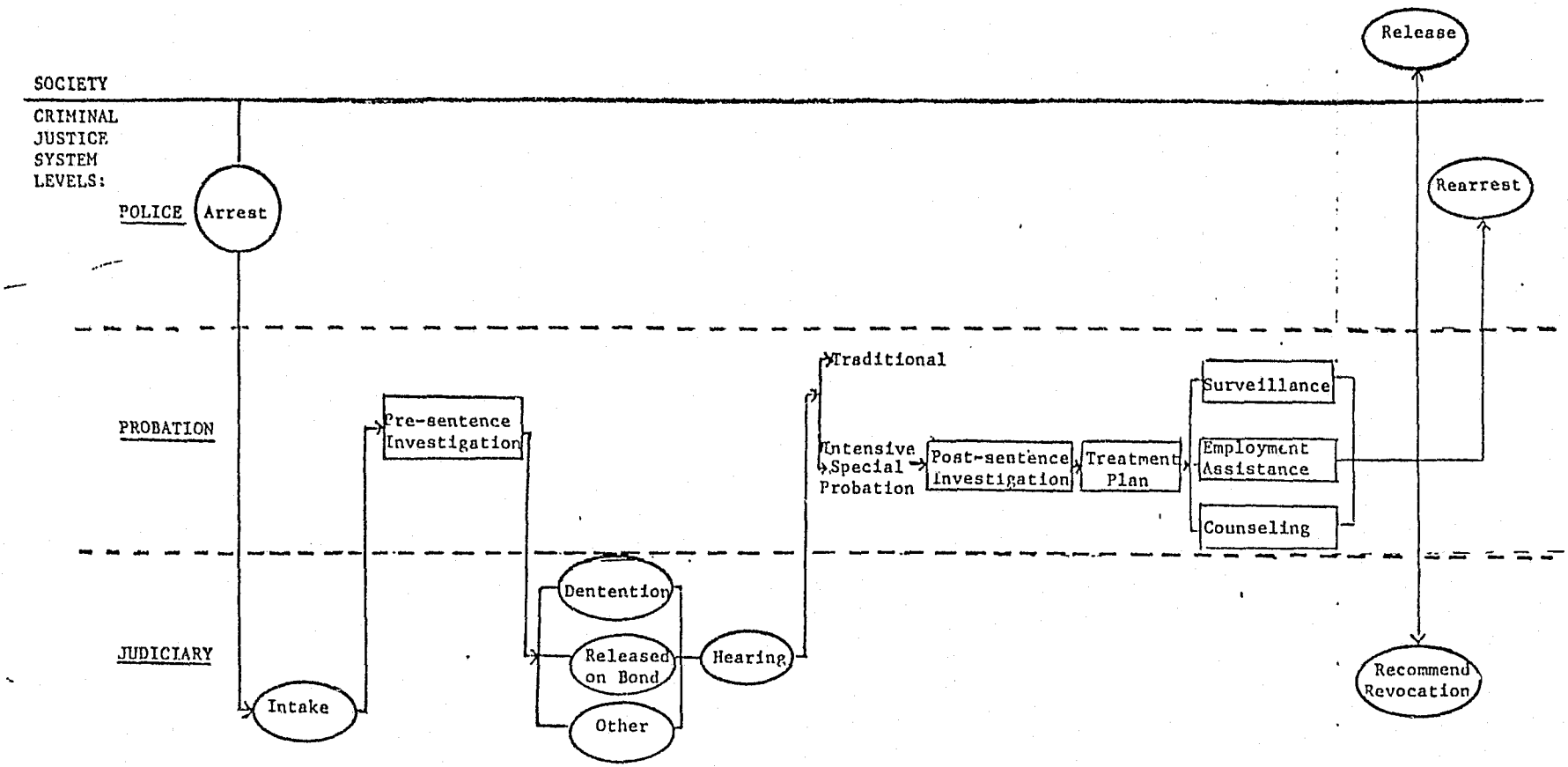


Exhibit III-2

Intensive Special Probation
Simplified Case Flow Diagram for a Project Intervention

SAMPLE PRE-TRIAL SCREENING DECISION FLOW CHART

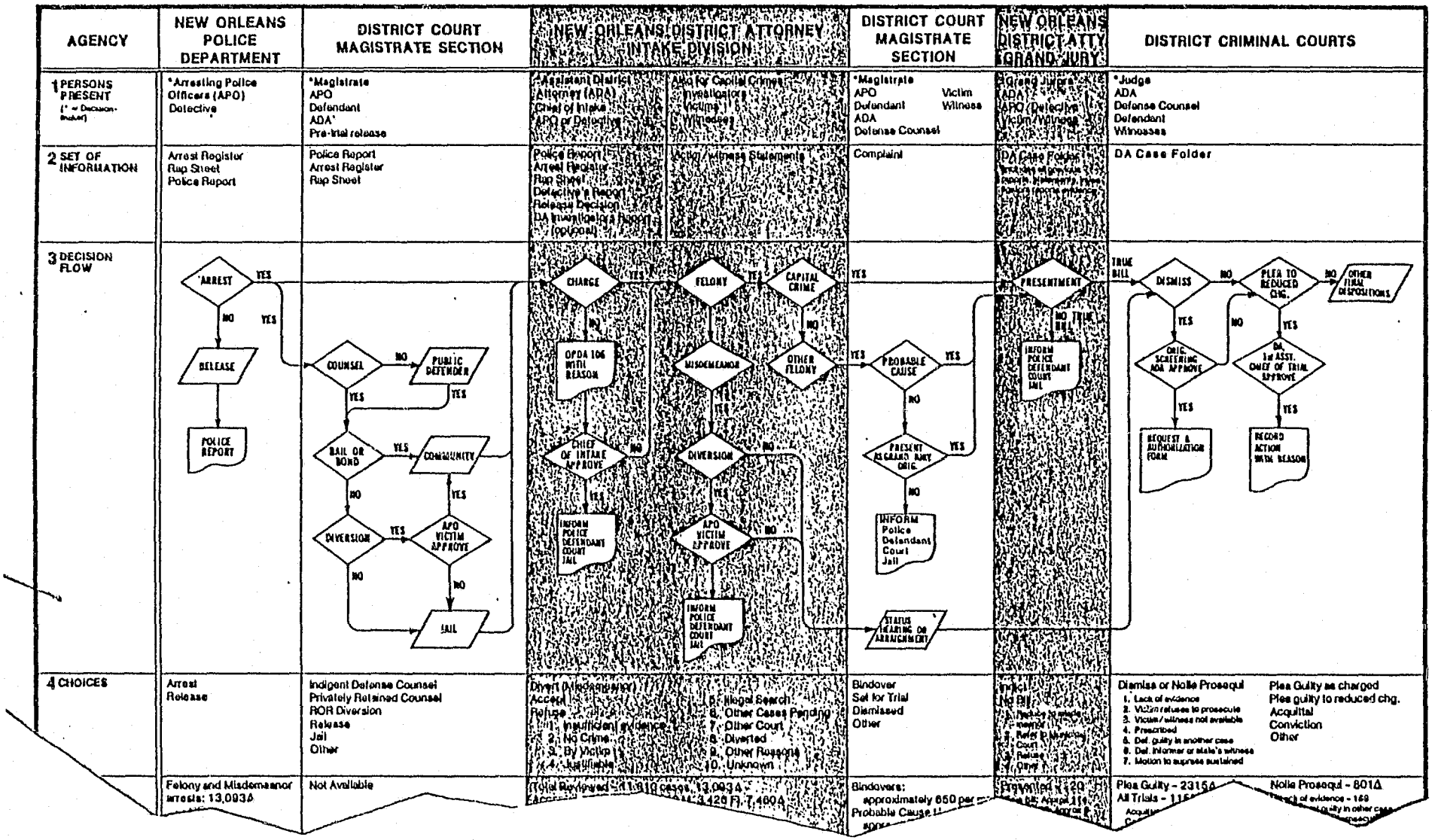


Exhibit III-3

3. MEASURES OF THE PROJECT ACTIVITIES AND OUTCOMES

The grantee or contractor should solicit from the project management nd staff their judgment on what measurements they would accept as plausible success measures of the activities that they are carrying out. The definition of measurements is expected to be an iterative exercise (involving the Phase I investigator and project management as well as national expectations for the topic area) in which the expectations of what is to be obtained from such a project and the possible measurements of expected success are discussed together to reach some tentative agreement on the expected outcome and impact[4] of the project activities in measurable terms.

The investigator is finally to specify each input, process, outcome, and impact measurement discussed in terms of:

- Point of Measurement
- Characteristic(s) Measured
- Measure and Scale (or set of possible outcomes)
- Method of Measurement
- Operation or Procedure for Generating Recorded Measurements
- Potential Comparisons

A one-page description of each measurement is to be included in the project file. The grantee or contractor must prepare a statement of measurability for each site visited (keyed to the flow diagram where possible) detailing what expected process activity, outcomes, and impacts appear measurable at or around that site, and by what means.

4. STATEMENTS OF EXPECTED PROJECT OUTCOME OR IMPACT

The grantee or contractor should develop narrative statements of the expectations of the project as defined by field management personnel or as defined implicitly by the actual activities. In obtaining these statements the grantee or contractor is seeking further definition of the immediate outcome expectations (i.e., those that are expected to be the direct result of intervention activities that are visibly being conducted). The investigator is also seeking to determine the realistic expectations (in the field) of project intent, i.e., statements defining the potentially achievable impact on some part of the criminal justice system or on the problems addressed and how that is believed to be achieved.

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4. For Phase I studies, outcomes are results of processes and interventions of the project where there is little doubt that the project caused the outcome and attribution of cause and effect is straightforward (e.g. 25 jobs were discovered and filled with probationers by the probation Employment Specialist). Impacts are expected results whose attribution to the actions of the project or to the outcome involved will be more difficult (e.g. recidivism fell among the employed probationers, crime is lower in the city).

While on-site, the investigators should attempt to obtain the views of project management on the chain of assumptions that leads them to believe that the intervention activities being conducted will lead to achievement of the expected impacts. The investigators will subsequently need to add their own assessment and views of these assumptions, but the management of the project can add substantially to the investigator's understanding of the idosyncratic conditions that may have led to the adoption of one approach over others that are followed in different sites.

5. EXTERNAL INTERVENING VARIABLES

The grantee or contractor should attempt to identify any variables outside the control of the project that could plausibly affect the validity of the project operating assumptions detailed in 2, 3, and 4 above. The grantee or contractor must specify which external variables would have to be measured along with which process outcome, or impact measurements in order to control for outside variables.

6. PROJECT RESOURCES

The grantee or contractor should obtain as accurate an estimate as possible of all of the resources actually deployed on the project and their use. The accuracy of such information will undoubtedly vary among project sites depending upon the cost records maintained and the extent to which the project is operated independently of other non-project activities. The grantee or contractor should document the basis used, including records consulted, in determining applied resources and the allocation of resources to activities.

During the site visit phase the investigator will also be expected to collect any readily available evaluations, performance, and cost information, but not to produce evaluative data through their own efforts. Investigators may use their own judgment as to making additional attempts to obtain internal breakdowns of project performance data or costs by activities, beyond those readily available from projects, either on a general basis or small sample basis. Many investigators find it desirable to test a small sample of actual cases to establish that such measurement is possible and/or to check how valid summary data supplied by the project may be. This may be especially important in preparing for Tasks H and I.

The information developed during all of Task B and described above is to be carefully assembled in a separate file for each project visited. While it is not necessary that the project files be in publishable form, this set of project descriptions is considered a product deliverable to LEAA as an annex to the publishable report. It must also be deliverable to the Phase II evaluation contractor in cases in which a Phase II effort is initiated.

Task B generates most of the information needed to synthesize the topic area diagram in Task C. Thus the primary basis for proceeding with further assessment of current knowledge and evaluation design flows from this work. The investigator is being asked to describe projects in sufficient detail that both similarities and differences among projects will be apparent. The investigator should not attempt to force into existence greater similarity in approach than exists, although subsequent tasks and phases will be looking for similarity. The investigator should be particularly diligent in distinguishing between rhetorical descriptions of interventions from funders or people in charge of projects and descriptions of interventions as they are actually carried out by intervenors (e.g., Is it "verify the suspect's status as a solidly rooted citizen" or is it "check for a verified driver's license, telephone, and/or home address?").

C. CREATION OF A SYNTHESIZED FLOW DIAGRAM AND MEASURES FOR THE TOPIC AREA

A "synthesized flow diagram" is a graphic generalization drawn from the flow diagrams of individual projects. An illustration of how the synthesized model is derived is shown in Exhibits III-4, -5, and -6 and Tables III-1 and -2.

Exhibit III-4 (Example A) and Exhibit III-5 (Example B) are very simplified hypothetical examples of portions of the measurement models of client flow in two different Intensive Special Probation projects. Table III-1 is a tabulation of their measurement points and measures. Table III-2 is a synthesis of the two examples, listing measurement points and measures thought to be of general interest. Exhibit III-6 is the translation of Table III-2 to graphic flow diagram form.

In practice, of course, the synthesized flow diagrams will be extrapolated from more complete flow diagrams of more than two operating projects. Thus, using the set of project files developed from the site visits in Task B, a general measurement model for analyzing the projects in the topic area will be developed, i.e., flow diagram material collected from individual project sites will be used to create a flow diagram that is representative of actual sets of projects in the field. It was noted earlier and it is again stressed that the investigators are not being asked to develop an elaborate model of the world as it might be, were everyone and everything rational and analytical. Rather, they are being asked to develop a measurement model(s) that represents the activities that actually exist to some level of detail comparable to any further research or evaluation to be done. The measurements and diagrams which are developed must emanate from the descriptive project files and flow diagrams

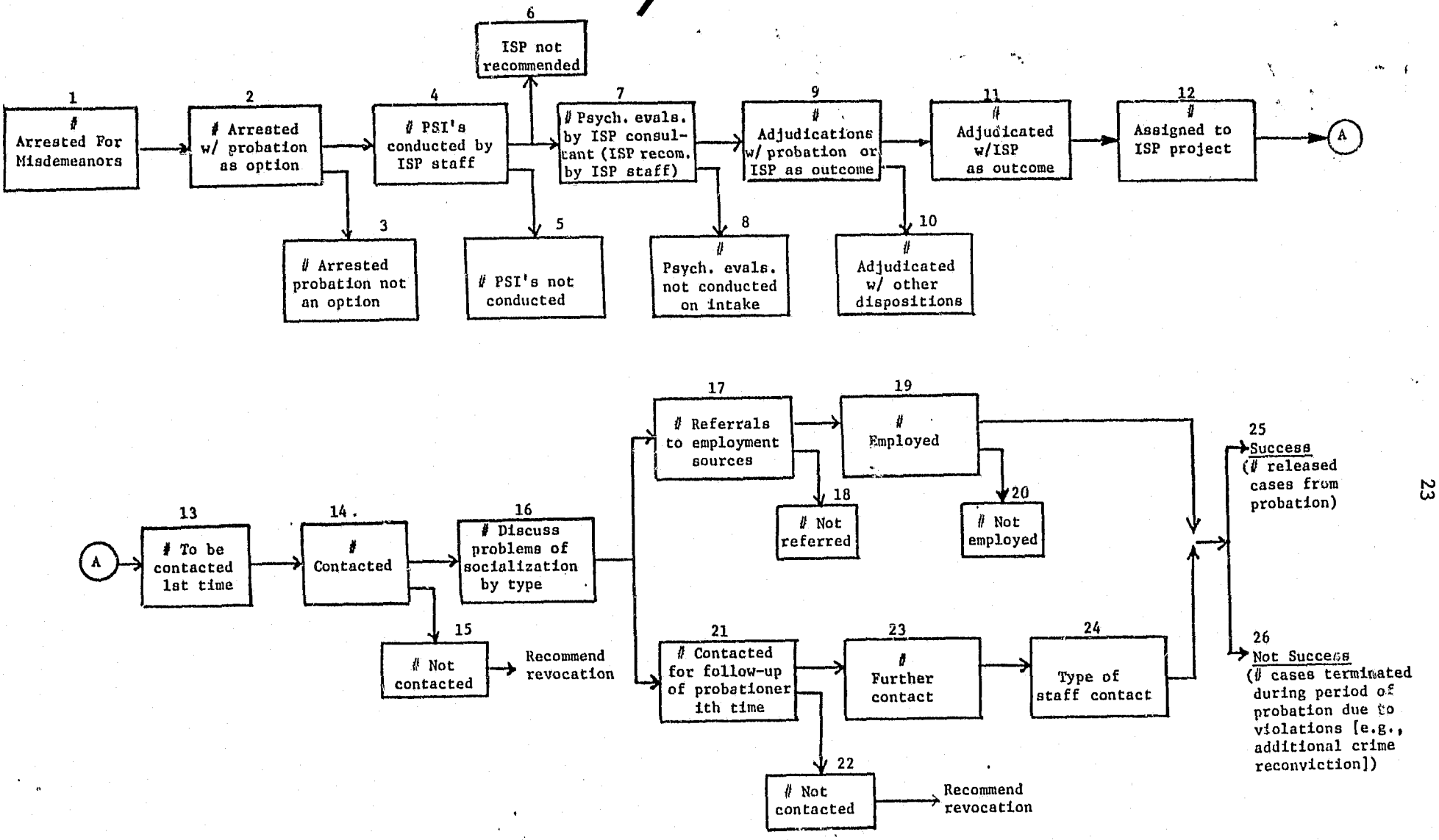

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Exhibit III-4

Example A - Simplified Measurement Model of an Intensive Special Probation (ISP) Project - Client Flow Diagram

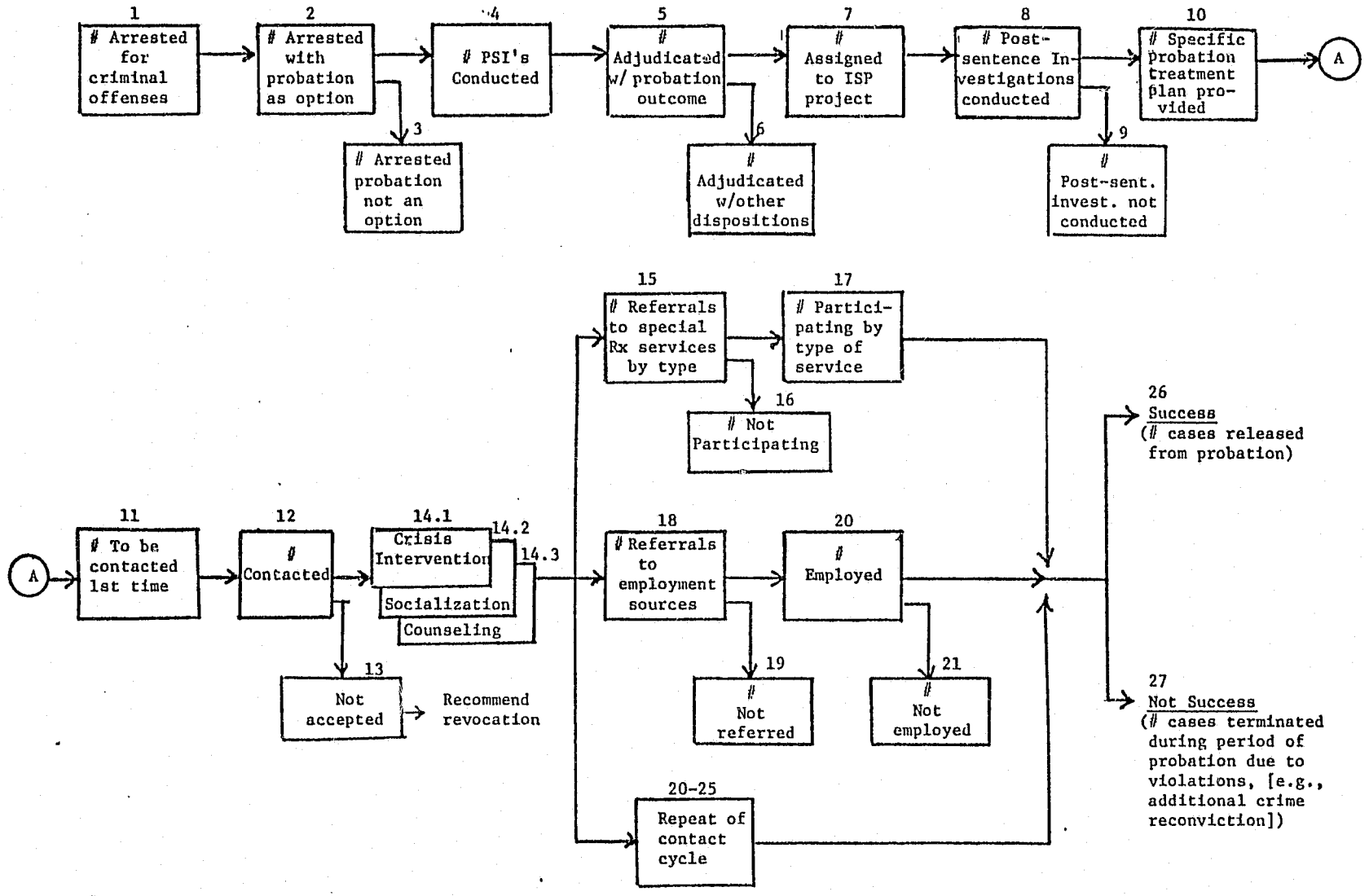

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Exhibit III-5

Example B - Simplified Measurement Model of an Intensive Special Probation Project - Client Flow Diagram

TABLE III-1

EXAMPLES A AND B: TABULATION OF MEASUREMENT POINTS AND MEASURES

Example A		Example B	
Measurement Point	Possible Measure	Measurement Point	Possible Measure
1	# Arrested for misdemeanors	1	# Arrested for criminal offences
2	# Arrested with probation as an option	2	# Arrested with probation as an option
3	# Arrested with no probation option	3	# Arrested with no probation option
4	# Probation Screening Interviews (PSIs) conducted by Intensive Special Probation (ISP) staff	4	# PSIs conducted
5	# PSIs not conducted	5	# Adjudicated by type of probation outcome
6	ISP not recommended	6	# Adjudicated with other dispositions
7	# Psychological evaluations conducted on intake by ISP consultant (ISP recommended by ISP staff)	7	# Assigned to ISP project
8	# Psychological evaluations not conducted on intake	8	# Post-sentence investigations conducted
9	# Adjudicated with probation or ISP as outcome	9	# Post-sentence investigations not conducted
10	# Adjudicated with other dispositions	10	# Specific probation treatment plan provided
11	Adjudicated w/ISP as outcome	11	# To be contacted, 1st time
12	# Assigned to ISP project	12	# Contacted
13	# To be contacted, 1st time	13	# Not contacted
14	# Contacted	14.1	# Crisis intervention
15	# Not contacted	14.2	# Discuss problems of socialization by type
16	# Discuss problems of socialization by type	14.3	# Counseling by type
17	# Referrals to employment sources	15	# Referrals to special Rx services by type
18	# Not referred	16	# Not participating
19	# Employed	17	# Participating by type of service
20	# Not employed	18	# Referrals to employment sources
21	# Contacted for follow-up of probation, ith time	19	# Not referred
22	# Not contacted	20	# Employed
23	# Further contact	21	# Not employed
24	# Type of staff contact	22-25	Repeat of contact cycle
25	# Success (# released from probation)	26	# Success (# released from probations)
26	# Not success (# cases terminated during probation due to violations)	27	# Not success (# cases terminated during probation) due to violations

TABLE III-2

EXAMPLE C: SYNTHESIS OF MEASUREMENT POINTS AND MEASURES OF GENERAL INTEREST AS DERIVED FROM EXAMPLES A AND B

Example C - Synthesis Measurement Point	Measure	Example A Measurement Point	Example B Measurement Point
1	# Arrested	1	1
2	# Arrested for criminal offense with probation as an option	2	2
3	# Arrested for criminal offense with no probation option	3	3
4	# PSIs conducted by type and criminal offense	4	4
5	# PSIs recommending ISP	7	-
6	# PSIs not recommending ISP	6	-
7	# Adjudicated with probation or ISP as outcome by type and criminal offense	9	5
8	# Adjudicated with other disposition	10	6
9	# Adjudicated with ISP as outcome	11	-
10	# Assigned to ISP project	12	7
11	# Post-sentence investigations conducted by type and criminal offense	-	8
12	# Provided specific probation treatment plan	-	10
13	# Not provided specific probation treatment plan	-	-
14	# To be contacted, 1st time	13	11
15	# Not contacted	15	13
16	# Contacted, 1st time	14	12
17	Type of contact, 1st time	16	14.1,14.2,14.3
18	# Referral to special Rx service, by type	-	15
19	# Not participating	-	16
20	# Particpating by type	-	17
21	# Referral to employment sources	17	18
22	# Not referred	18	19
23	# Employed	19	20
24	# Not employed	20	21
25	# Simple follow-up contact, ith time	21	-
26	# Not contacted	22	-
27	# Further contact	23	-
28	# By type of contact	24	-
29	Success - # released cases from probation	25	26
30	Not success - (# cases terminated during probation to violations)	26	27

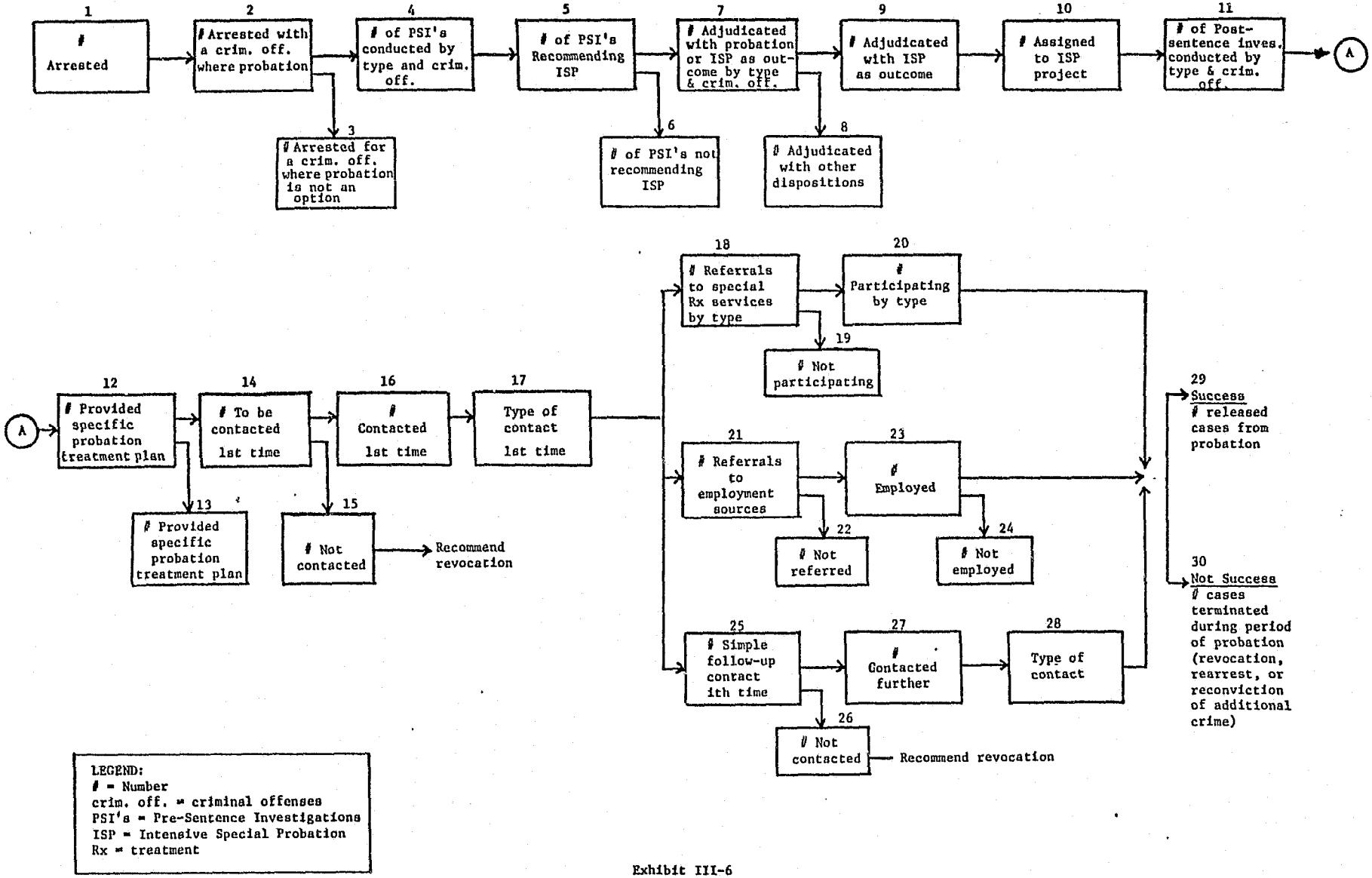

Exhibit III-6

Example C of an Intensive Special Probation
Generalized Client Flow Diagram (Synthesis of Examples A & B)

and from less definitive, but indicative, information collected from projects not visited. Similarly, it is necessary to include in this section only intend d impacts that are of a size, probability, and well understood connection that measurement and attribution are likely to be possible and of interest. (Fo- example, it is not necessary to attempt to link each small project to redu tion of crime in America.)

In developing a basis for further measurement discussions, it is critical that the synthesized flow diagram and its accompanying narrative include:

- o Flow diagram activity descriptions of both the project and related activity
- o Suggested measurement points and measures of process activities
- o Suggested measurement points and measures of the immediate outcomes of these activities
- o The mechanisms or other logical chains through which successful immediate outcomes are expected to produce the intended impact effects of the project
- o Suggested measurement points and measures of the intended impact effects
- o Relative (e.g. cost per client or case or outcome) or absolute resource levels and allocations for such projects.

In the progress of the actual research, of course, the topic area flow diagram will be modified and adjusted. Some set of the above will be necessary to begin information collection; continuing information collection may be expected to suggest alterations and improvement in the diagrams and measurements.

It is recognized that some programs will require much more ingenuity to develop the unifying flows around which to organize a measurement (e.g., street lighting projects). Nevertheless, the flow diagram to which the measurements are referenced is expected to be adequate to show the relationship between the input, process, outcome, impact, and exogeneous measures that are adopted and discussed. All discussions of expected outcome are to be illustrated in terms of specific examples of these measures (see Task G), even if this illustration shows that some issues in the policy area or in the literature are undecidable in terms of these projects. Program and project expectations that are addressable imply well defined measurements measurement points, and definitions of the comparisons to be made.

It is entirely conceivable that analysis of the individual project files will reveal such disparity among projects that no overall model can capture the nature of the field projects without serious distortion. Some possible outcomes of this task include:

- o Projects Are Idiosyncratic

  The field projects surveyed and visited reveal such dissimilarity that an overall flow diagram and an overall evaluation are not feasible.

- o Sets of Projects Emerge

  Within the general topic area, there exists several sets of projects of sufficient similarity within each set that generalized flow diagrams can be developed for each set.

- o One Project Model Predominates

  There exists enough similarity among project approaches (even if not all projects follow this approach) that one generalized flow diagram (and related measures) appears useful for a large number of projects.

The investigator will be expected to document all finding and/or diagrams clearly and with evidence from the project files. Should more than one generalized flow diagram emerge, each shall be documented in a manner similar to that required in this task for a single flow diagram. Additionally, the investigator will be required to demonstrate the extent to which the generalized diagrams describe field activities, documenting the extent to which and in what activities field projects deviate from the models. This helps determine whether there exists a sufficient set of projects to warrant a larger Phase II evaluation effort and, if so, what type of evaluation would be feasible. The models and measures synthesized in this task will be the basis for the field feasibility test described in Task I. If no generalized flow diagram and measurement plan can be constructed, of course, no field feasibility test will be made and that portion of the grant or contract will be returned.

When the diagrams and measures in Task C are considered to be fairly well developed, there is often a need for testing larger numbers of projects against the flow diagram(s) to see if the measurements and models are realistic. (Structured telephone interviews are recommended for this.) This examination can serve two purposes. First, it verifies that the diagrams being developed can be used to describe and collect information from a wide set of actual projects in the field, or it indicates that the diagrams need to be altered. Second, it provides a means of confirming the existence and location of large numbers of projects that are similar enough in terms of the model to be considered for selection for the field feasibility work (Task I) and for any later, larger evaluation designs and efforts. Without such verification, any ensuing evaluation design suggested would be little value in making a decision about what to do in a Phase II. The number of similar projects that need to be examined can be determined from the evaluation questions

suggested and will depend upon the number of factors that must either be assessed or controlled for and upon the accuracy of measurement believed to be required in the final result. In any case, this effort can be a final screening for the 3-4 locations to be used in field feasibility and testing (Task I below).

It is important to determine if, at what points, and by what means process, outcome, and impact are at all measurable and with what the measurements would be compared. This is the reason for determining whether the intervention activities finally produced by funding and the potential outcomes and impacts form a plausible, testable chain of activities extending from the expenditure of funds, through project activities, interventions, outcomes, and on to the expected or desired impact of the action in the topic area.

All of the projects visited or surveyed will be described; however, it is not expected that all of the projects will produce plausible, testable chains of activities. The investigator should be aware at the outset that some (or many) projects within a topic area may turn out not to bear much resemblance to one another in terms of activities and operating assumptions, but only in terms of overall goals. The flow models for measuring any significant group of similar projects should still be produced unless it can be shown that there are no sizeable groups of similar projects.

The synthesized flow diagram and associated measurement points and measures is a major product of the research performed in Phase I study. It should be made the basis for Tasks G (assessment) and H (design). It is intended to provide both a general basis both for future planning and for further state and local evaluation work in the topic area. The field test is expected to be a simple application of the approach developed here and in Task H. The work here will include definitions of important measurement points and measures, bases of comparisons, specification of important intervening variables, and the definition of the key data elements to be measured at each point. It is delivered as part of the Interim Report and as a component of the Publishable Report.

D. GATHERING GENERAL KNOWLEDGE IN THE TOPIC AREA

This task relates to general qualitative or loosely quantitative knowledge that is not necessarily evaluative or project specific. It includes background material, past research, historical development, views of experts in the topic area, academic literature and policy statements or intents. Particular attention should be given to stated theories and postulates which may have been tested by the operating projects. Familiarization with and development of a

broad perspective on the key policy issues involved in the topic area is the emphasis in this activity. This should serve to establish the context and background of the topic area, the general achievements expected, alternative approaches both within and outside the topic area as seen by theorists in the area, policy makers, and other policy oriented groups. What seem to be key expectations for projects of this type should be drawn out and saved for use in Task F.

E. COMPILATION OF PAST FINDINGS OF FACT IN THE TOPIC AREA

In contrast to the review of general knowledge, this activity involves the review of available (or those discovered in the course of the effort) findings of fact in the topic area. This should include past monitoring data; past evaluation studies; project descriptions or reviews; discussions with or by operators, auditors or evaluators of findings in past projects; and other data of a quantitative nature that may already be available from past projects in the topic area. The investigator need not critique in writing each individual report found, but should perform the assessment (Task G) by examining which of the measures called out in the measurement model (Task C) have been measured in any past assessments or data collections, and how well. Task E is performed to gather available past data and analyses for the assessment in Task G.

F. COMPILATION OF EXPECTATIONS FOR PROJECTS IN THE TOPIC AREA AND SPECIFICATION OF METHODS AND POINTS OF MEASUREMENT TO SHOW WHETHER EXPECTATIONS HAVE BEEN MET

Questions of how far to go in developing data, what size of samples are necessary, how much detail to include in flow diagrams, etc. are heavily conditioned by the needs of the intended users. A similar problem must be addressed in the design phase when attempts are made to contrast the costs of possible designs with the value of the information that they produce to potential users. The grantee or contractor should collect throughout the study information indicative of the expected processes, outcomes, and impacts of projects in the topic area; especially from policy, academic, and practitioner discussions. These are used to assess the expected kinds of (and ranges of) potential outcomes and to size designs for further evaluation sensitive enough to detect such outcomes. In many cases, expectations will vary widely and may have to be brought into focus by the investigators.

G. ASSESSMENT OF THE PRESENT STATE OF KNOWLEDGE ABOUT PROJECTS IN THE TOPIC AREA

The investigators will complete (in Task C) a flow diagram and associated measurements that indicate their best judgment of what should be used to measure the activities being carried out in the topic area. In Tasks D, E, and F, the investigators will have compiled lists of past findings of fact and of general knowledge including expectations, theories, and postulates regarding the outcomes and impacts of various types of information and will have recommended methods for measuring whether expectations have been met.

A matrix will be created with particular outcome and impact expectations arrayed against possible and known measurements of activities showing confirmations or contraindications so as to indicate gaps in knowledge and unreconciled differences between theory and practice. The investigator is to state from the existing data what appears to be known about expectations in terms of the measures included in the flow diagram, what gaps in information and knowledge exist, and what confidence might be placed in the presently available results. This will involve not just the simple use of past findings, but an assessment of their accuracy and reliability in terms of what has been learned in this Phase I study.

Task G determines which of the recommended measurements have, in fact, been made. Using the flow diagram and measurements developed in Task C as a touchstone, the investigator will create a matrix displaying known valid measurements reported in the literature or discovered on site visits against the assessment measurements that are feasible for addressing expectations, indicating which measurements have already been made and which remain to be done.

As with performance data, the Phase I investigator is expected to collect and relate all existing or easily available cost and/or effort allocation data from the projects both to the specific project descriptions and to the general flow diagram created.

The Phase I investigator may or may not be able to evaluate the success or failure of the projects in the topic area at the end of Phase I, but must assess and summarize the state of knowledge presently available about success or failure. By using the model created in the course of the study for arraying and assessing the existing information, the present state of knowledge about success can be explored to determine the nature of the gaps in the present information about the activities of the projects, the immediate outcomes of these activities, and the effect of these outcomes (when they occur) on intended impact. This assessment is another major product of a Phase I study, deliverable as part of the Publishable Report. Gaps in information that are developed in this task are suggestive of Phase II evaluation strategies.

Task G should summarize the grantee's best judgment of what is known and how accurate that knowledge is. The results will be given wide distribution and should be useful to both practitioners and researchers. It is likely in some topic areas that there will be lack of comparability of various studies, omissions of needed data, etc. Nevertheless, the investigator is held in this assessment to the task of making a professional judgment of all collected information and placing confidence limits on the answers given in that judgment. In many cases only monitoring or outcome data will be available (e.g. no experimental designs, classical evaluations, or controls). This may affect confidence limits, but such data are not to be excluded from the assessment of what is presently known.

The final assessment will include a table outlining:

1. Assessment of Knowledge

   - o Expectations of process, outcome, and impact from such projects,
   - o Determination of the probable ranges of values (for the measures developed with the synthesized flow diagram in Task C) against these expectations.
   - o Confidence in the data available in previous work, problems in previous work, missing data.
   - o The clear gaps in present knowledge and why (may be presented as matrices).
   - o Cost information for projects in the topic area.
   - o Alternatives not included in the present synthesized models.
   - o Identification of any factors that emerge as likely to lead to success or failure.

2. A tabular presentation comparing the expected outcomes or impacts indicated by policy or theoretical discussions (from Task F) with measures that can potentially be made from the actual operating activities (Task C) and the apparent or likely impact measures of actual projects (from Task C) (may be presented as matrices).

3. A summary of the future research implications growing out of the entire body of work conducted on the Phase I study (including Task I below).

4. A summary of the future evaluation implications growing out of the entire body of work conducted on the Phase I study (including Task I below).

H. DESIGN OF AN APPROACH FOR OBTAINING MORE INFORMATION

The synthesized flow diagram, measurements, and expectations provide a general basis for evaluation in the topic area. Performing the assessment of the present state of knowledge arranges the information already known in these terms to see if various expectations are met. The universe of projects constructed provides a number of projects that can be used in further evaluation because they resemble the synthesized flow model. Task H, a design for obtaining more information, draws upon all of these previous efforts and, wherever present knowledge appears insufficient, determines through what approach, with what measures, and at what cost needed improvement in the present knowledge base can be obtained.

It will be necessary for evaluation purposes to determine if: (a) there is already a suitable universe of existing projects for evaluation, (b) specific expansion of existing projects is needed, (c) special funding is necessary for data collection efforts, (d) funding of additional projects with similar operations is necessary, or (e) other larger augmentation in the field will be necessary to produce projects that can give sufficiently definitive answers. (The ideal finding, of course, would be that present information is sufficient and no further evaluation needs to be carried out.) The design must address the technical questions of how to obtain missing information; it must also address the question of how valuable it would be to obtain various levels of certainty.

For local use, it is important to determine whether sets of projects nationally have large and significant impacts, or generally have a small or non-existent impact.[5] LEAA/NILECJ is not interested in distinguishing impacts that are too small to be of practical importance. In this sense, the ideal finding (in a case requiring further evaluation) might be that a sizable group of projects of a similar type <u>appear</u> on the basis of collected information to be generally effective or generally ineffective. The design effort for the Phase II evaluation could then be concentrated on developing the methods and estimating the costs for producing an accurate evaluation[6] of the effectiveness

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5. If a technique or approach is to spread across the country, that technique or approach must succeed over a variety of conditions and with average personnel and management. Thus "sets" of projects with similar outcomes are a more powerful demonstration than single project successes.

6. The grantee or contractor should offer NILECJ a choice among evaluations producing definitiveness and accuracies of different degrees. These should be associated with their expected costs.

of projects of this type (improving the accuracy of present knowledge). Results of a Phase II evaluation, should one be conducted, could then be made available nationally for use by SPAs and by local officials along with detailed descriptions of the type of project. Fortuitously, such information is sometimes produced in the course of a Phase I during Task G.

However, in this type of highly decentralized environment, what is generally found is that the projects are similar in intent but dissimilar in selection of, or emphasis on, particular intervention activities and also dissimilar in the level of results produced, often ranging from obvious successes to obvious failures. In these cases it becomes necessary to develop an evaluation design based on the synthesized flow model and associated measurements of activities and to include sufficient numbers of operating projects that mathematical techniques can be used to assess the degree to which various desired results from the operations occur. In some cases, special efforts may be necessary if the apparent effect that project components had on the success rate are to be attributed to the components or even to the project involved. The grantee will estimate the importance, feasibility, methods and cost of obtaining various measurements to test the outcome and impact measures given in Tasks C and G.

Where further evaluation appears warranted, the investigators will estimate the importance, feasibility, methods and cost of obtaining controls, comparisons or relative comparisons for testing operating outcomes and establishing effectiveness of impact. As applicable, the grantee will discuss the necessity for, cost of, and potential methodology for attributing success to particular components within a type of project.

Task H results are deliverable as a separate draft report concurrent with the Publishable Report. After the field feasibility test is undertaken, Task H results will be updated in a Supplemental Report.

In summary, this design effort determines whether additional evaluations are necessary, what evaluation options should be considered, what measures and comparisons should be used, and what universe of projects would be necessary for making the test suggested, and specifically details those designs and their expected costs. Some portion of the approach outlined may be selected, in consultation with NILECJ, for the field feasibility and assessment below. Specific sites for Task I should be suggested.

I. FIELD FEASIBILITY TEST OF THE MEASUREMENTS DESIGNED

The Task H results are to be submitted in draft form the 11th month. The designs recommended should be suitable for implementation at specific sites in the field (which should be suggested). To validate the specific measurements suggested for assessing whether expectations for such projects

are being met, the investigators are expected to apply their suggested measurements to projects in the field (3-4 sites) for approximately 5 month and include the results in the Supplemental Report.

The procedure will be to deliver the Task H draft report at the end of the 11th month after the start date. By the end of the 12th month LEAA and the investigators will agree on the sites and measurements to be tested and the investigators will proceed. The supplemental report (delivered at the end of the 18th month) should reflect the outcomes of the field tests.

IV.

PRODUCTS

Details of the tasks given in Section III determine the content of the six deliverable products. This section addresses their arrangement. The relationship of the work products to one another is shown in Exhibit II-1.

A. THE PRELIMINARY REPORT

The Preliminary Report, deliverable within 6-8 weeks after Phase I begins, will be in two sections. Section I will contain that material from Task A which describes and defines the topic area. Section II will contain the preliminary plans for site visits.

B. THE INTERIM REPORT

The Interim Report, deliverable within 6-8 months after Phase I begins, will also be in two sections. Section I will contain material developed during the Task B site visits. Section II will contain material developed during the Task C synthesis.

C. THE PUBLISHABLE REPORT AND ANNEXES

The Phase I Publishable Report shall have four distinct sections ordered as illustrated in Exhibit IV-1.

Section I: Expectations, Policy, Theory--Tasks D,E,F.
Section II: Topic Area Definitions and Universe of Projects--Task A
Section III: Flow Model(s) and Measures-- Task C
Section IV: Assessment-- Task G

Exhibit IV-1

Publishable Report

The report may be of any reasonable length suitable for wide distribution. The first section shall contain such material as the grantee wishes to present from Tasks D, E, F, covering history, theory, major policy thrusts and expectations, major issues from literature, believed promise and problems, and expectations of practitioners.

The second section of the final report shall cover the final forms of the topic area definition, taxonomies of the universe of projects, and information from the surveys applicable to large numbers of projects in the universe (Task A). Where possible it should include which projects are comparable because basic activities are comparable, which only because immediate outcomes are comparable, and which only because the intended or expected impact effects are comparable. It should discuss the methods used to develop the universe and to make surveys and site visit selections.

The third section of the final report shall contain the grantee's complete work on the synthesized flow diagrams and associated measures as described in Task C.

The fourth and final section of the Publishable Report shall contain the complete work from the assessment, Task G. This will include the tabulation of policy issues versus operational activities and the indications for further research and for further evaluation.

All Phase I Publishable Reports will receive consideration for publication in full. This includes consideration for wide dissemination under the standard NILECJ internal and external review process, and a decision as to publication will be made. Regardless of that decision, this final report will be made publicly available through NCJRS, NTIS, or SSIE.

The Publishable Report will have two Annexes. The first Annex will cover the final detailed report of Task A. The second Annex will cover the full site visit reports of Task B. Each of these may be submitted in only three copies in looseleaf form.

D. THE PUBLISHABLE SUMMARY

Researchers interested in the full technical details will be referred to the full final report. For policy makers and operational personnel, such detail may not be appropiate. The Phase I investigator should deliver to the Institute a summary divided into seven sections and approximately 40 single spaced pages in total length. This summary material should be succinct, not highly technical, but written with programmatic personnel in mind, and should be capable of standing alone (although it may contain references to the full final report). Also, it should be suitable for wide distribution: camera ready copy typed on 8 1/2 X 11" paper with all margins to be 1". The page count given is intended as an upper limit. In many cases, summaries can be briefer and still convey a sound representation of the content of the final report. In an occasional case, small amounts of additional material may be included.

Each summary will undergo a rapid review process and will quickly be given wide distribution nationally. Generally included will be the LEAA Central Offices, LEAA Regional Offices, and State Planning Agencies as well as many other local criminal justice system professionals with a particular interest in the topic area. The summary will provide the earliest representation to become available of the results of the Phase I study. This approach will provide operational personnel with useful feedback which is as rapid as we can make it, and with an early indication that the full report is available.

The arrangement of sections of content that have been chosen for the summary is shown on Exhibit IV-2. Essentially, this summary displays the highlights of each section of the final report in a readable, integrated way.

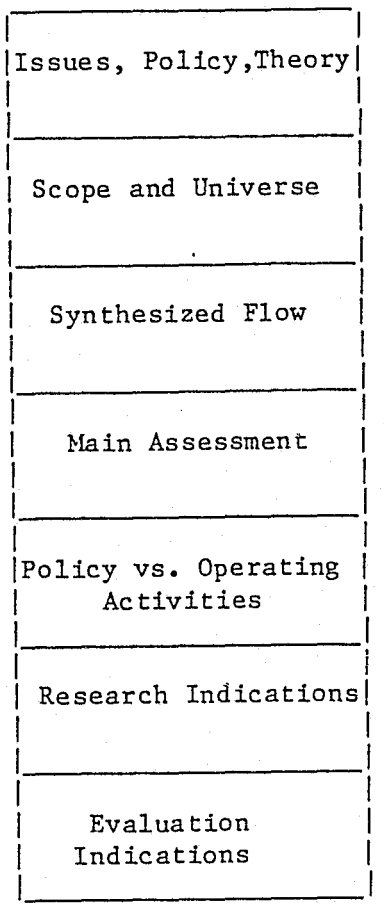


Exhibit IV-2

Publishable Summary

E. TASK H DRAFT REPORT

Reporting the results of Task H, this Draft Report will contain proposed designs for obtaining additional information, including designs for Phase II evaluations and for monitoring single projects. The report, to be submitted in the 11th month of Phase I, will be the basis for decision vis a vis implementing field feasibility tests.

F. THE SUPPLEMENTAL REPORT

The Supplemental Report will contain the final designs for Phase II evaluations and for monitoring single projects (final version of Task H Draft Report) and will include a full report of the field feasibility test.

Examples of Forms Used

ANNEX C

to

THE NATIONAL INSTITUTE'S INFORMATION MACHINE
A Case Study of the
National Evaluation Program

This annex contains some examples of forms created in the course of the NEP development. They are provided here for use by researchers who may be attempting to develop such a process on their own.

C-1: Quiz for NEP Trainees

C-2: Forms for Survey of States

C-3: Topic Area Summary

C-4: Rating Sheet for Concept Papers and Proposals

C-5: Status of Concept Paper Form

C-6: Rating Sheet for Reports

C-7: The Third Telephone Call Interview Sheet (called Telephone Interview Form used in Following Up Distribution of Traditional Patrol Phase I Summary) and its Flow Diagram (called: A Flow Diagram Layout for Examining the Telephone Survey used in Following Up Distribution of Traditional Patrol Phase I Summary)

C-8: Blanks of the Phase II Rating Sheets

C-9: Preliminary Assessments of Issue Papers Forms

C-10: Paired Comparions Summary Sheet

C-11: First Follow-up Interview Form with LEAA

C-12: Interview Form for Grantees

C-13: Final Follow-up Interview Form (Administrator to Monitors: 1977)

C-14: Routing Slips

C-1

Quiz for NEP Trainees
(A Cold Turkey No Book Quiz on NEP Phase I)

A COLD TURKEY NO BOOK QUIZ ON NEP PHASE I

(From The Urban Institute)

1. Name the six products of an NEP Phase I by checking which six of the following are the six key products of a Phase I study:

_____ Prescriptive Standards of Performance to ensure that activity in these areas meets the requirements of National Standards and Goals.

_____ Issue Paper outlining key issues and beliefs in the topic area.

_____ Opinions of nationally recognized experts in the topic area about how effective projects are in the field.

_____ Flow diagrams of process activities and descriptive material from actual field interventions in the topic area.

_____ Single project evaluation design based on the synthesized framework and measurement points.

_____ A prescriptive guide for further duplication of successful projects in other locations.

_____ Framework describing (or encompassing) actual intervention activity taking place in the field. Flow diagram illustrating key potential measurement points.

_____ A definitive relative effectiveness assessment of the impacts and causes of impact of major projects in this topic area.

_____ Assessment of what is known (and how accurately) in terms of the framework about projects in the topic area.

_____ Field test of evaluation techniques in the topic area.

_____ Design of a Phase II evaluation (in terms of framework and missing information).

2. Are the following questions, as they apply to a NEP Phase I, true or false:

_____ Phase I study results (excepting the issue paper) are to be based primarily on the actual interventions being made at sites in the field.

_____ It is necessary to establish a "universe" of possible projects for consideration for each topic area.

_____ The Phase I type of assessment of a field project can generally be adequately made by a carefully designed, mail survey instrument.

_____ At least three possible levels of consideration of field sites is required: as members of the general universe, as subjects of intensive field site work-ups, and as subjects for structured telephone interviews.

_____ Site selection should be made by a panel of national experts.

_____ The type of approach required in gathering information at field sites in a Phase I study requires an orientation and training different from the usual sociological or legal study.

_____ The final form of the framework for describing activity in the field (and knowledge about these activities) must be completed quickly at the beginning of the study based on expert views and preliminary site visits.

_____ The assessment is expected to produce a clear picture of the effectiveness of interventions made by LEAA in the topic area in each case.

_____ The final evaluation design for Phase II must be either longitudinal, cross-sectional, or a form of experimental design.

_____ These efforts should require about one year for completion.

_____ Management of the effort should be shared on a part-time basis by both content and methodology experts to balance both viewpoints.

_____ Previous experience with similar types of field work is probably the best single indicator of success with the Phase I type of project.

_____ National recognition as a content expert in the topic area is probably the best single indicator of success with the Phase I type of project.

_____ Recognition as an evaluation methodology expert is probably the best single indicator of success with the Phase I type of project.

_____ Willingness to work hard is probably the best single indicator of success with the Phase I type project.

_____ A project of this nature is bound to be an iterative operation, slowly improving its content over the course of the study.

_____ The primary purpose of a Phase I is to get a competent, correct evaluation design to use in the Phase II evaluation.

C-2

Forms for Survey of States

STATE _____

PRIORITIES AMONG POTENTIAL TOPIC AREAS

On the list below, please indicate which topics it would probably be of most value to your SPA to have information gathered about in subsequent National Evaluation Program studies. Please indicate up to seven topics by numbering them 1 through 7, with 1 being the topic on the list of highest usefulness to you. If information on only a few would be useful in your state, number only those. Add topics not already underway or on this list under "other."

_____ Alternative to Adult Incarceration

_____ Institutional Rehabilitation (within Prisons)

_____ Parole, or Supervison of Parolees (or specify specific topic area)

_____ Programs for Providing Support of and Services to Inmates

_____ Administrative Grievance Mechanisms for Correctional Institutions

_____ Family Crisis Intervention

_____ Police/Community Relations

_____ Police Aviation Units

_____ Narcotics Squads

_____ Special Organized Crime Units

_____ Case Management in the Courts (calendaring, administration, operation, and management)

_____ Probation (or specify specific topic area)

_____ Alcohol Decriminalization

_____ Alcohol Detoxification

_____ Other

SURVEY INSTRUMENT: SUPPORTING INFORMATION ON SUGGESTED TOPIC AREAS (1976)

STATE _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	SHOULD NEP ASSESS THIS TOPIC			HOW MANY IN YOUR STATE NOW				PRESENT STATUS IN YOUR STATE				ESTIMATED ONE YEAR EXPENDITURES	ALREADY EVALUATED		COMMENTS
	Yes	No	Don't Care	0	1-5	5-10	Over 10	Considering	Starting	Underway	Completed		Yes	No	
Alternatives to Adult Incarceration															
Institutional Rehabilitation within Prisons															
Parole, or Supervison of Parolees (or specify specific topic area)															
Programs for Providing Support of and Services to Inmates															
Administrative Grievance Mechanisms for Correctional Institutions															
Family Crisis Intervention															
Police/Community Relations															
Police Aviation Units															
Narcotics Squads															

(1976)

STATE _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	SHOULD NEP ASSESS THIS TOPIC			HOW MANY IN YOUR STATE NOW				PRESENT STATUS IN YOUR STATE				ESTIMATED ONE YEAR EXPENDITURES	ALREADY EVALUATED		COMMENTS
	Yes	No	Don't Care	0	1-5	5-10	Over 10	Considering	Starting	Underway	Completed		Yes	No	
Special Organized Crime Units															
Case Management in the Courts (calendaring, administration, operation, and management)															
Probation (or specify specific topic area)															
Alcohol Decriminalization															
Alcohol Detoxification															
Other:															

Attachment

Responding Agency: _____

PRIORITIES AMONG POTENTIAL TOPIC AREAS FOR FY 1977

Please indicate below the topic areas for which you feel Phase I studies would generate the most useful information for your agency. Indicate six to ten topic areas by priority ranking, using the number 1 for the topic of highest usefulness to you. If information would be useful to your agency for less than six topic areas, number only those. Add topics of interest to you which are not present on this list under "other".

Priority Ranking	Topic Areas
	Courts
_____	Crime-Specific Prosecution Units
_____	Paralegal Programs in the Criminal Adjudication Process
_____	Psychiatric Services in the Criminal Courts
_____	Interpreting Services in the Courts
_____	Court Reporting Systems
	Adult Corrections
_____	Institutional Diagnostic and Classification Units
_____	In-Service and Pre-Service Training Programs for Correctional Personnel
_____	Legal Assistance to Inmates
_____	Correctional Data Systems
_____	Institutional Counseling Programs
	Police
_____	Police Legal Advisors
_____	Police Education Programs
_____	Police Community Relations Programs
_____	Basic Police Training Programs
_____	Police Organized Crime Units
_____	Police Minority Recruiting Programs

Priority Ranking	Topic Areas
	Juvenile Justice
_____	Alternative Schools for Disruptive Youth
_____	Juvenile Court Intake Units
	Forensic Sciences
_____	Education and Training Programs in the Forensic Sciences
_____	Crime Laboratories
	Community Crime Prevention
_____	Citizen Victim Service Projects
	Other
_____	_____
_____	_____
_____	_____
_____	_____

Please also complete the attached form, pp. 3-4 at least for those topic areas you have indicated as priorities and for any additional topic areas you have suggested.

RESPONDING AGENCY _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	HOW MANY FUNDED BY YOUR AGENCY				PRESENT STATUS IN YOUR STATE/REGION				ESTIMATED EXPENDITURES		ANY AVAILABLE EVALUATIONS IN YOUR STATE/REGION		COMMENTS (Attach additional pages, where necessary)
	0	1-5	5-10	Over 10	Considering	Starting	Underway	Completed	FY 1975	FY 1976	Yes	No	
Crime-Specific Prosecution Units													
Paralegal Programs in the Criminal Adjudication Process													
Psychiatric Services in the Criminal Courts													
Interpreting Services in the Courts													
Court Reporting Systems													
Institutional Diagnostic and Classification Units													
In-Service and Pre-Service Training Programs for Correctional Personnel													
Legal Assistance to Inmates													
Correctional Data Systems													
Institutional Counseling Programs													
Police Legal Advisors													
Police Education Programs													
Police Community Relations Programs													
Basic Police Training Programs													
Police Organized Crime Units													
Police Minority Recruiting Programs													

RESPONDING AGENCY _____

POTENTIAL TOPIC AREA (PROJECT TYPE)	HOW MANY FUNDED BY YOUR AGENCY				PRESENT STATUS IN YOUR STATE/REGION				ESTIMATED EXPENDITURES		ANY AVAILABLE EVALUATIONS IN YOUR STATE/REGION		COMMENTS (Attach additional pages, where necessary)
	0	1-5	5-10	Over 10	Considering	Starting	Underway	Completed	FY 1975	FY 1976	Yes	No	
Alternative Schools for Disruptive Youth													
Juvenile Court Intake Units													
Education and Training Programs in the Forensic Sciences													
Crime Laboratories													
Citizen Victim Service Projects													
Other:													

C-3

Topic Area Summary

TOPIC AREA _____

Region _____ SPA _____ RPU _____

Project Title: _____

Size of Commitment:

Total $ or % of Grant Committed to this Topic:

Grantee:

Telephone:

Start Date: End Date:

Stands Alone: Coordinated With:

Part of _____
(Grant Above, Other Effort)

_____

_____

Description: _____

_____

_____

Have evaluations been conducted:

Size: Evaluators: _____
(Name)

$ or effort

_____
(Address)

Report Available: _____Yes _____No _____
(Telephone)

Source:

Present Assessment or Status:

Key Contacts:

ADDITIONAL ASSESSMENT SHEET
FOR TOPIC AREAS

A. TOPIC AREA:

B. Description (attached).

C. Likely Number of Projects in the Field:

GMIS:

1973 Plans Set:

D. Discussion of Ways of Bounding This Topic Area (attached).

E. Evaluability: First guesses at the logical set of assumptions involved, measurability, likely intervening variables, measures of success.

F. Risk Involved in Phase I:

G. Other Known Work at LEAA:

Office:

Work:

Attachment 1

FOR EACH PROSPECTIVE GRANTEE

Organization:

Name of Principal Investigator:

Attach Resume

Attach Example of Successful Completed Work (Att)

For LEAA:

For Others:

Availability:

Willing to Make Full-time Personal Commitment to Success of this Project: (If so, Why?) On LEAA Time Scale:

Additional Resources Available to Principal:

Technical Background:

Evaluation Background:

Subject Matter Background:

Personally Known To:

From References:

Response of Principal to:

Tight Schedule:

Constrained Approach:

Presentation of Details:

C-4

Rating Sheet for Concept Paper and Proposals

NEP CONCEPT PAPER AND PROPOSAL REVIEW

Please fill out the attached check list in the order assembled. When finished, move the last two pages to the front and return to Dr. Richard Barnes in Room 858. Decimal fractions (e.g. 1.5) can be used in giving ratings.

THE PRODUCTS

Score the Proposal as 0 (omitted or misunderstood), 1 (clearly described as a product), 2 (a creditable approach or outstanding understanding of the product) for each of the six products. (Multiply score on No. 3 by 2.):

_____ 1. Paper outlining the issues and substance of expert opinion.

_____ 2. Flow diagrams of the actual field activities of a significant number of projects.

____x2 = ____ 3. Synthesis of a framework(s) for use as a general basis in assessment and evaluation design in this topic area.

_____ 4. Assessment in terms of the framework of known information.

_____ 5. Evaluation design for filling gaps in knowledge laying out methods, feasibility, costs.

_____ 6. Model evaluation design for single projects of this type.

_____ TOTAL (possible score from 0 to 14--Any 0's must be corrected by offerer if a proposal is requested).

THE UNIVERSE

The Universe should include an assessment of LEAA funded efforts and others as appropriate. Score below as 0 (omitted or misunderstood), 1 (clearly described), 2 (a creditable or outstanding approach) on each question:

_____ 1. Does the proposal indicate that the investigation must be bounded to some "universe" of projects and describe how this will be done?

_____ 2. Does the proposal develop how projects will be drawn (randomly, some appropriate stratification, etc.) from the universe for site visiting and phone interviewing to produce activity and assumption flow diagrams?

_____ 3. When the framework is well developed, it is necessary to locate sizable numbers of similar projects from the universe both to form the basis for further evaluation design and to validate (or check) that the framework represents actual field activity. [We believe structured telephone interviews to a sample of (or the total) universe is one of the best ways.] Is this covered?

_____ 4. Does the overall discussion of the "universe" to be used seem likely to provide a suitable basis for developing a description of the actual project activities in the field and validating it against significant numbers of actual projects? (0 - No, 1 - Acceptable or Weak, 2 - Yes.)

_____ TOTAL (0 to 8 possible--Any 0's must be corrected by offerer if a proposal is requested).

GENERAL CAPABILITY/CREDIBILITY

Answer (Yes = 4, Maybe = 2, or No or Don't Know = 0)

_____ 1. Is there one person in charge, devoting 100% time to this effort?

_____ 2. Does the staff described seem creditable to accomplish this work?

_____ 3. Is there evidence of experience in field procedure necessary to extract actual flow diagrams of activity from sites in the field?

_____ 4. Is a reasonable schedule provided?

_____ 5. Are you convinced that content expertise will be obtained?

_____ 6. Are you convinced that evaluation expertise will be obtained?

_____ 7. Do you think the offerer understands the iterative nature of a Phase I study?

_____ TOTAL (possible score from 0 to 28--any 0 or 2 should be redone by offerer if a proposal is requested).

GENERAL SUMMARY

Topic Area _____

Concept Paper from _____

_____
Name of Reviewer

_____
Date of Review

	Score			
	Products	Universe	Capability	Total
Possible	14	8	28	50

My assessment of this paper, as it now stands, is that it describes an effort that:

_____ Will fail to succeed _____ Can't tell _____ Might succeed

_____ Has a good chance to produce a successful Phase I study.

_____ Should be very successful as a Phase I study.

My next step would be to:

_____Do nothing further with this paper

_____Ask for a redrafted concept paper

_____Ask for it to be redrafted as a proposal with changes below

_____Have it submitted as a proposal

Compared with others I have reviewed for this topic area it is:

Example:

NEON, Inc.

This One ←

Friendship Associates

General Understanding

Order those reviewed to date here:

GENERAL COMMENTS

DETAILED FIXES SUGGESTED

If you suggest further action on this one, outline deficiencies to be fixed below (it is not necessary to list scores of "0" again unless you feel they deserve special mention):

C-5

Status of Concept Paper Form

Status of Concept Papers and Proposals Processed for Phase I Evaluations

LEAA DESK AREA _____

Topic Area	Concept Papers (processed by UI)						Proposals (processed by UI)								
	Rcvd	Rated by	Typed	Rtnd to LEAA	Action	On File	Rcvd	Rated by	On File	Rtnd to LEAA	Action	Letter Sent	Rcvd Copy 1st Product	Telephone Interview w/Grantee	Final Product Rcvd
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Title: Grantee:															
Title: Grantee:															
Title: Grantee:															
Title: Grantee:															
Title: Grantee:															

Concept Papers

1. Date
2. Initials
3. Date
4. Date
5. Redraft/ Request Proposal/ Rejected
6. Yes/No (if Yes, File)

Proposals

7. Date
8. Initials
9. Yes/No (if Yes, File, if No, prepare copy & file)
10. Date
11. State
12. Date
13. Date
14. Date
15. Date

C-6

Rating Sheet for Reports

INFORMATION FOR PHASE I REVIEW

TOPIC AREA:

REVIEW COMMITTEE:

PROJECT MONITOR:

DIVISION DIRECTOR:

ORP DIRECTOR, DIRECTOR
SPO, OE, OTT, URBAN INSTITUTE

DOCUMENTS PRODUCED TO DATE BY THIS PROJECT:

Draft(D) Final(F)	Date	Title	Total Pages	(✓) Included In Review Set

(If a later document is a revision of an earlier one, note beneath title.)

This review meeting will consider Products 1 thru 4 and the Summary as represented by the material checked (✓) above. The meeting will produce:

- Review Comments,
- Position Section for Director's Letter of Transmittal,
- (Interim) Recommendations for Publication.

Try to read the summary and the product set.

The meeting will be ( ) _____
in _____ or ( ) scheduled and announced soon.

URBAN INSTITUTE REVIEW

TOPIC AREA: Nov. _____

RATING AS PHASE I:

Not rated at this time:

Product Missing:

Product Distributed through Reports:

Physically Present:

Acceptable:

Good:

Remarkable:

Product:

1	2	3	4	5	6	Sum

USEFULNESS:

Not rated at this time:

May be Misleading:

Not Useful

Possibly Useful:

Probably Useful:

Useful:

Outstandingly Useful:

Product:

1	2	3	4	5	6	Sum

MAJOR COMMENTS:

CONTINUED

2 OF 3

The Third Telephone Call Interview Sheet (called Telephone Interview Form used in Following Up Distribution of Traditional Patrol Phase I Summary) and its Flow Diagram (called: A Flow Diagram Layout for Examining the Telephone Survey used in Following Up Distribution of Traditional Patrol Phase I Summary)

1/04/77

Region: _____ Interviewer: _____
Interview #: _____ Date Interview Completed: _____

TITLE OF NEP SUMMARY: TRADITIONAL PREVENTIVE PATROL

Original Addressee: Comments

Name: _____

Title: _____

Agency Affiliation & Address: _____

_____

_____

Telephone Number: _____

Other Persons Contacted through UI Efforts in Order of Contact:

(1) Name: _____

Title: _____

Agency Affiliation: _____

_____

Telephone Number: _____

(2) Name: _____

Title: _____

Agency Affiliation: _____

_____

Telephone Number: _____

[LAST ENTRY MADE SHOULD BE NAME OF PERSON INTERVIEWED. IF MORE THAN 3 PERSONS CONTACTED NOTE THIS AND ENTER NAMES, ETC. OF ADDITIONAL PEOPLE ON BACK OF THIS PAGE.]

RESULT OF CONTACT:

_____ Unable to locate addressee
_____ Refused to be interviewed
_____ Not able to locate copy
_____ Recipient identified but did not read document
_____ Recipient identified and read all, most or some of document

---

Hello, may I please speak to _____.
I'm [GIVE NAME] and I'm with The Urban Institute in Washington, D.C. We are collecting information to help LEAA better assess the usefulness of the information contained in the summary of the National Evaluation Program Phase I study entitled Traditional Preventive Patrol.

Would you mind answering a few questions to help us with our research? What you say will be held in strict confidence and will not be associated with your name or the name of your department or organization.

1. As of now, would you say you have read all, most, some, or none of this summary on Traditional Preventive Patrol?

_____ All
_____ Most
_____ Some
_____ None

[GO TO Q. 2]

a. [IF "None,"] Why? _____

[IF "None," ASK Q.2 AND TERMINATE INTERVIEW. INTERVIEW ANYONE PICKED UP IN Q.2 ON A NEW FORM AND ATTACH THAT INTERVIEW TO THIS ONE.]

2. Have you shown this summary to anyone else?

_____ No [GO TO Q.3]
_____ Yes

a. To whom? [OBTAIN NAMES AND POSITIONS/ROLE DESCRIPTIONS]

Name	Position/Telephone Number
_____	_____
_____	_____
_____	_____

3. I'm going to read a list of NEP Phase I summaries. Please tell me which of the following you have read:

NEP Phase I Summaries	Read	Not Read
Operation Identification Projects		
Specialized Police Patrol Operations		
Pre-Trial Screening		
Early Warning Robbery Reduction Projects		
Treatment Alternatives to Street Crime (TASC)		
Citizen Crime Reporting Projects		
Neighborhood Team Policing		
Pre-Trial Release		
Delinquency Prevention		
Alternatives to Incarceration of Juveniles		
Juvenile Diversion		

[IF RESPONDENT HAS NOT READ ANY, GO TO Q.4]

a. [IF RESPONDENT HAS READ ONE OR MORE, ASK THE FOLLOWING:]
In general, how does this summary on traditional preventive patrol compare with the other summary(ies) which you have read?

(1) Would you say that this summary is better, about the same, or worse than other NEP summaries you've read?		(2) In general, would you say that the other NEP summaries you've read are excellent, good, fair or poor?	
Better		Excellent	
About the Same		Good	
Worse		Fair	
Don't Know		Poor	
		Don't Know	

4. Are you involved with traditional preventive patrol activities, or do you have a strong interest in this topic area, or any use for the information contained in this summary?

a. _____ Involved with traditional preventive patrol (How? ___)

_____)

b. _____ Interest in topic area

c. _____ Use for the information in the summary (What? _____)

_____)

[GO TO Q.5]

d. _____ None of the above. [TERMINATE INTERVIEW]

5. In general, how useful to you is this summary of what is known about traditional preventive patrol? Would you say that it is:

_____ Highly Useful
_____ Most of it is Useful
_____ Only Some of it is Useful
_____ Not Useful
_____ Don't Know/Can't Say [GO TO Q.6]

a. Why do you feel this way? [PROBE FULLY]

_____

_____

_____

6. Now I'd like you to tell me your top 3 needs for information in this topic area in order of priority. Then I'd like you to tell me whether you see this summary as highly useful, of some use or not useful in addressing each of these needs.

Needs for Information	Usefulness of Summary in Addressing Need for Information				
	Highly Useful	Of Some Use	Not Useful	Don't Know	Not Applicable
1.					
2.					
3.					

7. Does this summary contain information which is new to you or others on your staff?

_____ No [GO TO Q.8]
_____ Yes

a. What information? _____

_____

_____

8. Do you have or do you anticipate any problems with the material or information contained in the summary?

_____ No [GO TO Q.9]
_____ Yes

a. Which problems have you had or do you anticipate? _____

_____

_____

9. Does the summary omit information that you believe should have been included?

_____ No [GO TO Q.10]
_____ Yes

a. What information? _____

_____

_____

10. In your current job do you feel you need additional information (i.e., in addition to what is in this summary) on traditional preventive patrol activities?

_____ No [GO TO. Q.11]
_____ Yes

a. What kinds of information do you need in addition to this summary?

_____

_____

_____

_____

11. Are you planning to order a copy of the full report?

_____ Yes
_____ No
_____ Don't Know

12. Have you or others in your organization done anything or do you plan to do anything differently based on the information in this summary?

_____ No
_____ Don't Know [GO TO Q.13]
_____ Reference Use Only
_____ Yes, Have Done Something [GO TO Q.12a.]
_____ Yes, Plan To Do Something [GO TO Q.12b.]

a. What have you done? _____) GO TO Q.12c.
_____)

b. What do you plan to do? _____) GO TO Q.12c.
_____)

c. Was (were) this change (these changes) underway before you received the summary, or is it fair to say the material in the summary caused or helped cause the change(s)?

_____ Changes already underway or planned
_____ Changes not already underway or planned

13. Now I am going to read a list of activities in which this summary might be useful in helping you. Please tell me whether you see the summary as being highly useful, of some use, or not useful in attempting each. However, if any of the following do not apply to you, please indicate this to me.

	Activity	Highly Useful	Of Some Use	Not Useful	Not Applicable	Don't Know
READ AND CHECK APPRO-PRIATE BOX	a. Developing or funding new patrol activities	☐	☐	☐	☐	☐
	b. Modifying or making funding decisions about existing patrol activities	☐	☐	☐	☐	☐
	c. Administering on-going patrol activities	☐	☐	☐	☐	☐
	d. Assessing or developing methods for assessing patrol activities	☐	☐	☐	☐	☐
	e. Providing new or important information to your staff	☐	☐	☐	☐	☐
	f. Justifying your position on traditional patrol activities	☐	☐	☐	☐	☐
	g. In public relations activities	☐	☐	☐	☐	☐

14. Have any traditional preventive patrol activities in your area been evaluated?

_____ No [GO TO Q.15]
_____ Don't Know [GO TO Q.15]
_____ Yes

a. Are you familiar with the evaluation results?

_____ No [GO TO Q.15]
_____ Yes

b. Are those findings generally in line with or do they differ from the findings presented in this summary?

_____ In Line [GO TO Q.15]
_____ Differ

c. [IF "Differ"] How do they differ? _____

_____

_____

d. Are copies of the results available?

_____ No [IF "No"] Why not? _____

_____

_____ Yes [IF "Yes"] To whom would a request for a copy be made?

_____

[N.B. WE ARE NOT REQUESTING COPIES NOW BUT SOMEONE MAY AT A LATER TIME.]

15. Have you received other material on traditional patrol activities?

_____ Yes
_____ No [GO TO Q.16]

a. How does this summary compare with other types of material on traditional patrol activities you have received?

(1) Would you say that this summary is better, about the same, or worse than other material on traditional patrol activities you have received?		(2) In general, would you say that the other material on traditional patrol activities which you have received is excellent, good, fair or poor?	
Better		Excellent	
About the Same		Good	
Worse		Fair	
Don't Know		Poor	
		Don't Know	

16. Would you recommend the further distribution of this summary?

_____ No [IF "No"] Why not? _____

_____

_____ Yes [IF "Yes"] To whom? _____

_____

_____

_____

17. Would you like to have more copies of thi summary?

[TELL RESPONDENT WE ARE NOT GOING TO SEND MORE COPIES. WE ARE MERELY ASKING TO SEE IF MORE COPIES SHOULD BE DISTRIBUTED IN THE FUTURE]

_____ No [END INTERVIEW]
_____ Yes

a. Why? _____

_____

b. How many copies would you like to have? _____

THANK YOU VERY MUCH FOR YOUR COOPERATION!

ADDITIONAL COMMENTS AND OBSERVATIONS BY INTERVIEWER:

_____

_____

_____

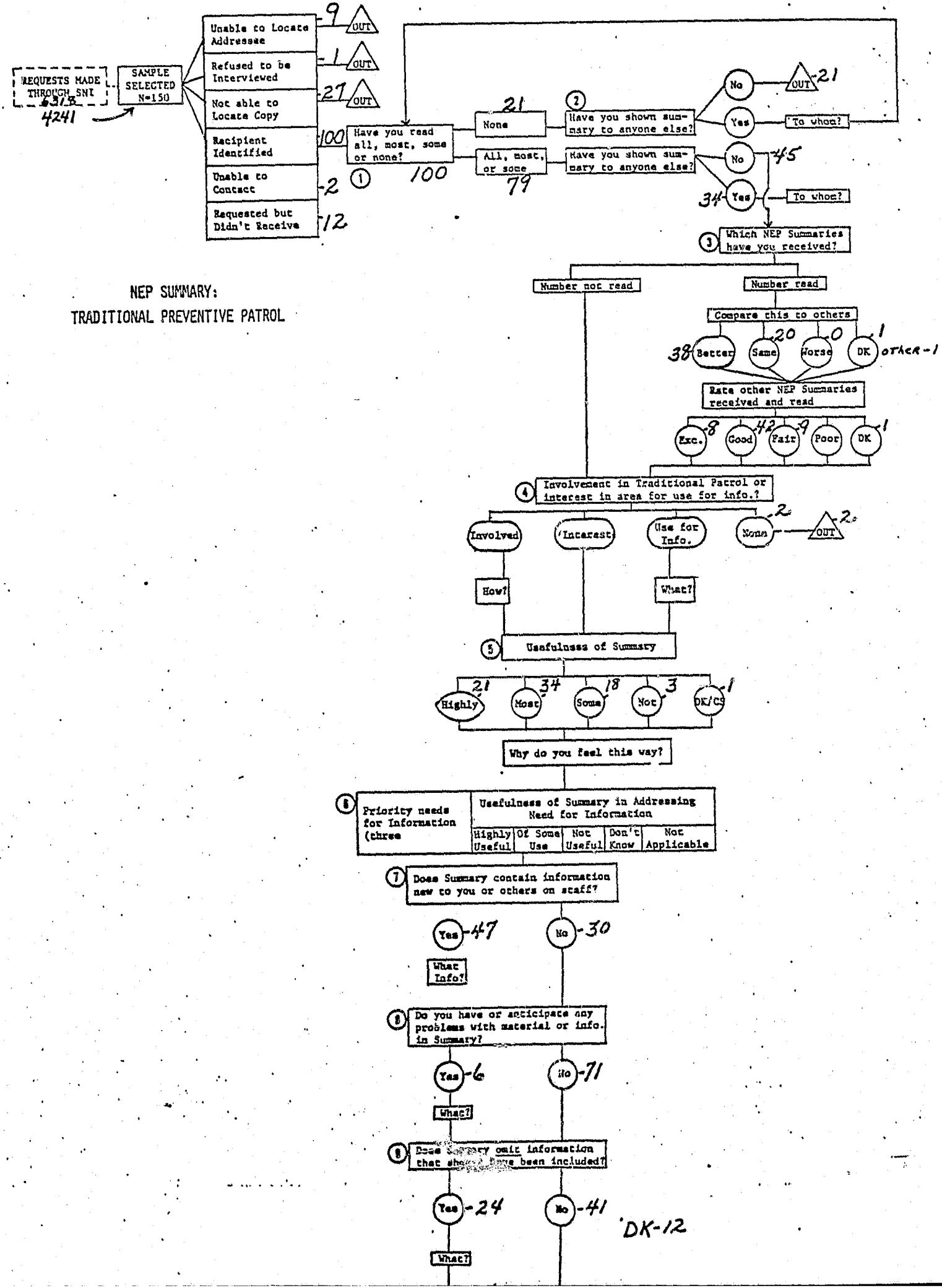
_____

_____

_____

_____

_____



NEP SUMMARY:
TRADITIONAL PREVENTIVE PATROL

10 In current job, do you feel need for additional information?

Yes -46 No -26 DK-2 No Ans.-3

What?

11 Are you planning to order full report?

Yes -33 No -37 DK -6 No Ans.-1

12 Have you or others done or plan to do anything differently based on Summary?

Yes, Done 7 Yes, Plan 24 No 35 DK 8 Ref. Use Only Other-3

What? What?

13 List of activities in which summary might be useful:

Activity	Highly Useful	Of Some Use	Not Useful	Not Appl.	Don't Know	No. Ans.
a. Develop or fund new patrol activities	30	31	7	9		
b. Modify or make funding decisions about existing patrol activities	21	37	7	10	1	1
c. Administer on-going patrol activities	21	34	12	9		1
d. Provide new or important info. to staff	29	34	7	5	1	1
e. Assess or develop methods for assessing patrol activities	23	40	7	5	2	
f. Justify position on patrol activities	22	31	15	8		1
g. In public relations	26	36	8	6		1

14 Have any traditional patrol activities in your area been evaluated?

Yes -17 No -53 DK -5 No Ans. - 1 Not Appl. - 1

Are you familiar with results?

Other 1

Yes -12 No -4

Are findings generally in line or do they differ?

8

N.A. - 1 No Ans. - 1

Differ -2 In Line

How?

Are Copies of results available?

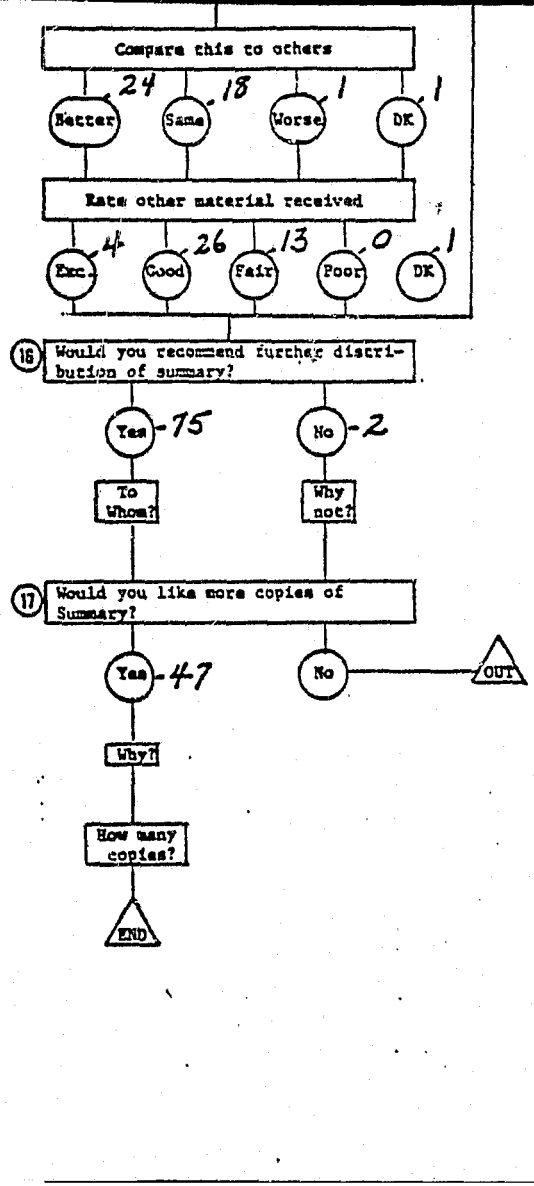
Yes No

From whom? Why Not?

15 Have you received other material on traditional patrol activities? - No Ans.-1

Yes -44 No -33

How does summary compare with other types of material on traditional patrol you've received?


Compare this to others
Better
24
Same
18
Worse
1
DK
1
Rate other material received
Exc
4
Good
26
Fair
13
Poor
0
DK
1
16
Would you recommend further distribution of summary?
Yes
75
No
2
To Whom?
Why not?
17
Would you like more copies of Summary?
Yes
47
No
OUT
Why?
How many copies?
END

C-8

Blanks of the Phase II Rating Sheets

A. List of the 17 FY 75 Phase I Studies Showing the Ones to be Included in the Review Cycle

TOPIC AREA		
POLICE 1. Neighborhood Team Policing		
2. Specialized Patrol		
3. Traditional Preventive Patrol		
4. Crime Analysis		
COURTS 5. Pre-Trial Screening		
6. Pre-Trial Release		
JUVENILE 7. Youth Service Bureaus		
8. Delinquency Prevention		
9. Diversion from Juvenile Justice Systems		
10. Alternatives to Incarceration		
11. Alternatives to Custodial Detention		
COMMUNITY CRIME PREVENTION 12. Project Identification		
13. Citizen Patrol		
14. Citizen Crime Reporting		
15. Physical Security Surveys		
ADVANCED TECHNOLOGY 16. Early Warning Robbery Reduction		
SPECIAL PROGRAMS 17. Treatment Alternatives to Street Crimes (TASC)		

* Not yet included in this review cycle.

✓ Included in this review cycle.

B. Tentative Rankings on the Relative Importance Criteria

The following tables show tentative rankings on relative importance criteria.

TABLE B-1

HOW LARGE IS THE SIZE OF THE EFFORT IN THE TOPIC AREA COMPARED TO THE CJS IN WHICH IT EXISTS

TOPIC AREA	Tiny — Small — Sizable — Very Large
POLICE	
1. Neighborhood Team Policing	
2. Specialized Patrol	
3. Traditional Preventive Patrol	
4. Crime Analysis	
COURTS	
5. Pre-Trial Screening	
6. Pre-Trial Release	
JUVENILE	
7. Youth Service Bureaus	
8. Delinquency Prevention	
9. Diversion from Juvenile Justice Systems	
10. Alternatives to Incarceration	
11. Alternatives to Custodial Detention	
COMMUNITY CRIME PREVENTION	
12. Project Identification	
13. Citizen Patrol	
14. Citizen Crime Reporting	
15. Physical Security Surveys	
ADVANCED TECHNOLOGY	
16. Early Warning Robbery Reduction	
SPECIAL PROGRAMS	
17. Treatment Alternatives to Street Crimes (TASC)	

TABLE B-2

IS TOPIC AREA TYPE ACTIVITY GENERALLY PRESENT THROUGHOUT CJS'S IN THE UNITED STATES?

TOPIC AREA	In Few CJS	In Many CJS	In Most CJS	In all CJS
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

TABLE B-3

HOW MUCH DOES THE TOPIC AREA
ACTIVITY AFFECT MAJOR FLOWS THROUGH THE CJS?

TOPIC AREA	Specialized Effect	Partially Affects Major Flows	Moderate Effect On Major Flows	Directly Affects Major Flows
POLICE 1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS 5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE 7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION 12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY 16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS 17. Treatment Alternatives to Street Crimes (TASC)				

TABLE B-4

HOW LIKELY IS CHANGE
DUE TO FINDINGS OF A PHASE II?

TOPIC AREA	Unlikely	Some Chance	Probable Change	Highly Likely
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

C. Tentative Rankings of Relative Clarity of Definition of the Topic Areas

The following tables present tentative rankings of the 11 Phase I studies on these four criteria.

TABLE C-1

IS THERE A GOOD FRAMEWORK FOR MEASUREMENT DEVELOPED (OR IMPLICIT IN THE REPORT)?

TOPIC AREA	Not Directly Appropriate for a Phase II	Needs Further Work	Implicit in Report	Fairly Complete Measurement Framework
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

TABLE C-2

HOW WELL DO THE "RIGHT" ISSUES SEEM TO BE BROUGHT FORWARD?

TOPIC AREA	Don't Like Major Issues Raised	Issues Unclear or Part of Right Issues Omitted	Most of Major Issues	Like Major Issues
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

TABLE C-3

TO WHAT DEGREE HAVE ISSUES TESTABLE
IN THE FIELD BEEN DEFINED IN THE PRESENT STUDY?

TOPIC AREA	Untestable	Difficult to Test	Testable	Very Testable
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

TABLE C-4

HOW WELL HAS SUPPORTING FIELD INFORMATION ABOUT WHAT ACTUALLY TAKES PLACE IN THE FIELD BEEN DEVELOPED[1]

TOPIC AREA	Purely Anecdotal	Weak Field Support or Can't Tell	Solid Sense of Field Material	Excellent Field Data
POLICE				
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Preventive Patrol				
4. Crime Analysis				
COURTS				
5. Pre-Trial Screening				
6. Pre-Trial Release				
JUVENILE				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from Juvenile Justice Systems				
10. Alternatives to Incarceration				
11. Alternatives to Custodial Detention				
COMMUNITY CRIME PREVENTION				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting				
15. Physical Security Surveys				
ADVANCED TECHNOLOGY				
16. Early Warning Robbery Reduction				
SPECIAL PROGRAMS				
17. Treatment Alternatives to Street Crimes (TASC)				

1. Not all Product 2's have been reviewed so these might change.

TOPIC AREA	Rating as a Phase I by Product Requirements 1 2 3 4 5 6 Σ	General Usefulness of Contents 1 2 3 4 5 6 Σ	0=Tiny 10=Very Large 0=Few 10=All CJS 0=Specialized 10=Direct 0=Unlikely 10=Highly Likely 0=Not Appropriate for II 10=Fairly Complete 0=Untestable 10=Very Testable 0=All Anecdotal 10=Excellent 0=Don't Like Them 10=Like Them 0=Low 10=High	# Top Ratings or Tied for Top # Lowest Ratings or Low Ties
1. Neighborhood Team Policing				
2. Specialized Patrol				
3. Traditional Patrol				
4. Crime Analysis				
5. Pre-Trial Screening				
6. Pre-Trial Release				
7. Youth Service Bureaus				
8. Delinquency Prevention				
9. Diversion from JJS				
10. Alt. to Incarceration				
11. Alt. to Cust. Detention				
12. Project Identification				
13. Citizen Patrol				
14. Citizen Crime Reporting *				
15. Physical Security Surveys				
16. Early Warn. Rob. Reduction				
17. TASC				
18. Court Information Systems				
19. Halfway Houses				

* Study, not Phase II design.

Derived From the Information Presently Available About the Topic Areas

● Top Ratings or Tied for Top

■ Lowest Ratings or Low Ties

Size of Topic Re CJS (B-1)
Presence in CJS (B-2)
Effect Flows (B-3)
Change Due to a Ph. II (B-4)
Good Framework (C-1)
Testability (C-3)
Quality of Field Info. (C-4)
"Right" Issues (C-2)
Bases for Phase II "D"

C-9

Preliminary Assessments of Issue Papers Forms

Paired Comparions Summary Sheet

PRELIMINARY ASSESSMENTS OF THE DRAFT ISSUE PAPERS FROM NEP

TOPIC AREA	CONTENT	READA-BILITY	USEFUL-NESS	BOUNDS PROBLEM	THEOR. LIT.	OPERA. LIT.	CONTENT & READABILITY	TOTAL	COMMENTS
POLICE									
1. Neighborhood Team Policing									
2. Specialized Patrol									
3. Traditional Preventive Patrol									
4. Crime Analysis									
COURTS									
5. Pre-trial Screening									
6. Pre-trial Release									
JUVENILE									
7. Youth Service Bureaus									
8. Delinquency Prevention									
9. Diversion from Juv. Justice System									
10. Alternatives to Incarceration									
11. Alternatives to Custodial Detention									
COMMUNITY CRIME PREVENTION									
12. Project Identification									
13. Citizen Patrol									
14. Citizen Crime Reporting									
15. Physical Security Surveys									
ADVANCED TECHNOLOGY									
16. Early Warning Robbery Reduction									
SPECIAL PROGRAMS									
17. Treatment Alternatives to Street Crimes (TASC)									

TOPIC AREA	White's Basis For a Phase II			Research	Evaluation and Assessment	Most Like Desired Phase I
	GB	CT	BB			
POLICE 1. Neighborhood Team Policing						
2. Specialized Patrol						
3. Traditional Preventive Patrol						
4. Crime Analysis						
COURTS 5. Pre-Trial Screening						
6. Pre-Trial Release						
JUVENILE 7. Youth Service Bureaus						
8. Delinquency Prevention						
9. Diversion from Juvenile Justice Systems						
10. Alternatives to Incarceration						
COMMUNITY CRIME PREVENTION 12. Project Identification						
13. Citizen Patrol						
14. Citizen Crime Reporting						
15. Physical Security Surveys						
ADVANCED TECHNOLOGY 16. Early Warning Robbery Reduction						
SPECIAL PROGRAMS 17. Treatment Alternatives to Street Crimes (TASC)						

CT - Can't Tell
GB - Good Bets
BB - Bad Bets

C-11

First Follow-up Interview Form with LEAA

NEP FOLLOW-UP INTERVIEW FORM

Division: _____

Persons Interviewed: _____

Interviewers: _____

Date: _____

Who from your division has been involved with NEP?	Are they still on it?	How much time for each?	Will they monitor the grant?

TOPIC AREAS:

Underway now:

Heading toward approval:

Active:

Abeyance:

A. CONTENT QUESTIONS:

1. Topic area selection:

How can you determine how much money LEAA has invested in a topic area?

How can you determine the types of information that federal and non-federal users need about a topic area?

Federal:

Non-Federal:

How can (or can) NILECJ bound the topic areas to descriptions of what activity is encompassed and included (separating the mix of rhetorical, impact, and activity descriptions)?

How can you (or do you) assess the potential impact of a topic area on crime and the criminal justice area?

1. (Continued)

Where did your presently selected topic areas come from?

Is there a way for different parts of NILE and LEAA to determine he relation to, and boundaries of, a topic area relative to other topic areas?

2. Was the work description adequate for your use?

What needs improvement?

The question of the "universe" to be sampled and examined still seems to be a problem. Was it for your topic areas?

Suggestions for improvement?

How communicated to grantees?

3. Are you happy with the quality of the grantees obtained?

How many did your division contact?

How?

Do you need more to choose from?

Are there any factors that would have allowed you to locate and use better grantees?

Do you think that the idea of having a grantee combine content and methodological expertise will work on your topic areas?

What are the tradeoffs?

Which type should be in charge of a Phase I?

4. Phase I grant work:

Do you think that the grants are the proper size?

Do you feel that there is enough known about the actual activities that take place in the CJS at the start of a topic area investigation?

How could this be improved?

Were you able to spend enough time on content direction and manning questions with the grantee at the time immediately before the grant was signed?

Why or why not?

Would you like to interact on the content of the study while a Phase I is underway?

How much time wouldit take in man-months per study?

If answer is yes, will you be able to?

5. Success Measures:

Do you feel that the Phase I studies that you are buying will have useful information?

What criteria would you use?

What results would make the results of a Phase I completely successful in your eyes?

In the eyes of your peers?

In the eyes of ORP Director?

In the eyes of the NILECJ Director?

In the eyes of the Administrator and Deputy Administrator?

5. (Continued)

Order your topic areas in your believed likelihood of success at this time (best first):

6. How do you expect to use the direct results?

Decide on a Phase II evaluation?

Draw research implications from?

Distribute assessment or other findings?

Will you follow-up any users to see if they like it?

Will you have any reviews made?

7. Any other content issues or facets that you like particularly in the NEP?

Dislike particularly?

Topic Area-by-Topic Area:

Any particular comments on:

Finding Topic Areas
Finding Grantees ⟶Concept Papers⟶Proposals⟶Approvals⟶Monitoring

B. PROCESS QUESTIONS:

1. In Finding Topic Areas, what additional information or assistance do you need from LEAA?

From outside LEAA?

2. In Finding Grantees, what additional assistance do you need or what other processes would you like to use (inside LEAA)?

Outside LEAA?

3. In obtaining and rating concept papers, what additional assistance or procedures do you need (inside LEAA)?

Outside LEAA?

Did you find the U.I. rating sheets useful for rating?

After they were filled out?

4. Once proposals are submitted, what problems did you encounter in:

Assessing them?

Getting budgets approved?

3. (Continued)

Negotiating changes with proposees?

Getting internal approval?

Was there time to concentrate on locking up the grantees "best effort" during the awards process (example)?

5. What suggestions for improving the process (as a process):

Topic areas?

5. (Continued)

Grantees?

Concept papers and assessment?

Proposals?

Approvals?

6. How will you monitor each Phase I?

6. (Continued)

Who will monitor?

How much time can be made available?

At what level of detail will NILECJ be able to interact with the grantees?

7. How will you handle assessing the products?

Phase II or not?

Research implications?

Assessment information?

8. Any other process problems?

C. ANONYMOUS COMMENTS:

C-12

Interview Form for Grantees

INTERVIEW FORM FOR GRANTEES

Interviewer _____

Date of Interview _____

Time of Interview--Start: _____

Stop: _____

Length: _____

Topic Area _____

Grantee/Address _____

Principal Investigator _____

Phone Number _____

First Answer--Organization: _____

Person _____

Hello, I'm (give name) of The Urban Institute in Washington, D.C. The Urban Institute is working with the National Institute of LEAA in developing the National Evaluation Program.

(Name of topic area) is one of the topic areas under investigation and you have a grant to perform that Phase I study.

I would like to talk to someone who is currently working in that area. Could I speak to the Project Director _____, or to someone who is knowledgeable about the overall project?

(Check name of person referred to and secure telephone extension of that person. After contact is made, ask to either conduct or schedule the interview. Estimate time for interview 30-45 minutes. If callback is necessary, secure day and time for callback).

(Information for callback)

Person/Title _____ Date/Time _____

(After contact is made with the person involved in the NEP, introduce yourself and explain your position)

(Example) I'm (give name) of The Urban Institute and would like to spend some time with you to secure answers to questions which will help in modifying the NEP process so that it will work more smoothly in coming years.

We will cover some general questions about your grant, your pre-grant activity, the instructions and guidance that you have received, and any problems you have had or important discoveries that you have made in the process of implementing the study. We will also accept at the end of this interview any comments that you feel would help in revising the approach for future use, but which you would not like to have linked with your survey response.

GENERAL

1. Who from your office has been involved in the Phase I study of _____ .
(Fill in names, titles and phone numbers from proposal)

	(Proposal)	(Interview)	Yes	No
a.				
b.				
c.				
d.				
e.				
f.				

2. Are they still working on this project?
For each "No", when did they stop and why? (Probe for reasons)

Letter	Time	Reason

3. What portion of time has each member of your team been involved on your project?

Name (indicate by letter)	80-100%	60-80%	40-60%	Less than 40%
	___	___	___	___
	___	___	___	___
	___	___	___	___
	___	___	___	___
	___	___	___	___
	___	___	___	___

4. Has the amount of your grant and the length of time changed?
_____No _____Yes

From Grant
$

a. What is the amount of your grant? _____

b. (If yes) What are the reasons for the adjusted amount?

_____

c. What was the start date? _____

d. What is the duration of your project? _____

5. When were you and your colleagues first able to start working on the project?

_____

I have a few questions to ask you about the activities which occurred before you started to work on your Phase I project, specifically, the preparation of your concept paper and your proposal.

PRE-GRANT ACTIVITY

6. How did you learn about the National Evaluation Program, i.e., how did you come to submit a concept paper?

7. Who were your contacts from LEAA during the pre-grant planning activities?

8. How helpful were those contacts?

___ very helpful

___ generally helpful

___ somewhat helpful

___ not at all helpful

9. In what way?

10. Does your project have an advisory group? ___ Yes ___ No

(If yes)

10a. How was the advisory group selected?

10b. What is your advisory group designed to do?

10c. Is your advisory group a working level group, high level review, or how would you characterize it?

10d. How useful has the Advisory Group been to you?

___ very useful

___ generally useful

___ somewhat useful

___ not at all useful

10e. In what way?

11. What guidance was given you in preparation of your concept paper? From whom?

12. How adequate was that guidance?

_____ very adequate

_____ somewhat adequate

_____ not adequate at all

13. In what way?

14. Knowing what you know now, what guidance or help would have been better?

Proposal

15. What assistance was given you after your concept paper was reviewed in preparation for your proposal?

From whom? _____

16. How adequate was that assistance?

_____ very adequate

_____ somewhat adequate

_____ not adequate at all

17. In what way?

18. Knowing what you know now, what guidance or help would have been better?

19. After your proposal was submitted to LEAA, how much time elapsed before you were notified that your office was awarded the grant?

_____

Our next group of questions are related to the instructions you have received to use in carrying out the work. Some of them were used in proposal preparation as well.

INSTRUCTIONS

20. Did you receive the following instructional materials before you proceeded to work on Phase I of your activity?

			Do you have them now?	
	Yes	No	Yes	No
Memo or material related to the universe (Aug. 1, 1974)	___	___	___	___
Work Description (Nov. 1974)	___	___	___	___
Memo relating to Format of Phase I Products (Feb. 27, 1975)	___	___	___	___
Memo relating to the Reporting Results of a Phase I Produce (June 2, 1975--replaces Feb Memo)	___	___	___	___
Any special briefings, meetings, etc. (LIST ADDITIONAL INSTRUCTIONS)	___	___		

21. Could you understand how to handle the

	Yes	No	(if no) What needs improvement/clarification?
Universe question?	___	___	
Work Description?	___	___	
February 27th Format Memo?	___	___	
June 2nd Format Memo?	___	___	

22. Have you asked for clarification/interpretation of parts which were unclear? ___Yes ___ No

(If No)
22a. Why?

(If Yes)
22b. Have you been able to get quick clarification of parts that are difficult to understand? ___Yes ___ No

From whom? _____

23. (If any are given in Question 20) What were the issues raised in special meetings or briefings?

Now that you have started to work on your Phase I, the following questions relate to the implementation phase of your project.

IMPLEMENTATION

24. Did you encounter any problems in finding

	No	Yes (if yes, get comments
Background information	____	____
Past research	____	____
Historical development	____	____
Views of experts	____	____

25. How did you review the literature?

Reviewed abstracts _____

Scanned _____

Studied _____

Other (specify) _____

_____

26. How did you locate experts in your topic area?

27. Did you encounter any problems in getting past findings in

	No	Yes (if yes, get comments)
Past evaluation studies	____	___
Project descriptions or reviews	____	___
Discussions with or by operators, auditors, or evaluators of past projects	____	___
Quantitative data from past projects	____	___

GENERAL COMMENTS:

28. When you drew up your bibliographic list, was reference material included which was not used in preparation of the issues paper? ___Yes ___No

Does the bibliography include	Yes	No
Material cited	___	___
Material paraphrased	___	___
Material reviewed, but not used	___	___
Material not reviewed	___	___

Universe of Projects

29. What information sources did you use to find projects that fit in your topic area?	30. How useful was that information?	31. In what way?
a. Inside LEAA: NILECJ ___	___ very useful ___ somewhat useful ___ not useful at all	
National ___	___ very useful ___ somewhat useful ___ not useful at all	
Regional ___	___ very useful ___ somewhat useful ___ not useful at all	
Other: _____ _____	___ very useful ___ somewhat useful ___ not useful at all ___ very useful ___ somewhat useful ___ not useful at all	
b. Outside LEAA: SPA ___	___ very useful ___ somewhat useful ___ not useful at all	
Other: _____ _____	___ very useful ___ somewhat useful ___ not useful at all ___ very useful ___ somewhat useful ___ not useful at all	

32. Did you locate operators, auditors or evaluators of past projects?
___ Yes ___ No

32a. How did you accomplish this?

33. How were site visits selected? (LIST MEASURES APPLIED)

34. There are two main sources of actual data that are applicable to the measures that you are interested in, old reports and those existing in the field at particular projects. Did you discover useful data

___ in old reports

___ in the field

34a. Were you able to assess how accurate these data were?

___ Reports

___ Yes

___ No

___ Field

___ Yes

___ No

How? (GENERAL COMMENTS)

35. There are two kinds of problems in conducting the work: (a) deciding what is to be included in specific products and (b) implementing those decisions by carrying out the work.

(a) Could you tell me first any initial problems that you had in bounding and deciding what should be in each work products?	(b) Now what are the more important problems that you are running into in carrying out the work on your work products?
Product 1 (Issue Paper)	
Product 2 (Field Work)	
Product 3 (Synthesis)	
Product 4 (Assessment)	
Product 5 (Design of Phase II)	
Product 6 (Single Project Evaluation)	

36. As you considered the report on your project, did you have any problems in interpreting the memo, "Format of Phase I Products" dated February 27?

___ No

___ Yes (if yes) What was unclear?

37. That memo was then replaced by one relating to reporting the results of your Phase I Study, dated June 2, 1975. Do you have any problems interpreting it?

___ No

___ Yes (if yes) What are the problems?

Summary:

Specific deliverable products (1, 2, 3, 4, 5 or 6):

38. Which type of monitoring by LEAA is this grant under?

___ tightly coordinated monitoring

___ periodic monitoring

___ very light monitoring

39. Who is your principal monitor? _____

40. Has this been continuous throughout the grant? ___Yes ___ No

(If not) Who else monitored? _____ (name) _____ (period)

(SAY AFTER QUESTION 41--last page--)

THANK YOU FOR YOUR COOPERATION. IF YOU HAVE ANY ADDITIONAL PROBLEMS, JOE NAY, WILL BE HAPPY TO CALL YOU ABOUT THEM. WOULD YOU LIKE HIM TO CALL YOU?

___ Yes ___ No

(If yes) I WILL HAVE JOE CALL YOU WITHIN THE NEXT FEW DAYS. THANK YOU AGAIN.

41. We are interested in any additional comments you may have about areas which have not been covered in this interview. This statement from you will be detached from this interview and will be regarded confidential. Do you have any comments which will assist us during the next year when additional areas for investigation will be selected by LEAA for assessment by the National Evaluation Program?

C-13

Final Follow-up Interview Form
(Administrator to Monitors: 1977)

Final Follow-up Interview Form - 1977

Date: _____

Interviewees: _____

_____

Interviewers: _____

_____

_____

We are here to talk about the uses and usefulness of the National Evaluation Program. In your area, ...

1. Could you please tell us of:

   Any specific uses that you have been able to make of the National Evaluation Program:

   Any uses that you know of:

2. Now we'd like to discuss the value and/or problems of the NEP from several different perspectives.

   a. Could you comment on the value (or problems) that the NEP was to those above you in the agency?

   b. The value (or problems) for you perceived by your peers?

   c. The value (or problems) for you directly?

   d. The value (or problems) to others?

3. Could you give us any actions that you took as a result of or based upon the NEP? First those springing from

   a. the work efforts themselves?

   b. and then from Specific Products?

4. Now we'd like to consider demands upon you for work or information due to the NEP. Could you comment upon the

   a. amount of your time taken:

   b. amount of work required:

   c. affect on other important things:

5. Specifically, the National Evaluation Program was part of an effort to help meet these goals:

   a. To provide a timely, objective and reliable assessment to Congress and the public of the effectiveness of LEAA's programs.

   b. To extend our present knowledge and technical capability in all aspects of criminal justice.

   c. To test criminal justice standards and goals and, through critical research, refine and evaluate them.

   d. To provide criminal justice administrators with relevant information information which they can use to administer their programs more effectively.

   Could you comment on its effectiveness in meeting each of these goals:

   a.

   b.

   c.

   d.

6. Do you have any recommendations for future NEP changes in the following areas:

   a. Appropriateness of phased purchase approach to buying information:

   b. Topic area selections so far:

   c. Approach for topic area selection:

   d. Appropriateness of funding mechanism:

   e. Getting full usage out of the resulting Phase I reports:

   f. Other:

7. Did you review NEP Projects? Yes _____ No _____

Which ones?

C-14

Routing Slips

ROUTING SLIPS

CONCEPT PAPER [ ] PROPOSAL [ ] RATING [ ] | REMARKS:

TITLE: _____

ASSIGNED TO: _____

DATE RATED: _____

DATE TYPED: _____

DATE SENT TO LEAA: _____

DATE FILED: _____

CONCEPT PAPER [ ] PROPOSAL [ ] RATING [ ] | REMARKS:

TITLE: _____

ASSIGNED TO: _____

DATE RATED: _____

DATE TYPED: _____

DATE SENT TO LEAA: _____

DATE FILED: _____

CONCEPT PAPER [ ] PROPOSAL [ ] RATING [ ] | REMARKS:

TITLE: _____

ASSIGNED TO: _____

DATE RATED: _____

DATE TYPED: _____

DATE SENT TO LEAA: _____

DATE FILED: _____

Reviews of Phase I Results by the
Phase II Review Committee

ANNEX E

to

THE NATIONAL INSTITUTE'S INFORMATION MACHINE
A Case Study of the
National Evaluation Program

This annex contains:

E-1: Selection of Topic Areas for Phase II (Developed Jointly by The Urban Institute and Special Programs Division of NILECJ); July 1977.

E-2: Results of the November/December 1976 Phase II Reviews.

E-3: Results of the February/March 1976 Phase II Reviews.

E-1

Selection of Topic Areas for Phase II (Developed Jointly by The Urban Institute and Special Programs Division of NILECJ); July 1977.

WORKING PAPER: 5070-05

SELECTION OF TOPIC AREAS FOR PHASE II

by

Lucile Graham
Joe Nay
Thomas White

July 1977

THE URBAN INSTITUTE
WASHINGTON, D.C.

TABLE OF CONTENTS

		Page
ABSTRACT		iii
I.	INTRODUCTION	1
II.	SUMMARY	3
	A. HALFWAY HOUSES	3
	B. CRIME ANALYSIS	4
	C. EARLY WARNING ROBBERY REDUCTION (EWWR)	4
	D. COURT INFORMATION SYSTEMS	5
	E. PHYSICAL SECURITY SURVEYS	5
III.	APPLYING THE PREVIOUSLY APPROVED COMMITTEE SELECTION CRITERIA TO THE PHASE I REPORTS	6
	A. INTRODUCTION	6
	B. RATINGS OF THE PHASE I STUDY IN THE TOPIC AREA	6 8
	C. ASSESSMENT OF TOPIC AREAS AS TOPIC AREAS (NOW THAT THE PHASE I REPORTS ARE IN HAND)	
	D. COMBINING THE HIGH AND LOW RATINGS	14

EXHIBITS

1	List of the FY 75/FY 76 Phase I Studies Included in this Review Cycle	2
2	Summary of Extreme High and Low Ratings of the Products	9
3	Summary of Extreme High and Low Ratings of the Topic Areas	12
4	Extreme Highs, Lows and Highs minus Lows	15
5	Summary of Critical Ratings and Dispositions	16
6	Ordered by Rough Indications of Suitability for a Phase II Evaluation	17

ABSTRACT

As part of the National Evaluation Program case study and assistance work, a continuing assessment of Phase I products was made by The Urban Institute. In addition, a series of joint assessments were made by an LEAA Special Programs Division/Urban Institute team. Each time that the Phase II review committee met, these assessments were drawn upon to produce summary indications of the appropriateness of various topic areas for Phase II work at their stage of development at that time. The set of working material used in the November/December 1976 review has been largely reproduced in this paper so that the reader can see what considerations were used. The final determinations of the Phase II review committee and the Director of the National Institute following the two major reviews in 1976 are reproduced in the case study report in Annex E as E-2 and E-3.

General results are presented first in this paper. These are followed by development of various relative ratings of the Phase I topic areas and their Phase I reports in increasing levels of detail. An explanation of the factors used is given at each stage. As with the material provided to the March meeting, the worksheets were included so that members of the committee could re-examine any specific assessments.

In some cases assessments were preliminary or were based on preliminary material that could have changed over the next few months. Each of these cases was examined for this review, however, so that future changes would not be expected to sharply alter the selection of topic areas for Phase II efforts, as made by the LEAA review committee in November/December of 1976.

Staff work and review of each individual Phase I study is accomplished by the responsible monitor and by the Special Programs Division and includes a formal meeting by an individual Phase I study review committee. For this reason much staff work had been accomplished by the time that the Phase II review committee met to deliberate. Membership on the Phase II review committee is then by senior officials. These meetings are designed to include:

Deputy Director, National Institute;
Director, Office of Evaluation;
Director, Office of Technology Transfer;
Director, Office of Research Programs:
Director, Special Programs Office;
Supporting staff and other senior officials concerned.

I.

INTRODUCTION

The first round of meetings of the NEP Phase II Topic Area Selection Committee was held in March of 1976. At that time, a set of selection criteria (described below) was generated and adopted by the committee for screening the Phase I results and selecting candidates for Phase II evaluations. Eleven completed Phase I topic areas were screened at that time. The four following topic areas have since become the subject of on-going evaluation efforts:

TOPIC AREA	TYPE OF EFFORT
Neighborhood Team Policing	An OTT Replication/OE Evaluation
Pretrial Release	An NEP Phase II Evaluation
Diversion (Juvenile)	An OJJDP Evaluation
TASC	An NEP Phase II Evaluation

Since the committee last met, all 17 Fiscal Year 1975 series Phase I studies have been completed and 2 Fiscal Year 1976 series Phase I studies have been received. For the convenience of the committee, these 19 Phase I's have been pooled together and re-rated relative to one another. These ratings include Urban Institute ratings of the reports, Special Programs Divison/ Urban Institute joint ratings of the topic areas, and inputs from the NILECJ review committee meeting for each study. Exhibit I displays the topic areas considered in this assessment.

List of the FY 75/FY 76 Phase I Studies
Included in this Review Cycle

TOPIC AREA	Included in This Review	Evaluation Work Now Underway
POLICE 1. Neighborhood Team Policing	✓	✓
2. Specialized Patrol	✓	
3. Traditional Preventive Patrol	✓	
4. Crime Analysis	✓	
COURTS 5. Pre-Trial Screening	✓	
6. Pre-Trial Release	✓	✓
JUVENILE 7. Youth Service Bureaus	✓	
8. Delinquency Prevention	✓	
9. Diversion from Juvenile Justice Systems	✓	✓
10. Alternatives to Incarceration	✓	
11. Alternatives to Custodial Detention	✓	
COMMUNITY CRIME PREVENTION 12. Project Identification	✓	
13. Citizen Patrol	✓	
14. Citizen Crime Reporting	✓	
15. Physical Security Surveys	✓	
ADVANCED TECHNOLOGY 16. Early Warning Robbery Reduction	✓	
SPECIAL PROGRAMS 17. Treatment Alternatives to Street Crimes (TASC)	✓	✓
18. Court Information Systems	✓	
19. Halfway Houses	✓	

Exhibit 1

II.

SUMMARY

The criteria adopted previously by the Phase II Review Committee in working sessions and explained briefly below in this paper were used to re-rank the 19 completed Phase I studies relative to each other. The topic areas which are considered the most attractive for Phase II evaluations (listed roughly in order of their rankings) are:

Halfway Houses,
Crime Analysis,
Early Warning Robbery Reduction,
Treatment Alternatives to Street Crime (TASC),
Court Information Systems (as Court Caseflow Management),
Physical Security Studies,
Diversion from Juvenile Justice Systems,
Alternatives to Custodial Detention (Juvenile), and
Pretrial Release.

Two of these, Pretrial Release and TASC, are already underway as NEP Phase II evaluations. Diversion is underway as an Office of Juvenile Justice and Delinquency Prevention (OJJDP) evaluation, and Alternatives may be included under the OJJDP general research programs. The remainder are discussed in this summary. The details of applying the selection committee criteria to all of the 19 topic areas are also given in the body of this paper.

A. HALFWAY HOUSES

This Phase I study deals with houses that are halfway out of confinement for prisoners. The study is well executed and reported, and provides an excellent basis for designing and executing a Phase II evaluation. The right issues seem to be brought forward in the report, supporting field

information is provided, and several important issues appear testable in the field. The activity involved is widely applicable and holds an important position in the criminal justice system.

B. CRIME ANALYSIS

Crime analysis appears extensively in the criminal justice system and holds important potential for success or failure, dependent upon an understanding of how it can properly be carried out and utilized. The Phase I study produced extensive data from the field and seems to have brought forward the proper issues for assessment. The present version of the report is somewhat hard to read, but the grantee is working on a more compact, detailed summary.

C. EARLY WARNING ROBBERY REDUCTION (EWRR)

Early warning robbery reduction ranked high on the original round of committee deliberations and continues to do so. A solid report, good framework, testability, and the possibility of a successful series of applications are the attractive features of this topic area. Negative factors are the small size of the topic area (store robberies) and the fact that only a small part of the entire criminal justice system (CJS) would be affected.

A combination might be most feasible here. Results of various studies have indicated the feasibility of diverting police patrol efforts, and the Special Patrol Phase I Study indicates an approach to assessing various special patrols. Early warning robbery reduction may be one fruitful tactic for such modified patrol efforts.

D. COURT INFORMATION SYSTEMS

This Phase I study has produced a good framework, field information, and access and entry into a set of those courts with major information systems. Both a research effort and a potential Phase II study are indicated here. The Phase II study would not be in court information systems per se, however. With the base laid down in this report, an extended Phase II should be possible in the area of court caseflow management and administration.

Court information systems are only of value in terms of their impact on the operation of the courts. The Phase I study has located and examined a family of court information systems. The Phase II would complement this by examining the structure and caseflow of the associated court systems and evaluating their attempts at improving caseflow and court administration.

E. PHYSICAL SECURITY SURVEYS

This Phase I study is well done and well reported. The right issues seem to have been brought forward, supporting field information has been produced, and the issue of concern would seem to be testability in the field. There is some question how widespread the activity actually is and whether it has a major effect upon flows and functions in the criminal justice system. The Northwestern Research Agreements Project is examining all four of the community crime prevention topics to determine how best to continue in this area.

III.

APPLYING THE PREVIOUSLY APPROVED COMMITTEE SELECTION CRITERIA TO THE PHASE I REPORTS

A. INTRODUCTION

Two sets of ratings, one of the products themselves and one of the topic areas as topic areas at the present state of knowledge, have been pulled together now so that they could be examined simultaneously in a qualitative way to assess the relative possibilities for further work.[1] Since many of the topic areas are non-comparable, only the relative extremes (highest and lowest) have been displayed below.

That is, ratings that were the highest and lowest in each category and against each criteria have been singled out to determine if some reports and some topic areas seem to dominate the top and bottom of the list of 19 by accumulating many firsts or lasts among the ratings. Fortunately, this was true and, as in the last cycle, it appears possible to distinguish at least three levels of topic area:

a. those where further evaluation appears appropriate,

b. those requiring further study, and

c. those where there is not a sufficient basis for proceeding or where further work would appear inappropriate.

The ratings were made by Urban Institute and Special Programs Division (SPD) members who had read all (or a majority of) the Phase I reports. In cases where report material or assessments were not final,

---

1. A summary of research implications is being prepared separately. A review of the single project evaluation design work has already been submitted.

a reexamination was made after the material was prepared to see if the relative ordering was likely to change in the future. None of the overall relative rankings shown are expected to change sharply when these interim ratings are finally revised.

Because of the diverse scope and nature of the original topic areas, absolute ratings are probably not possible in most cases. Therefore, tentative criteria were chosen by the selection committee that can be used to force a relative ranking of the topic areas on each criteria. Some topic areas dominate several of the lists of criteria and thus become obvious selections. Because different research divisions have received their final products in different forms--some as individual products, some as a combined report--the entire report effort generated by each Phase I study, was examined when applying each criteria.

On the basis of the material available after the completion of the Phase I study in a topic area, four families of criteria were adopted by the selection committee:

- Criteria A--Ratings of products produced
- Criteria B--Relative importance of the topic area
- Criteria C--Relative clarity of definition of the topic area
- Criteria D--Relative degree to which the present material provides the basis for requesting a Phase II proposal.

Each of the criteria are discussed below.

Ratings of the actual Phase I study products in each case are then considered and are supplemented with ratings of the topic areas as topic areas, now that further information has been obtained. All of these sources of ratings were then combined in an attempt to order the topics relative to one another.

B. RATINGS OF THE PHASE I STUDY IN THE TOPIC AREA

The Phase I work statement describes seven products that might be characterized as:

Product 1: Issues
Product 2: Field Work and Collection
Product 3: Synthesis of a Framework
Product 4: Assessment of What is Known
Product 5: Possible Phase II Work
Product 6: Single Project Evaluation Design
Summary

In some cases (depending upon the monitoring desk) these have been delivered as separate products, in others as a combined report.

For each Phase I study, an assessment has been made of the content that represents each product as to its relative rating as meeting Phase I study requirements and as to its believed general usefulness. Exhibit II displays (product by product) the highest and lowest ratings received. Thus traditional patrol was tied for the top rating ( )on the issue paper (Product 1) for both NEP requirements and general usefulness. On the other hand, Neighborhood Team Policing tied for last ( ) on the rating of their synthesis of a framework (Product 3) in terms of meeting NEP requirements.

C. ASSESSMENT OF TOPIC AREAS AS TOPIC AREAS (NOW THAT THE PHASE I REPORTS ARE IN HAND)

This assessment is made on the basis of the latter three criteria mentioned above and was made by a joint UI/SPD team, incorporating assessments made in the NILECJ review committee meeting for that study. A brief summary of the criteria precedes the ratings.

Summary of Extreme High and Low Ratings of the Products

TOPIC AREA	Rating as a Phase I Study by Products Product 1	2	3	4	5	6	Σ	General Usefulness of Contents by Products Product 1	2	3	4	5	6	Σ
1. Neighborhood Team Policing			■				■							
2. Specialized Patrol							■							
3. Traditional Patrol	●							●						
4. Crime Analysis	●	●						●	●	●				
5. Pre-Trial Screening		■		●										
6. Pre-Trial Release	●													
7. Youth Service Bureaus	■			■				■		■	■			
8. Delinquency Prevention														
9. Diversion from JJS	●						●	●	■					●
10. Alt. to Incarceration									■					■
11. Alt. to Cust. Detention														
12. Project Identification									■					
13. Citizen Patrol				■					■					
14. Citizen Crime Reporting				■			■				■			
15. Physical Security Surveys							●			●				
16. Early Warn. Rob. Reduction	●		●	●							●			
17. TASC	●	●					●		●					
18. Court Information Systems									●					
19. Halfway Houses	●						●	●		■				●

Derived From The Reports Submitted in Each Topic Area

SUMMARY

● Top Ratings or Tied for Top in its Column

■ Lowest Ratings or Low Ties in its Column

Exhibit 2

Criteria B: Relative Importance of the Topic Area

The 19 cases being considered were ranked relative to each other--including the information in the completed Phase I's--in terms of four sub-criteria:

> HOW LARGE IS THE SIZE OF THE EFFORT IN THE TOPIC AREA COMPARED TO THE CJS IN WHICH IT EXISTS? That is, Traditional Patrol is likely to be a large portion of the effort in a CJS compared to Project Ident activities. This criteria orders the topics (as presently bounded) in terms of their proportional size.
>
> IS TOPIC AREA TYPE ACTIVITY GENERALLY PRESENT THROUGHOUT CJSs IN THE UNITED STATES? This is an ordering on how omnipresent the activity is likely to be. Traditional Patrol occurs in nearly every department. Neighborhood Team Policing at present probably occurs much less often. There are only a few Early Warning Robbery Reduction (EWRR) Programs at present.
>
> HOW MUCH DOES THE TOPIC AREA ACTIVITY AFFECT MAJOR FLOWS THROUGH THE CJS? An activity such as pre-trial screening sits astride the major flow of cases from police to prosecutor. On the other hand EWRR affects those patrol units attempting to catch commerical hold-up men.
>
> HOW LIKELY IS CHANGE DUE TO THE FINDINGS OF A PHASE II? Is solid information likely to cause alterations of the CJS as soon as it is developed and becomes known?

An ordering of the 19 projects on these criteria was made and those receiving the highest and lowest orderings noted. These are summarized in Exhibit III and the full orderings are displayed in Attachment 1.

Criteria C: Relative Clarity of Definition of the Topic Area

These criteria are intended to order the topic areas--again on the basis of Phase I results--in terms of how well the area has now been structured for the design of a Phase II evaluation. It is important that this definition be one that will hold up both against the theoretical issues involved and against actual field practice where measurements will be taken during a Phase II. The sub-criteria are:

> IS THERE A GOOD FRAMEWORK FOR MEASUREMENT DEVELOPED (OR IMPLICIT IN THE REPORT)? Phase I grantees are supposed to develop a good measurement framework or model that shows what the testable issues are in terms of the actual activity taking place in the field. Sometimes this may not be in the report, but the information necessary to develop it may be there. Some reports display very little of their field work and are (or seem to be) based principally on theory and past reports, others contain extensive site visit information.

HOW WELL DO THE "RIGHT" ISSUES SEEM TO BE BROUGHT FORWARD? The reviews to date show that views differ (even among experts) on what the "right" issues are. This criteria calls for a forced ranking on this question.

TO WHAT DEGREE HAVE ISSUES TESTABLE IN THE FIELD BEEN DEFINED IN THE PRESENT STUDY? This criteria is aimed at whether the issues are laid out to match the framework and the field activity well enough to form the basis for a design.

HOW WELL HAS SUPPORTING FIELD INFORMATION ABOUT WHAT ACTUALLY TAKES PLACE IN THE FIELD BEEN DEVELOPED? It is of some importance not to go to the field with a Phase II and discover that the nature of activity to be measured in the field is radically different than what was planned to be measured. For this reason, this tentative criteria forces a ranking of the Phase I reports in terms of how well they marshall their information about the actual process activity taking place in the field as discovered through the field visits. Is it merely anecdotal or broad based and systematic? Does the information shown provide a convincing match with the framework and issues? In some cases, Work Product 2 material (available in R. Barnes' office) has to be examined in order to rate this properly.

As with Relative Importance, a summary of the highest and lowest rankings on Relative Definition is provided in Exhibit 3 and the full rankings are displayed in Attachment 1.

Criteria D: Relative Degree to Which the Present Material Provides the Basis for Requesting a Phase II Proposal

It was initially intended to develop the rankings for this criteria family directly out of the Phase II design section of the Phase I report. Tentative assessment criteria were to be:

A. DATA:

- AVAILABILITY
- OPERATIONAL DEFINITIONS AVAILABLE
- UNIVERSE OF EVALUATION DEFINED

B. PROVISIONS FOR MAINTENANCE OF EXPERIMENTAL CONDITIONS

C. PROPER OR SOUND COST AND LENGTH ESTIMATES

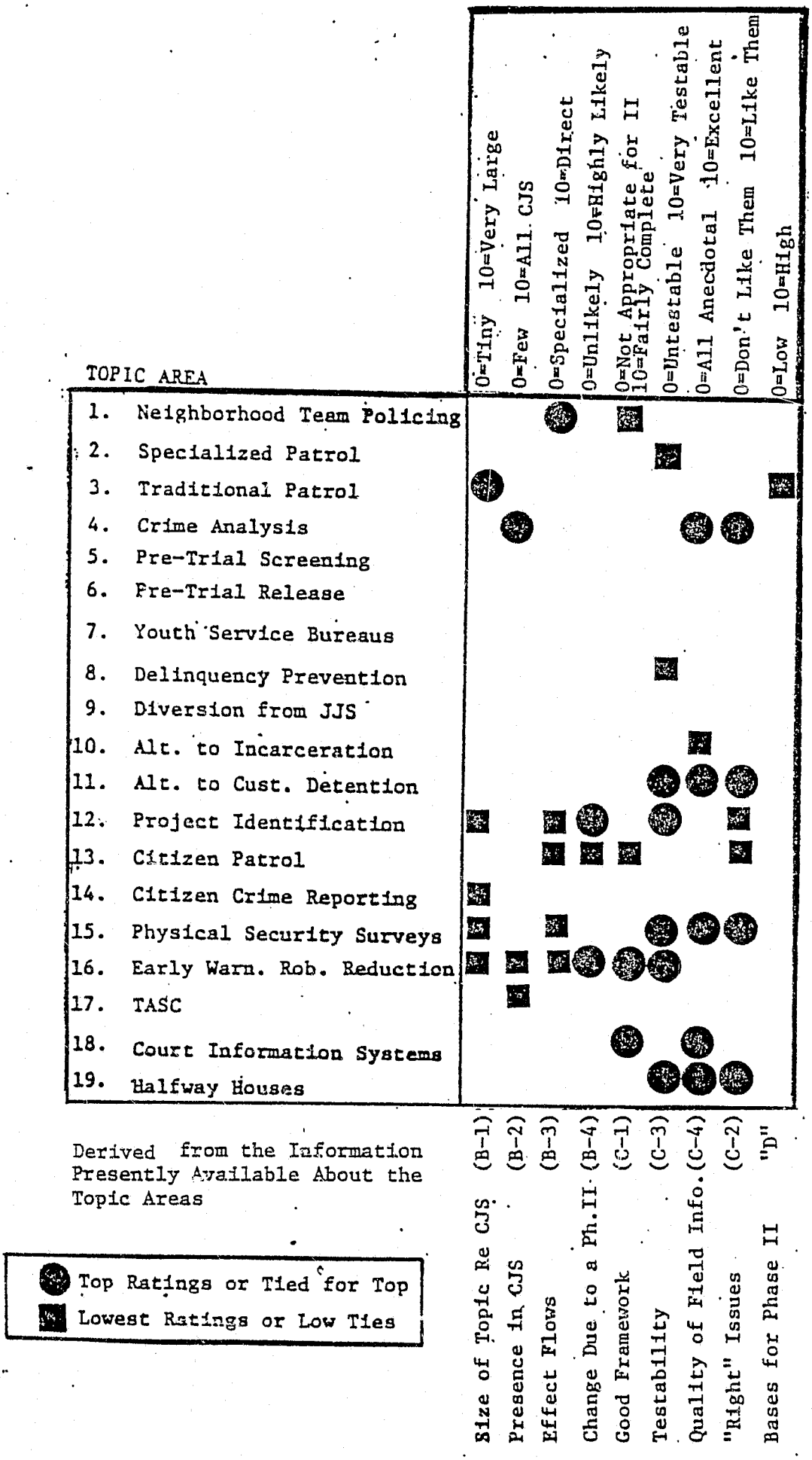
D. FEASIBLE TYPE OF DESIGN SELECTED

E. PROJECTED STAFFING

F. RELATIVE PROBABILITY OF OBTAINING USEFUL OR DEFINITIVE RESULTS FROM DESIGN

G. VALIDITY QUESTIONS IN TERMS OF DEFINITIONAL STATUS AND DESIGN.

Summary of Extreme High and Low Ratings of the Topic Areas



Derived from the Information Presently Available About the Topic Areas

● Top Ratings or Tied for Top

■ Lowest Ratings or Low Ties

Exhibit 3

However, we know through the contact with grantees that in many cases (especially large topic areas) most of the time and money went into issues, field collection, framework, assessment, and summary. Thus the designs were a hurry-up final product produced at the end. Partly because of this, they vary widely in the degree to which any set of the above seven criteria can be evaluated. To answer this criteria, one must generally consider the material in the report as a whole.

In the March meetings, the Phase II Review Committee decided to compare the topic area reports by assessing the relative basis available in them for requesting a Phase II design. The selection committee did that by attempting to rank them into the following rough categories (One category is not necessarily worse than another for selection, since a Phase II could be proposed and let with a 90 to 120 day conditional design or field examination cycle as the initial activity.) However, we took the highest category to be the ones most ready for direct implementation by NILECJ. The categories are that the topic area report as it now stands provides a basis for Phase II proposal development that is:

- READY TO USE NOW.
- PHASE II DESIGN NEEDS MODIFICATION.
- FURTHER DESIGN NEEDED, BUT MUCH IS IMPLICIT IN THE PRESENT DOCUMENT.
- HEAVY FURTHER DESIGN IS NEEDED AHEAD OF PHASE II, BUT COULD USE PHASE I MATERIAL.
- WOULD NEED TO GO INTO THE FIELD IN STAGES ANYHOW, PRETEST, BUILD MONITORING CAPABILITY, AND/OR AUGMENT SITES. PHASE I MATERIAL VALUABLE.
- IT WOULD TAKE VERY HEAVY DESIGN EFFORT TO GET TO A PHASE II DESIGN FROM THESE DOCUMENTS.
- DON'T DO PHASE II BASED ON THIS REPORT ALONE.
- PHASE I'S AND RESEARCH EFFORTS ARE PROPOSED INSTEAD OF PHASE II's.

The ratings of the 19 topic areas are summarized in Exhibit 3 (highest and lowest) and displayed in detail in Attachment 1.

D. COMBINING THE HIGH AND LOW RATINGS

The high and low ratings were combined for all four of the criteria in an attempt to see if some topics dominated and others fell quite low. The results are displayed in Exhibit IV. It was then decided to order them on the basis of highs minus lows, using Criteria D (Is the basis for a Phase II evaluation action present?) to break ties, since it is important to any subsequent NILECJ action. When this is done, one gets a table like Exhibit 4. The topic areas are reordered--from the most suitable to the least suitable--in Exhibit 6.

The final ordering was then examined by each of the people who have read most of the studies to see if it seemed reasonable or violated common sense belief in terms of individual studies, topic areas, or relative rankings. No major arguments were found with this ordering. It seems consonant with the information and studies in hand. It is only fair to note that if major conflicts had appeared between the results of these orderings and the subjective beliefs of the major reviewers, then the scheme for marshalling all of this information would have been restudied. The ranking scheme is considered to be more of an aid to not overlooking things. It is not presented as an objective method of measurement.

Extreme Highs, Lows and Highs minus Lows

TOPIC AREA	# Top Ratings or Tied for Top	# Lowest Ratings or Low Ties	Net of High minus Low
1. Neighborhood Team Policing	+1	-3	-2
2. Specialized Patrol		-2	-2
3. Traditional Patrol	+3	-1	+2
4. Crime Analysis	+8		+8
5. Pre-Trial Screening	+1	-1	0
6. Pre-Trial Release	+1		+1
7. Youth Service Bureaus		-5	-5
8. Delinquency Prevention		-1	-1
9. Diversion from JJS	+4	-1	+3
10. Alt. to Incarceration		-3	-3
11. Alt. to Cust. Detention	+3		+3
12. Project Identification	+3	-4	-1
13. Citizen Patrol		-6	-6
14. Citizen Crime Reporting *		-4	-4
15. Physical Security Surveys	+5	-2	+3
16. Early Warn. Rob. Reduction	+8	-3	+5
17. TASC	+4	-1	+3
18. Court Information Systems	+3		+3
19. Halfway Houses	+8		+8

Exhibit 4

Summary of Critical Ratings and Dispositions

TOPIC AREA	Bases for a Ph.II	+	-	Sums	Overall: Least Attractive At Present	Most Attractive At Present	Requires Further Study
POLICE							
1. Neighborhood Team Policing	3.5	1	3	-2	OTT Replication		
2. Specialized Patrol	3		2	-2	*		
3. Traditional Preventive Patrol	.5	3	1	+2			*
4. Crime Analysis	7	8		+8		*	
COURTS							
5. Pre-Trial Screening	4.5	1	1	0			*
6. Pre-Trial Release	4	1		+1	Underway Phase II		
JUVENILE							
7. Youth Service Bureaus	2.5		5	-5	*		
8. Delinquency Prevention	1.5		1	-1	*		
9. Diversion from Juvenile Justice Systems	7	4	1	+3	Underway OJJDP		
10. Alternatives to Incarceration	2		3	-3	*		
11. Alternatives to Custodial Detention		3		+3			*
COMMUNITY CRIME PREVENTION							
12. Project Identification	9.5	3	4	-1	*		
13. Citizen Patrol	1		6	-6	*		
14. Citizen Crime Reporting	7		4	-4			*
15. Physical Security Surveys	7.5	5	2	+3		*	
ADVANCED TECHNOLOGY							
16. Early Warning Robbery Reduction	8	8	3	+5		*	
SPECIAL PROGRAMS							
17. Treatment Alternatives to Street Crimes (TASC)	9	4	1	+3	Underway Phase II		
18. Court Information Systems	7	3		+3		*	
19. Halfway Houses	8	8		+8		*	

Ordered by Rough Indications of Suitability for a Phase II Evaluation

IN ORDER OF INDICATIONS FOR A PHASE II	PRESENT STATUS OF THE TOPIC AREA
1. Halfway Houses	Suitable
2. Crime Analysis	Suitable
3. Early Warning Robbery Reduction	Suitable
4. Treatment Alternatives to Street Crime (TASC)	Underway
5. Court Information Systems	Suitable as Case Flow Management
6. Physical Security Surveys	Suitable
7. Diversion from Juvenile Justice Systems	Underway
8. Alternatives to Custodial Detention	Study not Complete
9. Pre-Trial Release	Underway
10. Pre-Trial Screening	Requires Further Study
11. Traditional Preventive Patrol	Requires Further Study
12. Project Identification	Not Suitable
13. Delinquency Prevention	Not Suitable
14. Neighborhood Team Policing	OTT Replication Underway
15. Specialized Patrol	Not Suitable
16. Alternatives to Incarceration	Not Suitable
17. Citizen Crime Reporting	Requires Further Study
18. Youth Service Bureaus	Not Suitable
19. Citizen Patrol	Not Suitable

Exhibit 6

E-2

Results of the November/December 1976 Phase II Reviews.

CONTINUED

3 OF 3

LEAA FORM 1331/6 (6-72)

UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

TO : Gerald M. Caplan
Director, NILECJ

DATE: January 3, 1977

FROM : NEP Phase II Review Committee

SUBJECT: Committee Recommendations

The attached memorandum sets forth the recommendations of the Phase II review committee resulting from a final meeting held during December, 1976.

Geoffrey M. Alprin

Richard L. Linster

Richard T. Barnes

Michael A. Mulkey

Paul Cascarano

John B. Pickett

Blair G. Ewing

Jan H. Trueworthy

LEAA FORM 1331/9 (8-72)

UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

TO : Gerald M. Caplan, Director
National Institute

DATE: January 3, 1977

FROM : Richard T. Barnes, Director
Special Programs Division

SUBJECT: National Evaluation Program Phase II Review Committee Recommendations

I. BACKGROUND

The first NEP Phase I review was completed during March, 1976. At that time, 11 Phase I studies had been completed and were considered competitively for Phase II endorsement. A copy of the memorandum which presented review committee recommendations (with your annotations) is appended for your reference. (See Appendix A.)

The full committee meeting for the second round of Phase II review recommendations was held on December 3, 1976. This memorandum sets forth the priority areas for Phase II funding agreed upon at that meeting. The second round of review sessions was initiated with Urban Institute ratings of individual reports and joint Urban Institute/Special Programs Division ratings of topic areas. For this purpose, all 19 completed projects were considered (even though follow-on funding has been initiated for three areas selected during the first round of reviews). The inclusion of all completed projects provides:

- a resulting comparative ranking which includes all FY 1975 grants. This is particularly desirable in view of the ongoing Urban Institute case study.
- the opportunity to reassess topic areas which were excluded from funding consideration due to possible but unrealized alternate program desk funding
- an underscoring of highest ranked areas as they received higher ratings than those already being processed for Phase II funding

The final priority-ordered ranking of the 19 topic areas serves as the basis for the recommendations set forth below.

II. PHASE I's REVIEWED AND REVIEW CRITERIA

To date, 20 Phase I studies have been completed (See Appendix B: status chart). Because the products from the Assessment of Institutional Furlough Programs are being revised, only 19 topic areas were considered in this second round of recommendations.

Review criteria established during the first round were again applied as defined below:

A. Ratings of Products

Each Phase I effort results in seven products:

- °Issues Paper
- °Interventions Paper
- °Synthesis of a Framework
- °Assessment of What is Known
- °Phase II Evaluation Design
- °Single Project Evaluation Design
- °Summary Report

In some cases, depending upon the monitoring desk, these have been delivered as seven separate documents, in others selected products have been delivered as combined reports.

For each Phase I study, the Urban Institute has assessed each product in terms of (1) its relative rating as meeting Phase I study requirements and (2) its general usefulness. (See Appendix C, "Working Material for the NEP Phase II Topic Area Selection Committee", Exhibit 2, p.9)

B. Relative Importance of the Topic Area

The 19 cases were ranked comparatively on the basis of four sub-criteria:

- °Amount of the topic area activity relative to overall activity of the criminal justice system in which it exists (Does the activity represent a relatively large, medium or small portion of overall criminal justice expenditures or manpower?).

°Extensiveness of topic area project types or activity throughout criminal justice systems in the United States (Does the activity or project type exist in all, most, some or few criminal justice systems?).

°Extent to which topic area activity or project type affects the flow of defendants, victims or cases through the criminal justice system.

°Likelihood of program change as the result of a Phase II evaluation.

C. Clarity of Definition of the Topic Area

°Development by the Phase I grantee of a good measurement framework or model specifying data collection points which should be used to address Phase II evaluation issues.

°Extent to which the "important" issues seem to be defined for purposes of Phase II evaluation.

°Extent to which the defined issues are testable through field investigation.

°Degree to which the Phase I assessment has resulted in a detailed, accurate description of the topic area activity which occurs in the field.

D. Feasibility of Phase II Design

Each study was ranked, with the highest rating accorded studies which produced feasible Phase II designs, through stages of increasing modifications needed, to the lowest ratings whereby phase II designs cannot or should not be developed from available documents.

A more detailed discussion of the review criteria is contained in Appendix C, pp. 6-17. Exhibit 6, p. 17, provides a final status listing of topic areas in the order of suitability for Phase II support.

The review committee also addressed two additional factors in formulating final recommendations. First, current and planned Institute research and evaluation outside of the NEP was considered in order to address the question of possible overlap or duplication between Phase II evaluations and other projects. Second, the Committee added the criterion of potential benefit from the topic area activity or project type, that is, the extent to which the Phase I indicates that a project type appears successful and has significant promise for other jurisdictions which might adopt it but requires further evaluation for a definitive answer.

III. PHASE II RECOMMENDATIONS

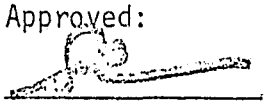
It is anticipated that one or two Phase II evaluations will be undertaken during FY 1977 in addition to the TASC, Pretrial Release, and Juvenile Diversion (NIJJDP) studies. Based upon the ratings of topic areas and review committee discussion, the following topic areas are recommended as candidates for Phase II consideration:

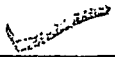
A. Phase II Support Recommended

The following topic areas are most highly recommended for FY 1977 Phase II funding. These efforts could be developed as RFP's based totally or primarily upon Phase I products with only limited additional input required.

1. Halfway Houses

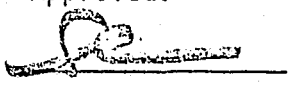
This program area involves longstanding issues of major import as halfway houses are utilized on a nationwide basis. Halfway Houses was ranked as the most suitable of the 19 projects considered for Phase II consideration. The Phase I study was well executed and reported and provides an excellent basis for designing and implementing a Phase II evaluation: the proper issues appear to have been addressed, supporting field work is available, and several important issues appear testable at the Phase II level.

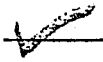
Approved:  Disapproved: _____

Primary Responsibility:  OE, _____ ORP

2. Caseflow Management Research

Findings of the Assessment of Court Information Systems indicate that the potential of existing systems to assist in court administration and caseflow management has not been met. Therefore, neither the information systems nor related caseflow management work in the field merit Phase II evaluation at the current time. Instead it is proposed that both the courts and their associated information systems be carefully examined in order to develop a set of potential solutions to the problem of applying systems' capabilities to caseflow management. Potential solutions could then be field tested, monitored, and evaluated. Detailed site survey information available from the Phase I effort could be utilized to initiate this research effort. Field work in 4-6 systems of the 13 original sites is suggested. (See Appendix D, Position Paper on "Caseflow Management in the Courts" for an expanded discussion on this proposed research.)

Approved:  Disapproved: _____

Primary Responsibilities:  OE, _____ ORP

B. Investigation Toward Phase II Development Recommended

The following topic areas would require more extensive input/investigation by SPD/Program Desk staff prior to the development of RFP's.

1. Early Warning Robbery Reduction Projects

Early warning robbery reduction ranked high on the original round of committee deliberations and continues to do so. A solid report, good framework, testability, and the possibility of a successful series of applications are the attractive features of this topic area. Negative factors are the small size of the topic area (store robberies) and the fact that only a small part of the entire criminal justice system (CJS) would be affected.

A combination or expansion of scope might be most feasible. Results of various studies have indicated the feasibility of diverting police patrol efforts, and the special patrol Phase I indicates an approach to assessing various special patrols. Early warning robbery reduction may be one fruitful tactic for such modified patrol efforts.

Approved: Disapproved:

Comments:

2. Pretrial Screening

Further support in this topic area was suggested but postponed in view of possible duplication with planned program desk research on pretrial decision-making. As that effort seems to have been shelved, it may be desirable to reassess the feasibility of Phase II support. Expansion in scope to research on prosecution management may be most desirable. Close coordination with the Courts Branch in development would be required.

Approved: Disapproved:

Comments:

3. Crime Analysis Units

Crime analysis appears extensively in the criminal justice system and holds important potential for success or failure, dependent upon an understanding of how it can properly be carried out and utilized. The Phase I study produced extensive data from the field and seems to have brought forward the proper issues for assessment. The present version of the report is somewhat hard to read, but the grantee is working on a more compact, detailed summary.

Approved: Disapproved:

Comments:

C. Phase II Development Work Underway

Community Crime Prevention

The options for Phase II support by combining the FY 1975 CCP topic areas are currently being investigated by staff of the Northwestern Research Agreement. A preliminary paper was returned to the grantee for expansion. The Phase I efforts involved are: Citizen Crime Reporting Programs, Citizen Patrol Projects, Security Surveys, and Operation Identification. It appears appropriate, especially in view of the new legislative emphasis on community crime prevention, that the NEP support follow-on work in this area.

E-3

Results of the February/March 1976 Phase II Reviews.

UNITED STATES GOVERNMENT

Memorandum

DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

TO : Gerald M. Caplan
Director, NILECJ

DATE: March 31, 1976

FROM : Richard T. Barnes, Director
Special Programs Division

SUBJECT: National Evaluation Program Phase II Review Committee Recommendations

I. Background

The National Evaluation Program (NEP) was launched by the Institute in 1975 as a major component of the LEAA Knowledge Program recommended by the Evaluation Policy Task Force in March 1974. On a continuing basis, the NEP will implement a series of phased evaluation studies. Each study focuses on a specific "topic area" which in turn relates to a universe of operating projects in the field. Topic areas are selected to reflect the expressed needs of a variety of users, including LEAA central and regional offices, SPAs, and the research community itself. Development of a knowledge base in a selected topic area is initiated with a Phase I study. These studies are aimed at providing the Institute with (1) state-of-the-art reviews which lay out the issues, review past research, and provide us with a concise picture of current operational reality, and (2) recommendations regarding further evaluation and research needed in the area, i.e., recommendations regarding a continuation into a Phase II study.

The Implementation schedule for the NEP called for the funding of up to 20 Phase I studies in FY 75. Based on the findings and recommendations regarding Phase II studies provided by these FY 75 grantees, it was further planned that the Institute could expect to fund 2-3 Phase II studies in FY 76. In fact, 17 Phase I studies were awarded by the end of FY 75 and, as of February 1976, 11 of these studies had submitted their final reports to the Institute, complete with Phase II recommendations (the remaining 6 studies will be completed in the next 2-3 months). To meet our objective of funding some Phase II studies this year requires (1) approval by the Institute Director of a set of candidate Phase II topic areas choosen from among the 11 completed studies and (2) identification of potential

Phase II grantees and development of quality proposals for processing and submission to the LEAA Administrator.

To assist the Director in his selection of candidate topic areas for continuation studies, a Phase II Review process has been approved (see Appendix A) and a Review Committee established with the following membership:

1. Geoffrey M. Alprin, Director, Office of Research Programs
2. Richard Linster, Director, Office of Evaluation
3. Paul Cascarano, Director, Office of Technology Transfer
4. Betty Chemers, Office of the Director
5. John Pickett, Office of the Director
6. Richard T. Barnes, Office of Research Programs
7. Michael Mulkey, Office of Research Programs
8. Joe Nay, Urban Institute (Technical Advisor to NEP)

This Committee has met twice to review and discuss the 11 potential Phase II topic areas. This memorandum transmits the Committee's recommendations concerning Phase II studies to the Director.

In making its recommendations, the Committee feels that a few general observations are in order:

A) The amount of effort involved in going from an approved topic area to implementation of a Phase II study will vary from case to case. In part, this reflects the amount of detailed design work accomplished by the Phase I grantee, and, in part, it reflects variation in the complexity of the original topic areas themselves.

B) The NEP is an LEAA Program and, particularly in the implementation of Phase II studies, this will frequently require coordination of several LEAA Offices or divisions. Such coordinated efforts typically require additional time and effort in the development and review of project proposals, but when successful, can have much larger payoffs. Every effort should and will be made to achieve the FY 1976 Phase II objectives, but some delay may be unavoidable if the necessary inter-office coordination is to be orchestrated in such a way that the goals of the Phase II part of the NEP are fully achieved.

II. Phase I's Reviewed and Review Criteria

The recommendations of the Phase II Committee are based on a review of the eleven Phase I assessments which were completed as of February 29, 1976, as follows:

-Specialized Patrol

-Traditional Preventive Patrol

-Pre-Trial Screening

-Pre-Trial Release

-Youth Services Bureaus

-Delinquency Prevention

-Juvenile Delinquency Diversion

-Alternatives to Juvenile Incarceration

-Operation Identification

-Early Warning Robbery Reduction

-Treatment Alternatives to Street Crime (TASC)

Review criteria adopted by the Committee included a set suggested by the Urban Institute (working under their grant to provide support during implementation of the NEP, #75-NI-99-0090); these are:

A. Relative importance of the topic area

-Size of the topic area activity relative to overall activity of the criminal justice system in which it exists (Does the activity represent a relatively large, medium or small portion of overall criminal justice expenditures or manpower?).

-Extensiveness of topic area project types or activity throughout criminal justice systems in the United States (Does the activity or project type exist in all, most, some or few criminal justice systems?).

-Extent to which topic area activity or project type affects the flow of defendants, victims or cases through the criminal justice sytem.

-Likelihood of program change as the result of a Phase II evaluation.

B. Clarity of definition of the topic area.

-Development by the Phase I grantee of a good measurement framework or model specifying data collection points which should be used to address Phase II evaluation issues.

-Extent to which the "important" issues seem to be defined for purposes of Phase II evaluation.

-Extent to which the defined issues are testable through field investigation.

-Degree to which the Phase I assessment has resulted in a detailed, accurate description of the topic area activity which occurs in the field.

C. Extent to which the Phase I material provides the basis for requesting a Phase II proposal.

A more detailed discussion of these criteria is contained in Appendix B attached. The Urban Institute also drew up a preliminary ranking of the eleven candidate Phase II topic areas in terms of these criteria (see Appendix C). In addition, the Committee was supplied with copies of the Urban Institute reviews of each of the eleven Phase I's (see Appendix D), and a synopsis of the Phase II recommendations from each of these Phase I's (see Appendix E).

Two additional factors were considered by the Review Committee in formulating its recommendations. First, current and planned Institute research and evaluation outside of the NEP was considered in order to address the question of possible overlap or duplication between Phase II evaluations and other projects. Second, the Committee added the criterion of potential benefit from the topic area activity or project type, that is, the extent to which the Phase I indicates that a project type appears successful and has significant promise for other jurisdictions which might adopt it but requires further evaluation for a definitive answer.

III. Phase II Recommendations

A. Recommended Phase II Topic Areas for Fiscal Year 1976.

The FY 1976 MBO plan calls for the Institute to undertake two or three Phase II evaluations during this fiscal year. Based upon its review of the eleven completed Phase I assessments, the Committee recommends the following as the FY 1976 candidate Phase II topic areas:

1. Pre-Trial Release: The Committee rated this topic area relatively high on the review criteria. It is felt that pre-trial release issues are longstanding, of national import and have not been adequately addressed through prior research and evaluation. A Phase II evaluation of pre-trial release programs should have widespread impact on the operation of these programs. Also, the Phase I in this topic area lays a sound basis for a full scale evaluation, and there would be no significant overlap between such a Phase II and

other current or planned Institute research.

Approve _____ Disapprove _____

The Committee further recommends that if a Phase II evaluation is undertaken in this topic area, it should be implemented and monitored by the Special Programs Division, with the assistance of the Courts Division, ORP.

Approve _____ Disapprove _____

2. Juvenile Diversion: The Review Committee likewise rates this topic area high on all the criteria, and feels that the issues involved are of national importance. Further, a Phase II evaluation in this area would dovetail with the diversion initiative being undertaken by the Office of Juvenile Justice and Delinquency Prevention this fiscal year. Preliminary discussions with the NIJJDP indicate both strong interest on their part and the feasibility of such an approach. A cooperative effort would allow us a unique opportunity to build into the demonstration sites program variations of interest for evaluation purposes, and allow us to easily arrange for the desired data collection efforts. Also, the NIJJDP has evaluation money which it is willing to pool with NILECJ Phase II money to fund such a Phase II evaluation.

Approve _____ Disapprove _____

The Committee further recommends that if a Phase II evaluation is undertaken in this topic area, it should be jointly implemented and monitored by the NIJJDP and the Special Programs Division. Funding for the demonstration projects would be solely from OJJDP; the national level evaluation would be jointly funded by NILECJ and NIJJDP.

Approve _____ Disapprove _____

3. Treatment Alternatives to Street Crime (TASC): As in the case of Pre-Trial Release and Juvenile Diversion, TASC rated high on the review criteria. In particular, the Phase I assessment of TASC forms a strong basis for a Phase II.

In the Committee's view, two other considerations recommend a TASC Phase II. First, TASC is a major discretionary program that has involved the expenditure of some 21 million dollars (4 million this fiscal year) and is continuing to expand. Also, the TASC program manager in ORO has strongly endorsed a TASC Phase II, which should facilitate the project level cooperation necessary to carry out a Phase II. Further, if the agency is to continue its support of TASC at the current level and if state and local jurisdictions are to make enlightened decisions concerning support of TASC functions upon the completion of federal discretionary funding, conclusive evaluation of the program's long-term costs and benefits seems essential. Second, it is felt that TASC has considerable potential for jurisdictions which do not now have such projects, provided the program is achieving its goals and this can be documented; a TASC Phase II should provide us with a definitive answer concerning TASC success.

Approve _____ Disapprove _____

The Committee further recommends that if a Phase II evaluation is undertaken in this topic area, it should be jointly implemented and monitored by the Office of Evaluation and the Special Programs Division and coordinated with ORO.

Approve _____ Disapprove _____

B. Possible FY 1977 Phase II Topic Areas.

The Committee's review indicates that two other topic areas from this first set of Phase I studies should be designated candidates for Phase II evaluation in FY 1977. These are:

1. Pre-Trial Screening: This topic area rated very high on the review criteria, but further work is necessary to coordinate the Court Division's proposed pre-trial decision-making research project and any pre-trial screening Phase II. Preliminary review, however, suggests that duplication of effort could be avoided through careful coordination.

Approve _____ Disapprove _____

2. Early Warning Robbery Reduction (EWRR): Although this topic area had mixed ratings on the review criteria, a number of factors suggest it as a candidate Phase II topic area. First, the Phase I assessment of EWRR indicates that as a project type it has significant potential for

other jurisdictions which might wish to implement it, but a full field evaluation is necessary for a definitive judgement on its utility. Also, the Phase I forms a good basis for further evaluation, and indicates that a thorough evaluation of EWRR is very feasible. Last, it appears that a Phase II evaluation of this topic area would be considerably less expensive than most other proposed Phase II's.

Approve _____ Disapprove _____

C. Possible Phase II Topic Areas Requiring Further Work.

The Committee identified two possible Phase II topic areas, each of which would require additional staff work and would be based upon more than one Phase I. These are:

1. Police Patrol: The Phase I assessments of Traditional Patrol and Specialized Patrol suggest both further research and evaluation. The Committee feels that one or more Phase II evaluation topics relating to patrol or facets thereof can be developed on the basis of these Phase I's, but further staff work is required to define the appropriate topics. For example, we might consider a Phase II which would replicate the Kansas City Patrol experiment.

The Police Division, SPD and OE will work together to develop Phase II topic area suggestions for consideration at the Committe's next review cycle (see IV below).

In addition, the patrol Phase I studies represent valuable

input for ORP planning of future police research.

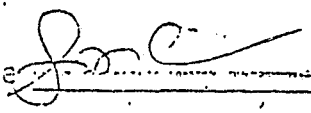
2. Community Crime Prevention: Based on its review of the Operation Identification Phase I and preliminary results from the Phase I assessments of Security Surveys and Citizen Crime Reporting, the Committee feels that a more general CCP Phase II topic area should be developed. The Phase I assessments indicate that very often CCP efforts are undertaken simultaneously by the same administrative unit, making separate evaluations of these types of activities difficult, if not impossible.

SPD has arranged for the review of the CCP Phase I's, upon their completion, by Northwestern University under the technical support component of their Research Agreement; this review will address the question of appropriate CCP Phase II topic areas. Also, SPD and OE have begun work on synthesizing a general Phase II CCP topic area out of the Phase I assessments. These two efforts will result in recommendations for consideration by the Phase II Review Committee in the second review cycle (see IV below).

D. Phase I Topic Areas Not Recommended for Phase II.

The Committee recommends that three Phase I assessments not proceed to Phase II at this time. These are: Youth Services Bureaus, Alternatives to Juvenile Incarceration, and Juvenile Delinquency Prevention. The Phase I assessments in these areas found a very broad range of diverse activities, frequently overlapping between topic areas, which would make full scale evaluation exceptionally difficult and costly. In short, considerable additional work is necessary in these areas to identify managable Phase II topics. The Committee feels that the NIJJDP is the appropriate source of expertise to perform this work and should make recommendations to the Phase II Review Committee concerning appropriate juvenile

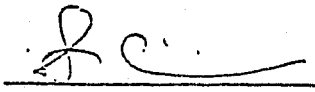
delinquency Phase II topic areas in the future.

Approve  Disapprove _____

It should be noted that these three Phase I's have already been of considerable benefit to the OJJDP by providing a conceptual basis for planning both juvenile delinquency discretionary action programs and research. As a result of these assessments, NIJJDP has identified issues and topics for further research under its own program.

IV. Future Phase II Topic Area Selection

The Committee recommends that the Phase II topic area selection process, as presently organized, be institutionalized as a continuing, periodic procedure. If this recommendation is approved, the next review cycle of the Committee would occur at the end of fiscal year 1976 or beginning of the transition quarter. Such a review would encompass the remaining six FY 1975 Phase I's and any completed FY 1976 Phase I's.

Approve  Disapprove _____

NEP PHASE I ASSESSMENTS

NOVEMBER, 1976

TOPIC AREA	FUNDING STATUS: UNDER CONSIDERATION	FUNDING STATUS: AWARDED	GRANT STATUS: IN PROGRESS	GRANT STATUS: COMPLETED	PUBLICATION STATUS: REPORTS UNDER REVIEW	PUBLICATION STATUS: FULL REPORTS AVAILABLE FROM NCJRS [a]	PUBLICATION STATUS: SUMMARY PUBLISHED
FY 1975							
Operation Identification Projects		X		X		X	X
Treatment Alternatives to Street Crime (TASC)		X		X		X	X
Pretrial Screening Projects		X		X		X	X
Select Patrol Strategies: Specialized Patrol Operations		X		X		X	
Early Warning Robbery Reduction Projects		X		X		X	X
Citizen Crime Reporting Programs		X		X		X	
Pretrial Release Programs		X		X		X	
Prevention of Juvenile Delinquency		X		X		X	
Alternatives to Juvenile Incarceration		X		X		X	X
Juvenile Diversion		X		X		X	X
Traditional Preventive Patrol		X		X		X	X
Youth Service Bureaus		X		X	X		
Team Policing Projects		X		X		X	
Citizen Patrol Projects		X		X		X	
Patrol Support Systems: Crime Analysis Units		X		X	X		
Detention of Juveniles and Alternatives to Its Use		X		X	X		
Security Survey: Community Crime Prevention Programs		X		X		X	
FY 1976							
Residential Inmate Aftercare Projects (Halfway Houses) for Adult Offenders		X		X		X	
Court Information Systems		X		X		X	
Institutional Furlough Programs		X		X	X		
Intensive Special Probation		X	X				
Employment Services for Releasees in the Community		X	X				
Street Lighting Projects		X	X				
Policing Urban Mass Transit Systems		X	X				
Institutional Education Programs for Inmates		X	X				
FY 1977							
Police Juvenile Units		X	X				
Coeducational Correctional Institutions		X	X				
Crime Specific Prosecution Units	X						
Correctional Data Systems	X						
Basic Police Training Programs	X						
Alternative Schools for Disruptive Youth	X						
Citizen Victim Service Projects	X						

[a] Full reports can be obtained on a loan basis by writing the National Criminal Justice Reference Service, P.O. Box 24036, S.W. Post Office, Washington D.C., 20024, Attention: Evaluation Clearinghouse.

END