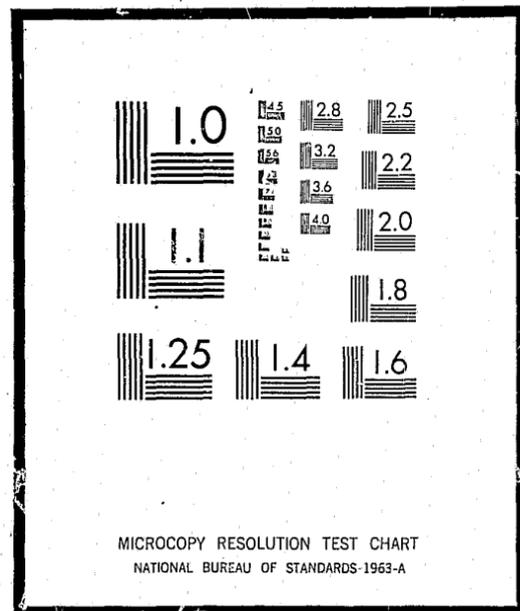


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## CRIMINAL JUSTICE RESEARCH

### EVALUATION IN CRIMINAL JUSTICE PROGRAMS GUIDELINES AND EXAMPLES

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U.S. DEPARTMENT OF JUSTICE  
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INTRODUCTION

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The High Impact Anti-Crime Program was announced by the Vice President of the United States in January 1972. Its purpose is to achieve through use of comprehensive crime-oriented planning a rapid reduction in certain categories of stranger-to-stranger crime and burglary in eight cities ranging in population from 250,000 to 1,000,000: Atlanta, Baltimore, Cleveland, Dallas, Denver, Newark, Portland (Oregon), and St. Louis.

An important requirement of the High Impact Program is evaluation of the effectiveness and efficiency of various city anti-crime projects. In addition, effective techniques for evaluation are to be identified, documented and made available to those engaged in evaluation of criminal justice systems.

This manual combines and revises ten documents that were prepared by The MITRE Corporation for the National Institute of Law Enforcement and Criminal Justice (NILECJ) in 1972 and 1973 as an aid to the evaluation of the High Impact Anti-Crime Program. As a package, it provides a guide for developing and implementing plans to evaluate criminal justice projects and programs, and is intended to serve as a reference and working manual for a wide variety of audiences.

#### EVALUATION AS AN ELEMENT OF PROGRAM DESIGN

Viewed in one light, the High Impact Program is a demonstration of a set of activities aimed at reducing specific crimes. The measurement of project effectiveness and efficiency is central to this effort. As a result, it is important that wherever possible project objectives be stated in quantitative terms and that an evaluation plan be developed in conjunction with project grant applications.

This is in contrast with past practice where criminal justice programs have not generally featured self-analysis. The result was that measurement of effectiveness and efficiency took the form of subjective judgment more often than methodical evaluation.

#### THE PROBLEM OF EVALUATION PLANNING

The framework provided herein should enable planners to deal with a number of questions that are important to the execution of successful evaluation: "How can program effectiveness be measured?" "How accessible and how reliable are the data?" "How is an evaluation effort organized?" "Who should conduct and monitor an evaluation?" and "When should evaluation be conducted?"

#### THE METHODOLOGY

In specific terms, the approach presented in this manual was developed to facilitate the evaluation of projects by local planning and/or operational personnel. Essentially, it is a seven-step process: (1) quantifying project objectives, (2) establishing the relationship between project objectives and the High Impact goal, (3) identifying

evaluation measures, (4) determining data needs, (5) developing methods of analysis, (6) monitoring on-going activities, and (7) performing analysis.

#### ORGANIZATION OF THE MANUAL

The material in this manual falls into three categories:

- (1) Guidelines for project directors and evaluators:

Manager's Evaluation Guide

Evaluator's Manual

- (2) Four sample evaluation plans (in the form of evaluation components of hypothetical project grant applications to LEAA for High Impact funding) that illustrate the evaluation methodology in a variety of criminal justice projects:

A Community Based Rehabilitation Project

An Automated Court Calendaring System

A Police Command and Control Program

A Methadone Maintenance Project

- (3) Four integrated evaluation components, one for a sample program and three for its subordinate projects:

A Youth Services Program

An Intervention Center Project

A Model Third Party Custody Project

A Job Development Project for Youthful Offenders

The manager's guide should assist project directors in preparing an evaluation plan. It is designed to answer two questions: "What composes an evaluation plan (in the context of the High Impact Program)?" and "What are the major considerations for implementing the plan?"

The evaluator's guide focuses on a more specific level, namely, the preparation of evaluation components. In combination with any of the eight component examples, the guide constitutes a "how-to" manual to use in the evaluation design phase of a project.

In addition to the uses described above, the evaluation component samples may be used as checklists for comparison with "real-world" project evaluation plans.

#### POTENTIAL USERS

This document was prepared with a number of audiences in mind. State and Local Government Officials should find the Manager's guide helpful in understanding the work of evaluators in developing evaluation plans for their programs, whereas Evaluation Planners should find the Evaluator's guide and the components useful in preparing realistic and valid evaluation plans for their projects and programs.

#### LIMITATION OF THE MANUAL

This manual is not intended to be a guide to the design of anti-crime projects. That is, the evaluation components were developed within the context of illustrative projects so as to highlight the application of the evaluation methodology rather than the projects themselves.

# CITY PROJECT/PROGRAM EVALUATION GUIDE FOR LEAA NATIONAL IMPACT PROGRAM MANAGERS

## I. EVALUATION PLANNING

Evaluation planning provides to the program manager information for (1) assessing the potential value of projects and programs and (2) blueprinting the evaluation effort and requirements. Therefore, early and thorough evaluation planning and subsequent examination of the plan to determine its appropriateness are essential to good program management. Evaluation planning consists of five basic steps:

- (1) Quantify established goals and objectives
- (2) Establish quantified goal/objective relationship
- (3) Develop evaluation measures
- (4) Develop data needs
- (5) Determine methods of analysis

LEAA has requested that each Grant Application be accompanied by a detailed description of the proposed project or program evaluation. This description is referred to as the evaluation component. The performance of the above steps will produce the necessary component for that project or program.

A prerequisite to carrying out the evaluation planning is the definition of a project and program structure as illustrated in Figure I-1. Specifically, program goals that define "what" must be done to achieve the Impact Program Goal and project objectives that define "how" these program goals will be achieved must be already established.

### Quantify Goals and Objectives

The first step is to quantify, if possible, the program goals and project objectives. These goals and objectives should be quantified in terms of a measurable level or levels of achievement. Quantification of the goals and objectives will facilitate program and project success level measurements. For example, a quantified program goal and two possible project objectives for the program and projects in Figure I-1 could be as follows (Figure I-2):

- (a) Program goal - habilitate 400 known drug abusers in two years.
- (b) Project (1) objective - enroll 500 known heroin abusers in methadone maintenance treatment over the next two years.
- (c) Project (2) objective - reduce the unemployment rate for known drug abusers to 6%.

This example represents one possible set of quantified goals and objectives for the program and projects.

### Establish Goal/Objective Relationship

The second evaluation planning step is to show, whenever possible, the quantifiable relationship between (1) the project objectives and the program goals and (2) the program goals and the National Impact Goal. The purpose of this step is to provide the means for determining the contribution of an individual project to a program goal and an individual program to the National Impact Goal. Crime statistics, special studies, reports, and any other items that indicate relationship should be used to construct the quantifiable relationship.

To illustrate the construction of a quantifiable relationship between the National Impact Goal and a program goal, consider the drug program in Figure I-2. Suppose that the police, courts, prosecution, defense attorneys and other elements of the law enforcement and criminal justice system of a city perceive that an estimated 50% of the city's stranger-to-stranger crime and burglary are drug related ( $50\% \times 8000$  incidents/year = 4000 incidents/year). Furthermore, suppose that these perceptions are confirmed by studies and statistics from other similar type cities. If the drug program goal of rehabilitating 400 known drug abusers in two years was met, then crime and burglary would be reduced. The amount of the reduction would depend on the number of rehabilitated drug abusers who were involved in crime and burglary and the per capita number of criminal incidents. For example, if 80% of the rehabilitated drug abusers committed an average of two crimes and/or burglaries per person ( $80\% \times 2$  incident/abuser  $\times 400$  abusers = 640 incidents), then meeting the program goal would reduce such crime by 4% ( $320$  incidents/year  $\div 8000$  incidents/year) and represent an 80% ( $4\% \div 5\%$ ) contribution toward meeting the National Impact Goal.

To illustrate the construction of a quantified relationship between a program goal and a project objective consider the drug program and the Project 1 objective in Figure I-2. Assume a survey of methadone maintenance treatment centers showed that such treatment is 55% effective (that is, 45% of those treated would continue to use heroin). These statistics indicate that if 500 of the city's heroin abusers were to receive methadone maintenance treatment, then 275 (computed by  $500 \times 55\% = 275$ ) of the city's drug abusers would be rehabilitated. The result is that Project 1 would contribute approximately 69% ( $275 \div 400$ ) towards the achievement of the program goal.

These relationships may not be as easily constructed as indicated by the drug project/program illustrations. For example, the relationships are predicated upon the identification of drug abusers (a) who are known to the authorities, (b) who are also criminals, and (c) who are criminals primarily to support their drug habit. These data may not be readily available.

The design of the project/program will greatly impact the construction of these relationships, e.g., is the program voluntary? If so, how do you know whether or not the volunteers are really Impact crime offenders? Is there a control group so that the effectiveness of the project/program can truly be gauged?

Evaluation planning steps 1 (Quantify Objectives/Goals) and 2 (Establish Goal/Objective Relationship) should be taken jointly because of the required city project/city program/Impact program interdependence.

#### Evaluation Measures

The third planning step is to develop evaluation measures for each project and program. Two types of measures are used for assessing levels of achievement: measures of efficiency and measures of effectiveness.

Measures of efficiency indicate how well a program is executed in accordance with its plan--in terms of time, allocation of manpower and equipment, program activities, and funds expended. Examples of efficiency measures are: (1) average response time to reach the

#### NATIONAL IMPACT GOAL: REDUCE STRANGER-TO-STRANGER CRIME AND BURGLARY

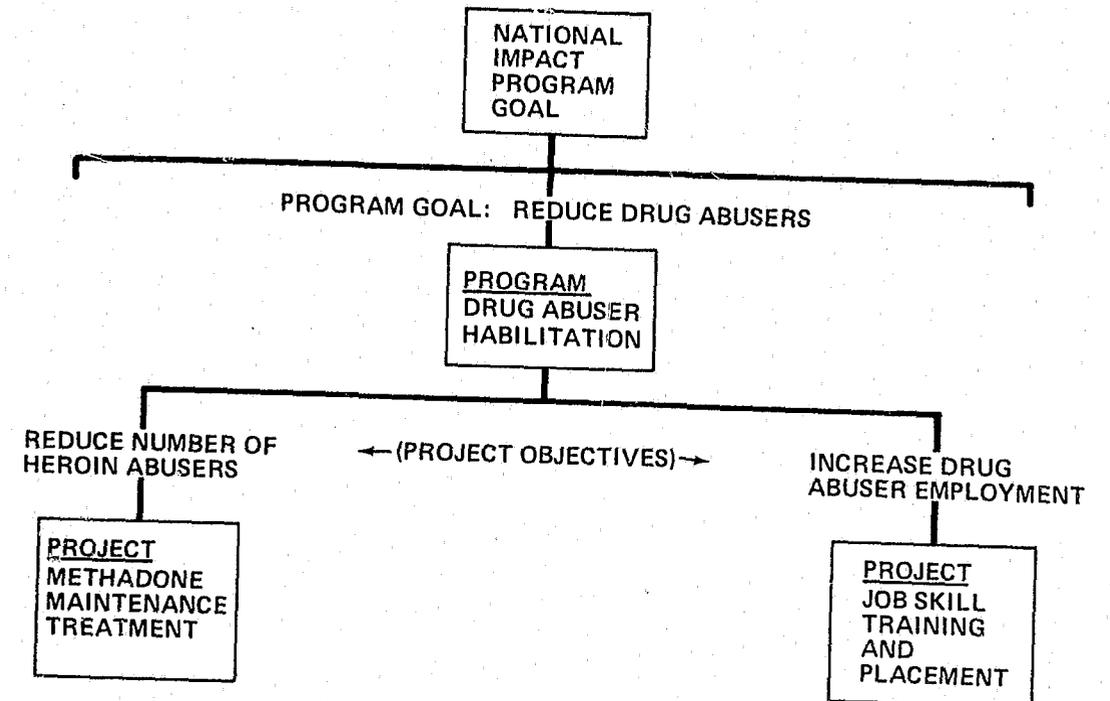


FIGURE I-1  
EXAMPLE OF IMPACT PROGRAM STRUCTURE

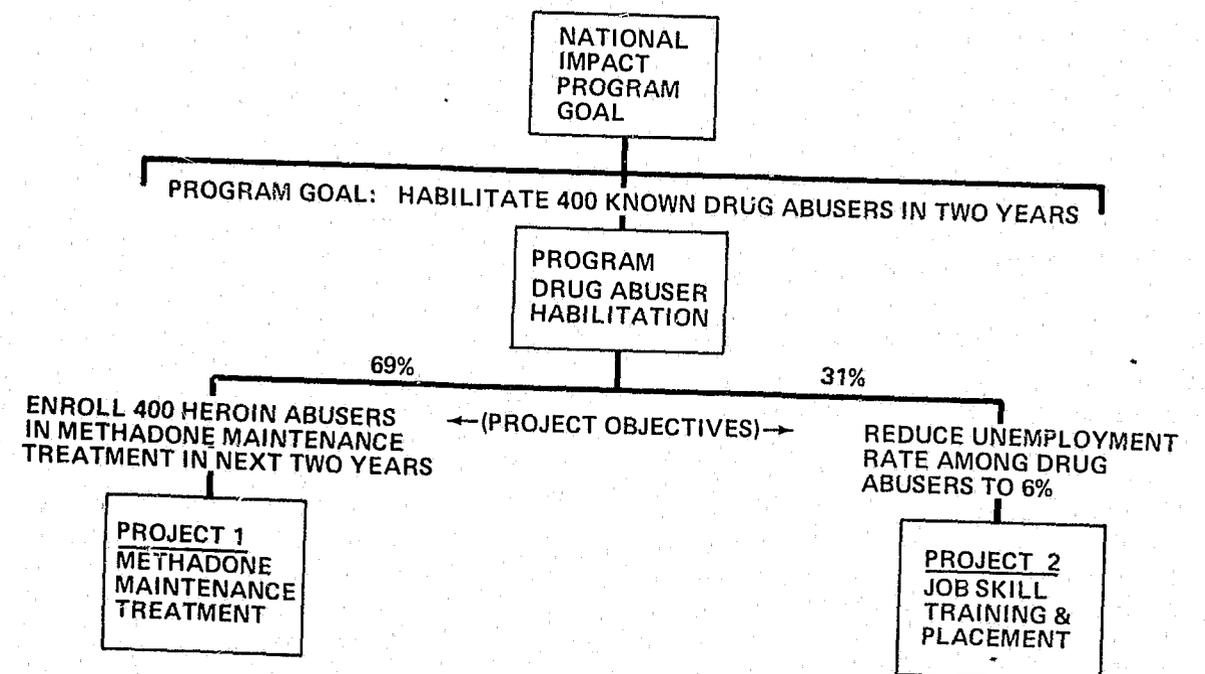


FIGURE I-2  
GOAL/OBJECTIVE QUANTIFICATION AND RELATIONSHIP

scene of a crime (e.g., a command and control program), and (2) the allocation of resources for the performance of program activities vis-a-vis the results attained (i.e., cost/benefit considerations).

Measures of effectiveness, on the other hand, are used to evaluate the impact of program activities upon the target problem. They are intended to be "end" oriented rather than "means" oriented. That is, they relate to what is ultimately desired, not the way in which it is attained. Examples of effectiveness measures are rates which indicate the incidence of target crimes or recidivism.

Primary emphasis is placed on using measures of effectiveness. That is, every effort should be made to measure project or program impact on the reduction of target crimes. However, certain programs do not directly relate to or directly affect the reduction of impact crimes. In the evaluation of these programs, measures of efficiency will be selected as alternatives or surrogates for assessing the level of success or failure.

For example, it is assumed by the criminal justice community that excessive delays between arrest and trial enhance the opportunity for offenders to commit crimes while free on bail awaiting trial. Consequently, certain programs have been developed and aimed at reducing the elapsed time from arrest to trial in order to minimize the opportunity for criminal activity during this period. Ultimately the ability to correlate the reduction in court delay with a corresponding reduction in criminal recidivism would be highly desirable as a measure of program effectiveness. However, the ability to gather recidivism data on offenders while awaiting trial may not be feasible within the time frame that the program is being evaluated. Thus, a measure of efficiency would be selected to evaluate the program such as average elapsed time between arrest and trial rather than a reduction in recidivism or crime rates.

#### Data Needs

The fourth planning step is to identify the data needed to perform the evaluation. Most of the data will be directly associated with one or more of the evaluation measures. Some of the data, however, will not be associated with any evaluation measure, but will be required because, in the evaluator's opinion, they may be valuable to the evaluation analysis. There are three factors that should be considered in developing these data needs:

- (a) Data requirements
- (b) Data constraints
- (c) Reporting systems

#### Data Requirements

The first consideration is data element identification. For individual projects and programs, the data requirements will be identified by the city Crime Analysis Teams. Additional data elements may be identified by the National Institute to facilitate their

national evaluation of selected projects and programs. These data elements can be either quantitative or qualitative in value (e.g., crime statistics or a description of a project's environment).

The second item to consider is the definition of data element terminology. It is extremely important that the data elements be explicitly defined, especially when these elements are: (1) common to several projects and programs and/or (2) to be used in the National Evaluation. The LEAA Planning Guidelines and Programs to Reduce Crime should be used as the prime source for defining the key terms. If that document does not provide sufficient guidance, the National Institute should be contacted to resolve the definition problem.

#### Data Constraints

An important factor for consideration is the constraints that might be placed on obtaining the identified data elements. For instance, an identified data element may not be available to the evaluator because of the sensitivity of the data (e.g., drug offender records) or because the information is not being collected. Even if the data element is available, the cost of collecting that data element or any number of data elements may be too high. For example, consider the cost of extracting a data element from the text of a large number of police incident reports. Another factor affecting both the data element availability and cost is the required collection frequency. The more often the data element is needed the higher the collection cost.

Statistical sampling offers one means of decreasing high data collection costs. Instead of extracting the data element for all the police incident reports in the above example, the element could be extracted from a selected set of police incident reports chosen by a statistical sampling plan.

It may not be possible to acquire all of the data elements identified due to the above mentioned constraints of availability, cost, and collection frequency. Therefore, to aid the manager in making decisions as to which data elements should be collected, each data element should be assigned a priority of importance to the evaluation. The manager could then select the data elements most important to the evaluation, within his budget.

#### Reporting Systems

The last factor to consider in the planning of data needs is to identify how and when the data will be reported to the evaluators. To answer this question several important items must be identified. These are the:

- (a) organizations involved in gathering and receiving the data;
- (b) sequence of the data flow; and
- (c) data frequency requirements.

The organizations involved in a reporting system could be several local agencies (e.g., police department), the Crime Analysis Team, the State Planning Agency, and the National Institute. Each of these organizations may have different requirements as to

when the data are needed. For example, data could be collected daily by the local agency, reported monthly to the Crime Analysis Team, and quarterly to the National Institute. Agreements between organizations may be required to get the required data. If the data were required in one form but were being collected in another, procedural changes will have to be negotiated. The sequence of the data flow shows where each organization fits into the reporting system so that a change in the system can be quickly assessed.

To minimize the data reporting system development burden:

- (1) a close coordination between the collecting and evaluating organizations should be established, and
- (2) existing systems should be used whenever possible.

#### Methods of Analysis

The last evaluation planning step is to determine the analytical methods that are to be used for evaluation and to establish the management procedures to execute the analysis. The selection of an analytical method will be a function of each project and program. It is highly unlikely that one method will serve all projects and programs because of project and program diversity.

## II. EVALUATION IMPLEMENTATION

In order to implement the evaluation plan described in Section I, two basic items must be discussed: data and analysis. Data are the inputs to evaluation and analysis produces the output.

### Data

The data specified in the evaluation plan must be collected and then managed for use in the analysis. Consistency in data collection is essential to evaluation accuracy. Data should be collected in the same way each time regardless of who is doing the collecting. To help obtain this consistency in the data collection:

- (a) simple explicit procedures should be prepared to reduce confusion in the collection;
- (b) collectors should be instructed in the meaning of the data collected and the purpose of the collection in order to minimize personal interpretation of the data;
- (c) predesigned forms should be used to reduce collector errors; and
- (d) a data audit should be used to validate the collected data.

The audit is similar to industrial quality control, that is, only a portion of the data are selected (sampled) and validated. A great deal of judgment and interpretation goes into the transformation of information into useful data. Furthermore, data can be improperly refined, forged, and confused with ease.

Quality control or data reliability, therefore, is an essential ingredient to the implementation of a meaningful evaluation.

Collecting the data represents only a portion of the data effort. Something must be done once the data start to arrive. This something is commonly referred to as data management: the storage, maintenance, processing and reporting of the data.

In order to provide for the management of data, several basic questions must be addressed. First, how are the data to be stored--computerized or noncomputerized? Secondly, what data maintenance methods will be used to insure easy data accessibility? Since (a) the data will be collected frequently over a long period of time, and (b) management must be able to easily retrieve them to aid in controlling the direction of projects and programs, data must be stored in a manner to facilitate updating and access.

Thirdly, what processing of the raw data must be performed? Most data will be collected as raw numbers, but needed in terms of computed statistics. Processing requirements (e.g., procedures) for the data must be specified and the means to perform the processing provided (e.g., computer and/or hand calculations).

Fourth, what reports will be needed for evaluation analysis and what is their reporting frequency? Periodic reports summarizing and redistributing the data will be required to manage the projects and programs. When all of these questions have been answered and their requirements provided, data implementation is possible.

## Analysis

Analysis is not a one-time function. It is a process that is to be performed frequently throughout the project or program evaluation period.

- (a) It is a good practice to schedule an evaluation analysis on a periodic basis. In this way, project or program progress can be continually appraised for management monitoring and directing purposes.
- (b) The natural implementation of the project or program itself may generate certain milestones. Evaluation analysis should be performed at these natural review points to assess the past performance and determine the future direction of the project or program.
- (c) Critical events both within and outside of the project or program should generate an evaluation analysis, e.g., the starting of a non-Impact Program project (directed toward the same target population as an Impact Program project) that also can reduce stranger-to-stranger crime and burglary. The purpose of this analysis is to establish a new reference point for future project and program analysis.
- (d) To determine the outcome of the project or program, there should be an analysis at its completion.

There are four primary purposes for analysis defined as:

- (1) Success level determination, which ascertains the degree of project or program success (i.e., effectiveness) in meeting objectives or goals during their implementation and at their conclusion. Interim success levels, therefore, should be stated in evaluation components, as well as overall effectiveness measures.
- (2) Management needs for monitoring and direction, which involves providing program/project management with the information needed to make decisions regarding problems in program implementation, modification and redirection, and continuation:
  - How should problems in implementation be identified and resolved?  
The Evaluation component should ideally contain a list of problems that may develop during implementation and the method that is planned for their resolution.
  - When and how should a project or program be modified or redirected?  
The circumstances under which a project or program may need to be modified or redirected should be outlined as part of the Evaluation Component. A discussion of the evaluation measures to be used and how the project or program may be changed should be included. A minimal requirement is to describe the possible courses of action that may be taken if project objectives or program goals are not being achieved.
  - When should the question of project or program continuation be considered?  
The Evaluation Component should contain a discussion of how the results of the analysis will be used to determine project or program continuation.

Continuation is of concern when project/program success levels fall outside acceptable tolerances, when interim evaluation indicates failure at the end of the implementation period, or whenever subjective judgment indicates the Impact goals will not be met.

In the Evaluation Component, all three questions should be addressed within the context of the particular project or program, with specific milestones indicated when the question of continuation will be considered.

- (3) Contribution to the next level of Evaluation, which assesses the contribution made by projects to programs and by programs to the National High Impact goal. This use of evaluation satisfies the requirement to measure the actual contribution discussed in Goal/Objective Relationship (above).
- (4) Diagnostic, which focuses on the reasons for the level of success achieved, and involves a quantitative analysis of the implementation and results of projects and programs. In addition, diagnostic evaluation of programs calls for measuring the relative contributions of each of its constituent projects. This determination will call for analysis of project results within programs, how well each achieved its objectives and the effect on program success. The analysis section of the Evaluation Component should contain some comments on the flexibility of these levels of contribution and how not achieving, or over-achieving, project objectives will influence program results.

A second use for diagnostic evaluation is analyzing the entire implementation of a project or program and weighing the influence of outside factors. The inclusion of a list of factors expected to contribute to project or program success in the Evaluation Component will enable participants to become more sensitive to developments that may impinge upon project or program success.

### III. MULTIPLE PROJECT/PROGRAM PROBLEM

In Section II, a particular situation was identified that should receive some special attention. The situation is created when more than one crime reduction influence (i.e., project) is simultaneously at work on the same target population (i.e., offender type or geographic area). When this occurs, it may be difficult (in the analysis) to (1) separate out the effects of the individual projects and/or (2) determine, with some confidence, why a certain project success level was achieved. In order to minimize this problem, an effort should be made, whenever possible,\* to isolate each project's or program's impact. This can be done through the selection and design of the projects and programs and in evaluation planning through the determination of appropriate evaluation measures. Whenever possible the selection and design of projects and programs should limit the number and combination of projects and programs impacting the same geographic area at the same time. One method that might be used to accomplish this is to stagger the timing of project implementation.

Another method is to try to control the project or program target population input. For example, the input to a methadone maintenance treatment project could be controlled by restricting project entry to those persons who have had contact with the criminal justice system and voluntarily select treatment as an alternative to the likelihood of prosecution and incarceration for the target crimes with which they have been charged.

Individual project or program effects can be possibly isolated by developing evaluation measures that explain or delineate in more detail the results of the direct evaluation measures for the project or program. This will be difficult in some cases, but the attempt should be made in order to minimize the multiple project/program problem effect on evaluation.

\*"Whenever possible" is defined as whenever the politics allow or the project or program crime reducing effectiveness is not impaired by the attempt to isolate each project's or program's impact.

### IV. EVALUATION COMPONENTS REVIEW

An adequate and successful evaluation component must be comprehensive and accurate. Managerial review should be focused on ensuring that it possesses the following attributes:

- (1) Statement of Goals and Objectives: Does the evaluation component offer a clear statement of the goals or objectives of the project? Goals or objectives are simply summary statements which highlight what the project is designed to achieve. In order to be most useful, they should attempt to quantify desired results. As such, they provide the basis both for the evaluation planning and the evaluation analysis surrounding the project.
- (2) Identification of Evaluation Measures: Does the evaluation component clearly identify those measures appropriate to the project's stated goals or objectives? A project's goals or objectives are the key to the development of the overall evaluation component. Hence, the evaluation measures appropriate to a given project should follow from the project's goals.
- (3) Specification of Data Requirements: Does the evaluation component exhaustively specify the data required for developing the evaluation measures? Data from a variety of sources and dealing with diverse aspects of a project will often be required to form a single evaluation measure. The specification of data requirements, therefore, involves the explicit determination of the data elements required for the evaluation.
- (4) Statement of Data Collection Approach: Does the evaluation component state how the required data will be collected? Responsibility should be assigned for reporting various required data elements. Specific reporting periods ought to be established, and designs for simplified, standardized forms should be included.
- (5) Statement of the Data Analysis Approach: Does the evaluation component present a data analysis plan? The project goals or objectives and their associated evaluation measures must drive any data analysis efforts. The analysis plan, then, should summarize how the data elements are to be combined to determine project results.
- (6) Presentation of Evaluation Reporting Schedule: Does the evaluation component present an appropriate evaluation reporting schedule both in terms of report content and timing? It is essential at both National and Local Levels to have a project evaluation reporting schedule to work from. At the local level, there is a need for timely reporting for project monitoring and continuation purposes. At the National Impact Evaluation Level, there is a need to know what the results of project operation have been and how these results relate to project objectives.

Each of these attributes of an evaluation component are essential for a successful project evaluation. Each attribute builds and follows upon those which precede it in the discussion. As a result, all of the attributes must be present in order to obtain an overall picture of the chances for a successful evaluation.

#### V. SUMMARY

To summarize, this document has discussed the essential steps comprising evaluation planning for the implementation of a project or program plan. These steps are:

- (a) quantify the objectives and goals;
- (b) determine a quantifiable objective/goal relationship;
- (c) develop evaluation measures;
- (d) develop data needs considering requirements, constraints, and reporting; and
- (e) determine methods of analysis.

The document has also described the factors that should be considered in carrying out the evaluation plan and the special care required to evaluate multiple projects and programs designed to impact simultaneously the same target population.

The concepts of evaluation presented in this document could be applied to programs other than the National Impact Program. The technique used to show a quantifiable relationship between project and program might also be used to assess the relative worth and/or to allocate resources among competing projects or programs.

# EVALUATOR'S MANUAL FOR ANTI-CRIME PROJECTS

## I. INTRODUCTION

The purpose of the Evaluator's Manual is to provide a manual for use in evaluation planning, monitoring, and analysis and in the preparation of the Evaluation Component for project or program\* Grant Applications. This document is directed towards those members of the Crime Analysis Team and agencies involved in the performance of the evaluation. The document should also be useful to any outside contractors or consultants hired to perform the evaluation. Some examples of how the information in this document can be used to assist the Impact program evaluators are:

- (1) to plan for the evaluation of the projects and programs,
- (2) to monitor on-going projects and programs, and
- (3) to determine the degree of success of projects in meeting their objectives (or for programs, their goals).

The emphasis in this Evaluator's Manual is on the evaluation of the projects and programs for which the objectives and goals have been quantified. There will be many cases, however, where quantification is only partially possible, thus requiring the use of qualitative judgments in assessing project/program success. In either case the need for rigorous, tightly structured evaluation analyses is paramount and to this end the Evaluator's Manual should be of direct assistance.

LEAA has requested that each Grant Application be accompanied by a detailed description of the proposed project or program evaluation (the Evaluation Component). Therefore, the material in this document is presented within the context of the Evaluation Component of a Grant Application. Within each section of this document, the requirements for the Evaluation Component are given. Methods that will be helpful in the development of these requirements are also presented.

Figure II-1 presents an overview of the evaluation in the context of the Evaluation Component. The evaluation has been divided into three phases: evaluation planning, evaluation monitoring and evaluation analysis. The evaluation steps have been allocated to these three phases in a manner in which it is convenient to present them within the Evaluation Component. It is recognized, however, that there is overlap among the phases. For instance, planning involves both monitoring and analysis.

The succeeding sections of this document describe the ingredients of program and project evaluation planning (the remainder of Section II), identifying the factors which should be considered in implementing the evaluation plan (Section III), and discuss the uses of evaluation analysis (Section IV).

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\* Project and program are used within the context of the Impact program. Project is the lowest level of activity which can be evaluated relative to its objectives as a single entity. A program is a group of projects that will be evaluated together because of their common purpose or goal. For example, several anti-burglary projects, including street lighting, property identification, and special foot patrol teams may be evaluated together in their achievement of the program goal of reducing the burglary rate 24% within a particular district.

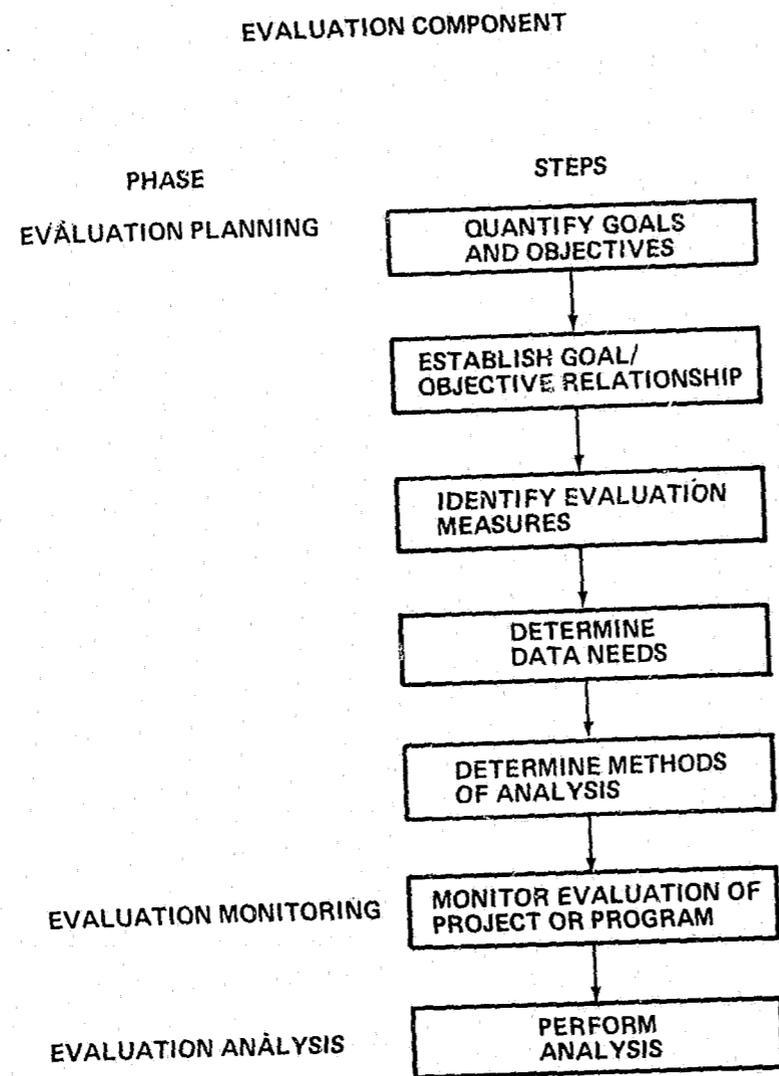


FIGURE II-1  
THE PROJECT EVALUATION COMPONENT

## II. EVALUATION PLANNING

The first phase, evaluation planning, is to determine the success of projects and programs. The following five steps are included in this section:

- (1) quantify goals and objectives;
- (2) establish goal/objective relationship;
- (3) develop evaluation measures;
- (4) determine data needs; and
- (5) determine methods of analysis.

As a matter of convenience, evaluation planning is presented as a set of sequential steps. Evaluation is in actuality a process. The steps are developed both simultaneously and iteratively. For example, if adequate evaluation measures cannot be developed, the evaluator may consider modifying the project objectives or program goals. Also, many of the steps refer to crime specific planning. It is assumed that the crime specific planning and the analysis of alternatives have preceded the evaluation planning.

### Goals and Objectives

The first section of the Evaluation Component is the list of objectives or goals. These goals or objectives should be stated as levels of achievement and quantified wherever possible. The time period during which they will be achieved should also be specified.

To quantify an objective or goal is to state it as a number, a percentage or an index. Suppose one of the objectives of a methadone maintenance project is to divert offenders that are drug addicts from juvenile court. To quantify this objective it is necessary to specify a number or percentage of these offenders that the project will attempt to enroll. This number or percentage is the level of achievement that is expected for the project. In order to arrive at this figure, the evaluator must analyze the target population, the environment, and the resources available to the project. He should refer to the LEAA questionnaire and any other statistics and reports available. He must take into consideration the scope of the project or program, including the personnel and funding.

An example of the quantification of the goal of one program area and the objectives of one of the projects within the area is as follows:

Program Area: Narcotic Addiction Treatment Program

Program Goal: Reduce the number of drug addicts committing crimes that are a target of the Impact program.

Quantification: Reduce the number of drug addicts arrested for burglary and/or stranger-to-stranger crime by 50% during the two-year implementation period.

Project 1: Methadone Maintenance Project

### Project Objectives:

- (1) Enroll persons arrested in above categories in the project.
- (2) Reduce the rearrest rate for persons enrolled.

### Quantification:

- (1) Acquire and treat, on an on-going basis during the next two years, an average of 200 heroin addicts that have been arrested for burglary and/or stranger-to-stranger crime.
- (2) Reduce their rearrest rate to 10%.

The Evaluation Component should contain the quantified objectives or goals as well as the analysis that resulted in their choice, including the crime specific data on which the objectives or goals were based and the constraints of the particular project or program area.

### Establishment of Baseline Data Values

Values must be developed for the data elements defined that are required for a reference or starting point for the evaluation. For example, if one objective of a methadone maintenance project is to enroll 40% of the addicts that are arrested and charged with crimes that are a target of the Impact program, then the number of addicts currently arrested for stranger-to-stranger crime and burglary is necessary for a reference point.

The evaluator must determine which data values are required and what the time frame should be. For example, if the other objective in the previous example is to decrease the rate of recidivism\* for addicts enrolled in the project, the evaluator will need to know what the present rate of recidivism is. If this has not already been determined, he may decide to use as a baseline value the data from the year prior to project implementation (e.g., the rate of recidivism was 60% for addicts arrested and charged with Impact crimes during the previous year). If these data are not available, he may decide to use control grouping to indicate project success. He will select a portion of the addicts that are not participating in the project, and track their history (rearrest, employment, etc.) as well as track the addicts that are participating in the project.

Most of these data values will be available from the LEAA questionnaire or from local sources such as the police department, courts, etc. In fact, many of these data values should be included in the grant applications as part of the project justification. If the data are not already available and are required for the evaluation, their collection can be part of the project or program implementation. For example, if the delays between various court appearances are not currently recorded, the first three months of a court delay program could involve the recording and tabulating of these delays to establish a reference point for reducing court delay. If the baseline does not already exist, the evaluation component should contain an outline of the method to be used to collect it.

\*Recidivism would need to be defined as part of the evaluation component.

### Goal/Objective Relationship

The purpose of establishing goal/objective relationships is to demonstrate that individual projects will contribute to the achievement of the Impact goals of reducing stranger-to-stranger crime and burglary. In some cases, this relationship can be shown directly. In other cases the project/program structure can be used to show the relationship. In still other cases, commonly held assumptions will need to be employed. The following three examples illustrate these situations:

#### (1) Direct Relationship:

The objective of a Special Crime Attack Team (SCAT) is to reduce burglary by a certain percentage in several precincts. This objective can be directly related to the reduction of burglary city-wide.

The SCAT project may be evaluated as part of an anti-burglary program; however, the benefit of this project to the overall Impact program can be established independently of its incorporation into a program for the convenience of evaluation.

#### (2) Relationship through Project/Program Structure:

The goal of a Youth Services Program (YSP) is to reduce the number of Impact crime offenses committed by persons under 25 (this goal would need to be quantified depending on the present arrest rates within the city). The objective of the "Neighborhood Team Program", one of the projects within the YSP, is to enroll students into the other projects that are a part of the YSP. Although this objective cannot be directly related to the Impact goals, its relationship can be established through the program goal of reducing Impact crime offenses for youth.

If analysis of the crime picture in the city has revealed that a large percentage of burglaries are committed by school age youth during school hours, and that there is a high percentage of nonattendance at the schools, a program planner could assume that truancy is contributing to the youth crime problem in the city. He would, therefore, want to include projects dealing with truants as part of the Impact program. As part of the "Youth Services Program", therefore, a special effort should be made to identify and enroll truants from the area schools. The "Neighborhood Teams Program" could offer presentations and workshops to inform the students of the services available--work-study, counseling, remedial education, and skill training projects. Although an objective of "enrolling 500 truants within the two year implementation period in one or more of the projects of the YSP" does not directly relate to the reduction of crime, the achievement of the objective will contribute to a program goal of "reducing the number of Impact crime offenses committed by youth in Precincts 2 and 3 by 35% during the two year implementation period".

(3) Commonly Held Assumptions:

The objective of an automated court calendaring system is to reduce court delays. It is a commonly held assumption within the criminal justice community that a reduction in court delays will cause a decrease in crime. This assumption can simply be cited within the Evaluation Component. The measures for the project should document this decrease as far as it is possible. The deterrent effect of court delays obviously cannot be measured; however, the number of offenses committed by persons on release and the conviction rate can be used as surrogate measures.

Measuring Contribution of Projects to Program Goals

For projects that are being evaluated together as parts of a program, the evaluation should attempt to determine the relative contributions of the various projects. This determination will differ depending on the type of program. The following discussion is patterned after the LEAA Guidelines for the Impact program which discuss projects and programs in the following four main areas:

- (1) Prevention and Post-Adjudication,
- (2) Deterrence, Detection, and Apprehension - Community Action,
- (3) Deterrence, Detection, and Apprehension - Police Action, and
- (4) Adjudication Process.

The second and third areas will be combined.

(1) Prevention and Post-Adjudication Programs:

For programs within the area of "Prevention and Post-Adjudication", the goals will be related to target groups of offenders or potential offenders for the purpose of decreasing the number of crimes that they commit or of preventing them from committing crimes. The best way to determine how much each of the projects contribute to the program goals is to separate the influences of the various projects, i.e., aim each project at a different part of the target population. For example, in a Correctional Service Program, a part of the inmate-population at an institution could be enrolled in a skills training project, another part in a job placement project (upon release), and another part could receive special counseling. Another example would be a Narcotic Addiction Treatment Program in which one project would involve court diversion, another would assist "walk-in" patients (on an "out-patient" basis), and a third would be a therapeutic community.

For some programs, this approach may be politically infeasible or even undesirable from the point of view of results. For example, a "Truant and School Drop-Outs" program may offer a variety of services through several projects. For the purposes of reducing crime, it may be undesirable to restrict persons to participation in one project only. In this case, the detailed evaluation of the results on the target population, supplemented by

attitudinal indicators, may help determine the relative contribution of each project.

When it is possible to separate the target populations of the projects, a common measure of the rate of recidivism (which of course would need to be defined) or the rate of first offenses (arrests) can be used to indicate the contributions of the projects to program success.

(2) Deterrence, Detection and Apprehension Programs:

For programs within the area of "Deterrence, Detection, and Apprehension", goal achievement will be related to the numbers of crimes committed in target areas, i.e., geographic areas such as precincts and districts. Therefore, the best way to measure the effect of various projects is to implement them in different geographic areas. For example, in an anti-burglary program, Improved Street Lighting could be used in one precinct, hardening of potential targets in another, and Project Ident in still another. This, of course, may be politically impossible as well as undesirable from the point of view of crime reduction. In the highest crime areas, several projects may be necessary to have a substantial impact on the crime rate. Wherever possible, however, projects should be implemented in different areas so the common measure of crime rate can be used to determine their relative contribution to program success. If this is not possible, an analysis of the efficiency of the various projects should aid in the determination of how much each of them contributed to program success.

(3) Adjudication Process:

For programs within the area of "Adjudication Process", the greatest concern will probably be to estimate the expected contributions of various projects to the reduction of court delay time. Whether this is possible or not will depend on the nature of the projects and the data available to describe the baseline condition of court processing, i.e., what are the average delay times (both mean and median could be used) between the various steps of court processing and what is the size of the caseload at each step? If these data are not available, the program planner should include its collection in one of the projects. The data will then be available to modify the projects selected if they are not solving the most pressing problems of the court system.

If the data are available on the delays at the various steps of court processing, they can be used to estimate the effect of most court projects. Projects such as additional judges (and related court personnel) and court diversion projects will "take over" an estimated number of cases from the present system. Projects such as the use of consolidated motions and the implementation of an individual calendar with time guidelines for processing steps will reduce the delay time between specific steps of processing. The following example illustrates this situation.

The mean delay between arrest and sentencing for felony cases is currently eight months. The goal of the "Court Delay Program" is to reduce this time by 20%. The mean delay between arraignment for nonjury trials (slightly longer for jury trials) is currently three months. Detailed analysis of the cases has revealed that a large part of this delay of three months is attributable to the filing of multiple motions. One of the projects, therefore, will be the use of consolidated motions. Along with the temporary additional judges, etc., to relieve the backlog, this delay should be reduced to two months. Therefore, this project will reduce court delays by 12% (one month is 12% of eight months). Another way to state the relationship is that this project contributes 60% (one month is 60% of 1.6 months, the reduction of delay desired) towards the Court Delay Program. Similarly, analysis could establish the contribution of the other projects.

#### Evaluation Measures

The third step in the preparation of the Evaluation Component is to identify the evaluation measures for the project or program under consideration. One or more evaluation measures will be used to determine the level of achievement for each objective.

Most of the measures chosen will probably be quantitative (can be stated as numbers, percentages, or indices). However, some will be qualitative, in which judgment or expertise is used to "measure" the level of success of certain aspects of a project or program.

The evaluation measures should be divided into three types:

- (1) Effectiveness Measures - Effectiveness measures are used to indicate the degree of success of a project or program in dealing with the target problems. These measures are "end" oriented.
- (2) Efficiency Measures - Efficiency measures are used to indicate how well the project or program has been implemented (according to its plan). These measures are "means" oriented.
- (3) Attitudinal Measures - Attitudinal measures may be helpful in interpreting the degree of project success.

The Evaluation Component should contain a list of these measures.

Examples of evaluation measures are given below. The measures are for a community-based rehabilitation project that assists in the rehabilitation of offenders in jail by providing them with community volunteers on a one-to-one basis. The volunteer acts as a friend to the offender and renders whatever assistance is possible to him and his family. The objectives of the project are also given to show how the measures relate to project objectives. The example follows:

Project: Community-Based Rehabilitation Project

#### Objectives:

- (1) Enroll 50% of the offenders that are in the jail for at least a month and who have been convicted of crimes that are a target of the Impact program.

- (2) Reduce the rate of rearrest for the offenders enrolled in the project to 10%.

#### Effectiveness Evaluation Measure:

The number of rearrests among the offenders that are released and enrolled in the project.

#### Efficiency Evaluation Measures:

- (1) The number of offenders in the jail enrolled in the project.
- (2) The number of volunteers enrolled in the project.
- (3) The number of offenders that continue their education after release.
- (4) The number of offenders that become employed after release.

#### Attitudinal Measures:

- (1) The attitude of the volunteers.
- (2) The attitude of the offenders.

A list of factors outside of the project or program scope that may affect success should also be included in the evaluation measures section. Those factors may be critical in the determination of the reasons for the achievement of project objectives or program goals. Examples of factors that could influence the achievement of the project objectives in the previous example are:

- (1) A substantial increase in the number of persons entering the jail system that have been convicted of Impact crimes.
- (2) The attitude of the correctional officers towards the project.

#### Data Needs

The fourth step in the preparation of the Evaluation Component is to develop the data needed to perform an evaluation. This data collection process will require extensive planning, therefore, it has been divided into several steps under Project/Program Data (below).

Data that are necessary for an evaluation of the outside influences on project success are equally important but the planning for their collection is less structured. This is briefly discussed under Data External to Project/Program (below).

In many cases, the data required for evaluation will be the same as the data required for adequate Program Management. The data should also meet the needs of the National Level Evaluation of the Impact program to be performed by the National Institute/MITRE.

#### Project/Program Data

The steps involved in the planning for and development of project/program data for evaluation and program management are:

- (1) define the data requirements,
- (2) determine the data constraints,

- (3) develop a data collection system,
- (4) determine the data management requirements, and
- (5) establish a process for data validation.

Each step that must be developed for the Evaluation Component will be discussed as a section.

Data Requirements. The first step in the development of the project/program data is to identify the data that will be required to perform the evaluation. Key data terms should be defined. The data elements should also be rated according to their importance to the project or program evaluation.

Thus, the steps involved in defining the data requirements are:

- (1) List the data elements required.
- (2) Define key terms. (Note: Refer to LEAA Planning Guidelines and Programs to Reduce Crime and contact the National Institute/MITRE with any questions.)
- (3) Give the data elements a priority rating. The following rating may be useful:
  - (a) Primary (P) - necessary to measure effectiveness.
  - (b) Secondary (S) - necessary to measure efficiency.
  - (c) Tertiary (T) - would be helpful for complete evaluation of project or program.

Data Constraints. The second step in the development of project/program data is to determine the constraints for obtaining the identified data elements. Such constraints fall into four categories:

- o the existence of the data,
- o the availability of the data to the evaluator,
- o the reliability of the data, and
- o the cost of collecting the data.

Each category will be discussed separately; then some considerations that should be taken into account when making the decision of which data elements to collect will be given.

- (1) The existence of the data. For each data element, determine the:
  - (a) source of the data (police, jail, etc.)
  - (b) form of the data (coded, narrative, etc.)

If data elements do not currently exist, how important they are to the evaluation should be considered. If the data are considered essential, an attempt should be made to collect the data as part of the normal collection procedures.

- (2) The availability of the data to the evaluator. Some data elements may not be available to the evaluator because of their sensitivity (e.g., data regarding defendants processed in Juvenile Court may not be available).
- (3) The reliability of the data. The evaluator should attempt to ascertain how reliable are the reports from which the data elements will be extracted.

If the evaluation is to be based on this data, the data must be reported consistently and accurately. Some suggested approaches would be to study present reports and to discuss these reports with the people who receive them. For data to be collected for the first time, the reporting structure through which it will be collected should be considered.

- (4) Cost of collecting data. If the data exists but are not in a usable format or if the amount of data that must be collected is large, the cost to collect it should be estimated. Thus, the factors that cause a cost estimate to be necessary are:
  - (a) the format of the data (e.g., hand-written police incident reports from which the data elements must be extracted), and
  - (b) the amount of data (e.g., there are 3000 incident reports per month).

The factors that must be considered in estimating the cost in the above example are:

- (c) The length of time required to extract the data (e.g., decode reports). This would involve personnel costs.
- (d) The number of reports that should be included (e.g., statistical sample).

Other factors that may enter into a cost estimation would be the cost of designing and printing new forms.

After the existence, availability, reliability and cost of collecting the data are determined, the evaluator must decide which of the data elements will be collected for the evaluation. The main consideration will probably be, which data are essential to determine if the project objectives or program goals have been met. Thus, in making the decision of which data elements to collect, the evaluator should consider:

- o Has the data been established as necessary to measure the success in achieving the project objectives or program goals?
- o Is the data reliable?
- o Is the cost justified? (The answer will be a subjective determination of the evaluator and will depend on the total funds available and the other costs that will be involved in the evaluation.)

Data Collection System. The third step in the development of project/program data is to establish the reporting system through which the data is collected. The questions that must be answered in the development of the data collection system are:

- o Who will collect the data?
- o How often will the data be collected?
- o In what format will the data be collected?

A discussion of the considerations involved in answering each of these questions follows:

- (1) Who will collect the data? The agency(s) as well as the particular persons or section of the agency that will collect the data should be

identified. For a project, the person(s) who will forward the data to the CAT should be identified.

If the data collection involves several agencies and/or people or sections, a flowchart depicting the information flow would be helpful. Figure II-2 gives an example of such a flowchart for a Truants and School Dropouts Program.

- (2) How often will the data be collected? The frequency with which the data is to be collected will be determined by: (1) the requirements of the agency(s) as to when the data are needed for project or program implementation, and (2) the requirements of the agency(s) or CAT for evaluation (i.e., when the evaluations occur).

The frequency of data collection should be noted on an Information Flow diagram as illustrated in Figure II-2.

- (3) In what format will the data be collected? All forms or reports that will be used for data collection should be identified in the Evaluation Component and an example of each should be included.

Whenever possible, standardized, simplified forms should be designed. The forms and/or reports that will be used should also be included in the Information Flow diagram (Figure II-2).

Data Management. The fourth step in the development of project/program data for evaluation is to determine how the data will be stored and what the processing requirements will be. In addition, the management and evaluation reports that will be used to show the project or program results must be designed.

- (1) Data storage. The decisions that must be made regarding data storage are:
- Should the data be aggregated for storage?
  - Should the data be computerized?
- The evaluator must consider the amount of data involved and how the data will be used.

For a non-automated data system for a program area, it may be advantageous to immediately aggregate the data (before it is filed). For example, in the Truants and School Dropouts Program the evaluator may decide to immediately consolidate the attendance reports for school systems. If there are a great many reports involved, however, the evaluator may decide to computerize the data, so that the data aggregation can be part of the computer processing.

The plan for how the data will be stored should include a filing system. For example, in a community-based rehabilitation project, reports may be filed for offenders, by offender ID, and for volunteers, by volunteer ID, with a cross reference file that gives complete identification of the persons involved.

INFORMATION FLOW FOR TRUANTS AND SCHOOL DROP-OUT PROGRAM

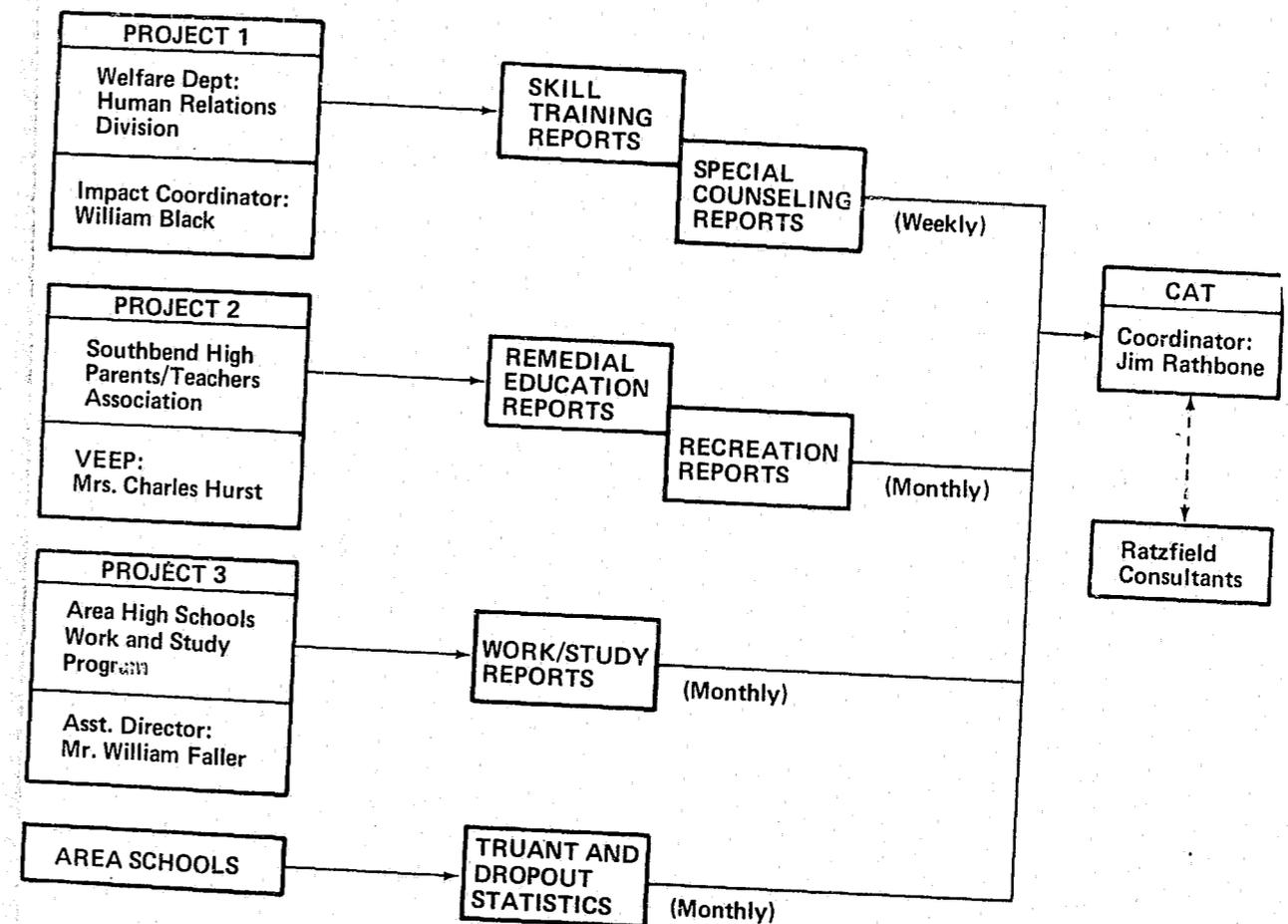


FIGURE II-2  
INFORMATION FLOW FOR TRUANTS AND SCHOOL DROP-OUT PROGRAM

- (2) Data processing requirements. The processing of the data will depend on the needs for success level evaluation. Data may need to be aggregated, if it has not already been aggregated, as part of the data storage procedure. Data from various sources may be combined into summary reports. Statistics may be calculated.

The processing of data will partially depend on the reports required that are outlined in the next section. Both the processing requirements and the means to perform the processing (e.g., computer program or hand calculation) should be included.

- (3) How will the data be reported? The management and evaluation reports that will be generated as part of the evaluation should be listed and described in the Evaluation Component. The frequency and purpose of each should be included. Other person(s), in addition to the evaluator, that will receive such reports should be identified. It would also be helpful to include the layout or format of each report in an appendix to the Evaluation Component.

Data Validation. The last step in the planning for project/program data is to develop a means of checking the accuracy and the validity of the data. The purpose is to ensure that the evaluation is based on a firm and valid foundation. Many of the projects and programs will involve the reporting of large amounts of data. A means for checking that the data are being reported in the prescribed format and that the data are being reported accurately should be developed. For example, if police incident reports include a new geographic locator such as block face, the evaluator may wish to check both that the block face is being used and that it is being used accurately.

The questions that need to be answered to determine which data needs to be checked are:

- o Which data will affect project or program results the most if it is in error?
- o Which data reports are most likely to contain errors?
- o Which of the above reports are feasible to check?

The evaluator should consider primarily data that are used to measure objectives or goals. If this data is an integral part of an on-going system and critical to the project or program itself, it will be more likely to be reported accurately than if it is new and/or required for the evaluation only. The evaluator must also determine if it is possible to check the data. For example, a jail may not allow project personnel to check the accuracy of their records.

After determining which data should be checked, the evaluator must develop the procedure to do so. The following questions need to be addressed:

- (1) How frequently should the data be checked?
- (2) How much of the data should be checked?

- (3) Who is responsible?

- (4) How should the results be reported?

If there is a large amount of data to be checked, sampling techniques may be used.

In developing sampling techniques, the evaluator must consider sample size and sample selection criteria. He must designate a person responsible and outline a method for reporting the results to him. For example, the assistant director of a youth project may randomly pull five reports on persons participating in the project each month and check their accuracy by contacting the persons themselves as well as checking with project personnel that work with them and the police department. He should consider whether the reports adequately reflect the "real-world" situation. For instance, he may wish to include part time employment in measuring employment success. He may also check the summary report every three months by comparing the totals given to the records on file. It may be sufficient to have the assistant director give the evaluator a hand-written report, listing the reports that he has checked and any errors he has found.

The Evaluation Component should contain a description of the data that will be validated and the procedure that will be used.

#### Data External to Project/Program

In planning the data needs for project or program evaluation, data that are outside of the scope of the project or program, but which may influence results, must be considered. A description of the types of information that should be collected and a means of collecting this information should be established. A chronological log with the date and a description of the event may suffice. One person should be designated to maintain this log.

The types of information that might be included are:

- (1) changes in policy (e.g., police department, metropolitan, regional);
- (2) changes in administration (e.g., police chief, mayor, project director);
- (3) changes in economic conditions (e.g., unemployment rate, new industries in area);
- (4) developments in other urban programs (e.g., model cities);
- (5) urban developments (e.g., urban renewal projects);
- (6) changes in criminal justice system or law (e.g., court reorganization, preventive detention); or
- (7) changes in project or program environment (e.g., the price of heroin).

#### Selecting Methods of Analysis

The fifth step in the preparation of the Evaluation Component is to designate the analysis methods and procedures that will be used. Selection of analysis methods for the evaluation will depend upon the analysis use (as described in Uses of Analysis below), project or program design, type of evaluation measures (i.e., quantitative, qualitative), and the expected reliability, accuracy, and completeness of the evaluation measure data. Analysis can be illustrated by a court delay project where the objective is to reduce delay

by 10%." The success level determination could be accomplished in a strictly quantitative way by calculating the average days delay/case for all cases during the evaluation period and the average days delay/case for a similar period before the evaluation period, forming a percentage change in the average days delay/case and comparing this percentage to the project objective of a 10% decrease.

However, a diagnostic analysis of the same project would require an investigation of other factors (e.g., police project to increase the interception and arrest of burglaries, change in court management, change in criminal status or procedures) which appear to have an affect on the percentage delay change. This analysis would involve the integration of quantitative and qualitative results.

Project and program design can affect the methods of analysis through control grouping. For example, a rehabilitation project for incarcerated juveniles could be set up such that a portion of the target group uses one rehabilitative technique, while a second group uses another, and a third group follows the present procedures. In this case, statistical experimental design techniques might be applied. If control grouping is not built into the design of the project or program, then it is highly unlikely that such statistical techniques could be used in a rigorous manner.

Standard basic statistical methods, such as mean, mode, median, and variance, can be used when evaluation measures are quantitative. Comparison of quantitative measures is also a useful analysis technique. Qualitative measures, on the other hand, are not as easily compared. Expert judgment is an often-applied analysis method for qualitative measures. This judgment can be used directly or indirectly, as in quantifying qualitative data, e.g., establishing the relative weights for a crime serious index.

Data reliability, accuracy, and completeness could affect analysis methods and procedures chosen. Suppose it was known that the days delay data for the time period prior to the court delay project were incomplete and inaccurately collected. Calculating average days delay for the period would be insufficient analysis without considering some estimate of the accuracy.

Questions that should be addressed when selecting analysis methods and procedures are:

- (1) How will each of the evaluation measures be calculated (including what information the measures will be based on)?
- (2) How will the measures be combined (if they are) for project or program evaluation?

In answering question (1), the first step would be to list how each of the evaluation measures will be calculated, i.e., from what data and using which method. For example, in a Vocational Rehabilitation Project, the drop-out rate will be determined as the ratio of persons that have left the project after two weeks to the number of persons that have stayed in the project at least two weeks, since project inception.

In most cases, the statement of how the measure will be calculated is very straightforward. This is an essential step, however, to ensure that the measures are accurately defined and that the required data are being collected.

For qualitative measures, the factors that will be included should be listed as well as how these factors will be combined. For example, in many projects the attitude of the participants will be a key ingredient of success. The evaluator must decide how to measure this attitude. A questionnaire could be designed for this purpose. Judgments of the project director and other key people may also be included in the evaluation analysis. The evaluator, as well as the project director, needs to thoroughly analyze how qualitative factors influence project or program results and to establish the relative influence of each factor. The qualitative measures of project or program results will often be critical in determining why certain levels of success were achieved and should be an integral part of the evaluation.

### III. EVALUATION MONITORING

The second phase of evaluation is evaluation monitoring. Evaluation monitoring involves both the monitoring of the project or program and the monitoring of the implementation of the evaluation plan. A process should be established to ensure that the project or program is being implemented as it has been described in the grant application and that the evaluation plan is being carried out as it has been specified within the Evaluation Component. In addition, the scope of the project or program and of the evaluation plan should be re-evaluated. A procedure should also be specified for deciding if any corrective action needs to be taken as a result of the monitoring. For example, the project director(s), evaluator(s), and other key personnel may need to meet to decide what action to take.

The questions that need to be addressed in evaluation monitoring should include:

- o Has the project or program, including the evaluation component, been implemented, as described?
- o Are the objectives or goals being met?
- o Should the project/program, or evaluation plan, be modified?
- o Should the success levels be changed?
- o Have any unexpected problems arisen?

The evaluation component should include an outline of the procedure that will be followed to answer these questions during project or program implementation. The procedure should include:

- (1) Who will perform the monitor function?
- (2) How frequently will specific checks involved in monitoring be made?
- (3) How will the information be obtained?

In addition, it would be helpful to include a description of the aspects of the project or program that will be monitored. For the purposes of clarity, the monitoring function will be described under the following sections within this document:

- (1) Project or program implementation,
- (2) Evaluation component implementation,
- (3) Project or program scope, and
- (4) Evaluation component scope.

#### Project or Program Implementation

The main consideration for project or program implementation monitoring is to ensure that the project or program is being carried out as planned. The types of questions that should be considered here are:

- (1) Are the specified resources being used?
- (2) Are the specified operating techniques being applied?
- (3) Have the personnel (staff) requirements been met?
- (4) Are the project objectives or program goals being met?
- (5) Have any problems arisen?

The project or program description within the Grant Application should be adequate for this purpose. Any changes during implementation should be documented.

For a project, the evaluator will need to observe the project's operations and talk to the people involved. For example, to check the implementation of a Halfway House, the evaluator may visit the house and talk with both the staff, including the director, and the residents. He may also wish to talk to community members as well as to the administrator at the Welfare Department that is responsible for the Halfway House. The evaluator should establish a schedule for conducting these interviews and list the types of questions that he needs to ask.

For a program, the evaluator should develop a procedure to monitor each of the projects within the program. It may be sufficient to check with each of the evaluators and/or project directors on a periodic basis. If this is not sufficient, the evaluator may either request written reports or visit the projects himself. The frequency of these activities should be determined. An example follows:

For a Multi-Model Drug Program, the evaluator may request that the director of the methadone treatment center, the detoxification center, the diagnostic/treatment center, and the Halfway House send him a narrative report every three months on what has occurred during that particular time period. These reports would be in addition to the regular management and evaluation reports received. Since the reports are narrative, a description of variations to the original implementation plans would be included. The evaluator may wish to specify some of the types of information that should be included in this report. The evaluator may require a fairly complete description of the entire project implementation in the first report and thereafter only require a brief discussion of the project development, with a description of any changes.

For example, for the report from the diagnostic/treatment center, the first report should contain a complete description of the operation, including the staff and facilities and the tests and treatments used. Succeeding reports would contain descriptions of additional staff and facilities, new tests and treatments, and any changes in approach or operation of present treatment facilities.

Project or program monitoring will be an extensive process and entail a detailed review of the entire project or program implementation. For the purposes of the Evaluation Component, however, the evaluator need only outline the procedure (the who, when, and how listed in Section III EVALUATION MONITORING) that will be used for monitoring, the procedure that will be used to determine if corrective action needs to be taken, and perhaps indicate some of the aspects of the project or program that will be included.

#### Evaluation Component Implementation

The purpose of monitoring of the implementation of the Evaluation Component is to ensure that the plans for evaluation are being carried out as they have been specified. The questions to consider in this area are:

- (1) Are the evaluation data being collected according to the prescribed format and time schedule?
- (2) Are accurate records being kept for evaluation?

- (3) Is the analysis being performed in the manner outlined?
- (4) Are the specified management and evaluation reports being generated?

The evaluator should establish a procedure to monitor the implementation of the evaluation plan on a regular basis. The steps involved would be the same as those required for monitoring a project or program. The procedure should include the identification of who will check the evaluation implementation, how frequently the checking will be done (there may be both announced and unannounced visits), and how the information will be obtained. The aspects that will be checked should also be specified.

For the Halfway House discussed in the previous section, the evaluator may choose to visit the Halfway House every month until the project gets underway and less frequently thereafter to review the data collected and records maintained. He may also decide to review the management and statistical reports sent to the Welfare Department, checking them against the specifications in the Evaluation Component. The evaluator should be receiving the management reports as part of the evaluation process. He will probably need to visit the site of the project to check the data collection and records maintained. If there are a large number of projects involved, however, he may request that the project directors submit several data records to him periodically. It will expedite the implementation of the monitoring function to specify the procedure that will be used within the Evaluation Component.

#### Project and Program Scope

The purpose of monitoring the scope of a project or program is to ensure that the implementation and the expected success levels are reasonable and realistic in view of the changing environmental conditions. For example, if the objective of a Community-Based Rehabilitation Project has been established to enroll 50% of the offenders in the jail, it may not be possible to meet this objective if there is a substantial increase in the number of offenders that enter the jail. Or, as another example, if the above project relied on extensive visits of volunteers to the jail and a new head correctional officer imposed the restriction of allowing volunteers to visit the jail only once every other week for 15 minutes, the project could be changed to put a greater emphasis on working with offenders after they have been released. The project objectives and evaluation measures would also probably need to be changed to correspond to the change in scope.

In summary, the monitoring of the scope of a project or program involves the analysis of the project or program implementation in relationship to its success in meeting the stated goals or objectives and in relationship to the environment of the project or program. The questions that need to be addressed within this section are:

- (1) If the goals or objectives are not being met, what are the reasons?
- (2) If the project or program is not being implemented as planned, how is it different?
- (3) Has the environment of the project or program changed?

The evaluator obviously cannot foresee problems that will arise during implementation or what the success of the project or program will be. In the Evaluation Component therefore, he need only outline a procedure for reevaluating the project or program plans. This reevaluation may be performed by him in conjunction with the project director(s). The procedure should also specify when the reevaluation will occur and should include a thorough analysis of the entire project or program implementation, using the implementation plans as a guideline.

#### Evaluation Plan Scope

The purpose of monitoring the scope of the evaluation plan itself is to ensure that it is an effective tool in analyzing the success of a project or program. If a project or program is changed substantially, obviously the evaluation plan will also need to be changed. Even if a project or program is implemented as planned, the evaluator may determine that either the evaluation procedures are not feasible or that the evaluation results are not an adequate indication of project or program success. The following example illustrates a procedure that is not feasible.

For a police patrol project, if all incident reports are being processed, the number may become so great that it is not possible to ensure that the reports are being decoded and aggregated accurately. The evaluator may decide to sample the reports on some statistical basis in lieu of processing all of them.

Another example involves a change in the project objectives. For a Community-Based Rehabilitation Project, the objectives have been established to enroll a certain percentage of the offenders in the jail and to reduce recidivism among those offenders. During project implementation, however, it may be determined that a more significant measure of success would be the number of offenders enrolled in the project that have either obtained employment or have entered education programs after their release from jail. Therefore, the project objectives and the evaluation measures could be changed to more accurately reflect the success of the project.

Monitoring the implementation of the evaluation plan will involve reviewing the evaluation procedures. The determination that the procedures have been implemented as planned is considered with Evaluation Component Implementation. Here the question is: Are they the correct procedures?

Monitoring the implementation of the evaluation plan also involves reviewing the evaluation measures. The question of whether the goals or objectives are being met is considered in Project or Program Implementation. The determination of how realistic the goals or objectives are is considered in Project or Program Scope. Here the question is: Do the evaluation measures adequately reflect project or program success?

In addition, the following questions need to be addressed within this area:

- (1) Should any additional data be collected?
- (2) Should the procedures for the collection and processing of the data be modified?

(3) Should the analysis methods be modified?

(4) Are the results of the project or program being interpreted accurately?

(5) Should the expected success levels for the project or program be changed?

As for the previous areas of monitoring, it is impossible for the evaluator to foresee all the problems that will arise. In the Evaluation Component, therefore, he need only outline the procedure that will be used to analyze the evaluation plan itself. The person(s) responsible should be designated as well as when the analysis will occur. The analysis should include the entire evaluation plan.

#### IV. EVALUATION ANALYSIS

The third phase of evaluation is evaluation analysis. The purpose of evaluation analysis is to ascertain the degree of success of projects and programs and to determine the reasons for this success. The Evaluation Component should contain a description of the analysis, how the analysis will be implemented, and how the results of the analysis will be used.

The description of the evaluation analysis procedure involves answering the following questions:

- (1) Who will perform the analysis?
- (2) When will the analysis be performed?
- (3) How is the analysis to be used?
- (4) How will the analysis be performed?

The remaining sections of this document are organized to answer the above questions.

##### Responsibilities

The section on responsibilities is primarily a description of who will perform the analysis. The persons who will perform the analysis of the projects and programs should be designated as part of the Evaluation Component.

For a program, the persons that are responsible for forwarding the analysis reports and/or raw data for each project that is part of this program should also be designated.

##### Timing and Extent of Analysis

The analysis will be performed throughout the project or program evaluation period. How frequently will be determined by management requirements for monitoring and direction, evaluation needs, and critical events that may occur during implementation. Thus, evaluation analysis should be implemented:

- (1) At periodic intervals;
- (2) When specific milestones are achieved;
- (3) When critical events occur; and
- (4) When a project or program is completed.

The determination of a schedule for analysis will depend on the nature and the phasing of the particular project or program. Since a project or program is not expected to achieve its objectives or goals until the end of the implementation period, interim success levels must be established. These interim success levels must be stated in terms of the project objectives or program goals. These levels indicate the extent to which a project is expected to reach its objectives (or for a program, its goals) at that particular time. Moreover, for some projects and programs, there will be a very slow start-up time, therefore, a major evaluation would be of little use for six months or longer. Some of the evaluation measures, however, may be checked earlier.

The following example illustrates both interim success levels and slow start-up time. A Post-Release Halfway House is being set up with the objectives of (1) enrolling 40% of those released from the prison system and (2) reducing rearrests among those enrolled to

10%. It will probably be close to a year before both objectives can be meaningfully used to measure project success. Interim levels of achievement for the first objective could be established, however, and used to evaluate project success during the first year. For example, if it will be three months before the Halfway House is fully staffed and operable, then interim levels of achievement of enrolling 5% at the end of six months and 15% at the end of nine months could be established.

An example of the use of a specific milestone for project evaluation follows. The success of a Juvenile Recreation Project may partially depend on the number of juveniles participating. An assumption has been made that a minimal number of participants, which will allow a greater variety of activities to be offered, will affect project success. Based on this assumption, the first interim evaluation will be held one month after there are 50 juveniles participating in the recreation project.

Critical events which will require an additional interim evaluation are events that may cause a change in the baseline data or in the environment in which the project or program is being implemented. For example, a Labor Department Project to train and find employment for a large number of delinquent youth (that will sponsor projects for the school system) may affect a Truant and School Drop-Out Program.

The Evaluation Component should contain the schedule for project or program evaluations and the degree of success expected at those particular points in project or program implementation. In most cases, it is not possible to foresee critical events that may affect implementation. If these events are known, however, they should be included. The extent of the evaluation at the various intervals should also be indicated.

The timing of the evaluations will, of course, need to meet the needs of program management and planning. It would not be unreasonable to schedule an evaluation three or four months prior to the beginning of the fiscal year for the specific purpose of justifying the continuation of the project with LEAA or other funding.

#### Uses of Analysis

The next step in the preparation of the analysis section of the Evaluation Component is to define how the analysis will be used during project or program implementation.

The analysis is used for four purposes:

- (1) Success level determination;
- (2) Management needs for monitoring and direction;
- (3) Assessment of contribution to the next level of evaluation; and
- (4) Diagnostic.

How the analysis should be used for each of these purposes is discussed below:

#### Success Level Determination

The use of analysis for success level determination involves ascertaining the degree of a project in achieving its objectives (or for a program, in achieving its goals). This level of success is indicated by the use of effectiveness evaluation measures. Since a project or program is not expected to achieve its objectives or goals until the end of the

implementation period, interim success levels must be established (as explained in Timing and Extent of Analysis). These levels will be used during the interim analysis to determine if the project is meeting its objective (i.e., is the project likely to meet its objective by the end of the implementation period).

Because of project or program "start-up" time or the difficulties that may occur during implementation, the evaluator may wish to use interim success levels as guidelines, allowing some leeway in their achievement. This flexibility can be obtained by affixing tolerance limits to the interim success levels (i.e., to the achievement of the effectiveness evaluation measures). Thus, if the project is within a certain percentage of meeting these levels, it is considered successful.

The establishment of interim success levels along with how they will be interpreted is an important part of the evaluation planning. The established interim success levels, with graphs or other descriptive interpretation, should be included in the Evaluation Component.

#### Management Needs for Monitoring and Direction

The director should look to the evaluator for assistance in developing plans for monitoring and directing the project.

The questions to ask when determining how the results of the analysis will be used for management needs for monitoring and direction are:

- (1) How should problems in implementation be identified and resolved?
- (2) When and how should a project or program be modified or redirected?
- (3) When should the question of project or program continuation be considered?

Considerations that should be included in answering each of the above questions are as follows:

- (1) Implementation Problems. The difficulty of foreseeing problems that may occur during implementation does not preclude the necessity of planning for their resolution. The types of problems that may occur should be indicated and the possible courses of action to resolve these problems should be outlined. Attitudes of participants will often fall into this category. An example follows:

An Automated Court Calendar System may require acceptance of the individuals involved for success. Plans can be made to measure this acceptance. If the desired level of acceptance has not been achieved, the implementation of the Calendaring System could be postponed for a month, while additional efforts are made to "sell" the system.

The Evaluation Component should ideally contain a list of problems that may develop during implementation and the method that is planned for their resolutions.

- (2) Modification or Redirection. The circumstances under which a project or program may need to be modified or redirected should be outlined as part of the Evaluation Component. If the objectives or goals are not being met

(or are not within the specified tolerance limits) such action must be considered. There may be other circumstances that will indicate a need for modification or redirection. For instance, even though project objectives are being met, the indirect evaluation measures may show that the project is not as successful as possible. The following example illustrates this situation.

For a Community-Based Rehabilitation Project, the project objectives have been established as (1) enrolling a certain number of offenders in the jail, and (2) reducing the rate of rearrest among the offenders enrolled in the project that have been released. An interim success level has been established to enroll 50 offenders by the end of six months. This objective has been reached and there have been no rearrests among those offenders in the project that have been released. Other evaluation measures, however, show that only nine of the 24 offenders released have become employed or have entered education or training programs. Thus, although the project's objectives have been met for the six-month evaluation, 16 offenders released that are unemployed and not in school is an indication that they are likely to eventually be rearrested. The Project Director should consider modifying the project to put a greater emphasis on helping the released offenders to find employment or to enroll them in educational programs.

The possibility of modifying or redirecting a project or program may be essential to its success. It is impossible to foresee all the circumstances under which this should occur; however, the evaluation measures can be used as a guideline. A discussion of which evaluation measures will be used and how the project or program may be changed should be part of the Evaluation Component. A minimal requirement is to describe the possible courses of action that may be taken if project objectives or program goals are not being achieved.

- (3) Project or Program Continuation. The Evaluation Component should contain a discussion of how the results of the analysis will be used to determine project or program continuation. If any of the following circumstances occur, the question of continuation should be considered: (1) the success levels achieved in meeting objectives or goals are not within the specified tolerance limits of the predetermined expected levels; (2) the evaluation measures indicate that the project or program will not achieve its objectives or goals at the end of the implementation period; or (3) the subjective evaluation of the entire project or program indicates that the objectives or goals will not be met and/or that the crimes that are a target of the Impact program will not be reduced by this project or program.

In the Evaluation Component, these circumstances should be discussed within the context of the particular project or program. In addition, at what points during implementation the question of continuation will be considered should be given. For many, the question of continuation should not be considered for a significant period of time (e.g., for a year). There will be some circumstances in which the full implementation period (e.g., two years) will be required to be able to thoroughly evaluate success.

All of the above considerations are not only essential for adequate monitoring of the project or program, but are also part of the total project or program evaluation in determining why particular success levels were achieved.

#### Contribution to the Next Level of Evaluation

The third purpose of project or program analysis is to determine the contribution to higher goals. For a project, this is the assessment of the contribution of the project towards the achievement of program goals. For a program, this is the assessment of the contribution of the program towards the achievement of the goals of the Impact program, i.e., to reduce stranger-to-stranger crime and burglary 5% in two years and 20% in five years, within the city.

The expected contribution has been established in Goal/Objective Relationship (above). The purpose here is to determine what the actual contribution has been. For example, for an Anti-Burglary Program, if a Street Lighting Project reduced the rate of burglaries in one district by 10%, the effect on the city wide burglary rate could easily be calculated.

#### Diagnostic

The fourth purpose of project or program analysis is to determine the reasons for the degree of success achieved. This will involve a qualitative analysis of the implementation of the project or program and its results. For a program, evaluating the relative contributions of each of the projects within it must be considered.

- (1) Contribution of Projects to Program Success. The method for the determination of the contribution of the various projects to the program success will involve an analysis of the results of each of the projects within that program. This determination will depend on how well each of the projects achieved its objectives and the effect of this achievement on program success.

The expected contributions of the various projects to the program have been listed as part of Goal/Objective Relationship (above). The analysis section of the Evaluation Component should contain some comments on the flexibility of these levels of contribution and how not achieving, or over-achieving, project objectives will influence program results.

- (2) Analysis of Entire Implementation and Outside Factors. The entire implementation as well as the environment must be analyzed to determine the major reasons for the degree of success achieved. Although each of the projects within a program has achieved its objectives, the program goals may not have been achieved. The evaluator must be able to determine the reasons for this.

Most of this analysis cannot be planned exactly or the interpretation of results projected. It is possible, however, to outline the types of considerations that will be useful in determining why a project or program was successful.

Such a list for a methadone maintenance project could include:

- (1) Community acceptance;
- (2) Price of heroin;
- (3) Quality of medical assistance;
- (4) Outside employment opportunities; and
- (5) Other assistance efforts in the same area.

By including a list of factors that are expected to contribute to project or program success in the Evaluation Component, the participants should become more sensitive to developments that may impinge upon project or program success.

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INTRODUCTION TO  
EVALUATION COMPONENTS

Eight evaluation plans or components for hypothetical High Impact projects are reprinted on the following pages. They were chosen to illustrate evaluation methodologies for a variety of projects within the criminal justice system. Included are four discrete components that deal in turn with: a community effort to rehabilitate offenders, a method for improving the internal efficiency of the court system, a coordinated program to speed police response time, and a project to treat heroin addicts via methadone maintenance.

The second set of four components illustrate the evaluation methodology for a program composed of three projects designed to assist youthful and potential offenders. The Youth Services Program description outlines the approach taken to program evaluation as a whole, and describes how the three projects fit into a program concept. In addition, each of the project evaluation components are described.

For every example (except the Youth Services Program itself) a one-page project summary precedes the text of the component. The summary is intended to familiarize the reader with the project being evaluated without providing too much distracting detail. Readers are reminded that the projects were chosen as illustrations, and are not meant to reflect actual conditions existing in any of the Impact cities.

**AN EXAMPLE EVALUATION COMPONENT:  
A COMMUNITY BASED REHABILITATION PROJECT**

PROJECT DESCRIPTION:  
A COMMUNITY BASED REHABILITATION PROJECT

SITUATION

An examination of county jail records indicates that in a one-year period, 50 percent of all detainees had previous convictions for stranger-to-stranger crimes. Some reduction in this percentage would not only be desirable, but would support the attainment of the High Impact goal.

PROJECT

Purpose: Assist the rehabilitation of county jail detainees convicted of previous stranger-to-stranger crimes by providing volunteers to selected detainees on a one-to-one basis.

Budget/Scope: \$250,000 for two years, beginning in September 1973.

Agencies: County Council of Human Relations.

Objectives: (1) Enroll 60 percent of county jail detainees with convictions for previous stranger-to-stranger crimes, (2) reduce the rearrest rate of the enrollees from 50% to 10%.

Implementation: A three-person project staff (director, assistant and secretary) will operate the program by: (1) recruiting and training volunteers; (2) providing liaison with authorities and targeted detainees; (3) monitoring project status; and (4) maintaining records. Volunteers are identified as those making a one-year commitment to assist the offender and his family by rendering whatever assistance needed to reintegrate the offender into society (employment, medical referral, education advice, etc.). Volunteers will be recruited by public advertising and trained by project staff drawing on experience provided by local officials, role-playing sessions to enhance participant sensitivity, etc.

Constraints: Overcrowding of the county jail visitor facilities limits volunteer visits during detention to once per week for 30 minutes.

Results

Anticipated: Reduction of arrests of project participants from 50% to 10%. Development of guidelines for other communities' use. Increased public awareness of the total criminal justice system.

I. EVALUATION COMPONENT

Evaluation Measures

The measure of effectiveness used to calculate the success of the project objective is:

- (1) The number of rearrests among the offenders enrolled in the project who are released.

The measures of efficiency used to indicate level of project success will be:

- (2) The number of offenders in the jail enrolled in the project.

Volunteers

- (3) The number of volunteers enrolled in the project.
- (4) The average number of visits the volunteers made to offenders in jail.
- (5) The number of volunteers who have left the project, as a fraction of the total number of volunteers.
- (6) The attitude of the volunteers.\*
- (7) The usefulness of the training program (based on volunteer Training Evaluation forms and subjective judgment of the staff).

Offenders

- (8) The number of offenders who continued their education after release (enrollment in any educational or job training program).
- (9) The number of offenders who have become employed after release (have obtained a job and continue to be employed).
- (10) The number of offenders who have chosen not to continue to see a volunteer prior to one year participation.
- (11) The attitude of the offenders.\*

Data Requirements

Data that will be required for the project have been divided into three areas:

- (a) data on detainees in jail;
- (b) data on offenders who have been released (that have been assigned a volunteer); and
- (c) data on volunteers.

\*These will be based on: (1) the records kept for offenders and volunteers, where attitude is recorded, (2) response of offenders and volunteers to status sessions (number attending), and (3) subjective evaluations of offenders' and volunteers' attitudes by the staff and by correctional officers.

Additionally, the data elements have been given a priority rating of primary (P) or secondary (S). Primary means that the elements must be collected to measure the achievement of the project objectives (the measures of effectiveness). Secondary means that the elements must be collected for complete evaluation of the project.

#### Detainee Data Elements

- (P) (1) Detainee name and ID
- (P) (2) Date of entry into jail
- (P) (3) Date of exit from jail
- (P) (4) Offender convicted of Impact target crimes
  - 1 = yes
  - 2 = no
- (S) (5) Volunteer name and ID (if volunteer assigned)
- (S) (6) Requested a volunteer
  - 1 = involuntarily
  - 2 = yes, after asked
  - 3 = no, after asked
  - 4 = not asked, but assigned a volunteer
- (S) (7) Date when volunteer assigned
- (S) (8) Date of first visit of volunteer
- (S) (9) Total number of visits of volunteer to jail
- (S) (10) Initial attitude towards volunteer\*
  - 1 = hostile
  - 2 = skeptical
  - 3 = receptive
  - 4 = neutral
- (S) (11) Attitude towards volunteer (every two months)\*
  - 1 = using volunteer
  - 2 = cooperative
  - 3 = neutral
  - 4 = negative
- (S) (12) Worked with prior volunteer
  - 1 = yes
  - 2 = no
- (S) (13) If dropped out of project, date

#### Post-Release Data Elements

- (S) (14) Continued education (enrollment in any educational or job training program)
  - 1 = yes
  - 2 = no

\*These judgments are made by the volunteer.

- (S) (15) Employment (have obtained and held any type of job, including part-time)
- (P) (16) Rearrest (for any offense)
  - 1 = yes
  - 2 = no
- (S) (17) Continuation of volunteer relationship (volunteer continues to be in contact with the offender)
  - 1 = yes
  - 2 = no
- (S) (18) Average frequency of contact
  - 1 = every week
  - 2 = every month
  - 3 = less frequently
- (S) (19) Volunteer assistance has been given (either in obtaining a job, enrolling in an educational program, or other)
  - 1 = yes
  - 2 = no

#### Volunteer Data Elements

- (S) (20) Volunteer name and ID
- (S) (21) Number training sessions attended
- (S) (22) Rating of training program
  - 1 = good
  - 2 = adequate
  - 3 = not adequate
- (S) (23) Date assigned to offender
- (S) (24) Number status sessions attended
- (S) (25) Rating of project
  - 1 = successful
  - 2 = moderately successful
  - 3 = unsuccessful
- (S) (26) Attitude toward offender's rehabilitation
  - 1 = rehabilitation possible
  - 2 = rehabilitation very likely
  - 3 = rehabilitation unlikely
- (S) (27) Assigned to prior offender\*
- (S) (28) If dropped out of project, date

\*Separate records will be maintained for each offender to whom the volunteer is assigned.

## Data Constraints

### Existence of Data

The jail has a Detainee Summary Report which contains the required data for a description of the jail population, and the data necessary to select offenders convicted of Impact crimes for the project.

Forms have been designed for project implementation and will be used for the collection of the remaining data elements. (See Appendix I, which contains a chart showing all the forms and the layout for each.)

### Availability of Data

The jail data will be available to the project staff.

### Cost of Collecting Data

There is no cost involved in collecting the data at the jail. The cost of printing and distributing the forms will be \$10,000, which has been included as part of the implementation costs.

## Data Collection

### Data on Jail Population

A staff member will visit the jail weekly to record changes in the jail population. He will record (1) the name and ID of new detainees and their previous records, and (2) the name and ID of detainees who have left. He will prepare a list of offenders who have requested a volunteer.

### Data on Offenders in Project

The staff member will also pick up a copy of the Detainee Summary for all those offenders who have been assigned a volunteer.

### Data on Volunteers

The staff will collect data from the volunteer during the training program and during the status sessions. During the first training session, the volunteer will fill out Volunteer Form C1. During the fourth training session, the volunteer will be given the Training Evaluation, Form C2, which will be completed and returned to the staff two months later. The volunteer will complete the Monthly Status Reports, Form C3, at the monthly status sessions. If the volunteer misses two consecutive status sessions, the Reports will be sent to him for completion.

## Data Management

### Storage of Data

For jail population. A continuous Jail Population Record, Form A, will be maintained.

For offenders in project. The Detainee Summary, Form D1, the Offender-Volunteer Record(s), Form D2, and copies of the Monthly Status Reports, Form C3, will be filed for each offender, by offender ID.

For volunteers. The Volunteer, Form C1, the Training Evaluation, Form C2, and the Monthly Status Reports, Form C3, will be filed for each volunteer, by volunteer ID. A continuous Volunteer Record, Form B, will be maintained for all volunteers.

### Maintenance of Data

The secretary will maintain the data. This will consist of filing offender and volunteer forms and updating the Jail Population and Volunteer Records. This will be done as data are received (daily).

### Processing and Reporting the Data

The assistant director will compile a Summary Report from the Jail Population and Volunteer Records every two months. The Summary Report will contain the following information for:

#### Jail population:

- (1) The number of detainees to whom volunteers could have been assigned.

#### Offenders in jail (in Project)

- (2) The total number of offenders who have participated in project, since project inception.
- (3) The number of offenders participating at the last reporting period.
- (4) The number of offenders who were enrolled since last reporting period.
- (5) The number of offenders who left project since the last reporting period.
- (6) The number of offenders released since last reporting period.
- (7) The number of offenders currently in project.

#### Offenders released (in Project)

- (8) The number of rearrests
- (9) The number who have continued their education
- (10) The number who have found employment

### Volunteers

- (11) The number of volunteers who have participated in the project since project inception.
- (12) The number of volunteers at the beginning of the last reporting period.
- (13) The number of volunteers who began training during the last reporting period.
- (14) The number of volunteers who have dropped out of the project since the last reporting period.
- (15) The current number of volunteers in the project.
- (16) The average number of visits volunteers made to jail during this reporting period.

### Data Validation

The assistant director will compare the Summary Report to the records maintained by the jail. He will also spot check the accuracy with which the project data elements are entered into the Offender Volunteer Records, Form D2.

## II. ANALYSIS

### Timing

The data will be analyzed thoroughly at six month intervals. Every two months the overall statistics (Summary Report previously described) will be checked for trends.

### Methods

#### Measures of Effectiveness

The percentage of rearrests among offenders enrolled in the project will be the ratio of offenders rearrested to offenders who have been released.

These percentages will be calculated every two months. It is recognized that there will be some amount of start-up time before meaningful percentages can be obtained. Levels of success are discussed in Findings and Conclusions (below).

#### Measures of Efficiency

The following evaluation measures will be calculated using the Summary Reports:

- (1) The percentage enrollment will be the ratio of offenders that have been assigned a volunteer since project inception to the number of offenders that have been in jail anytime during project duration.
- (2) The average number of volunteer visits, i.e., the total number of visits for all volunteers divided by the total number of volunteers.
- (3) The ratio of volunteer drop-outs to volunteer enrollees.
- (4) The ratio of offenders released who did not either continue education, obtain a job, or both to all offenders released.
- (5) The ratio of offender drop-outs to offender enrollees.

The remaining measures will reflect the subjective attitudes of persons involved in the project:

- (1) Percent of volunteers who view project as successful.
- (2) Percent of volunteers who view training program as successful.
- (3) Percent of volunteers who complete training program.
- (4) Percent of offenders who are initially receptive, and continue to be cooperative.

If the percentage is less than 50%\* for any of the above four measures, the project evaluator should investigate and analyze the difficulty, and if warranted, the project should be "flagged" for Director's attention.

\*The elements chosen and the percentage to be applied have been selected by the project director, who recognizes the difficulties involved in a project in which the primary resource is community volunteers.

In addition, the following will also be measured:

- (1) Subjective evaluation of the volunteers' attitudes by the staff, and
- (2) Subjective evaluation of the project by the corrections officers.

#### Findings and Conclusions

##### Success Level Achievement

Project success levels will be measured every two months by both measures of effectiveness and efficiency.

The project objectives take two forms:

- (1) The objective of less than 10% rearrests among offenders that are released (not time dependent on time of arrest).
- (2) The expected objective of enrolling 60% of the offenders in the project:
  - 6 months - 10%
  - 12 months - 25%
  - 18 months - 45%
  - 24 months - 60%

These percentages are based on the judgment of the project director that there will be some project "start-up time" in recruiting volunteers and that after the project becomes well known in the community, the volunteer enrollment should increase. These expectations, however, may be changed during project implementation by the project director due to factors such as a substantial change in the number of Impact offenders entering the jail.

##### Project Continuation

Project success for continuation, modification, or termination will be determined every six months in the following way: If the effectiveness measure has been met (project objective), the project will be continued. If the measure has not been met, the detailed analysis of the efficiency measures and the project environment is required. The evaluator will determine why the project objectives have not been met and, if necessary, the Project Director will modify the project accordingly.

Contribution to higher goals. This project should make a substantial contribution towards the program goal of reducing the percentage of rearrests among released offenders who were previously convicted of Impact crimes. The results of other correctional projects within the jail system will also be analyzed to determine their respective contribution towards the achievement of the program goal. The other projects, which will improve the conditions of the jail and provide psychiatric assistance to offenders, should assist in their readjustment to society after release.

##### Reasons for Degree of Success

The reasons for the degree of project success will be determined by a thorough evaluation of the entire project implementation, using the performance measures as a guideline. Other factors, such as community support and the attitude of the corrections officers, will have to be taken into account.

APPENDIX I  
PROJECT FILE SYSTEM

I. JAIL POPULATION  
FORM A (for all)

II. VOLUNTEER INFORMATION  
FORM B (for all)  
FORM C1 }  
FORM C2 } (for each)  
FORM C3 }

III. OFFENDER INFORMATION  
FORM D1 }  
FORM D2 } (for each)  
FORM D3 }

JAIL POPULATION RECORD (FORM A)

JAIL DETAINEE DATA			PROJECT OFFENDER DATA			
DETAINEE ID	DATES ARRIVED/ LEFT	OFFENDER CONVICTED OF IMPACT CRIME (YES/NO)	RE-ARRESTED (YES/NO)	IN EDUCATION PROGRAM (YES/NO)	EMPLOYED (YES/NO)	VOLUNTEER ID

VOLUNTEER RECORD (FORM B)

VOLUNTEER DATA				OFFENDER ASSISTANCE DATA				
VOL. ID	DATE BEGAN TRAINING	DATE ASSIGNED OFFENDER	NUMBER STATUS SESSIONS ATTENDED	DATE LEFT PROJECT	NUMBER VISITS TO JAIL	EDUCATION ASSISTANCE (YES/NO)	EMPLOYMENT ASSISTANCE (YES/NO)	OFFENDER ID

VOLUNTEER (FORM C1)

NAME \_\_\_\_\_ VOLUNTEER ID \_\_\_\_\_

ADDRESS \_\_\_\_\_

AGE \_\_\_\_\_

REASON FOR PARTICIPATING IN PROJECT:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

HOW HEARD ABOUT PROJECT:  
\_\_\_\_\_  
\_\_\_\_\_

PREVIOUS EMPLOYMENT SUMMARY:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

EDUCATION: \_\_\_\_\_

INSTRUCTIONS: Please submit at close of initial training session.

TRAINING EVALUATION (FORM C2)

VOLUNTEER ID \_\_\_\_\_

- List the elements of this training that have been most helpful to you and briefly state why.  
\_\_\_\_\_  
\_\_\_\_\_
- List the elements of this training that have been least helpful to you and briefly state why.  
\_\_\_\_\_  
\_\_\_\_\_
- What other concerns to you have as a Volunteer that you would like to have covered at future sessions?  
\_\_\_\_\_  
\_\_\_\_\_
- Summary judgment of training.  
 good  
 adequate  
 not adequate
- Attended \_\_\_\_\_ training sessions.

INSTRUCTIONS: Please submit 2 months after assignment to an offender.

MONTHLY STATUS REPORT (FORM C3)

Month \_\_\_\_\_ Offender ID \_\_\_\_\_  
 Date filled \_\_\_\_\_ Volunteer ID \_\_\_\_\_  
 Attended status session (yes/no) \_\_\_\_\_  
 Months assigned offender \_\_\_\_\_

OFFENDER'S LOCATION

- County Jail
- Prison
- Road Camp # \_\_\_\_\_
- Other \_\_\_\_\_
- Resides in: \_\_\_\_\_
- Have lost all contact with offender
- Location unknown
- Remarks: \_\_\_\_\_

OFFENDER'S MAJOR ACTIVITY

- Employed full time
- Employed part time (less than normal work week)
- Seeking work
- Enrolled in educational program:
  - Adult Education
  - Jr. or Community College
  - College or University
  - Vocational-technical or manpower training
  - Apprenticeship
  - Correspondence
  - Other \_\_\_\_\_
- Remarks: \_\_\_\_\_

DETAINEE SUMMARY (FORM D1)

Name \_\_\_\_\_ Detainee ID \_\_\_\_\_  
 Address \_\_\_\_\_  
 Date of entry \_\_\_\_\_  
 Date of exit \_\_\_\_\_  
 Charge \_\_\_\_\_  
 Court date \_\_\_\_\_  
 Highest educational level \_\_\_\_\_  
 Employment data \_\_\_\_\_  
 Family situation \_\_\_\_\_  
 History of drug addiction \_\_\_\_\_  
 Prior record \_\_\_\_\_  
 Description of stay at jail (special privileges, any altercations) \_\_\_\_\_

OFFENDER-VOLUNTEER RECORD (FORM D2)

Offender ID \_\_\_\_\_  
 Volunteer ID \_\_\_\_\_  
 Requested a volunteer:
 

- Yes
- Yes, after asked
- No, after asked
- Not asked

 Date assigned volunteer \_\_\_\_\_  
 Date of first visit of volunteer \_\_\_\_\_  
 Initial attitude towards volunteer \_\_\_\_\_  
 Attitude six months later \_\_\_\_\_  
 Attitude at end of year \_\_\_\_\_  
 Assistance received \_\_\_\_\_

MONTHLY STATUS REPORT (Continued)

**OFFENDER'S LEGAL STATUS**

- Locked up awaiting trial
- Locked up awaiting sentencing
- Case continued
- Serving time
- Out on bond
- Out on personal recognizance
- Trial date set \_\_\_\_\_
- Eligible for parole
- Parole granted \_\_\_\_\_
- Released
- Released on probation
- Participating in work-release
- Re-arrested:
  - Felony
  - Misdemeanor
  - Moving traffic violation
- Other \_\_\_\_\_
- Remarks: \_\_\_\_\_

**SOCIAL SERVICES/ACTIVITIES PROVIDED**

Legend: Designate source of actions by using following

Symbols:  Offender  
 Volunteer  
 Office

- Contacted offender regularly (at least once weekly)
- Telephoned offender regularly (at least once weekly)
- Assisted offender in seeking work
- Assisted offender's family
- Contacted or telephoned offender's family
- Corresponded regularly with offender
- Corresponded with officials in behalf of offender
- Appeared in court in behalf of offender
- Legal aid
- Arranged for bail
- Counseling  Child or day care
- Housing  Medical or dental
- Transportation  Food or clothing
- Other \_\_\_\_\_
- Remarks: \_\_\_\_\_

MONTHLY STATUS REPORT (Concluded)

EVALUATION OF OFFENDER'S PROGRESS	RECOMMENDATION FOR NEXT MONTH
<input type="checkbox"/> Making good progress	<input type="checkbox"/> Continue same services/activities/contacts
<input type="checkbox"/> Gaining self-respect and confidence	<input type="checkbox"/> Will contact office for special assistance
<input type="checkbox"/> Ability to cope is increasing	<input type="checkbox"/> Request that office contact volunteer to discuss special problem (phone number) _____
<input type="checkbox"/> Has satisfactory achievements	<input type="checkbox"/> Day <input type="checkbox"/> Eve
<input type="checkbox"/> Shows increasing good judgement	Other _____
<input type="checkbox"/> Making average progress	Remarks: _____
<input type="checkbox"/> Making little or no progress	
<input type="checkbox"/> Some progress but having usual adjustment problems	
<input type="checkbox"/> Displays positive, wholesome attitude	
<input type="checkbox"/> Regresses occasionally	
<input type="checkbox"/> Observation too limited for evaluation	
Remarks: _____	
SPECIAL COMMENTS: _____	
INSTRUCTIONS: Please check all boxes that apply and include qualifying remarks where necessary.	

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**AN EXAMPLE EVALUATION COMPONENT:  
AN AUTOMATED COURT CALENDARING  
SYSTEM PROJECT**

PROJECT DESCRIPTION:  
AN AUTOMATED COURT CALENDARING SYSTEM PROJECT

SITUATION

A total of 53 percent of the cases processed by the Superior Court during the year involved High Impact-related crimes. Conditional release was granted for 60 percent of the defendants, and 82 percent of those released were rearrested. In addition, 10 percent violated the terms of their conditional release. Records indicate that the median length of time between initial court appearance and sentencing is approximately six months, with no records indicating where most delays occur or what causes them. It is assumed that some reduction in the processing time of defendants would reduce the rearrest rate.

PROJECT

Purpose: To reduce processing time for criminal defendants between initial court appearance and sentencing by automating the calendaring system and analyzing the processing of cases as they pass through the system to eliminate the causes of delay.

Budget/Scope: \$500,000 for two years beginning in September 1972.

Agencies: Superior Court, Administrative Branch (jurisdiction for all felonies)

Objective: Reduce court delay 10 percent (measured in court days) for all cases passing through the Superior Court System.

Implementation: The court administrator will direct project implementation with day-to-day operations handled by subcontractors. A prime contractor will install an already available scheduling algorithm in the court's computer and then integrate the Calendaring System with court functions that are already computerized. (Currently the court's IBM 360/50 is used only 60 percent of the time.) Designing, installing and testing the algorithm will take three months; parallel running with the current system to achieve user acceptance will take three months and switch-over will take one month.

Constraints: User acceptance is critical to the project; consequently after six months, acceptance by courtroom personnel and cooperation among all departments and courts will be evaluated to show whether better project promotion is needed (which would necessarily delay the operational use of the system).

Results

Anticipated: Decreased arrest rate for conditional release defendants. Decreased violations among conditional release defendants. A higher conviction rate. Better cooperation from jurors and witnesses due to more efficient notification system. Much less time wasted awaiting trial.

I. EVALUATION COMPONENT

Evaluation Measures

The measures of effectiveness used to calculate the success of the project in meeting its objective will be:

- (1) The number of court days between:
  - (a) arrest and prosecution screening,
  - (b) prosecution screening and preliminary hearing,\*\*
  - (c) preliminary hearing and return of information or indictment,
  - (d) return of information or indictment and arraignment,
  - (e) arraignment and trial commencement,
  - (f) trial commencement and trial end, and
  - (g) trial end and sentencing.
- (2) The time interval (in months between arrest and sentencing),
- (3) Number of rearrests of defendants on conditional release, and
- (4) Number of conditional release violators among defendants on conditional release.

The measures of efficiency used to measure project success will be:

- (5) Number of cases tried out of number of cases scheduled for trial,
- (6) Number of cases for which there is a conviction, and
- (7) Number of cases disposed of each month.

Data Requirements

All the data elements needed to measure project success are listed. If they are required to measure the project objectives, the data elements are rated primary (P); if they are required to measure other aspects of the project, the data elements are rated secondary (S).

For each case processed in court:

- (P) (1) Court ID number
- (P) (2) Date of arrest
- (P) (3) Charged offense - most serious
  - 1 = within target crimes
  - 2 = outside target crimes
- (P) (4) For Impact target crime, most serious
  - 1 = burglary
  - 2 = assault
  - 3 = robbery
  - 4 = homicide
  - 5 = rape

\* If any of steps are repeated, the final occurrence will be used for this calculation.  
\* In some cases, there is no preliminary hearing. Then the number of court days will be measured from prosecution screening to return of information or indictment.

- (P) (5) Release action
  - 1 = conditional release
  - 2 = jail
- (P) (6) Date of prosecution screening
- (P) (7) Date of preliminary hearing
- (P) (8) Date of return of information or indictment
- (P) (9) Date of arraignment
- (P) (10) Date of trial commencement
- (P) (11) Date of trial end
- (S) (12) Type of trial
  - 1 = jury
  - 2 = non-jury
- (S) (13) Case appealed
  - 1 = yes
  - 2 = no
- (P) (14) Date of sentencing
- (S) (15) Record of initiators of delays
  - (repeat for each delay for a case)
  - 1 = defense action
  - 2 = prosecution action
  - 3 = court action
  - 4 = other (including calendaring errors)
- (S) (16) Disposition
  - 1 = tried and convicted of most serious charge
  - 2 = tried and convicted, but not most serious charge
  - 3 = convicted through plea negotiations
  - 4 = not convicted
- (P) (17) Bench warrant issued and executed while on conditional release
  - 1 = yes
  - 2 = no
- (P) (18) Rearrested while on conditional release
  - 1 = yes
  - 2 = no

For each month:

- (S) (19) Number of cases on calendar
- (S) (20) Number of cases disposed

#### Data Constraints

##### Existence of Data

The data for individual cases will be extracted from the automated Case History File that is part of the Court Information System. The data for each court day will be obtained

from the Court Calendar Record until the calendar system is automated, then the data will be collected from the Automated Court Calendar File.

##### Availability of Data

All the required data will be available to the project.

##### Cost of Obtaining Data

The cost of extracting and processing the evaluation data from the automated Case History and Calendar files is estimated to be \$120 for each time it is extracted. (This has been included in the project implementation costs.)

##### Data Collection

Part of implementation will be to write a computer program to extract the evaluation data elements from the automated data bases. Until the calendaring system is automated, the data elements for each court day will be obtained from the Court Calendar Record by the assistant court administrator and cards will be keypunched for input to the Data Extraction Run (Appendix I).

##### Data Management

The Evaluation Data Elements File will be stored on an IBM 2314 disk pack and updated each month. The File will then be processed to generate the Statistical and Management Reports which contain the evaluation measures. Refer to Appendix I - Reports C1 to C6. The evaluation summary will be published every three months; it is expected, however, that the statistical and management reports will be available every month for management control.

##### Data Validation

The list of evaluation data elements will be spot-checked for accuracy. Five individual cases will be scrutinized against the case files and the dockets each month. The data elements for several court days will be checked against the Court Calendar Record.

## II. ANALYSIS

### Timing

After the project is fully implemented, it will be evaluated every three months. The first evaluation will occur ten months from project commencement. Levels of success will be considered in Findings and Conclusions (below).

### Methods

Standard statistical measures, means, medians, and standard deviations, when applicable, will be used for presenting summary results.

### Measures of Effectiveness

The median number of court days for the time intervals between all the steps will be calculated for all cases processed during the evaluation time periods. If two steps are on consecutive days, the time interval will be considered zero.

The average for the time interval between arrest and sentencing will be calculated for those cases in which the defendant has been sentenced during the evaluation time period. For each evaluation, these figures will be compared to the figures calculated during the test period (parallel), to calculate the reduction percentage. The standard deviations will also be calculated for the delays measured. Although these figures will not be part of the evaluation project objectives, they will be useful for court management.

The percentage of rearrests will be calculated using the ratio of rearrests to the total number of defendants on conditional release during the evaluation period.

The percentage of defendants that violate conditional release will be calculated by using the ratio of defendants for whom a bench warrant was issued and executed to the total number of defendants on conditional release.

### Measures of Efficiency

The percentage of cases that were admitted to court that were tried will be calculated by using the ratio of cases that have been tried to the total number of cases that have been scheduled for trial since the project began.

The percentage of cases admitted to court for which there was a conviction will be calculated in the same manner as the percentage tried. This percentage will be calculated for both convictions for the most serious charged offense and for a lesser offense.

The average (mean) number of cases disposed per month during the evaluation period will be compared to the average number of cases disposed of during the parallel period\* to calculate the relative change.

The average (mean) number of cases disposed per month during the evaluation period will be compared to the average number of cases disposed of during the parallel period to calculate the percent change.

### Findings and Conclusions

#### Project Success Levels

Project success will not be evaluated until three months after the project becomes fully operational. The project will be evaluated every three months thereafter. The expected levels of success are:

12 months - 2% reduction in court delay time

15 months - 4% reduction in court delay time

18 months - 7% reduction in court delay time

24 months - 10% reduction in court delay time

The levels of success established above may be changed during project implementation due to changes in court conditions.

A decrease in Impact crimes will be directly attributable to a decline in the number of rearrests while on conditional release. A probable decrease will be indicated by an increase in the conviction rate and a decrease in conditional release violators.

#### Project Continuation

Project continuation will not be considered until the end of the two-year implementation period. At that time, the project will be continued if the reduction in court delay is 5% or more. If it is less than 5%, the project will be evaluated in the following way--if the percentage of rearrests decreases 10%, or the percentage of conditional release violators decreases 10%, or the percentage of cases tried increases 10%, or the percentage of convictions increases 5%, the project will be continued as is. In addition, if the average number of cases processed per day increases 5%, the project will be continued as is.

If none of the above are achieved, then the results of both the measures of efficiency and effectiveness should be subjectively analyzed to determine redirection of the project. Consideration should also be given to the attitudes of the courtroom personnel towards the Automated Calendaring System.

\*The parallel period is the 3rd, 4th, and 5th months of project implementation.

V. DEFINITIONS OF KEY TERMS

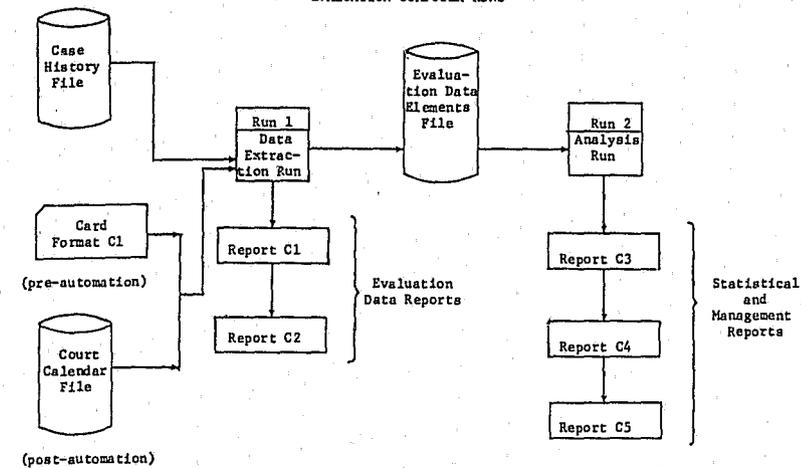
Rearrest - arrest of defendant while he is on conditional release.

Conditional release - category for all defendants who are not in jail during the time period from initial courtroom appearance until sentencing.

Conditional release violator - defendant for whom a bench warrant is issued and executed.

Court delay - the total elapsed time from arrest to sentencing.

APPENDIX I  
EVALUATION COMPUTER RUNS



INPUT FORMAT FOR COURT CALENDAR DATA  
(Card C1)

Date	Number of Cases On Calendar	Number of Cases Processed

APPENDIX II  
EVALUATION DATA (Report C1)

Court ID _____	Impact Crime <input type="checkbox"/> Yes <input type="checkbox"/> No	Most Serious Charge _____
Delay Data: <u>For Each Interval (In Days)</u>		
(1) _____	Arrest to prosecution screen	
(2) _____	Prosecution screen to preliminary hearing	
(3) _____	Preliminary hearing to return of information or indictment	
(4) _____	Return of information or indictment to arraignment	
(5) _____	Arraignment to trial commencement	
(6) _____	Trial commencement to trial end	
(7) _____	Trial end to sentencing	
_____	_____	_____
_____	Total Days Delay	Total Delay in Months _____
Conditional Release Data:	<input type="checkbox"/> On conditional release <input type="checkbox"/> Violated conditional release <input type="checkbox"/> Re-arrested	Y = Yes, N = No
Number of Times Court Delays Initiated By: Defense Counsel _____ Prosecution _____ Court _____ Other _____		

RECORD OF CASES PROCESSED (Report C2)

Date	Number of Cases On Calendar	Number of Cases Processed

SUMMARY OF CASES PROCESSED (Report C3)

Month/Total	Number of Courtroom Days	Percentage of Cases Processed	Percentage of Cases Processed
Month 1			
Month 2			
Month 3			
Totals for Evaluation Period			
Totals for Test Period			
Percentage Change			

COURT DELAY REPORT (Report C4)

	MEDIAN* INTERVAL DELAYS (days)							MEDIAN TOTAL DELAY (months)
	1	2	3	4	5	6	7	
TEST PERIOD								
SUMMARY TO DATE								
ABSOLUTE CHANGE								
PERCENT CHANGE								
LAST MONTH								
THIS MONTH								

\* Similar Reports for Means and Standard Deviations.

RE-ARREST AND CONDITIONAL RELEASE VIOLATOR REPORT (Report C5)

	NUMBER DEFENDANTS ON CONDITIONAL RELEASE	RE-ARRESTS		VIOLATORS	
		NUMBER	PERCENT	NUMBER	PERCENT
TEST PERIOD					
SUMMARY TO DATE					
ABSOLUTE CHANGE					
PERCENT CHANGE					
LAST MONTH					
THIS MONTH					

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**AN EXAMPLE EVALUATION COMPONENT:**

**A POLICE COMMAND AND CONTROL PROGRAM**

PROJECT DESCRIPTION:  
A POLICE COMMAND AND CONTROL PROGRAM

SITUATION

A city-wide survey of the geographical distributions of crime has shown that areas with high incidence of stranger-to-stranger crimes do not substantially coincide with areas having a high incidence of burglary. Since police resources are limited, the problem of their deployment has been resolved by focusing on areas with high stranger-to-stranger crime levels. Of particular concern is the matter of commanding and controlling police forces so deployed.

PROJECT

Purpose: To implement a command and control (C<sup>2</sup>) program (involving three subordinate projects: resource allocation, personal alarms, and computerized information retrieval) to reduce police response times (i.e., from the time a call is received until a policeman arrives at the scene), with a corollary goal of increasing arrest rates.

Budget/Scope: \$1,250,000 for three projects for five years.

Agencies: City Police Department

Objectives: To reduce average police response time from the current eight minutes to three minutes; to reduce maximum response time to six minutes or less for 95 percent of the calls. Additionally, to achieve an increase in arrest rate of about 3 percent at the end of two years and 15 percent at the end of five years.

Implementation: The resource allocation project will use computerized redistricting and scheduling to improve the location and timing of police patrols and vehicles to more successfully coincide with the incidence of stranger-to-stranger, and reduce response times. The personal alarms project will equip police officers and facilities to receive distress signals generated by citizen-purchased personal alarms, thereby enabling a more prompt response to criminal activity. The computer data storage, retrieval and display project will provide hardware and software to enable police dispatchers to retrieve information from police files and to maintain displays of patrol deployment.

Constraints: While capable of further automation, the current program will be limited to using existing computer facilities (with the addition of terminals for the dispatchers) and conventional communications links.

Results Anticipated: An integrated program that will enable police to more rapidly respond to the scene of stranger-to-stranger crime resulting from better force deployment, improved alarm systems, and computerized information retrieval for dispatchers.

I. EVALUATION MEASURES

The measures to be used in evaluating any program should indicate:

- (1) How well the program is meeting its goals;
- (2) The extent to which the program is contributing to the success of the city's Impact Program; and
- (3) The contribution of the individual projects to program success.

For the police C<sup>2</sup> program, four specific measures are identified. The first two are measures of effectiveness and the next two are measures of efficiency. The contribution of each project will be determined by the Crime Analysis Team Evaluator, who will be able to assess them collectively as a system relative to the program.

Arrest rates. The number of arrests, normalized to the incidence of stranger-to-stranger crimes, as a function of response time.

Clearance rates. The number of stranger-to-stranger crimes solved, normalized to the number of stranger-to-stranger crimes reported, as compared to the similar period of the previous year.

This measure will indicate the contribution of the police C<sup>2</sup> program to the city's overall Impact Program goals of crime reductions of 5% in two years and 20% in five years.

Response time. The time from receipt by the police dispatcher of a call for assistance to the time a policeman arrives on the scene of the crime.

Attitudinal factors. To the extent possible, the program evaluation makes use of measures and data provided by component projects. In this case, measures needed but not provided for in the projects are attitudes of police officers and their commanders regarding:

- (a) The use of new allocation schemes,
- (b) Assignment to vehicles to which they may not be accustomed,
- (c) A new routine for shift assignment,
- (d) Changes in the frequency of encounters with victims and offenders,
- (e) The use of computerized data, and
- (f) The use of the location display scheme.

## II. DATA NEEDS

### Data Requirements

In the case of a program evaluation component, most of the required data elements will be supplied by the project evaluation activity. Described here are the total data requirements of assessing progress towards the C<sup>2</sup> program goal. Where the C<sup>2</sup> program data will be collected as part of component projects, that fact is indicated.

Baseline data will consist of information contained in the Impact Questionnaire, any existing data collected by the police department during the previous two years, and project data.

The detailed forms for collecting each data element are found in the appendices to this document.

### Response Time

Response time is defined as the total elapsed time from notification to the police that assistance is required to the arrival of a police officer on the scene. This time period can be broken down into four sub-periods, each of which will be collected as a separate data element. These sub-periods are:

- (a) Time to complete a connection
- (b) Time to record facts
- (c) Time to initiate response
- (d) Time to arrive on the scene

Time to complete a connection. (Appendix I) The time required to contact a responder (dispatcher, terminator, civilian operator) in police communications. Because of the difficulties involved in obtaining this information in real situations, test calls will be used, as would be originated both by citizens and by police officers.

Time to record facts. (Appendix II) The time to record the facts about a complaint or incident whether the call is from a citizen or a policeman. The data will be recorded as a procedural requirement imposed on the respondent, i.e., dispatcher.

A card is filled out by the respondent, reporting information concerning the caller, the reported incident, and the urgency of need for emergency assistance.

Time to initiate response. (Appendix III) The time starting with the completion of the information forms by the respondent and ending with his transmitting the information to initiate a responsive action. The responsive action could be instructions to a patrolman to proceed to the scene, or transmitting the information to a special dispatcher or relaying the information to another agency. In any event, this time period will end when the person who first took the call passes the information to someone else to begin the process of response.

Included is the time to identify available resources, alert the responding personnel, and provide detailed information regarding the reported incident.

Time to arrive on the scene. (Appendix IV) The time from initiation of the responsive process to arrival of at least one police officer at the scene of the action that caused the call for assistance. The first officer to arrive may not be the one directed to the scene by the dispatcher. In any event, the time period will end with the arrival of the first policeman.

Included is time to get to the general vicinity and time to enter the immediate area. The latter factor is important in multi-storied structures, large factories, and secured facilities.

### Arrest Rates (Appendix V)

- (a) The number of arrests for stranger-to-stranger crimes.
- (b) The total response time for each instance of such arrests.
- (c) The total number of such crimes reported to the police each calendar month.
- (d) For one in every 25 such arrests, selected on a random basis, the action taken by the prosecutor and, if available, the court disposition of the case.

### Attitudinal Factors (Appendix VI)

The data for measuring attitudinal factors consists of a series of questions put to police patrol officers, dispatchers, and their commanders. The questions to be used appear in Appendix VI to this document.

### Clearance Rates (Appendix VII)

For each arrest for a stranger-to-stranger crime, the total number of Impact crimes for which the accused is charged, regardless of when the crimes were committed, is limited to crimes committed within the city. The same data for the previous year is also to be obtained.

### Data Constraints

Graduate students in Sociology and Anthropology will be hired and trained to serve as observers for data collection. At \$3.00 per hour and an estimated five observers working 2000 hours each, the special cost for this data collection will be \$30,000.

The cost to conduct the attitude survey will be \$14,400, based on the assumption of three interviewers each working about 1600 hours for \$3.00 per hour. The interviewers will also be graduate students with appropriate academic training.

In summary, neither the cost nor availability are expected to hamper data collection at the program level.

### Data Collection

The data to be collected by the Police Department for project evaluations will be made available to the Crime Analysis Team (CAT) in aggregated form. It is anticipated that the raw data (i.e., Police Incident or Complaint Reports) will only be sampled to test the validity of the recording and aggregating functions.

The project data will be reported as follows:

### Resource Allocation

Daily and shift records of how men and equipment are distributed will be assembled into weekly aggregates and forwarded to the CAT evaluator not later than three days after the end of the reporting period. Analytical findings and conclusions derived by the project team will be forwarded to the CAT evaluator as soon as this information is available.

### Personal Alarms

These data will be collected and analyzed by the Police Department's project team. The findings and conclusions will be forwarded to the CAT evaluator once a month, not more than fifteen days after the end of the reporting period.

### Computer Data Storage, Retrieval and Display

The data collected for this project will reflect variations as a function of shift crews and volume of inquiries. Each month the data for that period will be summarized and forwarded to the CAT evaluator along with any findings and conclusions.

The data collection specific to program evaluation (see Appendices) will be the responsibility of the CAT. The CAT evaluator will recruit, train and supervise the data collectors (observers and interviewers). He will analyze these data with assistance, as necessary, from other CAT members.

The validity of data collection for the program evaluation will be verified by spot checks conducted by the CAT evaluator. He will randomly select the interviews to be repeated and operations to be observed by himself or his staff.

The effects of crime displacement into neighboring jurisdictions will not be measured directly by the program team and hence will not require special data collection. This effect will be reviewed by using findings and conclusions produced by criminal justice officials in the adjacent jurisdictions.

## III. ANALYSIS

### Timing

The data forms presented in the Appendices are to be completed every month beginning with the approval of the C<sup>2</sup> program. Baseline data will be derived from the Impact questionnaire, from data collected during the previous two years, and from data collected until the new projects get underway. Attitudinal data will not be collected or analyzed until the resource allocation project has been underway for at least two months. All data will be aggregated to reveal yearly trends.

### Methods of Analysis

For measuring progress toward the primary program goal of reducing response time, a matrix will be constructed to show the mean and standard deviation times for each time element comprising the total response time. This array will reveal which elements of response time are being reduced and which functions need greater attention. The standard deviations will show how consistently the response times are being attained.

The number of police responses will be plotted as a function of total response time. This curve, to be prepared using monthly and annual data, will reveal how the total response time varies over the period of the Impact Program.

During the first three months of the program period, little if any improvement in response time is expected. From then until the completion of the program, improvements are expected to be achieved in increasing amounts. For the sake of program management control, starting with the fourth program month, deviations of more than 15% from linear improvement will be cause for a special report to the CAT Director. As the program progresses and empirical trends are established, the assumption of linearity may be replaced by more realistic estimates. Deviations greater than 15% of the revised expected values will continue to draw special attention.

The corollary goal of increased arrest rates will be revealed by the expression

$$\left[ \frac{(N_c - N_p)}{N_p} \times 100. (\text{percent}) \right]$$

where  $N_c$  is the ratio of the number of suspects arrested and charged by the police divided by the number of crimes reported to the police for the same period; and  $N_p$  is the ratio of the number of arrests per reported crime for the corresponding period the previous year. The above expression yields a rate of increase in arrests normalized to reported crimes.

The attitudinal survey responses and the data analysis from the project levels will help to understand why the program is progressing in a particular manner. For example, if the interviews reveal increased fear associated with riding on motorcycles or scooters, this fact might explain a relatively low response time in situations where those vehicles are used. Or, if the evaluation of the personal alarms project shows a high false alarm rate, it may help explain why patrolmen are lax about responding to such (presumed) calls for help.

Although each project within this program will be evaluated explicitly in terms of its own objectives, the CAT evaluator must also analyze them collectively as a system relative to the program goals.

Findings and Conclusions

The analysis at the program level will attempt to reveal the overall level of success of the program and to review the contributions made by the component projects. Based on the analytical findings, decisions will be made as to whether the program should be continued as is or redirected. The contribution of reduced response time to a reduction in stranger-to-stranger crimes will be indicated by the corollary goal of increased arrests and by the clearance rates. And, as described, the process will reveal reasons for the success or failure of the program on the basis of project success levels.

APPENDIX I

Response Time Data Form Number 1: Time required to complete a connection between caller for assistance and police dispatcher.

INCIDENT OR COMPLAINT NUMBER	DATE	DAY OF WEEK	TIME OF DAY	REPORTER	TIME	
					MINUTES	SECONDS

APPENDIX II

Response Time Data Form Number 2: Time to record facts about a complaint or incident reported to police by phone or radio.

INCIDENT OR COMPLAINT NUMBER	DATE	DAY OF WEEK	TIME OF DAY	REPORTER	TIME	
					MINUTES	SECONDS

APPENDIX III

Response Time Data Form Number 3: Time required to initiate responsive action by police.

INCIDENT OR COMPLAINT NUMBER	DATE	DAY OF WEEK	TIME OF DAY	REPORTER	TIME	
					MINUTES	SECONDS

APPENDIX IV

Response Time Data Form Number 4: Time required for first policeman to travel to the scene.

INCIDENT OR COMPLAINT NUMBER	DATE	DAY OF WEEK	TIME OF DAY	REPORTER	TIME	
					MINUTES	SECONDS

APPENDIX V

Arrest Rate Data Form: Calendar Month \_\_\_\_\_ Year \_\_\_\_\_  
Reporter \_\_\_\_\_

INCIDENT OR COMPLAINT NUMBER	DATE OF ARREST	ARRESTING OFFICER	PERSON ARRESTED NAME AGE SEX	CRIME CHARGED BY POLICE	PROSECUTOR ACTION	COURT DISPOSITION

APPENDIX VI

ATTITUDINAL DATA FORM

Date \_\_\_\_\_ Reporter \_\_\_\_\_  
Assignment of Interviewee \_\_\_\_\_  
Rank of Interviewee \_\_\_\_\_  
Place of Interview \_\_\_\_\_ Time of Interview \_\_\_\_\_

1. Do you approve of the new resource allocation routines?  yes  no
2. Do you think the new routines improve or weaken your performance?  improve  weaken
3. Do you think the new routines are more effective in putting the policemen where the crime is?  yes  no
4. Do you believe you should be reassigned?  yes  no
5. Have your days been busier, the same, or less busy since the new routines were started?  busier  the same  less
6. Do you feel as safe on a motorcycle or scooter as you do in an auto or van?  yes  no
7. Have you been spending more or less time on motorcycles and scooters?  more  less
8. Do you believe the manpower allocation routine is fair or unfair in distributing assignments?  fair  unfair
9. What do you think of the new computer aids to dispatching? \_\_\_\_\_

APPENDIX VI (CONTINUED)

10. Do you think the new location scheme is helping to apprehend criminals?  yes  no  
Please explain. \_\_\_\_\_

11. What has been your experience with the use of personal alarms? \_\_\_\_\_

APPENDIX VII

Clearance Rate Data Form: For each arrest, indicate

INCIDENT OR COMPLAINT NUMBER	DATE OF ARREST	PERSON ARRESTED NAME AGE SEX	CRIME CHARGED BY POLICE	OTHER OFFENSES CLEARED	
				TYPE OF OFFENSE	DATE COMMITTED

# AN EXAMPLE EVALUATION COMPONENT: A METHADONE MAINTENANCE PROJECT

PROJECT DESCRIPTION:  
A METHADONE MAINTENANCE PROJECT

SITUATION

In the community, the recidivism rate among heroin addicts has been found to be 90% (recidivism is defined here as rearrest, booking and conviction of a High Impact target crime involving a program participant after he has entered a program). Current planning is for a comprehensive, multi-modal drug abuse prevention program to reduce the incidence of drug-related target crimes.

PROJECT

Purpose: To serve as part of a multi-modal program whose overall goal is reduction in the incidence of drug-related target crimes by reducing the number of addicts committing such crimes.

Budget/Scope: \$300,000 annually for each fiscal year beginning in 1973.

Agencies: Drug-Abuse Commission (reporting to the Office of the Mayor)

Objective: Acquire and treat--on an on-going basis--an average of 200 heroin addicts. Reduce the recidivism rate among treated addicts to 10% or less through daily dosages of methadone and comprehensive rehabilitative services. Increase the employment rate among treated addicts from the current 15% to 50% through vocational training and placement.

Implementation: Participants will be obtained by screening the criminal justice system for addicts arrested for target crime offenses and by inducing them to join in return for suspension of criminal charges. Volunteers will then enter a central screening in-take and referral unit for testing, diagnosis and emergency detoxification as needed, followed by reference to one of the program treatment modalities. Those recommended for methadone maintenance will be served as out-patients at existing hospital or neighborhood facilities. In addition, participants will be provided a comprehensive battery of supportive services, including counseling, referral, and job assistance. Two counseling sessions per week will be scheduled.

Constraints: Special provisions will be made to accommodate the addictive nature of methadone in such a program. Participants must be at least 18 years old, addicts for at least two years and probably incapable of habilitation without methadone maintenance. Secondly, addicts will be tightly controlled during the first nine months of participation. Initially, they must report daily; then, after six months, three times weekly; then, after nine months, twice weekly to receive sustaining dosages of methadone. Finally, urinalysis must be part of every visit to the facility.

Results Anticipated: Relative psychological and mental stability among addict participants, along with a reduction in the target crime rates are anticipated.

**CONTINUED**

**1 OF 2**

## I. EVALUATION MEASURES

Two measures of effectiveness have been chosen to determine project success: recidivism and employment rates of participants. Although these measures will have no significance at the beginning of the project, they will become increasingly more significant as the project progresses. Accordingly, two measures of project efficiency have been chosen to evaluate success in the interim.

The first efficiency measure is the total percentage of drug-free addict days, as determined by urinalysis of each project participant taken every visit to the treatment facility. Due to occasional absences and lack of urine specimens, it may be possible only to approximate this percentage.

The second efficiency measure is the average drop-out\* rate, which is computed as described in Section III. This rate reflects the "holding power" of the project and is a useful success indicator.

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\*A drop-out is defined as a project participant who is absent without permission or prior notification for seven consecutive days.

## II. DATA NEEDS

### Data Requirements\*

Since recidivism rate is to be used as an evaluation measure, each patient's record of contact with the criminal justice system during his treatment will be acquired. At a minimum, this should include his arrest record and, if available, an indication of the disposition resulting from each arrest. To enable a comparison between his criminal tendencies while undergoing treatment and his criminal tendencies prior to treatment, similar records for the two years prior to his entry into the methadone maintenance project will also be acquired. Form A-1 (in Appendix I) will be used to collect this information.

In a similar fashion, each participant's employment history for two years prior to his entry into the project will be acquired if possible, and used as a basis for comparison with his employment record while on methadone maintenance. Form A-2 (Appendix I) will be used.

In addition, a comprehensive personal history and drug history will be developed for each patient. Forms A-3 and A-4 (Appendix I) are to be used for these histories. A medical history will be developed at the screening and referral facility, and forwarded to the treatment facility for any patient referred to the project.

There is also a requirement to keep complete patient movement data, consisting of new patient admissions, patient drop-outs, patient readmissions, and reasons for drop-outs (i.e., arrested, lost contact, etc.). See Form A-5 (Appendix I).

Finally, data must be carefully maintained for each participant, on a daily basis, reflecting the results of the urinalysis. Specifically, at least one of the following results should be recorded daily:

- Authorized Absence (absence with prior permission)
- Unauthorized Absence (absence without prior permission)
- No Specimen
- Specimen Negative
- Positive for Amphetamines
- Positive for Barbiturates
- Positive for Codeine
- Positive for Cocaine
- Positive for Dilaudid
- Positive for Morphine or Heroin
- Quinine in Specimen

Form A-6 is to be used to record the urinalysis results. (Appendix I).

\*It should be noted that this discussion addresses all data required for both the administration and evaluation of the project. The data specifically required for evaluation are: arrest records, employment records, patient movement data, and urinalysis results.

For administrative purposes, a project history by patient would be useful, wherein significant events (e.g., entry into project, drop-out, arrest) and their dates would be tabulated, so an individual could be admitted for treatments.

### Data Constraints

Since the urinalysis will be performed as part of the project by trained or professional project personnel, there should be no difficulty in obtaining that data. Similarly, the patient movement data will be internally generated. The employment data, if not otherwise available, may be obtained from participants. However, if obtained in this manner, attempts should be made at verification by contacting alleged employers and the results recorded.

The data on arrest record and dispositions may be difficult to obtain due, first of all, to the reluctance or legal prohibition of the police to release the information, and second, to the fact it is difficult to obtain dispositions on all arrests. However, this data is vital to the evaluation of the project, and every attempt must be made to elicit cooperation from the police and courts. Failures to elicit cooperation must be recorded.

The remaining data, dealing with the patient's personal and drug histories, will be collected by interviewing the patient. Wherever possible the data should be verified (e.g., by examining narcotic registers) and records made of results at attempting verification.

### Data Collection

All data for this project will be generated and updated internally, except for the arrest records and disposition information.

The arrest records and disposition information (Form A-1) will be obtained from the police and supplemented as necessary by the courts. The only data which will be kept will be the date of arrest, the nature of the crime, and the date and the nature of the disposition.

Every month, a summary report will be generated for the project director. This report will contain the following information:

- Number of patients participating at beginning of month
- Number of patients participating at end of month
- Total number of participation days (see Section III)
- Total number of testing days (see Section III)
- Total number of drug-free addict days (see Section III)
- Percentage of drug-free addict days - two versions (see Section III)
- Recidivism rate (not computed for first six months)
- Employment rate (not computed for first six months)

In addition, data on individual patients requiring special attention will be provided to the project director.

### Data Management

The data will be maintained manually at the treatment center, filed by patient ID number. Both patient names and ID numbers will be stored in separate, securely locked containers, and access will be tightly controlled by responsible project officials. Data linking the patient's name and ID number will be available only to the Project Director and individuals designated by him.

### Data Validation

Data obtained from the police and courts will be accepted as provided. Employment data obtained from the patient could be verified by contacting claimed employers; however, the contact might jeopardize the patient's job standing. Therefore, as a next best source, employment paystubs will be examined monthly. Procedures will be implemented to deal with the possibility that a staff member enters false information for one or more selected patients (i.e., by rotating assignments so that different staff members perform the tests and enter the results over a period of time).

## III. ANALYSIS

### Timing and Methods

Individual patient's daily urinalysis results will be examined weekly, so that indications of drugs (other than methadone) in an individual's urine can be promptly noticed, and appropriate action (e.g., counseling) initiated in a timely fashion.

A monthly analysis will be performed for each participant, at which time the daily urinalysis results will be tabulated and carefully scrutinized for patterns of drug usage or unauthorized absences which could be symptomatic of underlying difficulties. The patient's length of time in treatment will be considered in performing this analysis.

Patient movement data will be computed and recorded monthly. Given the number of new admissions, drop-outs and readmissions during the previous month, the updated number of patients in the program can be computed as:

$$\text{Updated number of participants} = \text{Previous number of participants} + \text{new admissions} + \text{readmissions} - \text{drop-outs}.$$

Thereafter, the drop-out rate for that month may be computed by dividing the number of drop-outs during the month by the updated number of participants. The average drop-out rate is obtained by averaging the monthly drop-out rates over all months the project has been in force.

The percentage of drug-free addict days will be determined monthly as follows:

- STEP 1 Determine each addict's number of drug-free days by counting the number of days for which that addict's urinalysis results were negative. Add these together to obtain the total number of drug-free addict days (summed over all participants).
- STEP 2 Determine each addict's number of days of participation in the project by counting the number of days during which he has participated in the methadone maintenance project. Do not count time spent in the screening phase of the drug abuse program or in detoxification. Determine two versions of this number: one in which all days since his participation began are counted (called the number of participation days), and the other in which only days when a specimen was obtained and tested are counted (called the number of testing days). Keeping the two values separate, add the corresponding numbers for each addict together, obtaining the total number of participation days, and the total number of testing days.

- STEP 3 Compute two versions of the percentage of drug-free addict days, as follows:

#### Version 1 - optimistic

To the total number of drug-free addict days (obtained in Step 1), add the total number of untested days (the difference of the two totals, obtained in Step 2). Divide this result by the total number of participation days. This will be an optimistic version, since it treats all untested days as though they were drug-free.

#### Version 2 - pessimistic

Divide the total number of drug-free addict days by the total number of participation days. This will be a pessimistic version, since it treats all untested days as though they tested drug positive.

For example, suppose the total number of participation days is 2000, the total number of testing days is 1800, and the total number of drug-free addict days is 1500. Then the optimistic version would be:

$$\frac{1500 + (2000-1800)}{2000} = 85\%$$

and the pessimistic version would be:

$$\frac{1500}{2000} = 75\%$$

with the actual value falling somewhere in between.

At three-month intervals, the recidivism and employment rates for the project will be computed. The recidivism rate will be determined by taking the number of participants who have been arrested and convicted of a crime committed subsequent to entry into the project and dividing by the total number of participants. In addition, an "Impact Crime recidivism rate" will be determined in a similar manner, except that a conviction will count only if it is for a stranger-to-stranger crime or burglary.

The employment rate will be determined by dividing the total number of participants currently holding a job by the total number of participants. The length of employment and separation reasons will also be considered.

#### Findings and Conclusions

Several indicators will be used to monitor the project, and assist in the determination of whether the project should be continued, modified, or phased out. These are:

##### Number of Addicts Currently Participating

It has been projected that addicts should be entering the project at a rate of at least ten per month after start-up. If, after the first three months, the number of addicts deviates significantly below an average of ten per month, then the methadone maintenance project itself, as well as the screening and referral phase of the overall drug program, should be examined to see whether modifications are appropriate.

##### Drop-out Rate

Even with a satisfactory number of participants, it is possible for the turnover rate to be too high. Thus the drop-out rate should be examined, and, if too high (see below), the project evaluator should investigate and analyze the difficulty, and if warranted the project should be "flagged" for the director's attention.

##### Percentage of Drug-Free Addict Days

An unsatisfactorily high degree of "cheating," as indicated by the percentage of drug-free addict days being too low (see below), virtually guarantees that the project objectives will not be met.

#### Positive Urinalysis Results for Drugs Other than Heroin

Heroin addicts on methadone can develop dependencies on drugs other than opiates (e.g., amphetamines, cocaine, etc.). Consistent indications of other drug usage is just as threatening to achievement of project objectives as continued use of heroin.

Based upon subjective judgments by project management, the following values have been established as threshold levels\* beyond which a detailed management analysis will be performed:

- (1) Number of Participants - 50% below projections of 10 entries per month
- (2) Drop-out Rate - 20% or more
- (3) Drug-free Addict Day Percentage - 75% or less (optimistic version)
- (4) Positive Urinalysis Percentage - 25% of the test results positive for 20% or more of the participants.

The recidivism and employment rates of project participants will be used as indicators to reflect the degree to which the project is contributing to program goals, with the recidivism rate being the primary indicator. The significance of the employment rate is established later in time, after participants have made significant progress and are no longer taking drugs (other than methadone). At that time, they should be anxious (and ready) to become self-sufficient in all respects, particularly financial. An inability to find work could, over a period of time, erode all progress made by the project and cause a reversion to crime and heroin. Thus the employment rate will be important in explaining the longer term success or failure of the project.

\*These levels may prove to be unrealistic. They should therefore be regarded as guidelines, and adjusted as necessary.

APPENDIX I  
METHADONE MAINTENANCE PROJECT FORMS

This appendix contains the six forms cited in the text for recording data on the project. In addition, a seventh form, providing identification data, is described.

Form A-1 is the Arrest Record, which contains the information obtained from law enforcement agencies.

Form A-2 is the Employment Form, used to record the patient's employment information.

Forms A-3 and A-4 consist of personal and drug history information, and are completed by direct interview for each patient entering the project.

Form A-5 is the Monthly Movement of Cases, which contains numbers of new patient admissions, readmissions, and drop-outs, as well as total number of participants at the beginning and end of the month.

Form A-6 records each patient's urinalysis results, and contains the legend of codes to be used. It is shown partially filled out (for a hypothetical individual) to demonstrate how it is used.

Data allowing the patient's identity to be uniquely determined is not contained on any of the above described forms; they all use an internal ID number to identify the patient. Form A-7 provides the data linking the patient to his ID number. This data is particularly sensitive, and must be kept in a separate, securely locked container. It will be available only to the project director and individuals specifically designated by him.

ARREST CHART

Patient I.D.	Date of Arrest	Charge	Date of Disposition	Disposition

Form A-1

Page \_\_\_\_ of \_\_\_\_

Methadone Maintenance Project Employment Record  
(Start with most recent - trace back two years if possible)

Treatment Facility:	I.D. Number:	
Employer and Address		
Start Date	Termination Date	Position
Description of Duties		
Reason for leaving		
Employer and Address		
Start Date	Termination Date	Position
Description of Duties		
Reason for leaving		

(USE MORE SHEETS IF REQUIRED)

Form A-2

Methadone Maintenance Project Drug History

Treatment Facility	I. D. Number:
Do any of the people living in your household use drugs? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, who? (Mark all which apply and indicate if the person is currently in treatment)	
<input type="checkbox"/> Parent(s) <input type="checkbox"/> Spouse <input type="checkbox"/> One or more children <input type="checkbox"/> Other relatives	<input type="checkbox"/> Male Friend <input type="checkbox"/> Female Friend <input type="checkbox"/> Other
Previous treatment for drug use received throughout drug use history:	
<input type="checkbox"/> Fed. Narc. Hospital <input type="checkbox"/> M. H. Hospital Other Previous treatment received:	<input type="checkbox"/> V.A. Hospital <input type="checkbox"/> Gen. Hospital <input type="checkbox"/> Pvt. Hospital <input type="checkbox"/> Outpatient Clinic <input type="checkbox"/> Pvt. Physician <input type="checkbox"/> Other (Specify below) <input type="checkbox"/> None
Age first illegally used any drug? What was first drug?	Since onset of drug use, what was the longest period of voluntary abstinence?
Age first illegally used any narcotic drug?	What was drug?
Total number of detoxifications in hospitals, jails, lockups, etc.	Total detoxifications not in hospitals, jails, lockups, etc.
Current drug use: Indicate frequency by placing a check in appropriate box beside drug name:	

Primary Drug Used	Frequency of use during last three months		
	Daily	Less than Daily	None
Heroin			
Methadone			
Codine			
Other Narcotics			
Cocaine			
Barbiturates & other Sedatives			
Amphetamines & similar agents			
Psychedelics			
Marijuana			
Other (Specify)			

Total estimated cost to subject per day: (During last month on street)  
 A. Cost of primary drug \$ \_\_\_\_\_ b. Total cost of all drugs used \$ \_\_\_\_\_  
 (Most frequent)

Prepared By: \_\_\_\_\_ Title: \_\_\_\_\_  
 Date: \_\_\_\_\_ Form A-4

URINALYSIS REPORT (Shown partially filled out)

Treatment Facility	
Patient ID	
YEAR	1972
Month	1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31
April	0 0 0 0 0 0 0 0 0 0 0 0 0 0 X X
May	
June	

LEGEND

- 0 Specimen negative
- ± Authorized absence
- X Unauthorized absence
- N/S No Specimen
- / Clinic Closed
- D Deceased
- H In hospital
- J Jail
- A Positive for amphetamines
- B Positive for barbiturates
- C Positive for Codeine
- CC Positive for cocaine
- DI Positive for dilaudid
- M Positive for heroin or morphine

Form A-6

Methadone Maintenance Project Personal History

Treatment Facility _____		
I. D. Number: _____	Sex: Male <input type="checkbox"/> Female <input type="checkbox"/>	Date Admitted: _____
Police District: _____	First Admission: Yes <input type="checkbox"/> No <input type="checkbox"/>	Year of Birth: _____
Place of Birth: (State or Country) _____	Father - Country of Birth: <input type="checkbox"/> U. S. Other (Specify) _____	Mother - Country of Birth: <input type="checkbox"/> U. S. Other (Specify) _____
U. S. Citizen: Yes <input type="checkbox"/> No <input type="checkbox"/>	U. S. Veteran: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, Separation or Discharge Date _____ Type of Discharge: Separated, not discharged Honorable Bad Conduct General Dishonorable Undesirable Other	
Race: <input type="checkbox"/> White <input type="checkbox"/> Other <input type="checkbox"/> Black	Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated <input type="checkbox"/> Divorced	Education (Check highest grade completed): <input type="checkbox"/> None <input type="checkbox"/> Grades 1-6 <input type="checkbox"/> Grade 7 <input type="checkbox"/> Grade 8 <input type="checkbox"/> Grade 9 <input type="checkbox"/> Grade 10 <input type="checkbox"/> Grade 11 <input type="checkbox"/> High School Graduate <input type="checkbox"/> Some College <input type="checkbox"/> College Graduate <input type="checkbox"/> Adv. degree courses <input type="checkbox"/> Ungraded classes <input type="checkbox"/> Unascertained
Occupation: _____	Religion: <input type="checkbox"/> Protestant <input type="checkbox"/> Roman Catholic <input type="checkbox"/> Jewish <input type="checkbox"/> Greek Orthodox <input type="checkbox"/> Islam <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Unascert.	
Referred By: <input type="checkbox"/> Self <input type="checkbox"/> Relative <input type="checkbox"/> Friend <input type="checkbox"/> Physician <input type="checkbox"/> Private <input type="checkbox"/> Public	Name of Public or Private Agency: _____	
Household Composition: (Mark all which apply) Subject lives: <input type="checkbox"/> Alone <input type="checkbox"/> With Spouse <input type="checkbox"/> With Male Friend <input type="checkbox"/> With Parents <input type="checkbox"/> With Children <input type="checkbox"/> With Female Friend <input type="checkbox"/> In an Institution <input type="checkbox"/> With Other Relatives <input type="checkbox"/> With Others		
Ever Arrested: <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes, a. Total number _____ b. Total number of violations of the drug laws _____ c. Age first arrest _____	
PREPARED BY: _____	TITLE: _____	
DATE: _____	Form A-3	

MONTHLY MOVEMENT OF CASES

I. D. FORM

Treatment Facility _____	Month _____	Year _____	I. D. Number _____
Cases under treatment, beginning of month _____	Number of cases admitted to treatment during month	First Admissions _____	Readmissions _____
	Total Admitted _____	Number of cases terminated from treatment during month	Lost to Contact _____
	Death _____	Subjects Arrested _____	Other Terminations _____
	Total Terminated _____	Cases under treatment, end of month _____	

Form A-3

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Form A-7

**AN EXAMPLE EVALUATION COMPONENT:**

**A YOUTH SERVICES PROGRAM**

PROGRAM DESCRIPTION:  
YOUTH SERVICES PROGRAM

The Youth Services Program (YSP) is intended for individuals between the ages of 16 and 25 who have been arrested for Impact crimes, or have shown a propensity for criminal justice involvement. The program is composed of three component projects which together form a comprehensive network of youth-serving agencies.

The Youth Services Program will operate under the direction of the City Youth Services Bureau and will be administered by the Office of the Mayor. The YSP personnel will consist of a program director, a deputy director who will function as case manager, three program staff, a specialist from each of the service agencies, and a secretary. The primary role of the service agency specialists will be to man the Screening and Referral Center, but they will also participate in training, and will assist the program staff in program monitoring and evaluation. The program will require \$273,000 in Impact funds for administrative costs.

The goal of the Youth Services Program is to: (a) reduce the number of rearrests of juvenile and young adult offenders by 10% in two years and (b) reduce the number of first time arrests of juveniles and young adults by 5% in two years.

The hypothetical baseline data for this example indicates that there were 7,000 rearrests of ex-offenders between the ages of 16 and 25 and 3,000 first time arrests of individuals in that same age group during the year prior to program implementation (calendar year 1972). Therefore, if the number of rearrests of program participants is reduced by 700 (10% of 7,000), and the number of first time arrests of program participants is reduced by 150 (5% of 3,000), over a two-year period after program inception, the program will have met its goal.

As a program, rather than a project evaluation component, this example examines the interrelationships among the diverse service agencies. The rationale for the Youth Services Program is based upon the assumption that high risk youth, juveniles and young adults committing Impact crimes can be turned away from anti-social behavior through the provision of services designed to meet their needs. The Youth Services Program develops a system which unites the needs of individual clients with appropriate services. This contrasts with traditional probation systems where services are designed for the majority rather than the individual, and where the type of service delivered is often determined by its availability rather than client need.

It is beyond the capacity of a single agency to respond to the multiple causes of deviant behavior. A primary function of the Youth Services Program is to develop a system for the coordination and delivery of services. These comprehensive services can best be provided by the multi-agency, multi-service functions of a Youth Services Program.

The multi-service components for youth treatment include the following projects:

- (1) An Intervention Center Project
- (2) A Third Party Custody Project
- (3) A Job Development Project

The methods of planning, implementing, and evaluating each project would be described in the individual project grant applications.

The YSP will not operate any direct service agency itself. Its functions will be to:

- (1) conduct the screening and referral at the program intake level
- (2) monitor and amend all on-going projects within the program as necessary
- (3) determine the extent to which the component projects are succeeding in contributing to the program goal of reducing the number of juvenile and youthful Impact crime offenders

Functions 1 to 3, listed above, are all addressed in the evaluation component which follows. A YSP may also provide the following community services. However, functions 4-6 have not been addressed in the evaluation component since they do not relate to the crime reduction goals of the Impact Program.

- (4) provide technical assistance and consultation for all participating agencies
- (5) serve as a central community information center on youth services
- (6) develop a training center to provide the necessary training for project staff

An important function of the YSP is to screen, assess and refer all youth entering the system to one, or more, of the specific projects. The needs of each client are defined following a comprehensive behavioral assessment. The purpose of the "needs assessment" is to determine what services the client requires, and to establish accountability on the part of the system to provide such services. Service delivery is programmed on the basis of identified, individual need.

Figure 1 illustrates the interrelationship of the projects, and the flow of participants through the program. All individuals entering the program will be routed through a centralized screening and referral facility operated by YSP staff, with the program's target population being drawn from three sources. One group will consist of juveniles and young adults between the ages of 16 and 25 who are being charged with the commission of a stranger-to-stranger crime or burglary. All of these individuals will enter the program through the adult or the juvenile court. In the adult court prior to initial arraignment, and in juvenile court after the initial interview with the intake counselor, a determination will be made as to whether an individual is eligible for the Youth Services Program as an acceptable alternative to traditional processing through the criminal justice system. If eligible, the individual would be sent to the Screening and Referral Center where both project and program personnel would determine which project(s) will best suit the needs of the individual.

The second group will consist of juveniles and young adults between the ages of 16 and 25 who are not currently being charged with a crime (although they may be previous offenders). These individuals will enter the program through a voluntary Intervention Center (IC). Clients of the IC will include both past Impact crime offenders and high risk youths displaying anti-social behavior traits whose criminal involvement is imminent. An individual will enter the IC on his own or through referral by a variety of outside sources. Entrance should be voluntary with minimum apparent coercion. After an initial

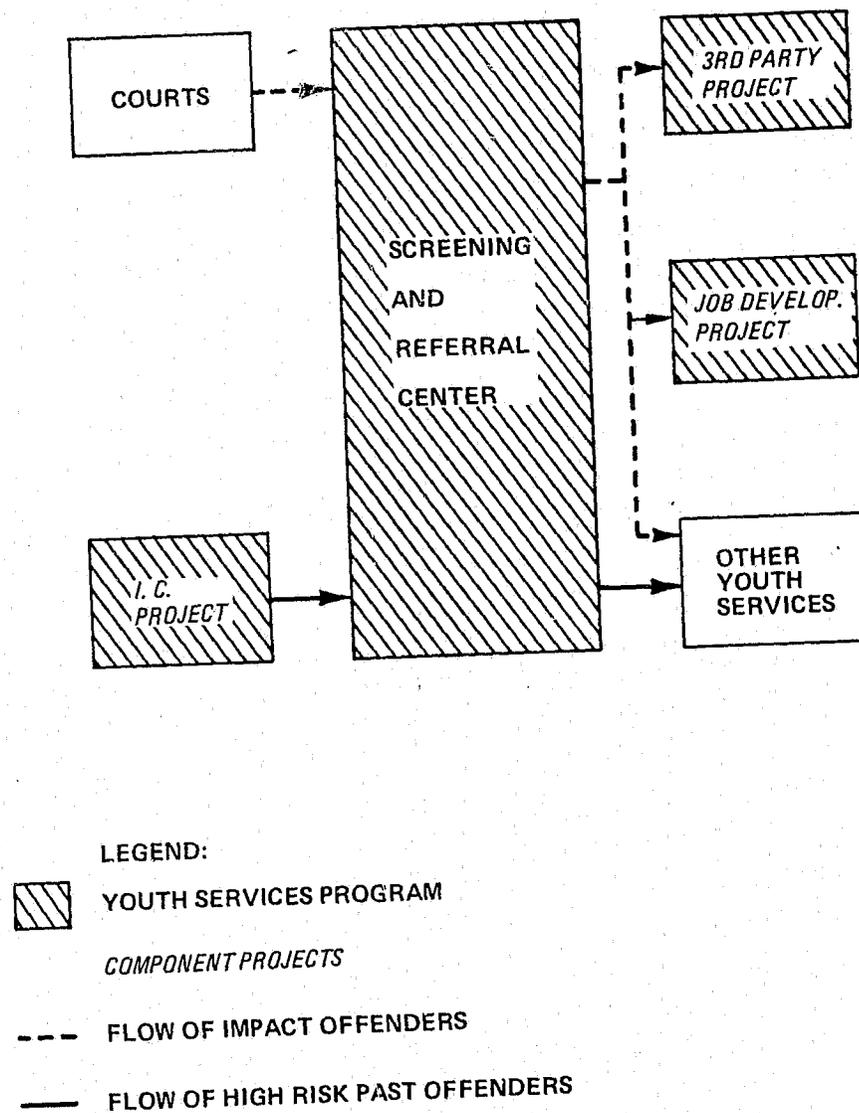


FIGURE 1  
THE YOUTH SERVICES PROGRAM

interview at the IC, the intake counselor will decide if the prospective client could be helped by some aspect of the Youth Services Program. If so, the counselor would then refer the individual to the YSP central facility, where the program director in conjunction with IC and other project staff will assign the person to the appropriate project(s).

A third source will consist of individuals re-entering the program. This category will include: (1) participants who are rearrested during the course of the project, or who receive their first arrest, and (2) participants who drop out. These individuals will not be automatically eliminated from the program. An individual determination will be made for each case falling into the above two categories. For evaluative purposes, once an individual has re-entered the YSP, they will be regarded as a new program participant.

A centralized case management system will also operate out of the Screening and Referral Center. The Project personnel will transmit data to the YSP case manager. The case manager will in turn assign members of his staff to follow through each case to completion of services while periodically monitoring the services delivered. YSP staff will maintain a position of advocacy in assuring delivery of services. They will maintain a continuing relationship with the client. Individual drop-outs will be analyzed relative to the specific project(s) treatment plan(s) by the cognizant project director(s).

For program evaluative purposes, the case manager will randomly select some drop-out cases to determine if all needs were met. It may be that some cases would have succeeded or have been more successful if added services were available within the program. Thus, evaluation at the program level is essential to fully understand failures, etc. The case manager will also randomly select cases where individuals participated in the projects to which they were assigned. The fact that these individuals did not drop out of a project does not provide assurance that their needs were adequately met. This kind of review should provide useful feedback to project personnel concerning the adequacy and completeness of their project operations in dealing with the needs of all their clients.

In general, the method used to perform program level evaluations depends on the units of measure of each of the individual project's objectives. For some programs, it may be that all of the projects have commensurate objectives, such that the program goal is merely the summation of the individual project objectives. Such an example could be a Court Reform Program whose goal is the reduction of court delay. Assuming that all of the Court Reform projects measure their success in terms of contributing to reducing court delay, all measures would be in units of time and thus, the program evaluation would merely look at the projects' objectives collectively.

However, this is not the case for the Youth Services Program. Each youth service project has non-commensurate objectives within the YSP. For example, the Third Party Custody Project objective is to successfully divert 300 juveniles and young adults from incarceration, the Job Development Project objective is to gainfully employ 200 juvenile and young adult ex-offenders, and the Intervention Center objective is to intercept and divert 350 high risk youths and ex-offenders from possible future involvement with the Criminal Justice System over a period of two years. By meeting their own objectives, each project will be contributing toward the program goal of reducing the number of Impact crime offenders.

## I. EVALUATION MEASURES

Two measures of effectiveness have been chosen to determine whether the Youth Services Program is meeting its primary goal of reducing the number of Impact crime offenders. These are:

- (1) the number of rearrests of youthful offenders over a two-year period, and
- (2) the number of first time arrests of juvenile and young adults over a two-year period.

It is assumed that the opportunities provided by the Youth Services Program will reduce the incidence of rearrests and first time arrests among program participants and thereby decrease the overall incidence of crimes that are a target of the Impact program. This assumption is based on an analysis of the target population including (1) the crimes that these youthful offenders have previously committed, (2) the pattern of crimes that such offenders might be expected to commit after their release from prison if they are not diverted from incarceration, and (3) the crimes that youths displaying anti-social behavior are likely to commit if not diverted away from the criminal justice system.

Since the effectiveness measures of program success cannot be taken until well after the program's inception, a number of efficiency measures of program functioning should be identified. However, recognizing that much of what is done at the program level is dependent upon interactions at the project level, other useful measures may become apparent and will be developed after the program has become operational. The following discussion identifies nine efficiency measures which will be useful in assessing how well the program is progressing.

### Contribution of Projects Toward Program Goal (Measure 1)

At the program level, the director should compare the contribution of component projects toward the overall Program goal. It will be necessary to compare the efficiency of each participating agency with every other project in the YSP. Based on this knowledge of the overall workings of the system, the program director will then be able to review each individual grant application in order to determine the correct distribution of funds within the Youth Services Program area.

In the early stages of a project, the contribution may be misleadingly low, since few, if any, of the referrals to a project will have as yet been carried to completion.

In addition to comparing the contribution of each project to the program goal, the program director will also want to measure participant involvement.

### Number of Participants Who Successfully Complete Each Project (Measure 2)

#### Number of Participants Who Drop-Out of Each Project (Measure 3)

The number of successes and drop-outs will be categorized at the program level according to project participation, that is, I.C., third party custody or job development. This kind of information may indicate what types of individuals tend to succeed or fail in the Youth Services Program.

The screening and referral process is a key function of the program and must be assessed with regard to the effectiveness of each assignment made. Every project must submit weekly data to the Screening and Referral Center regarding the number of available spaces in their respective projects. When making assignments, the program staff attempts to minimize the dollars spent while maximizing the probability of an individual's succeeding in that particular project. Project success is directly related to careful screening and proper assignments. If there is a high rate of failure in a project, and it appears that the project is operating at an acceptable level, then one may assume that the reason the project is failing is that the project participants do not belong in that project. Unless the failure rate is extreme, this may not be noticed at the project level. Distinguishing between a bad project and a bad assignment can best be done at the program level. Therefore, the program director will also want to measure participant reassignment.

### Number of Program Participants Who Have to be Reassigned (Measure 4)

Measurement of assignment success at the program level is indicated by the number of program participants who are sent back to the Screening and Referral Center for reassignment. This may indicate an inappropriate assignment after the initial screening.

The program director should also look at the attractiveness of the program as a whole. He may find that while many individuals are deemed eligible for the YSP, only a small number actually enroll in the projects.

Some of these may be individuals who voluntarily contacted the IC, but never went on to the Screening and Referral Center. This would reflect the inability of the IC to relate to potential clients. For whatever reason, the program director will want to measure program appeal.

### The Attractiveness of YSP to Enroll Participants (Measure 5)

The measurement of program attractiveness is the ratio of the number of enrollees in the YSP to the number who are deemed eligible for the program by the Screening and Referral Center.

Other areas of program functioning which should be examined include referral patterns.

### Referral Patterns (Measure 6)

The screening and referral process might have built-in biases which would tend to assign a disproportionately high number of potentially difficult individuals to certain particular projects. These projects might then have unsatisfactorily high failure rates which could be revealed, but not explained, by the project evaluations.

There are a number of factors that could influence the process of referral to projects and consequent project success. These factors might include the individual's criminal history; the nature of personal ties to family and community; a history of participation in other projects or programs; general intellectual capacity; level of motivation and attitudes toward the program, etc. These variables should be examined for individuals channeled through the courts as well as those persons who entered the program voluntarily.

#### Participant Attitude (Measure 7)

Participant attitude is a good indicator of the success of a program. YSP staff will develop quarterly summaries based on attitudinal data collected by each project. The summary will be given to an outside group of attitudinal experts who, along with the program director, will analyze the data in order to see if there are attitudinal patterns developing across the system. Attention will be directed at the participants attitudes in relation to:

- (1) the perceived relevance and utility of the project experience;
- (2) the adequacy of the project in meeting the participant's personal needs - as he defines them;
- (3) the perceived strengths and weaknesses of the project; and
- (4) the means by which the project could be made more effective and efficient with a focus on personnel as well as project components.

The quarterly summaries will be used by program personnel to evaluate the overall program as well as its component parts.

#### Program Awareness and Acceptance (Measure 8)

The degree of awareness of the program by the criminal justice community must be determined. Since many prospective program participants will enter through the courts, the YSP must rely upon the awareness and cooperation of the courts. In addition, many IC clients will be referred to the YSP by sources such as the police, the schools, the clergy, parents, etc. Without the full awareness of the YSP on the part of criminal justice agencies and the community at large, the program cannot succeed. Therefore, it is the responsibility of YSP staff to publicize the program and "sell" it to the community on a continuing basis to enhance program success. Relative acceptance of the YSP by the referral agencies will be reflected in terms of the quantity of referrals made by each of these agencies.

In addition, a brief survey will be conducted of key community and agency personnel as well as a sample of youth who are eligible for voluntary referral to determine if there is clear and complete understanding about the nature of the program, its goals, methods of operation, and actual project components. Lack of awareness and misperceptions about these issues on the part of individuals in the community whose response affects the program, as well as potential program clientele, could serve as effective barriers to program success.

#### Post Program Analysis (Measure 9)

The ultimate success of the Youth Services Program depends upon its participants' social adjustment after program completion. Thus, the program will sample individuals within two years of the time they successfully complete the program, and will attempt to ascertain the degree to which each of these individuals has become a self-sufficient member of society.

Although stability cannot be measured in rigorous and quantitative terms, it is important to establish some criteria which can be used to determine how successful the program was in helping participants to function constructively in their environment after they have

completed the program. Possible indications of stability could be an individual's employment record, place of residence, or family status. For those who are too young to be considered self-supporting, a determination could be made as to whether they have been reaccepted into their prior role in the community as a student, family member, etc.

While certain individuals may represent clear-cut cases of success or failure, there may be many whose situation is not as simple to evaluate. For these cases, it would be the program director's responsibility to assess the individual's particular situation and make a subjective evaluation of this person's progress toward effective social adjustment.

## II. DATA NEEDS

This section discusses the data requirements necessary to determine the values of the measures defined in the previous section. The calculations used are described in the analysis section.

After the discussion of data requirements, some general information pertaining to the collection and management of the data is presented.

### Data Requirements

#### For the Effectiveness Measures

The two effectiveness measures were defined as:

- (1) The number of rearrests of participating juvenile and young adult offenders over a two-year period.
- (2) The number of first-time arrests of participating juveniles and young adults over a two-year period.

Data for these measures will be obtained from the police, who have agreed to review program participant lists monthly, and indicate those who have been arrested. For each arrest, the police have also agreed to provide a copy of the statement of arrest, and the charge. Data on which participants are previous offenders will be available within the program, thus making the above information sufficient to determine first arrests and rearrests.

In addition, the police have provided baseline data dealing with the numbers of first and rearrests among 16- to 25-year olds for calendar year 1972. They have agreed to cooperate with program staff, should data for previous years be needed.

#### For the Efficiency Measures

The data required for the first efficiency measure, Contribution of Projects Toward Program Goal, can be obtained directly from the individual project files. The information collected will include both client movement data and expenditure data, so that comparative studies of project efficiency can be conducted.

Efficiency measures 2 and 3-- the Number of Participants Who Complete and the Number Who Drop Out of each project -- are directly determinable by count from the project files.

The data required for the fourth measure, Number of Reassignments, can be obtained directly from the Screening and Referral Center, where all reassignments are made.

For the fifth measure, Attractiveness of the YSP, the actual number of enrollees is obtainable from each participating project, and the number deemed eligible for the program is available from the Screening and Referral Center.

Measures 6 through 8, Referral Patterns, Participant Attitude and Program Awareness deal with attitudes and thus depend upon questionnaires and/or interviews for their required data.

The various factors discussed in measure 6 which could influence the process of referrals will be obtained through client interviews conducted by YSP personnel at the

Screening and Referral Center. Monthly summaries will be prepared and forwarded to the program director for analysis.

Participant attitude of the program as a whole, will be based on the project level attitudinal surveys conducted within each project. (See for example, "A Job Development Project for Youthful Offenders.") Quarterly summaries will be prepared by the YSP staff for review and recommended action by the program director. Attitudinal surveys will not be done at the program level so as to avoid redundant questioning of program participants.

Program awareness and acceptance will be based on the surveys discussed in Program Awareness and Acceptance (above). The surveys to be conducted by YSP personnel at various intervals throughout the duration of the project, will be summarized and forwarded to the program director. The number of referrals to the YSP will also be required for measure 8. Monthly reports summarizing referral data will be prepared at the project level for the program director.

The ninth measure, Post Program Analysis, is an attempt to ascertain the effects of the program on an individual's life after he has successfully completed the program. The idea of social adjustment is a relatively unspecific one, and does not lend itself to a complete determination of all the data which will prove to be desirable. Some of the more obvious data elements that will clearly be useful toward such a determination are:

- (1) Employment history and current employment status
- (2) Place and nature of residence (i.e., furnished room, apartment, parent's house, etc.)
- (3) Relationship to family
- (4) Educational status
- (5) Significant activities (i.e., volunteer work, vocational training, etc.)
- (6) Involvement with the criminal justice system (arrests, indictments, etc.)

Any other data that seems relevant toward reflecting the degree to which a program "alumnus" has successfully adjusted will also be collected.

### Data Collection and Management

Aside from arrest and rearrest information on program participants, virtually all of the data will be generated internal to the program (e.g., file of program participants) or by program staff (e.g., data relevant to degree of reintegration into society). Thus, there will be a minimal amount of validation required. The police have agreed to validate the arrest information provided to the program every six months.

All program data will be stored in secure file cabinets to which only the program director and designated staff members will have access. In addition, arrangements have been made for data processing support, primarily to do the various types of counts required to calculate the interim measures. The computer file which will be used for this will contain no explicit identifying information (i.e., names, addresses, etc.). Instead, each participant record will contain a confidential program-generated number linking the computer record to the records with identifying information in the file cabinet.

Every month a summary report will be generated, and distributed to program staff and to each project director. This report will contain the following information:

- (1) Number of participants in each project at beginning of month
- (2) Number of new admissions to each project during month
- (3) Number of drop-outs from each project during month
- (4) Number of participants in each project at end of month
- (5) Number of court referrals during month
- (6) Number of voluntary program entrants during month
- (7) Number of first arrests among program participants during month
- (8) Number of rearrests among program participants during month
- (9) Total number of program participants to date
- (10) Total number of drop-outs to date
- (11) Total number of successful completions to date
- (12) Total number of present program participants
- (13) Total number of first arrests among program participants to date
- (14) Total number of rearrests among program participants to date

### III. ANALYSIS

#### Effectiveness Measures

Assuming that the program will have two years from its estimated starting date of January 1973 to attain its goals, the final analysis relevant to the effectiveness measures will consist of comparing the data in January 1975 with that of January 1973 and determining the percent reduction in arrests and rearrests. In other words, the number of rearrests during calendar year 1972 of ex-offenders between 16 and 25 would serve as baseline data for the goal of reducing the number of rearrests of that group by 10%, and the number of first-time arrests during calendar year 1972 of first-time offenders in the 16- to 25-year age group would be baseline data for the goal of reducing the number of first-time arrests in that age group by 5%. At any point during program implementation (after one full year), the data for the latest twelve-month period could be used to perform an interim analysis.

Suppose the data shown in Figure 1 has been collected.

	Jan 73	Jan 74	June 74	Oct 74	Jan 75
Rearrest of ex-offenders	7000	6850	6650	6475	6300
First-time arrests	3000	2950	2925	2900	2850

Figure 1. Arrest Data for YSP

In interim analysis performed in January, 1974 would reveal the following:

For rearrests of ex-offenders, a drop from 7000 to 6850, or

$$\frac{7000 - 6850}{7000} = 2.14\%$$

For first-time arrests, a drop from 3000 to 2950, or

$$\frac{3000 - 2950}{3000} = 1.7\%$$

By June, 1974 these results would have changed, as follows:

For rearrests of ex-offenders, a drop from 7000 to 6650, or

$$\frac{7000 - 6650}{7000} = 5.00\%$$

For first-time arrests, a drop from 3000 to 2925, or

$$\frac{3000 - 2925}{3000} = 2.5\%$$

In October, 1974 for rearrests of ex-offenders, a drop from 7000 to 6475, or

$$\frac{7000 - 6475}{7000} = 7.5\%$$

For first-time arrests, a drop from 3000 to 2900, or

$$\frac{3000 - 2900}{3000} = 3.3\%$$

In January, 1975 the final analysis would reveal that both goals had been met:

For rearrests of ex-offenders, a drop from 7000 to 6300, or

$$\frac{7000 - 6300}{7000} = 10\% \text{ (Goal was 10\%)}$$

For first-time arrests, a drop from 3000 to 2850, or

$$\frac{3000 - 2850}{3000} = 5\% \text{ (Goal was 5\%)}$$

#### Efficiency Measures

The first measure calls for a comparative analysis of project efficiency. In order to determine the efficiency of individual projects in contributing toward the program goal, measures 2 and 3, that is the Number Who Successfully Complete each project and the Number Who Drop Out of each project, will be used.

The positive contribution of each project toward the program goal is related to the number of participants who "successfully" complete the project. Unfortunately, if only "successful" graduates are counted, and measurements must be taken at discrete times for project performance, there is no simple way to account for participants still enrolled in the project. Thus, the negative contribution, i.e., "failures," must also be determined, and used to approximate (or predict) the true contribution of the project.

The negative contribution is determined by dividing the number of project participants who drop-out or are returned to Screening and Referral for reassignment by the number initially enrolled in that project, expressing the result as a percentage. For example, suppose that at some point in time a certain project has had 100 referrals, 22 successes, four drop-outs, six reassignments out of the project, and (thus) 68 current participants. The "success rate" would only be 22%, but the "failure rate" of 10% would indicate a predicted "success rate" of 90%. (The correct value lies somewhere between 22% and 90%, but is likely to be a good deal closer to 90%, since failures must, of necessity, occur quicker than successes.)

In order to ascertain the efficiency of individual projects in contributing toward the program goal, it will be necessary to determine how project activities are carried out in terms of time, allocation of manpower and equipment, and expenditure of funds.

Based upon a comparative analysis of the efficiency of each participating agency with every other project in the program, the program director will be able to determine the correct distribution of funds for projects within the YSP. For example, a project which is operating efficiently would be a likely candidate for additional funds. On the other hand, a project which has been inefficient in contributing toward the program goal, might be phased out.

The Number of Reassignments, measure 4, hopefully will be sufficiently small to enable each case to be analyzed individually. When the number of reassignments reaches a value where each case cannot be individually assessed, then the Screening and Referral Center must be carefully scrutinized by the program director.

The fifth measure, Attractiveness of YSP to Enroll Participants, is the ratio of the number of enrollees in the program to the number deemed eligible for the program by the Screening and Referral Center. The ratio should increase over time as additional projects

become part of the YSP service system. If the number of enrollees does not continue to increase, the problem will be flagged for the program director's attention.

The sixth measure, which deals with possible biases in the referral process, will come into play any time one or more projects show an unsatisfactorily high failure rate which cannot be adequately explained by the project directors involved. To explore the possibility that the problems may be external to the projects, the records of all individuals referred to those projects will be examined. If it should be determined that a disproportionately high number of these individuals are particularly difficult (i.e., higher than normal propensity toward failure), then this would indicate the Screening and Referral Center to be at fault, and in need of some modification.

Measure 7, Participant Attitude will be based on the attitudinal surveys discussed in Section B. If excessive drop-outs occur, exit interviews will be conducted, whenever possible, by the cognizant project staff. Gross attitudinal measures, being highly subjective, must be analyzed in depth by both program and project staff, prior to making any major revisions in the program.

Program Awareness and Acceptance, measure 8, will be determined by the YSP personnel. Prior to program inception, a publicity campaign will be conducted to familiarize the community with the program. The publicity campaign is expected to be an on-going effort as long as it is needed.

Results of the surveys, discussed in measure 8, to determine program awareness and understanding within the community, will be prepared by YSP personnel and submitted to the program director quarterly. They will be one indication of the effectiveness of the publicity campaign.

An analysis of the quantity of referrals to the YSP will also be used as an indicator of community acceptance. Monthly reports summarizing referral data will be prepared at the project level for the program director. Each month the program director will forecast the number of additional participants the program can accept the following month. Insufficient or excessive referrals will require the program director to contact the individual referral agencies and reassess the quantity and type of service agencies participating in the program.

The post-program analysis will be qualitative in nature. It will consist of reviewing the data collected for each of the program "alumni" and making the subjective determination as to whether or not, in each case, the individual appears to have become a useful member of society with a reduced propensity toward crime.

**AN EXAMPLE EVALUATION COMPONENT:**

**AN INTERVENTION CENTER PROJECT**

PROJECT DESCRIPTION  
AN INTERVENTION CENTER PROJECT

SITUATION

The community is a microcosm of the crime picture throughout the nation: 26 percent of total police arrests involve youths under 18 years old; 40 percent are under 21; and 54 percent are under 25. For serious crime only, the figures change: 19 percent of all arrests involve juveniles under 15 and almost half are under 18. Furthermore, juveniles and young adults have the highest recidivism rate of all age groups. A significant reduction in Impact target crime can be achieved by diverting past offenders from re-involvement with the criminal justice system, and by intercepting others whose involvement is imminent.

PROJECT

- Purpose: To establish an intervention center system to intercept youthful ex-offenders prior to their re-involvement with the criminal justice system and to interdict those on the brink of involvement.
- Budget/Scope: \$115,000 per year for two years.
- Agencies: Community Council of Intervention appointed by the Mayor and ratified by the City Council.
- Objective: To intercept 200 Impact crime offenders (from an estimated population of 7,000) before their re-involvement with the criminal justice system. To intercept 150 high risk youth (from an estimated population of 3,000). Both objectives should lead to a decrease in the High Impact crime rate.
- Implementation: Three Intervention Centers (I.C.'s) will be established and staffed by psychiatrists, clinical psychologists, social workers and trained specialists. Project participation will be on a voluntary basis; clients will enter the project via either a telephone call on a "Hot-line" manned 24 hours a day or referral by parents, clergy, friends, etc. Initial contact will be with an Intake counselor who screens entrants to determine their stability for project participation. Thereafter, the I.C. staff will prepare a detailed analysis of each participant, followed by a remedial plan of treatment that will curtail probable future involvement with the criminal justice system. Following client reaction and adjustment to the remedial plan, the I.C. staff will make the necessary administrative arrangements with the Youth Services Program or other community service agencies.
- Constraints: An operational constraint may be a shortage of community resources and facilities in the event of a large number of I.C. clients.
- Results Anticipated: Interception and diversion of 350 past offenders and high risk youths. A reduction in the number of target population rearrests by 2.9 percent in two years and a reduction in the number of target population first-time arrests by 5 percent in two years.

I. EVALUATION COMPONENT

Two effectiveness measures of success have been selected for this project: the reductions in the number of rearrests of youthful past offenders and the number of first-time arrests for juveniles and young adults. A composite of both measures will be reflected through reduction in the number of total juvenile and young adult arrests. For the purposes of this project, it is assumed that a decrease in the number of Impact arrests reflects a decrease in the crime rate caused by the Youth Services Program and is not attributable to a falling off of police efficiency, or other exogenous factors.

Since treatment programs will rarely be shorter than six months in duration, there will be a lag effect in showing the success of Intervention Centers (I.C.) from arrest statistics. Therefore, two efficiency measures of I.C. performance have also been chosen: the number of calls handled by the hot line and the change in the number of potential clients coming to I.C. for an initial interview. These two efficiency indicators have the advantage of reflecting the success of I.C. sooner than arrest statistics would.

Another efficiency measure of I.C. success is the quality of the remedial plan in treating its clients through appropriate referral to diversion projects. This will be evaluated at the program level, since only there can the projects be viewed as a system.

Data Requirements

The two effectiveness measures of the success of I.C. address two essentially different clientele groups. (While data requirements will vary with respect to the two clientele groups, there will be some overlap.) The first measure, reduction in the number of rearrests, concerns itself with youthful previous offenders. The second measure, reduction in the number of first-time arrests, indicates the success of I.C. in diverting high-risk youth from criminal involvement.

The data that will be required for each measure of I.C. success follows.

Effectiveness

Three sets of data elements are required to measure project effectiveness:

- (1) Reduction in the number of rearrests of past offenders
  - (a) the number of total arrests for Impact crimes, per year
  - (b) the number of past offenders arrested\*
  - (c) the number of past offenders arrested having had I.C. exposure\*
- (2) Reduction in the number of first time arrests
  - (a) the number of total arrests for Impact crimes, per year
  - (b) the number of offenders arrested for the first time\*
  - (c) the number of offenders arrested for the first time having had I.C. exposure\*
- (3) Reduction in total police arrests involving youths, 16 to 25 years of age, per year\*

\*Includes offenders arrested for all crimes except minor misdemeanors, e.g., traffic offenses.

- (a) before the inception of the I.C. project
- (b) after the inception of the I.C. project

#### Efficiency:

Two data elements are needed to measure efficiency:

- (1) Hot line calls handled - the number of incoming calls to I.C. monthly.
- (2) Initial interviews of potential clients - the total number of initial interviews conducted by intake counselors at the three I.C. sites monthly.

In addition to data requirements that reflect the success of I.C. as a project, the intake counselor is responsible for collecting the following qualitative information about each prospective client (see Appendix I for the forms to be used):

- (1) Prior involvement with the criminal justice system including arrest dates, court action and disposition.
- (2) Comprehensive personal and family history.
- (3) Employment history.
- (4) Summary of educational background.
- (5) The client's candid self-assessment.
- (6) Documentation of anti-social behavior which indicates probable future entree into the criminal justice system (i.e., fist fights, suspensions, threats).

For youths with exposure to the criminal justice system and after formal admission, the following additional information is needed:

- (1) A copy of the client's criminal history, including arrest records, if any.
- (2) A copy of the indictment and court records.
- (3) A copy of the final court disposition and probation reports, if any.

After formal admission and professional consultation, the client may be requested to take specified psychological tests whose results will not be subject to evaluation.

After leaving I.C., the number of consecutive months the client has no contact with the criminal justice system is progressively updated.

#### Data Constraints

One obvious constraint in collecting data will be the cooperation of the clients. If the client is not cooperative, for whatever reasons, he may delete certain information elements, alter others, or intentionally add false ones. Whether a client errs unwittingly or deliberately, an inaccurate data information base requires staff resources to rectify.

Legal (and political) restraints on the release of police and court records must be considered, in addition, when planning the collection of specific data elements.

#### Data Collection

The intake counselor at each I.C. site will collect all personal, employment, and educational information.

For youths with exposure to the criminal justice system, the intake counselor will perform the necessary liaison with the police, courts and probation. He will ascertain the dates of arrest, indictment, and disposition, as well as the nature of the charges and disposition. See Appendix I for the data summary sheet.

A research analyst with a strong background in mathematics and social science will work with the intake counselor and be responsible for the collection, reduction, and analysis of all measures of I.C. project effectiveness and efficiency. These are discussed under Data Requirements. See Appendix II for Research Assistant Data Sheets.

#### Data Management

Information about each client will repose in his respective Intervention Center. It will be safeguarded as confidential and may only be released to non-I.C. organizations with the consent of the client and the Center Administrator. Client information may be the subject of comparative evaluations by I.C. staff as long as it is treated as a data element within the context of the I.C. project. Client information will be kept in individual folders identified with unique client numbers. The key linking the code number with an individual is available to the Center Administrator or his designees.

The folders will be kept in locked files with staff access entrusted to the intake officer at each I.C.

#### Data Validation

Data and records provided by the components of the criminal justice system, i.e., police, courts, and corrections, will be scanned for data inconsistencies. Validating information generated where components of the criminal justice system intermesh is critical to avoid clerical and administrative errors.

If inconsistencies are discovered, they are followed through and an I.C. spin-off service will be realized for its client and the criminal justice system.

In addition, cursory validation of the client's employment, family and educational histories will be made when the intake counselor deems it appropriate.

## II. ANALYSIS

### Methods

While it is true that some modicum of I.C. success is reflected through meeting the objectives, the converse does not follow. Meeting project objectives may not be entirely attributable to I.C. because other projects in the Youth Services Program also bear upon the reduction of the number of arrests and/or rearrests.

The success of the I.C. Project will be determined by the following measures.

Effectiveness Measures. The effectiveness measures are designed to reflect the success of the project objectives. The objectives of the project are to:

- (a) Reduce the rearrest rate of youthful ex-offenders by 2.9% in two years, and
- (b) Reduce the number of first-time arrests by 5% in two years.

This could be rewritten to be:

- (a) Diverting 200 past offenders (from an estimated population of 7000) from criminal patterns of behavior by channelling their energies into socially acceptable, constructive alternatives, and
- (b) Intercepting 150 high-risk youths (from an estimated population of 3000) displaying anti-social behavior traits, on the brink of involvement with the criminal justice system.

If these objectives were to be fully realized by January 1975 (assuming project funding and operation by January 1973), the following prototype milestone chart would hold.

MILESTONE CHART

Figure 1

	Jan 72	Jan 73	Jan 74	Jan 75	Decrease Since Jan 73	Percent Decrease
		Begin I.C. Project				
Rearrests of ex-offenders	6400	7000	6950	6800	200	2.9%
First time arrests	2900	3000	2950	2850	150	5.0%
Total arrest for Impact offenses	9300	10,000	9900	9650	350	3.5%
		Begin I.C. Project				

During the year between January 1972, and January 1973, there were 20,000 arrests for Impact target crimes. One-half of the Impact arrests, 10,000, were of youths 16 to 25. Furthermore, 70% of Impact crime arrests are of previous offenders (70% of 10,000 = 7,000). The remainder, 3000 (10,000 - 7,000), is the number of first time arrests.

From January 1972 to January 1973 rearrests of ex-offenders in our city increased from 6400 to 7000, while first-time arrests increased from 2900 to 3000. Thus, arrests for Impact crimes, of those 16 to 25, totaled 10,000 for the year between January 1972 and January 1973.

In order to ascertain if the I.C. Project is succeeding, the number of rearrests of ex-offenders and the number of first-time arrests occurring between January 1973 (project inception) and January 1974 must be determined.

In Figure 1, the number of ex-offender rearrests stands at 6950 in January 1974. Using January 1973 figures as baseline data, it is observed that a .7% drop in the number of ex-offender rearrests has occurred by January 1974.

$$(7000 - 6950)/7000 = .7\%$$

By January 1975, the total project objective is reached, since rearrests of ex-offenders continue to fall:

$$(7000 - 6800)/7000 = 2.9\%$$

Thus, the success of the first project objective is established.

The same methodology is employed in determining the success of the second project objective, i.e., the reduction of first-time arrests by 5% in two years. See Figure 1.

$$(3000 - 2950)/3000 = 1.7\%$$

$$(3000 - 2850)/3000 = 5.0\%$$

Thus, the second project objective has been realized.

### Efficiency Measures

Inasmuch as the effectiveness measures are dependent on the acquisition of police data, there is apt to be a lag in gauging the success of project objectives. To fill the interim in determining project success, bimonthly data on in-house parameters will be used, thus yielding a more timely response.

The research analyst will summarize, bimonthly, the number of calls received by the "Hot Line" and the number of initial interviews conducted with potential clients.

If, for example, I.C. 1-1000 receives 200 calls the first two weeks and 500 during the following two weeks, there will have been a 150% rise in the number of incoming calls.

$$(500 - 200)/200 = 150\%$$

The total number of incoming phone calls during two-week periods might show a rise at first, due to start-up lag; reach a peak; and then level off at a plateau. Typical incoming call totals for the first ten two-week periods might appear as follows:

1st	2nd	3rd	4th	5th	6th	7th	8th	9th	10th
200	500	600	650	700	720	700	680	690	670

Success of the project objectives is indicated if this general pattern is approximated. The trend in the total number of incoming calls is the critical factor, not the absolute number of calls. The total number of incoming phone calls should be recorded on a continuing basis and can be used as a backup measure against which to compare anomalies in the effectiveness measurements.

Additionally, the research analyst will document the collective treatment postures (undergoing assessment, residential center, occupational therapy - see Appendix II) of all clients handled by his Center.

The research analyst will also collect I.C. post-treatment information. He will trace the status of those having finished I.C. treatment by summarizing their collective activities (holding job, in school, rearrest - see Appendix II) subsequent to their completion.

#### APPENDIX I

The forms included in Appendix I are to be filled out by the intake counselor attached to each Intervention Center.

Form 1 - Prospective Client Eligibility Criteria

Form 2 - Prospective Client Personnel History, Educational Background and Employment Record

Form 3 - Prospective Client Involvement with Criminal Justice System

APPENDIX I  
 INTERVENTION CENTER PROJECT INTERVIEW FORM  
 Prospective Client Eligibility Criteria  
 Form 1

Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Age \_\_\_\_\_ Date of Birth \_\_\_\_\_  
 Single \_\_\_\_\_ Married \_\_\_\_\_ Separated \_\_\_\_\_ Divorced \_\_\_\_\_  
 Other (explain) \_\_\_\_\_  
 Financial support of prospective client:  
 Working \_\_\_\_\_ On Welfare \_\_\_\_\_ Parents \_\_\_\_\_  
 Supported by Other (explain) \_\_\_\_\_  
 \_\_\_\_\_  
 Motivation of prospective client in coming to I.C.  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Previous involvement with the criminal justice system.  
 Yes \_\_\_\_\_ (if yes, fill in Form 3) No \_\_\_\_\_  
 Interviewer's estimate of future probable involvement with the  
 criminal justice system  
 20% \_\_\_\_\_, 40% \_\_\_\_\_, 50% \_\_\_\_\_, 80% \_\_\_\_\_, 100% \_\_\_\_\_

Form 1 - Page 2

Interviewer's estimate of probable imminency of involvement with the  
 criminal justice system.  
 Less than: one week \_\_\_\_\_, one month \_\_\_\_\_, three months \_\_\_\_\_,  
 one year \_\_\_\_\_  
 Estimate of prospective client cooperation should he/she be admitted.  
 Very cooperative \_\_\_\_\_, cooperative \_\_\_\_\_,  
 less than cooperative \_\_\_\_\_  
 What is the prospective client's self concept? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Recommendations and additional comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Interviewer's Signature \_\_\_\_\_  
 Date of Interview \_\_\_\_\_

INTERVENTION CENTER PROJECT INTERVIEW FORM  
 Prospective Client Personal History, Educational  
 Background and Employment Record  
 Form 2

Personal History:  
 Name of Father \_\_\_\_\_  
 Living \_\_\_\_\_, if yes, age \_\_\_\_\_  
 Maiden Name of Mother \_\_\_\_\_  
 Living \_\_\_\_\_, if yes, age \_\_\_\_\_  
 If Married, name of spouse \_\_\_\_\_  
 If Separated or Divorced give details and dates \_\_\_\_\_  
 Children? \_\_\_\_\_ If yes, give names and ages \_\_\_\_\_  
 \_\_\_\_\_  
 Health problems? (Include drug usage) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Is prospective client receiving welfare? \_\_\_\_\_  
 Name of Welfare Agency \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Since: \_\_\_\_\_  
 Is prospective client receiving support from parents? \_\_\_\_\_  
 How much per month? \_\_\_\_\_  
 Since: \_\_\_\_\_

FORM 2 (CONCLUDED)

Employment Record:  
 Name and address of present employer \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Nature of work \_\_\_\_\_  
 \_\_\_\_\_  
 Salary \_\_\_\_\_  
 Name and address of past employers:  
 Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Name \_\_\_\_\_  
 Address \_\_\_\_\_  
 Regardless of experience, what sort of work does client seem  
 suited for? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Signature of Interviewer \_\_\_\_\_  
 Date of Interview \_\_\_\_\_

FORM 2 (CONTINUED)

Educational Background:  
 Highest grade completed (Circle one):  
 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16  
 Name of School \_\_\_\_\_ Address \_\_\_\_\_  
 Elementary \_\_\_\_\_  
 Jr. High School \_\_\_\_\_  
 High School \_\_\_\_\_  
 College \_\_\_\_\_  
 Trade Schools attended:  
 Name of Institution \_\_\_\_\_ Address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Regardless of training, what sort of education does client seem  
 suited for? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

INTERVENTION CENTER PROJECT INTERVIEW FORM  
 Prospective Client Involvement with Criminal  
 Justice System  
 Form 3

Arrest Date	Charge	Date of Arraignment	Disposition
1.			
2.			
3.			
4.			

Is prospective client on Probation? If yes,  
 Name of Probation Department \_\_\_\_\_  
 Sentence \_\_\_\_\_  
 Since \_\_\_\_\_  
 Is prospective client scheduled to appear in court? If yes,  
 Name of Court \_\_\_\_\_  
 reason for appearance \_\_\_\_\_  
 Date of scheduled appearance \_\_\_\_\_  
 Signature of Interviewer \_\_\_\_\_  
 Date of Interview \_\_\_\_\_

APPENDIX II

The forms included in Appendix II are to be filled out by the research analyst attached to each Intervention Center.

Form 4 - Consecutive Client-Months Without C.J.S. Involvement

Form 5 - # of Past Offender and First Time Arrests

Form 6 - # of Hotline Calls and Initial Interviews Conducted

Form 7 - Collective Investment Posture

INTERVENTION CENTER PROJECT

Consecutive Client Months Without C.J.S. Involvement

Form 4

A. No. of Clients completing I.C. treatment who have not been arrested:

From last month \_\_\_\_\_

This month \_\_\_\_\_

Total \_\_\_\_\_

B. No. of I.C. Clients arrested during past month \_\_\_\_\_

C. A minus B \_\_\_\_\_

D. No. of months since inception of I.C. including this month \_\_\_\_\_

E. C times D \_\_\_\_\_

# of client-months without I.C. involvement \_\_\_\_\_

Signature of Analyst \_\_\_\_\_

Month Considered \_\_\_\_\_

Date Compiled \_\_\_\_\_

INTERVENTION CENTER PROJECT

# of Hotline Calls and Initial Interviews Conducted

Form 6

Two Week Period Considered From \_\_\_\_\_ to \_\_\_\_\_

1. Hotline calls received during the past two weeks: \_\_\_\_\_

2. Hotline calls received during the previous two weeks: \_\_\_\_\_

X increase above/below previous two week period: \_\_\_\_\_

# of Initial Interviews Conducted during the past two weeks \_\_\_\_\_

# of Initial Interviews Conducted during the previous two weeks \_\_\_\_\_

X increase above/below previous two week period \_\_\_\_\_

Signature of Analyst \_\_\_\_\_

Date Compiled \_\_\_\_\_

INTERVENTION CENTER PROJECT

# of Past Offender and First Time Arrests

Form 5

Check One

\_\_\_\_\_ 1st quarter, January - March

\_\_\_\_\_ 2nd quarter, April - June

\_\_\_\_\_ 3rd quarter, July - September

\_\_\_\_\_ 4th quarter, October - December

First Time Arrests: \_\_\_\_\_

Burglary: \_\_\_\_\_

Stranger to Stranger: \_\_\_\_\_

Past Offender Arrests: \_\_\_\_\_

Burglary: \_\_\_\_\_

Stranger to Stranger: \_\_\_\_\_

TOTAL: \_\_\_\_\_

Sub-Total Burglary: \_\_\_\_\_

Sub-Total Stranger to Stranger: \_\_\_\_\_

Signature of Analyst \_\_\_\_\_

Date Compiled \_\_\_\_\_

INTERVENTION CENTER PROJECT

Collective Treatment Posture

Form 7

A. # of months since inception of I.C. \_\_\_\_\_

B. # of clients completing treatment

from last month \_\_\_\_\_

this month \_\_\_\_\_

TOTAL B \_\_\_\_\_\*

C.	# working	# training	# collecting public assistance	re-arrested	other
Last month	_____	_____	_____	_____	_____
This month	_____	_____	_____	_____	_____
Sub-Totals	_____	_____	_____	_____	_____

TOTAL C \_\_\_\_\_\*

\* Total B equals Total C

# AN EXAMPLE EVALUATION COMPONENT:

## A MODEL THIRD PARTY CUSTODY PROJECT

PROJECT DESCRIPTION:  
A MODEL THIRD PARTY CUSTODY PROJECT

SITUATION:

The majority of offenders committing Impact target crimes appear to be from the same or very similar communities. Better than 75 percent of the perpetrators are black and from the lowest socioeconomic levels in the community. Furthermore, the ages of offenders appear to cluster in such a way that individuals drawn at random for a controlled experiment would be representative of the population from which they are selected. An experiment, then, could be conducted to determine the effectiveness of intensive counseling and referral services.

PROJECT:

Purpose:

To achieve a reduction in the arrest rate for Impact target crimes by providing supervisory custody and follow-up services to a selected group of offenders from the total program population. The aim is to divert offenders from the traditional criminal justice system by providing viable and responsive social service alternatives that realistically treat the needs of the target group.

Budget/Scope:

\$200,000 for each fiscal year, 1973 and 1974.

Agencies:

Community Social Services Agency

Objective:

To provide 600 juvenile and young adult Impact offenders third party supervisory custody and divert 300 of them from the criminal justice system. To determine techniques for measuring the effectiveness of such services in deterring the offender from future criminal activity (and also the value of such deterrence to society). To assess the impact of project services on two groups of project participants.

Implementation:

An 11-man project staff, along with a 5-man Halfway House staff, will be organized to process offenders diverted from the Juvenile Court or by County Court by an intake counselor who screens them for their suitability for alternative treatment. Participants then are assigned to one of two experimental groups at random. Group I participants receive a battery of specialized services (residential care, counseling, short-term financial assistance, referral, etc.), while Group II receives monthly telephone contacts and initial urinalysis for potential assignment to a drug treatment program. The arrest records of both groups will be monitored to determine the degree to which Group I treatment is effective.

Constraints:

None given.

Results

Anticipated:

A 50 percent reduction in the number of Impact target crimes committed by the sample population over the lifespan of the project.

I. THE EVALUATION COMPONENT

Project Effectiveness

The effectiveness measures to determine project success are listed below:

- (1) Total number of offenders assigned to Experimental Group I who are arrested.
- (2) Total number of offenders assigned to Experimental Group II who are arrested.

As a means of providing data that will be useful in project evaluation, and in order that the juvenile court and prosecutor's office may have available current statistical information related to the project, a simplified information system will be devised. Report forms utilized will contain quantitative and narrative data on the operation of the project, and summary data on the population served.

Narrative data will include information such as project impact on offenders in the areas of employment stability and recidivism. Summary data will include information on individual offenders relative to specific problem areas.

Project Efficiency

The efficiency measures are:

- (3) Total number of offenders diverted to the Third Party Custody Project.
- (4) Biweekly qualitative summary data for both experimental groups.
- (5) Total number of dismissals of pending charges based on satisfactory project participation.
- (6) Total number of extensions of the court continuance date to allow more time for additional work with the offenders.
- (7) Total number of reversions (based on surrender of custody requests) to normal court processing.

Rearrest, alone, will not constitute grounds for returning an offender to the normal court routine. Such factors as offender attitude prior to rearrest, nature and type of offense in the new arrest, and narcotics use will be considered. Using a point system outlined in Section III of this paper, a supervising counselor will determine when a written surrender of custody request is appropriate. This set of variables will apply equally to members of both groups.

- (8) Total number of Experimental Group I members that are gainfully employed.
- (9) Total number of Experimental Group II members that are gainfully employed.

A comparison will be made between employment levels for the two groups. Since the project will employ its own job development specialist, it is assumed that this professional will utilize every resource at his disposal to locate suitable employment opportunities for project offenders. The job development specialist will contact prospective employers by telephone to arrange interviews for the offenders who will be given a Third Party Custody Project Care form to be filled out and returned by the prospective employer after the interview. (See Form A-4 in the Appendix to this report.) Bus tokens and some short-term financial assistance will also be made available to members of Experimental Group I.

Once an offender has become gainfully employed, monthly records of his wages will be tabulated by the assigned project counselor. This procedure will be followed for members of both groups.

Other evaluation measures, necessary to perform a complete evaluation of the level of project success, include the following:

- (a) If a drug abuser, the number of "dirty" urines during time in project.
- (b) If assisted find gainful employment, length of time on the job.
- (c) If placed in one-to-one counselling, attitudinal changes and how effected.
- (d) If placed in group counselling, number of times absent from the group.  
(In addition, relative position in group sociogram [see Section III for explanation].)
- (e) Number of voluntary drop-outs from project.

## II. DATA NEEDS

### Data Requirements

The police are the law enforcement body most likely to make initial contact with target offenders. A copy of the police arrest statement, giving the particulars of each arrest, will be required data for each offender in the target population.

The arrest records for each offender in the project sample should be as comprehensive as possible and will include, when available, the following:

- (1) Record of arrests and convictions compiled by the criminal records division of the local police department.
- (2) Record of petitioned complaints from the research division of the local juvenile court.
- (3) Jail records for all offenders having a prior term of detention.
- (4) FBI abstracts from submitted fingerprint cards.
- (5) Military records from the appropriate records center or National Personnel Records Center at St. Louis, Missouri, when applicable.

In addition, records for arrest and disposition will be requested for all offenders with prior records of probation or parole supervision. It would also be helpful to have copies of previously completed pre-sentence reports or classification studies, since such records are uniformly current to the point of the offender's departure from the system, and are among the most accurate sources of information on dispositions for prior offenses.

A master card will be maintained for each offender diverted to the project and will be color-coded according to group membership. This card will contain all significant identifying data, and an up-to-date listing of all activities and referrals pertinent to the offender's status in the project. To maintain the anonymity of juveniles and drug abusers, a coding system will be used to indicate drug problems or other kinds of confidential data. A form, A-5 Third Party Custody Project Master Card, has been designed and is included in the Appendix to this component.

### Data Constraints

The key to access to records of arrest and other required data is a good working knowledge of the total criminal justice system. This will necessarily include the development of close rapport with those agencies maintaining the required data. If these steps are taken, data collection will not become an insurmountable obstacle even for a community based social services agency such as this project.

The police arrest report will be available, through the prosecutor's office or the intake department at juvenile court, prior to an offender's diversion to the project. Additional police data can be obtained through telephone contacts. Court personnel and the FBI may also be contacted by telephone for record checks. However, it will be necessary in all such cases to provide the agency being contacted with an offender's identifying number. In the case of the police or jail, the police ID number or the jail number will be used. In the case of the courts, the offender's criminal case number is preferred,

although other corroborating data may be deemed acceptable. In the juvenile court, it is always necessary to identify an offender by such additional data as birthdate and/or names of parents or guardians. Problems in all of these areas will be greatly alleviated by providing all agencies that are to be contacted regularly with a list of names of project staff members eligible to receive such data.

The project will employ its own narcotics clerk who will collect the urine specimens required, as well as all other data relative to drug use and abuse. At least one specimen will be collected from every member of the project population at the time of admission to the project. All offenders whose urinalysis results are positive for drug use will be referred to an appropriate drug treatment program. Such referrals will exclude any youthful offender positive for methadone and involved in an approved methadone maintenance program.

Project counselors will collect all other pertinent data from their individual clients. Any problems in this area will likely be with verifications of offender statements. Some police jurisdictions, employers, and hospitals, for example, will only provide information upon written request accompanied by a release of confidential information form signed by the offender. Forms to obtain all such data are included in the Appendix to this report. (See Forms A-6 - A-10.)

#### Data Collection

Project counselling staff will be responsible for the initial collection and progressive updating of all data on project offenders. Two members of the counselling team will be assigned to regular court duty on a weekly, rotating basis. The on-duty\* counselors will collect data on all offenders diverted to the project initially during their on-duty week. They will also share responsibility for getting diverted offenders from the court setting to the project office. If the offender requires 24-hour residential custody, initial processing is also the responsibility of the on-duty counselors.

All arrest record data will be collected from the police, FBI, courts, and probation and parole offices. Copies of the biweekly status reports on project offenders will be transmitted to the juvenile court, prosecutor's office, project director, and supervisor, with a single copy being retained in each offender's social file.

#### Data Management

Each offender in the target populace will have a social file containing copies of all data pertinent to his progress. A master card index will also be maintained with all pertinent identifying data for each project offender. These will be color-coded to differentiate between Experiment Group I and Experimental Group II members. All required data will be collected and funneled to the project's main office, where it will be maintained.

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\*On-duty refers to availability to the court during all the hours of its normal operation.

Counselling staff, supervisory personnel, and the project director will have access to all collected data. However, only the project director, or his duly authorized representative, may divulge any confidential data contained in an offender's file without first having received the offender's signed permission. This procedure will not apply to confidential information transmitted to the offices of the prosecutor and/or juvenile court.

#### Data Validation

All required data will be verified by appropriate counselling staff. Periodic supervisory review will serve as a double check on the data validation process.

### III. ANALYSIS

#### Timing, Methods, Findings and Conclusions

At three-month intervals, all biweekly reports will be analyzed and reduced to a quarterly, comprehensive report containing pertinent data and significant trends for the target population. These reports will be completed for all project participants. Rearrest statistics for the total target population will be collected weekly and a monthly statistical sheet of pertinent rearrest data compiled. Since the project's primary objective is to reduce rearrest among project offenders by 50 percent over a two-year period, a downward trend in overall rearrest statistics has been projected for Experimental Group I. This computation of trend may be demonstrated through the use of the semi-average method. In this method, the rearrest data for both groups are averaged and plotted at the center of their respective periods and a straight line drawn through the two points. If the project's objectives are being achieved, clear reduction will be indicated in rearrests for Experimental Group I members for each measured interval of the project's life. Fluctuations should be shown in the mean arrest statistics for Experimental Group II members.

The following ratios will need to be computed:

- (1) The total number of offenders diverted to the project in relation to the total program populace.

The population for this project represents a miniscule portion of the larger universe of stranger-to-stranger crime and burglary offenders diverted to the total program. Nevertheless, samples of the data subjected to the same techniques used with the larger universe permit accurate generalizations about the larger mass of data from which the sample was drawn. Therefore, achievement of a significant mean reduction in the number of rearrests for impact target crimes among the project population should be reflected in a larger universe when the same methodology is used. In fact, the "true" mean\* for the larger group can be calculated by computing the average of the universe.

- (2) The total number of offenders diverted to Experimental Group I that are rearrested.
- (3) The total number of offenders diverted to Experimental Group II that are arrested.

It is expected that the rate of recidivism among Experimental Group II members will be appreciably greater than similar rates calculated for Experimental Group I members almost from the outset of the project. If this proves true, it will also very strongly imply that diversion from prosecution and trial, but without supportive and rehabilitative services, will not appreciably reduce or eliminate criminal activity among such offenders.

\*"True mean" here refers to the average which would have been obtained if all of the observations in the population had been used in its computation, not just the values for the sample.

A comparison of rearrest ratios for the two groups may reflect an inverse trend very early in the project's life. As rearrest figures decrease for Experimental Group I, they may increase for Experimental Group II. However, fluctuations, or even some degree of stability among rearrest percentages for Experimental Group II members, would in no way reflect unfavorably on overall project objectives. It will be remembered that Experimental Group II is also involved in a treatment modality, albeit a limited one. It is innovative, too, from the standpoint of early diversion from the traditional criminal justice process, and could very well contribute to overall project effectiveness.

- (4) The total number of satisfactory dismissals of pending charges based on satisfactory project participation.
- (5) The total number of extensions of court continuance dates for additional work with offenders.
- (6) The total number of reversions to normal court processing.

A comparison of the ratios of satisfactory dismissals or favorable terminations from the project should reveal a measurably higher mean for Experimental Group I than for Experimental Group II. On the other hand, a comparison of the ratios of reversions to normal court processing ought to reflect a significantly higher mean average for Experimental Group II members than for Experimental Group I. To test the statistical significance of the differences between the two means a one-factor analysis of variance may be performed.

- (7) The total number of Experimental Group I members that are employed.
- (8) The total number of Experimental Group II members that are employed.

A comparison of employment ratios should reflect a greater degree of job stability among Experimental Group I members than that exhibited among Experimental Group II members. If possible, employment data during project participation should be compared with data on employment stability prior to diversion to the project. It is expected that job stability figures will reflect a measurable increase for all project offenders, when compared with their collective performance in this area before project diversion.

The per capita costs of maintaining project offenders in detention facilities, jails, and prisons--assuming these individuals had not been diverted from traditional criminal justice system processing--should be calculated based on the standards published by the Bureau of Prisons. These costs should then be measured against the total earnings of all project offenders for the two-year time-frame of the project, and total project staff costs to help determine the social costs and benefits, in economic terms, of providing these services. The social costs also include the private and public resources which are expended to prevent crime and to adjudicate, punish, and rehabilitate criminal offenders. These private expenditures take the form of monies for locks, alarms, light, and security guards. Public expenditures employ human and material resources which could be employed elsewhere in the absence of crime. To the extent that these resources could be used productively elsewhere, they are a cost to society in their current roles.

Furthermore, if the overall effect of the project is to reduce recidivism, it is likely that employment rates will be higher, both during the time-frame of the project and the future. Reductions in time spent in detention facilities and prisons increase the noninstitutional

population from which the labor force is drawn. Reduction in time spent pursuing a criminal career while out away from detention, jail, or prison will most likely be associated with higher labor force participation rates and lower unemployment rates. Greater employment stability will, therefore, impact significantly on the number of High Impact crimes committed and will eliminate much of the economic insecurity that has contributed to the causes of Impact Crime.

A reversion to normal court processing takes the form of a written request to surrender custody and should be without prejudice. To accomplish this objective, while simultaneously deleting much of the subjective judgment such a request normally entails, a scale has been devised wherein any offender accumulating a point total less than 16 will be recommended for reversion to normal court processing. Normally, such a reviewing process would occur at rearrest for a new offense, loss of contact with offender or normal quarterly review.

The scale is based on criterion of 0 to +5 to show subjective gradation or range from very good to very poor. The items and the assigned point values are:

Points

- 5
- 4
- 3
- 2
- 1
- 0

Employment Items

- Over 360 days employed
- 270 to 360 days employed
- 180 to 270 days employed
- 90 to 180 days employed
- less than 90 days employed
- Has held no job since diversion to project

Points

- 5
- 4
- 3
- 2
- 1
- 0

Counselling Attendance Items

- Attended all scheduled sessions
- Failed to attend 1 to 20% of scheduled sessions
- Failed to attend 20 to 40% of scheduled sessions
- Failed to attend 40 to 60% of scheduled sessions
- Failed to attend 60 to 80% of scheduled sessions
- Failed to attend 80% or more of scheduled sessions

Points

- 5
- 4
- 3
- 2
- 1
- 0

Drug Urinalysis Items

- All negative urine results
- Positive urine results in 1 to 20% of specimens
- Positive urine results in 20 to 40% of specimens
- Positive urine results in 40 to 60% of specimens
- Positive urine results in 60 to 80% of specimens
- Positive urine results in 80% or more of specimens

Points

- 5
- 4
- 3
- 2
- 1
- 0

Contact Items

- No loss of contact
- Loss of contact for 3 days
- Loss of contact for 4 days
- Loss of contact for 5 days
- Loss of contact for 6 days
- Loss of contact for 7 days or more

Points

- 5
- 4
- 3
- 2
- 1
- 0

Rearrest Items

- No rearrest of any kind
- Rearrest for traffic offense
- Rearrest for status juvenile offense
- Rearrest for serious misdemeanor
- Rearrest for felony other than impact crime
- Rearrest for impact crime for which the offender is charged

To determine the basis for reversion, the counselor will apply the decision rule: 0-15 means reversion to normal court processing; 16-25 means the offender remains in the project. (The scale ranges from 0-25.)

To demonstrate the usefulness of this scale in eliminating subjectivity in the decision-making process, the following hypothetical example is postulated. Offender A, assigned to Experimental Group I, is rearrested on a traffic offense, Driving While Under the Influence of Intoxicating Liquor, after six months in the project. A check of his social file indicates he has only been working for two months, has attended 85% of all scheduled counselling sessions, and has had no positive urinalysis results since diversion to the project. He formerly used drugs and was last seen by his counselor four days prior to the new arrest. When interviewed by his counselor, he admits to drinking more heavily since coming into the project. Although it had been suggested that he enter a methadone maintenance program at the time of his diversion to the project, he had refused a referral and his counselor had not referred him to a program since his initial urinalysis specimen had been negative for drug content.

Based on the performance of offender A since entering the project, the following points are assigned:

<u>Item</u>	<u>Points</u>
Employment	1
Counselling	4
Urinalysis	5
Contact	3
Arrest	4
<b>Total</b>	<b>17</b>

With a point total of 17, Offender A is continued in the project. His arrest on a drunk driving charge, however, is an indication that his increased drinking may be interpreted as a way of unconsciously sublimating his need for drugs in a more socially acceptable form. Taking note of this, his assigned counselor may want to now refer him to a drug treatment program.

If an offender is in group counselling, the group leader will periodically perform a group sociogram or peer evaluation to determine how group members perceive each other in relation to themselves. Each group member will be asked to rank every other group member on a social criterion and/or a work task on a scale ranging from "most liked" to "least liked." For example, the criterion might be "Having a beer at the corner bar." Of course, the criterion would vary according to the manner in which the group is perceived by the group leader.

The percentage of voluntary reversions or drop-outs will be computed quarterly. It is expected that these offenders will represent a very small percentage of the total sample. However, follow-up services will be performed with these offenders to ascertain why they felt the project to be unresponsive to their needs. They will be contacted and aided in completing a questionnaire assessing the project's overall effectiveness. A copy of this form, Third Party Custody Project Follow-Up, is included in the Appendix to this report.

At the conclusion of each quarter of the project's life, a quarterly report will be compiled. The quarterly report will contain an up-to-date evaluation of overall project effectiveness in relation to the specified objectives and goals.

## APPENDIX I

## THIRD PARTY CUSTODY PROJECT FORMS

This appendix contains the eleven forms referred to in the text for recording data on the project.

Form A-1 is the Third Party Custody Project Interview Form used in interviewing all prospective divertees to the project.

Form A-2 is the Third Party Custody Diversion Card used to inform the appropriate magistrate of offender eligibility for project diversion.

Form A-3 is the Third Party Custody Project Telephone Interview Form to be used with Experimental Group II members for maintaining contacts.

Form A-4 is the Third Party Custody Project Employer Interviewing Card to be completed by the prospective employer and returned to the project office.

Form A-5 is the Third Party Custody Project Master File Card to be completed on all project divertees.

Form A-6 is the Third Party Custody Project Military Service Data Request.

Form A-7 is the Third Party Custody Project Request for the Release of Confidential Information.

Form A-8 is the Third Party Custody Project Medical History Data Request.

Form A-9 is the Third Party Custody Project Educational Information Sheet.

Form A-10 is the Third Party Custody Project Referral to be used where referring an offender to another community services agency for appropriate assistance.

Form A-11 is the Third Party Custody Project Follow-up Form to be used to collect data on all offenders who voluntarily drop out of the project.

THIRD PARTY CUSTODY PROJECT INTERVIEW FORM

Full Name \_\_\_\_\_ Date \_\_\_\_\_
Address \_\_\_\_\_ Home Telephone \_\_\_\_\_
Age \_\_\_\_\_ Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_
Sex \_\_\_\_\_ Race \_\_\_\_\_ Nationality \_\_\_\_\_
Social Security No. \_\_\_\_\_ With Whom \_\_\_\_\_ Do You Live? \_\_\_\_\_
Are You Married? \_\_\_\_\_ If so, do you live with your spouse? \_\_\_\_\_
Are You Employed? \_\_\_\_\_ If not, how long unemployed? \_\_\_\_\_
Name of Employer \_\_\_\_\_
How Long on the Job? \_\_\_\_\_ Work Telephone No. \_\_\_\_\_
Are you presently on probation or parole? \_\_\_\_\_
If yes, with what court? \_\_\_\_\_
Name of Probation or Parole Officer \_\_\_\_\_
Telephone Number of Probation or Parole Officer \_\_\_\_\_
What are you presently charged with? \_\_\_\_\_
What other arrests do you have? \_\_\_\_\_
Have you ever been hospitalized? \_\_\_\_\_
If so, what for? \_\_\_\_\_
Have you ever had any mental or emotional problems? \_\_\_\_\_
If so, describe \_\_\_\_\_
Did you require hospitalization? \_\_\_\_\_
Have you ever had a drinking problem? \_\_\_\_\_
Have you ever used drugs of any kind? \_\_\_\_\_
If so, what drugs? \_\_\_\_\_
When did you last use them? \_\_\_\_\_

THIRD PARTY CUSTODY PROJECT -Diversion Card-

Date \_\_\_\_\_
Offender Name: Last First M.I.
Charge:
The above named individual has been interviewed and meets the initial requirements for diversion to the Third Party Custody Project. After consultation with defense counsel and prosecuting attorney/intake counselor, it is recommended that he/she be diverted (circle appropriate personnel) to the project. The case is continued to \_\_\_\_\_ for further disposition.
Supervising Counselor \_\_\_\_\_
Witnessed by: Prosecuting Attorney/Intake Counselor

THIRD PARTY CUSTODY PROJECT INTERVIEW FORM (CONCLUDED)

Are you enrolled in a drug treatment program? \_\_\_\_\_
Would you be interested in becoming involved in a Third Party Custody Project? \_\_\_\_\_
Diversion Recommendation: ( ) Yes ( ) No
Interviewing Counselor \_\_\_\_\_

THIRD PARTY CUSTODY PROJECT Telephone Interview Form

Date \_\_\_\_\_
Offender Name:
I. Residence Information
A. Are you living at the same address? \_\_\_\_\_
B. If not, what is your new address? \_\_\_\_\_
C. What is your new telephone number? \_\_\_\_\_
D. With whom do you live? \_\_\_\_\_
II. Employment Information
A. Are you working? \_\_\_\_\_
B. If so, for whom do you work? \_\_\_\_\_
C. What are your wages? \_\_\_\_\_
D. What is your telephone number at work? \_\_\_\_\_
E. If unemployed, how long? \_\_\_\_\_
III. Narcotics Information
A. Are you a drug user? \_\_\_\_\_
B. If so, are you in a drug treatment program? \_\_\_\_\_
C. What is the name of the program? \_\_\_\_\_
D. What is your counselor's name? \_\_\_\_\_
E. What is his telephone number? \_\_\_\_\_
IV. Arrest Information
A. Have you been arrested on a new charge? \_\_\_\_\_
B. If so, what is the charge? \_\_\_\_\_
C. What kind of bond are you under? \_\_\_\_\_

THIRD PARTY CUSTODY PROJECT Employer Interviewing Card

Date \_\_\_\_\_
(Name of Applicant) \_\_\_\_\_ was referred to me for possible employment. I interviewed him/her on \_\_\_\_\_.
The results of that interview are listed below.
( ) Hired
a. Job title \_\_\_\_\_
b. Salary \_\_\_\_\_
c. To start work on \_\_\_\_\_
( ) Not hired for reason(s) specified below:
a. Failed Appointment \_\_\_\_\_
b. Did not have required skills \_\_\_\_\_
c. Poor personal appearance \_\_\_\_\_
d. Refused job offer offered \_\_\_\_\_
e. Other (Specify) \_\_\_\_\_

Additional comments, if any \_\_\_\_\_
Signature of Prospective Employer \_\_\_\_\_
Form A-4

THIRD PARTY CUSTODY PROJECT MILITARY SERVICE DATA REQUEST

Name & Address of Agency from Whom Information is Requested \_\_\_\_\_ Date \_\_\_\_\_
Name of Offender: \_\_\_\_\_
Address: \_\_\_\_\_
DOB: \_\_\_\_\_ POB: \_\_\_\_\_ Sex: \_\_\_\_\_ Race: \_\_\_\_\_
Father's Name \_\_\_\_\_ Maiden Name of Mother: \_\_\_\_\_
Hair Color: \_\_\_\_\_ Eye Color: \_\_\_\_\_ Ht. \_\_\_\_\_ Wt. \_\_\_\_\_
Other Identifying Marks: \_\_\_\_\_
Military Service # \_\_\_\_\_ Branch of Service: \_\_\_\_\_
Rank at Separation: \_\_\_\_\_ Separation Date: \_\_\_\_\_
Sirs:
The person identified by the above listed information is being supervised by this Agency and the information being requested is needed to complete our social file. A signed release accompanies this request. Your cooperation will be appreciated.
(Signature of Counselor)

Table with 4 columns: Dates of Service, From, To, Type of Discharge, Highest Rank Attained. Includes a (Continued) note.

THIRD PARTY CUSTODY PROJECT

Date: \_\_\_\_\_
Request for the Release of Confidential Information
This is to certify that I hereby grant permission for the release of confidential information to the Third Party Custody Project.
(Signature) \_\_\_\_\_
WITNESS: \_\_\_\_\_
Counselor \_\_\_\_\_

MILITARY SERVICE DATA REQUEST (Continued)

Does this person have any: (Check appropriate boxes)
( ) Decorations or Citations? \_\_\_\_\_
( ) Medical History of Personality Disorder, Nervous or Mental Condition? \_\_\_\_\_
( ) Foreign Service? \_\_\_\_\_
( ) Court Martials? \_\_\_\_\_
Signature of Official: \_\_\_\_\_
Title: \_\_\_\_\_
Date: \_\_\_\_\_

THIRD PARTY CUSTODY PROJECT  
MEDICAL HISTORY DATA REQUEST

Name & Address of Agency from Whom Information is Requested: \_\_\_\_\_ Date: \_\_\_\_\_  
Address: \_\_\_\_\_

DOB: \_\_\_\_\_ POB: \_\_\_\_\_ SEX: \_\_\_\_\_ RACE: \_\_\_\_\_

Military Service # \_\_\_\_\_ Branch of Service: \_\_\_\_\_ Rank at Separation: \_\_\_\_\_ Date of Separation: \_\_\_\_\_

Social Security #: \_\_\_\_\_ VA Claim #: C- \_\_\_\_\_

Sirs:

The person identified by the above listed information is being supervised by this Project. The information being requested is needed to complete our social file. A signed release accompanies this request. Your cooperation will be appreciated.

\_\_\_\_\_  
Signature of Counselor

Information Requested

Does this person have any history of: (Check applicable boxes, if yes)

- |                                              |                                                     |
|----------------------------------------------|-----------------------------------------------------|
| <input type="checkbox"/> Narcotics Addiction | <input type="checkbox"/> Disabling Condition        |
| <input type="checkbox"/> Alcoholism          | <input type="checkbox"/> Pregnancy                  |
| <input type="checkbox"/> Heart Allment       | <input type="checkbox"/> Surgery                    |
| <input type="checkbox"/> Tuberculosis        | <input type="checkbox"/> Mental or Nervous Disorder |
| <input type="checkbox"/> Epilepsy            | <input type="checkbox"/> Other (specify): _____     |
| <input type="checkbox"/> Venereal Disease    |                                                     |

Signature of Official: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_

Form A-8

THIRD PARTY CUSTODY PROJECT  
EDUCATIONAL INFORMATION SHEET

Name & Address of Agency from Whom Information is Requested: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_  
Signature of Counselor

\_\_\_\_\_  
Name of Offender

DOB: \_\_\_\_\_ POB: \_\_\_\_\_ SEX: \_\_\_\_\_ RACE: \_\_\_\_\_

Name of Father: \_\_\_\_\_ Maiden Name of Mother: \_\_\_\_\_

Sirs:

The person identified by the above listed information is being supervised by this Project. The information being requested is needed to complete our social file. Your cooperation will be appreciated.

Information Requested

Name of School	Date Entered	Grade Entered	Date Left	Grade Completed	Grade Left

Reason for Leaving School: \_\_\_\_\_

Person's General Student Rating (Check Applicable Rating):

Excellent Good Average Poor

Scholarship  
Attendance  
Behavior  
Cooperativeness

Form A-9

(Continued)

THIRD PARTY CUSTODY PROJECT  
REFERRAL FORM

Date: \_\_\_\_\_

Offender: \_\_\_\_\_

Offense & Case No. \_\_\_\_\_

Other Identifying Data: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No: \_\_\_\_\_ DOB: \_\_\_\_\_

Sex: \_\_\_\_\_

The person identified by the above listed information is in need of the following services as specified below: (Check applicable boxes)

- Employment Counselling & Referral
- Medical Referral
- Psychiatric Referral
- Other Social Services (specify): \_\_\_\_\_

Signature of Counselor: \_\_\_\_\_ Telephone No: \_\_\_\_\_

Form A-10

Leadership  
Reliability  
Courtesy  
Peer Relationships

Any IQ Tests? If yes, specify type, date and numerical rating:

Yes ( ) No ( )

Additional Comments: \_\_\_\_\_

Signature of Official: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Form A-9

THIRD PARTY CUSTODY PROJECT  
FOLLOW-UP FORM

Date: \_\_\_\_\_

Name: \_\_\_\_\_ Alias: \_\_\_\_\_

Address: \_\_\_\_\_ Phone No: \_\_\_\_\_

What was your main reason for leaving the Project? \_\_\_\_\_

Did you feel it to be unresponsive to you as a person? \_\_\_\_\_

If so, in what ways? \_\_\_\_\_

What improvements, if any, did you notice when compared to regular court processing? \_\_\_\_\_

What suggestions would you offer to make the project more responsive? \_\_\_\_\_

What is your opinion of Project Staff? \_\_\_\_\_

What services were offered you by the counselling staff? \_\_\_\_\_

If you have a history of drug usage, had you returned to drug usage prior to leaving the Project? \_\_\_\_\_ If Yes, what relationship do you feel this problem bears on your decision? \_\_\_\_\_

How did the court handle your case when you returned to the regular system? \_\_\_\_\_

Form A-11

(Continued)

FOLLOW-UP FORM (Continued)

Compare the regular court system with the Diversion Project: \_\_\_\_\_

Were you working before you left the Project? \_\_\_\_\_ If yes, are you working now? \_\_\_\_\_

Have you been arrested since leaving the Project? \_\_\_\_\_ If yes, on what charges? \_\_\_\_\_

What is your present court status? \_\_\_\_\_

Form A-11

THIRD PARTY CUSTODY PROJECT  
MASTER FILE CARD

Name \_\_\_\_\_ Project No. \_\_\_\_\_ Origin: Juvenile Court \_\_\_\_\_ MPD # \_\_\_\_\_ Jail # \_\_\_\_\_  
Adult Court \_\_\_\_\_ ID # \_\_\_\_\_ SS # \_\_\_\_\_

Alias \_\_\_\_\_ Criminal # \_\_\_\_\_ Juv. Court # \_\_\_\_\_ Citizenship \_\_\_\_\_

Living Address \_\_\_\_\_ Telephone # \_\_\_\_\_ Born (State) \_\_\_\_\_

Local Residence \_\_\_\_\_ DOB \_\_\_\_\_ Eye Color \_\_\_\_\_ Hair \_\_\_\_\_ Ht. \_\_\_\_\_ Wt. \_\_\_\_\_

Education \_\_\_\_\_ Marital Status \_\_\_\_\_ Dependents \_\_\_\_\_

Military \_\_\_\_\_ Branch \_\_\_\_\_ Length of Service \_\_\_\_\_ Discharge \_\_\_\_\_

Serial # \_\_\_\_\_ Juv. Record \_\_\_\_\_ Adult Record \_\_\_\_\_

Prosecuting Attorney \_\_\_\_\_ or Juvenile Court Intake Counselor \_\_\_\_\_

Defense Attorney \_\_\_\_\_ Third Party Custody Project Interviewer \_\_\_\_\_

TPC Project Counselor Assigned \_\_\_\_\_

Offense(s) \_\_\_\_\_

Continuance Date \_\_\_\_\_ Drug Abuser? \_\_\_\_\_

Final Disposition \_\_\_\_\_

Referrals for Services: (1) \_\_\_\_\_

(2) \_\_\_\_\_

(3) \_\_\_\_\_

(4) \_\_\_\_\_

(5) \_\_\_\_\_

(6) \_\_\_\_\_

Form A-5

**AN EXAMPLE EVALUATION COMPONENT:**

**A JOB DEVELOPMENT PROJECT FOR  
YOUTHFUL OFFENDERS**

PROJECT DESCRIPTION:  
A JOB DEVELOPMENT PROJECT FOR YOUTHFUL OFFENDERS

SITUATION

The particular project addressed here is a Job Development Project for juveniles and young adults between the ages of 16 and 25, who have been arrested for Impact crimes. Subject to the approval of the Court, some of these persons will be chosen for diversion from trial to be enrolled in the Job Development Project.

PROJECT

Purpose:

To provide a set of training, job referral, and follow-up services for a portion of the youthful offender population.

Budget/Scope:

\$600,000 over two years.

Agencies:

Community Action Agency for Diversion of Youthful Offenders

Objective:

To enroll 500 offenders and divert 200 (40 percent) of them from the criminal justice system.

Implementation:

A project director and staff of specialists in job market analysis, placement, development, coaching and related fields will implement concentrated employment programs on behalf of project participants. The team will enlist local employers to provide career-oriented jobs (even where it may involve job restructuring to accommodate sub-professional skill levels). The team will then provide a comprehensive package of support services to both employers and participants via follow-up visits and counseling. Finally, the team will coordinate the training of participants to meet the needs of employers.

Constraints:

Only 500 participants over the two years can be accommodated.

Results

Anticipated:

A success rate of 40 percent is anticipated: 200 juvenile and young adult offenders should be readjusted to society and diverted from involvement in the criminal justice system.

I. EVALUATION MEASURES

A total of eight measures will be used to measure the success of the Job Development Project. One of these will measure the overall progress of the project towards its objective (effectiveness), while the others will track the success of various components of the project to provide interim indicators of the project's progress (efficiency). These measures are described and explained below:

Effectiveness Measure

One major measure of project effectiveness has been developed.

Rearrest Rate Among Participants (Measure #1)

If a project participant is successfully re-adjusted to society, he will not re-enter the criminal justice system, i.e., he will not be rearrested for any criminal offense. Assuming a project success rate of 40%, rearrests among project participants ought to remain below 60% at all times.

Efficiency Measures

Seven measures of project efficiency have been identified.

Job Permanency (Measure #2)

Project success will depend upon the degree to which project participants are not only employed but remain employed. It is considered necessary that each participant be associated with the Job Development Project for one full year from the date of his enrollment. If at the end of that time he has been employed and remains employed, his re-adjustment to society will be considered successful. Project success will be considered achieved if 40% of all participants have made such a successful re-adjustment. This is an important measure of the project's success, but it cannot be taken until well after the project's inception. (In fact, fourteen months afterward, if two months' grace is allowed for the project to get underway in addition to the year considered necessary for a participant to "graduate" from the project.) Consequently, interim measures are needed so that the project's progress may be charted on a more frequent periodic basis. These interim measures are:

Number of Enrollees in Project (Measure #3)

The Job Development Project provides training, employment opportunities and follow-up services for juvenile and young adult Impact offenders. Not all participants are expected to be successfully re-adjusted to society. A participant must have participated in the project for a full year to be considered a "success." Thus, if the project's specific objective is to have 200 such "successes" at the end of the two year period, it must have enrolled 500 initial participants by the end of the first year and it must maintain this level of enrollment through the second year.

#### Economic Power of Employers Enlisted in the Project (Measure #4)

Project success will depend upon enlisting the support and cooperation of employers with sufficient economic power to supply openings and advancement for future project participants as well as present ones. A small store may provide an ideal situation for a single participant, but will have little capacity to absorb others. The purpose of the project, therefore, will be to establish job entry and career paths for the hard-to-employ as a regular and continuing feature of the local economy. Consequently, the emphasis ought to be on obtaining the support of large and influential firms, as well as unions, where appropriate.

#### Caliber of New Jobs Discovered or Created (Measure #5)

Project success will depend upon discovering or creating jobs that provide participants with career paths and opportunities for advancement. The discovery or creation of a hundred "dead-end" jobs will contribute less towards long-term project success than the discovery or creation of 25 "stepping-stone" jobs. Consequently, project emphasis ought to be on the quality of jobs even more than upon their quantity.

#### Appropriateness of Participants' Training (Measure #6)

Training participants in skills or procedures for which there is no need in the local economy will not contribute to project success. The project's success will depend upon the proper matching of participant training to job openings. The project, therefore, is to emphasize training in skills for which there are openings, or obtaining on-the-job training for participants.

#### Employers' Satisfaction with the Project (Measure #7)

Project success will require that participating employers be pleased with the performance of the individuals placed with them by the Job Development Project. Monthly surveys are therefore to be made of employer opinion as to the project's benefits. Open-ended questions designed to elicit this information will be asked and the responses be used by project personnel to evaluate their own efforts.

#### Participant Attitude (Measure #8)

A good attitude among project participants is necessary for project success. Periodic surveys are therefore to be made of participant opinion of the project's success, with emphasis on their degree of hope. Open-ended questions designed to elicit this information will be asked of all participants, whether already placed or not. The responses to these questions will be used by project personnel to evaluate their own efforts.

## II. EVALUATION

### Data Requirements

In the preceding section, the measurements of project success are described and explained. This section enumerates the data elements necessary for the calculation of these measurements. (The actual calculations are described in the Analysis Section.)

#### Number of Project Participants Rearrested (Data Element #1)

This number will reflect the project participants who have been rearrested for some criminal offense while still associated with the Job Development Project.

#### Number of "Successful" Project Participants (Data Element #2)

The number of participants continuously associated with the project for a year or more will be counted.

#### Number of Enrollees in Project (Data Element #3)

Individuals enrolled in the project, including individuals in training programs as well as those already placed in jobs, will be counted.

#### Number and Relative Weight of Employers Enlisted in the Project (Data Element #4)

The number of employers whose cooperation has been enlisted for the Job Development Project, will be tallied. Each employer is to be assigned a weighting factor to indicate his relative economic power in the community. These weights are to be assigned by the Job Development Project staff as follows:

- 1 = Small employer. (Five or less openings available for project participants.)
- 2 = Medium-sized employer. (Between 6 and 15 openings available.)
- 3 = Large employer. (16 or more openings available.)

#### Number and Relative Weight of New Jobs Discovered or Created (Data Element #5)

The number of jobs that have been either discovered or created by Job Development Project personnel in their efforts with local employers will be used. Each job is to be weighted in accordance with its potential for career advancement. These weights are to be assigned by the Job Development Project staff as follows:

- 1 = Little opportunity for advancement. "Dead-end" job.
- 2 = Some possibility for advancement. May require project follow-up with employer to ensure job's development.
- 3 = Good opportunity for advancement. "Stepping-stone" job.

#### Number of Participants Trained (Data Element #6)

Participants trained in skills for which jobs have been discovered or created by project personnel are to be counted, as well as participants who have been placed in positions where they will receive on-the-job training.

#### Employer Satisfaction (Data Element #7)

Each month, the appropriate Job Development Project specialist is to ask each employer associated with the project the following questions:

Question E1: In general, are you satisfied so far with the performance of the people we have placed with you?

The responses to Question E1 are to be categorized under three general headings: Positive, Neutral and Negative. No effort is to be made to record the detailed shadings of the responses. After categorization, responses are to be weighted as follows:

- 3 = Positive
- 2 = Neutral
- 1 = Negative

Question E2: Have you been having any difficulties? (If so) Could you give us an idea of the problems you have been having?

The responses to Question E2 are to be recorded in as much detail as possible and these data are to be used to identify recurrent problems, so that the project's follow-up services may be appropriately modified, where necessary.

#### Participant Morale (Data Element #8)

Each month, every project participant, whether employed or not, is to be asked the following questions by the appropriate project specialist:

Question P1: How do you feel about the project so far? Do you feel it is helping you get going in the world?

The answers to Question P1 are to be categorized under three general headings: Positive, Neutral and Negative. No effort is to be made to record the detailed shadings of the responses. After categorization, responses are to be weighted as follows:

- 3 = Positive
- 2 = Neutral
- 1 = Negative

Question P2: What sort of problems have you been encountering? Can you give us an idea of the difficulties you might be having?

The responses to Question P2 are to be recorded in as much detail as possible and these data are to be used to identify recurrent problems so that project personnel can get a different viewpoint on their own work.

These questions are not to be presented as a formal interview. Instead, they are to be imbedded in the conversation about whatever the specialist thinks appropriate to the participant's current concerns. Only in casual settings will any worthwhile information likely be forthcoming. A formal "interview" will tend to make the participant nervous and very possibly lead him to tell the specialist what he thinks the specialist wants to hear, because he will feel that the specialist might be putting him on the spot.

#### Data Constraints

Evaluation data requirements have been chosen for their accessibility and reliability. All of the required information elements except for Employer Satisfaction and Participant Morale will be known to project specialists because they will be the outcome of those specialists' work. The questions pertaining to Employer Satisfaction and Participant Attitude will be imbedded in one of the specialist's customary interviews with the employers and participants associated with the Job Development Project. This procedure will enable project staff to conduct the necessary periodic evaluations without allocating too much time and money to gather evaluation data. As a result, no significant constraints associated with either the existence, availability or cost of obtaining evaluation data are anticipated.

#### Data Collection and Management

All data for this project will be generated and updated internally. Weighting of data elements, where required, will be done by the Job Development Project specialists. Data elements are to be maintained manually at project headquarters and updated weekly.

Special forms for data entry will be provided. These are illustrated in the Appendix to this component.

At intervals specified in the Analysis Section, below, progress reports will be compiled from the data elements for the use of the Project Director.

#### Data Validation

All the data needed for this evaluation are generated internally by project personnel and require that they attach subjective ratings to several of the elements. As indicated above, the advantages of this approach are accessibility and ease of data collection. The disadvantage, however, is that which attends any self-evaluation: where people's personal success is bound up with the success of their project, a powerful incentive is created to report progress, whether it exists or not. While it is unrealistic to expect to eliminate such bias, it is possible to guard against it by appropriate reservation when viewing the evaluation results.

It is recommended, therefore, that the Project Evaluator review the monthly evaluation results alert for progress curves that appear too steep. Occasional spectacular progress may be hoped for; constant, modest progress is the hopeful expectation; but constant, spectacular progress is to be viewed as suspect. If progress reports indicate invariably that "things are getting better all the time," the Project Evaluator would be well advised to investigate the situation at close hand.

### III. ANALYSIS

#### Calculation of Measurements

The following section details the calculations which are to be performed on the data elements listed in Section II in order to arrive at measurements of project progress towards its objectives. Interpretation of scores is discussed below.

##### Measurement #1: Rearrest Rate Among Participants

Divide Data Element #1 (Number of Project Participants Rearrested) by the total number of participants enrolled in the Job Development Project at the time of measuring.

##### Measurement #2: Job Permanency

Divide Data Element #2 (Number of "Successful" Project Participants) by the total number of participants enrolled in the Job Development Project at the time of measuring.

##### Measurement #3: Number of Enrollees in Project

Count the total number of participants enrolled in the Job Development Project at the time of measuring, including individuals in training programs as well as those already placed in jobs.

##### Measurement #4: Economic Power of Employers Enlisted in the Project

Determine the total number of employers enlisted. Then calculate the weighted total indicating employer economic power as follows: Assign a weight of 1, 2 or 3 to each employer as instructed in Section II, Data Element #4. Sum across all employers and divide by the total number of employers enlisted.

##### Measurement #5: Caliber of New Jobs Discovered or Created

Determine the total number of jobs discovered or created. Then calculate the weighted total indicating job caliber as follows: Assign a weight of 1, 2, or 3 to each job as instructed in Section II, Data Element #5. Sum across jobs and divide by the total number of jobs.

##### Measurement #6: Appropriateness of Participants' Training

Divide Data Element #6 (Number of Participants Trained) by the total number of jobs available.

##### Measurement #7: Employer Satisfaction with the Project

Assign a weight to each response to Question E1 as instructed in Section II, Data Element #7. Sum across all respondents and divide by the number of respondents.

Responses to Question E2 are to be evaluated nonquantitatively. They are to be studied for the evidence of recurrent problems and used for the development of solutions to these problems. This portion of the evaluation will be presented in terms of a monthly written report to the director of the project.

##### Measurement #8: Participant Morale

Assign a weight to each response to Question P1 as instructed in Section II, Data Element #8. Sum across all respondents and divide by the number of respondents.

Responses to Question P2 are to be evaluated nonquantitatively as described for the analogous question pertaining to Employer Satisfaction.

#### Timing

Not all measurements specified in Section II, Data Requirements, are to be immediately applied. Two months will be allowed for the project to get underway and to recruit staff, participants and employer support. Consequently, although data elements are to be gathered and maintained from the inception of the project, calculations of measurements will not begin until the end of the third month (two months' start-up and one month employment data). The results of these measurements will be taken as the baseline for any trends that may later appear in the measurements. The exception to this statement is Measurement #2 (Job Permanency) which first acquires significance at the end of the 14th month.

Measurements are to be calculated weekly and presented to the Director monthly in time-series form in order to distinguish any trends that may be emerging.

#### Findings and Conclusions

Each measurement is to be analyzed over time by the Project Evaluator for the following trends and characteristics. When appropriate, he will alert the Project Director that action must be taken.

##### Rearrest Rate Among Participants. (#1)

The rearrest ratio is to remain below 0.6. If it shows a rising trend and exceeds 0.6, the ratio must be considered an indication that all aspects of the project may need investigation and redirection, since recidivism may result from a failure of any one or a number of the project components.

##### Job Permanency. (#2)

The success ratio is to be 0.4 or greater at all times. If it shows a falling trend and drops below 0.4, flaws are indicated in the project's efforts to follow up on placed participants and supply support and counseling both to them and their employers. Responses to Question P2 pertaining to participant morale might also be investigated to see if certain problems may be identified connected with this measurement.

##### Number of Enrollees in Project. (#3)

Two months' grace period is allowed during which no enrollees are to be expected while the project finds staffing and accommodations. After that, participants are to be enrolled at the rate of 50 per month over the next 10 months, to reach a total of 500 by the end of the first year. For the next 12 months, a level of 500 is to be maintained.

Economic Power of Employers Enlisted in the Project. (#4)

The weighted total ought to approach as near to 3.0 as possible. If it starts well below this level, a rising trend is to be taken as evidence of progress towards project objectives. If it starts high and then declines, or if it starts low and remains low, it might be necessary to investigate and perhaps redirect the project's efforts to enlist employer support.

Caliber of New Jobs Discovered or Created. (#5)

The weighted total ought to approach as near to 3.0 as possible. Its trend over time is to be evaluated in the same light as that for Measurement #4, described above.

Appropriateness of Participants' Training. (#6)

If the number of trained participants is well matched to the number of jobs available, the ratio ought to hover around 1.0. If, however, the ratio rises beyond 1.5, it will indicate a dangerous excess of trained participants over available jobs. This is dangerous to project objectives for, if continued, it will lead to the failure of many participants to obtain jobs even after they are trained. Such a rise in the ratio, therefore, is to be considered indicative that both the enlistment of employer support and the training of participants require attention and perhaps redirection.

One other aspect of this measurement will require attention: the absolute values of the data elements of which it is composed. If both the total number of trained participants and the total number of jobs are small, then the ratio of the two may be well within the acceptable range, without indicating project progress. Thus, the measurement must include both significant and rising numbers of trained participants and of available jobs, and an even ratio between the two.

Employer Satisfaction With the Project. (#7)

The weighted total of responses to Question E1 ought to approach 3.0 as nearly as possible. If this total remains at or falls to 2.0, then the responses to Question E2 are to be investigated in depth to determine what problems are, in the employers' view, obstructing the project's success.

Participant Morale. (#8)

The weighted total of responses to Question P1 ought to approach 3.0 as nearly as possible. If this total remains at or falls to 2.0, then the responses to Question P2 are to be investigated in depth to determine what problems are, in the participants' view, obstructing their progress.

Project Continuation. (#9)

At the end of the first year, the project is to be evaluated for continuation. If during the year several of the above measurements have deviated widely from expected norms for a significant period of time, and immediate remedies are not viable, then the project

is to be considered for possible discontinuation. The structure of measurements and the timing prescribed above are designed to provide constant opportunities for project modification by giving periodic indications of problem areas.

JOB DEVELOPMENT PROJECT - 1973 QUARTERLY PARTICIPANT STATUS FORM

Participant	Week Ending:												
	JAN.			FEB.			MARCH						
	5	12	19	26	2	9	16	23	2	9	16	23	30

STATUS CODES: EP = Entered Project During Week  
 OJT = On-the-Job Trainee  
 IT = In Training - Other  
 TAE = Trained and Available for Employment  
 UN = Unemployed and Not in Training  
 SU = Left Project Successfully (1-year completion)  
 US = Left Project Unsuccessfully (Re-arrested)

JOB DEVELOPMENT PROJECT - EMPLOYER DATA FORM

Week of \_\_\_\_\_

List all employers whose support has been enlisted for the project in the past week:

Name of Employer	Weighting Factor (1)
1.	
2.	
3.	
18.	
19.	
20.	

(1) Weighting Factors are to be assigned as follows:  
 1 = Small employer. Five or less openings available to project participants.  
 2 = Medium-sized employer. Between 6 and 15 jobs available.  
 3 = Large employer. Sixteen or more openings available.

JOB DEVELOPMENT PROJECT - EMPLOYER SATISFACTION FORM

Employer \_\_\_\_\_ Date Interviewed \_\_\_\_\_

Interviewer \_\_\_\_\_

The following questions are to be asked in an informal manner and if possible, they are to be imbedded in one of your customary discussions with the participant.

The responses to Question E1 are not to be recorded in detail. It is only necessary to record the quality of the response, whether Positive, Neutral or Negative.

The responses to Question E2 are to be recorded in as much detail as possible. Try to note down as many as possible of the specific points made by the participant as well as your impression of his overall attitude.

Question E1: In general, are you satisfied so far with the performance of the people we have placed with you?

- Quality of response:  Positive  
 Neutral  
 Negative

Question E2: Have you been having any difficulties? (If so) Could you give us an idea of the problems you've been having?

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

JOB DEVELOPMENT PROJECT - NEW JOB DATA FORM

Week of \_\_\_\_\_

List all jobs discovered or created by project personnel in the last week:

Job Opening	Employer Firm Name	Weighting Factor (1)
1.		
2.		
3.		
18.		
19.		
20.		

(1) Weighting Factors are to be assigned as follows:  
 1 = Little opportunity for advancement. "Dead-end" job.  
 2 = Some possibility for advancement. May require project follow-up with employer to ensure job's development.  
 3 = Good opportunity for advancement. "Stepping-stone" job.

JOB DEVELOPMENT PROJECT - PARTICIPANT ATTITUDE FORM

Participant ID \_\_\_\_\_ Date Interviewed \_\_\_\_\_

Interviewer \_\_\_\_\_

The following questions are to be asked in an informal manner and if possible, they are to be imbedded in one of your customary discussions with the participant.

The responses to Question P 1 are not to be recorded in detail. It is only necessary to record the quality of the response, whether Positive, Neutral or Negative.

The responses to Question P 2 are to be recorded in as much detail as possible. Try to note down as many as possible of the specific points made by the participant as well as your impression of his overall attitude.

Question P 1: How do you feel about the project so far? Do you feel it's helping you to get going in the world?

- Quality of response:  Positive  
 Neutral  
 Negative

Question P 2: What sort of problems have you been hitting? Can you give me an idea of any difficulties you might be having?

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_