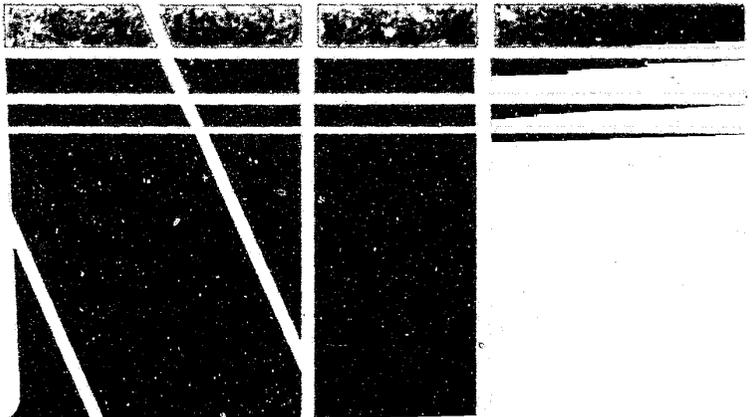


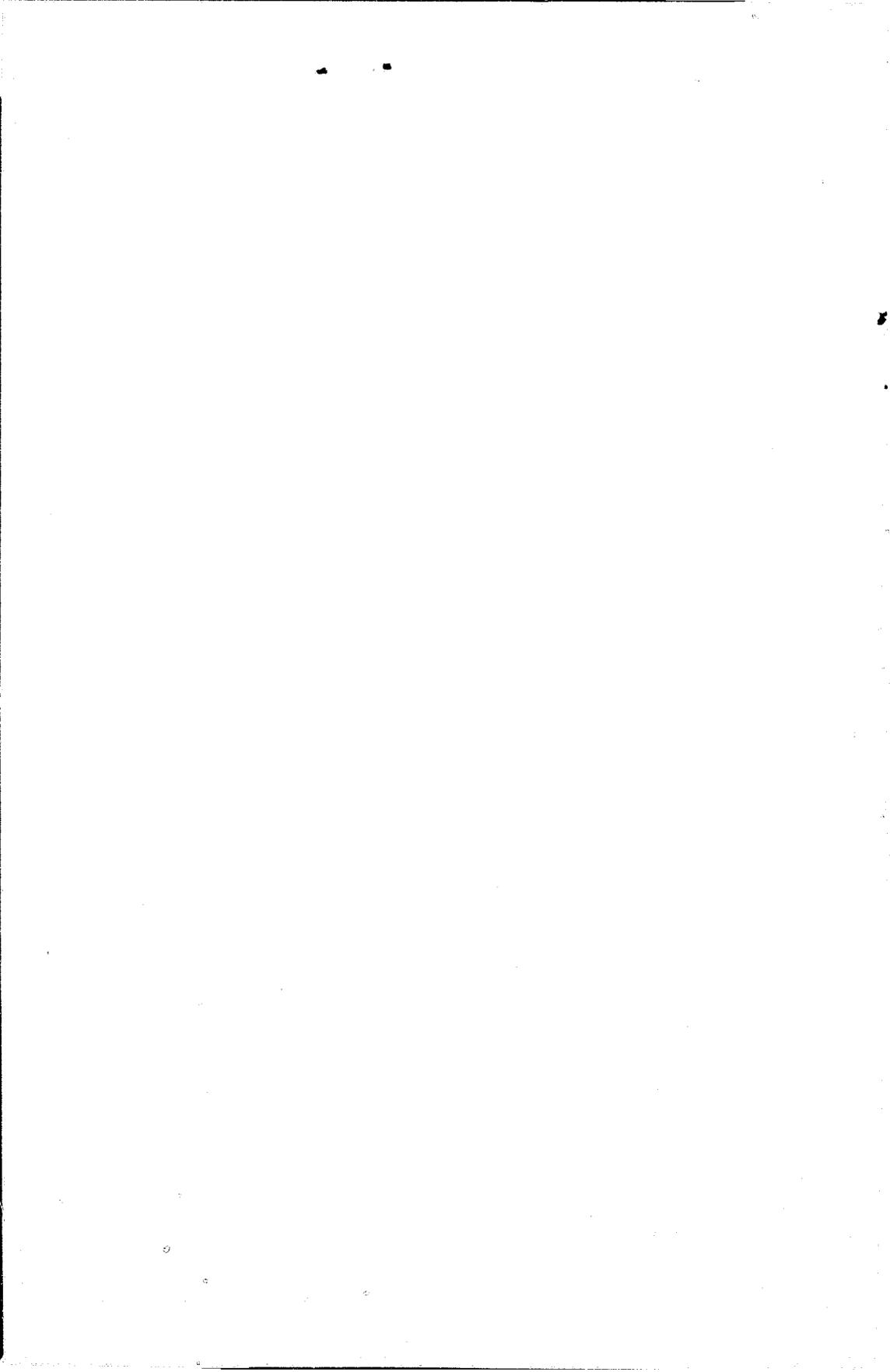


Law Enforcement Assistance Administration
U.S. Department of Justice
Washington, D. C. 20531

The National Institute of
Law Enforcement and
Criminal Justice

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Law Enforcement Assistance Administration
Henry S. Dogin, Acting Administrator

National Institute of Law Enforcement
and Criminal Justice
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What is the National Institute?

Introduction

Created in 1968, the National Institute of Law Enforcement and Criminal Justice is the research, development, and evaluation center of the Law Enforcement Assistance Administration.

Carrying out responsibilities assigned by the Congress, the Institute:

Identifies areas in which new knowledge is needed to improve the workings of the criminal justice system and plans a comprehensive agenda of research and evaluation. In selecting areas for study, the National Institute seeks out those which offer the greatest reward in terms of needed information for Federal dollars invested. Drawing upon its past experience and using insights contributed by members of its Advisory Committee, the criminal justice research community, and criminal justice practitioners across the country, the Institute channels its resources into the most promising avenues for study.

Sponsors studies of major unsolved problems of criminal justice and criminal behavior. Some of these studies consist of basic research on such fundamental questions as the correlates of crime and the sources of deviant behavior—research that can eventually lead to more informed crime control policies. Others are applied research, focusing on better

utilization of police resources, reduction of court backlogs, more effective control of offenders, and other advances of more immediate benefit to the criminal justice system.

Uses research findings to design and test promising new approaches in criminal justice. The National Institute designs and evaluates experimental programs based on Institute research findings. The carefully crafted programs are then field-tested to see if they work in a variety of settings and thus warrant wider demonstration.

Evaluates today's criminal justice practices. The National Institute's evaluation projects provide concrete information on the effectiveness and efficiency of both new and traditional approaches to law enforcement, court procedures, and correctional programs.

Develops new tools for criminal justice research and evaluation. The National Institute sponsors efforts to devise better techniques for studying the criminal justice system. Some of these new methods are intended for use by researchers and evaluators. Others help criminal justice practitioners to analyze and improve the workings of their own agencies.

Promotes scientific and technological advance. The National Institute seeks out scientific techniques and advanced technology which may be adaptable to the needs of criminal justice agencies, tests their applicability, and informs agencies about those which prove useful.

Transmits key research and evaluation findings to criminal justice administrators across the country. The National Institute works to promote acceptance of research findings within the criminal justice community. It does this by packaging information from Institute-sponsored research and evaluation projects in usable form and disseminating it to a wide audience. The Institute sponsors workshops for criminal justice practitioners, seeks out and publicizes successful local projects, and supports a national and international clearinghouse for criminal justice information.

Helps the Law Enforcement Assistance Administration to develop large-scale programs for prevention of crime and improvement of criminal justice. Through systematic procedures for action program development, findings from Institute-sponsored research and evaluation studies are used to plan and refine programs prior to wider demonstration by LEAA.

History

The National Institute arose out of a pressing need for new insights into crime and crime control—a need clearly expressed in 1967 by the President's Commission on Law Enforcement and Administration of Justice. In its report on the American criminal justice system, the Commission stated:

"Probably the single greatest limitation on the system's ability to make decisions wisely and fairly is that the people in the system often are required to decide issues without enough information. . . . Only by combining research with action can future programs be founded on knowledge rather than informed or perceptive guesswork. Moreover, once knowledge is acquired, it is wasted if it is not shared."

Emphasizing the urgency of the "need to know," the Commission recommended a national research program on law enforcement and criminal justice.

In 1968, Congress created the National Institute as a key component of the new Law Enforcement Assistance Administration.

The basic mission of the National Institute—"to encourage research and development to improve and strengthen law enforcement"—was stated in the authorizing legislation, the **Omnibus Crime Control and Safe Streets Act of 1968** (Public Law 90-351, Title I, Part D). In this Act, Congress assigned certain specific functions to the Institute, including:

- entering into grants and contracts to conduct research
- sponsoring behavioral research into the causes and prevention of crime
- sponsoring applied research to develop new approaches, techniques, systems, and equipment to improve law enforcement
- making recommendations for action to Federal, State, and local governments
- collecting and disseminating information obtained by the Institute or other Federal agencies

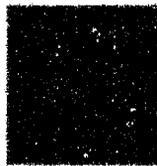
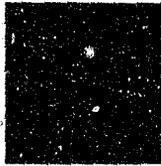
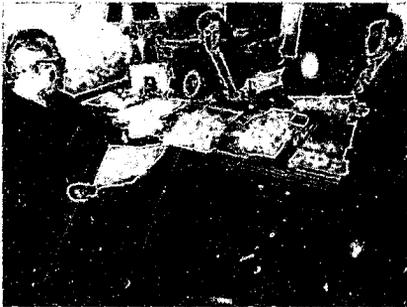
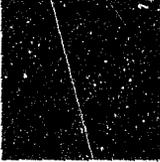
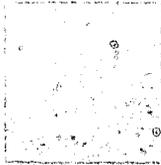
The Crime Control Act of 1973 (Public Law 93-83) broadened the mission of the Institute, giving it added responsibilities:

- evaluating, and helping State Planning Agencies to evaluate, LEAA-sponsored programs
- conducting training programs for criminal justice professionals
- establishing a clearinghouse for exchange of information about law enforcement and criminal justice
- making a nationwide survey of present and future per-

sonnel needs in law enforcement and criminal justice, and determining the adequacy of Federal, State, and local programs to meet such needs

Under the Crime Control Act of 1976 (Public Law 94-503), the Institute's responsibilities were further expanded. The Institute was mandated to:

- develop evaluation techniques for use by State Planning Agencies and disseminate information on evaluation techniques and procedures
- conduct a nationwide survey of present and future needs in correctional facilities and determine the adequacy of Federal, State, and local programs to meet such needs
- undertake a collaborative research effort with the National Institute on Drug Abuse to determine the relationship between drug abuse and crime and evaluate the success of various types of drug treatment programs in reducing crime.



Organization and Accomplishments of the National Institute

The National Institute has structured itself around the basic functions assigned to it by the Congress. It is divided into a research branch called the **Office of Research Programs**, an **Office of Program Evaluation** for assessing practical progress, an **Office of Research and Evaluation Methods** for development of new tools of measurement and inquiry, and an **Office of Development, Testing, and Dissemination** for transmitting new knowledge to the criminal justice community in usable form. All four branches are responsible to the **Office of the Director**, which oversees the entire Institute program. Each Office also plays a key role in achieving priority goals of the Institute.

Planning and Setting Priorities: The Office of the Director

The Office of the Director is ultimately responsible for Institute-wide planning and management. A special planning and analysis unit has been created within this Office to foster a coordinated program that builds on the results of past Institute research.

In setting priorities for study, the Office is guided by the Institute's Congressional mandate, by priorities set by the Attorney General and the LEAA Administrator, by judgments of the Institute's professional staff, by insights of academic researchers and criminal justice experts outside the Institute, and by recommendations of the Institute's Advisory Committee. The Advisory Committee is made up of distinguished criminal justice scholars and practitioners who assist the

Institute by periodically reviewing research directions and accomplishments.

Priorities established for the next few years include:

- research into the correlates and determinants of criminal behavior
- studies of deterrence
- research into community crime prevention
- development of performance standards and measures for criminal justice
- studies of the career criminal
- development of new strategies for utilization and deployment of police resources
- studies of pretrial processes and delay
- research on sentencing
- studies of rehabilitation
- research on violent crime and the violent offender

To ensure the widest possible participation in the priority-setting process, the Institute annually surveys criminal justice researchers, planners and practitioners, officials at all levels of government, and members of public interest groups to obtain their reactions to Institute research priorities and other planned activities.

Institute activities in priority areas involve a steady flow of information and suggestions from one Office to another. Research findings are used as the basis for designing programs that are tested in a variety of settings. The problems and issues encountered in these projects in turn suggest new avenues for research. Based on evaluation findings, a successful experimental design is refined and validated prior to wider demonstration by LEAA.

Interaction among the various components of the Institute is illustrated by the recent effort to analyze the management of criminal investigations. Having identified investigative work as a relatively unexplored area of police operations, the Institute's **Office of Research Programs** sponsored two projects on the management of criminal investigations. These studies, which concluded in 1976, revealed that much of detectives' time is spent on cases which have little likelihood of being solved. Using a simple numerical scoring system which assigns weighted values to bits of information obtained at the scene of the crime, researchers were able to estimate the "solvability" of particular cases. On the basis of this scoring system, researchers developed a screening model which allows police to concentrate their investigative resources on those cases which are most likely to result in arrests. Results

from the studies and descriptions of the screening model were distributed through the Institute's clearinghouse.

Because these research findings challenged both the popular image and the traditional practice of detective work, they sparked considerable interest. Responding to this interest, the Institute sponsored meetings of police experts to discuss the practical implications of the studies.

Using expert suggestions along with the research findings, the **Institute's Office of Development, Testing, and Dissemination** then developed a model program suitable for field testing and evaluation. This program, **Managing Criminal Investigations**, is now being tried in five cities across the country. The Institute's **Office of Program Evaluation** has begun an assessment of the field tests, using an independent contractor.

While the evaluation proceeds, the Institute's **Office of Development, Testing, and Dissemination** conducted training workshops to acquaint senior police administrators and other criminal justice professionals with the new techniques. A survey conducted last year indicated that over three-fourths of the agencies sampled had begun to use at least some of the new methods in managing their criminal investigations.

The experience of these agencies, together with the evaluation findings from the field test will lead to refinement of the investigation management system and raise new questions for study.

Through this continuing cycle of research, evaluation, and consolidation of practical experience, the Institute fosters steady cumulation of knowledge in each of its priority areas. Synthesis of knowledge already gained provides the basis for new research agendas.

How the Institute Supports Research and Evaluation Projects

In approaching all questions, whether they relate to basic mechanisms of behavior or day-to-day operations of the criminal justice system, the Institute seeks to secure the services of the best qualified researchers and technical experts. These services are obtained through three funding mechanisms: grants, contracts, and cooperative agreements.

Grants are monetary awards made to institutions for pursuit of objectives which contribute to the Institute's mission. The objective of a particular grant may be evaluation of a criminal justice

program, resolution of some issues in behavioral science, or any of a number of other advances which benefit law enforcement and criminal justice. Grants are particularly appropriate for many kinds of exploratory studies in which the research methodology or the final product cannot—and should not—be fully specified in advance by the Institute.

Contracts are agreements by which the agency purchases clearly specified services or products from outside sources. The contract mechanism is often used in situations where the efforts of a team of professionals must be focused on an objective of importance to the Institute. For example, contracts have been used to finance the operations of the Institute's clearinghouse and to fund nationwide surveys of correctional facilities and criminal justice manpower.

Cooperative agreements are a funding mechanism recently established by the Congress to give Federal agencies greater flexibility in obtaining assistance from external sources. In a cooperative agreement, the agency works closely with the recipient to achieve a specified goal. When guidelines for the use of cooperative agreements have been worked out, the Institute plans to use this funding method to supplement its grants and contracts program.

Once the Institute has decided that studies on a particular topic are needed and has selected the appropriate funding mechanism to support the work, it publishes a detailed **request for proposals** from prospective grantees or contractors. Proposals are screened by Institute staff and subjected to a process of **peer review**, in which outside experts are asked to comment on the soundness of the proposal and the applicant's ability to carry it out.

Projects selected for funding are managed by Institute **project monitors**, whose role is to assist the grantee or contractor in meeting goals and deadlines specified in the proposal.

A complete listing of projects funded in each recent fiscal year can be found in the Institute's *Annual Report*, published each year at the direction of the Congress.

Each of the Institute's four major branches funds projects which contribute to the realization of Institute goals. They are described in the following section. A further description of their work is included in the final section on the Institute's research priorities.

Seeking New Knowledge: The Office of Research Programs

The Office of Research Programs sponsors both basic and applied research. Through its awards, this Office encourages behavioral scientists and operations researchers to explore major problems of crime prevention and criminal justice. The research builds on past studies, develops new knowledge in priority areas, and contributes to design or improvement of criminal justice programs.

Activities of the Office of Research Programs are carried out through five branches:

POLICE DIVISION research advances police science and strengthens police effectiveness. Studies sponsored by this Division and by private research organizations have dramatized the need and the opportunity for a radical restructuring and upgrading of the entire police services delivery system.

Operations research sponsored by this Division has focused on police response to calls for service, preventive patrol, and criminal investigations. The results have challenged many of the basic assumptions underlying current practice.

For example, a **police response-time study** conducted in Kansas City, Missouri, showed that prompt reporting of crimes by citizens is a major factor in police effectiveness. The average citizen waits so long to report a crime that the police have little chance to make an arrest no matter how fast they respond. Reporting a crime to the police less than two minutes after it is committed would increase the probability of an arrest by nearly 10 percent, the study found.

A **split-force patrol study** conducted in Wilmington, Delaware, suggests that police productivity can be improved by dividing patrol responsibilities between two units, one responding to calls for service and the other responsible for preventive patrol and special tactical assignments.

Research into the **criminal investigation process**, described earlier, has demonstrated the possibility of cost-effective improvements in this area of police work.

Further operational studies are now being conducted to explore the range of strategies available to police departments in responding to calls for service, and to determine the extent to which a police agency can manage the public's demand for service.

Other research has been conducted on police anticorruption management programs, police referral systems, police strikes, and the impact of civil service systems on police administration.

A new, **lightweight body armor** originally developed under

Institute sponsorship is being worn by increasing numbers of police officers. The body armor was credited with preventing injury or death to at least 18 officers in 1976.

The Division's **forensic sciences program** seeks to identify and remedy problems in the operations of crime laboratories. It also fosters improvement of techniques and development of resources in such areas as gunshot residue detection and forensic serology.

ADJUDICATION DIVISION research focuses on the prosecution, defense, and courts components of the criminal justice system. Improving the consistency, fairness, and efficiency of courts, prosecutors', and defenders' offices is a major goal of this research.

Better techniques for juror management, developed out of Institute-sponsored research, allow the typical jurisdiction to reduce its jury pools by 20 to 25 percent while still providing enough prospective jurors to meet trial demands. An estimated \$50 million in jury costs, and four times as much in costs to employers, could be saved through nationwide adoption of these managerial techniques.

Improving the consistency of sentencing in criminal cases is another goal for research. Institute-sponsored studies have led to the development of model sentencing guidelines, now being used experimentally by judges in several large cities. A wider field test is planned. If successful, the model sentencing guidelines may lead to less arbitrary sentencing and to greater public trust in the judicial process.

Examining alternatives to traditional methods of settling disputes has been another key concern of the Adjudications Division. The Division has sponsored studies of nonjudicial methods of dispute resolution now in use in Europe and the United States. This body of information was used by LEAA planners in developing the Neighborhood Justice Centers program, now being tested in three cities.

Automated case management systems, developed under the sponsorship of LEAA, are now generating information of value to criminal justice researchers. Institute-sponsored research uses data from the Prosecutors Management Information System (PROMIS) of the District of Columbia to identify weaknesses and bottlenecks in the day-to-day operations of the criminal justice system. Among the more striking findings thus far are that 70 percent of 1974 arrests for serious crimes did not lead to convictions. Half the arrests which did result in conviction were made by 15 percent of the city's police force.

Other reports from the PROMIS research project are analyzing so-called "victimless" crimes, plea bargaining, the prosecuting attorney as case manager, pretrial release decisions, sentencing practices, and other important areas of criminal justice operations.

CORRECTIONS DIVISION research projects are directed at increasing knowledge of the custody, treatment, and community supervision of offenders.

Sentencing is a high-priority area of research for this Division, and for the Institute as a whole. Division-sponsored researchers are assessing the impact of "flat time" sentencing, which replaces indeterminate sentences with fixed penalties. The investigators are attempting to determine the effect of this policy on correctional institutions, on programs which provide alternatives to imprisonment, and on legal and judicial decisionmaking. This research includes several projects aimed at clarifying the actual and potential effects of the current nationwide trend toward determinate sentencing.

Overcrowding in correctional institutions has been a major concern for both correctional administrators and the Congress. In 1976, Congress directed the Institute to conduct a survey of present and future needs in the nation's jails and prisons. The first part of that survey, dealing with Federal and State prisons, is now complete. The study reveals that these institutions now hold about 284,000 inmates—21,000 more than the "rated capacity" of the system as a whole. The rate of intake of prisoners into the system has begun to level off, and may be expected to stabilize by about 1980. If present expansion plans are carried out, the nation's correctional facilities should be capable of adequately housing about 325,000 inmates by 1982. At that time, the inmate population may be as low as 284,000 or as high as 384,000, depending on such policy factors as severity of sentences, willingness to grant parole, and the use of alternatives to incarceration.

Other studies dealing with the correctional environment focus on the effects of overcrowding on inmate behavior, the factors contributing to victimization of inmates, and the growth and influence of inmate organizations.

Studies of employment programs for inmates and ex-offenders are another area of interest for the Corrections Division. Division-sponsored research on prison industries led to the development of the "Free Venture" program, intended to transform the prison shop from a make-work activity to a facsimile of a business enterprise in the outside world. Inmates are hired for jobs and paid wages commensurate

with their skills. As productivity and profits increase, so do wages paid the workers. A levy can be placed on wages to help finance the program, to pay taxes, to support the worker's family, or to provide services for workers after their release from prison.

Rehabilitation is one correctional goal which has been a subject of increasing controversy in recent years. Division-sponsored researchers are now seeking a uniform method for measuring the effectiveness of correctional programs—a method which will permit evaluators to draw more definite conclusions about the effects of rehabilitation-oriented programs. In another study, a panel of experts assembled by the National Academy of Sciences examined a number of studies of correctional treatment programs and is attempting to assess the quality of the research and evaluation performed to date. Recommendations made by this panel will be used in designing future research projects. Other studies dealing with parole, probation, and rehabilitation programs for women offenders will contribute new information in this high-priority area of research. (See page 28 for information about Institute research priorities).

Research of the COMMUNITY CRIME PREVENTION DIVISION focuses on the role of the citizen, the municipality, law enforcement authorities, and environmental design factors in preventing crime.

Institute-sponsored researchers were among the first to explore the **relationship between the physical environment and crime**. Early research conducted in public housing projects suggested that such design features as the height of a building, the number of apartments opening into a hallway, the positioning of entryways, and even the layout of the building site, affected both the rate of crime and the residents' sense of security. Out of this research evolved a concept of "defensible space"—a portion of the built environment whose design permits or encourages the occupants to take an interest in maintenance and mutual protection, lends itself to casual surveillance, and provides a strong definition of zones of influence. Additional research has attempted to identify more specific environmental factors that contribute to effective, informal control of social behavior by citizens.

Researchers have also examined the ways in which building design and site plan influenced vulnerability to burglary. The security-enhancing effects of such actions as property

marking, improvements in doors and windows, and installation of alarm systems were also studied. Environmental influences on commercial and street robbery are now being studied. The Institute has also sponsored assessments of the effectiveness of street-lighting programs in reducing crime and fear.

The Institute is now completing case studies of selected action programs in residential, commercial, and school environments. In these environments, physical modifications were combined with citizen action, changes in police operations, and administrative programs to reduce opportunities for crime and increase opportunities for casual surveillance and social control. Evaluations conducted thus far suggest that the programs have had favorable effects.

The **role of crime in the cycle of neighborhood decline and abandonment** is another subject which will be explored by Institute-sponsored researchers in coming years.

Crimes of special concern to the community are also subjects for research. A Division-sponsored study of rape and its handling by the criminal justice system has confirmed a nationwide trend toward more enlightened treatment of rape victims. Interviews with more than 100 rape victims in Seattle led to preparation of a handbook for victims. The booklet tells them in simple language what they can expect—from medical examiners, from police investigators, and from prosecutors and defense attorneys—as a case moves through the criminal justice system.

Research into **organized crime** is another responsibility of this Division. One major project is analyzing the structure and operations of the bookmaking, numbers, and loan-sharking rackets in metropolitan New York. Another has examined the effects of legislative decisions related to gambling and the ways that gambling laws are enforced.

In the area of **white-collar crime**, Division-sponsored researchers are studying consumer fraud, corporate illegalities, fraud and abuse in government benefits programs, and employee theft.

The newest component of the Office of Research Programs is the **CENTER FOR THE STUDY OF CRIME CORRELATES AND DETERMINANTS OF CRIMINAL BEHAVIOR**, established in 1978 as an expression of the Institute's growing commitment to basic research. **The Center supports basic**

inquiries into crime and criminal behavior and addresses fundamental issues which cut across the functional lines of the criminal justice system. Emphasis is placed on long-range projects which are integrated and sequenced to foster steady cumulation of knowledge in priority areas.

A major thrust of the Center's effort is through the Research Agreements Program. Research Agreements are long-term grants that allow groups of researchers to focus their collective efforts on fundamental questions of crime or behavior. Each Agreement is flexible enough to permit initiation of new studies during the course of the grant.

Research Agreements are now supporting studies in five areas: the habitual offender, white-collar crime, economic studies in criminal justice, unemployment and crime, and community reactions to crime. Plans call for a new Research Agreement to be launched that will explore violent and aggressive behavior.

The Center also is supporting initial exploratory studies in other topics including women and crime, minorities and crime, and the relationships between the use of drugs and alcohol and criminal behavior.

Research projects in the priority areas of correlates and determinants of crime, career criminals, and violent crime are a primary responsibility of the Center. These are described in the section entitled "Priorities for the Future."

The **Visiting Fellowship Program**, another project administered by the Center, brings talented researchers to the Institute's offices to work on independent projects of their own choosing. Thus far, more than 20 scholars have participated in the program, doing creative research on criminal justice and helping to broaden the perspectives of Institute staff.

In addition to its major divisions, the Office of Research Programs has adopted two new mechanisms for promoting studies in criminal justice:

The **UNSOLICITED RESEARCH PROGRAM** invites criminal justice researchers to submit proposals for work on problems of their own choice. The most imaginative and best designed studies are chosen for funding.

The **STAFF RESEARCH PROGRAM** is intended to stimulate research activity among Institute staff. It allows staffers to use part of their time for research and provides funds for a few of them to undertake yearlong studies outside the Institute.

What Works?: The Office of Program Evaluation

Progress in criminal justice and crime prevention requires a steady flow of information from the streets, jails, and court dockets back to the planners and administrators who make policy and carry it out. Without a clear reading of the impact of their actions, and a well-defined method of measuring success or failure, lawmakers, criminal justice professionals, and local citizens are handicapped in their efforts at improvement.

Providing information on the effectiveness and efficiency of criminal justice and crime prevention programs is the task of the Institute's Office of Program Evaluation. This Office designs and sponsors evaluations of:

- selected criminal justice and crime prevention programs currently in use across the nation
- innovative local projects
- significant changes or reforms in law or policy
- Institute-sponsored tests of promising experimental approaches
- large-scale demonstration programs supported by LEAA

The Office of Program Evaluation also helps State and local agencies to develop their own evaluation capabilities.

Under the NATIONAL EVALUATION PROGRAM, the Office obtains practical information on the costs, benefits, and limitations of selected criminal justice and crime prevention programs now in use throughout the country.

Clusters of similar projects chosen for evaluation are then subjected to a preliminary assessment. This "Phase I" study is intended to determine how the typical project operates, what is already known about the effectiveness and efficiency of projects of this type, what key issues require evaluation, and how a more intensive evaluation can be conducted.

A Phase I study examines many projects and collects and analyzes a great deal of program information. The findings are published in summary form for the benefit of State and local decisionmakers, who can also obtain the entire report through the evaluation clearinghouse at the National Criminal Justice Reference Service.

More than 25 categories of criminal justice programs have been subjected to Phase I evaluations. Recent Phase I reports have dealt with:

- Policing Urban Mass Transit Systems
- Institutional Furlough Programs

- Juvenile Diversion Programs
- Citizen Crime Reporting Programs
- Court Information Systems

More definitive information on a program's effectiveness and efficiency is obtained through a "Phase II" evaluation— a full-scale field study designed to fill knowledge gaps identified in the Phase I assessment. Projects chosen for Phase II evaluation are those which promise to yield the most needed information for evaluation dollars invested.

Phase II evaluations are underway in two areas—pretrial release programs and a program for drug-dependent offenders called Treatment Alternatives to Street Crime (TASC). A new Phase II program will assess the effects of different probation techniques.

Gauging the impact of legislative experiments and innovative local programs is another responsibility of the Office of Program Evaluation. The Office seeks out new programs and policies of national interest and determines whether they have worked as they were meant to work, what conditions have affected their success or failure, and what the costs and benefits have been.

An evaluation of New York's 1973 drug laws showed that, as of mid-1976, the laws had no measurable effect on drug usage or rates of drug-related crimes. A study of the effects of decriminalization of marijuana showed that this policy change leads to a decrease in marijuana-related arrests, with savings in criminal justice personnel, resources, and public costs.

Evaluation of experimental programs and demonstration projects sponsored by LEAA is another key function of the Office of Program Evaluation. The Office is sponsoring evaluations of field tests of several new programs designed by the Institute. Programs being field-tested include the Neighborhood Justice Centers, Pre-Release Centers, Managing Criminal Investigations, Managing Patrol Operations, and Improved Correctional Field Services.

Demonstration programs are used by LEAA to encourage innovative approaches and determine their applicability in a variety of settings. The Office of Program Evaluation helps to choose the demonstration programs that will be subjected to intensive evaluation. Demonstration projects selected for such evaluation include:

- The Court Delay Program
- The Career Criminal Program

- The Increased Criminal Apprehension Program
- The Community Anti-Crime Program
- The Anti-Fencing Program

Evaluation results will be used to refine these programs prior to wider implementation by LEAA.

New Tools for Finding the Answers: The Office of Research and Evaluation Methods

Because of the complexity of the criminal justice system and the number of variables which influence the outcome of any criminal justice practice or policy initiative, there is a great need for better methods of study and measurement. The Office of Research and Evaluation Methods supports projects which investigate the application of advanced analytical techniques to such problems as estimating the impact of changes in criminal justice policies or procedures and measuring progress or deterioration in criminal justice. Detailed evaluations of the effect of gun control laws enacted by Michigan and Massachusetts are now in progress, while another evaluation focuses on the elimination of plea bargaining in Alaska. A special pretrial employment program in New York is also being evaluated. **Emphasis is placed on measurement and evaluation problems that recur in a wide variety of criminal justice settings.** Approaches developed in the context of one evaluation can be extended to address related problems in other areas of criminal justice and eventually disseminated for use as routine research and evaluation methods.

One methodological advance which has shown considerable promise is stochastic modeling—an analytical technique originally used in industry for forecasting and process control. Researchers sponsored by this Office have recently used stochastic modeling in a preliminary analysis of the impact of Massachusetts' 1975 Gun Control Laws. Using a model which estimates the significance of month-by-month changes in crime rates, the researchers found indications that rates for assaults with a gun were pushed significantly downward when the media began publicizing the new Gun Control Law. Although this shift was apparently a short-term effect, there did seem to be a lasting impact on rates for armed robberies. Eighteen months after implementation of the Gun Control Law, armed robberies were occurring at a significantly lower rate than had been projected on the basis of data from past years.

Results obtained thus far illustrate the feasibility of using stochastic models as one means of estimating the impact of changes in criminal justice policies or procedures. In the future, these methods may provide planners with early information on the effects of new laws on crime rates, programs, or procedures affecting virtually any component of the criminal justice system.

Methodological research is also being planned or conducted on other problems, such as estimating the sizes and commission rates of offender populations, separating effects of treatment from environmental factors and client characteristics, and identifying sources of inaccuracy in survey techniques.

Measuring the impact of programs intended to deter crime and developing new performance measures for criminal justice agencies are two high-priority tasks assigned to the Office of Research and Evaluation Methods. Both are described in greater detail on pages 26-27. Both involve unresolved methodological problems which will require development of new strategies for measurement and validation.

Under the sponsorship of this Office, a panel of criminal justice researchers assembled by the National Academy of Sciences has produced a **landmark study of past research on the subject of general deterrence**, and has reviewed the methodology available for measuring effects of criminal sanctions on crime rates. Entitled *Deterrence and Incapacitation*, this report is expected to clarify the problem of detecting crime-deterrent effects of laws and policies, thereby laying the groundwork for more rigorous studies in this area. (Copies of the report can be obtained through the National Academy or the Institute's National Criminal Justice Reference Service.)

Putting the Answers To Work: The Office of Development, Testing, and Dissemination

As the Institute generates new knowledge of potential value to criminal justice practitioners or policymakers, the **Office of Development, Testing, and Dissemination identifies the information, validates it through applied research, and conveys it to the appropriate audiences through a variety of dissemination techniques.**

Linking research with action is a key responsibility of the Office. Research results do not automatically find their way into programs for improving the criminal justice system. To ensure that LEAA's action programs are planned on the basis

of the best available information and that they are adequately evaluated before being implemented on a large scale, the agency follows a systematic process involving these steps:

- identifying problem areas highlighted by research or experience;
- selecting response strategies—additional research if more knowledge is needed, or . . .
- development of a program model based on the best available research and practical experience;
- designing a field test of the model program;
- implementing and evaluating the field test, and incorporating the results in . . .
- a refined model program, called a validated program design and, if successful,
- nationwide marketing by LEAA.

At each step, and particularly during the critical early phases of program development, the agency draws on insights contributed by the research and evaluation components of the National Institute. A team of Institute and LEAA staffers is assembled under the chairmanship of this Office to determine the appropriate response to a problem and to decide whether there is an adequate knowledge base for the design of a new program. Institute research results are reviewed, and practitioners' experiences assessed. The findings, if they appear promising, are used by the Office to design an experimental criminal justice program. Program designs are then field-tested and evaluated. Where results warrant, the design is refined for eventual wider demonstration by LEAA. This applied research process also serves to identify user needs or problems that can be a valuable stimulus for research. By involving practitioners in the experimental process, it also helps to foster a climate for change.

Among the experimental programs now in the testing phase are the Neighborhood Justice Centers and programs for pre-release centers, managing patrol operations, and managing criminal investigations.

The Office also **promotes the transfer of knowledge gained through solid practical experience.** It seeks out, validates, and publicizes successful local projects. Other avenues for putting knowledge to work include training programs for criminal justice executives, special workshops for key target audiences, and a wide range of dissemination activities aimed at both practitioners and researchers.

The Office operates through three interdependent divisions: The **MODEL PROGRAM DEVELOPMENT DIVISION** syn-

thesizes research findings and programmatic experience, develops appropriate channels for disseminating these findings to the criminal justice community, and involves researchers and practitioners in the joint development of clearly defined program designs that may be effectively tested and evaluated.

Among the products of this division are **Program Models**, publications that synthesize research data, empirical experience, and expert opinion and present the advantages and limitations of a variety of programmatic options in a particular topic area. Program Models published or planned include *Neighborhood Justice Centers*, *Police Warrant Services*, and *Prevention, Detection, and Correction of Corruption in Local Government*.

Field test designs specify the essential elements of a model program, as well as its objectives, and operations and management information. Criteria for selecting sites to test the program are delineated and evaluation measures and methods spelled out. Program designs are available on *Managing Patrol Operations*, *Pre-Release Centers*, and *Neighborhood Justice Centers*.

Once a test and evaluation are completed, the original program design is modified to eliminate features that produced unintended or undesired effects and to highlight those that demonstrated their effectiveness. Such validated designs are nearing completion on *Juror Usage and Management*, *Community Response to Rape*, and *Managing Criminal Investigations*.

As part of its continuing effort to reach the right audience with the right information, the Division exploits a variety of communications media and formats. These include the traditional avenues of scholarly and professional journals as well as creative approaches to devise such new vehicles as succinct "briefs" that lay out policy and legislative options for Governors, State legislatures, and criminal justice planners and administrators.

In helping the Institute to fulfill its broad dissemination mandate, the Division also gleans knowledge from the practical world of criminal justice operations. A principal vehicle for this is the **Exemplary Projects program**, which identifies outstanding local projects, independently validates their results, and brings them to the attention of practitioners and policymakers.

Another responsibility of the Division is to **broaden understanding of how the process of change occurs in the criminal justice system**. Research soon to begin will explore how

knowledge is diffused and adopted in the form of criminal justice programs and how successful innovations achieve permanency.

The **TRAINING AND TESTING DIVISION** has these key responsibilities: field tests of Institute-designed experiments, national training in advanced concepts for criminal justice executives, and specialized approaches for transferring relevant knowledge to specific target audiences.

Working in coordination with the Model Program Development Division, this Division helps to design and then mounts **field tests** of promising experimental approaches to determine whether they are suitable for eventual funding as LEAA demonstration programs. Field tests are funded at a limited number of sites, with specialized training and consultation made available to the cooperating agencies. Thus the tests help to spread knowledge of new concepts and methods as well as contributing to program development.

Among the field tests underway or planned are Neighborhood Justice Centers, Managing Criminal Investigations, and Multi-County Sentencing Guidelines.

Every year, hundreds of senior criminal justice practitioners are acquainted with the most recent advances in knowledge through **training workshops** conducted by recognized experts on a particular topic. Examples of the subjects covered include victim-witness services, managing patrol operations, and health care in corrections institutions.

To help bridge the gulf between researcher and practitioner, the Division also conducts **special national workshops** on critical issues such as determinate sentencing and plea bargaining. These special training vehicles are also used to gain access to crucial segments of the audience, such as Governors and local elected officials, who may not be easily reached through typical dissemination channels.

Another approach to spreading the word on promising practices capitalizes on the advantages of face-to-face contact and first-hand experience. The **HOST program** gives local officials a chance to spend some time at the site of a successful criminal justice project, learning how it operates on a day-to-day basis. This personal involvement prepares the visitor to transfer all or part of the project to his or her own community.

The **REFERENCE AND DISSEMINATION DIVISION** is responsible for the publication and distribution of Institute research and evaluation findings, the development of special information on Institute programs for target audiences, and

for providing information on all facets of criminal justice through the National Criminal Justice Reference Service.

An integral part of the dissemination process is the Institute's **Research Utilization Committee**. The Committee, with representatives from all Institute Offices, is convened at the conclusion of each Institute research effort to identify target audiences and recommend the most appropriate means for reaching them. The Committee also makes recommendations on the implications of the study for further research or program development and considers its relationship to other Institute projects or work in progress.

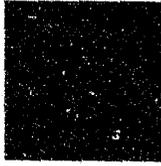
The Reference and Dissemination Division also oversees the operations of the **National Criminal Justice Reference Service**, the Institute's national and international clearinghouse for information on law enforcement and criminal justice.

Through a wide range of information products and services, the Reference Service informs more than 40,000 subscribers of the latest research and operating experience in criminal justice. Its computerized data base can provide quick response to individual queries on criminal justice topics. When available, single copies of National Institute, LEAA, and other selected publications are provided free to requesters. Selected foreign documents are available in English translation. For further information and details on how to use the Reference Service write:

National Criminal Justice Reference Service
Box 6000
Rockville, Maryland 20850

The Reference and Dissemination Division also maintains the **LEAA Library**, whose collection of 3,500 volumes covering all aspects of criminal justice serves as a resource for LEAA staff and the public.

One special informational service of this Division helps law enforcement agencies to make informed decisions on purchases of equipment, a major budget item. The Division supports an **Equipment Technology Center** to supervise testing and evaluation of particularly significant items of equipment. Performance reports are then published for use by law enforcement agencies. A corollary effort is the **Law Enforcement Standards Laboratory**, which researches and develops performance standards for equipment. The standards are employed by the Equipment Technology Center in its testing and are also published and disseminated directly to criminal justice purchasing agents.



Priorities for the Future: Research Emphasis Areas

THE CORRELATES OF CRIME AND DETERMINANTS OF CRIMINAL BEHAVIOR. The Institute supports basic research into the complex web of factors underlying criminality. The emphasis is on long-term, multidisciplinary studies examining such questions as the relationship between childhood learning disorders or early deprivation and subsequent delinquent behavior. One project will draw on the rich data base and sample population of the Collaborative Perinatal Project, a 50,000-child study begun almost 20 years ago by the National Institute of Mental Health. Data on the early neurological and behavioral development of some 9,000 children (now in their teens) will be combined with Institute-collected data on such aspects of their present behavior as violence, psychopathy, or drug and alcohol abuse. Another longitudinal study may be undertaken to study disruptive behavior in school and its relationship to delinquency. The results may lead to new insights into the genesis and early signs of criminal behavior. Other studies are exploring the relationship between crime and such factors as alcohol or drug abuse, weapons availability, and unemployment. Research also is underway on female crime and on minorities and crime.

VIOLENT CRIME. LEAA has sponsored a number of research and action programs seeking solutions to the problem of violent crime, including studies on various aspects of civil disorders. Institute-sponsored studies have examined specific crimes such as robbery, rape, and arson and have

looked at the effects of laws intended to curb violent crime. Findings of these studies offer valuable data for criminal justice operations as well as for future research. Currently, the Institute is launching a program of research on collective violence, examining its origins and dynamics, together with strategies for its prevention and control. Individual crimes of violence, including arson, homicide, and robbery, will be studied in greater depth. Basic research will be conducted on the origins of violent and aggressive behavior, the role of drugs and alcohol in violence, the characteristics of the violent offender, and the relationship between weapons and crime.

COMMUNITY CRIME PREVENTION. The Institute continues to support **studies of crime and the manmade environment.** Some of the research focuses on specific environmental features: how they facilitate or discourage criminal behavior and how they influence the perceptions and actions of citizens. Other studies examine the geography of vulnerability to crime, analyzing the travel patterns of offenders and the manner in which governmental decisions on land use and transportation systems affect crime patterns in urban settings. Institute-supported researchers are also examining the key factors which mobilize citizens to participate in various types of crime control activities and the factors which help to maintain their involvement. One factor to be studied is the "sense of community," and how it influences and is affected by crime-prevention activities. The role of the mass media in stimulating citizen action is being studied, as are the organizational strategies of local agencies.

CAREER CRIMINALS. Studies sponsored by the Institute support the widespread belief that a **small fraction of the total population of criminal offenders is responsible for a disproportionately large amount of crime.** The problem of identifying these career criminals and curbing their activities represents a challenge to research and the criminal justice system alike. Institute-supported research on the career criminal is now proceeding along several lines: Under the Research Agreements Program, the Rand Corporation is conducting a basic inquiry into the motivation, identifying characteristics, and criminal histories of the habitual offender population. A second study is examining the criminal justice system's response to habitual offenders. A third study is scrutinizing the

interface between the juvenile and adult adjudication systems. Information from these studies is expected to contribute to the development of new action programs aimed at career criminals.

UTILIZATION AND DEPLOYMENT OF POLICE RESOURCES. Institute-sponsored research on police operations has brought out the **need to rechannel police resources and to restructure and upgrade the entire police services delivery system.** Current research is focusing on key field services—patrol, criminal investigations, and specialized enforcement activities—and on the support and management systems necessary for effective delivery of these services. Police operations are being studied in greater detail, with particular emphasis on the effectiveness, efficiency, and implications of these operations and on the assumptions which underlie them. The operational role of the police is being analyzed to increase understanding of police decision-making and the impact of citizen expectations on police policies. A third focus is on alternative approaches for providing field services; researchers will examine the operational strategies and managerial adjustments required for achieving improved results.

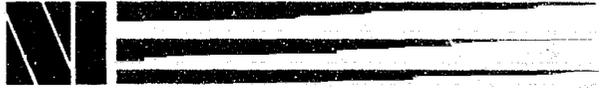
PRETRIAL PROCESS: DELAY REDUCTION, FAIRNESS AND CONSISTENCY. The Institute is sponsoring research aimed at **reducing the delay in bringing cases to trial and improving the fairness and consistency of pretrial decision-making.** In the area of court delay, the researchers will seek better methods of defining and measuring court delay, and will evaluate procedures intended to accelerate the handling of cases. Improved procedures for managing lower courts and for allocating the time of judges and attorneys are additional goals for research. Other studies will determine whether nonjudicial methods of settling disputes can be used to lighten court case loads. In the area of pretrial processes, researchers are looking at the emerging managerial function of judges and the role of the court administrator, and the effect of internal and external pressures and incentives on a court's approach to pretrial delay. Cross-jurisdictional studies are examining consistency in recommendations concerning booking, bail, diversion, or release. The prosecutorial decisionmaking process is being studied, and the factors underlying dismissals of felony cases analyzed.

SENTENCING. In recent years the Institute has underwritten a good deal of **research on the sentencing process itself and the implications of sentencing for various parts of the criminal justice system.** New research will determine the feasibility of comparing various sentencing approaches—in particular those which impose legislatively predetermined sentences and those which provide guidelines to judges—to determine how much discretion actually exists and who exercises it. Other research will examine the impact of flat sentencing approach on the police, the courts, the correctional system, and the offender. Development and evaluation of sentencing guidelines will continue.

REHABILITATION. In recent years, both experts and the lay public have voiced concerns that rehabilitation doesn't work, that most treatment for offenders has been ineffectual. This perception that "nothing works" has led many States to deemphasize rehabilitation, in some cases by eliminating the indeterminate sentence. However, much remains to be learned about rehabilitation programs. The Institute is sponsoring **research aimed at clarifying the basic concept of rehabilitation, and developing more precise ways to measure the effects of rehabilitation programs.** It will also sponsor studies of particular rehabilitation programs and will assess their effectiveness in rehabilitating specific types of offenders. Recent changes in the laws or policies governing the corrections system—such as the shift toward determinate sentencing—will be studied to determine their effect on rehabilitation. Syntheses of research on probation and parole also are in progress, and the interactions between the mental health system and corrections will be studied.

GENERAL DETERRENCE. The theory that the risk of arrest or punishment discourages potential offenders from committing crimes is frequently invoked in discussions of crime control policy. Yet there is a great need for more rigorous studies on the issue of deterrence. One part of the Institute's research effort centers on methodology, seeking to produce testable models of general deterrence and reliable methods for measuring deterrent effects. The other part focuses on "quasi-experiments"—real-life situations in which laws are enacted or policies revised in such a way as to change criminal sanctions. Researchers will seek to discover whether these changes have impacts attributable to deterrence.

PERFORMANCE STANDARDS AND MEASURES. Because they are part of a complex system with multiple components and multiple goals, the performance of criminal justice agencies cannot be adequately measured by such simplistic standards as crime statistics or recidivism rates. There is a need for sophisticated but usable measures that will allow each agency to be rated on several scales, taking into account such factors as equity, efficiency, and responsiveness to social needs. The Institute is now beginning a **long-term research program whose ultimate goal is to develop the knowledge base necessary for constructing such a system of interacting measures.** At the outset, research will proceed along two avenues: A consortium of grantees will attempt to clarify the issues involved in measuring the performance of specific components of the criminal justice system; particular attention will be paid to the manner in which one component's behavior influences another's performance measures. Other grantees will be examining performance measurement systems currently in operation in State and Regional Planning Agencies. Studies in future years may focus more narrowly on such things as management of criminal justice resources, criminal justice as a social service delivery system, or comparative analysis of the juvenile and adult criminal justice systems.



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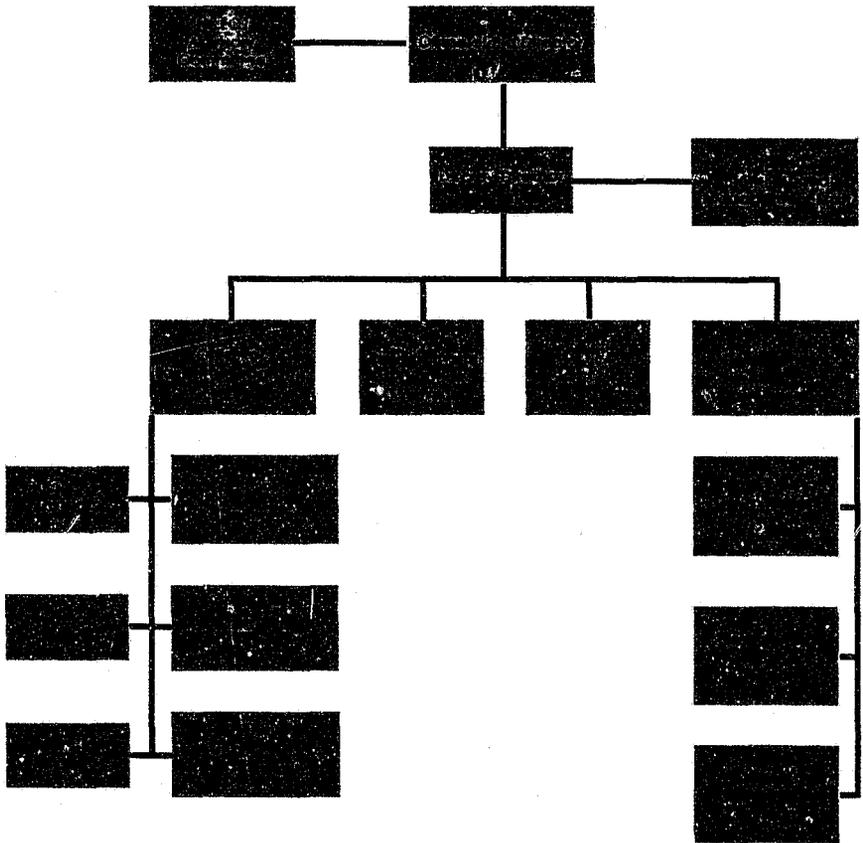
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