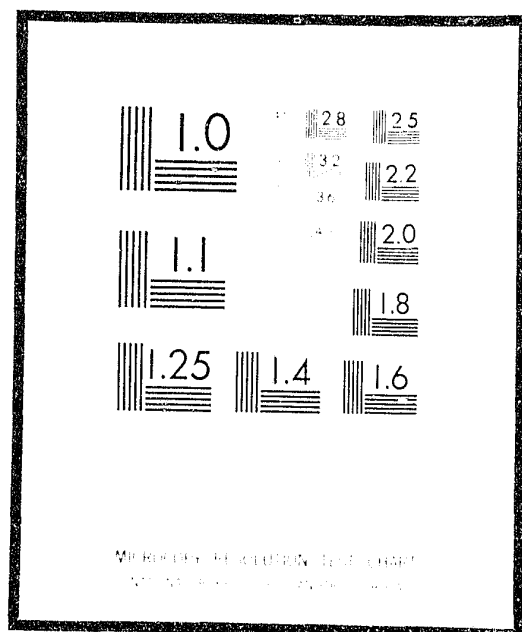


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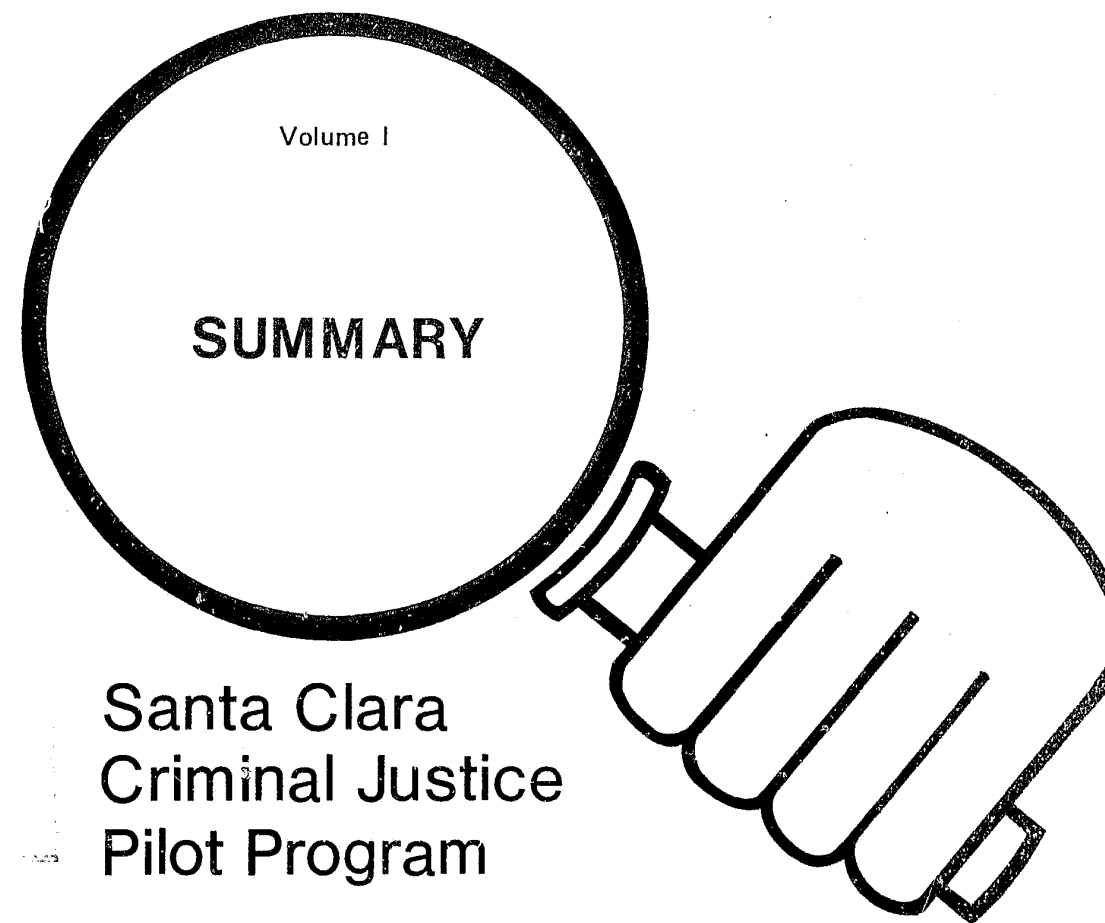
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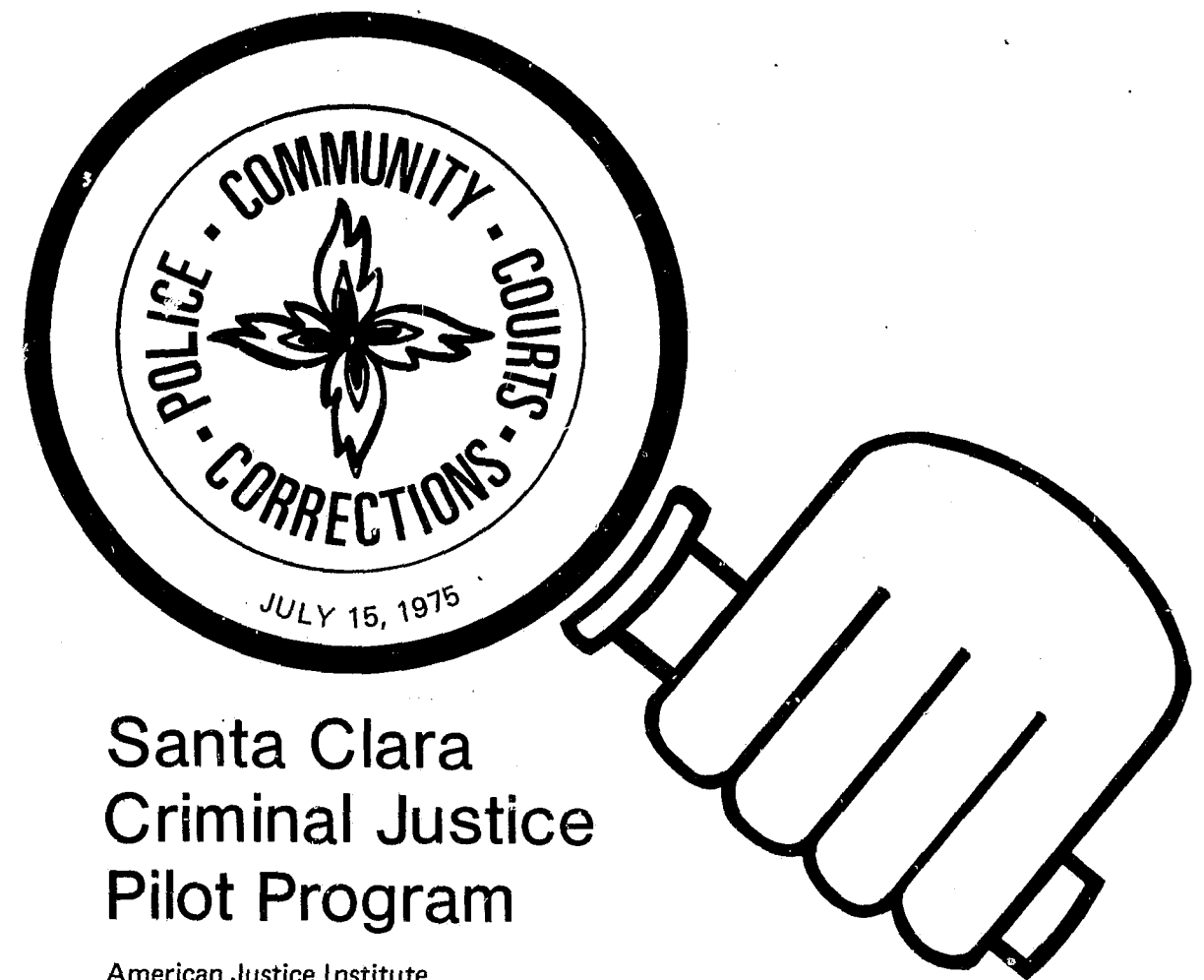


Volume I

SUMMARY

Santa Clara
Criminal Justice
Pilot Program

An American Justice Institute Project



Santa Clara Criminal Justice Pilot Program

American Justice Institute
1007 7th Street • Sacramento, CA 95814

The Santa Clara Criminal Justice Pilot Program has been supported by NILECJ grants NI-70-023, 72-NI-09-0001 and 74-NI-09-0001. The fact that the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration provided financial support to the activities described in this publication does not necessarily indicate the concurrence of the Institute in the statements or conclusions contained herein.

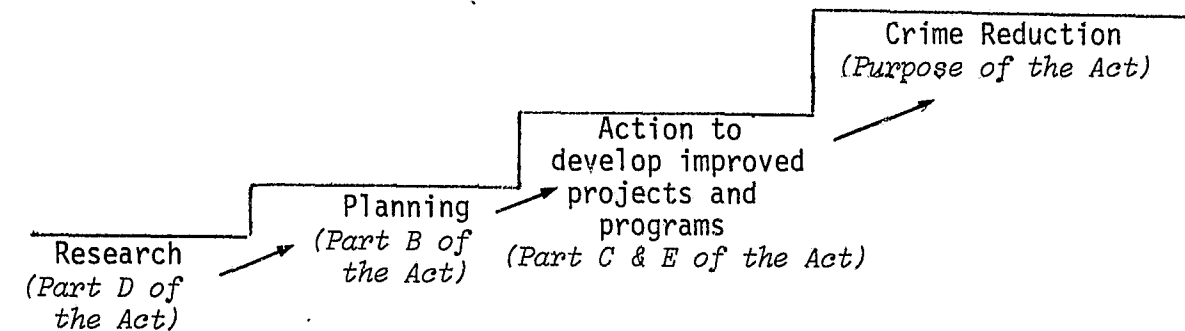
SANTA CLARA CRIMINAL JUSTICE PILOT PROGRAM

A Project administered by the
American Justice Institute

SUMMARY

Introduction

In 1970, as one of its first major efforts, the Law Enforcement Assistance Administration (LEAA) initiated the Pilot Cities/Counties Program. The new Program was to test a key underlying assumption of the LEAA program. The assumption was that improved research of local criminal justice problems could lead to better planning; that this, in turn, would lead to improved projects and programs, and that these improved projects and programs would more efficiently and effectively reduce crime and delinquency. The underlying assumption can be illustrated as a series of building blocks which serve as stairs that need to be climbed to reach the goal of crime reduction.



Each stair step is directly addressed by a section of the Omnibus Crime Control and Safe Streets Act, as amended.¹

¹Omnibus Crime Control and Safe Streets Act of 1968, Pub. L. No.90-351 (1968), as amended.

The illustration also serves as a guide to understanding how the LEAA program was to be translated into action. The process called first for improved research to better identify and assess major criminal justice problems. Demonstration projects were then to be designed on the basis of this research. These were to be tested and carefully evaluated so that new and improved methods could be integrated into criminal justice system operations.

The LEAA Pilot Cities/Counties Program was to be an LEAA "show case" to test and demonstrate this process. Eight City/County demonstration sites were selected from throughout the nation . . . "to participate in an intensive, scientific program which seeks to build within a given metropolitan area a system-wide and community-based research, development and action program."² Jurisdictions with relatively well-developed criminal justice agency services were sought out deliberately so that they could concentrate on pioneering, on research, and on developing model programs to serve as examples for the nation.

An action-oriented team of professionals experienced in criminal justice research was located in each city/county under the auspices of a university or private non-profit organization which served as grantee for each Pilot City/County Program. Each Pilot City/County team had a budget of up to \$20,000 per month to carryout three basic activities: (1) pilot research, (2) demonstration project design, and (3) technical assistance. LEAA made additional monies available to each demonstration site through its discretionary grant program. These monies were used to fund specific pilot demonstration projects.

Through the cooperative effort of this Pilot City/County "team" and local officials, the program was to:

1. Improve planning, management, research and evaluation capability in the target criminal justice system.
2. Conduct research and mount innovative demonstration projects.
3. Disseminate and transfer worthwhile results.
4. Provide a better understanding of the process of change in local criminal justice systems.

In short, each Pilot City/County team was to help local officials diagnose their crime problems, then design and implement a series of coordinated pilot projects to test, demonstrate, evaluate and disseminate methods for reducing crime and delinquency.

²LEAA Guideline, G3600.1, January 2, 1973, page 1.

In addition, one of the hopes of those who conceived of the Pilot Cities Program was that the existence of a number of well-qualified research teams, located in medium-sized metropolitan areas around the country, would provide something of a laboratory-like setting for testing new approaches to criminal justice management and operations.³

Today, five years later, much of the \$30,000,000 budgeted for the program has been expended on the LEAA Pilot Cities/Counties Program nationally, and the program has been brought to a conclusion. What have been the results?

Two formal evaluations of the national program were designed to answer this question. The first of these, a management review, conducted by the General Accounting Office (GAO) in 1973 and 1974, has been completed.⁴ The GAO recommended termination of the program. According to the GAO, the program was not achieving its objectives. Interestingly, the GAO did not criticize the concept or assumptions underlying the program; their major point was that inadequate management had prevented a true test of the assumptions underlying the program, and that mismanagement probably prevented the national program from achieving its objectives.⁵

The second evaluation effort, an evaluation being conducted by the American Institutes for Research (AIR), is nearing conclusion. AIR is under contract to the National Institute of Law Enforcement and Criminal Justice, the LEAA research arm, to conduct an intensive evaluation of the Pilot Cities/Counties Program nationally. The evaluation has been complicated because the LEAA, acting on the recommendations of the GAO, decided to terminate the Pilot City/County effort while the AIR evaluation was in progress. Though the AIR report is not yet available, preliminary verbal reports show it will also point out many areas in which the national program has come up short of expectations.

³Clark, Jerry, *A Plan for Evaluating the LEAA Pilot Cities Program*, National Institute of Law Enforcement and Criminal Justice, LEAA, January 1973, page 20.

⁴U.S. General Accounting Office, *The Pilot Cities Program: Phaseout Needed Due to Limited National Benefits*, February 3, 1975.

⁵Early drafts of the GAO report were titled *The Pilot Cities Program: Inadequate Federal Management Limits Benefits*.

At best, the results of the five-year program are mixed: GAO concluded that three of the eight Pilot City/County Programs did not develop according to the original design; another Pilot City/County Program experienced start-up problems and never really got off the ground; another withdrew from the national program after three years and four months. GAO concluded only "two teams--Norfolk Metropolitan Area and Santa Clara County--maintained relatively stable operations by developing appropriate community support, researching problems, and starting new projects." GAO remained non-committal about the remaining Pilot City/County by saying, "The Rochester team apparently had made progress."⁶

Identifying the reasons for these mixed results will be a difficult job for the American Institutes for Research and for LEAA. Each Pilot City/County Program began at a different point in time. They each experienced sometimes unique "critical incidents." They operated in differing environmental contexts, with respect to the LEAA organization, and the uniqueness of each city/county. The demographic characteristics, economics, politics and organization of each city/county were somewhat different. The characteristics of local criminal justice agencies varied; administrative relationships developed differently in each Pilot City/County area. There were different grantees and "team" characteristics, and they used slightly differing approaches. These are just some of the variables which must be considered.

This is such a difficult job that various kinds of confounding may make a satisfactory evaluation of the Pilot Cities/Counties Program impossible. Certainly the case history which AIR is completing on each Pilot City/County will be of great assistance in understanding the complex dynamics of these eight individual efforts which were linked together into one national program.

But what of the underlying assumptions of the program? Given the mixed results, what can be said about the validity of the assumption that improved research of local criminal justice problems can lead to better planning, and that this, in turn, can lead to improved projects and programs--projects and programs which will reduce crime and delinquency. According to the GAO, this approach produced results in only two, perhaps three, of the eight Pilot Cities/Counties and even in these two jurisdictions, the GAO was not willing to speculate that crime reduction had been achieved.

⁶U.S. General Accounting Office, *The Pilot Cities Program: Phaseout Needed Due to Limited National Benefits*, February 3, 1975, page 3.

These were hand-picked jurisdictions. Highly talented, well paid and experienced professional staff people were called in to assist. Extra demonstration project money and guidance were provided by LEAA. If the approach did not work in these jurisdictions, what are the prospects for its working in other American cities and counties? Do the results of the Pilot City/County Program mean that the basic underlying assumption of the LEAA approach is an unworkable one? Are criminal justice planners striving to become technically proficient only to find that it makes little difference?

The Santa Clara Criminal Justice Pilot Program

In May 1970, the LEAA awarded a grant to the American Justice Institute (AJI) of Sacramento to support the first Pilot City/County Program. It was located in San Jose/Santa Clara County, California.

Activities

A small but experienced AJI staff was located in this community and for five years the staff:

- Provided technical assistance to the local community to improve its capability to analyze criminal justice problems, plan their solution, and evaluate the results.
- Initiated and carried out research on criminal justice problems perceived by the local community with an emphasis on those of national significance.
- Developed, and helped the local community to use, generally available tools (methodologies) for analysis, planning, and evaluation in the criminal justice system.
- Promoted the local community's ability to use crime control methods proved effective in other communities and helped to transfer methods found effective in the local community to other communities.

Outputs

In the course of providing these services, the staff of the Santa Clara Criminal Justice Pilot Program:

- Designed and carried out 37 pilot research projects.
- Designed and helped implement 26 demonstration projects.

- Prepared and distributed more than 100 reports and publications.

Descriptions of Projects

Volume II of this final report, which is titled *Pilot Research and Demonstration Projects*, presents a one-page description of each pilot research project and each demonstration project. Where a demonstration project has completed at least one year, the staff has provided a summary of the progress of each project to this point. In many cases demonstration projects have been the subject of a formal evaluation. For these projects, a short description of the results of the evaluation is provided.

Publications

Volume III of this final report is titled *Publication List*. It is an annotated guide to the publications which have been produced by the Santa Clara Criminal Justice Pilot Program. The *Publication List* includes a number of articles which have been prepared for professional journals, as well as numerous technical reports. Many of these publications have been entered into the National Technical Information Service (NTIS) where they are available to anyone in the nation who desires to order them.

Results

The most visible results of the Santa Clara Criminal Justice Pilot Program are the pilot research projects, the demonstration projects and the project publications. These are concrete, visible pieces of work which individually and collectively can be easily identified. The pilot research and demonstration projects are listed in an appendix to this report. Project publications are also cross-referenced to these publications.

At times these individual projects and/or the publications which have been produced seemed to be ends in themselves--as if they were the most important output of the Santa Clara Criminal Justice Pilot Program. We know they were only means to an end. If the staff had been located in a different community, the projects would have been different. Without diminishing the quality of these projects and publications, there are really two other much more important outputs.

First, there is the process which the staff developed to carry-out its work. It produced a great deal of knowledge about implementation and about how change takes place at the local level, and how innovation is adopted and operationalized.

Secondly, there is the result of that process--an increase in the capacity and capability of local government to diagnose its criminal justice problems, to plan, to manage, to conduct research and to continually evaluate its efforts.

Independent evaluation by the U.S. General Accounting Office⁷ and the American Institutes for Research⁸ both show that the Santa Clara Criminal Justice Pilot Program has improved the planning, research and evaluation capabilities of city and county management and of criminal justice agencies.

The success of the Santa Clara Criminal Justice Pilot Program has been documented by the General Accounting Office national report⁹ and in a separate field report prepared by the GAO, but not released by GAO, and by the case history and the final evaluation report now being prepared by the American Institutes for Research.

Accomplishments

These independent assessments show that the American Justice Institute, working with local agencies and with LEAA, accomplished the following:

- Established a "real world" laboratory equipped for experimental study of the criminal justice system at the local government level.
- Developed agreements with Santa Clara County and its principal cities to accept and carryout various new programs for implementation, study, and evaluation.
- Developed, tested, evaluated, and made available to others new measurement techniques to (a) more clearly diagnose criminal justice problems, (b) more precisely establish baseline data; and (c) more skillfully assess and evaluate the impact of new methods upon the criminal justice system and the crime problem.
- Developed, tested and made available to others, new methods for determining the impact of experimental programs.
- Learned more about how successful changes can become part of the daily operation of an agency.

⁷U.S. General Accounting Office, *The Pilot Cities Program: Phaseout Needed Due to Limited National Benefits*, February 3, 1975.

⁸Murray, Charles A., and Krug, Robert E., *The National Evaluation of the Pilot Cities Program: A Team Approach to Improving Local Criminal Justice Systems*, American Institutes for Research; to be published August 1975.

⁹U.S. General Accounting Office, op. cit.

- Learned more about how best to disseminate and introduce these changes in other jurisdictions.

Dissemination

The American Justice Institute has shared what it has learned:

During the final part of its five-year program in San Jose/Santa Clara County, the American Justice Institute stepped up its dissemination program and focused an effort aimed at transferring lessons learned to other agencies in LEAA Region IX (California, Hawaii, Nevada and Arizona). Ten brochures were prepared, each describing a specific demonstration project. These were mailed to approximately 4,700 persons throughout the LEAA Region. In addition, three newsletters were prepared. These included a publication list and related information, a description and invitation to a dissemination conference, and a schematic presentation of the County's Adult Correction Projects.

A conference was held in the Spring in San Jose. Thirty local resource persons and eighty guests attended from throughout Region IX, including criminal justice planners, agency personnel in police, courts and corrections; city and county government personnel and representatives of community organizations.

Since the initiation of the program, the American Justice Institute has taken its dissemination responsibilities seriously. The staff has shared oral and written information about specific projects and about the processes involved in developing and initiating them:

- Detailed progress reports have been submitted to LEAA on a quarterly basis since January 1972. Prior to that date, detailed Interim Reports were submitted to LEAA.
- More than 100 publications have been produced; some have appeared in professional journals, many others have been made available to the nation through the National Technical Information Service (NTIS). An annotated listing of publications has been produced and disseminated by the American Justice Institute.
- The staff has also devoted many hours providing technical assistance services to persons outside the demonstration site. The staff has assisted other local and State Planning Agencies and LEAA. The staff has helped develop and has participated in training programs designed to help transfer skills and knowledge which have been acquired during the Pilot City/County Program experience.

The Example of the Santa Clara Criminal Justice Pilot Program

The Santa Clara Criminal Justice Pilot Program stands as an example that the underlying approach of the LEAA program can work; however, it is not easily achieved and a great many factors work against its success. The Pilot Cities/Counties Program provides evidence that, even under the best of circumstances, the approach is fragile and may threaten to collapse at many points along the road to success, if indeed the required new relationships, cooperation, trust, skills and commitment can be engendered to initiate a healthy start in the first place.

An important requirement seems to be in the need for new organizational forms through which the proposed approach can function. The Santa Clara Criminal Justice Pilot Program represents just such a new organizational form, and it may be a useful model for the LEAA or other Federal agencies to make use of in the future.

"The Pilot Program represents a highly flexible organizational model which is unique in the field of criminal justice. It is a highly adaptable, temporary organization, apolitical in nature and independent of local government. It is shielded from the day-to-day operating demands agency personnel must face. This provides the opportunity for thoughtful and often time-consuming analysis of law enforcement problems, but this function is performed in a local setting not apart from it. It is an action-oriented organization designed to serve the criminal justice community, but it is advisory in nature, and relies solely on the authority of competence and performance. It has no formal jurisdictional authority. It is a guest in the community and is totally dependent upon the cooperation of local government and local law enforcement agencies.

It is a 'low profile' organization which functions in a staff capacity to local agencies with a perspective that serves to link jurisdictional segments of the system. It links police, court, corrections and community segments of the system, and it links city and county jurisdictions through a person-to-person technical assistance effort by practical problem-solving professionals in criminal justice with specialized skills normally not present in a local criminal justice system. It is a 'starter,' an organizer, an initiator. It deliberately seeks out 'movers' in the community--agencies and individuals who are 'front runners' and leaders. It attempts to find out where they are headed, then help them get there."¹⁰

¹⁰Cushman, Robert C., "LEAA's Pilot Cities--A Model for Criminal Justice Research and Demonstration," *San Diego Law Review*, Vol. 9, No. 4, June 1972, pp. 761-762.

"The Pilot Program is organized to react quickly to opportunities to improve the criminal justice system. A change in agency leadership, a local government crisis, a shift in community sentiment may provide these opportunities. Timing is often a crucial ingredient in this process.

The Pilot Program is the antithesis of a huge bureaucratic organization. The large government organization is helpful because it can build up tremendous momentum and apply its huge manpower and financial resources. In this sense, the Pilot Program is designed to complement the LEAA effort and the efforts of units of local government."¹¹

Conclusion

The Santa Clara Criminal Justice Pilot Program was brought to a conclusion on July 15, 1975. There are indications that a few specific pilot projects reduced a particular type of crime in a specific area of the county during a specific time period. Looking at the larger picture though, we do not know if crime is at a lower level because the Santa Clara Criminal Justice Pilot Program was located in San Jose.

But we do know there now exists in the City of San Jose and in the County of Santa Clara, a significantly improved ability to diagnose crime problems and to plan and implement solutions. People have been learning and developing. There is an improved criminal justice system capacity to try new approaches, to evaluate performance and to take advantage of new knowledge as it is developed.

All LEAA funds which flow into Santa Clara County amount to less than five percent of total criminal justice expenditures there. And, of course, the funds made available to the Pilot Program were a smaller amount. These funds were used to conduct research and design projects but, in the process, they were used to develop people, improve organizational structures and improve management. Funds were successfully leveraged to impact the other 95 percent of the system and investments were made in people who will carry the benefits with them for the rest of their working lives.

As we leave San Jose and Santa Clara County, the American Justice Institute believes that the state of the art has been moved ahead and that local people will sustain and build on the many improvements which have occurred during the last five years. We believe that the process which occurred in San Jose and Santa Clara County can be replicated. We hope that the lessons learned will enable other communities to build on the experience of San Jose and Santa Clara County.

¹¹Ibid.

For your convenience . . .

We have included the matrix on the following pages. It cross-references Volumes II and III (*Pilot Research and Demonstration Projects and Publication List*) to help you find all the information which relates to a specific project.

How it works

The Left-Hand Column: There are six major categories listed. Four of these--Community, Police, Courts, Corrections--are the major steps in the criminal justice system, presented in the order in which they usually occur. The other two steps--System-Wide and Other--are special categories which contain projects which either cut across many aspects of the justice system or do not fit comfortably under a specific heading. Beneath each of these six headings are those projects which relate either exclusively or primarily to that area.

The Middle Columns: These list the pages in Volumes II and III where information about each project can be found. The center column lists the publication numbers relevant to each project. This helps you to find the description of the article contained in the *Publication List* and these are the numbers you will use in ordering further information.

The Right-Hand Columns: By reading the dots in these columns, you can instantly determine whether a project was a research or demonstration project. The dots also help you to identify quickly those projects which address an area of special interest to you.

For more information

Many of the reports listed in the volumes are followed by an NTIS publication number. This means the document can be obtained from the:

National Technical Information Service
U.S. Department of Commerce
5285 Port Royal Road
Springfield, VA 22151

NTIS charges only for reproduction costs.

Reports which do not carry an NTIS number may be obtained from the:

American Justice Institute
1007 Seventh Street, Suite 406
Sacramento, CA 95814

There will be a charge for reproduction, postage and handling. More cost and order information appears in the Appendix to Volume III of this final report.

MATRIX to Volumes II and III

MAJOR AREA	RESEARCH IN PROGRESS PAGE NUMBER	PUBLICATION LIST NUMBERS	PUBLICATION LIST PAGE NUMBER	Type		Area of Impact					Stages			Emphasis						
				RESEARCH PROJECT	DEMONSTRATION PROJECT	COMMUNITY	POLICE	COURTS	CORRECTIONS	SYSTEM-WIDE	DATA COLLECTION & ANALYSIS	PLANNING	FIELD TEST	EVALUATION RESULTS	INVESTIGATION	DRUG RELATED	RECORDS & INFO. SYSTEMS	MANAGEMENT	CRIME SPECIFIC	DIVERSION
POLICE (cont.)																				
San Jose Police Program Planning Project	51-53	3.7, 4.11	19, 31		●		●					●	●	●					●	
San Jose / Santa Clara Police Records Improvement Project	49-50	3.9	20		●		●					●	●	●					●	●
Santa Clara County Narcotics Bureau	59-61	3.1, 4.3 a,b	17, 29		●		●						●	●					●	●
COURTS																				
Court Processing of Felony Cases	18	1.9	4		●			●				●	●							●
Felony Release Rate Study	17	1.16	6		●		●					●	●						●	
Judicial Pilot Project	71-73	3.24, 4.18 5.22, 5.23	26, 33, 39		●			●	●			●	●	●						●
Prosecutor & Defender Intern Program	68-70	3.6, 4.10, 5.12	19, 31, 36		●			●					●	●						●
Santa Clara County Pretrial Release Program	74-75	3.4, 4.2, a,b,c 5.18	18, 28, 37		●		●	●	●	●		●	●	●						●
CORRECTIONS																				
Adult Detention and Corrections Study	24	1.17, 5.7	7		●				●			●	●							●
Adult Probationer Needs Survey	30	1.24	9		●				●	●		●	●							●
Base Expectancy for Adult Probationers	28	1.32	12		●				●	●		●	●							●
Corrections Technical Assistance - Correctional Facilities Needs	25	1.14	5		●				●			●	●							●
County Jail Samples, 1971	26	1.17	7		●				●			●	●							●
Detention and Disposition Patterns - of Pretrial Prisoners, 1970	21	1.16 a, b	6		●				●	●		●	●							●
Detention and Disposition Patterns - Womens Jail, 1973/1974	22	1.31	11		●				●	●		●	●							●
Evaluation of Alcoholism Information Center	37	4.6	30		●				●			●	●							●
Factors Leading to an Increase in Commitments to State Correctional Agencies from Santa Clara County	20	1.8	3		●				●	●		●	●							●
Jail Population Management Model	27	1.22, 1.33, 5.7	9, 12		●				●	●		●	●							●
Juvenile Probation Technical Assistance: Juvenile Detention Needs	31	1.15	6		●				●			●	●							●



END