NCJRS

1.0	4.5 5.0 5.6	2.8 3.2 3.6	2.5 2.2
1.1		4.0	2.0
			1.8
1.25	1.4		1.6

MICROCOPY RESOLUTION TEST CHART
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18348 (EVALUATION)

A FIVE-YEAR PLAN FOR IMPROVING PROJECT AND PROGRAM

EVALUATION COMPETENCE AND DECISION-MAKING INFORMATION FLOW IN

CALIFORNIA'S CRIMINAL JUSTICE SYSTEM

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THIRD DRAFT

Definitions, Objectives, and Organization

In this paper, a plan is understood to include statements of needs and recommended approaches for resolving those needs. A need is a discrepancy between the current state and the desired state of any variable of interest. The recommendations presented here outline a comprehensive evaluation planning model for criminal justice agencies, the purpose of which is to stimulate successive improvements in evaluation in these agencies. In this flexible model, evaluation is defined as a systematic process of acquiring, disseminating, and using information to ease decision making, improve reduction and control of crime and delinquency, and maximize the effectiveness of criminal justice agencies. Evaluation tries to improve, more than it tries to prove. It summarizes the extent to which an agency's objectives are being achieved and also reveals unanticipated effects produced, both positive and negative. The plan for evaluation improvements presented here assumes that evaluation is desirable and feasible for criminal justice agencies; no attempt is made in this paper to defend that assumption.

Definitions and Relationships

As part of a five-year plan for improving evaluation in the network of California's Office of Criminal Justice Planning (OCJP) and in criminal justice agencies throughout the state, this paper focuses on two components of the Plan: project evaluation and

impacts that are more general than any project or program objective. The functional categories used throughout this paper are listed below.

* Mission is a statement of the general purpose of an agency. For example, two missions of the Law Enforcement Assistance Administration (LEAA) are to reduce crime and to control crime. These missions are called general or ultimate goals but they can be broken down into more immediate subgoals within functional categories, such as those listed in category V (see list of functional categories). These subgoals can be further specified by listing the specific outcomes to be experienced by persons or operations and by outlining through measurable project and program objectives the conditions necessary for achieving these outcomes.

The interrelationship of the terms defined above is summarized in figure 1 below.

program evaluation. In addition, it briefly addresses the relation-
ship these two components should have with higher-order evaluations
conducted in the mission and function components (discussed in
"System Level Evaluation" by Solomon Kobrin). As stated there, if
OCJP clearly identifies explicit statements of its high-priority
functions and mission, then program and project evaluation planning
can be conducted more systematically within those limits. The
following terms are fundamental to the Plan outlined here:

- Outcome is an observed result, anticipated or unanticipated,
  produced by an identified activity.

- Objective is a statement describing an expected, measurable out-
  come expected to happen to someone or something, the situation
  in which it is expected, and how it will be measured.

- Intervention is a series of planned activities involving people
  (e.g., youth on probation, police officers, or community mem-
  bers with whom they relate) or operations (e.g., court proces-
  sing procedures, coordination of police communications, or
  legislation related to juvenile probation procedures) designed
  to meet specific and related objectives.

- Project is the use of one or more interventions to produce
  change.

- Program is a group of projects sharing common or closely
  related objectives.

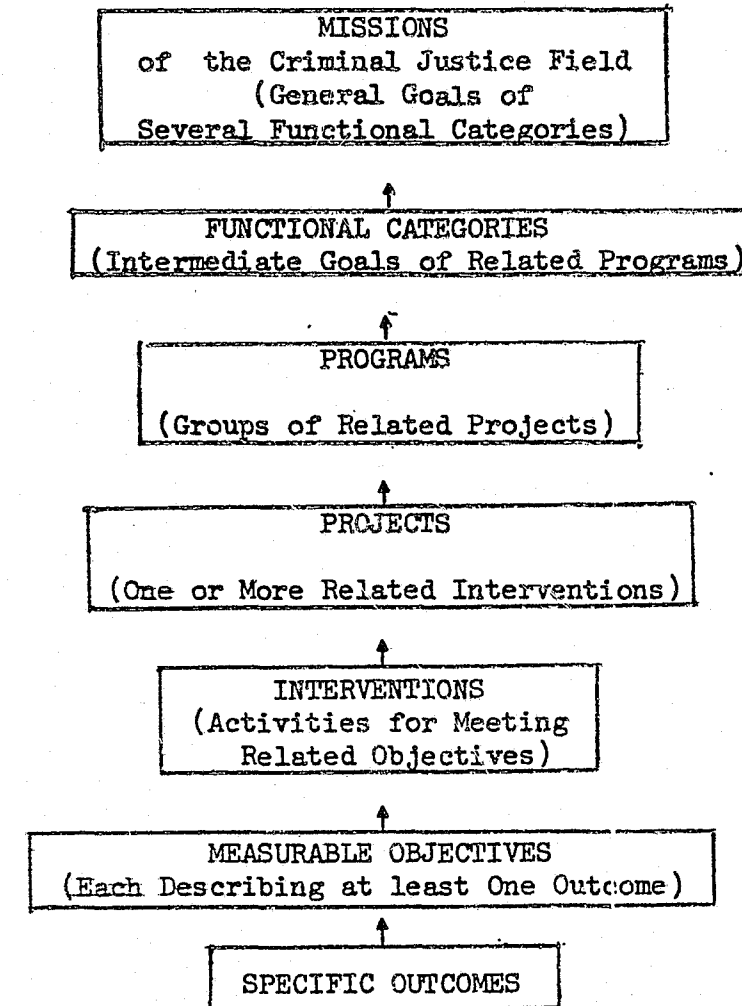- Functional category is one or more programs designed to have

Fig. 1. Relationships in criminal justice planning

Functional categories in criminal justice can be classified in various ways: by types of crime, by the purposes of the projects and programs they contain, by the types of interventions they propose, or by the nature of the target audiences or operations on which those interventions focus. Classifying projects by their purposes, OCJP (Emrich, 1973 b, p. 23 ff.) derived the categories listed below from close inspection of project objectives identified in the annual plans of OCJP Regions and the descriptions of projects funded in California's twenty-one Regions. These categories are used throughout this paper because they are such comprehensive and viable groupings, and are thus recommended for use until empirical studies suggest a better classification.

Fig. 2. Functional Categories

Category I. Crime Prevention and Rehabilitation

    A. Alcoholism
    B. Drug Rehabilitation and Prevention
    C. Methadone Maintenance
    D. Corrections
    E. Prevention of Juvenile Delinquency
    F. Youth Service Bureaus
    G. Crisis Intervention
    H. Diversion

Category II. Criminal Justice/Community Relations

    A. Community Service Officers
    B. Law Enforcement/Community Relations
    C. Law Enforcement/Youth Relations

Category III. Personnel Considerations

    A. Upgrading Law Enforcement Personnel
    B. Other Personnel Considerations

Category IV. Administration of Criminal Justice

    A. Administration of Justice
    B. Police Legal Advisors

Category V. Detection and Apprehension

    A. Police Communications
    B. Police Operations
    C. Criminalistics
    D. Information Systems and Operations Research
    E. Research, Development, and Planning
    F. Narcotics Enforcement
    G. Organized Crime Enforcement

Category VI. Prevention of Specific Crimes

Category VII. Consumer Fraud

In addition to the terms, relationships, and functional categories defined so far, it is important to understand the following terms in reading this plan:

Monitoring is the process of reviewing current project activities to determine the degree to which project staff are meeting their contractual obligations, both fiscally and in terms of their program activities. Monitoring does not provide data on project or program performance related to predetermined objectives and unexpected side effects; these data result from evaluation activities. Monitoring does concentrate on general progress related to milestones, deadlines, deliverables, and fiscal commitments.

Evaluation as recommended here should devote equal attention to the anticipated and unanticipated effects of project and program interventions.

Project evaluations identify which objectives are being met, which are not, and the side effects that occur when each intervention is implemented. Results from a project-level evaluation may be applied generally only if that project is evaluated under controlled conditions (for example, using an experimental evaluation design with at least random selection and/or assignment of subjects) or if it

shares common objectives with other projects in a functional program area.

Program evaluations study effects that apply to circumstances and conditions more general than those of project evaluations. They serve as foundations for higher-order evaluations at functional category and mission levels and they lead to conclusions about important interactions between people (or operations) and interventions. In other words, if program evaluations are well designed and conducted, they can help criminal justice personnel identify those interventions that work successfully with certain people (or operations) when administered by certain staff under specific conditions. Such conclusions are rarely possible from typical project evaluations.

The identification of these interactions (between people and interventions, or between operations and interventions) is extremely important to the improvement of crime reduction and control. For example, evidence indicating that ethnic minority police officers are most effective in reducing crime ratios in communities populated mainly by persons from their ethnic group has significant implications for continued progress in those neighborhoods --and is a guide to officer recruitment, selection, training, and assignment. Such interactions are the most sophisticated and desirable data that can be provided for project and program evaluations; the information helps criminal justice agencies capitalize on the component relationships and supplements evidence produced by higher-order evaluations. For example, if function and mission evaluations at higher levels explore census data, they should be able to find relationships among population characteristics and crime that apply to specific geographic areas. Then, program evaluation conclusions could be

compared with such environmental data and this comparison would help
criminal justice planners identify those interventions that would
be most likely to succeed with persons or target operations in a
specific geographic area. This kind of planning is possible if
program evaluations demonstrate that those interventions have
worked with similar clients or objects in other areas. Sophisti-
cated planning to control and reduce crime will occur only if
concentrated efforts are made to coordinate project and program
evaluations with higher-order functional category and mission
evaluations.

Basic Assumptions

The concepts of project and program evaluations presented
above are based on the following assumptions:

1. Evaluation must be rational. It must be a rational pro-
cess of systematically planned activities.

2. Evaluation must produce data for decision makers. Data
must be produced for at least three types of decision
makers: OCJP staff and council members, Regional staff
and board members, and project and program subgrantees and
their leaders in criminal justice agencies throughout
California, as well as representatives of the local units
of government to whom subgrantees are responding. Such
evaluation data must be received by these decision makers

at appropriate times to meet their changing decision-
making needs.

3. Evaluation must be adapted to each project and program.
An acceptable level of evaluation must be defined and
evaluation objectives must be specifically stated. Then,
at least one staff member (preferably the director or
evaluator of each project or program) must assume respon-
sibility for evaluation tasks, whether these activities
are completed by other staff or by an independent third
party.

4. Evaluation must be conducted by trained staff. Persons
assigned responsibilities for evaluation must receive
evaluation-skills training in order to assure high
quality evaluations. Such training must emphasize a com-
prehensive evaluation planning process that covers all
aspects in the life cycle of a project or program. In
each phase of this process, equal attention must be given
to anticipated and unexpected side effects.

5. Evaluation must be an integral part of project and program
planning. Evaluation and planning activities must be
integrated; an evaluation must be planned at the same time
an intervention is. In this way, the project's or
program's design can accommodate the evaluation require-
ments.

These assumptions form the basis for the ideas discussed previously and become the underpinnings for the Plan discussed subsequently. With this necessary background, attention can now be turned to the purposes for improving project and program evaluations.

Objectives of the Plan

The general products or outcomes anticipated from improved project and program evaluations in California's criminal justice system should benefit, at least, the three groups of decision makers mentioned earlier: personnel in criminal justice agencies, Regional staff and boards, and OCJP staff and council members. Listed below are six objectives toward which improvements in the OCJP network should be directed over the next five years, objectives derived from a review of critical issues. The balance of this paper presents a plan for approaching and achieving these five-year objectives.

A Systematically Organized Framework for Project and Program Evaluations

OCJP will have an explicit statement of its evaluation rationale. It will also provide specific mechanisms for implementing, and financial incentives and controls for subgrantees to implement, a continuous evaluation-planning process using alternative levels of evaluation (differing in the degree of rigor and costs) in the six evaluation areas (summarized below) for each criminal justice functional category.

OCJP and Regional Staff Competence in Evaluation Planning

After receiving appropriate training, 75 percent of OCJP program-planning and Regional evaluation-planning staff will demonstrate skills necessary to improve project and program evaluation in California's criminal justice system in the ways summarized here.

Competence of Operating Agencies in Evaluation Planning

After receiving competency-building assistance from the trained staff members, 75 percent of the prospective subgrantees seeking LEAA project and program funds in California will demonstrate their evaluation-planning skills by submitting in their proposals an approved design and a schedule for an appropriate level of evaluation (criteria for assessing the performance of these skills are discussed later).

Incentives (Rewards) for Operating Agencies to Produce High-Quality Evaluation Information

Presuming that an incentive and control system is developed by OCJP and Regional evaluation-planning staff, at least 50 percent of all LEAA-funded subgrantees in California will conduct quality evaluations. These evaluations must produce information aiding the decision making of at least 75 percent of the key evaluation customers (identified by subgrantees and verified by OCJP or Regional staff) of their investigations.

Model Demonstrations of Project and Program Evaluations

By providing effective training and monitoring assistance to

subgrantees, OCJP and Regional evaluation-planning staff will
ensure that two exemplary project evaluations yielding cost-
effectiveness evidence (indicating the relationship between project
costs and impact) and two exemplary program evaluations yielding
cost-efficiency evidence (comparing costs and effects of different
interventions based on similar objectives) exist in each of the
seven major functional categories of criminal justice programs.
These evaluations will serve as models for practical step-by-step
procedures which can be duplicated in each functional category in
California's criminal justice system.

A System for the Storage and Retrieval of Evaluation Information

The OCJP network will have a statewide accountability (to
local, Regional, and state personnel) system for (a) processing
vital evaluation information collected from projects and programs
in the criminal justice system, (b) providing relevant information
in a timely manner for critical decision making, and (c) relating
such information to that produced by higher-order evaluations on the
criminal justice mission and functions.

Recommended Evaluation-Planning Model

The OCJP network needs a flexible plan to initiate progress
toward the objectives listed above. As mentioned earlier, a plan
entails statements of needs as well as recommended approaches for
resolving those needs. The second half of this paper discusses

possible improvements in the general framework of comprehensive
evaluation planning of projects and programs in California's
criminal justice system and outlines specific needs that must be met
during the next five years if systematic improvements are to be
made. A forthcoming paper will present alternatives for improving
six broad areas of evaluation planning within this framework, but
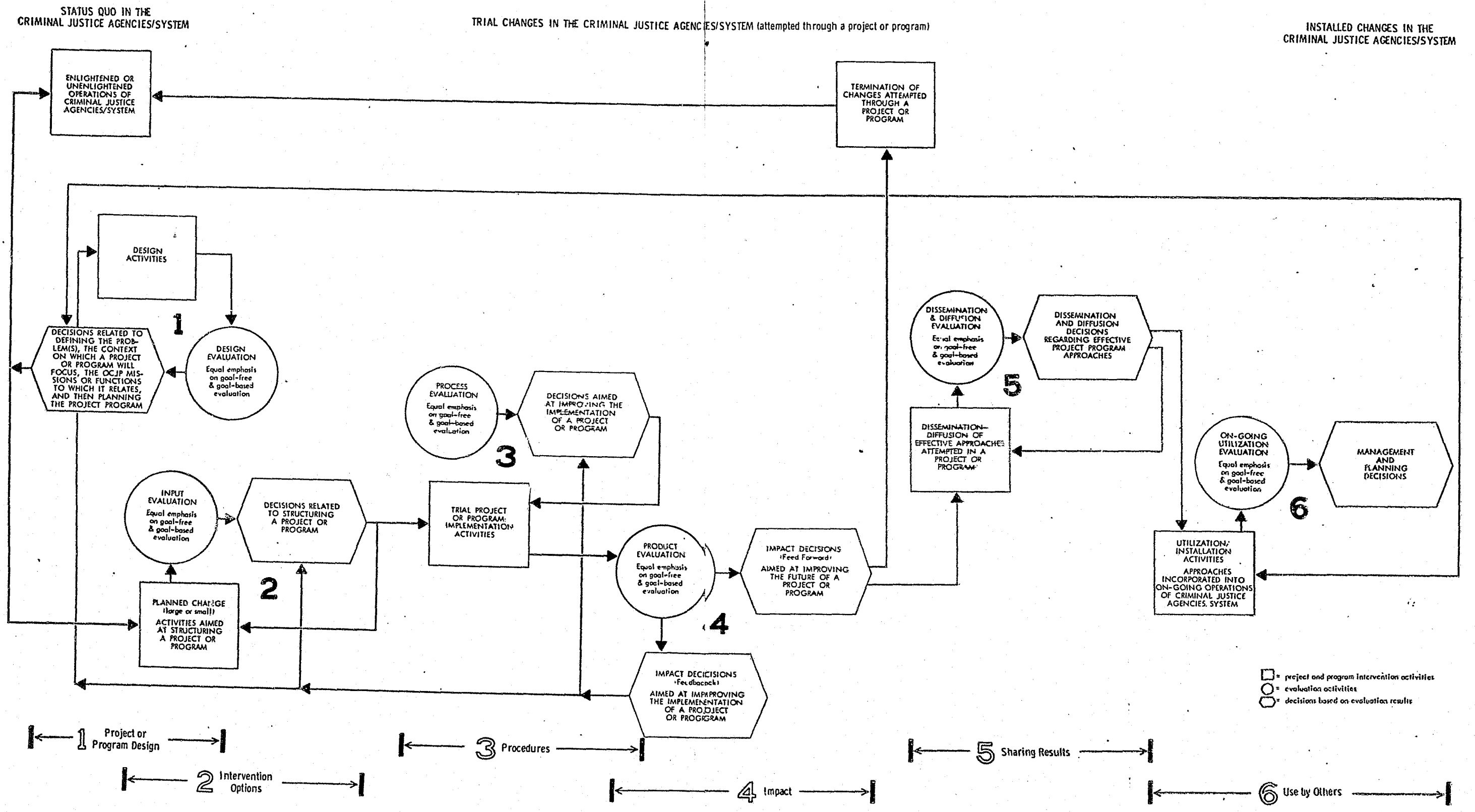a review of these areas is provided here.

The evaluation-planning model represented by these areas is
adapted from the work of Stufflebeam and his colleagues (Phi Delta
Kappa, 1972) and has a number of desirable features. First, the
model is comprehensive. It covers evaluation at all phases of a
project or program. Second, the model is practical. It provides
for the generation and use of evaluation information at times when
important decisions must be made. Third, it is developmental.
It integrates planning and evaluation in a way that facilitates the
improvement of projects and programs. Figure 3 summarizes this
model in diagrammatic form. The flowchart depicts the six areas of
evaluation planning on a continuum, progressing from an investi-
gation of the current status, through experimental changes made by
projects and programs, to a desired end state (which includes the
installation of the successful changes in the operations of
criminal justice agencies). Continuous evaluation throughout is
included as part of this continuum.

Each area of evaluation planning in the model is structured

Figure 3

RECOMMENDED EVALUATION MODEL TO FACILITATE DECISION MAKING
& IMPROVE CRIMINAL JUSTICE PROJECTS & PROGRAMS

STATUS QUO IN THE
CRIMINAL JUSTICE AGENCIES/SYSTEM

TRIAL CHANGES IN THE CRIMINAL JUSTICE AGENCIES/SYSTEM (attempted through a project or program)

INSTALLED CHANGES IN THE
CRIMINAL JUSTICE AGENCIES/SYSTEM

ENLIGHTENED OR
UNENLIGHTENED
OPERATIONS OF
CRIMINAL JUSTICE
AGENCIES/SYSTEM

TERMINATION OF
CHANGES ATTEMPTED
THROUGH A
PROJECT OR
PROGRAM

DESIGN
ACTIVITIES

DECISIONS RELATED TO
DEFINING THE PROB-
LEM(S), THE CONTEXT
ON WHICH A PROJECT
OR PROGRAM WILL
FOCUS, THE OCJP MIS-
SIONS OR FUNCTIONS
TO WHICH IT RELATES,
AND THEN PLANNING
THE PROJECT PROGRAM

DESIGN
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

1

PROCESS
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

DECISIONS AIMED
AT IMPROVING THE
IMPLEMENTATION
OF A PROJECT
OR PROGRAM

3

DISSEMINATION
& DIFFUSION
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

DISSEMINATION
AND DIFFUSION
DECISIONS
REGARDING EFFECTIVE
PROJECT PROGRAM
APPROACHES

5

INPUT
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

DECISIONS RELATED
TO STRUCTURING
A PROJECT OR
PROGRAM

TRIAL PROJECT
OR PROGRAM
IMPLEMENTATION
ACTIVITIES

DISSEMINATION-
DIFFUSION OF
EFFECTIVE APPROACHES
ATTEMPTED IN A
PROJECT OR
PROGRAM

ON-GOING
UTILIZATION
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

MANAGEMENT
AND
PLANNING
DECISIONS

6

PLANNED CHANGE
(large or small)
ACTIVITIES AIMED
AT STRUCTURING
A PROJECT OR
PROGRAM

2

PRODUCT
EVALUATION
Equal emphasis
on goal-free
& goal-based
evaluation

IMPACT DECISIONS
(Feed Forward)
AIMED AT IMPROVING
THE FUTURE OF A
PROJECT OR
PROGRAM

UTILIZATION/
INSTALLATION
ACTIVITIES
APPROACHES
INCORPORATED INTO
ON-GOING OPERATIONS
OF CRIMINAL JUSTICE
AGENCIES. SYSTEM

4

IMPACT DECISIONS
(Feedback)
AIMED AT IMPROVING
THE IMPLEMENTATION
OF A PROJECT
OR PROGRAM

☐ = project and program intervention activities
○ = evaluation activities
⬡ = decisions based on evaluation results

1 Project or Program Design

2 Intervention Options

3 Procedures

4 Impact

5 Sharing Results

6 Use by Others

around a loop as diagrammed in figure 4. The diagram reinforces
the point that evaluation must supply information useful to the
changing needs of decision makers, needs that encompass not only
program and project activities but also any type of important
activity in criminal justice agencies.

Fig. 4. Evaluation/decision-making
loop for programs and projects
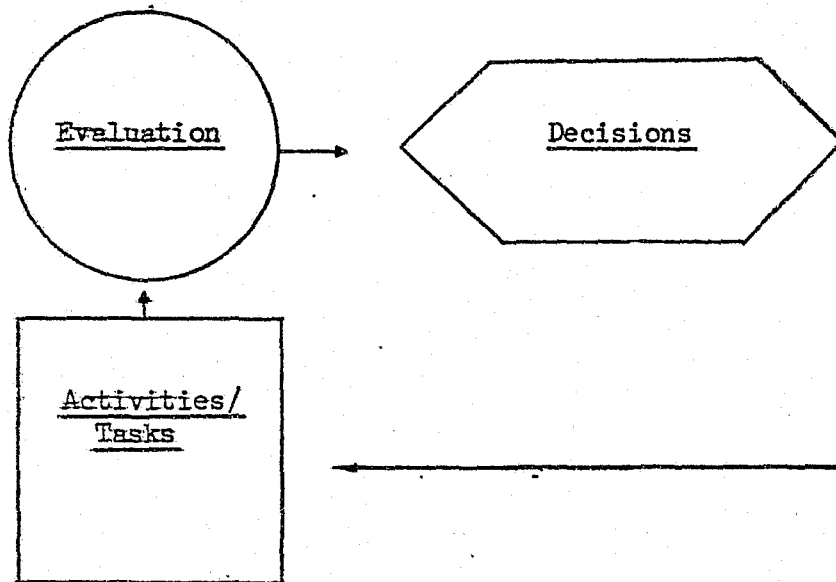
Using this concept of an evaluation/decision-making loop, each
of the six areas of evaluation is intended to provide useful infor-
mation for a unique group of decisions. In this way, information
is continuous through all phases of a project or program. In general,
the loop in each evaluation area joins those of other areas when
decisions feed forward into the activities of the next area or feed

backward into the decisions of a preceding area. The six areas and their related decision needs are listed below, not in the order they are diagrammed in figure 3 but with the "impact" evaluation first. In the criminal justice system this area of determining costs, effects, and relationships between costs and impact must consistently receive top priority attention. This priority is not disputed here, but it is strongly recommended that the other five areas receive evaluation attention also. If not, impact will either be reduced or problems will result in determining how project or program impact was created, disseminated, and utilized. Each of the following six evaluation/decision-making areas are to be described and illustrated in detail in a forthcoming paper.

Impact

Product Evaluation——▶ Impact Decisions
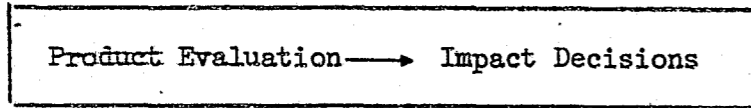
A wide range of decisions has to be made here. They all involve answering the question which cannot be ignored: "Did it make any difference?" Comprehensive answers require data on costs, effects, and their relationships (i.e., cost-effectiveness ratios indicating the relationship of project costs and impact, and cost-efficiency ratios comparing costs and effects of different interventions based on similar objectives).

Project or Program Design

Design Evaluation——▶ Design Decisions

These decisions define the problem(s) that the project or program will attempt to solve, relate the problem(s) to OCJP high-priority functions and missions, describe the context ——environmental, political, etc.—— in which changes will be attempted, and state the basic purposes of the project or program.

Intervention Options

Input Evaluation——▶ Structuring Decisions
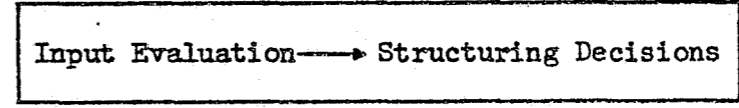
Option decisions must be made if project and program personnel are to consider alternative interventions, select one or more strategies that have high success probabilities, and make them workable.

Procedures

Process Evaluation——▶ Implementation Decisions
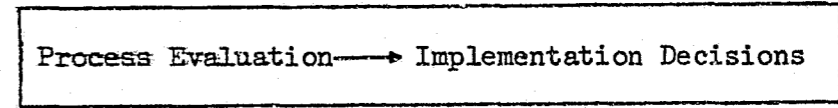
These decisions help answer the questions: "Did the project or program staff do what they promised?" and "Did they make necessary modifications as needs and conditions changed during the project or program schedule?"

Sharing Results

Dissemination and Diffusion——▶ Transferability Decisions
        Evaluation
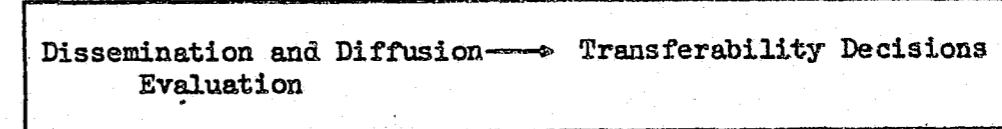
These decisions influence what is done with the intervention(s) attempted and the change process used in

implementing them. Hopefully, something (even failures and mistakes) will have transfer value to other settings. Dissemination decisions produce techniques for "spreading the word"; diffusion decisions attempt to develop a receptive audience that will not only receive the dissemination message but will also initiate changes in criminal justice agencies because of it.

Use by Others

> Ongoing Utilization Evaluation——→ Management and Planning
> Decisions

The ultimate purpose of criminal justice projects and programs is to test interventions that can be adopted by operating agencies and used to further reduce or control crime. Management and planning decisions lead eventually to long-range and comprehensive use of successful strategic activities. Such utilization is the fulfillment of the dissemination and diffusion activities noted above. Ultimately, the results of the evaluation of utilization activities must reenter earlier evaluation-planning areas in order to facilitate ongoing, responsive planning of projects and programs in the criminal justice system.

Guide to the Evaluation Framework Outline

The second half of this paper begins with an outline of the evaluation framework of projects and programs in California's criminal justice system. The evaluation areas presented are more specific than the six just reviewed, but the approach to evaluation is the same. Each area is considered in three parts. The first part lists different aspects of the present state of the art of evaluation theory and practice in criminal justice agencies, projects, and programs. These current status items summarize conclusions drawn from an extensive review of the literature and from the several

investigations and techniques recommended by federal, state, or local government agencies, including some incorporated into actual projects and programs. Eight survey documents provide most of the foundation for these conclusions: California. Council on Criminal Justice (1973); Dyer & Fielding (1973); Emrich (1973a, 1973b); Indiana Criminal Justice Planning Agency (1973); Jones, Rhetts, & Wolff (1971); Jones (1972); Kimberling & Fryback (1973).

Following the current status items is a list summarizing the desired status of evaluation activities if evaluation-planning improvements are implemented over the next five years. This is the "ideal state," outlined in the form of desired outcomes, for optimal evaluation planning of projects and programs in California's criminal justice system. These outcomes give greater detail to each of the five-year objectives of the Plan.

The third part of each area's presentation identifies recommended strategies for achieving the desired improvements in the framework of evaluation planning.

Following the Evaluation Framework Outline is a section on product objectives, in which a more detailed discussion of each recommendation is given in order to review the critical needs that must be met during the next five years if project and program evaluation improvements are to be accomplished. The recommended strategies are listed in the order they should receive attention; each strategy outlines steps necessary to progress beyond current conditions toward the desired outcomes.

To provide a working plan for improving project and program evaluations, each recommendation is described in the form of a product objective to be met by an OCJP staff member (or an outside consultant), a Regional staff member (or an outside consultant), or a subgrantee. For each recommendation, a few of the procedural objectives (process objectives) that must be reached to achieve each product objective are identified. These include tentative time deadlines that must be met if the five-year schedule is to be maintained.

Recommendations for an Improved Framework

Improvements in each of the evaluation areas cannot be made in a vacuum. These improvements assume that a supportive climate exists in the OCJP network to facilitate area-specific modifications, but such is not the case at this time. Therefore, changes must first be implemented in certain factors common to all areas. Such factors include financial support; the number of available staff; the competence of available staff and subgrantees; the organizational/managerial structure necessary to maintain evaluation activities; support services available to help programs improve their evaluations; a system for collecting and disseminating evaluation information; and better evaluation designs, instruments, and procedures appropriate to the criminal justice field. Elaboration of these considerations, which outline a climate more conducive to successful evaluations in this field, are presented in the product objective section. In

effect, this section also integrates recommendations made in the six sections incorporated into the separate (forthcoming) paper on the six broad evaluation areas.

Even though the current weak status of project and program evaluation in criminal justice agencies emerged poignantly during the literature review for this paper, the weaknesses are not unique to this field. Guba (1969) summarizes educational evaluation studies as lacking in: (1) knowledge about decision processes and related information requirements before an evaluation is designed, (2) adequate taxonomies for educational decisions, (3) methodologies linking evaluation to identifiable decision needs, (4) techniques appropriate to differentiated evaluation levels, (5) observation of fundamental methodological assumptions, and (6) explicit criteria for making judgments about data collected through evaluation efforts. Johnson (1970) and Hawkridge (1970) reiterate some of Guba's concerns in their reviews of evaluation in the whole field of social action.

Obviously, criminal justice personnel are not alone in battling frustrating evaluation problems; the many hurdles prevalent in their field are present in other fields. At the same time, if the OCJP is willing to take the risks involved in attempting some of the improvements recommended here for resolving the criminal justice evaluation problems, it can produce breakthroughs of widespread impact. The balance of this paper presents recommendations for guidelines and

priorities for such an attack at the project and program levels.

Improving the Framework for Project and Program Evaluations

Current Status of the Evaluation Framework

Numerous statements can be made regarding the current general status of the milieu for project and program evaluation in the criminal justice field. Some of the more important evaluation conditions are listed in the Evaluation Framework Outline. The first part of each series of statements in the outline itemizes these conditions in such a way that they can be related to desired outcomes and recommendations for improvements in the framework.

Desired Status of the Framework

If systematic improvements are made in the evaluation planning of criminal justice projects and programs, five years from now (1979) what outcomes and products should exist? The middle part of each series in the outline summarizes some of the more important desirable outcomes. Compare these outcomes with the current conditions upon which they should improve and with the recommended strategies for making the necessary improvements.

Recommendations for Improving the Framework

Over the next five years, achievements of a series of product objectives should improve the framework of project and program

evaluation in California's criminal justice system. These objectives are summarized at the end of each series in the outline and the actual objectives are then discussed in the product objective section. Each product objective is followed by a group of procedural (process) objectives describing interim activities that should be conducted in order to progress toward the outcomes summarized in the product statement. Neither the product nor the process objectives are presented in a rigid order outlining the chronological sequence in which they should be accomplished. However, a preliminary attempt has been made to list them in their order of importance beginning with objectives addressing the highest priority needs.

Evaluation Framework Outline

I. EVALUATION PLANNING PROCESS, AREAS, AND LEVELS

    A. Current Status

        1. A narrow, operational definition of evaluation which pays little attention to systematic planning (e.g., assessing needs, setting priorities, stating objectives) or the integration of planning and evaluation activities.

        2. After-the-fact evaluation that ignores the need for a continuous flow of evaluation information to improve planning and implementation of interventions.

        3. Ignorance of the multiple payoffs (especially in aiding critical decision making) that might come from well-designed and systematically conducted evaluations. Too often evaluation energies are wasted on concern for evaluation methodology while the decision needs that must govern the evaluation are ignored.

        4. Little agreement about the most useful types of evaluation information which should be collected and the decision-making purposes they can serve.

5. Lack of decision-making results from evaluation activities that decision makers can use to make day-by-day decisions regarding cost-benefit relationships and improvements in criminal justice agencies.

6. Inability to identify and accept diverse levels of evaluation and monitoring and to relate each level to appropriate strategies and instruments.

B. Desired Status

1. A model integrating evaluation and planning activities throughout the life cycle of each project and program by making evaluation data available for decision making.

2. A standardized evaluation planning process used as a general guideline for making evaluations of projects and programs.

3. Evaluation results that "make a difference"; they are used by local, Regional, and state customers to make priority decisions in their organizations.

4. Self-monitoring milestones for each project and an evaluation design appropriate to both the resources available and the project's significance (i.e., importance of the investigation, duration of the project, potential replicability of its findings, and funds involved).

C. Recommendations

1. Standardize the evaluation planning process, areas, and levels.

(See Product Objective 1)

II. STAFFING

A. Current Status

1. Few people are trained to plan and conduct evaluations for projects and programs, and funds allocated to evaluation planning and its staffing are severely limited.

2. Too much dependence lies on evaluation and planning technical assistance provided by academic researchers

who frequently recommend the investigation of narrowly defined issues and the production of data that either are not responsive to real needs or are not delivered in time to meet evaluation deadlines.

3. No practical, applied-skill training exists to help staff acquire and practice evaluation planning competencies.

4. There is a lack of the following resources which should be available, especially when pre- and in-service staff training is not possible: (a) standards for selecting evaluation objectives, methods, and instruments; (b) guidelines/manuals to help design and conduct evaluations; and (c) well-structured technical assistance provided by competent and motivated personnel.

B. Desired Status

1. Optimal numbers of OCJP and Regional staff members who: (a) are assigned at least three-quarter time in the area of project and program evaluation planning; (b) are trained in the skills necessary to implement this evaluation planning model and to use an individualized, competency-based staff development program to train subgrantees in the application of this model; and (c) can apply related technical assistance.

2. Significantly more evaluations conducted by project and program staff with direct technical assistance and management from Regional personnel (supported where necessary by outside consultants) and indirect assistance and management from OCJP personnel at both the proposal and intervention stages. From their Regions, these project and program staff will have received competency-based training, guidelines and manuals on evaluation planning technology, and supportive monitoring based on explicit, publicized criteria for selecting and using evaluation planning alternatives.

3. Coordinated evaluation planning and monitoring activities across the OCJP network resulting from improved communications and regular in-service training.

C. Recommendation

1. Build staff competence for evaluation planning and technical assistance.

(See Product Objective 2)

III. MOTIVATION

A. Current Status

1. Project subgrantees have limited motivation for designing, conducting, reporting, and using results from reputable evaluations of their efforts.

B. Desired Status

1. Subgrantees adhering to this model because of many incentives, one of which will be their dedication to the production of timely information for the decision-making needs of the key customers they have identified for their projects and programs.

C. Recommendation

1. Provide controls and incentives for encouraging subgrantee evaluation competence, commitment, and action.

(See Product Objective 3)

IV. STANDARDS AND REVIEW

A. Current Status

1. Confusion of evaluation and monitoring. In some cases, monitoring is treated as synonymous with evaluation. In other cases, it is separated from evaluation and includes such varied activities as reporting field observations, determining the degree of grant compliance, receiving written or oral progress reports from project or program staff, and conducting project auditing.

2. Lightweight monitoring activities because of staffing problems in conducting monitoring and lack of specific standards and guidelines.

B. Desired Status

1. Experimentation with explicit criteria, and a related set of controls available to judge and shape project and program proposals. Acceptable project and program results and products.

C. Recommendations

1. Employ more rigorous acceptance standards for proposals,

interim evaluation reports, and evaluation products.

2. Implement improved OCJP monitoring assistance to maintain better subgrantee evaluation activities.

(See Product Objectives 4 and 5)

V. PROGRAM EVALUATIONS AND MODELS

A. Current Status

1. Few reputable evaluation studies serve as models to stimulate improved project and program evaluations, let alone provide relevant, timely information for their own decision-making customers.

2. No program evaluations exist and far too many project evaluations produce uncomparable results that have limited generalizing ability beyond their product-specific conditions.

3. No program evaluations exist because of (a) an inability to specify common objectives and evaluation designs across projects, (b) a lack of instruments appropriate for assessing such objectives across two or more projects, (c) a lack of resources (staff and finances) for reputable program evaluation studies, and (d) political opposition.

B. Desired Status

1. Demonstration models (emphasizing "how to do it") of project and program evaluations available in each functional category.

2. At least two key program evaluations conducted in each functional category of the criminal justice system and a significant reduction in the number of projects that produce results having a limited scope of generalization.

C. Recommendation

   1. Increase the number of program evaluations and demonstration models.

   (See Product Objective 6)

VI. THIRD-PARTY EVLUATIONS

A. Current Status

   1. Overreliance on third-party evaluations coupled with a belief that in-house evaluations conducted by OCJP staff, Regional staff, or project and program personnel are unacceptably subjective and biased.

B. Desired Status

   1. Third-party evaluations used either for summative evaluations or when project, Regional, or OCJP staff cannot perform the evaluation tasks.

C. Recommendation

   1. Use third-party evaluations more judiciously.

   (See Product Objective 7)

VII. EVALUATION DATA BASE

A. Current Status

   1. No Regional or statewide data processing-based information system for collecting, organizing, and disseminating evaluation results on projects and programs investigated.

B. Desired Status

   1. All evaluations producing information that can be incorporated into a statewide accountability system using the most up-to-date data processing equipment and techniques.

C. Recommendation

   1. Expedite the storage and retrieval of evaluation information.

   1. (Continued)

   (See Product Objective 8)

VIII. EVALUATION TECHNOLOGY TRANSFER

A. Current Status

   1. No services available to subgrantees of criminal justice interventions who want to share tested resources such as measurable objectives, evaluation instruments and procedures, and data analysis techniques.

B. Desired Status

   1. A resource bank coordinated at a central location for collecting and disseminating printed and audiovisual resources that can assist subgrantees' evaluation activities.

C. Recommendation

   1. Establish an Evaluation Resource Service.

   (See Product Objective 9)

Product Objective 1: To Standardize the Evaluation Planning Process, Areas, and Levels

To standardize the evaluation planning process, areas, and levels, two ad hoc OCJP-Regional committees (evenly staffed from these two sources, with Regional persons appointed by the Regional Directors Association) coordinated by an independent agency (for example, UCLA) should produce the following publications: two annual reports and a final, approved statement of the rationale and model as well as the recommended technology for conducting project and program evaluation planning in California's criminal justice system.

Process Objective 1.1. Between July 1, 1974 and October 31, 1974,

OCJP's Evaluation Unit should establish the membership, purposes, working guidelines, and work schedule for an Ad Hoc Committee on the Evaluation Planning Process. The object of this committee will be the specification of a standardized evaluation planning process that has illustrated applicability for each functional category of criminal justice and can be adapted to local evaluation constraints. This committee should adopt the categories listed at the beginning of this paper if the classification of one variable is acceptable and a more appropriate classification scheme cannot be found.

The following steps of an evaluation planning process, and any alternative approaches, should be given close consideration.

1. Identify the evaluation customers and their needs and wants for decision-making information. For example, OCJP is a customer of all evaluations. Three standardized decision needs have been listed for OCJP (see Emrich, 1973a): information on which to base decisions regarding funding for the second and third years of a project, information summarizing whether or not the project's intervention was effective and should be replicated, and information stating whether or not that intervention was cost-efficient in a particular setting when contrasted with other alternatives. Also, the primary evaluation customers, Regions and the county boards of supervisors and city councils to which they are responsible, have additional

decision-making needs that must be determined and met. Therefore, a needs assessment should be conducted in each of the twenty-one Regions.

2. Specify measurable evaluation objectives that must be achieved to supply the necessary decision-making information.

3. Develop the evaluation methodology necessary to measure achievement of these objectives. Alternative evaluation models, designs, procedures, and instruments must be considered before first choices are made. The criterion used in this selection process must be the ability of each alternative to supply data related to customers' decision needs and wants. Also included in developing evaluation methodology are the tasks of adopting, adapting, or constructing the necessary instruments and procedures. Additional tasks include the identification of needed resources and the roles necessary to implement the evaluation, to collect data, and to analyze them.

4. Implement the selected evaluation methodology.

5. Collect and analyze data.

6. Provide and use the evaluation results by employing effective dissemination and diffusion strategies.

Process Objective 1.2. Between November 1, 1974 and February 28, 1975, OCJP's Evaluation Unit should establish the membership,

purposes, working guidelines, and work schedule for an Ad Hoc Committee on Evaluation Planning Areas and Levels. The object of this committee will be to analyze the six evaluation planning areas, recommended in the first half of this paper, as well as alternative approaches emphasizing other or fewer areas. The appropriateness of these areas to each functional category of criminal justice projects and programs should be empirically validated. Then, within the selected areas, an analysis should be made of the desirability and feasibility of each level of evaluation and monitoring such as those listed below.

- unstructured monitoring (goal-free monitoring is not directed toward explicit, predetermined goals)

- structured monitoring (goal-based monitoring focuses on identified, preselected goals)

- impressionistic, intuitive evaluation (goal-free or goal-based evaluation for formative or summative purposes)

- a simple correlational study (goal-free or goal-based evaluation or both for formative or summative purposes)

- a single or multiple regression equation study (goal-free or goal-based evaluation or both for formative or summative purposes)

- a criterion-referenced study (goal-free or goal-based evaluation or both for formative or summative purposes)

- a quasi-experimental study (goal-free or goal-based evaluation or both for formative or summative purposes)

- a true experimental study (goal-free or goal-based evaluation or both for formative or summative purposes)

These items are included here not to confuse the reader with ambiguous jargon but to illustrate that a range of levels is possible. Such levels should vary along dimensions of project significance (e.g., importance of the study, its direction, replicability of its findings) and available resources (finances and expertise) for evaluating and monitoring activities. Specific examples of the application of each appropriate level should be identified and validated for each accepted evaluation planning area for each functional category.

Process Objective 1.3. Between November 1, 1974 and June 30, 1977, OCJP's Evaluation Unit should coordinate and facilitate the work of each of the committees so that committee members receive input from other resources developed through implementation of the Plan recommended in this paper, field-test committee products, produce their committee's annual reports by June 30, 1975 and 1976, and produce their final products by June 30, 1977.

Product Objective 2: To Build Staff Competence for Evaluation Planning and Technical Assistance

To build staff competencies for evaluation planning and technical assistance, the OCJP network should have the following as soon as possible: (a) optimal staffing in OCJP's Evaluation Unit and in the Regions to improve evaluation planning and monitoring at the project and program levels, (b) OCJP and Regional staff members with evaluation planning and technical assistance competence, and (c) training packages and guidelines for subgrantees in criminal

justice agencies and representatives from the agencies and local units of government with whom these subgrantees relate and who request such training because they seek to improve the evaluation planning of their services.

Process Objective 2.1.   During 1974-75, some staff of OCJP's Evaluation Unit should be assigned at least three-quarter time to project and program evaluations. These persons should receive informal training and should then work with a consultant group or the UCLA staff noted in Process Objective 2.6. Their tasks should focus on the development and implementation of a series of competency-based staff-development packages for training project and program personnel in evaluation planning skills. More specifically, this should include the design, pilot-test and revision, field-test (in 1975-76) and revision, and dissemination of these packages (including technical assistance) tailored to those Regional staff members who are working on evaluation planning activities. The content of these packages should be based on input from the two committees recommended in Product Objective 1 and on an analysis of effective techniques for providing technical assistance.

Process Objective 2.2. Additional OCJP staff members should be added to the above group working on project and program evaluation planning in 1975-76, and others should be added in 1976-77 and 1977-78. Thus, the final year (1978-79) of this plan will involve a full-fledged field trial of this staff capability. During the fourth

and fifth years, at least two-thirds of these staff members should devote three-quarters of their time to these tasks, and the remaining one-quarter should be spent relating their project and program domains to the function and mission domains of system impact evaluations.

Process Objective 2.3. During 1974-76, more resources should be allocated to enable Regional staff members assigned to project and program evaluations on a half-time or more basis to join with OCJP Evaluation Unit staff in the above activities. In other words, these Regional personnel should be given released time to work with the OCJP staff on the two committees as well as on the development and pilot test of the staff development packages.

Process Objective 2.4. During 1974-75, more resources should be allocated to as many Regions as possible contingent on their needs and the financial resources available so that they can add staff for project and program evaluation planning. It is assumed this strategy would add staff to eleven more Regions than the four that currently have such personnel.

Process Objective 2.5. During 1975-76, an additional sum should similarly be used to build the staffs of the remaining Regions. All new staff members should field-test the staff-development program for evaluation planning skills and technical assistance competencies. They should then begin to administer the evaluation planning training program to subgrantees in their Regions and representatives of local units of government and criminal justice agencies with whom these

subgrantees relate. At first, the training should be provided on
a field-test basis, during which these Regional staff members
should document, disseminate, and use any results concerning posi-
tive and negative, anticipated and unanticipated effects of the
training.

Process Objective 2.6. An annual sum should be assigned in
each of two years, 1974-75 and 1975-76, for an outside agency to
work with OCJP and Regional staff (perhaps through the UCLA
Evaluation Planning Project) on evaluation planning training at the
project and program levels. If possible, work on this staff devel-
opment training program should begin immediately. The program
should involve the development and field-testing of the competency-
based packages. After this time period, the OCJP Evaluation Unit
and Regional staffs should take over the staff-development program
and administer it to subgrantees and other local representatives.
One approach that should be considered in establishing the purpose,
content, and format of this staff development program is outlined
below.

 • Its purpose should be to help subgrantees (as well as OCJP
 and Regional staff) acquire, practice, and apply evaluation
 planning competencies appropriate to the project and program
 domains. The object of this training should be that sub-
 grantees will be able to produce an approved evaluation and
 monitoring design and schedule for their projects or programs.

The training should concentrate on evaluation planning im-
provements in large-scale, long-term projects and programs
in each functional category of criminal justice.

 • The content of this training should focus on the evaluation-
planning processes, areas, and levels recommended (or under
investigation) by the two committees outlined in Product
Objective 1. It should be based on improvements of evalua-
tion methodology achieved through program and cluster
evaluations currently being conducted in the OCJP network.
In order to draw up the content specifications for this
series of evaluation training packages, the following activ-
ities should be considered:

 (1) Identify general evaluation planning and monitoring
 tasks that must be performed in order to implement
 the standardized process in each functional category
 of criminal justice projects and programs --i.e.,
 conduct a task analysis.

 (2) Specify competencies needed to perform these tasks
 and improve all aspects of project and program eval-
 uations --i.e., conduct a competency analysis.

 (3) Select and design assessment strategies by which
 evaluation competency can be measured. What perfor-
 mance-based assessment techniques exist, what tech-
 niques are presently under development, and how can

they best be adapted? Such techniques must assess the evaluation planning skills each trainee has, those he or she needs to develop, and those he or she wants to acquire and practice --i.e., staff assessment.

(4) Design and evaluate performance-based training packages that provide learning experiences appropriate to the competencies selected.

(5) Determine how to evaluate the effectiveness of the procedures.

(6) Pilot-test, revise, and field-test the packages. Then, revise them again before using them in regular staff and subgrantee development sessions.

(7) Validate the competencies produced by using experimental and quasi-experimental designs appropriate for determining the relationship between evaluation competencies and project/program evaluation improvements.

(8) Conduct data analyses to determine what techniques are most suitable for specific groups of people. That is, analyze the kinds of problems that commonly arise and how they might be avoided or corrected.

(9) Conduct program evaluations by selecting appropriate criteria for assessing the success of the training series. Provide for the formative evaluation of the series of packages used in the field.

A similar group of activities should be considered in drafting specifications for a series of packages focusing on the acquisition and practice of the technical-assistance skills OCJP and Regional staff will need to train subgrantees effectively and efficiently. Here, the task analysis should identify staff activities involved in successfully providing technical assistance to subgrantees at all stages, from proposal conception and development through project or program completion. The competency analysis should specify skills that staff members need to perform the beneficial activities. With information from these two sources, persons designing the staff-development program would have the basic elements needed to produce packages for building technical assistance competencies. The format of this staff-development program should have a number of characteristics. First, the training should be competency based (i.e., performance-based); it should emphasize the development of measurable skills rather than the acquisition of facts and information. In other words, each package should be designed to go beyond the cognitive level and produce actual skills useful in practical situations. Second, the training should be individualized, so that subgrantees (as well as Regional and state staff) who already possess some of the requisite skills will concentrate their attention only on areas they have yet to master. This should involve the use of diagnostic pretests to pinpoint

such skill areas. Individualization should also enable trainees to work on their own and at their own pace. Third, the packages should be supported by technical assistance provided as an additional learning resource for trainees. Each trainee should be able to work individually most of the time but should have access to consultation at appropriate learning and testing times.

Fourth, the complete program should be transportable so that it can be used in a variety of instructional settings (e.g., conferences, pre-service classrooms, in-service workshops, and independent study) and geographic locations. Fifth, the complete program should be introduced by a tape-slide orientation and a flowchart of the comprehensive evaluation planning process. Sixth, each package should be a multimedia presentation containing: goals and objectives summarizing the measurable skills that trainees should be able to demonstrate once they complete the package; instructional materials, progress checks, group activities; simulation activities built on actual studies of project and program evaluations conducted in each criminal justice functional category; application procedures; a posttest with complete feedback, and references if further study is desired. The completion of each package's activities should take between fifteen and twenty hours of the average trainee's time.

Initially, this type of staff and subgrantee development program should be validated for in-service training purposes. If that application proves successful, it should be expanded to a preservice training program used on an experimental basis at UCLA or USC. Studies of the usefulness of this training approach should be conducted and experimental investigations of the effectiveness of prototype packages should be made. Support for these studies should be requested from LEAA's National Institute of Law Enforcement and Criminal Justice.

Process Objective 2.7. Starting July 1, 1974, an ad hoc Committee on Standards and Guidelines, comprised of six OCJP and Regional staff (evenly distributed between these two sources, with Regional persons appointed by the Regional Directors Association) assisted by subgrantees and evaluation consultants selected by the committee should produce annual revisions of the following three products once their real usefulness for the evaluation staff of projects and programs has been demonstrated: (1) evaluation planning standards, (2) guidelines for improved evaluation planning, and (3) structured checklists specifying product and process objectives to be met by OCJP and Regional staff and outside consultants providing technical assistance to subgrantees as they develop proposals and initiate projects that demand identifiable evaluation planning skills.

These three products should be modified by successive approx-
imations each year over the five-year period so that improvements
are gradually made in the project and program evaluations to
which they relate. The content of these products should be com-
patible with that of the competency-based staff and subgrantee
development program recommended in Process Objective 2.6. Thus,
the recommendations of the two standing committees about the
evaluation planning process, areas, and levels appropriate to
criminal justice projects and programs would be included in the
content of the three products.

The production of all three products should be monitored by
the project and program evaluation staff recommended for OCJP's
Evaluation Unit in Process Objectives 2.1 and 2.2. This staff
should also validate and revise these products. The Regions
should handle dissemination of standards and guidelines for pro-
ject evaluation while sharing the dissemination of program eval-
uation standards and guidelines with the Evaluation Unit (all
program evaluations will be interregional). Regional and OCJP
staff members should cooperate in monitoring subgrantee imple-
mentation of the standards and guidelines recommended each year.
In carrying out these monitoring responsibilities, they should
use the structured checklists for technical assistance.

Standards should specify criteria to be employed each year
in judging evaluation planning components in (1) proposals,

(2) the records and activities of ongoing projects and programs,
and (3) the deliverables (i.e., reports and other products) of
completed project and program evaluations. The standards should
describe and illustrate what must be contained in these components.

Guidelines must be available to help subgrantees meet these
standards. The only available document resembling this recom-
mended annual product is OCJP's July 1973 edition of Grant
Application Information and Instructions. This sixteen-page
document provides inadequate guidance in the area of evaluation
planning because it concentrates on project evaluations only and
gives superficial treatment to project objectives and project-
evaluation design. Guidelines should define, discuss, illustrate
and provide additional references for all aspects of the evalua-
tion planning of projects. In addition, they should focus on
each of the three standards and guidelines and products, not
just on proposal preparation. The guideline documents should be
incorporated as key instructional materials in the competency-
based packages recommended in Process Objective 2.6.

Two means of using guideline documents should be available
to subgrantees so they can meet the evaluation planning standards.
Those who need to acquire and practice identifiable evaluation
planning skills should be referred to appropriate training
packages. Others should receive technical assistance more con-
sistent and more standardized than that typically provided to

subgrantees. This standardization should enable technical advisers (OCJP and Regional staff or outside consultants) to guarantee that their assistance achieves specific measurable outcomes. Two ways to accomplish this standardization are (1) ensure that each adviser has an optimal level of technical assistance skills, which can be accomplished by referring those who lack requisite competencies to the appropriate training packages, and (2) to use the aforementioned checklists, which outline a basic series of outcomes advisers should produce and procedures they should use when they attempt to provide technical assistance. If these desired outcomes and procedures are stated as measurable objectives (i.e., product and process objectives), then both the adviser and the person or persons receiving technical assistance have standards by which to judge the effectiveness of such assistance.

Product Objective 3: To Provide Controls and Incentives for Encouraging Subgrantee Evaluation Competence, Commitment, and Action

Through an orderly process over the next five years, current OCJP Evaluation Unit and Regional staff working on project and program evaluations (as well as any personnel added because of recommendations summarized under Product Objective 2) should gradually evolve an integrated set of incentives and controls to help subgrantees and personnel from local units of government and criminal

justice agencies develop additional skills in evaluation planning, become more committed to designing and implementing reputable evaluations, and be more active in evaluating their projects and programs. The incentives and controls will include at least the factors discussed in the following process objectives.

Process Objective 3.1. OCJP and Regional staff should suggest that all subgrantees improve their evaluation planning competence by encouraging them to assess their current skills, challenging them to accept training in areas where they lack skills needed for their project or program evaluations, and providing them with consultation while they take their training. Whenever appropriate, materials and techniques developed for Product Objective 2 (i.e., the competency-based packages, evaluation planning standards, related guidelines, and correlated, measurable technical assistance) should be used to improve subgrantee competence.

Process Objective 3.2. Through selected dissemination activities (discussed in the technical paper on dissemination in this volume) OCJP and Regional staff working on project and program evaluations should help subgrantees adopt positive attitudes toward at least the following aspects of evaluation planning. First the most useful evaluations attempt to improve rather than prove interventions used in projects and progress. Second, such evaluations must collect, disseminate, and promote the use of information that enables key decision makers in criminal justice agencies to make critical decisions.

Process Objective 3.3. Regional staff should require that each
project proposal contain an approvable decisions-based evaluation
design and schedule as a prerequisite for funding. Similarly, staff
in the OCJP Evaluation Unit should maintain this same control over
all proposals for program (interregional) evaluations. In both
cases, the evaluation planning standards (described in Process
Objective 2.7) accepted for the year in which the proposals are
reviewed will be used by the staff making these decisions.

Also in both cases, part of each subgrantee's contract will
specify that at least the following preliminary information be
available for the evaluation design:

1. At least one key customer (besides OCJP central and
   Regional staff) of that project or program evaluation.

2. At least one top-priority need for decision information
   of that customer, the OCJP, and the Regional staff.

3. The evaluation objectives the subgrantee agrees to
   achieve in order to produce the required information.

For project evaluations, examples of decision needs of the
OCJP are listed under Process Objective 1.1. Additional information
needs of the local planning board must be identified by each sub-
grantee. Invariably, from the Regions' viewpoint the top-priority
needs must be ones held by the county board of supervisors or city
council, and the criminal justice agency most involved in the proposed
project also must be specified and met by the subgrantee. Staff

from each Region should help their subgrantees assess and specify
the decision needs of these various groups if such groups are
agreeable to this assessment and can be helped to identify their
needs.

It is hoped that the above regulation will have a positive
effect on subgrantees' evaluation commitments and actions. If sub-
grantees receive OCJP training and encouragement to implement this
decision-based approach to evaluation, they should recognize that
these additions increase the relevance and long-range usefulness of
their projects' results. They should realize also that the required
evaluation planning activities force them to look ahead to specify
the desired effects they would like to produce and to monitor
their progress in terms of those desired outcomes. In other words,
they should realize that they, too, are important customers of their
evaluations and should be able to use timely information to improve
their project effort and impact.

Process Objective 3.4. Regions should require that selected
project subgrantees produce, by the end of the fourth month of the
first year of the contract, an acceptable, updated evaluation design
and schedule, including milestones by which the implementation of
that design can be monitored. Evaluations should be designed to
supply the decision-making needs of OCJP, the Regions, and sub-
grantees (as well as the local units of government and criminal
justice agencies they represent). A subgrantee who does not produce

evidence that his or her proposal's design and schedule have been updated and are now feasible and desirable should receive no fiscal support beyond that 120-day limit until the requirement has been met. OCJP staff should establish a similar requirement for subgrantees of program evaluations.

Process Objective 3.5. Regional staff members should require that each selected grant shall have an evaluation administrator who will be held accountable for the evaluation planning products and schedule of activities specified in the OCJP contract.

Process Objective 3.6. Regional staff members should require that each selected project has at least a three-member Evaluation Planning Review Panel that meets at least twice a year with project staff. These meetings should be coordinated by the project's evaluation administrator. After each meeting, panel members should submit copies of their individual reports to the project staff and the project monitor from the Regional office. Similar requirements should be established for program evaluations conducted under OCJP's Evaluation Unit. In all cases, the panel should provide general technical monitoring, review of evaluation methodology, and independent review of key technical decisions. Panel recommendations should be advisory only; however, the project or program evaluation administrator should respond to each recommendation, regardless of whether or not it will be followed.

Process Objective 3.7. OCJP and Regional evaluation planning staff should verbally encourage subgrantees who recognize and use

the following two incentives for improved project and program evaluations:

1. The levels of evaluation and monitoring recommended by the ad hoc Committee on Evaluation Planning Areas and Levels. The alternatives identified and validated by this committee should stimulate subgrantees once they recognize that rigorous evaluation designs are not necessary for each project. In fact, little more than structured monitoring might be appropriate in many instances.

2. The results of Product Objective 6, which include models of evaluation planning activities conducted in each functional category of criminal justice. Such models will demonstrate the "dos and don'ts" of project and program evaluations and their primary purpose will be to illustrate that evaluation planning can be done in each functional category and can produce useful information.

Product Objective 4: To Employ More Rigorous Acceptance Standards for Proposals, Interim Reports, and Evaluation Products

Through regularly scheduled meetings over the next five years, current staff of the OCJP Evaluation Unit and the Regions (as well as any personnel added because of recommendations summarized under Product Objective 2) should develop and consistently use rigorous criteria for determining the acceptability of the evaluation aspects of proposals, evaluation interim reports, and final reports or other products of project and program evaluations.

Process Objective 4.1. OCJP and Regional staff assigned to develop the above criteria should make them consistent with evaluation planning standards designed for subgrantee use and produced by the Ad Hoc Committee on Standards and Guidelines. The format of these criteria will fit the design of instruments that the staff can use in applying the standards to evaluation sections in proposals as well as evaluation products of all types. Such techniques will include detailed checklists and rating systems with scales graded according to explicit, objectively observable characteristics of proposals or reports. All criteria should be made available to subgrantees so that they will know how their products will be judged and can determine whether their contract's objectives have been satisfied.

Process Objective 4.2. Selected project and program evaluation personnel in the OCJP Evaluation Unit and the Regions should be assigned responsiblity for ensuring that every proposal, report, and other evaluation product is reviewed and assessed on the basis of the above evaluation planning standards. Staff should be allocated so that this 100 percent review process gradually becomes a reality. Ultimately, proposals, reports, and other evaluation products not meeting the above criteria should not be accepted. In the case of proposals, funding possibilities should be delayed or

dropped; in the case of reports, continued funding should be terminated and contractual obligations should be designated as unfulfilled. Alternatives should be explored for (1) taking legal action against contractors who do poor evaluation work and (2) providing subgrantees with a process for appealing OCJP decisions.

Process Objective 4.3 All selected personnel should be trained to employ the criteria in a standardized manner so that each proposal or evaluation product receives similar attention.

Product Objective 5: To Implement Improved OCJP Monitoring Assistance to Maintain Better Subgrantee Evaluation Activities

To maintain better subgrantee evaluation activities, Regional staff responsible for project evaluations should provide monitoring assistance for the evaluation-planning activities of each selected project discussed in Process Objective 3.4. Staff of the OCJP Evaluation Unit should maintain similar monitoring responsibilities for all program evaluations and be available to assist Regional staff on project evaluations whenever necessary. In all cases, these monitors of evaluation components should coordinate their efforts with regular Regional and OCJP central staff members who monitor all projects and programs. The OCJP Evaluation Unit should be the coordinator of the evaluation monitoring process. The staff of this unit should use the program specialty talents of OCJP personnel who have demonstrated expertise and familiarity with the projects and programs being monitored.

Process Objective 5.1 The basic evaluation monitoring pro-
vided by these staff members should be fairly routine if the
recommendations embodied in Process Objectives 3.4 through 3.7
are accepted. These recommendations should lead to greater and
earlier specification of evaluation-planning parameters, strategies,
and schedules for project and program evaluation. In these cases,
monitoring would be facilitated, thereby involving little more than
progress checking, and further facilitated if subgrantees' contracts
specify the methods to be used in monitoring their progress, in-
cluding the number and dates of required site visits. Since con-
tracts are complicated, specifics such as these must be given
priorities along with other basic information.

Process Objective 5.2 Critical in the type of monitoring noted
above is the provision of technical assistance that helps project
and program evaluation staff improve their activities during each
phase of their efforts. Process Objective 2.7 recommends that
evaluation staff of the Regions and the OCJP Evaluation Unit be
trained to provide this type of monitoring assistance and to use
checklists built on objectives to structure and standardize the
help provided. In addition, these staff members should take com-
petency-based training that orients them to the administration of
contracts and increases their skills in handling problems of con-
tract performance. The total effect of this approach to monitoring
will emphasize a helping, rather than a policing, role for monitors.

Product Objective 6: To Increase the Number of Program
                        Evaluations and Demonstration Models

To increase the number of program evaluations and demonstration
project and program evaluations, the OCJP Evaluation Unit working
closely with evaluation staff members from the Regions over the
next seven years should produce ten three-year program evaluations
(evenly distributed among the criminal justice functional cate-
gories) and ten demonstration project evaluations, similarly dis-
tributed, that can serve as models (printed, audiovisual, or
visitation) for how to improve evaluation methods and results at
the project level.

Process Objective 6.1 Working closely with evaluation staff
members from the Regions, the OCJP Evaluation Unit should initiate
two new program evaluations in two additional functional categories
each year for the next five years. These should not be confused
with the cluster evaluations being conducted during 1973-74; pro-
gram evaluations should be more rigorous. At least one program
evaluation should be conducted in each of the seven functional
categories, and the remaining three evaluations will be assigned
to categories I, II, and V. The two studies for 1974-75 have
already been proposed, in the areas of community-based alternatives
to incarceration and juvenile delinquency diversion. However, these
will evaluate existing projects. Efforts should be made in sub-
sequent program evaluations to include projects prior to contract
formulation.

Process Objective 6.2 Working closely with evaluation staff members from the Regions, the Evaluation Unit staff should ensure that the remaining eight program evaluations capitalize on the procedures of the two initiated in 1974-75. In addition, in co-operation with the Regions, they should attempt to use a Request for Proposals (RFP), rather than a sole-source approach in funding. That is, public or private agencies should compete for funds to conduct these studies. State government agencies should be pre-ferred but should have to demonstrate their expertise as rigorously as any other competitor.

Process Objective 6.3 In designing these program evaluations, Evaluation Unit and Regional personnel should meet at least the following requirements.

1. At least ten projects will be involved in each study.

2. These ten projects will be selected from at least five Regions, each of which must place high in their Regional funding priorities the functional category of the program evaluation.

3. Each participating Region, using the priorities stated in its Regional plan, will seek subgrantees to initiate the pro-ject or projects that will participate in each program evalua-tion. Regional funds will be used to fund the action components of these projects; OCJP funds will be used to support the evalua-tion components. The components must also meet the evaluation

requirements of the Regions.

4. The evaluation staffs of all Regions will participate in the project selection.

5. Each program evaluation will be jointly monitored by the OCJP Evaluation Unit and by the evaluation personnel in the Regions where component projects are located.

6. The general purpose of each program evaluation will be to establish a series of comparable project evaluations so that, for each functional category, OCJP can identify exactly what interventions work with whom (or what operations) and under what conditions.

Process Objective 6.4 In addition to the above program evalua-tions, the OCJP Evaluation Unit and Regional evaluation personnel should cooperate to select and monitor ten project evaluations as prototypes for improved project evaluations proposed and conducted by subgrantees (or their consultants). These ten studies, and the program evaluations, should also be distributed among the seven functional categories.

Process Objective 6.5 During each of the next five years, Evaluation Unit and Regional evaluation staff should identify, from among those project proposals being considered by Regional planning boards, a group of projects having a high probability of successful impact. These should be large two-year projects having possibilities for wide application and generalization. Each year these staff members should select two projects for which the

subgrantees are willing to improve their proposed evaluation designs to provide models of cost-effectiveness, cost-efficiency, and cost-benefit analyses.

Process Objective 6.6. Using dissemination and diffusion techniques (such as those suggested in the technical paper on dissemination in this volume) OCJP Evaluation Unit and Regional evaluation personnel should ensure that the results of the ten prototype project evaluations are used to improve other project evaluations in the process or planning stage across the OCJP network.

Product Objective 7: To Use Third-Party Evaluations More Judiciously

By July 1, 1977, project and program evaluation planning staff of OCJP's Evaluation Unit and of the Regions should have encouraged the adoption of a policy restricting the use of outside or third-party (that is, nonprofit or nonprogram staff) evaluations throughout the OCJP network.

Process Objective 7.1. Between July 1 and December 1, 1974, a task force of Evaluation Unit and Regional evaluation staff should cooperate to survey the current and the desired use of third-party evaluators in criminal justice agencies in each region.

Process Objective 7.2. By December 31, 1974, the OCJP Evaluation Unit staff and this task force should produce a report of this

survey's results, conclusions regarding the pros and cons of the use of third-party evaluators, and recommendations for regulating future evaluations of this type. This task force should consider the possibility that there has been indiscriminate use of third-party studies and that such practice seems to have been based on a belief that "outside" evaluators are the only persons who are both qualified and objective enough to conduct well-designed evaluations. In fact, it may be found that the majority of OCJP central and Regional staff and subgrantees propose third-party evaluators as the panacea for any and all evaluation problems. Overuse of such studies seems to have contributed to the proliferation of poorly designed, conducted, and reported evaluations. Many outside evaluators seem to have conducted premature summative evaluations of the overall worth of projects that are only embryonic. In these cases, it would have been better to perform formative evaluation studies to assist project staff in improving their interventions and procedures.

One of the recommendations this task force should consider is to restrict outside evaluators to only the following types of investigations:

1. Summative evaluations to judge the overall "worth" of a project's interventions after staff members have implemented formative evaluations allowing them to revise and improve their interventions.

2. Project evaluations when it is impossible for the Regional or OCJP Evaluation Unit staff assigned to train and assist project personnel to conduct their own formative evaluations.

3. Program evaluations such as those discussed under Product Objective 6.

Process Objective 7.3. Between January 1, 1975 and July 1, 1977, Evaluation Unit and Regional evaluation staff should train subgrantees to acquire and practice skills for conducting formative evaluations of their own projects and interventions. Training alternatives specified under Product Objective 2 should be used in this process. Included should be the use of an apprenticeship model; subgrantee evaluation staff should work closely with qualified Evaluation Unit and Regional consultants to improve evaluation planning. During the same period, these OCJP personnel should seek adoption of a policy for all OCJP network third-party evaluations that will be used only as indicated in Process Objective 7.2 and only through a competitive bidding process. In all such cases, OCJP staff members will closely supervise the writing and distribution of the RFP's, the development of detailed criteria for choosing contractors, the use of bidders' conferences, and the selection of the outside evaluators.

Product Objective 8: To Expedite the Storage and Retrieval of Evaluation Information

To expedite the storage and retrieval of evaluation information during 1974-75, a twelve-month study of the feasibility of a statewide accountability system should be completed. This system would produce relevant and timely data for overall impact evaluation of projects and programs across the OCJP network as well as data for

local project revisions and improvements and would supply information accountable to the evaluation decision needs and objectives of (1) leaders in local units of government and criminal justice agencies, (2) Regional staff and board members, and (3) OCJP staff and council members. During 1975-76, if the feasibility study is successful, monies should be allocated for the design and pilot-test of a prototype system in three Regions of varying levels of complexity during 1975-76. If this pilot-test works, additional sums should be assigned in each of the next three years to revise and expand this system to additional Regions in 1976-77 and to the balance of the Regions in 1977-78. A full-fledged trial should be possible in 1978-79.

Process Objective 8.1. During 1974-75, a task force of project and program evaluation staff members from OCJP's Evaluation Unit and the Regions should assign adequate personnel (at least a systems analyst and a computer programmer) to work on the feasibility study to be completed during that year. They should investigate a statewide accountability system that has at least the following characteristics:

1. It is basically a composite of twenty-one regionwide accountability systems.

2. It uses the following types of reliable data which subgrantees (who have received the type of competency-based training described under Product Objective 2) are required to produce: (a) the measurable impact objectives of each project, (b) the

characteristics of the intervention(s) actually implemented,
(c) the characteristics of the target persons or operations,
(d) objectives-related results obtained by these persons or oper-
ations, and (e) unanticipated side effects that were produced.

3. It compares the above data to information collected on
each Region's general goals and annual priorities, to help Regional
staff determine whether or not they have met their priority
objectives (and progressed toward their goals) and what their next
year's priorities should be.

4. It should protect the confidentiality of individuals
involved in project and program evaluations.

5. It necessitates redesign of grant application forms,
redesign of interim and end-of-year reporting procedures and forms,
and the development of a capacity within the OCJP central and
regional offices for processing and storing in master files the
information on these forms. It encourages OCJP development of a
complete project-and-program auditing capacity to include not only
a fiscal audit but an audit of each subgrantee's degree of compliance
with the reporting procedures developed for item 4 above.

6. It employs the most up-to-date data-processing equipment
and techniques.

Process Objective 8.2. By July 1, 1975, the OCJP executive
staff should receive the task force's reports and debriefing on
the feasibility study and should decide whether or not Phase II

—a pilot-test of a prototype accountability system in three
Regions— will be initiated. Similar decisions should occur
respectively by July 1, 1976, 1977, and 1978 in regard to Phase III,
a pilot-test in some of the Regions; Phase IV, a pilot-test in all
twenty-one Regions; and Phase V, a field-test of the complete
statewide system.

Process Objective 8.3. If approval is obtained for one or
more of Phases II through V, the same task force and the account-
ability system staff members should slowly evolve the regionwide
and statewide systems. Benefits produced should include:

1. An increased awareness of outputs (accountability for
results or benefits) among local, Regional, and state decision
makers, who in the past seem to have focused their attention only
on inputs (for example, costs, staff activities, staff operation).

2. The establishment of a data bank from which meaningful
research evidence can be generated indicating what effects a given
intervention can be expected to have when implemented in a given
manner under given conditions.

Product Objective 9: To Establish an Evaluation Resource Service

The OCJP Evaluation Unit coordinating with evaluation planning
staff in the Regions should establish an Evaluation Resource
Service at a central location in the state. This service should
assist criminal justice personnel from any local, Regional, or state
agency in California in finding resource materials and persons to

help improve their evaluation planning efforts.

Process Objective 9.1. Between September 1 and November 30, 1974, a task force of OCJP and Regional personnel (composed primarily of project and program evaluation staff from the Evaluation Unit and the Regions) should design a set of guidelines for the proposed Evaluation Resource Service and a job description and competency analysis for staff to initiate and maintain the service. The equivalent of a full-time material-and-media specialist and a full-time secretary/clerk should be recommended. An annual budget should be allocated for the materials search, purchase, and reproduction process.

Process Objective 9.2. Between December 1, 1974 and January 31, 1975, alternate sites for the service should be explored, a site selected, the facilities equipped, and staff recruited.

Process Objective 9.3. The service should begin February 1, 1975 by initiating a statewide and nationwide search-and-seek process for resources related to the evaluation planning of criminal justice projects and programs. A resource bank should be established for the purpose of assessing, organizing, cataloging, and disseminating printed or audiovisual products in areas such as the following:

1. Statements of measurable outcomes, objectives, and goals for each functional category in the criminal justice field.

2. Measurement techniques, instruments, and procedures keyed

to appropriate objectives identified for item 1.

3. Data analysis techniques appropriate for measurement strategies identified for item 2.

4. Manuscripts and reference books on introductory concepts and principles of evaluation planning.

5. Similar resources at more advanced levels.

6. Competency-based training packages, guidelines, and standards documents produced under Product Objective 2.

END