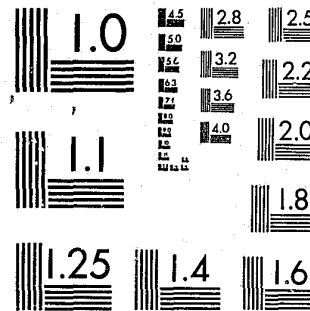


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National Institute of Justice
United States Department of Justice
Washington, D. C. 20531

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ADVISORY
COMMITTEE
MEETING

September 27-28, 1979
Dulles Marriott
Dulles International Airport

DEPARTMENT OF LAW ENFORCEMENT
DEPARTMENT OF JUSTICE
CRIMINAL JUSTICE ASSISTANCE ADMINISTRATION
DEPARTMENT OF JUSTICE

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NILECJ ADVISORY COMMITTEE MEETING

September 27-28, 1979
Dulles Marriott
Dulles International Airport

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TABLE OF CONTENTS

	<u>Section</u>
NILECJ ADVISORY COMMITTEE MEMBERS	I
AGENDA.	II
INSTITUTE PRIORITIES UPDATE	III
"DRAFT" NILECJ PROGRAM PLAN FY 1980	IV
SUMMARY NOTES - MEETING OF THE ADVISORY COMMITTEE TO THE NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE JUNE 28-29, 1979.	V
NILECJ ADVISORY COMMITTEE QUESTIONNAIRE.	VI

SECTION I
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SEPTEMBER 1979

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SECTION II

AGENDA

Agenda
NILECJ ADVISORY COMMITTEE MEETING
Dulles Marriott
Chantilly, Virginia
September 27-28, 1979

September 27, 1979

9:00 - 9:10 a.m.	Welcome. Review of Agenda - Lloyd Ohlin, Chairperson
9:10 - 9:30 a.m.	Institute Activity Update - Harry M. Bratt, Acting Director
9:30 - 9:45 a.m.	Overview of Priority Planning Process - John Pickett, Analysis, Planning and Management Staff
9:45 - 10:00 a.m.	Introduction to ORP Priorities - W. Robert Burkhart, Director Office of Research Programs
10:00 - 10:15 a.m.	BREAK
10:15 - 10:45 a.m.	Correlates & Determinants of Criminal Behavior -- Richard Barnes, ORP
10:45 - 11:15 a.m.	Violent Crime -- Lois Mock, ORP
11:15 - 11:45 a.m.	Utilization of Police Resources - Dave Farmer, ORP
11:45 - 12:15 p.m.	Pre-Trial Delay -- Cheryl Martorana, ORP
12:15 - 1:15 p.m.	LUNCH - Guest Speaker, David Austern, Esq. Maintaining Municipal Integrity
1:15 - 1:45 p.m.	Sentencing -- Cheryl Martorana, ORP
1:45 - 2:15 p.m.	Rehabilitation -- John Spevacek, ORP
2:15 - 3:15 p.m.	Community Crime Prevention -- Fred Heinzelmann, ORP
3:15 - 3:30 p.m.	BREAK
3:30 - 4:00 p.m.	Performance Measures -- Ed Zedlewski, OREM
4:00 - 4:30 p.m.	Deterrence -- Richard Linster, OREM
4:30 - 5:00 p.m.	Summation and Discussion of Possible New Priorities: Harry Bratt and Bob Burkhart

September 28, 1979

9:00 - 9:10 a.m.

Welcome. Review of Session's Objectives
Lloyd Ohlin

9:10 - 11:30 a.m.

Discussion of Advisory Committee Activities

9:10 - 10:00 a.m.

Review of Advisory Committee Activities

10:00 - 10:15 a.m.

BREAK

10:15 - 11:30 a.m.

Recommendations to the Future NIJ
Advisory Board

11:30 - 12:00 Noon

Closing Business

SECTION III

INSTITUTE PRIORITIES UPDATE

Prepared for
NILECJ Advisory Committee Meeting
September 27-28, 1979

THE CORRELATES OF CRIME AND THE DETERMINANTS OF
CRIMINAL BEHAVIOR: PRIORITY ISSUES UPDATE

I. INTRODUCTION

The identification of "correlates of crime and determinants of criminal behavior" as a priority area for Institute support represents a renewed commitment to carry out a mandate established by the original Omnibus Crime Control and Safe Streets Act of 1968. One thrust of Institute research was to be directed toward the development of "more accurate information on the causes of crime and the effectiveness of various means of preventing crime". Concurrent with the selection of this priority area the Office of Research Programs established a Division whose major efforts would focus on this priority. This Division, the Center for the Study of Crime Correlates and the Determinants of Criminal Behavior, has, over the past two years, been concerned with the development and implementation of a comprehensive and integrated program aimed at increasing our understanding of the etiology of crime.

The Institute is well aware of the difficulties to be overcome in achieving the goals of this priority area. It is recognized, for example, that what is required are long-term basic research studies; that immediate answers are not likely; that data must come from many countries, states, cities, agencies, institutions and families as well as individuals; that many disciplines must be utilized such as economics, demography, ethnology, physiology, sociology, psychology, law and education; and that ways must be devised to integrate and use knowledge generated from these sources. The list of potential factors, and combinations thereof, that could be studied to determine what role they play in encouraging or preventing criminal behavior is a long one and, with only finite resources, great care must be taken in selecting those for study that have the most promise for yielding answers to the problem.

The accumulation and synthesis of evidence which supports the existence of significant correlations between certain factors and crime is an important first step in a systematic approach to a better understanding of criminal behavior. But, an established correlation is not proof of a causal relationship, nor even of a causal direction. Correlations do, however, point to the need for research aimed at more intensive exploration of the possible causal relationships that may, in fact, exist. The Center supports research of both types.

In developing its program, the Center has used a variety of mechanisms for getting input from researchers and practitioners across the country. Two Colloquia have been held, each bringing together a small group of experts from a variety of disciplines to discuss issues and make recommendations for future research. The Proceedings and Invited Papers from both have been instrumental in shaping the program. A survey of researchers was conducted in an attempt to obtain consensus on which areas are the most important and fruitful ones to pursue. Other federal agencies have been contacted to determine their efforts and identify mutual interests. A report on these and related efforts is in final preparation and should be available later this year.

Program development and research activities are also under way, through Center support, in some specific substantive areas. Drugs, alcohol and employment are factors that have already been identified for attention and support. Research into the role of family and community factors is underway.

The analysis of the Philadelphia sample of the Collaborative Perinatal Project data is continuing as is the search for other appropriate longitudinal data sources on which further research could build. Highlights of progress over the past year in these areas as well as plans for the future are discussed in the following sections.

II. FY 1979 ACTIVITIES

This year saw the completion of the first phase of a research program focused on the relationships between employment and crime being carried out under a Research Agreement with the Vera Institute of Justice. Results of exploratory studies on the employment behavior of high-risk youth in inner-city areas combining low levels of employment opportunities with high levels of crime opportunities have been synthesized to develop a conceptual model of the linkages between employment and crime. The Vera continuation grant, awarded this year, will allow for the testing of this model through a series of field-research efforts. The results are expected to provide group and individual descriptions of these populations' employment experiences and related criminal involvements with implications for programmatic and policy audiences.

The Center has continued the development of research agendas on the relations of drug abuse and alcohol abuse to crime, under grants to the Research Triangle Institute. These efforts have produced updated state-of-the-art summaries of the major informational needs and policy relevant issues, prioritized sets of research topics, and potential designs for their long-term study. These materials will form the basis for Center support to continuing research focusing on Drug/Alcohol/Crime relationships. A new Interagency Agreement has been signed with NIDA in support of the Treatment Outcomes Prospective Study, a long-term longitudinal evaluation of NIDA treatment programs, including those that deal with criminal justice clients. The data bank being developed for this major national program promises to be an important resource for future analyses.

A Colloquium sponsored by the Institute in early 1978 on Correlates and Determinants underscored the importance of longitudinal and interdisciplinary studies. Since then there has developed a strong surge of interest in these approaches not only in the criminal justice field but in all research areas where behavior is a factor. A grant to USC entitled "A Survey of Longitudinal Research in the United States" has elicited positive responses from 500 researchers in a wide variety of fields. A detailed report on fifty to sixty of these projects is under development and slated for completion in early 1980. Preliminary findings are scheduled to be discussed at an Institute seminar in November. Another grant, this one to the University of Pennsylvania, entitled "Longitudinal Study of Biosocial Factors in Crime and Delinquency" has nearly completed the coding of the arrest data on the first two cohorts (2,229 youths)

who will comprise the initial research sample. About 18 percent have been identified as having had contact with the police. If this figure seems low, it should be remembered that this cohort includes girls as well as boys- a unique aspect of this study which may afford a better explanation than we have had to date of sex differences in crime rates. Progress to date on this important study is also scheduled for discussion at the November seminar.

A grant to be awarded this year to the Social Science Research Institute at USC entitled "A Cross-National Comparison of Delinquency in Two Birth Cohorts: Philadelphia and Copenhagen" proposes a comparison of Wolfgang's original cohort data with similar Danish data. The study will emphasize the interaction of social factors relating to criminality and will make use of recent advances in methodological techniques for analysis of this kind of data. This work will build on Clinard's recent successful comparative study of crime in Switzerland which was supported by NSF and it is felt that there is a great deal to be learned from comparative studies on an international as well as regional level in the United States. Only by comparative studies will it be possible to increase our understanding of the reasons for differences in crime rates.

The Center will support the "Fifth Annual Workshop of the International Interdisciplinary Group on Criminology" which will be held in this country in the fall. This distinguished group includes well known researchers from America, South America, and Europe. Of particular significance to the Center is the fact that three of our studies will comprise a major portion on the agenda for discussion. A comprehensive report on the proceedings will be prepared.

In addition to the above mentioned workshop, the Center collaborated with the New York Academy of Sciences to co-sponsor a scientific symposium in September, 1979, on the contributions that the behavioral sciences are making toward improved understanding and control of crime. Leading researchers and practitioners will meet and hold a multi-disciplinary discussions on such topics as: Psychological Evidence; Crisis Intervention; Violence and the Family; the Media and Crime; and Human Nature, Crime and Society. The proceedings will be published in the Society's Annals.

As previously mentioned, a share of the Center's research funds have been invested in certain agenda development activities. The colloquium in FY 78 on correlates-determinants research was followed in FY 79 with a selected literature review, an opinion survey involving prominent researchers and a colloquium on the topic of "stress and crime." Together these activities resulted in suggestions for program support in nine areas:

- . intra-family violence
- . white collar and corporate crime
- . social control and deterrence
- . definition of crime
- . economic factors and processes
- . developmental factors and processes
- . biological factors and processes
- . cultural-ethnic factors and processes
- . neighborhood and community factors and processes

Details relating to the agenda development activities generally, and the nine program areas specifically, are contained in a report now being prepared by the Mitre Corporation. Besides the nine suggestions of a substantive nature, suggestions were also offered concerning desirable approaches to etiological research including a reaffirmation of the concept that emphasis in the Center's program be placed on longitudinal, interdisciplinary research. This particular suggestion formed the basis for a competitive solicitation announced in FY 79. Proposals were invited for longitudinal, interdisciplinary research on criminal violence. The winning applicant, Professor Marvin Wolfgang, will analyze sociological, psychological and, in some cases, detailed biological data on thousands of birth cohort subjects. The project promises to make a unique contribution to the understanding of crime causation through exploratory investigations of the relative contributions of biological, social and psychological factors to violent criminal behavior. Award of this new Research Agreement is expected this fiscal year.

A FY 1979 award with a somewhat different approach to Atlanta University will analyze factors possibly related to the causation of crime within black communities. This project is the result of a recommendation by participants in an earlier workshop on Minorities, Crime and Criminal Justice to conduct research on minority communities in order to better understand the underlying causes of crime in these communities. Black communities were chosen as the focus for this research because previous studies show that blacks are disproportionately represented as both victims and perpetrators of crime. This hypothesis generating study is seen as a first step in explaining how selected social factors are related to crime in black communities. It was felt that by focusing on such variables as employment, education, family structure, community services, religion and socio-economic status in a community context, a deeper understanding of the ways in which these social factors are related to crime would be obtained.

A FY 1978 grant to the National Urban League to assess completed research on the topic of minorities, crime and criminal justice and to recommend promising perspectives for future research in this area has continued its activities this year. Preliminary work has been done to identify issue areas of particular concern to minorities. Papers will be commissioned in these areas late in 1979 for presentation at a research forum in Summer, 1980. The results of the Urban League literature review will be an important starting point for the Atlanta University project discussed above.

III. FY 80 PLANS

In general, plans for FY 80 build on the overall program described above. For example, as the efforts in agenda building and project development proceed, specific research programs can be implemented. Also, since Center work focuses on the synthesis and accumulation of knowledge, it is expected that on-going research activities and their results will point to further studies in those areas. Present thinking indicates that in the priority area of "Correlates and Determinants", the establishment of some external "centers of research,"

VIOLENT CRIME: PRIORITY ISSUES UPDATE (8/79)

I. Introduction

Appointed by the President to study the problem of violent crime, the 1968 National Commission on the Causes and Prevention of Violence noted that:

"The United States is the clear leader among modern, stable democratic nations in its rates of homicide, assault, rape and robbery and it is at least among the highest in incidence of group violence and assassination."¹

Despite our awareness of these issues, however, and the resulting criminal justice system efforts to address them, violent crimes continue to increase. Between 1977 and 1978, the FBI's UCR data show an increase in violent crime of 5%, as compared to only 1% for property crime.² In the first quarter of 1979, this growth in violence increased dramatically, with the most recent UCR figures showing a 17% increase in violent crime over the first quarter of 1978, with murder alone up by 9%.³ Clearly our efforts to curb this increasing trend in violence have been less than effective to date.

Recognizing the seriousness of our violence problem and responding to a need for thorough and objective investigation, the National Institute established "Violent Crime" as one of ten criminal justice issues selected to receive priority research attention beginning in FY 1978. In an initial paper on this priority issue, it was recommended that the Institute structure its violent crime efforts around three major research categories:

- 1) Individual Crimes of Violence; the Violent Offender: research on the causes, correlates, incidence, trends, and strategies for prevention and control of specific types of violent crimes and behavior as well as studies addressing the characteristics and treatment of the violent offender;
- 2) Collective Violence: research on the causes, correlates, incidence, trends, and strategies for prevention and control of civil disorders, terrorism, and other types of collective violence; and
- 3) Weapons and Violent Crime: studies of weapons availability, use, relationship to violent crime, and strategies for regulation and control.

¹ National Commission on the Causes and Prevention of Violence, To Establish Justice, To Insure Domestic Tranquility: Final Report (Washington, D.C.: U.S. Government Printing Office; December, 1969), p. xv.

² Federal Bureau of Investigation; "Uniform Crime Reports: 1979 Preliminary Annual Release"; March 27, 1979.

³ Federal Bureau of Investigation; "Uniform Crime Reports: January-March, 1979"; July 10, 1979.

is a viable funding strategy. Each such center established through the Research Agreements Program would focus on some specific topic area and would, by design, permit the fulfillment of the objectives already indicated as important, i.e., long-term commitment, longitudinal data collection, inter- and multi-disciplinary research teams. Over time, each such "Center" would become a nationally and internationally recognized expert resource in its topic. The violence RAP, discussed above, is being structured as a pilot "Center". The FY 80 plan identifies the establishment of two or three centers and this, together with on-going research already discussed, makes up the nucleus of the program. One of these external "centers" is expected to focus on the Drugs/Alcohol/Crime areas and to build and implement the research discussed above. A second "center" will be established to further pursue the study of Race, Crime and Social Policy. Finally, a "center" for research on the etiology of crime will be established, the specific focus of which will be identified as part of the competitive review of proposals received. Additional information on the establishment of external "centers" for research is contained in the Institute's FY 80 Program Plan.

It is likely that new areas of interest will also be pursued. For example, victimology is a relatively recently developed field of interdisciplinary study that focuses on the characteristics of victims and victim-offender relationships, and how these can influence the nature of criminal behaviors. The Center plans to explore the potential contributions of Victimological research to our understanding of crime causation through a series of state-of-the-art summaries, on such topics as: Victim Roles in Crime Causation and Prevention; Abilities to Project and Prevent Different Types of Victimization; and Methods for Measuring the Nature and Extent of Victimations. Research priorities and recommendations for potential future long-term program support will be developed.

It is important for the Institute to establish and continue a strong dialogue with a variety of researchers and organizations to ensure that the program in this priority area is constantly on the leading edge of research into crime and criminal behavior. This may require the Center to sponsor future research workshops or colloquia or to co-sponsor or support national conferences as has been the case in the past. It is through these and other mechanisms that it becomes possible to identify important research issues and to disseminate and discuss research findings.

As can be perceived by even the brief project outlines above, the program in this priority area is a complex one both in terms of subject matter to be addressed and methodologies to be utilized. It continues to represent a new initiative by the Institute into the area of more fundamental inquiry and research. For example, the achievement of truly interdisciplinary research and the benefits to be derived from such an approach represent a real challenge for a federal research program. Therefore it is important that a systematic method be developed and implemented early in 1980 which will make it possible to measure progress in this priority area. Such a system will not only be evaluative in the usual sense, but should be so structured as to make possible the synthesis of information across projects and the timely feedback of this information for dissemination.

These violent crime categories were selected based on the following criteria: (a) they are appropriate and fruitful subjects for criminal justice study and application; (b) they are comprehensive categories, each containing a set of researchable sub-topics which address problems with related causes, correlates, consequences, and implications for the criminal justice system; (c) they are all priority topics, creating major crime and fear problems in metropolitan areas nationwide; and (d) although previous research may have addressed some of their sub-topics, all three issue categories contain important knowledge gaps which require further investigation.

Both "basic" and "applied" research projects will be conducted in addressing violent crime issues, and their findings and analytic interpretations on similar subject areas will be coordinated.

II. FY 1979 Activities

(1) Individual Crimes of Violence; the Violent Offender

Violence Symposium

In November, 1979, the Institute co-sponsored a 3-day symposium on "Violence and the Violent Individual," held by the Texas Research Institute of Mental Sciences in Houston. The conference was attended by researchers, practitioners and students in the medical and social sciences, who heard experts present technical papers on the etiology, measurement, prediction, and treatment of violence. Three Institute staff members also attended the symposium.

The Nature and Patterns of Homicide

Evolving from a series of Institute discussions of research needs in this area, the Community Crime Prevention Division of ORP will begin a program of research on homicide in FY 79. The initial project in this potential long-term program of study will be a broad-based research effort addressing basic issues regarding the nature and patterns of this "ultimate violent crime."

The project will conduct four primary research tasks: (1) an extensive literature review and analysis, leading to the development of a model homicide typology; (2) a pilot study of homicide patterns in eight selected cities; (3) an examination of national homicide characteristics and trends as reflected in FBI/UCR and NCHS/Vital Statistics reports; and (4) the design of a recommended homicide research agenda for future Institute funding.

Longitudinal Research on Criminal Violence

At the same time the CCPD begins its study of homicide as a specific type of criminal violence, ORP's Center for the Study of Crime Correlates will initiate research into the

causes and correlates of violent criminality in general. Since the examination of such early causal factors requires a longitudinal, broad-based study design, it will be funded under the Institute's Research Agreements Program format of long-term interdisciplinary research.

The program will pursue the long-range goal of improving our understanding of the etiology of criminal violence through many interconnected interdisciplinary substudies, emphasizing the importance of longitudinal data. During the first year, an extensive literature review and synthesis will be conducted, methodological issues will be addressed, and a plan for future project research tasks will be developed. Then, during its second year, the program will begin the implementation of its research plan including (where feasible) longitudinal data collection and analysis addressing a range of interdisciplinary issues relating to violent criminality.

A second longitudinal study, closely related to the pending RAP research, will also be funded by the Center in FY 79. This project is a cross-national study which will examine and compare the correlates and causal factors of criminality (emphasizing violent criminality) in Danish and American birth cohorts.

Arson

Based on the recommendations of a 1978 planning project and a subsequent conference of experts, the Community Crime Prevention Division of ORP designed an FY 79 research program on arson prevention and control, scheduled to be initiated in September. This study will examine the problems of arson identification, investigation, and control in a selected number of communities and will attempt to identify the major types of arson motivation and their relationship to arson control.

The Office of Development, Testing, and Dissemination has also addressed this violent crime during FY 79. Based on a synthesis of previous research data, empirical experience, and a survey of experts in the field, ODTD developed a program model for arson prevention and control.

Non-Stranger Violence: The Criminal Courts Response

ORP's Adjudication Division will also sponsor FY 79 research addressing crimes of violence. In this project, the focus will be limited to domestic and other non-stranger violence and the study will examine all aspects of the adjudicative processing of these cases by the prosecutor and court. Key issues to be addressed will include (a) the identification of special problems associated with the court and prosecutor response to non-stranger violence; (b) factors affecting the

decision to prosecute or dismiss such cases; (c) variables related to case attrition and dismissal; (d) victim expectations regarding the appropriate criminal justice role in responding to these incidents; and (e) methods for improving adjudication procedures for handling domestic and other non-stranger violence cases.

Use of Deadly Force by Police Officers

In addition to the aforementioned CCP, Center, and Adjudication Division projects, the ORP Police Division has also initiated violence-related research during FY 79. This study will examine critical organizational, policy, and administrative features of police departments and will attempt to identify those which contribute to the use of deadly force by law enforcement officers. The ultimate objective of this research is to gather information which will aid in the development of strategies to reduce the number of homicides by police officers without placing the officers themselves in greater jeopardy.

(2) Collective Violence

Research on Collective Disorders

Due to administrative changes, the Community Crime Prevention Division's original FY 78 study of "Collective Disorders" was not actually initiated until April of FY 79.¹ Following this initial postponement, however, the (FY 79) project has proceeded smoothly, and research activities have been completed effectively, without further delays.

As finally designed, the project will be conducted in three stages, each addressing a primary research objective and producing a major research report. Stage I will conduct an extensive review and analysis of the existing literature on collective disorders and violence. Stage II will collect primary data from national samples of law enforcement/regulatory agencies and participant/activist groups and from an intensive pilot study on-site in one major metropolitan area (Detroit). Finally, Stage III will design a recommended research agenda for the Institute,

¹ Prior to initiation of the FY 78 project, the grantee (the Institute of Labor and Industrial Relations of both Wayne State University and the University of Michigan) requested that their grant award be channeled through the latter of these two parent institutions since project staff were located in the Ann Arbor branch of ILIR. Because the original grant had been issued to Wayne State, however, this administrative change required a lengthy re-application and re-approval process, delaying the research until FY 79.

based on Stage I and Stage II findings regarding future research needs.

The study is currently conducting its Stage I literature review and has already compiled an extensive bibliography of existing materials, complete with detailed abstracts as well as theoretical and methodological critiques of each referenced document. Development of a tentative typology of collective disorders is also underway as a part of this research stage. Concurrently with their Stage I activities, the project is preparing for its Stage II primary data collection tasks: two national surveys (of police departments and official activist agencies) and an on-site pilot study of collective disorders in Detroit. With respect to the surveys, drafts of sampling designs and research instruments are currently being developed for review by project research advisors and field testing by project staff. In addition, preliminary work on the pilot study research design has also been initiated, including identification of recent collective disorder incidents in Detroit which might be selected for in-depth study.

National Workshop on Urban Crisis Management

The Institute's Office of Development, Testing, and Dissemination held a special FY 79 pilot training workshop for urban officials responsible for managing and responding to collective disorders and other crises which threaten the orderly functioning of society. Appropriate high-level administrative and law enforcement officials from selected pilot cities were presented with three case studies of potential urban crisis situations and were required to develop detailed plans of response to each, interacting closely as a team. Program staff felt that through their actual participation in the three case study situations, relevant city officials could most effectively learn the process of intensive, interactive communication which is essential to successful urban crisis management. The workshop was monitored closely by Institute ODTD and training staff as well as by ORP and project researchers from the aforementioned Collective Disorders study. Following their assessment and recommended program modifications, it was expected that LEAA would sponsor a series of regional crisis management training workshops based on the Institute model.

Terrorism Research

During FY 79, several task force meetings were held among relevant Institute staff to discuss the future NILECJ role in conducting research on terrorism issues. The task force adopted a favorable position toward initiating an Institute research program in this area, reversing a previous policy which discouraged sponsorship of terrorism studies. Thus, although no research was actually funded during FY 79, it is likely that a terrorism program will

be initiated in the near future.

(3) Weapons and Violent Crime

Research on Weapons and Violent Crime

Late in FY 78, the Community Crime Prevention Division of ORP funded a major 2-year study of "Weapons and Violent Crime."² The project addresses four major research tasks: (a) an extensive literature review and secondary data analysis leading to a comprehensive bibliography and state of the art report; (b) a national survey of police departments to collect preliminary law enforcement data on weapon-related issues and to identify any problems and areas of insufficiency in the weapons data recorded by police; (c) a detailed analysis of PROMIS court record data in five metropolitan areas to examine the effect of weapons presence and/or use on the charging, prosecution, conviction, and sentencing of offenders; and (d) the design of a recommended weapons research agenda for future Institute funding.

Following an initial planning meeting of the project's expert Advisory Board, the research has proceeded smoothly throughout FY 79. To date, a major portion of the literature review has been completed and secondary (comparative) data analysis of existing survey data is currently ongoing, examining trends and present patterns with respect to weapons availability and use, public attitudes to weapons ownership and regulation, and other weapons and violence issues. In addition to these state-of-the-art activities, the project is also preparing for its two (police and court) primary data-collection tasks, developing sampling plans, designing draft research instruments, and making preliminary contacts with essential criminal justice resources. Finally, initial attention is being focussed on the final (research agenda) task and weapons research needs and priorities are being considered for possible inclusion in the recommended Institute plan.

Evaluation of Current State Gun Regulations

The Institute's Office of Research and Evaluation Methods funded two FY 79 projects to assess the deterrence effects of gun control statutes in Massachusetts and Michigan, respectively. Both studies

² Grant No. 78-NI-AX-0120
University of Massachusetts
Social and Demographic Research Institute
Dr. Peter Rossi

are follow-up grants to previous OREM assessments addressing the implementation and enforcement of these two state weapons statutes.

Firearms Bibliography

The Institute's National Criminal Justice Reference Service published an FY 79 preliminary bibliography entitled Firearms Use in Violent Crime. This 100-page annotated bibliography summarizes much of the existing literature addressing the following issues: (a) Firearms and Violent Crime, (b) Legislation and Hearings, (c) Issues in Regulation, (d) Research on the Effects of Regulation, (e) Surveys, and (f) Reference Sources. Although this bibliography is less extensive than the literature review to be produced by the current ORP/CCPD research (described previously in this report), it is a valuable current resource and has been disseminated widely by NCJRS.

IV. Findings, Synthesis, and Future Plans

In contrast to many of its other priority issue areas, the Institute had conducted little violence research prior to the establishment of its violent crime priority. For this reason, a substantial amount of preparatory study and planning was required before specific violence topics could be selected and the research designed and initiated. Consequently, the Institute's first priority program year (FY 78) was largely devoted to conferences of experts, task force meetings, workshops, and other efforts directed toward identifying the major issues and needs in violent crime research.

Due to this lengthy planning period, most of the large-scale violent crime priority studies were not initiated until FY 79 and are therefore only now beginning their major research activities. Thus, no findings are as yet available in any of the three priority issue subcategories. Furthermore, since many of the current violent crime studies are major, relatively long-term efforts, definitive results will not begin to be produced until FY 81. At that time, an overview of the research to date will be performed, permitting a synthesis of major violence issues and findings and suggesting a coordinated agenda for future Institute violent crime priority research.

Because of the necessary delay in development of a more coordinated, long-range violent crime research agenda as well as the continuing status of most of its FY 79 projects, the Institute does not plan a large additional violence program for FY 80. However, research on several specific violence topics is likely to be initiated during the coming fiscal year.

The first of these FY 80 projects is in the subcategory "Individual

Violent Crimes" and addresses the crime of arson. Concurrent to its FY 79 arson research (which emphasizes investigation and prevention/control strategies), the ORP Community Crime Prevention Division plans to initiate a second study focussing on adjudication issues and the problems involved in prosecution and sentencing of arson offenders.

The second (more tentative) FY 80 violent crime project is in the subcategory of "Collective Violence" and will address terrorist incidents (excluded from the current Institute collective disorders research). Several potential subject areas are under consideration by the Community Crime Prevention Division of ORP, and the future research may focus exclusively on terrorism issues or may include terrorist events among other collective violence incidents. One specific project currently being discussed is a documentation and synthesis of the extensive knowledge and experience which has been gained in Washington, D.C., through its handling of numerous major terrorist and other collective violence incidents during the 1960s and 1970s.

Finally, should any of the current Institute projects uncover violence issues demanding immediate research attention, every effort will be made to include these in the final plans for FY 80 or FY 81 violent crime priority research. This will be facilitated by the Institute's in-house Violent Crime Task Force, which has been performing and will continue to perform a synthesizing, coordinating function for all the NILECJ divisions and offices conducting research on violence issues.

The Utilization and Deployment of Police Resources:
An Update on this Institute Priority

For the past three years, one of the Institute priorities has focused on research directed toward improving the police field service delivery system. Choice of this priority was made because Institute and other research indicated the opportunity and the need for a radical restructuring of the entire delivery system, and because resources allocation is a primary concern of police policy-makers and practitioners. Consideration will be given to supplementing this approach in FY 1981 by placing additional emphasis on activities designed to develop the craft (or professional practice) of policing - of determining what a police officer, or a police department, should do in a particular situation and how it should be done.

Planning for the work undertaken under this priority was facilitated by the use of a series of conferences with a number of police practitioners and police researchers. At the beginning of the program in 1978, for example, a two-day joint meeting was held with the Police Foundation to attempt to assess the meaning of police research to date and a second conference laid out a tentative longer-term plan for Institute police research. Attending these meetings were Dr. William Brown, Herman Goldstein, Chief James Parsons, Chief Thomas Hastings and Patrick V. Murphy. In developing annual programs in subsequent years and in preparing individual projects, small committees of additional personnel were utilized. In developing the Police Function project, for example, the committee included Chief Victor Cizankas and William Cunningham. The committee for the project on synthesizing the results of research on police operations, as another example, included Dr. Richard Ward and Chief Hubert Williams. In the spring of 1979, as another example, the Institute's research strategy in the police area was reviewed by a panel consisting of Dr. Peter Manning, Dr. Victor Strecher, William Cunningham and Chief Thomas Hastings.

The focus of the current priority was described in the previous updates prepared on this topic. The priority focuses on those police services provided directly to the public and on the support and management services necessary for the effective operation of the police field service delivery system. Major functional elements constituting services provided directly to the public are patrol, criminal investigation, traffic law enforcement and specialized activities such as vice law enforcement and the policing of special problems like organized crime. Examples of support services are community relations and intelligence; command and control is an example of a management service. The term "field service delivery system," as indicated in previous papers, should be understood not to confine research to improving the utilization and deployment of police resources within existing organizational arrangements. In any geographical area, the possibility is that several police agencies will exist to provide services.

The thrust of this priority is to improve the entire delivery system, and not merely the systems within current organizations.

Carrying work forward in this priority area, the Institute has attempted to develop three types of information on the utilization and deployment of police resources. The first is to seek additional useful information on the overall objectives of police operations. The second is to develop additional insights into the nature of current police operations, and in particular on the operational assumptions, the effectiveness, efficiency, and on the implications of these operations. The third is to develop hard information on alternative approaches for providing field services; that is, better ways of achieving desired results. The latter would include data on alternative operational strategies and tactics. It would also include data on the managerial framework and organizational forms necessary and desirable for the successful implementation and operation of operational improvements.

FY 1978 Activities

To develop basic information that would deepen understanding concerning the utilization and deployment of police resources, projects were funded in FY 1978 on three sub-areas or sub-themes - on the overall objectives of police operations, on the nature of current police operations, and on alternative approaches for providing field services.

Three projects were funded (and are still in progress) to develop information on the first sub-theme. One of these projects (on Police Function) is an examination of the purposes of policing - by analyzing what the police are expected to do, what they actually do, how these activities are perceived, and the primary determinants of police policy. Another project, on Police Operational Decision Making, is designed to increase basic understanding of police decision-making in operational situations. Another, on Citizen-Police Relations in Police Policy setting, is intended to develop information on police-citizen interactions in determining particular police policies.

The second sub-theme is to add to information on the nature of current police operations. For this purpose, a project was funded and is in progress to replicate the citizen reporting component of the Kansas City Response Time Analysis Project. The major purpose is to explore further the profoundly significant findings of the earlier Institute-supported project, conducted in the Kansas City Police Department, on police response time. The earlier project shows the desirability of reconceptualizing the notion of response time, and it questions the need to treat all calls for service as emergencies. This project is examining the generalizability of the findings and undertaking a more detailed analysis of the variables affecting voluntary actions of citizens in reporting incidents to the police. (A study of Police Referral Systems was also re-funded in this year.)

Further bearing on the issue of adding information on the nature of current police operations is a FY 78 project to synthesize and analyze the results of research on police operations. The basic view here is that there is a need to integrate the findings of various studies. The results of the response time study, the Institute-supported Rand Study of the criminal investigation process, and the Police Foundation study of preventive patrol are by themselves very significant. But, taken together, the whole may be more significant than the sum of the parts; and the intention is to begin the synthesis process with this project.

The third sub-theme is the collection of information on alternative approaches for providing field services - examining operational strategies and the managerial and other adjustments required in achieving improved operational results. Two projects were funded in this category - on Alternative Response Strategies and on Resources Allocation Calculations. The first is being undertaken in the City of Birmingham Police Department, and the intention is to examine the range of organizational and operational strategies available in adopting a differential police response approach. The plan is to build on the findings of the response time study and to explore alternative methods of handling calls for police service. The second funded project was to develop the capability of undertaking resources allocation calculations on a mini-computer, rather than using the large ADP capability now required for such operational planning activity.

Among the findings which will be discussed in the Birmingham report are the following, which serve to give the flavor of the project:

- Police departments typically operate on the premise that immediate response by a sworn officer(s) is the most desirable way of handling nearly all calls for service
- Existing systems of classifying calls for service are inadequate, focusing primarily on placing calls in predetermined crime or non-crime codes. Such systems do not base call classification on information critical to determining proper police response. In many cases, the calls are not classified at all, being placed in a miscellaneous category
- The ability to gather the type of information necessary to classify and screen calls properly is restricted by lack of operational attention to the call intake process
- Many police agencies still manage service workload on a first come, first served basis or by a sketchy classification system
- Once a police agency is in a position to differentiate among the types of incidents to which it is responding, it must examine the range of alternative responses available to respond to those call

types. Among the response alternatives available are civilian response, telephone reporting of incidents, walk-in (station house), reporting of incidents, scheduling appointments to take reports, mail-in reporting, referral to other agencies, and no response at all

- No police agency has developed a system for rationally applying the full range of response alternatives to the full range of citizen call types
- Failure to implement alternative call response methods cannot be justified on the basis of citizen resistance to such approaches, the cost of implementing them, or organizational resistance
- This research helped to determine that the critical components of any alternative response model should be: a critical set of characteristics of the incident; the relationship between the time of incident occurrence and the receipt of a call reporting the incident; and a full range of response strategies. These components could then be organized into a model which could be used to define the proper response to any incident. (The final report will discuss this item in detail.)
- Patrol officers having more free time as a result of alternative response systems could use the time for crime-focused, community service and/or administrative activities (e.g., re crime-focused, directed patrol, expanded investigative activity for patrol officers, security surveys, extended anti-crime activity).

FY 1979 Activities

Institute FY 1979 plans in this priority area continued to focus on the three sub-themes or sub-areas described above. These information sub-themes involve the collection of basic information on the overall objectives of police operations, on the nature of current police operations, and on alternative approaches for providing field services. Taken together they will continue to extend basic understanding of issues bearing on the utilization and deployment of police resources.

No new initiatives were undertaken in FY 1979 on the objectives of policing, as the FY 1978 Police Function project is still in progress. However, some information should be developed on the nature of the police role by the study of the police use of deadly force.

Two projects are being funded in FY 1979 that are intended to deepen understanding of the nature of police operations, the second of the three sub-themes. These relate to preventive patrol and investigative information.

Institute-supported and other studies have raised significant questions in these two areas relating to the nature of present operations. The Kansas City Study of preventive patrol has questioned the efficacy of traditional preventive patrol and suggests that police commanders have much greater discretion in the spatial deployment of resources than is usually supposed. But the methodology of the study has been sharply criticized, and there appears to be a clear case for replication of the intent of the original study. The study of the criminal investigation process has questioned the effectiveness and efficiency of traditional police activity in this area, and has indicated the ad hoc character of detective activity. This study too has been criticized, and there is a need to push further into the topic area. The focus of the investigation study would be on the range of investigative information gathering and processing, and thus it would attempt to build on the earlier Rand study. A possibility in this connection is that the Institute may be able to conduct this study in parallel with similar studies in England, Australia, Sweden and Canada. The studies would be conducted independently in the five countries but they would be designed and executed in concert. Conversations are currently being conducted in this connection with the English Home Office, the Australian Institute of Criminology, the Swedish Police Board and the Office of the Solicitor-General in Canada.

An additional study will attempt to synthesize research to date in the area of management, and it is expected to provide information on current police operations. This study would parallel the police operations synthesis project funded in FY 1978.

Two projects are being started that relate to the development of alternative approaches for providing field services. These relate to crime-focused activity, and admissible evidence. The first of these (on crime-focused activity) will attempt to examine the positive and negative implications of developing a police program that emphasizes crime-control on the lines suggested by James Q. Wilson. Such questions are likely to have particular significance in view of the financial difficulties experienced in cities. The second (on admissible evidence) will attempt to examine opportunities for optimizing the evidence gathering and handling process in police agencies.

FY 1980 Plans

Six projects are planned for FY 1980 to develop information relating to this priority area. The same three sub-themes are being pursued - developing research on the overall objectives of police operations, on the nature of current police operations, and on alternative approaches for providing field services.

The first sub-theme concerns information on the overall objectives of policing. Building on the FY 1978 project on the Police Function, one project will

attempt to develop a better understanding of the police role by exploring the relationship of constituencies or interest-groups to policing. The following are the issues to be addressed in this project. To what extent can police decisions be understood in terms of the interaction of, and satisfaction of, various constituencies or interest-groups? How are the functions, strategies and techniques of police agencies the result of interest-group or constituency activity? How can police management be understood as an exercise in reconciling constituency or interest-group pressures?

The second sub-theme concerns information on current police practices. Three projects in this category are those on Police Job Repertoires, Police Services Demand and Private Policing. "Job repertoires" is used in the sense employed by Allison, referring to the available operating procedures utilized in an agency or by an individual. The proposed study will analyze the sources from which officers derive the "job repertoires" that they use in executing their work - e.g. from formal sources such as a Police Academy, from informal sources such as peers, or from superiors such as sergeants. It will also explore opportunities to influence or manipulate these information sources in order to upgrade officer performance. The Police Services Demand project will attempt to explore the reasons why citizens call the police, giving particular attention to variations in demand. The Private Policing study will re-examine the nature and current extent of the private security industry, updating the 1970-72 study of the subject. It will also address issues such as the relationship of the private security industry and law enforcement agencies, and the extent to which the standards and goals of the Task Force on Private Security (one of the five reports of the National Advisory Committee on Criminal Justice Standards and Goals) are being implemented.

The third sub-theme concerns alternative approaches for providing police field services. Two projects are planned in this category - a Futures Study of Policing, and a study of Problem-Focused Policing. The Futures Study will explore the insights that futures research can shed on improvement opportunities in law enforcement. For example, what modifications in role, inter-relationships, management and operations are desirable in view of current trends and future needs? How can law enforcement policy-makers and administrators best provide for future eventualities? The second project will explore the application of the Problem-Focused Policing concept (a term coined by Herman Goldstein). What would be the operational and managerial implications of a problem-focused approach? What should be the priorities among such problems? Would problem-focused policing be feasible in practice?

PRETRIAL PROCESS: DELAY REDUCTION AND CONSISTENCY: PRIORITY ISSUES
UPDATE SEPTEMBER, 1979

INTRODUCTION

The purpose of this priority area is to increase our knowledge about how to achieve greater consistency, fairness and efficiency in the processing of cases in court. It was selected, at least in part, because the degree of justice that courts achieve is affected by how they process cases, not simply by how they decide their legal merits. Since "justice" is a qualitative concept not easily susceptible to quantitative measurement, most research has focused on two elements that can be operationalized, namely, consistency (or evenhandedness) and the timely disposition of cases.

A court system characterized by consistency in the pretrial process would assure that similar cases and similarly situated defendants are treated in the same manner. The focal point for examining the level of consistency in a court is the decision-making process, particularly those decisions relating to bail or pretrial release conditions, formal charging, admission to diversion programs, charge reduction or dismissal agreements and sentencing.* If consistency prevails, these decisions would be based on policies which are understood and applied in a similar manner by all those with official power to recommend or decide the outcomes of individual cases.

Yet consistent behavior requires that the decision-making unit develop policies that serve as the basis for actions taken by their staff members. There have been some successful attempts to develop methods for assuring greater accountability and evenhandedness at some decision points. The bail decision was one of the first where consistency was able to be made operational in a court setting. In many cities, release conditions are set to correspond to a simple score derived from defendant characteristics. Some diversion programs also determine eligibility on the basis of quantifiable aspects of a case. In the prosecution area, career criminal programs produce categories of cases that receive special attention often from a specific prosecutorial unit. Few jurisdictions, however, have more than a few structured procedures for making decisions. This, coupled with courts' and prosecutors' low visibility, lack of accountability, the legal profession's deference to the professional judgment of individual lawyers and judges and the tradition of unreviewable prosecutorial discretion, would seem to reduce considerably any chances for consistency in the pretrial process. The widespread practices of judge-shopping and prosecutor-shopping, part of the functions of

*The sentencing decision will not be discussed here because it is the topic of a separate Institute priority.

Page Two

a good defense attorney, provide some of the most visible evidence of the lack of consistency in case processing.

In fact, numerous studies of criminal court decisionmaking have documented instances of inconsistent treatment of offenders where variable decisions appeared to result from such extra-legal considerations as race and socio-economic background (of defendant, victim, or judge), type of defense counsel, age of case, or the nature of working relationships among courtroom participants. However, many of these studies have been less successful in explaining much of the variation in decisionmaking either because they failed to control for other significant variables or because of other problems in measuring consistency.

Efforts to improve the evenhandedness of the pretrial process must also be tied to a concern about the second element of justice, efficiency or the timely handling of cases. While there is no generally accepted measure of how extended case processing time can become before it constitutes "delay," Wheeler and Whitcomb provide some useful criteria by defining unnecessary delay as "the time between a case's filing and disposition that is not conducive to a just termination and that could be eliminated by administrative measures and/or the resolve to do so." (Judicial Administration: Text and Readings, 1977). While this definition lacks the precision of the several standards establishing specific temporal goals for case processing time, it has the advantage of tying the efficiency goal to a concern for "doing justice," which is the focus of this priority research area.

Delay in the disposition of cases has been and continues to be a critical problem plaguing a number of the nation's trial courts. There is an extensive literature addressing the problem, suggesting causes and recommending remedies. Few of these studies, however, support their assertions with systematic evidence or careful documentation and nearly all have described or analyzed pretrial delay in a single jurisdiction.

Until quite recently, few studies that examined either consistency or efficiency in the pretrial process developed a theoretical framework that could adequately conceptualize what actually happened during the processing of cases. Either they focused almost entirely on legal and procedural issues, examined parts of the dispositional process in isolation, or asked questions (e.g., Is the individual calendar more effective than the master calendar?) that were too narrow empirically for the development of an adequate conceptual orientation. As a consequence, the Institute's most recent research on the pretrial process has attempted to overcome these deficiencies and achieve greater explanatory power for understanding variation in court operations and outcomes. In general, the Institute's approach is twofold: 1) to build on that court research which has theory-building potential (e.g., studies by Landes, 1976; Martin Levin, 1977; Eisenstein and Jacob, 1977; Rossett and

Cressey, 1976; R. Flemming, 1978, Nimmer, 1978; Kritzer, 1978 and P. Utz, 1979), and b) to encourage studies that examine interrelationships among court decisions in the context of the entire dispositional process. We feel it is this type of research on the pretrial process that will assist in the development of better public policy and planning of reform efforts.

RECENT INSTITUTE RESEARCH ON THE PRETRIAL PROCESS

The practice of plea bargaining, which cuts across the entire pretrial process from the earliest charging decision to the final sentence has long been considered by many observers of the system to be inherently unfair and a major reason for inconsistency in case processing. Although researchers differ in their judgments about the fairness and rationality of plea bargaining practices (see Law and Society Review, 13/2, Winter 1979), they do agree that the first step in planning any reforms is to understand patterns of variation in the way negotiations are handled by different actors in the system. An Institute-funded descriptive study of plea bargaining practices across the country was completed in 1978 and indicated more variation than had been anticipated in the extent to which the plea bargaining process has replaced the adjudication process (#77-NI-99-0049 "Plea Bargaining in the United States"). One reason that the old "rule of thumb"---85 to 95% of all criminal cases are plea bargained--- is no longer viable is that this study coincided with a strong trend among some local prosecutors to formalize, reduce or ban plea bargaining in their jurisdictions. Therefore, the follow-on second phase of this study, which is nearing completion, is conducting a comprehensive analysis of plea practices in six jurisdictions selected on the basis of variation on a continuum of few restrictions or controls on plea bargaining to high controls or efforts to eliminate plea bargaining. The roles of the prosecutor, defense attorney and judge in the plea bargaining process are being analyzed to determine their functions and degree of influence and how these factors in turn are related to sentencing outcomes. Preliminary findings from the low court jurisdictions indicate significant differential sentencing outcomes for those defendants who plead as opposed to those who go to trial, whereas the high control jurisdictions showed very little differential sentencing. Strong prosecutorial control also appears to result in fewer initial charges being filed by the police, substantially fewer charges being added or subtracted by the prosecutor between the time of filing formal charges and conviction by guilty plea, and greater willingness of the defense to plead to the charges as filed.

Rather than outright banning of plea bargaining as a means of discouraging arbitrariness in prosecutorial decisions, many reformers believe that greater formalization and managerial control of the process can achieve the goal of more consistent decisionmaking. A recently completed research project (#76-NI-99-0088, "Pretrial Settlement Conference: An Evaluation") has tested under experimental conditions the effectiveness of one method of making plea bargaining a fairer process--to allow plea negotiations to take place within a formal conference presided over by a judge and participated in by the prosecutor, defense counsel, defendant and, if he or she wishes, the victim or complaining witness. The underlying principle of the experiment is the belief that for cases that are plea bargained rather than tried there should be a way to permit all persons having a direct interest in a case, not just the lawyers, to contribute to the final disposition. The empirical results of the experiment, which was conducted in the Dade County, Florida felony court, were positive but modest. On many parameters there were no significant differences. One disappointing factor was that only 53% of the victims invited to participate in the conference actually did so. Victims who attended the conferences differed little in their satisfaction with the criminal justice process and the disposition in the case from those victims who did not attend or were part of the control groups. One of the judges in the test cohort did decrease his sentencing severity and another judge increased his use of restitution, but the cause of these changes cannot be imputed to the experiment and may be due to other factors involved. Two of the three test judges significantly decreased their case processing time from arraignment to disposition. Overall, the effect of the conference was not overwhelming, but the test jurisdiction had previously had experience with some elements of the pretrial settlement and this fact may have masked some of the effects of the test. The Institute is continuing to test the pretrial settlement procedure in other sites through 1980.

Prosecutors who have attempted to develop policies to control or reduce plea bargaining activity have soon recognized the functional interdependence of screening and plea negotiations. Jurisdictions which have curtailed plea bargaining have usually established strong screening units that have resulted in high dismissal rates of police charges prior to formal indictment; jurisdictions placing few controls on plea bargaining normally experience their dismissal rates at later decision points in the pretrial process. Dismissal rates, wherever they occur, have become a focal point of concern since automated prosecutorial information systems indicate they are both high (40 to 60% for felonies in several major jurisdictions) and pervasive around the country. While some reasons for dismissals have been suggested, such as lack of sufficient physical evidence due to faulty police work and the non-cooperation of witnesses, one major research study (Vera Institute's Felony Arrests: Their Prosecution and Disposition in New York City's Courts, 1977) suggests a pattern of dismissals for cases involving related parties or

acquaintances. Since this study demonstrates that criminal courts are ill-equipped to handle the complexities of these "relationship" cases, the Institute has just funded a new project (#79-NI-AX- , "Non-Stranger Violence: The Criminal Court's Response") that will examine the relative deterioration of non-stranger violence cases in the courts compared with stranger-to-stranger violence cases, the reasons for such attrition; the adequacy of the court's response to non-stranger violence cases and the complainants' satisfaction with outcomes. A related though more comprehensive study (#78-NI-AX-0116, "Analysis of the Rate of and Reasons for Dismissals of Criminal Cases") is conducting a thorough examination in three jurisdictions of all decisions made to dismiss cases. Both these studies should provide insights, from different perspectives, into whether high attrition rates are inevitable or may, in fact, under certain conditions be desirable, and both studies should suggest alternative strategies that can be used for handling cases that rarely result in convictions.

a. Applied research

The desire to gain additional knowledge about how courts can achieve greater consistency and fairness in the types of pretrial decisions and outcomes that were discussed above has led the Institute to sponsor two sets of studies with very different orientations. One set consists of practical and applied research efforts. In the first study (#79-NI-AX-0034, "Research on Prosecutorial Decisionmaking") researchers are working with prosecutors in several jurisdictions to develop tools for measuring uniformity and consistency in decision-making within larger prosecutors' offices. By analyzing actual case data and prosecutors' responses to a set of hypothetical cases, the researchers have been able to identify current prosecutorial policies and the factors that appear to determine policy choices. The researchers are hoping to determine what disposition patterns are likely to result from various policies. Finally, they are finding that consistent decisions seem to follow from the use of different policies within particular offices. The second applied research effort is a study focusing on the numerous problems of misdemeanor courts. The first phase of this study identified a number of specific court management problems and developed management techniques to remedy them. The researchers developed a multi-faceted Community Research Program and a Case Management Information System to provide needed support services for the lower court. The former consists of a citizen advisory board, a community service restitution program as a sentencing alternative, probation officers who serve as resource brokers to community agencies and a continuing information system to supply data on client needs. The Case Management Information System would supply management and statistical information to smaller courts through the use of a simple, punch card system and thus allow the courts to monitor case progress. The current phase of this project (#78-NI-AX-0072, "Misdemeanor Court Management"), is assessing the effectiveness of these management innovations in misdemeanor courts with different environments and styles of management.

b. Theoretical analysis

The second set of studies reflect the need for appropriate theoretical frameworks within which to view the negotiated and adversarial resolution of criminal cases. These studies are therefore drawing on the findings of recent empirical studies and are attempting to reconceptualize the mode by which substantive justice is achieved in the courts. The first study (#79-NI-AX- , "Plea Bargaining, Professionalism and Progress") is using a developmental approach by examining over time the rise of professionalism among criminal justice personnel, the effect of recent changes in substantive criminal law and procedures and the emergence of public defense systems, and will relate these factors to how cases have been and are disposed of in the courts. The major hypothesis to be tested by marshalling this information is that negotiation and adversariness are not necessarily opposite concepts. That is, as the use of negotiated settlement increases, so does the adversariness of the overall process. The second study, (#79-NI-AX- , "Analysis of Adjudicative and Consensual Resolutions of Criminal Cases") will emphasize legal concerns and constraints. The approach specifies a dichotomy between adversarial and negotiated modes of case resolution and suggests that settlement, while useful in some situations is basically suspect and in need of regulation. This investigation will focus on conflicts of interest among professional participants and between them and their clients and on constitutionally-mandated procedural safeguards for defendants which may be at odds with the system's need for efficiency. The third study (#79-NI-AX- , "Negotiated and Adversarial Resolution of Criminal Cases") plans to use organization theory---contingency theory, to be precise---to demonstrate that because informal norms dictate settlement, the preferred modes of disposition is negotiation in all cases, and that only aberrant cases end up in trial. This involves showing that there is no pattern inherent in cases resolved by adversarial means.

The reconceptualization envisaged by these theoretical studies may provide fresh insights into the nature and role of plea bargaining as well as a better understanding of the interdependence and interrelationships among all facets of the court's dispositional process.

c. Empirical Analyses of Local Legal Culture

An important current theme in criminal court literature argues that the manner in which cases are processed and disposed is the product of a court's "local legal culture" or "subculture of justice." These concepts are derived from elements of organization theory and political and environmental analysis which are useful analytic tools for explaining the behavior of decisionmakers who affect the pretrial process. If the shared norms, expectations and relationships that have developed among major court participants are key explanatory variables in shaping court decisionmaking,

then formal factors, such as court structures and procedures, workload and resources must be considered in light of the informal task environment. Researchers have found that formal factors are mediated through the behavioral characteristics of the court participants and a mere change of formal practices that are irrelevant to informal practices may be manipulated, countered by system-maintaining adaptations, circumvented or even ignored. At best they may produce superficial, expedient or overt commitment, but only in the short run.

In light of these findings the Institute is currently sponsoring a number of studies using these conceptual approaches, attempting to expand the boundaries of these approaches or questioning their premises in order to develop ever more accurate analytic framework. One such study (#78-MU-AX-0023, "Elements of Courthouse Culture: Norms Governing Disposition Time, Mode and Sentence Level") is examining one of the key concepts about court workgroups borrowed from organization theory--"group cohesion," which appears to be correlated with shared norms and accounts for a court's distinct culture of justice. In four jurisdictions researchers are determining the extent of agreement among major participants on norms concerning modes of disposition, time to disposition and sentencing. Normative indices are being developed and compared with actual data in those jurisdictions. The study is also addressing some of the organizational and environmental linkages underlying local legal culture and should permit an understanding of the effects of varying degrees of group cohesion on court outputs.

The local legal culture appears to be a strong determinant of case processing decisions. But no one has examined what happens in a court when specific incentives and sanctioning systems to enforce procedural changes are used to disrupt informal norms and alter the distribution of influence within the courts away from attorneys and trial judges and toward more remote actors, the administrative judge and the Chief Justice of the Supreme Court. That was attempted in Ohio in 1971 when the Ohio Supreme Court promulgated several Rules of Superintendence to guide trial courts toward greater administrative efficiency and a reduction of court delay. A recently funded Institute study (#79-NI-AX-0064, "Ruling Out Delay: The Impact of Ohio's Rules of Superintendence on Pretrial Practices") will assess the impact of those rules on the pretrial process of Ohio courts. The researchers hypothesized that the ability of the rules to reduce delay is dependent on the utilization of formal and informal enforcement mechanisms established by the rules and that those incentives and sanctions structured at the local level, if they are successful, will be in accord with each court's local legal culture.

One of the elements that contributes to a distinct legal culture is the court's group's cohesion, partly the product of socialization into a court's practices. A new grant (#79-NI-AX-0066, "The Application of Role Theory to an Understanding of Pretrial Process") will examine the socialization of key court

professionals into the court organization in order to determine ultimately whether differential modes of socialization affect court decisionmaking. The research team will map comprehensively the nature of the role expectations that members of the courtroom workgroup hold for one another; will describe and analyze the process by which courtroom actors are socialized into court norms; will account for deviation from dominant role expectations; will identify incentives that promote socialization and sanctions that hinder it; and will determine the consequences of socialization for pretrial decisionmaking.

Finally, the Institute is sponsoring a major conceptual and empirical effort to integrate for the first time three major analytical approaches that have been developed during the past decade in studies of criminal courts (#79-NI-AX-0062, "Explaining and Assessing the Pretrial Process: A Comprehensive Analytical Approach"). At the micro-level, the study will use an "individual" approach and examine the role perceptions, attitudes and values of the courtroom elite; this framework will be integrated with a "contextual" approach which will focus upon case and defendant characteristics, the norms of courtroom workgroups and the influence of sponsoring organizations. At the macro-level, the "environmental" approach will be used to examine how the local political, social and legal culture constrains court outcomes. This research effort will involve substantial conceptual work in developing empirical measures of key concepts as well as substantial practical research in six medium-sized jurisdictions.

If the research described in this outline of on-going projects is successful in attributing the causes of variation in pretrial decisionmaking, criminal justice officials will know whether their efforts to introduce reforms will manipulate those factors that actually have an impact on behavior.

PRIORITY RESEARCH IN FY'1980

During FY'80 research on the pretrial process will continue to encourage studies that have theory-building potential and that examine aspects of the pretrial process in the context of the court's entire dispositional process. One project that is planned will focus on the early "gatekeeping decisions" prior to formal indictment. These decisions include the decision to release/detain and the decision to charge. Much of the prior research on bail, release, detention and charging has been caught up in a reformist trend (i.e., to evaluate Vera-like ROR projects or to devise better screening mechanisms) and has developed outside the mainstream of research on the pretrial process. This relatively narrow approach to pre-indictment practices has hampered our understanding of the relationship between gatekeeping decisions and subsequent decisions

either enhance or preclude the opportunity to exercise subsequent options. The planned study of pre-indictment practices will examine the release/detention and charging decisions as an integral part of the larger process of determining the "worth" of a case.

A second project will analyze the role and function of the bail bondsmen in the criminal justice system. It will look at the procedures used by bondsmen, their relationships with defendants, court, prosecutors and defense agencies, the economics of the bond operation and the services provided by the bondsmen.

A final study in this priority area plans to examine the selection process, the role and the function of assigned defense counsel. Issues for research include methods for choosing these attorneys, requirements for appointment, methods of payment and how these affect the quality of representation provided. The purpose is to facilitate the effective delivery of legal services to all persons who need and qualify for public representation in criminal proceedings.

UPDATE
Research Priority: Sentencing
September, 1979

Sentencing goals and practices are critical issues in the study of the criminal justice system. The issue of current importance is that of judicial discretion: the degree to which sentencing decisions should be mandated by law or left to the discretion of the sentencing judge. Thus NILECJ research in this priority area is divided into two categories: studies of judicial discretion and studies of legislatively determined sentences. Research in the former category has focused primarily on sentencing guidelines.

A. Sentencing Guidelines

Sentencing guidelines provide the court with a means for controlling unwarranted sentencing disparities while permitting the exercise of judicial discretion in exceptional cases. Previous NILECJ projects resulted in the development of jurisdiction-specific sentencing guidelines in five sites. The results of these projects will be published in four reports available in the Spring of 1980. Although these five sites developed the apparent capability to control sentencing disparity and identify court policy toward different types of offenders, the extent to which disparity has actually decreased and the impact of the sentencing guideline approach on the other components of the court system has not been determined. Their problems are currently being addressed in "Sentencing Guidelines: Their Operation and Impact on the Courts." This study will investigate the effect of sentencing guidelines on court caseload and processing time, as well as such key issues as whether prosecutors accept the "equalizing" intent of sentencing guidelines, how judicial reviews are conducted and whether or not changes occur in the screening and charging stages of adjudication. The final report will contain a thorough analysis of what occurred in the jurisdictions that adopted sentencing guidelines.

In a related study, the Office of Evaluation has funded an examination of the experience of states that used statewide guidelines. Entitled "Evaluation of Statewide Sentencing Guidelines," this study will focus on selected court processing of offenders in selected states as well as on the issue of reducing sentencing disparities.

NILECJ's Office of Development, Testing and Dissemination has funded a field test of sentencing guidelines in two states. The purpose of the test is to examine whether a single set of guidelines, implemented in three counties in the same state, is effective in controlling sentence disparity. The test in each

state will compare an urban, a suburban, and a rural court to see if the guidelines approach is compatible with the historically developed sentencing patterns and philosophy typical of each jurisdiction. NILECJ's Office of Evaluation will fund an independent assessment of this test.

B. Legislatively Determined Sentences

Projects in this category are directed at legislative attempts to eliminate disparity. Included in this category are studies of determinate sentencing codes, studies of mandatory sentencing, and projections of the impact of differing sentencing strategies on the criminal justice system.

A study of the impact of determinate sentencing on the corrections system of the state of Maine has been completed. Due to a number of methodological and data collection difficulties, the findings of this study were inconclusive. However, the data base that was collected in Maine will be placed in the public domain for future analysis.

Three other projects are examining determinate sentencing codes. The first, entitled "Long Term Trends in Imprisonment" is using a unique data base to examine sentencing policies and prison commitments over a 104 year period. Data collection/coding for this study is in process.

The second study, entitled "Strategies for Determinate Sentencing", is actually three inter-related studies: 1) a jurisprudence study; 2) a statistical study; 3) field studies of the sentencing process. In the jurisprudence study, progress to date includes completion of nationwide survey of court systems and prosecutors to assess proposed and enacted sentencing reforms, and completion of four monographs including two that examine the concepts of determinacy and commensurability. A number of data bases have been obtained/accessed in the statistical study, and analyses will be conducted in the forthcoming year to compare sentencing dispositions, time served, and other variables among jurisdictions and before-after enactment of determinate sentencing laws in individual jurisdictions. The field studies range from observations of courts and parole boards to studies of how good time is administered and how parole agents carry out their duties. This project is scheduled for completion in August of 1980.

The third study, "Determinant Sentence Laws in California", was funded in FY '79. It will focus on the response of criminal justice system professionals, especially prosecutors, to California's determinate sentencing code. The project will also attempt to

assure change in actual sentencing practices in California that result from the determinate sentencing law.

search regarding the efficacy of mandatory penalties for specific offenses has centered on evaluations of firearm statutes in Michigan and Massachusetts, and on New York's controlled substances statute.

two year examination of the effects of the Massachusetts Gun Law on gun related crimes has been completed. The findings indicate that coincident with passage of the law the cities of Boston and Springfield, and to a lesser degree the entire state, experienced dramatic decline in gun related assaults, robberies, and homicides. A follow-up study funded in FY '79 will further examine the Massachusetts experience to determine if this impact was due to the law's sanctions or to the extensive publicity that accompanied its implementation. Other issues to be studied include an examination of the law's immediate impact from more permanent changes in crime rates and whether offenders shifted to use of other weapons.

In a related study, the Michigan Felony Firearm Statute is being studied in conjunction with a no plea bargaining policy in Wayne County (Detroit) Michigan. This legislation makes possession of a firearm during a felony a separate offense subject to a two year mandatory imprisonment. Preliminary results indicate some success in implementing the no plea bargaining policy but findings on the deterrent effects of the law will not be available until late Spring 1980.

An evaluation of the New York State Drug Law, described as the "toughest in the nation", was completed and published in FY '78. This law was a 1973 revision of previous statutes that set forth mandatory harsh penalties for both drug use and dealing. The evaluation funded by NILECJ indicated that the law contributed to backlogs in court processing of offenders but had insignificant impact on the behaviors it was intended to control: drug use/dealing and street crimes committed by addicts to finance their drug dependency. The findings, among others, were used by the New York Assembly in 1979 in again revising the state's controlled substances statutes. The 1979 revisions remove some of the prior restrictions on plea-bargaining, make some penalties more lenient while strengthening others, and generally attempt to make the law more discriminating and more effective.

NILECJ's Office of Evaluation and Methodology has funded a study of the impact of Arizona's new criminal code on that state's criminal justice system. The new Arizona code provides for presumptive sentences which are generally more severe than the sanctions of the receding code. The research will compare a sample of Arizona counties for pre-code/post-code activities of prosecutors, courts and corrections (including probation and parole) to determine the

new code's impact. The research will also attempt to measure the effect, if any, of the severe sanctions of the new code on the level of criminal activity. The project is entitled "Deterrence Effects of the Revised Arizona Criminal Code: A Quasi-Experiment" and it is scheduled to end in May, 1981.

The Adjudication Division has two other FY '79 projects relevant to the study of sentencing. Professor Leslie Wilkins is attempting to ascertain and quantify public perceptions of individual culpability as it is related to perceived seriousness (and bizarreness) of offense; and a study will be funded that examines the needs of judges at the time of sentencing for information on the mental state of defendants and convicted offenders.

FY '80 plans include a proposed study by the Adjudication Division of the differences in sentencing patterns between urban and rural jurisdictions within a single state, and a Corrections Division project comparing perceptions of offenders sentenced under differing sentencing structures, including determinate sentencing, of their equity and fairness of their sentence.

C. Summary

Research in the priority area of sentencing has focused on the issue of discretion and disparity. A major effort has been to examine the effectiveness of legislatively mandated sentences, such as determinate sentence codes and mandatory punishments for specific offenses. Similarly, a major effort has been directed at developing an alternative to determinate/mandatory sentences that enables courts to preserve judicial discretion while controlling unwarranted disparity.

Research in determinate sentencing is on-going and no significant findings are available at this time.

Research in mandatory sentences has produced mixed results. Mandatory sentences for gun related offenses have apparently resulted in a decline of such offenses in Massachusetts. Mandatory sentences for narcotic offenses in New York apparently were not effective in reducing drug dealing or drug-induced crime. In both instances the effect of the sanction itself was difficult to isolate from a number of contributing factors. Research in sentencing guidelines has indicated that they are an operationally feasible method of identifying court policies at local jurisdiction level. Whether guidelines can reconcile sentencing traditions and philosophies at the multi-jurisdiction level is an issue that is currently under study.

D. Discussion

The foregoing discussion has centered on the issue of sentencing disparity/judicial discretion. While that is a critical issue, it hardly is the only matter that warrants further study. Other issues that are under consideration for further study in the area of sentencing would include studies of the information needs of judges in making sentencing decisions, jury sentencing, the effects of various sentencing options on crime incidence, commensurate punishments, and sentencing as related to individual culpability.

In view of the important issues that remain to be studied, it is recommended that sentencing remain a research priority.

THE CAREER CRIMINAL: PRIORITY ISSUES UPDATE

I. INTRODUCTION

The study of the career criminal was formally identified as a priority area in the Institute's program in the 1978 Program Plan. However, the level of interest in this topic has been high both in the Institute and other LEAA offices for a considerable length of time. LEAA's Career Criminal Program, which provides funds to local prosecutors to target resources on the prosecution of repeat offenders, was developed in 1974. In 1975 the Rand Corporation received an Institute Research Agreement Program grant devoted to studies of career criminals and criminal careers. Subsequent grants in 1977 and 1979 have enabled the Rand Corporation to continue its pioneering research on the topic. Additionally, a 1977 grant and a 1978 grant have provided Rand opportunities to investigate, respectively, two emerging issues pertaining to career criminals: the development of integrated career criminal programs; the use of juvenile records in adult criminal proceedings. Complementary to the Institute's overall efforts regarding the priority area, a grant awarded to the Mitre Corporation in 1976 supported evaluations, now completed, of career criminal programs in four jurisdictions.

In view of the great amount of career criminal research supported by the Institute over the years, a Special National Workshop on the priority is being held in September. The occasion provides an opportunity for the Institute and other LEAA offices to present the results of their research and program development activities on the priority.

II. FY 79 ACTIVITIES

In coordination with the LEAA Career Criminal Program sponsored by OCJP, the Institute since 1975 has been supporting a Research Agreements Program focused on career criminals. The integrated studies of career criminals conducted by the Rand Corporation address two important policy-relevant questions:

- What are the distinguishing characteristics of career criminals?
- How much crime is prevented by imposing mandatory minimum sentences on career criminals?

Rand has sought answers to these questions by administering self-report crime questionnaires to large samples of prison inmates. FY 1979 witnessed both the awarding of a grant to continue the Rand studies of career criminals and the completion of Rand's draft report Doing Crime presenting the results of analyses of the self-report crime data collected on a sample of California prison inmates. The detailed information provided by the survey has contributed valuable new knowledge about habitual offenders and criminal careers.

Among other things, Rand has found little evidence of clear cut patterns in the careers of habitual offenders. While the frequency and breadth of criminal activity appear to decline with age, survey findings have not shown that repeat offenders progress from, for example, burglary to robbery or from property offenses to violent crimes. Moreover, there is little evidence that career criminals become "specialists" in crime or that they become sophisticated pre-crime planners with the passage of time and experience.

Instead, Rand has found that incarcerated career criminals commit a variety of crimes throughout their careers and are more likely to commit several types of crimes rather than only one at a high rate. Much of the street crime for which the inmates samples are responsible is committed by a subgroup of career criminals who stand a low chance of being arrested or convicted.

According to the survey of 624 California inmates, for example, those who reported a history of armed robbery committed an average of about one per year, but one-half of the self-reported armed robbers admitted to an average of over nine per year of street time. Findings such as these suggest that incarceration of selected high-rate offenders may have an appreciable incapacitation effect on reducing the crime problem. Much of the Rand work has been devoted to determining whether these selected offenders can be identified on the basis of information generally available to the criminal justice system, and to estimating the magnitude of the incapacitation effect.

Thusfar, Rand has not been highly successful in developing a practical means for identifying career criminals. Nevertheless, Rand reports that age and both prior juvenile record and prior adult record are significantly related to high crime commission rates. Criminal careers appear to begin around age 14, peak in the early 20's and then decline until age thirty, when most serious criminal careers end. The ability to identify career criminals is problematic in part because juvenile records, which provide information most predictive of career criminals, are apparently not routinely used by criminal prosecutors. The significance of this finding resulted in a NILECJ-sponsored study by Rand of the use of juvenile records in adult criminal proceedings. Its objective is to learn how juvenile records are currently being used by prosecutors and judges in adult criminal cases. This research includes: (1) a review of the legal issues involved; (2) a survey of the largest prosecutors' offices in each state concerning the availability, use, and quality of juvenile records in their jurisdiction; (3) analyses of court disposition data to determine the effects on sentence severity for both juveniles and adults.

An initial hypothesis when Rand began this project was that lack of access to juvenile records, on the part of the prosecutors, would lead to significantly more lenient sentences for young defendants. Rand believed that the prosecutor would be negotiating pleas without being able to tell which defendants had significant juvenile records.

Based on the research conducted in FY 79, that assumption no longer appears true. The prosecutor's survey appears to show that in most states the police do provide the prosecutor with juvenile record data for serious cases. It is only in those few states where the jurisdiction of the juvenile court terminates at age 16 (rather than 18) that the juvenile record is effectively shielded from later criminal proceedings. Analysis of disposition data also discloses that the youngest adult defendants do not necessarily get the most lenient sentences. In Franklin County (Columbus), Ohio, and New York City, young adults do get more lenient sentences during their first two years in the system. After that, they do not. However, in Washington, D.C., and Los Angeles, young adults 18-20 are no less likely to be incarcerated than defendants of any other age group.

At the same time that research on the use of juvenile records was beginning, Rand's research on career criminal program development was drawing to a close. The project was designed to provide the National Institute of Law Enforcement and LEAA with information to assist them in determining whether expansion of the Career Criminal Prosecution Program to other parts of the criminal justice system was warranted. If expansion seemed warranted, it was hoped this research would provide information on the appropriate direction.

The research was divided into two phases. Phase I was designed to provide a state-of-the-art survey of career criminal programs systemwide. The research consisted of a number of nationwide mail and telephone surveys, complemented by site visits and technical literature. The surveys covered nearly all jurisdictions with career criminal prosecution units, the police agencies in LEAA's Integrated Criminal Apprehension Program (ICAP) and Managing Criminal Investigations Programs; directors of parole in most states; and correctional administrators in most states. The surveys were designed to solicit information pertaining to ongoing or proposed programs for career criminals. Phase I was completed on schedule. Complete Phase I results are contained in a report entitled "A Systemwide Approach to the Career Criminal."

During FY 79 Rand was involved in Phase II of the project. Phase II is designed to examine the question of how career criminals fare in prison. Specifically, analyses were undertaken to determine whether career criminals have unique treatment needs -- they don't -- and whether the participation rates of career criminals in institutional treatment programs differ significantly from that of other inmates -- in general, they don't. The substance of Phase II derives from a survey administered to approximately 1500 prison inmates in California, Michigan, and Texas.

FY 79 also witnessed the completion of the Mitre Corporation's evaluation of career criminal programs in four jurisdictions: Franklin County, Ohio; Kalamazoo County, Michigan; Orleans Parish, Louisiana; San Diego, California. Multiple measures were used to assess program impact: type and mode of disposition measures; strength of conviction measures; sentencing measures;

time measures. In each jurisdiction career criminals prosecuted by the Program were compared with similar defendants during a baseline period along with non-career criminal defendants during both periods. Thus, for example, career criminals processed by the San Diego Program were more likely to be convicted of the most serious charge than either non-career criminals or similar defendants prosecuted prior to the development of the Program. Results of the evaluations will be published in a report now in preparation.

In view of the many research activities supported by the Institute over the years in the priority area, a Special National Workshop on Career Criminal Issues was planned for September 1979. Plans included presentations to prosecutors from across the country by the Rand Corporation and the Mitre Corporation of the results of their research efforts.

III. FY 80 PLANS

The Research Agreement with the Rand Corporation will continue throughout FY 80. Rand will analyze self-report crime survey data on 2,500 inmates of prisons and jails in California, Texas and Michigan. Analyses will attempt to confirm previous survey findings and add new knowledge about criminal careers. Emphasis will be placed on generating estimates of incapacitation effects, identifying predictors of career criminals and testing the validity and reliability of self-report survey data.

The Rand research on the use of juvenile records in adult criminal proceedings will be completed in FY 80.

Future research plans in this priority will be determined after careful synthesis and analysis of the research discussed above.

COMMUNITY CRIME PREVENTION: PRIORITY ISSUES UPDATE - AUGUST, 1979

I. Introduction

Community crime prevention deals with efforts to control crime and the fear of crime through a variety of community resources and mechanisms. These include the actions and response of citizens and community groups and the policies and practices of organizations and agencies in both the public and private sectors of the community. The actions that citizens can take are designed to reduce vulnerability to crime; to increase personal security; and to enhance the operations of the criminal justice system. These actions may be individual or collective in nature and address both personal and neighborhood concerns about crime. The policies and practices of public and private organizations and agencies can serve to reduce criminal opportunity and may also provide social and economic incentives for crime prevention activities. Local government actions regarding city planning, security ordinances, land use and zoning, and architectural and urban design can also be instrumental in promoting effective community crime prevention.

The program of research in community crime prevention is giving priority attention to the following areas: crime and the environment; and citizen and community action relevant to crime prevention. In each of these areas, research is directed at increasing our understanding of the issues that are instrumental in promoting effective crime prevention as well as the factors that constrain such activities.

In addressing crime and the environment, special consideration is being given to the relationship between crime factors and various neighborhood characteristics. For example, we are examining whether environmental factors exist that increase a neighborhood's susceptibility to a cycle of decline and crime and to eventual abandonment. At the other extreme, we are examining whether environmental factors allow some neighborhoods to enjoy more freedom from crime and a greater sense of security than other neighborhoods located in similar settings. We are also examining whether certain environmental features and attributes strengthen informal social control behaviors and thus contribute to neighborhood safety. Attention is also being given to changing community residential patterns over time to note their relationship to possible changes in crime patterns. In addition, we are examining how neighborhood and community development patterns impact on the demand for criminal justice services.

Past research dealing with a comprehensive neighborhood crime control program noted a significant impact on crime and a reduction in citizen fear as a result of strategies involving physical design changes as well as increased citizen and police involvement in crime prevention activities. The long term results of this effort are now being assessed in terms of increased security as well as program effects on the quality of life in the neighborhood.

In the area of citizen and community action relevant to crime prevention, we are examining a variety of factors that influence both the initiation

and the maintenance of various forms of citizen action as well as citizen involvement in particular kinds of organized crime prevention activities. Special attention is also being given to various mechanisms that influence citizen understanding, attitudes and behavior with regard to criminal justice issues. The role of the mass media (radio, television, newspapers) is being examined in the context of a national media campaign directed at promoting more effective crime prevention behavior and attention is also being given to the factors that influence public opinion and attitudes toward crime.

Particular attention is being directed at the relationship of crime prevention behavior to other kinds of preventive action that citizens engage in as they deal with various risks or threats to their well being. In addition, the key dimensions that underly the realm of crime prevention behaviors are being examined in order to determine which citizens employ various crime prevention strategies and what incentives/disincentives seem to operate to facilitate or inhibit the adoption of these behaviors by various segments of the community.

II. FY 1979 Activities

- a) In addressing crime and the environment, Institute research has directed attention at the relationship between physical and design features of particular environmental settings and citizen fear and vulnerability to crime. The initial Institute research in public housing indicated that physical design may be an important factor affecting both the rates of victimization and the public's perception of security, and that physical design may provide an opportunity for individuals to adopt a proprietary attitude and exercise social control in their environment.

Subsequent Institute research has included a number of demonstration efforts conducted in school, commercial and residential settings which include a problem analysis and program development process for integrating crime prevention strategies involving physical and urban design, community organization and criminal justice procedures.

Since there have been a number of studies on issues relating to crime and the environment, the Institute is currently synthesizing the results of these efforts and assessing the methodological soundness of these investigations. The purpose is to highlight what this research reveals and the confidence we can have in the results obtained as well as the areas of uncertainty that still need to be addressed. While most of the major studies, including those funded by LEAA, are still undergoing analysis, valid crime-environment relationships have already appeared in studies dealing with such topics as offender travel patterns, the effect of street layout on burglary, the effect of neighborhood surveillance potential on vandalism, and the existence of higher burglary rates in border blocks around socioeconomic groupings.

As mentioned earlier, a neighborhood crime control program that was planned and evaluated with Institute support has

produced results indicating a reduction in residential crime and citizen fear. The program included physical changes which re-routed traffic and closed some streets in order to enhance the area's residential character. These changes also increased the residents' use of public space and enabled residents to feel more responsible for the area. The project combined the environmental changes with two other crime prevention strategies: neighborhood team policing and collective anti-crime efforts by residents. The evaluation of the program after one year indicated a 43 percent decrease in burglaries from 1976 to 1977 and a 27 percent reduction in robberies and purse-snatchings. Residents also indicated that their fear of crime diminished and they were using their neighborhood more (sidewalks, yards, park areas). The present evaluation is addressing the long term effects of the program on crime reduction and citizen fear and behavior. Preliminary findings suggest that the program may have had an impact on revitalizing the neighborhood and increasing both resident and business commitments to the area. Consequently, the more pervasive effects of the program are also being examined with respect to the perceived quality of life in that setting.

Past research has noted high crime levels in deteriorating neighborhoods, though causal relationships were not established. Through the use of data developed in other Institute research and through neighborhood surveys, the relationship of crime factors to the process of neighborhood decline and abandonment is currently being addressed. Two related objectives in this area include: 1) determining how personal commitment to a neighborhood, and, in turn, decisions leading to abandonment and decline are affected by such conditions as racial change, the physical attractiveness of an area and the incidence and perception of crime, and 2) identifying the temporal and structural relationship between the neighborhood life cycle, decline and crime. Additional evaluative research on industrial/residential security being conducted in Chicago is focussing on issues related to industrial abandonment of the cities, with a view toward reversing this trend. The findings of these research efforts should be useful in forecasting decline in various urban areas and in designing crime prevention programs which may help to ameliorate the process.

Past research (Newman and others) has indicated that citizens may come to develop a sense of territoriality in which they attempt to exercise control over parts of the environment that they inhabit or use. The findings in this area are not consistent and clear, however, and there has been a need to examine more carefully the process of informal social control especially as it may be influenced by the environment. The Institute is currently giving attention to a refinement of earlier work on "defensible space hypotheses" to determine what kinds of social and environmental variables at a neighborhood and block level encourage or promote effective forms of informal social control relevant to crime prevention. This research has led to some preliminary clarification of the linkages between environmental features and crime and nuisance

incidents and feelings of protection and security. Thus, more attention has been given to proprietary attitudes toward space as well as patterns of social activity and behavior that are linked to various areas in the built and social environment.

Research is also being initiated to examine the processes by which some urban neighborhoods maintain safety and security despite their proximity to high crime areas. Special attention is being given to the influence of social control processes in deterring crime as well as the physical and social characteristics that appear to support these processes. In one of the studies, the focus will be directed at the relationship between territoriality, information exchange, formal neighborhood organization and informal surveillance in the establishment of safe and secure neighborhoods. In the other study dealing with neighborhood safety, attention will be given to the formation of territorial identification and attachments by residents with the area in which they live; and the development in turn, of a sense of social solidarity. These processes are hypothesized to contribute to the exercise of social control leading to reduced crime and improved safety. Both of these studies view the neighborhood as a socio-physical reality rather than just a social phenomenon.

- b) In addressing citizen involvement in crime prevention and control activities, attention has been given to citizen actions that can impede crime, enhance security, and promote the administration of justice. For example, Institute research has highlighted the importance of individual citizen actions in protecting their homes, as well as citizen cooperation with police at the crime scene and as witnesses in court. The research findings indicate that citizen actions involving simple security measures (e.g., use of locks, lights, etc.) can reduce vulnerability to crime in residential settings. In addition, citizen actions and behavior can influence the criminal justice process as it relates to police response, and the investigation and prosecution of criminal offenses. Studies have shown that the time lapse between a criminal incident and the call to the police appears to be more critical than the time it takes police to respond to the call. Prompt citizen reporting has been found to be important in realizing positive outcomes in terms of arrest and witness availability - with delays in citizen reporting tending to nullify the potential impact of rapid police response. Assistance to victims and witnesses has also been found to be critical with regard to successful investigations and the likelihood of obtaining convictions in criminal cases.

Research addressing various citizen crime prevention efforts has also focussed on collective forms of citizen action. For example, the Institute has published reports that relate to the development, implementation and evaluation of programs dealing with Citizen Patrols, Citizen Crime Reporting, Home Security, and Operation

Identification Projects. A community crime prevention program carried out in Seattle has also been defined as an Exemplary Project by the Institute. The information presented by Institute reports in this area is designed to be useful to community organizations, program planners, criminal justice personnel and the public at large interested in crime prevention activities.

The research findings on citizen action programs indicate that some of these efforts can be useful in increasing security and reducing citizen fear of crime. In addition, programs that involve a neighborhood approach and which include a combination of crime prevention strategies are more likely to be effective since such activities may reinforce one another. Personal contacts with citizens in small groups and in their homes appear to be useful in stimulating citizen involvement in crime prevention. Current evaluative research on community anti-crime programs is focussing on the institutionalization of these programs, the development of cooperative relationships between community groups and components of the criminal justice system and the degree to which these programs represent the various concerns of the community.

The Institute is also supporting research by Northwestern University (through a Research Agreement Program) which is exploring the urban locales that are the settings for various kinds of crime prevention activities. Attention is being given to the types of crime prevention strategies selected by particular kinds of neighborhoods and organizations, the relationship of police services to various forms of collective citizen responses and the relationship between individual reactions to crime and participation in neighborhood programs.

Northwestern University's research on community reactions to crime indicates that it is important to consider the neighborhood context in which crimes prevention activities are carried out. The research also highlights the relevance of informal social control in preventing crime and increasing security. This is consistent with experience in Hartford and Seattle in which neighborhood-based programs were developed to encourage surveillance and protective neighboring as well as private security actions.

Institute research on the nature of crime prevention behavior has highlighted the importance of distinguishing some of the key dimensions which underly behavior in this area. These include surveillance, access control and avoidance behaviors which may be influenced differentially by the various kinds of incentives that are used to encourage crime prevention. There is some evidence that concern about crime prevention may be more salient in households that include children than in those households without children. Thus, the influence of social and demographic variables needs to be considered with regard to the prevention of crime. The importance of participation in neighborhood organizations has also been highlighted since there is some evidence that participation in collective forms of crime prevention activities may at times have more to do with involve-

ment in neighborhood organizations than with the person's perceptions and beliefs about crime. There is a need to consider both private and public-minded aspects of crime prevention behavior as well since some of the preliminary findings in this area indicate that citizen actions simply directed at the prevention of victimization are not accompanied by a sense of security unless these actions are also collective and involve some form of mutual reliance and participation.

The role of the media are also being examined in relation to crime prevention. Preliminary data obtained from experts in communication and crime prevention indicate that there is a recognition that the media can be effective in creating awareness and in contributing to knowledge but are least apt to be effective in causing changes in behavior. Face to face communications are most likely to be effective in persuading persons to act. It also appears that at present, there is no consensus among experts regarding the components that should go into the development of effective crime prevention mass communications.

III. FY 1980 Plans

Research plans in Community Crime Prevention will build on the research funded in previous years based on the analysis of research on citizen actions dealing with crime and the criminal justice system, crime prevention programs and processes, and issues relevant to crime and the environment. For example, plans are being developed for a workshop which will focus on neighborhood research dealing with crime and the fear of crime. Special attention will be given to the units of analysis being used to define neighborhood and the different definitions and measures of the environmental features that are being addressed in this area. Both conceptual and methodological issues will be considered as well as the research issues that are emerging and which require attention.

Research on citizen and community involvement in crime prevention will continue to address issues relating to the mobilization and maintenance of citizen involvement in crime prevention. Tolerance of crime will be examined as well as the factors that influence a variety of citizen prevention behaviors. This will include the assessment of the national media campaign on crime prevention in terms of citizen exposure to key messages and their understanding and response to the information presented.

I. BACKGROUND

One can best characterize the progress of the past decade in criminal justice performance measurement as the acquisition of "informed ignorance." That is to say, we are now better able to define what it is that we do not know. This state of affairs is not due to a paucity of measures. The literature in the field references literally hundreds, representing varying perspectives on the performance measurement problem. In some instances different measures are suggested as most relevant for the same activity dimension, while in other cases a single measure is proposed as the most appropriate for different activities.

Confounding the issue is a lack of definition of performance itself. Performance, broadly defined, is the fulfillment of a promise or order. Measuring performance, then, should be simple. We identify the promise, choose the appropriate measure of fulfillment, and apply it. If the promise is for increased effectiveness, we select a measure of outcome. If it means improved efficiency, we select a measure of output per person. If it means greater equity, we gauge the distribution of services rendered across the population served. And so on.

Unfortunately, reality is never quite that simple: public agencies are obligated to fulfill many and often conflicting goals; there is no single measure of outcome or output; activities often serve several purposes; and there is no agreement on which definition of performance is most appropriate in a particular case.

Also unresolved is the question of how and by whom performance should be valued. In addition to the ultimate evaluators -- the public -- an array of specialists armed with a wide variety of measures currently fill the role of performance evaluator. The lawyer-evaluator, for example, assesses performance by measuring compliance. The accountant-evaluator would emphasize cost as his performance variable. The social engineer chooses output; the management analyst, successful outcomes; and the elected official makes popular support his barometer.

All these perspectives measure valid aspects of performance. Validity however does not translate directly to policy usefulness. Of constant concern is to what extent these evaluations benefit any particular agency or program. An administrator is told that he can reduce costs; or that he can improve output; or that he can ensure more equitable distribution of services. What the administrator fails to learn from these evaluations is how the other aspects of his performance are likely to suffer.

Because performance measurement is relatively new to criminal justice, selecting measures had been largely an intuitive exercise. This is evidently a necessary first step in the evolution of any scientific theory. But by 1978 it seemed appropriate to examine critically what had already been done and to investigate the structural requirements of a truly comprehensive performance measurement system. Performance statistics could then be based on solid analytic principles and empirical research. Working from this solid foundation, practitioners and researchers could then jointly proceed to the construction of well-engineered and practical measurement schemes.

II. INSTITUTE RESPONSE

To meet this need, the National Institute of Law Enforcement and Criminal Justice began a priority program of research on Performance Measurement Theory. The primary initial thrust of the Institute's program was directed toward conceptualization of the performance measurement issues in criminal justice, trying to define the issues, not to solve them. This phase is not expected to lead immediately to great increases in precision of measurement, nor to reveal optimal relationships among fairness, effectiveness, and costs. It will, we believe, pull together and assess what we know about measuring performance in criminal justice and point to where additional research is needed to advance the state-of-the-art.

With that foundation, the program can then proceed through the next stages: research on those performance measurement issues yet to be resolved, development and testing of prototype measurement systems; and ultimately a nationwide demonstration and marketing effort. The research will examine the full scope of criminal justice activities -- police, prosecution, defense adjudication, corrections, and the system as a whole. Separate grants have been awarded for each part of the system. Principal investigators in the program are Gordon Whitaker of the University of North Carolina and Elinor Ostrom of Indiana University (Police); Joan Jacoby of the Bureau of Social Sciences Research, Inc. (Prosecution and Public Defense); Thomas Cook and Ronald Johnson of Research Triangle Institute (Courts); Gloria Grizzle and Ann Witte of the Osprey Company (Adult Corrections); and Stuart Deutsch of the Georgia Institute of Technology (Inter-Systems Perspective). The Institute Program Manager is Edwin Zedlewski of the Office of Research and Evaluation Methods.

The grantees operate loosely as a consortium. Each has a primary responsibility to identify key functions and factors within an agency and place them in a broad measurement framework that explains their inter-relationships. To accomplish this, researchers will have to a) clarify the relationships between agency activities and

goals; b) determine what external conditions impact goal achievement and how they do so; c) select parsimonious measures that capture these relationships; and d) assess the sensitivity of these measures to such implicit factors as inter-organizational relationships and local differences in priorities.

Each grantee also has a secondary responsibility to collaborate with consortium members to insure comprehensive coverage of issues as well as overall consistency in presentation. If, for instance, an issue is relevant to both police and prosecutors, care is taken to insure that both research teams address it from their individual perspectives.

III. ACTIVITIES AND FINDINGS

Because the majority of the grants were awarded at the end of FY 78, the program has been operational for only one year. Most of that year has been used by the grantees as stated in their work plans. They have surveyed the relevant literatures, conducted field surveys with practitioners, and begun to formulate definitions and concepts relevant to agency performance and its measurement.

Other activities include joint meetings of all consortium members to discuss progress and common concerns, and public presentations of the program. A Special National Workshop was held in January to acquaint practitioners with the research. The plans were also presented to the research community at the semi-annual meeting of the Operations Research Society of America. Both researchers and practitioners have therefore had some opportunity to react to the program and provide feedback.

Despite its youth, the consortium has made significant progress in synthesizing and refining our understanding of performance measurement issues. While studies like these do not produce findings analagous to those from applied research, they do produce realizations of the state-of-the art.

One such realization is that there are many groups, or "system-relevant constituencies," who are interested in the performance of criminal justice agencies. Yet interviewed agencies tended to operate as if they were unaware of external interests. While there are exceptions, agencies could not, as a rule, either articulate a definition of their own performance or provide statistics relevant to its assessment by any but the most parochial definition. When there was an operationally active definition of performance, it often revolved about some notion of efficiency (police being an exception by their preoccupation with clearance

rates). Courts tended to be concerned with backlog; prosecution and public defenders with speedy dispositions; corrections officials with costs and manpower. Harmonious relations among the major actors was also a concern. Fairness was sometimes mentioned as a performance factor, but more in the sense of fair play between actors than in the sense of equity in outcome.

A methodological issue of continual discussion has been the utility of goals statements for performance measurement. One characteristic of past performance measurement initiatives has been the articulation of a list of agency goals, either by surveys of agency managements or by expert panels. The logic behind the approach has been that in order to measure performance there must be a set of measurable objectives; however, the grantees in this program have questioned the efficacy of the goals-objectives approach along several lines. One criticism is that individual perceptions of what is important in an agency's mission are so diverse that different expert panels have reached different goals agendas for the same agencies. Another is that the goals statements derived tend to lack operational meaning. They often take the form "improve arrest productivity" or "reduce recidivism by X per cent" yet carry no notion of whether the goal is achievable. The most damaging aspect of these statements is that in their simplicity they often come to be regarded as the definition of the problem rather than the imperfectly articulated indicators of the desired direction for operational change.

The consortium consensus is that goals-statements are useful devices to initially suggest functional areas that merit measurement. Goals-statement should not be sacrosanct, however. They should be modified as an agency learns to use its performance information and as the conditions it faces change. When used as guides, the statements can evolve into an operational set of management policies.

Also surfacing from the program is a realization that the technology of criminal justice service delivery is not understood. We can describe the functional responsibilities of the agencies which comprise the system and we can map out the possible paths through the system that crimes and offenders can take. But we have little knowledge as to how manpower, management policy, and specific activities combine to produce the outcomes observed, and even less knowledge as to how relative shifts in these areas affect targeted outcome variables.

This lack of understanding has been a major impediment to a conceptualization of performance measurement. It has induced the grantees to divide the performance question between factors within an agency's control and those external to it. Even though this dichotomy is not strict (because of the obviously large number of partially controllable factors), it nonetheless helps us to cluster researchable

issues along two dimensions management reform and social outcome studies. The thrust of the management reform dimension is to determine how an agency manager can best allocate his staff and shape his policies in order to achieve maximum output in the areas he values most. Social outcome studies are those which move the boundary of the "system" from the agency door to the social environment in which the agency operates. Here the research questions are not how well the agency manages but whether is it able to impact key social variables. Essentially then, this internal - external dichotomy separates efficiency issues from effectiveness issues.

IV. FY 80 PLANS

The first phase of the program will terminate in Spring, 1980. By this time the grantees are expected to produce an analysis of the kinds of functions and operational styles practiced by the following agencies: police, prosecution, public defenders, courts, and adult corrections. They will also develop operational definitions of performance that are sufficiently broad to accommodate the variations studied and discuss the attendant measurement problem. A final task is to produce agendas which will be used to plot a course for further research activities in the area.

Because the agendas will produce more researchable issues than the Institute can afford second phase funding will be necessarily selective. Naturally the relative responsibility of agenda items will be a selection criterion, as will the perceived benefits of research on the various topics. But these two criteria alone are not likely to winnow the candidates studies sufficiently.

To continue the performance measurement program truly as a program, it will be necessary to select a theme central to each agenda and to encourage other Institute offices and programs to sponsor research in those areas which were sacrificed. That central theme has not yet been chosen but its selection will be guided by two programmatic criteria: its operational relevance to criminal justice agencies and its potential contribution to their adoption of research-grounded performance measurement systems.

Priority Program Update General Deterrence

I. Background

The origin of a general deterrence priority might be traced back to the Spring of 1975 when the National Academy of Sciences approached the Institute with the idea of undertaking a critical review of the growing body of technical evidence relating to the deterrence hypothesis. Theorists of criminal behavior have for centuries speculated about the effects the imposition of criminal sanctions has on the decisions of non-sanctioned individuals to engage in criminal acts.¹ However, most of the earlier arguments for and against deterrence as a crime control mechanism seem to use empirical evidence more as a support for philosophically derived positions than as a basis for inference in the traditional sense of scientific inquiry.

A rather different spirit of investigation has characterized much of the work done over the last decade. One might well regard Becker's 1967 paper¹ as seminal. A preponderance of the subsequent work reported in the literature has borrowed heavily from the formalism of economic modeling. In particular, it was this line of research that led to Isaac Ehrlich's paper on the death penalty.² The controversy raised by this paper suggested a need for the kind of in-depth critique proposed by the Academy. Upon award of an LEAA contract, (J-LEAA-006-76), the Academy established a Panel on Research on Deterrent and Incapacitation Effects to undertake this task. Chaired by Professor Blumstein, the Panel studied the major research on the deterrence question (including an extensive re-analysis of Ehrlich's work) and published its report³ early in 1978.

Based in great part on the findings in that report, NILECJ issued its first solicitation for proposals in February 1978. This initial program was backed up by the allocation of \$1 million in research funds. About a year later, the FY 79 program was advertised, emphasizing an interest in empirical investigation of criminal justice policy changes as deterrence quasi-experiments. About \$300 thousand was made available in new funding in this fiscal year.

¹ Becker, G. (1967) Crime and Punishment: An Economic Approach. Journal of Political Economy 78(2): 526-36.

² Ehrlich, I. (1975) The Deterrent Effect of Capital Punishment: A Question of Life and Death. American Economic Review 65(3): 397-417.

³ Blumstein, A., et al. (1978) Deterrence and Incapacitation: Estimating the Effects of Criminal Sanctions on Crime Rates. National Academy of Sciences, Washington, D.C.

II. Program Strategy and Process

In a field of inquiry that is at once as fundamental and as complex as general deterrence, a primary purpose of a grant program must be to encourage the professional interest of the scientific community in the evolution of the whole body of theory. This is not an inconsequential point. A rather different solicitation process would have resulted from a model of program purpose based on some detailed, hierarchical plan of studies to be undertaken sequentially in order to arrive at the ultimate solution. Deterrence theory does not yet seem to this Office to have advanced to a stage where a planned "engineering development" strategy would appear to be a safe and efficient way to allocate research funds. For this reason the deterrence program solicitations have been fairly general in their invitation of research ideas, mentioning some of the major logical and technical problems discussed in the Academy report, but for the most part leaving it to the grant applicants to suggest specific questions to be addressed by their research and to demonstrate the relationship these questions have to advancing the structure and empirical foundations of the theory.

A direct mailing of the solicitations was made to all "research" subscribers of the National Criminal Justice Reference Service. In accord with Institute policy, a notice about the program was also inserted in the Federal Register. Submissions received were reviewed and commented on by a panel of outside researchers familiar with the field. OREM's recommendations for funding were based in part on these written comments and in part on the results of the supplementary arguments and discussion at the panel's meetings with staff in Washington.

Seven grants, totaling \$667 thousand were awarded out of the FY 78 program funds. The solicitation had asked for concept papers as the initial form of application. The subsequent selection of projects for which formal proposals were requested was based on the review panel's comments. These proposals were again sent for outside, technical review. This two stage process resulted in considerable delay in the award of grants -- the FY 78 program was actually funded through a carry-over of funds into FY 79. This year, therefore, the concept paper stage was eliminated and full proposals were required as the initial application. Although this has not entirely eliminated the need to require supplementary information and technical clarification from proposal authors, the process does seem to work rather more expeditiously. Five projects are being recommended this year. If all are awarded, this year's program will be funded at \$553 thousand.

Thus, in its first two years the Institute either was awarded or expects to award 12 grants with a total outlay of \$1.22 million in the deterrence area.

III. Funded or Recommended Projects

The program as it presently exists can for convenience be described in terms of three classes of studies. The first are the model-based investigations, using existing data to examine analytically the implications of particular assumptions about the nature of the deterrence phenomenon. The second class is concerned with assessing from a deterrence perspective the effects of some recently legislated changes in criminal sanctions. Finally, one project is designed as an experiment relating to a better understanding of how compliance with a particular law might be affected by awareness of the penalties for its violation.

A. Model-Based Investigations: Total: \$414,900. See attachment A for a list of grantees.

Mathematical models are fundamental to the formal structure of any quantitative theory of crime control. Sanctioning variables cannot be manipulated in the sense in which laboratory experimentation seeks to isolate and control interventions in order to establish an attribution of effects to causes. The modeler's task is, therefore, to express at once in the form of a set of mathematical relations all of the complex of causal linkages that his theory regards as significant to the phenomena under study. The empirical test of the model is, of course, its ability to satisfactorily reproduce (and ultimately to predict) what is actually observed in the real world.

It is impossible in this short paper to summarize adequately the state-of-the-art of deterrence modeling and thus to put into proper context the primary issues being addressed in each of the program's modeling projects. Some idea of the diversity of these issues might be gleaned, however, from the following extremely abbreviated project characterizations.

1. The Bowers study is principally concerned with differences in implications obtained when models are built at the state, the community and the neighborhood levels. Secondly, it would explore possible time lags between changes in sanctioning levels and observed effects on crime.
2. Pogue's concern is studying deterrent effects associated with arrest itself and with variability in prison time served for a given offense. His model includes a measure to reduce possible confounding effects of incapacitation. A somewhat unusual feature of the study is his attempt to

estimate and eliminate crimes committed by juveniles from his dependent variables. He argues that, since adult sanctions do not apply to juveniles, any deterrent effects associated with them can be only indirectly reflected in rates of juvenile offenses.

3. The Ehrlich grant provides support for this investigator, so well known in the field, to pursue further some lines of inquiry he has already started. In particular his modeling research would examine variations over time in average financial gain from legitimate employment and from property crime as well as effects that variations in sanctions for violent crimes have on property crime rates and vice versa.
 4. Orsagh proposes a county-level analysis using, among other things, Offender Based State Correctional Information Systems (OBSCIS) data. The analysis, including an attempt to estimate the incapacitation effect, will be carried out by offense type for each Part I crime.
 5. In Greenberg's rather small project, he proposes an attack on the two-way causation problem: crime rates plausibly affect sanctions levels (perhaps through the criminal justice system's effective sanctioning powers reaching saturation levels) at the same time that sanctions affect crime rates (the deterrent and incapacitation effects). Specifically focusing on arrest rates and using 1964 to 1970 data for 100 U.S. cities and the 50 states, his method of analysis of Part I crime rates is based on a technique for dissociation of short and long term inter-relationships.
 6. Phillips is also proposing an analytic approach to the direction of causality problem based on a postulated difference in lag time between changes in sanctions in response to changes in crime rates and vice versa. A preliminary form of his model was applied with a considerable degree of analytic promise to the study of rates of and sanctions for willful homicide in California.
- B. Deterrence Effects of Legislated Changes: Total: \$583,236.
See Attachment B for a list of grantees.

A general deterrent effect is the obvious intent behind many of the recent changes in criminal codes enacted by state legislatures. Such changes provide opportunities for deterrence research under conditions that, at least potentially, offer fewer logical complications than the modeling of "steady state" phenomena. The underlying

assumption is that the change in sanction levels (if it actually occurs) can reasonably be argued to be the cause of near contemporaneous changes in crime rates (if they are observed), provided no equally plausible alternative explanations can be offered. A check on this last condition is usually afforded by analysis of crime rates in jurisdictions or among populations not subject to the sanctioning change.

1. The McPheters study will examine effects stemming from Arizona's adoption of a completely revised criminal code. The presumptive sentencing provisions of the new code are anticipated to produce somewhat harsher sentencing patterns than previously existed in the state. The Box-Jenkins form of time series analysis is the primary tool for detection of crime rate changes. The study, of course, will monitor the code's implementation in the activities of prosecutors, courts, and correctional agencies.
2. Zimring's project is a pre-post study, focusing on juvenile offenders in New York State. Under a 1976 act of the legislature a category of "designed felon" was created whereby at the discretion of the judiciary juvenile offenders could be treated as adults. In 1978 the age of criminal responsibility for certain violent offenses was again lowered, removing many more juveniles from the jurisdiction of the Family Court and making them liable to the more severe sanctions of the criminal court. The before-after design of the study will look at juvenile offenders in two large New York cities in comparison with two similar cities in a neighboring state.
3. Bowers proposes in this study to examine in considerable detail the deterrent effects of Massachusetts' Bartley-Fox law, which specifies a mandatory prison term for illegal carrying of a firearm. This project continues from a peculiarly deterrence perspective the work done under a previous grant to examine the law's implementation. Among other things, the study will attempt to distinguish transient from steady state effects on crime rates and to identify possible crime switching behavior as a response to the new law.
4. The Loftin study also will examine the deterrence effects stemming from a new firearm law. The Michigan statute provides for a mandatory prison term for the use of a firearm in the commission of a felony. The sentence under the firearm law is to be served in addition to any sentence imposed for the felony itself. Under a previous grant Loftin has studied how the law was implemented in the criminal courts of Detroit. In this project he proposes to use a system of structured equations to tease out the effects on crime rates of the new penalties for gun-related offenses.

C. A General Deterrence Experiment: Total \$71,496. See Attachment C.

Geis's study is directed at the perception problem of deterrence theory. It is, of course, not the objectively defined probabilities of arrest and imprisonment that act directly to deter criminal behavior. Rather it is the individual's subjective assessment of the risk involved. This project seeks to study the effects of written notification on the compliance with California's automobile repair fraud statutes.

D. Other. One additional proposal for a \$150,000 project has been recommended by this Office on the basis of its technical interest. At this time, however, there remain some problems in securing LEAA Comptroller's clearance of the proposed budget. The project is essentially a model-based study of bank robbery in the United States.

IV. Assessment and Recommendations

It is somewhat premature at this point to make judgments about the productivity of NILECJ's current investment in general deterrence research. Suffice it to say that this Office regards with some satisfaction the portfolio of grants that now make up the program but would be rather less satisfied to see the program continued indefinitely without greater diversification. Many areas of research useful in theory development are not well represented. The perception of risk problem is one example. Perceived risk is obviously an essential mediating variable between offender behavior and the actual level of criminal sanctions. But no technically satisfying general line of attack on this question has been suggested in proposals received. Similarly, no technically sound applications have been submitted to study as deterrence quasi-experiments any of the many intensive system "crackdowns," whose obvious purpose is to bring about a sharp increase in risk, even if only locally and temporarily. Such studies might provide valuable insights into how an offender population reacts and adjusts, at least over the short run, to higher probabilities of arrest, conviction and imprisonment.

To some extent such diversification of the program can be affected through the choice of language in which future solicitations are couched. Nevertheless, in spite of the fact that deterrence itself remains a fertile ground for inquiry, this Office recommends adoption of a program strategy deriving from a more broadly conceived priority research issue. Many of the problems associated with an advance in our understanding of general deterrence require the parallel development of sound theories for measuring incapacitation effects or for modeling the processes of special deterrence and rehabilitation. OREM this year began a "non-priority" program of support for research on incapacitation and has plans to move into the other areas next year. However, by uniting these under the aegis of a priority program of research on crime control, NILECJ would be explicitly recognizing the inter-dependencies between the societal forces the criminal justice system brings to bear through the exercise of its sanctioning powers.

It is to be hoped that such an expanded program would give somewhat greater scope to the technical creativity and ingenuity of the research community taking a professional interest in these problems. In any case, it would certainly provide this Office and the peer panelists acting for it as technical reviewers with the greater flexibility needed to ensure the selection and recommendation of proposed projects of greatest scientific merit.

Attachment A

Model-Based Investigations

1. William Bowers, Northeastern University; "Deterrence and Data Disaggregation;" \$128,933; 21 months; #79-NI-AX-0009
2. Thomas F. Pogue, University of Iowa; "An Econometric Analysis of the Deterrence Effects of Arrest and Imprisonment;" \$58,348; 18 months; #79-NI-AX-0015
3. Isaac Ehrlich, SUNY, Buffalo; "Economic Analysis of Crime and Deterrence;" \$68,756; 12 months; #79-NI-AX-0040.
4. Thomas Orsagh, University of North Carolina; "The Deterrent Effect of Arrest and Incarceration: A Criminometric Approach;" \$90,963; 20 months; #79-NI-AX-0047.
5. David F. Greenberg, New York University; "Crime Rates and Arrest Rates: A Causal Analysis;" \$38,483; 12 months; #79-NI-AX-0054.
6. Llad Phillips, University of California, Santa Barbara; "Identifying the Control Effects of Imprisonment;" \$29,416; 15 months; #79-NI-AX-0069.

Attachment B

Studies of Legislated Changes in Sanctions

1. Lee McPheters, Arizona State University; "Deterrence Effects of the Revised Arizona Criminal Code: A Quasi-Experiment;" \$211,109; 24 months; #79-NI-AX-0041.
2. Franklin Zimring, University of Chicago; "New York's Double Crack-down on Juvenile Violence: A Policy Experiment in General Deterrence;" \$81,000; 24 months; #79-NI-AX-0072.
3. William Bowers, Northeastern University; "Deterrence Processes and Effects: A Quasi-Experimental Approach;" \$149,629; 18 months; #79-NI-AX-0074.
4. Colin Loftin, University of Michigan; "The Deterrent Effects of Michigan's Firearm Law;" \$144,498; 24 months; (Project recommended; Administrator's decision pending.)

Attachment C

A General Deterrence Experiment

1. Gilbert Geis, University of California at Irvine; "Deterring Automobile Repair Fraud;" \$71,496; 12 months; #79-NI-AX-0050.

Update Priority Research: Rehabilitation

I. Introduction

Because of its central importance to the field of corrections, the National Institute of Law Enforcement and Criminal Justice in FY 77 designated the study of the concept and practice of rehabilitation as research priority. The priority was organized in four sub-topics: 1) studies of the concept itself; 2) studies of how to define/measure rehabilitation processes and outcomes; 3) studies of the effectiveness of rehabilitation programs; and 4) the future of rehabilitation, particularly as it is shaped by legislative change.

Following is a discussion of progress made to date in these areas.

II. Progress to Date

Conceptual Studies: Three projects were directed at exploring the concept of rehabilitation. These studies were to examine such basic questions as how to define the concept itself, whether rehabilitation practices have advanced to the point of demonstrated effectiveness and whether rehabilitation is a feasible goal for corrections.

A report by the National Academy of Sciences was completed in May, 1979. The NAS Panel developed a definition of rehabilitation that limits the concept to positive interventions in the offender's life intended to bring about behavioral change; this definition excludes behavioral change as a result of punishment or preventive practices.

Using this definition, the NAS Panel examined the accumulated literature to assess the state of the art of rehabilitation. It was their conclusion that rehabilitation has generally been untested in corrections due to a number of factors, but particularly due to difficulties in providing services to offenders. Thus the Panel stated that persistent findings of ineffectual treatment programs may reflect programs that delivered weak treatments. Examples were cited of programs that were directed at inappropriate target populations, were delivered by untrained staff for very brief periods, etc. In the Panel's opinion, the "failure" of rehabilitation programs is thus not surprising considering the constraints encountered. The Panel also noted the formidable methodological problems in measuring rehabilitation program effectiveness.

A number of recommendations for future research were made by the Panel, including studies of family factors and criminality, research into early criminal career intervention, studies of restitution programs, alternative sentencing of offenders, and, in particular, studies of job programs and post-release economic support for ex-offenders. The Panel further recommended that controlled experiments be carried out whenever possible in order to develop the knowledge base of rehabilitation.

The NAS Panel is focusing on these recommendations in a second study funded by NILECJ. This second study will examine the accumulated knowledge and research needs in seven areas: bio-social causation, family environments, job programs, education programs, criminal career development, alternative sentences, and prevention. This study is scheduled to be complete by February, 1980.

Two other projects that contribute to the study of the concept of rehabilitation, "Alternative Measures to Recidivism" and "Survey of Criminal Justice Evaluation Studies" are discussed below in the context of measuring program effectiveness.

Measurement: Three separate measurement issues are addressed in this sub-topic: 1) Development of alternatives to recidivism as the measurement of rehabilitation effectiveness; 2) the quantification of the natural performance rate of corrections, defined as the recidivism rate that would occur if there were no treatment program interventions; 3) development of cost benefit-models.

The first issue is being studied by Drs. Maltz and McCleery in a project entitled "Alternatives to Recidivism Measures." Their study has been directed at two objectives: an examination of the variety of ways in which recidivism is defined and measured in current corrections, and the testing of mathematical models developed in other fields, notably industrial engineering, on correctional data bases to determine if alternatives to the dichotomous measure of success-failure can be developed.

This study is nearing completion. Dr. Maltz has tested four modified models on a number of data bases. Although the question of alternatives to the measure of recidivism remains unanswered, progress has been made in estimating in a project's early stages what will be its ultimate failure rate. One model in particular (a mixed-exponential model) appears to be an accurate predictor. Further development of this methodology will proceed under a grant awarded by NILECJ's Office of Research and Evaluation Methodology.

One of the objectives of Dr. Robert Martinson in the project entitled "Survey of Criminal Justice Evaluation Studies" was to estimate the "natural" performance rate of corrections. Dr. Martinson had accumulated a large data base (over 4000 studies and more than 100,000 reported recidivism rates), and, at the time of his death, was applying alternative analysis methods to this data. It now appears that analysis of this extensive data base may be delayed for another year.

The development of cost-benefit models has been deferred until FY'81 when two projects funded by the office of Research and Evaluation Methodology will be complete. These projects, "Empirical Estimates of Correctional Cost Functions" (to be completed in October of 1979) and "Performance Measure Theory in the Criminal Justice System" (to be completed by February, 1980) will provide a knowledge base for developing cost-benefit models.

Studies of Specific Programs: The central purpose of projects in this sub-topic is to examine the effectiveness of particular rehabilitation programs. A second purpose is to conduct research in the area of prison environments.

In the study of program effectiveness, two projects are directed at the macro-level: Dr. Martinson's "Survey of Criminal Justice Evaluation Studies" and Dr. Harry Allen's study of "Parole in the United States: An Assessment." As stated above, the Martinson study is temporarily in abeyance. The Parole Assessment will be completed by October, 1979; the final report will not only examine current issues regarding parole but will also identify areas for future research.

There are a number of studies directed more at the micro-level, that is, directed at studying specific programs such as victim restitution programs, model prison industries, and assessing offender post-release economic support programs. Of particular note are three projects that are being carried out as quasi-experiments: a field test of a model community half-way house, a comparison of three models of service delivery/supervision of offenders on probation, and a four year study of parole supervision.

In FY'77 NILECJ designated the Montgomery County (Md.) Work Release/Pre-Release Program as an Exemplary Project. This program uses a community residential facility to provide a variety of services to offenders. Due to the effectiveness of this program, the Office of Development, Testing and Dissemination funded a field test of the model in three cities; NILECJ's Office of Evaluation has funded an evaluation of these three field tests to determine if the program that was effective in Montgomery County is effective elsewhere and can thus serve as a model for other jurisdictions. This field test employs an experimental design (random assignment to experimental and control groups) to ensure a rigorous evaluation.

The "Improved Correctional Field Services" project has two objectives: 1) the development and testing of a screening device that will accurately predict an individual's performance on probation; 2) to test the effectiveness of different levels of supervision in increasing the probable success of high risk offenders under community supervision.

This project will be carried out in three jurisdictions, and will use random assignment of clients to one of three levels of supervision in order to determine what level is effective with which type of individual. This information in turn will be used to test the effectiveness of locally developed screening for risk mechanisms. LEAA's Office of Criminal Justice Programs is the funding source for this program; the evaluation of the project's results has been funded by NILECJ's Office of Evaluation.

Another project funded by NILECJ's Office of Evaluation is a four year "Intensive Evaluation of Probation". This project will examine under experimental conditions different models of probation supervision. Planning of this study is in process and identification of the sites and models to be studied is incomplete.

The environment in which rehabilitation must take place is the focus of four projects; all four are concerned with institutional environments. The second phase of the Survey of Correctional Facilities and Assessment of Needs will be completed in December of 1979. This study will present an assessment of the capacities and physical conditions of the nations' prisons as well as an examination of the severity of prison overcrowding. A congruent study is The Effect of Prison Crowding on Inmate Behavior. This project is at mid-point in its study of how overcrowding is related to inmate health and behavior. The findings of this study will be particularly useful in assessing professional standards for prison housing.

Two other environment studies focus on inmate behavior. The study of Inmate Organizations is nearing completion and will provide information on the formation and power - both in prison and the community - of inmate organizations and groups. The "Victimization in Prison" study is directed at surveying the degree of inmate and staff victimization in prison, particularly victimization stimulated by overcrowding. The project has another year until scheduled completion.

Studies of the Future: The study of the future of corrections began in FY 78 with the commissioning of papers from eight researchers with a futurist perspective. These papers provided the background for research to be funded in FY 80.

III. Summary: The NAS Panel identified seven topics for further research in rehabilitation. NILECJ has studies planned or underway in each topic area, including quasi-experiments in specific rehabilitation programs. Significant progress has been made in developing methods for measuring rehabilitation costs and outcomes, and further study of the role of rehabilitation in the future is planned.

IV. Discussion: NILECJ's objective in designating rehabilitation as a research priority was to explore its role in the field of corrections, an issue that has become salient in the past decade as critics advocate abolishing indeterminate sentencing, compulsory treatment, and post-release supervision.

At this time the findings of previous and current research do not point to modification of the objectives of this priority topic or to a reformulation of the research issues being asked. Thus rehabilitation should remain a priority area for two more years; at which time a reexamination of the topic's importance can be made in the context of the findings of studies now in process.

Project Listing: Rehabilitation Priority

Conceptual

Report of the National Academy of Sciences Panel on Research in Rehabilitative Techniques

Measurement

- 77-NI-99-0073 Alternatives to Recidivism Measures
- 76-NI-99-0023 Survey of Criminal Justice Evaluation Studies
- 73-NI-AX-0077 Continued Development and Testing of Procedures for Monitoring the Outcome of Prison and Parole Services (OE)
- 78-NI-AX-0130 Performance Measure Theory in the Criminal Justice System: Adult Corrections (OREH)

Programs

- 78-NI-AX-0062 Parole in the United States: An Assessment
- 73-NI-AX-0098 Free Venture Evaluation (Prison Industries)
- 73-NI-AX-0074 National Evaluation of Adult Restitution Programs, Phase II
- 76-NI-99-0127 National Evaluation of Restitution Programs (Phase I)
- 78-NI-AX-0110 National Assessment of Adult Restitution Programs (OE)
- 79-NI-AX-0031 Post-Prison Adjustment Process
- 79-NI-AX-0046 A Study of the Consequences of Long Term Confinement
- 79-NI-AX-0021 Evaluation of Community based Pre-Release Model Programs
- 78-NI-AX-0152 Improved Correctional Field Services Project Evaluation
- 76-NI-AX-0126 National Evaluation of the Treatment and Rehabilitation of Addicted Prisoners (OE)
- 78-NI-AX-0152 Improved Correctional Field Services Project Evaluation (OUU)
- J-LEAA-027-78 NEP Phase II, Intensive Evaluation of Supervision (OE)

Environments

- 78-NI-AX-0122 Study of Victimization in Prisons
- 78-NI-AX-0033 Implications of the Growth and Development of Inmate Organizations on Correctional Management Practices

78-NI-AX-0019 The Effect of Prison Crowding on Inmate Behavior

J-LEAA-018-77 Survey of Correctional Facilities
of Needs

FY '80 Planned Projects

Variations in the Use of Confinement: a study of the factors that determine short-run variations in the size of prison populations.

Community Environments and Their Impact on Supervised Offenders: a study of the community factors associated with parole success-failure.

Theory Based Intervention and Experimental Monitoring: an examination of the quality of probation supervision as delivered under differing management strategies.

Alternative Policies of Social Control: an examination of the probable alternative futures of corrections.

Inmate Education Research: a study directed at improving prison education programs; specific area of study to be selected:

Synthesis of Correctional Environmental Studies: this project will synthesize previous research on correctional environments and develop an agenda for future research.

SECTION IV

DRAFT

NILECJ PROGRAM PLAN

FY 1980

National Institute of
Law Enforcement and
Criminal Justice
PROGRAM PLAN
FISCAL YEAR
1980



National Institute of Law Enforcement and Criminal Justice
Law Enforcement Assistance Administration
United States Department of Justice

FOREWORD

The National Institute of Law Enforcement and Criminal Justice offers this program plan as a report to those who have a general interest in the research and development activities of the Institute and as a guide to potential grantees and contractors. The plan outlines the Institute's priorities for research in FY 1980 and beyond and spells out other Institute programs and projects to be carried out during the fiscal year.

The plan cannot answer all your questions, but we hope it offers the first step for a close working relationship between the Institute and criminal justice researchers and practitioners. The Institute staff welcomes further inquiry.

The priorities presented in this plan are not mutually exclusive nor do they exhaust the possibilities for criminal justice research. We believe they do offer a rational framework for future research that reflects the major problems and needs of criminal justice, an appraisal of the existing knowledge, and identification of the gaps that must be filled before progress can be made.

The long-range agenda receives continuing scrutiny by the Institute and its Advisory Committee. As part of that process we encourage comments and suggestions from the criminal justice and research communities and from citizens and professional organizations.

Harry Bratt
Acting Director
National Institute of Law
Enforcement and Criminal Justice

August
June 1979

NOTE TO READER

Programs and projects described in this report are subject to change, pending passage of legislation now before Congress that would reauthorize and reorganize the Law Enforcement Assistance Administration.

As this report was being written, the Senate had passed the Law Enforcement Assistance Reform Act which establishes within the Department of Justice an Office of Justice Assistance, Research and Statistics, a National Institute of Justice, a Bureau of Justice Statistics, and a Law Enforcement Assistance Administration. A similar bill was reported out of the House Judiciary Committee. Action by the full House is still pending.

The proposed National Institute of Justice (NIJ) would assume the functions of the National Institute of Law Enforcement and Criminal Justice as well as additional duties. Following enactment of the legislation, detailed information on the organization and functions of the NIJ will be published and disseminated.

INTRODUCTION

Research Mandate

The National Institute of Law Enforcement and Criminal Justice was created in 1968 as the research branch of the Law Enforcement Assistance Administration. Congress gave the Institute this broad mandate: "to encourage research and development to improve and strengthen law enforcement and criminal justice."

In fulfilling the mandate, the Institute identifies research needs, sets research objectives and priorities, develops and sponsors research and development projects, and applies research findings in the development of action programs to improve criminal justice. For the most part, projects are conducted by independent grantees and contractors, although the Institute also has a staff research program.

The Institute's mission encompasses both basic and applied research into all aspects of crime prevention and control and the administration of criminal justice. Given the scope of its mandate, Institute research projects necessarily involve many disciplines--the behavioral, social, biological, and physical sciences, the law, operations research, and systems analysis.

In addition to research and development, the Institute administers several other programs that fulfill legislatively-assigned objectives:

Other Objectives

- Evaluation of criminal justice programs;
- Design and field-testing of model programs based on promising research findings and advanced criminal justice practices;
- Training workshops for criminal justice practitioners in research and evaluation findings, and efforts to assist the research community through fellowships and special seminars;
- Operation of an international clearinghouse for criminal justice information, the National Criminal Justice Reference Service;
- Support for a science and technology program that tests and develops standards for equipment used by criminal justice agencies.

ORGANIZATION

The Institute's organizational structure reflects its wide ranging responsibilities as the research arm of a mission agency. The work of the Institute is carried out through four major offices:

RESEARCH PROGRAMS

The Office of Research Programs administers the Institute's basic, applied, and developmental research activities primarily through external grants and contracts, but also through limited in-house research projects. The Office includes the following divisions: Police, Adjudication, Corrections, Community Crime Prevention, and the Center for the Study of Crime Correlates and Criminal Behavior.

RESEARCH AND EVALUATION METHODS

The Office of Research and Evaluation Methods administers methodological research and development activities. Most projects are conducted by grantees, ~~and contractors~~, but limited in-house research also may be carried out. Activities focus on research and evaluation measurement problems and systemwide research and evaluation problems in criminal justice.

PROGRAM EVALUATION

The Office of Program Evaluation sponsors evaluations of selected programs primarily through an external grant/contract program, although it, too, maintains a small internal capability. Among the functions of the office are evaluation of selected LEAA-sponsored national programs and of State and local criminal justice initiatives.

DEVELOPMENT, TESTING AND DISSEMINATION

The Office of Development, Testing, and Dissemination assures that Institute research and evaluation findings are disseminated and applied. The Office identifies and develops program models; designs and sponsors field tests; supports training workshops and information sharing; provides reference, dissemination, and information services; and tests and develops standards for major items of equipment used by criminal justice agencies.

OVERALL DIRECTION

The Office of the Director oversees the entire Institute program. Institutewide planning, analysis, and management functions are handled by a special unit created to foster a coordinated approach that builds on the results of past Institute research.

ADVISORY COMMITTEE

In developing its research objectives and setting priorities for both long-range and immediate research needs, the Institute relies on the counsel of its Advisory Committee of distinguished researchers and practitioners. (See inside front cover of this booklet for a list of Advisory Committee members.) The Committee meets three times a year with the Institute staff to review program and project plans in light of current needs and issues and to assist in formulating long-range goals.

LONG-RANGE RESEARCH PRIORITIES

In 1977, the Institute -- working with its Advisory Committee -- selected 10 broad topics as priorities for research over a 3- to 5-year period. The priorities are:

- o Correlates of crime and determinants of criminal behavior
- o Violent crime and the violent offender
- o Community crime prevention
- o Career criminals and habitual offenders
- o Utilization and deployment of police resources
- o Pretrial process: consistency, fairness, and delay reduction
- o Sentencing
- o Rehabilitation
- o Deterrence
- o Performance standards and measures for criminal justice

In addition to these designated priorities, the Institute also supports major research efforts in other important areas such as white collar crime, alternatives to adjudication, and police management, organized crime, and probation and parole.

In setting its research agenda, both short-term and long-range, the Institute is guided by the Congressional mandate, the priorities set by the Attorney General and the LEAA Administrator and the recommendations of its advisory committee.

As part of the planning process, the research priorities are periodically reviewed and refined in consultation with the Advisory Committee. In addition, the Institute annually surveys members of the research community; criminal justice practitioners; Federal, State, and local officials; and public interest groups to get their views on research proposed in the priority

areas, as well as on other Institute activities planned for the forthcoming fiscal year.

FY 1980 BUDGET

The Institute's anticipated budget for fiscal year 1980 is \$25 million. (Although funds are appropriated annually the Institute is not required to obligate these funds in the same fiscal year. Thus some carryover funds also may be awarded in FY 1980.)

Program Allocations Current plans call for the Institute budget to be allocated as follows:

(CHART)

Research & Development Allocations

Research and development funds will be apportioned approximately as follows:

(CHART)

Priority Research Allocations

Priority research funds will be allocated as follows among the 10 topics: PRIORITY RESEARCH

(CHART)

Functional Area Allocations

By functional areas, priority and other research funds will be allocated approximately as follows:

Priority and Other Research

(CHART)

APPLICATION PROCEDURES

This booklet outlines both the long-range priorities of the Institute and the general areas of research and program activity proposed for fiscal year 1980.

Program Solicitations

It is published as a general guide only. Detailed specifications, funding, deadlines, and application and review procedures are set forth in program solicitations issued periodically throughout the year. Program announcements tentatively scheduled for the coming fiscal year are listed for each Institute division. Each

Information on
Funding Opportunities

program announcement is numbered. Readers interested in receiving a copy of a particular program announcement should write (specifying announcement number): National Criminal Justice Reference Service, Box 6000, Rockville, Md. 20850.

To ensure wide dissemination of information about funding opportunities, all Institute program solicitations are announced in the Federal Register. Each Federal Register notice contains either the full text or a brief description of the official program announcement and the name of the Institute staff member to contact for additional information. Researchers interested in applying for Institute funds are urged to watch for these notices. (The Federal Register is available on a subscription basis for \$5 a month or \$50 a year from the Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402).

Requests for proposals for competitive contracts are published in the Commerce Business Daily.

The Institute also disseminates information on funding opportunities through its Research Bulletin, published from time to time throughout the year. (To receive copies of the Bulletin, please write: Research Bulletin, National Criminal Justice Reference Service, Box 6000, Rockville, MD 20850).

Funding Mechanisms

The Institute is authorized to enter into grants, cooperative agreements, and contracts with public agencies, institutions of higher education, private organizations, and individuals; as well as interagency agreements with other Federal agencies. The particular funding mechanism used for each project depends upon the nature of the work to be performed. Projects normally are supported for 12 to 24 months, although for certain projects longer-term funding may be provided in annual increments, depending upon satisfactory progress in the research.

HOW TO APPLY

Solicited Research
Program

The bulk of Institute funds are awarded each year for projects outlined in this program plan. Interested applicants must obtain a copy of the program solicitation, which spells out the specific application and review procedures to be followed, and specifies the deadline. Generally, Institute solicitations call for submission of concept papers or preliminary proposals. The length may vary depending upon the topic, but concept papers usually should not exceed 20 pages. The paper should summarize the proposed study, including objectives, methodology, milestones and anticipated products, and the preliminary budget, and indicate the applicant's competence to perform the work proposed.

Based on a careful review of the concept papers, selected applicants are invited to submit full or final proposals.

Requests for full proposals do not represent a commitment by the National Institute or LEAA to support a project. Final decisions on grant awards are made by the LEAA Administrator.

For projects in which the research objectives and issues are particularly well defined, the Institute may waive the concept paper stage and solicit full proposals.

Peer Review Process

The Institute uses the peer review process to ensure fair and knowledgeable evaluation of papers and proposals. For each solicitation, the Institute obtains written reviews from in-house reviewers and at least two--and often three--outside experts drawn from the criminal justice and academic communities, research organizations, and private industry. Usually, reviews are obtained at the concept paper stage and again at the proposal stage.

Selection Criteria

Proposals are evaluated according to the criteria specified in the program solicitation. The specific method may vary from formal numerical rankings based on weighted criteria to narrative responses only or a combination of both.

In making decisions on grant awards, the Institute is guided by the recommendations of the review panel and by the following considerations:

- o Compatibility with the Institute's legislative mandate.
- o Relationship to the Institute's plan and priorities and

to priorities set by the Attorney General and the LEAA Administration.

- o Originality, adequacy, and economy of the research design and methods.
- o Experience, competence, and past performance record of the organization and staff.
- o Probability of acquiring important new knowledge that advances the understanding of or the ability to solve critical problems relating to crime and the administration of justice.

SPECIAL PROGRAMS UNSOLICITED RESEARCH PROGRAM

To ensure that creative approaches to criminal justice research issues are not overlooked, the Institute also sponsors an Unsolicited Research Program. In FY 1980, there will be two funding cycles for unsolicited research, each announced through a formal solicitation (No. 80-132). The deadlines are December 31, 1979, and June 30, 1980.

Budget

A budget of up to \$1.5 million is anticipated for unsolicited research in FY 1980, half to be awarded in each funding cycle.

Grants normally range from \$10,000 to \$120,000 for research projects of up to 2 years duration. Up to \$500,000 is expected to be earmarked for grants under \$60,000. The kinds of research eligible for funding through the Unsolicited Research Program are:

- o Small individual research projects for which there are few alternative funding mechanisms.

- o Research emphasizing innovative approaches to criminal justice;
- o Basic or theoretical research on interdisciplinary subject areas relevant to criminal justice;
- o Research not currently identified as priority or innovative approaches in priority areas for the Institute;
- o Exploratory studies in criminal justice areas in which there has been little previous work.

Concept papers for the unsolicited research program are reviewed by Institute staff and assigned to one of eight peer review panels: police, courts, corrections, community crime prevention, correlates and determinants, program evaluation, methodology, and performance measures.

Examples of the kinds of research funded under the Unsolicited Research Program include a study of illegal corporate behavior among the nation's largest corporations, and a project that will assess the extent to which more detailed written instructions might improve the performance of juries.

Visiting Fellowship Program

This program is open to highly qualified criminal justice professionals and scholars. Fellowship recipients come to Washington, D.C., to work on research of their own design. Project periods range from 3 months to 2 years. An annual program announcement (No. 80-133) is published by the Institute; applicants are required to submit concept papers by November 15 of each year.

FOR INFORMATION

For additional information on these Special Programs, please contact Dr. Richard Barnes, Director, Center for the Study of the Correlates of Crime and the Determinants of Criminal Behavior, Office of Research Programs, NILECJ/LEAA, U.S. Department of Justice, Washington, D.C. 20531.

Graduate Research Fellowships

Each year a limited number of Institute-funded fellowships are awarded to doctoral candidates through sponsoring universities. The fellowships support students engaged in writing doctoral dissertations in criminal justice. For information on application procedures, write for Solicitation No. 134 or contact the Office of Criminal Justice Education and Training, LEAA, U.S. Department of Justice, Washington, D.C. 20531.

THE FY 1980 PROGRAM PLAN

The Institute's FY 1980 research and program activities are briefly summarized in the following pages, listed under the responsible Office and/or Division. Priority research plans are discussed first, followed by other topics under consideration for FY 1980 funding. In some cases, research on a priority topic is supported by more than one division.

OFFICE OF RESEARCH
PROGRAMS
W. Robert Burkhart
Director

Focusing upon the Institute's long-range research priorities and LEAA's applied program development needs, the Office of Research Programs sponsors a balance of both basic and applied research directed toward building a body of knowledge about key criminal justice issues. Within each priority area, the emphasis is on accumulating knowledge, including systematic efforts to synthesize and summarize findings. The Office has five Divisions:

CENTER FOR THE
STUDY OF CRIME
CORRELATES AND
CRIMINAL BEHAVIOR

In coordination with other Institute divisions, the Center funds research relating to several of the Institute's long-range priorities: crime correlates and determinants, criminal careers, criminal violence, and community crime prevention. It also is the focal point for research on minorities and crime and for activities responding to the 1976 Congressional mandate that directed the Institute to study -- in collaboration with the National Institute on Drug Abuse -- the relationship between drugs and crime. The Center's work also contributes to LEAA's priority program on white collar crime.

STRATEGY

The Center's research strategy emphasizes support for long-term research, for multi-disciplinary and inter-disciplinary inquiries, and for longitudinal designs. One example of this approach is the Research Agreements Program, begun in 1975, which links the Institute to established research centers throughout the country for long-term studies of broad problems relating to crime and justice. Five Research Agreements have been funded on these topics: career criminals, white collar crime, unemployment and crime, community reactions to crime and econometric studies of criminal justice problems.

In addition to the foregoing, the Center also manages three special Institute programs: the Unsolicited Research Program, the Visiting Fellowship Program and the Graduate Research Program, described earlier in this booklet.

Priority Research

CORRELATES OF CRIME AND DETERMINANTS OF CRIMINAL BEHAVIOR

Under this priority, funds are available for research to improve the understanding of criminal behavior. An important first step in disentangling the web of factors that underlies criminality is the accumulation and synthesis of sound research findings that either support or refute correlations between crime and such factors as unemployment, alcohol and drug abuse, and health disorders. Once significant correlations have been verified, research can then proceed to explore possible causal links.

Much of the work supported is basic research, although funds are also awarded for projects of a more applied nature. Because the program deals with a number of far-reaching and fundamental issues, a limited amount of funds also is budgeted for workshops or colloquia and to commission papers on issues relating to the topics under study.

A tentative list of solicitations for FY 1980 research is summarized below. (For information on how to obtain copies of solicitations, please see page XXX.)

FY 1980 Plans

Major effort proposed for FY 1980 will develop up to three central centers for research on particularly significant topics. This effort was initiated last year as continuation of the Research Agreements Program. Building upon that experience, the Institute last year awarded funds to create a center for basic research on criminal violence. The Institute anticipates that, over time, the centers could become recognized centers of knowledge in specific fields of inquiry. 1980 solicitations will be issued under the Research Agreements Program for these centers, each of which would be funded in an initial phase of an anticipated 5-year program.

Center for the Study of Drugs/Alcohol and Crime (No. 80-129):
Major emphasis will be on developing basic knowledge of the underlying relationships between drugs/alcohol and crime. The indication for research is expected to be provided in agendas

now being developed under existing grants. Initially, the Center probably would focus on: how drug use and crime patterns vary and develop over the life cycles of typical abuser populations; the relationships of different multi-drug abuse patterns (including alcohol) to different sub-groups of abusers and types of crime; and what factors within peer cohorts may distinguish between criminal and non-criminal drug abusers and non-abusers.

Center for the Study of Determinants of Criminal Behavior (No. 80-130):

The range of potentially fruitful topics that can be studied under the crime correlates and determinants priority is extensive. Rather than specify a single topic for this center, the Institute proposes instead to issue an open solicitation, as a means of reaching the broadest research community and of encouraging creativity among potential applicants. The solicitation will be widely disseminated and will give applicants a longer-than-usual period in which to respond.

Center for the Study of Race, Crime and Social Policy (No. 80-131)

This center will provide long-term support to various crime-related topics of special concern to minorities. The core staff of the center should be representative of all minority groups. Under the grant, there could be three or four subgrantees to conduct research projects exploring Hispanic, American Indian, black and Asian issues. Specific research projects will be developed in annual negotiations between the National Institute and the grantee, with recommendations from an advisory board to the center.

CAREER CRIMINALS

Research under this priority includes studies of the nature, identification, classification and characteristics of career criminals and of how the criminal justice system deals with them.

No new funding is anticipated in this year.

VIOLENT CRIME

Basic research on this priority topic was begun in FY 1979, with a Research Agreements grant to the University of Pennsylvania for the study of criminal violence.

FY 1980 Plans

No other new research starts are planned by the Center for this fiscal year. For other funding opportunities, see research on this topic to be supported by the Community Crime Prevention Division.

OTHER RESEARCH

White Collar Crime

The Center's principal activity in this LEAA-wide priority area is a Research Agreement with Yale University, scheduled for completion in 1980. Yale's research on white collar crime has focused primarily on Federal efforts to control white collar crime. Other research on this topic, including projects stemming from the Yale studies, is supported by the Community Crime Prevention Division and is described under that heading.

FY 1980 Plans

The Center plans no new projects on this subject in FY 1980.

CONTINUED

1 OF 2

Minorities and
Crime

In FY 1978, the Center commissioned the Urban League to review the state-of-the-art on this topic. That project is expected to provide directions for future research. As this report was being prepared, a proposal from Atlanta University was being considered for funding. It would entail a comparative study of crime in a number of black communities, examining the impact of societal structures such as family, school and church on street crime in those communities. This kind of research was recommended by a 1978 Institute-sponsored workshop on minorities and crime.

FY 1980 Plans

Plans for creation of a Center for the Study of Race, Crime and Social Policy are described above.

Women and Crime

A fiscal 1978 award is supporting the study of the comparative processing of the adult female offender. The project is attempting to determine if or to what extent the criminal justice system deals differently with men and women.

FY 1980 Plans

No new funding anticipated.

Additional
Information

For additional information on the foregoing research, please contact Dr. Richard Barnes, Director, Center for the Study of the Correlates of Crime and the Determinants of Criminal Behavior, Office of Research Programs.

301-492-9126

POLICE
DIVISION

The Institute's police research program seeks to increase the understanding of police matters by accumulating information on topics of long-term significance for law enforcement personnel and researchers. Much of the Division's effort is concentrated on the Institute's long-range priority, utilization and deployment of police.

PRIORITY
RESEARCH

Utilization and
Deployment of
Police Resources

Research on patrol and on criminal investigations has shed new light on how police resources are deployed and used. Studies of response time, preventive patrol, criminal investigations, and forensics have questioned commonly-held assumptions that underlie current practices. Building on these studies, the research planned for the coming fiscal year focuses on issues that relate to the entire police services delivery system.

FY 1980 Plans

The following research projects have been proposed for the upcoming fiscal year.

Police Work Knowledge and Skills (No. 80-101). Where do police officers derive the information they use to determine their role and to do their jobs--from formal sources such as the police academy or training manuals, from superiors such as sergeants and lieutenants, or from informal sources such as peers? This project will assess the relative effectiveness of each information channel and examine the opportunities they offer police managers for improving an officer's performance.

Policing and Interest Groups (No. 80-102).

The significance of interest groups or constituencies has been duly noted in the public administration literature. Little attention has been given, however, to the impact of competing interest groups on police decisionmaking. Among the issues to be explored in this research are the influence interest groups exert on the strategies and functions of police agencies and the degree to which police management is an exercise in reconciling constituent pressures.

Problem-Focused Policing (No. 80-103).

Municipal police agencies typically are organized along functional lines--divisions such as patrol, investigation, and traffic enforcement. The workload within these units is treated as a process rather than as a set of objectives. During the past decade, recommendations for a more problem-focused approach have led some departments to innovate with special anti-crime units or directed patrols that focus on specific crime problems. This project would build on the Institute's extensive work on police field service delivery systems, exploring in more depth the opportunities for--and obstacles to--organizing police operations along problem-oriented lines.

Police Services Demand (No. 80-104).

A current project is exploring the degree to which a police agency can "control" the public's demands for police services by referring, deferring, or in various ways adjusting the workload. This project would study other aspects of the citizen's

demand for services: When and under what circumstances do various segments of the public require services? What accounts for variations in the demand? What is the significance of such issues for the management of police operations?

Futures Study of Policing (No. 80-105).

This project will assess whether futures research offers opportunities for improving law enforcement. Among questions that could be explored by applying futures research to law enforcement are: What changes in roles, management techniques, and police operations are desirable in view of both current trends and future needs? How can law enforcement policymakers and administrators best provide for future eventualities?

Private Policing (No. 80-106).

In their 1973 report, the private security task force of the National Advisory Committee on Criminal Justice Standards and Goals, noted the scarcity of research on this topic, a lack which made planning and decision-making difficult. This study will draw on topics such as _____, which were recommended for research by the task force, and will seek to examine some of the more critical issues.

Forensic Science Research Utilization (No. 80-107).

This project will develop basic information on the state-of-the-art in forensic science for judges, prosecutors, defense, and police. The project stems from an Institute workshop in which participants from all parts of the criminal justice system reported a need for better information on forensic science.

OTHER
RESEARCH

FY 1980 Plans

Forensic Toxicological Laboratory Proficiency Research (No. 80-108).

This project will assess the proficiency of forensic toxicological laboratories. A key purpose is to help laboratory personnel determine whether the methodology they use is adequate to identify the compounds and metabolites present in unknown samples.

National Standards for the Medico-Legal Investigation of Death (No. 80-109).

This project would develop nationwide standards for investigating and documenting death caused by trauma, and known or suspected foul play. The standards would be keyed to the needs of both the investigating officer and the pathologist.

ADDITIONAL
INFORMATION

For additional information on the Division's research, please contact Mr. David Farmer, Director, Police Division, Office of Research Programs. 301-492-9110

ADJUDICATION
DIVISION

In sponsoring basic and applied research in the criminal adjudication process, the Adjudication Division supports studies of the overall court process, defense and prosecution functions, law reform, and alternatives to traditional adjudication.

The Division's research responsibilities include two of the Institute's long-range priorities: pre-trial process: delay reduction and consistency, and sentencing. The Adjudication Division is solely responsible for the priority work on pre-trial process. It coordinates support for research on principally with the Corrections Division.

PRIORITY
RESEARCH

Pre-Trial
Process:
Delay Reduc-
tion and
Consistency

Programs in this priority area examine the entire pre-trial process as well as the specific issues of fairness and delay reduction. To date, most of the recent research has focused on the prosecutor's function, specifically the process of charging and plea negotiation. Other aspects of the pre-trial process are now slated for study. Among the programs proposed for the coming year is an exploration of pre-trial release and diversion.

FY 1980 Plans

Solicitations proposed for fiscal year 1980 include:

Pre-Indictment Policy Making (No. 80-110).

This study would attempt to expand knowledge about the relationship between pre-indictment policies and decisions in case processing

and later outcomes in case disposition. The research would focus primarily on two key decisions made before indictment: the decision to charge or dismiss, and the decision to release on bail or to detain. Both decision points would be examined within the context of a court's overall strategy for disposing of cases. The purpose is to discern overall policy, articulating what has so far been implicit at each of the decision points in the pre-indictment stage.

Selection, Role and Cost of Assigned Counsel (No. 80-113).

Issues to be explored in this study are the methods of choosing attorneys for indigents, the requirements for appointment, and the methods of payment. How these factors affect the quality of representation would also be addressed.

Analysis of the Role of the Bail Bondsman (No. 80-114).

Bail bondsmen frequently decide whether a defendant should be released and, once released, whether bond should be revoked and the defendant returned to jail. The anomaly of resting such authority in private hands has long concerned criminal justice reformers. This study will look at procedures used by bondsmen, their relationship with defendants, courts, prosecutors, and defense agencies, the economics of the bond operation, and the services bondsmen provide.

Sentencing

Research on sentencing sponsored by the Adjudication Division has focused on the development and use of voluntary guidelines as a tool for making sentencing policy more explicit and consistent within a jurisdiction. Work in this area will continue in the coming year. Proposed research also will explore alternatives to sentencing.

FY 1980 Plans

The following projects have been proposed for the coming fiscal year:

A Study of the Use of Fines (No. 80-112).

An on-going research project is surveying European procedures for handling disputes outside the court system. One approach potentially useful in the United States is the German penal order: defendants who are accused of certain crimes may plead guilty, pay a fine based on their daily income and avoid court. This project will examine the present use of fines as sentences in this country and explore the possible use of day fines based on income in selected U.S. courts.

Intrastate Sentencing Variation (No. 80-116).

Current efforts to structure sentencing discretion statewide are based on the belief that sentencing practices vary from area to area within a state. Despite this assumption, there is only sketchy evidence about the differences in sentencing patterns in urban-suburban and rural areas within a state or among different rural or different urban areas in the same state. This study would begin to measure the extent of differences in sentencing patterns. It would also pinpoint the cultural and geographic factors that might account for any documented disparity.

OTHER RESEARCH

A long-range research program of the Adjudication Division now in progress is attempting to build new theory on the nature, function, and role of courts in society in the light of recent empirical findings. Another area of inquiry that the Division continues to explore is plea bargaining.

FY 1980 Plans

Empirical Theories Follow-Up (No. 80-111).

Two or three awards are anticipated under this program. The projects will draw on the recommendations of a colloquium of researchers currently working on different aspects of the empirical theories program. They will identify gaps in knowledge, which will become the FY 1980 research topics.

The Jury Trial Process (No. 80-115).

Considerable data has been collected on plea bargaining but little information is available on the jury trial process. This study would focus on the major characteristics of a jury trial, investigating its utility, the costs of typical trials, and the extent to which rules of evidence may hamper or enhance the achievement of a "just" outcome. Emphasis would be given to developing and applying methodologies for examining commonly-held assumptions about jury trials to learn if, in fact, those assumptions are correct.

Comparative Research on State Court Organizations (No. ???)

This study will examine the theoretical soundness of a centralized system of state court administration and assess the effects of state court unification on organizational effectiveness. A research design for the study is being developed under two small FY 1979 grants. The FY 1980 study will be the first major effort to assess the impact of different kinds of court structure on effectiveness. It will build on prior descriptive studies of court unification funded by the Institute, and the results will provide evaluative information for LEAA's Fundamental Court Improvement Program.

ADDITIONAL
INFORMATION

For more information on the foregoing research, please contact Ms. Cheryl Martorana, Director, Adjudication Division, Office of Research Programs. 301-492-9114

CORRECTIONS
DIVISION

Correctional goals and practices typically are based on a combination of tradition and professional judgment. Increasingly, however, these are being replaced by objectives and procedures that spring from empirical knowledge as corrections continues to evolve into a profession. The Corrections Division sponsors research intended to contribute to the knowledge base of the corrections profession.

The Division concentrates its resources on two Institute long-range priorities: sentencing and rehabilitation. These two areas are closely interrelated and research in one complements inquiries in the other. Both are relevant to the current central issue concerning the purpose of the criminal sanction: Should rehabilitation of the offender be the primary objective, as exemplified by the indeterminate sentence? Or should such traditional goals as equity of treatment, deterrence, and upholding societal values be paramount?

PRIORITY RESEARCH

Sentencing

Research in sentencing, which is the shared responsibility of the Corrections and Adjudication Divisions, has been directed toward examining the purposes and consequences of differing

FY 1980 Plans

Rehabilitation

sentencing policies as well as the related issue of use of judicial and administrative discretion. The work sponsored by the Corrections Division focuses on the impact of sentencing practices and trends on the correctional system.

The following solicitation relating to sentencing is under consideration for the coming fiscal year:

Inmate Reaction to Prison Commitment Variations (No. 80-119).

The proposed research will examine inmate perceptions of equity and fairness in sentencing and correctional administration, attitudes about the role of treatment, and perceptions about sentence length. Inmates incarcerated under differing sentencing structures will be compared for emotional problems, recorded disciplinary violations, and involvement in rehabilitation programs. The relationship of inmate perceptions to conditions of confinement, achievement of rehabilitation goals and post-release outcome also will be explored.

The central premise of rehabilitation is that offenders can be prepared, through exposure to various treatment programs, to adopt non-criminal life styles when they return to society. Available evidence questions this assumption, however, and there is a continuing re-examination of the role of rehabilitation in corrections. Research questions include: Is rehabilitation a realistic goal? How are the concept and outcome associated with it defined and measured? How effective are particular rehabilitation programs with whom and under what

FY 1980 Plans

conditions? What is known or not known about various re-habilitation programs and practices?

The following solicitations are proposed for FY 1980:

Variations in the Use of Confinement (No. 80-116).

Some efforts have been made to pinpoint conditions or trends that tend to affect present or future prison populations at both the state and national level -- using indicators such as unemployment, crime rates, demographic factors, etc. None of these factors, however, appears to adequately explain variations in both the size and composition of prison populations throughout the United States. The proposed research would identify leading indicators for selected jurisdictions and examine their relationship to the size of a state's prison population and their effect on the composition of the prison population.

Community Environments and Their Impact on Supervised Offenders (No. 80-117).

Little attention has been given to understanding or altering community environments that may contribute to an offender's success or failure in returning to the community. The proposed study would build upon research in mental health and other fields that has identified environmental factors affecting the successful adaptation of released mental patients and other confined persons to community life. The objective is to transfer or modify those techniques and methods so they can be

applied to correctional populations. (The project will be coordinated with Police and Community Crime Prevention Division research relating to community demands and attitudes.)

A Study of Selected Probation/Parole Supervision Strategies (No. 80-118).

This project will sample selected parole and probation agencies. Among the issues to be explored are whether programs are based on empirical/theoretical knowledge, whether their objectives are consistent with the agency's capabilities and resources, and what specifications may exist for the delivery of services. How specific agency policies affect rehabilitation will also be studied. The project will seek to identify empirical measures of the quality of community supervision, focusing on program effectiveness.

Alternative Policies of Social Control (80-120).

Predictions about the future of corrections can be based on the assumption that present trends will persist. But far-sighted planning requires knowledge about possible new trends that may spring from changes in the social system. These could result in different notions of criminality and different goals for the corrections system. This study will explore the circumstances and possibilities of future new forces, and their implications for corrections.

Synthesis of Prison/Jail Environmental Studies (80-121).

Institute-supported research on the prison environment has covered such aspects as overcrowding, victimization and inmate organizations. Work by other LEAA offices has also contributed to the knowledge base in this area including the development of correctional standards and the compilation of statistical information on prison and jail environments. This project would pull together such findings as a blueprint for developing future programs and specifying research needs. The validity of past findings will be assessed, gaps in knowledge identified, and the findings linked to theory and practice.

Inmate Education Research (80-122).

This project will draw on earlier Institute-sponsored research, with the aim of building knowledge that can lead to more effective and innovative correctional education programs. The specific topic will be based on the recommendations emerging from a Fall 1979 conference that will review findings from Institute-sponsored research on correctional education and identify issues warranting further research.

For more information, please contact Mr. John Spevacek,
Director, Corrections Division, Office of Research Programs.
301-492-9118

ADDITIONAL
INFORMATION

COMMUNITY CRIME
PREVENTION DIVISION

Research by the Community Crime Prevention division focuses on three areas: crime and the environment, citizen and community participation in crime prevention, and crimes of particular concern such as violent crime, white collar crime, and organized crime.

This division sponsors most of the research funded under the priority programs in community crime prevention, although some is funded by the Center for the Study of Crime Correlates and Determinants of Criminal Behavior. Support for another priority topic -- violent crime -- is also shared by this Division and the Center. And the two offices fund studies of white collar crime, an LEAA priority.

PRIORITY
RESEARCH

Community Crime
Prevention

Research continues to probe the relationship between the physical features of an environmental setting and the residents' fear, of and vulnerability to crime. On-going work on crime and the environment is synthesizing the body of knowledge accumulated so far as a bridge to further research. Related studies are examining the link between neighborhood deterioration and crime as well as the social and physical characteristics of neighborhoods that influence safety and security. The research on citizen and community participation in crime prevention

studies both individual and collective actions. Examples include evaluation of efforts by citizens to improve security; probes of citizen responses to the criminal justice system; and analyses of questions relating to mobilizing citizens in crime prevention activities.

FY 1980 Plans

Tolerance of Crime and Its Impact on Citizen Behavior
(No. 80-123).

Institute-sponsored research on neighborhoods and crime suggests that there are threshold levels in an area's tolerance of crime that trigger various reactions: changes in awareness, in attitudes, or in actual behavior. The thresholds vary from neighborhood to neighborhood. This project will develop an index of tolerance and investigate facts that influence how a neighborhood's threshold of tolerance is set. The results may indicate whether -- and how -- a neighborhood's reactions to crime can be influenced to enhance receptivity to prevention programs.

Resident Against Resident Crime in Specific Settings
(No. 80-124).

Most neighborhood crime prevention programs are built on the belief that crime is chiefly the work of outsiders. But some research has shown that a significant portion of the crime occurring in certain areas is committed by

residents. This project will identify the type and incidence of resident-against-resident crime, assessing whether particular building designs trigger such crime. It will also compare the effect of resident-against-resident crime versus stranger-against-resident crime on attitudes toward crime.

Violent Crime

FY 1980 Plans

Research in this priority includes studies of weapons and violent crime, homicide, and non-terrorist collective disorders.

The following projects are planned for the coming fiscal year:

Research on Arson Case Processing (No. 80-125).

The incidence of arson -- a crime that has increased dramatically in the last decade -- has spurred an agency-wide initiative to curb the crime. Building on research now underway, this project will examine arson court cases to determine the factors that led to, or prevented, successful prosecution. Augmenting the review of court cases will be interviews with prosecutors, judges, and, where appropriate, jury members. Other records such as real estate transactions and case histories of offenders may also be used to learn more about factors influencing the adjudication of arson cases.

OTHER RESEARCH

White Collar
Crime

White collar crime research funded by the Division covers four areas: data needs, crimes against consumers and the public, crimes against business, and crimes against government.

As a first step toward improving data sources, a current project is surveying more than 30 federal agencies to learn how events become known and defined to fit concepts of white collar crime. An on-going study on fraud and abuse in government benefit programs is surveying the issues needing research attention and the current practices by program administrators to prevent, detect, and investigate abuse of government programs. Another study is surveying workers in the retail, manufacturing, and service sectors to learn more about the nature of employee theft and factors that influence it.

FY 1980 Plans

Government Program Fraud (No. 80-126).

As a follow-on to current research on fraud and abuse in government benefit programs, this project will focus on prevention strategies. Plans for the research coordinated with representatives of the Federal Government's Inspector General's Offices.

ADDITIONAL
INFORMATION

Additional information about the Division's programs can be obtained by contacting Dr. Fred Heinzlmann, Director,
Community Crime Prevention Division, Office of Research
Programs. 301-492-9122

OFFICE OF RESEARCH
AND EVALUATION
METHODS
Richard L. Linster
Director

The Office of Research and Evaluation Methods supports projects that explore methodological and measurement problems facing criminal justice researchers and evaluators. The research usually entails the development or adaptation of advanced analytical techniques to problems in crime analysis and control. This Office administers two of the Institute's long-range priorities: deterrence and performance measurement.

PRIORITY
RESEARCH

Deterrence

The goal of this priority research program is to develop and validate coherent theories and models for estimating the effects of various criminal sanctions on crime rates. Projects funded examine how various crime control policies work and assess their relative effectiveness. Support is also provided for basic research on estimating the direct effect of the incarceration of offenders on crime rates. Much of the research funded to date has explored the effects of recent legislation passed by states to change some aspect of formal criminal sanctions -- mandating specific sentence lengths for certain crimes, for example.

Measuring the effectiveness of crime control policies presents special difficulties. It requires credible methods of counting events that never take place -- for example, how many additional crimes will not be committed if convicted offenders are incarcerated for longer periods. Obviously,

the validity of such estimates rests on the credibility of the models from which they are derived. For that reason, the deterrence research program is concerned with devising or refining theories and model structures, testing their underlying assumptions, and validating their predictive power.

FY 1980 PLANS

A single solicitation will be issued inviting research in all areas of crime control:

- o general deterrence -- the theory that the risk of arrest and punishment discourages potential offenders from committing crimes,
- o incapacitation -- the physical separation of offenders from potential victims through incarceration,
- o specific deterrence -- the theory that future criminal behavior by individual offenders is suppressed through the experience of arrest, conviction and incarceration,
- o rehabilitation -- the criminal justice system's efforts to alter an offender's behavior in a positive way.

Performance Measurement

A comprehensive system of performance measures that covers the full scope of criminal justice activities does not yet exist. Evaluations of criminal justice operations to date have not accumulated the kind of structured knowledge about the roles of criminal justice agencies that would readily lend itself to the measurement of their achievements.

Project evaluations, for example, are typically narrow in focus, trying to assess the degree to which one or two objectives are met by one or two activities. They fail to capture all important costs and benefits. And each evaluator chooses specific indicators of performance, making attempts to synthesize results of evaluations difficult.

The aim of research in this priority area is to develop and validate performance measures to be used as management and accountability tools by criminal justice practitioners and municipal officials. As part of this aim, efforts necessarily must be directed toward developing a conceptual framework that relates performance to actual operations of an agency. In FY 1978, the Office began a four-phase program to develop a conceptual framework for evaluating performance and performance measures. That year the Office awarded five grants -- one each for studies of police, prosecution and public defense, courts, adult corrections, and the system as a whole. Upon completion of these projects, the program plans to move through three more phases: empirical research on unresolved issues, development of prototype performance measurement systems, and a national implementation program.

FY 1980 PLANS

Building on findings from the first phase, four or five grants are expected to be awarded in FY 1980. The proposed research would move into the program's second phase -- empirical research on unresolved issues.

Other Research

METHODOLOGY
RESEARCH

The Office of Research and Evaluation also sponsors a modest program of support for studies of high technical merit aimed at research, development, and testing of methodological innovations potentially significant to criminal justice.

During FY 1979 eight grants were awarded. Among the topics explored: a project to develop and assess alternatives to the standard statistical descriptors of crime, a methodological review and critique of a sample of criminal justice evaluation reports, and an effort to statistically model and forecast crime rates and detect shifts in trends.

FY 1980 PLANS

In FY 1980 the Office plans to examine the research supported in the first 3 years of funding (FY 1977-FY 1979). The review will assess the program's contribution to solving applied problems in criminal justice evaluations and its success in attracting competent new scholars and established criminal justice researchers to the field.

ADDITIONAL
INFORMATION

For more information about the Office's programs, please contact Dr. Richard L. Linster, Director,
Office of Research and Evaluation Methods.

301-492-9080

OFFICE OF PROGRAM
EVALUATION
Lawrence A. Bennett
Director

The Office of Program Evaluation designs, funds, and administers evaluation of national-level LEAA programs, innovative and experimental projects and programs at the State and local level, selected criminal justice techniques and procedures, and significant State and local legislative or administrative reforms. The Office is responsible for the National Evaluation Program, evaluations of LEAA demonstration programs and field tests sponsored by the National Institute, as well as other evaluation priorities. It also supports the development of evaluation guides and handbooks for State and local evaluations.

NATIONAL EVALUATION

Created as a tool for evaluating the LEAA block grant programs, the National Evaluation Program has sponsored a series of phased evaluations of 35 topics. The studies examine either a type of program -- street lighting projects, for example -- or a functional area -- family counseling activities, for instance.

The initial step in the process is a "Phase I" study that identifies the key issues, assesses what is currently known about them, and outlines approaches or methodological needs for more intensive national or local evaluation. Each Phase I study results in an assessment of the topic based on available data, documentation, and limited pre-testing of possible designs for a more intensive Phase II evaluation. Phase II

efforts, in turn, place a specific emphasis on project effectiveness.

FY 1980 PLANS

Three Phase I studies are planned. Topics under consideration include Minority Employment Programs, Alarm System Projects (focusing upon the reduction of false alarms), and State and Local Use of Evaluations. One Phase II project will also begin in FY 1980. The topic selection will be based upon the findings and recommendations of current Phase I programs on such subjects as Victim-Witness Assistance, Police Management Training, Correctional Data Systems, Shoplifting/Employee Theft, Police Liaison Activities, and Screening and Evaluation for Mental Health Services.

LEAA Demonstration Programs

LEAA supports many national-level programs designed to demonstrate the effectiveness of various concepts and methods to reduce crime and improve criminal justice. The Office of Program Evaluation funds evaluations of a select number of these programs each year.

The Office currently is sponsoring national evaluations of the LEAA Community Anti-Crime Program, which supports community organizations operating independently of state and local governments and agencies; the LEAA Comprehensive Crime Prevention Program.

which focuses on the coordinated efforts of various agencies and community groups, and the Integrated Criminal Apprehension Program which integrates and directs police field activities related to crime prevention, detection and investigation based on systematic data collection and analysis; the anti-fencing program known as STING; and the White Collar Crime program.

FY 1980 PLANS

Four national evaluations of LEAA discretionary or national priority programs are anticipated in FY 1980. They will be chosen from among the following:

o Jail Overcrowding and Pre-Trial Detainees

The objective is to reduce jail overcrowding caused, in large part, by sizeable pretrial populations. This program concentrates LEAA's past research and training efforts related to jails into a cohesive package that can be utilized by selected jurisdictions facing a "jail crisis."

o Anti-Fencing

This project will evaluate information obtained from suspects arrested in business-front operations and its impact on the detection and conviction of fences.

o Court Unification

This empirical research program would assess whether a unified court system results in a more efficient and equitable legal system.

o Domestic Violence Program

This study would analyze any of a variety of projects dealing with domestic disputes and other family crisis situations.

o Correctional Program

This evaluation would include a selected project type in the correctional area.

Field Tes

The Office of Program Evaluation also conducts evaluations of experimental programs that are designed and implemented by the Institute's Office of Development, Testing and Dissemination. Program teams, made up of representatives from the Institute's research evaluation and testing offices, assist in designing the program. The evaluation is planned concurrently with development of the model and is conducted under the direction of the Office of Program Evaluation.

FY 1980 P

Three full-scale field tests will be implemented in FY 1980. Candidate test topics include: (for descriptions of each please see the section describing the Field Test program on page _____).

- o Employment Services for Ex-Offenders
- o Alternative Police Response Strategies
- o Pre-Trial Diversion

OTHER
EVALUATIC

Special I
Evaluatic

The Office of Program Evaluation also sponsors evaluation of significant criminal justice programs, activities or legislative actions at local, state and Federal levels. New criminal justice legislation or particularly innovative or controversial programs or procedures often offer opportunities to acquire useful information. Among studies of this type

completed or in progress are evaluations of: the New York State Drug Law; elimination of Plea Bargaining in Alaska; Michigan and Massachusetts Gun Laws; a New York City Court Employment Program; an Automatic Vehicle Monitoring System in St. Louis, and an experimental probation program in Detroit.

FY 1980 PLAN

The following is being considered for funding:

o An Evaluation of the Minnesota Community Corrections Act

This legislative initiative is intended to encourage local jurisdictions to undertake a greater share of offender treatment.

State and Local
Evaluation
Assistance

In addition to its other activities, the Office of Program Evaluation also provides support for special efforts to enhance the development, operation and utilization of criminal justice program evaluations carried out at the state and local level. The most extensive program carried out in this regard has been the Model Evaluation Program. This recently concluded \$2 million effort supported the development of 12 criminal justice evaluation units at either the state or local level in 12 different states.

FY 1980 PLANS

The following research is under consideration for funding in FY 1980:

o The Boston Fenway Program

This neighborhood-oriented police services program is intended to permit different approaches to policing that

respond to local neighborhood priorities.

o Evaluation Utilization

This effort is intended to identify and develop strategies for increasing the use of evaluative information at all levels of government.

For more information, write to: Mr. Lawrence A. Bennett, Director,
Office of Program Evaluation. 301-492-9085

ADDITIONAL
INFORMATION

OFFICE OF
DEVELOPMENT,
TESTING AND
DISSEMINATION
Paul Cascarano
Director

The Office of Development, Testing and Dissemination administers the Institute's research utilization program. It reviews research results to identify findings of potential significance to practitioners, policymakers, and other researchers, and, using a variety of vehicles, transfers new knowledge to the appropriate audience.

A large part of the Office's efforts are devoted to developing and testing experimental programs through an applied research process. These efforts are part of an agency-wide process, which is designed to ensure systematic development of programs based on knowledge.

The work is carried out by three Divisions:

Model Program
Development
Division

This unit is responsible for the research utilization program, studies of the process of change in criminal justice agencies, and the Exemplary Projects program.

Research
Utilization

The research utilization program spans several stages of the program development process. The products that grow out of each stage are used to support the Institute's testing, evaluation, and training activities. The products are also distributed directly to policymakers and practitioners as guides for planning and implementing criminal justice programs.

FY 1980 PLANS

Under an existing contract, the following will be produced: Program Models are the foundation for future program development and a tool for the practitioner. They synthesize research data and expert opinion, analyze options, and discuss the advantages and limitations of each option.

In FY 1980, the Institute will produce Program Models from among the following topics: measuring the costs of police services, investigative information systems, centralized county offense reporting systems, supervising offenders in the community, management of inmate and employee organizations in corrections, practitioner's guide to cost analysis methods in corrections, restitution models, victimization in prisons, assistance programs for battered spouses, grand jury operations, consumer fraud intervention strategies, and fraud and abuse in government benefit programs.

Test Designs detail the strategies for programs that are to be tested at a few, carefully-selected sites. The Test Designs planned for FY 1980 are tentative, pending the outcome of on-going research and evaluation. Possible topics are: employment services for ex-offenders, alternative police response strategies and pre-trial diversion.

Program Designs are the refined models drawn from the evaluations of the field tests. The Program Designs eliminate features that produced unintended or undesired effects during the field test

and highlight those that proved to be effective. Two topics now under consideration for FY 1980 development are: neighborhood justice centers and community crime prevention programs.

Research Reviews, which draw on the findings of Institute studies, may take the form of pamphlets, journal articles, or state-of-the-art papers. So far, the studies that have been chosen for research reviews have been distilled into Policy Briefs -- succinct documents that present the implications of particular research findings for an audience of governors and state legislators. Policy Briefs currently being considered for FY 1980 include the following topics: consumer fraud, private security police, and citation in lieu of arrest.

Change in
Criminal Justice
Agencies

Funded in FY 1979, this long-term, multi-phase program is intended to broaden understanding of how change takes place in criminal justice. The aim of the program is to improve Institute efforts to translate research-based knowledge into policy and practice.

FY 1980 PLANS

No additional funding in this area is anticipated for the coming fiscal year.

Exemplary
Projects

The Model Program Development Division also is responsible for the Exemplary Projects program, a systematic effort to

tap the best experience of the criminal justice community nationwide. Outstanding projects operated by state, local, or private agencies are identified, and information on them is disseminated throughout the country.

To be considered exemplary, a project must have demonstrated consistent success in reducing crime or achieving a measurable improvement in the operation of a criminal justice agency, as shown by evaluation data. Candidate projects are prescreened by Institute staff and the most promising programs are submitted to a contractor for on-site validation. The validation reports are reviewed by a board of LEAA and State Planning Agency representatives which selects the best projects for Exemplary status. Projects that receive the Exemplary award are widely publicized through descriptive brochures and detailed instruction manuals.

FY 1980 PLANS

An existing contract supports the Exemplary Project program through FY 1980.

Applying for
Exemplary Status

A brochure describing the program and forms for recommending projects are available from the Model Program Development Division. The deadline for submitting project recommendations for the next round of screening will be early in 1980. The exact date will be announced through the National Criminal Justice Reference Service.

Additional Information

For further information on the Division's programs, please contact Mary Ann Beck, Director, Model Program Development Division. - 301-492-9090

Training and Testing Division

The Training and Testing Division has two key responsibilities: field tests of Institute-designed experiments and national training to disseminate research results.

Field Tests

Each year, a few carefully designed tests of model programs are conducted and evaluated at a limited number of sites. The Division mounts the tests, oversees the selection of sites, implements the test design, and provides special training for key staff at the test sites.

FY 1980 PLANS

Present plans call for three field tests in FY 1980. Topic candidates include: employment services for ex-offenders, alternative police response strategies, and pre-trial diversion.

Training/Workshops

The Division supports the specialized training that is provided for participants in Institute field tests. It also sponsors workshops on the results of research and experimentation.

The workshops are a vehicle for putting specific audiences in touch with research and evaluation findings of significance to them. The audiences vary: Researchers may meet to identify gaps in knowledge and directions for future studies. Or practitioners and researchers may jointly participate in sessions that explore possible program alternatives stemming from research.

FY 1980 PLANS

The workshop series and training for the four scheduled field tests are supported by an existing contract that continues through mid-FY 1980. Among the subjects under consideration for FY 1980 are: drug law enforcement, consumer fraud intervention, pre-trial release criteria and standards, parole decision-making, pre-sentence reports, and methods for analyzing community security programs.

Host Program

The Host program gives officials seriously interested in implementing a new program the opportunity to learn about it first-hand. Participants spend up to 2 weeks at the home sites of selected "host" Exemplary projects, in preparation for transferring all or part of the program after they return to their own communities.

FY 1980 PLANS

Funds proposed for FY 1980 will support up to 100 visitors at 15 "host" sites.

Additional Information

For more information about the Division's programs, please contact Louis Mayo, Director, Training and Testing Division.
301 - 492 - 9100

Reference and Dissemination Division

This Division supervises the operation of the National Criminal Justice Reference Service, maintains the LEAA library, and manages the publication program of the National Institute.

Reference Service

The National Criminal Justice Reference Service, an international clearinghouse, is the Federal information resource center for criminal justice researchers and practitioners.

Through a wide range of distribution and notification services, the Reference Service informs more than 42,000 subscribers of the latest research and operating experience in criminal justice. Its computerized data base can provide quick response to individual queries on criminal justice topics. A limited number of single copies of National Institute, LEAA, and other selected publications are provided free to subscribers.

For further information and registration details, write:

National Criminal Justice Reference Service
Box 6000
Rockville, Md. 20850

FY 1980 PLANS

The services presently offered by the Reference Service under an existing contract will continue in FY 1980.

of a survey of the Reference Service's subscribers.

LEAA Library
and
Institute
Publications

The Division also maintains the LEAA Library whose special collection serves as a resource for LEAA staff and the public.

In addition to publishing and distributing Institute research and program documents, the Institute's in-house publications program produces specialized information products including brochures, journal articles, the Program Plan, the Annual Report, the "Research Bulletin," the "Research Briefs" (in the LEAA Newsletter), and a new monograph series entitled

"Criminal Justice Perspectives." In FY 1979, the first issue of "Crime and Justice," an annual review of criminal justice research, was published under Institute auspices through the University of Chicago Press.

FY 1980 PLANS

Support for the annual review of research is expected to continue in fiscal year 1980.

Equipment
Standards

Because equipment is a major budget item for law enforcement agencies, the Division also supports testing of particularly significant equipment items and dissemination of the results. The Equipment Technology Center, operated by the International Association of Chiefs of Police with Institute support, supervises the testing process and publishes performance reports to help law enforcement agencies make sound purchasing decisions.

A corollary effort is the ongoing Law Enforcement Standards Laboratory (LESL) established at the National Bureau of Standards. It serves as the Institute's scientific laboratory in researching and developing performance standards for selected items of law enforcement and criminal justice equipment. The standards support the work of the Equipment Technology Center and also are published and disseminated directly to criminal justice purchasing agents.

FY 1980 PLANS

Plans call for testing at least six items of equipment and developing additional standards in FY 1980 under the existing program.

Additional
Information

For more information on the Division's programs, please
contact John Carney, Director, Reference and Dissemination
Division. 301-442-9094

SECTION V

SUMMARY NOTES

MEETING OF THE ADVISORY COMMITTEE TO THE

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

June 28-29, 1979

Holiday Inn

Alexandria, Virginia

TABLE OF CONTENTS

Meeting of the Advisory Committee: June 28-29, 1979

Advisory Committee Members Attending	1
Invited Panelists and Speakers	3
Agenda	4
Proceedings of the First Day (June 28)	6-28
Institute Update--Harry Bratt	6
Program Planning--John Pickett	7
Minority Research Task Force Report--Harry Bratt for Peggy Triplett	9
Remarks--Henry Dogin, LEAA Administrator	11
Review of the Unsolicited Research Program--Robert Burkhart, William Saulsbury, and Voncile Gowdy	13
Panel on Data Use and Access--Richard Linster, Michael Traugott, Michael Hindeland, and Al Riss	15
Reports from Workshops on URP and Data Access and Use	20
Closing Business	27
Proceedings of the Second Day (June 29)	29-39
Panel Discussion with the Task Force on the National Institute of Justice	29
Closing Business	39

Meeting
of the

ADVISORY COMMITTEE

National Institute of Law Enforcement and Criminal Justice

June 28-29, 1979

Advisory Committee Members Attending

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U.S. Department of Justice
Law Enforcement Assistance Administration

Harry Bratt
Acting Administrator
National Institute of Law Enforcement
and Criminal Justice

Robert Diegelman
Office of Planning and Management
Law Enforcement Assistance Administration

James Howell
Director
National Institute of Juvenile Justice
and Delinquency Prevention

Charles Kinderman
National Criminal Justice Information
and Statistics Service
Law Enforcement Assistance
Administration

Thomas Madden
General Counsel
Law Enforcement Assistance
Administration

James Shealey
Director
Budget Division
Law Enforcement Assistance
Administration

Ralph Swisher
Office of Planning and Management
Law Enforcement Assistance
Administration

Charles Wellford
Office for the Improvement in the
Administration of Justice
Law Enforcement Assistance
Administration

AGENDA

NILECJ Advisory Committee Meeting
Holiday Inn
Alexandria, Virginia
June 28-29, 1979

June 28, 1979

8:00 a.m. - 9:00 a.m.	Registration
9:00 a.m. - 9:10 a.m.	Welcome; Review of Agenda--Lloyd Ohlin, Chairperson (Carlyle Room)
9:10 a.m. - 9:30 a.m.	NILECJ Update--Harry Bratt, Acting Director (legislation, budget, personnel)
9:30 a.m. - 9:40 a.m.	Program Planning--John Pickett, Director, Analysis, Planning and Management Staff (status of planning effort, changes since March meeting)
9:40 a.m. - 9:50 a.m.	Minority Research Task Force Meeting-- Peggy Triplett, Special Assistant for Minority Affairs, LEAA
9:50 a.m. - 10:05 a.m.	Coffee Break
10:05 a.m. - 10:15 a.m.	Remarks; Henry Dogin, LEAA Administrator
10:15 a.m. - 10:45 a.m.	Unsolicited Research Program--A Review Robert Burkhart, Director, ORP, William Saulsbury, ORP, Voncile Gowdy, ORP
10:45 a.m. - 12:00 p.m.	Panel on Data Use and Access--Richard Linster, Moderator with Al Reiss, Yale University, Michael Hindelang, SUNY, Michael Traugott, University of Michigan, and Charles Kinderman, NCJISS
12:30 p.m. - 1:30 p.m.	Lunch; Guest Speaker--Mary Toborg, Lazar Institute (Brent Room)
1:30 p.m. - 3:30 p.m.	Small Workshops (Carlyle; Snowden III, IV; Capt. Piercy)
3:30 p.m. - 4:30 p.m.	Reports from Small Workshops
4:30 p.m. - 5:00 p.m.	Closing Business; Adjournment

June 29, 1979

9:00 a.m. - 9:10 a.m.

Opening Announcements--Lloyd Ohlin,
Chairperson (Brant Room)

9:10 a.m. - 11:30 a.m.

Panel Discussion with the Task Force on
the National Institute of Justice--
Harry Bratt, Thomas Madden, James Howell,
Charles Wellford, James Shaaley,
Ralph Swisher, Robert Diegelman

10:15 a.m. - 10:30 a.m.
Coffee Break

11:30 a.m. - 12:00 p.m.

Closing Business; Adjournment

PROCEEDINGS OF THE FIRST DAY

(June 28, 1979)

Advisory Committee Chairman Lloyd Ohlin called the meeting to order shortly after 9:00 a.m. He highlighted the agenda topics and introduced new Committee member Joel Grossman, a professor of political science at the University of Wisconsin and editor of Law and Society Review, and the Institute's new Acting Director Harry Bratt, formerly an assistant administrator of the National Criminal Justice Information and Statistics Services (NCJISS).

Institute Update--Harry Bratt

Mr. Bratt commented that upon his return to the Institute after an absence of some five years he found several outstanding improvements: the introduction of the Advisory Committee and the use of competitive solicitations and outside reviewers. He said he expected the new legislation to strengthen these aspects.

The legislation, formerly the Justice System Improvement Act and now the Law Enforcement Assistance Reform Act, has been passed by the Senate. The companion bill in the House, which has some substantial differences, has only been reported out of committee. It appears, therefore, he said, that the reauthorization will not occur before September. The budget resolutions from both houses may be set at \$446 million, \$100 million below the Administration's request. The impact that would have on the Institute is not clear although it appears now that the Institute's \$25 million budget would remain intact. But the training money that has been available to the Institute from other parts of the agency would probably not be available under the lower budget.

In addition to budget problems, the Institute and all LEAA are under severe personnel constraints. The agency has to reduce its staff to 645 this year and, in 1980, there will be another cut of 150 positions. In addition, the hiring of permanent outside personnel has been stopped for several months just when the Institute has lost some key people and is in its busy season of awarding grants. As of June 1, \$10 million of the \$25 million budget for 1979 had been awarded and by the end of September, the Institute expects to award all the rest of the money. Fortunately, he said, Blair Ewing left the fiscal 1980 plan in very good shape.

Finally, a recent Institute-sponsored state-of-the-art workshop on crime control whose speakers and participants included Deputy Attorney General Benjamin Civiletti, F.B.I. Director William Webster, Senator Edward Kennedy, Governor James Hunt, Henry Dogin, and Norval Morris, has received a great deal of praise from the participants, Mr. Bratt said. At the request of John Irving, Mr. Bratt said that in the future the Institute would have Advisory Committee members notified about such events.

Program Planning--John Pickett

By way of updating the Committee on the FY 1980 plans, discussed at length at the March meeting, Mr. Pickett, director of the APM Staff, distributed a summary of FY 1980 MBO Subprogram Plans and FY 1981 Projections and pointed out that in March the projected budget was \$33 million and this summary reflected the new figure of \$25 million. The summary is organized by major organizational units and functions of the Institute, he said, and reflects a number of recommendations made by the Committee in March about programs that should not be undertaken or deferred for a while, for example, the police urban field laboratories and a project proposed to compare methods of sentencing. Another

suggestion, to use simple titles for projects, was adopted, as was the suggestion in the corrections area to put more emphasis on the interaction between the community and correctional processes and on treatment and confinement from the offender's viewpoint. Other Committee suggestions about how to focus or limit specific projects will be incorporated in the solicitations being drafted for the next year.

With regard to the overall planning process, Mr. Pickett said that the Institute tried to release solicitations earlier in the year in order to reach a wider audience, allow more time for responses, conduct more structured reviews of proposals, and spread funding out over more of the year. This year, almost all the solicitations had been drafted internally by December 31, and all but about \$3 million worth of solicitations were on the street by the end of April with 60 days for responding. For FY 1980, the Institute expects to begin drafting solicitations in July, August, and September and thus be able to spread this process out over the first three quarters of the fiscal year instead of just the second and third. The funding process will then be spread out over the last three quarters instead of the third and fourth. This schedule is subject to approval of the plans and any programmatic changes that occur during the transition process, he noted. The plans were sent to the Administration in May and approval is expected in mid-July. The plans and program announcements will be forwarded to Committee members for comment.

Finally, regarding Douglas Cunningham's request at the March meeting that a review of the long-range priorities be undertaken at this meeting, it was decided to put this off until September 1979 because these priorities, which were established in 1977 as three-to-five-year priorities, would logically be due 1981. Also, the planning process will begin for FY 1981 in this last quarter of the year for review in FY 1980 with Institute staff in a much better

position in a few months to review them. In addition, by then it would be clearer whether the Institute would have new responsibilities for civil and administrative law and juvenile justice.

Alfred Blumstein asked how best at this point Advisory Committee members could make additional comments about the proposed FY 1980 program plans before they became RFPs (requests for proposals), especially if a program seems "silly" or support for it is low. Comments in person or by letter should be directed to him, Mr. Pickett said, or to the director of the Institute office in which the program originates. Even when the approved program plans are distributed, he added, there is still a process of refinement that the Institute pursues and welcomes more comment. Mr. Blumstein further suggested that future June as well as the March meetings of the Advisory Committee could profitably be focused on the program plans as they harden.

John Irving asked if the whole program might not be too ambitious in light of impending budget and personnel cuts. Mr. Bratt responded that the Institute had a task force studying the impact of the legislation and members of it would be discussing this subject further the next day. Briefly, he said, he felt the program could be handled although there would have to be some changes and adjustments in the organization and in staff functions.

Minority Research Task Force Report--Harry Bratt for Peggy Triplett

In the absence of Ms. Triplett, who has been detailed to work for the Administration in the area of minority affairs, Mr. Bratt reported on the work of the Minority Research Task Force. In March 1978, the 23-member Task Force recommended seven research areas for the Institute to consider: race and crime, police use of deadly force, arrest procedures, unemployment in the minority community, verification of earlier research studies dealing with minorities, the relationship of the education system to the criminal justice

system, and corrections and the post-release supportive environment. As a result of the recommendations, the Institute set aside \$375,000 for minority research programs. The Task Force also made recommendations about increasing the number of minorities and women on the Institute staff.

In May 1979, the Task Force met again to review progress on its earlier recommendations. The most difficult area for the Institute to address was changing the composition of its staff because of the freeze on hiring from outside. At the same time, it was losing minority staff members such as Ms. Triplett.

A number of projects have begun as a result of the other recommendations. The Institute is in the process of funding a race and crime study and is working on developing one on the use of deadly force by police, a particularly difficult area because of widely differing views on the problem and the methodology to use. The Institute has a grant with the National Urban League to build a directory of minority criminal justice researchers as well as to look at earlier research on minorities and criminal justice. Another project with the Institute for the Development of Indian Law (the Oliphant project) grew out of a major court decision. This research project is looking at the impact of the Oliphant decision on 10 reservations. A project with the National Bar Association is studying the perspective of black attorneys regarding the criminal justice system. A small project with the National Council of La Raza is looking into a key concern voiced by Hispanics through the Task Force, namely that in criminal justice statistics Hispanics are treated very inconsistently, sometimes as "other" or sometimes as "white." Also, the Institute has a visiting Fellow, Dr. Carlos Astiz, who is doing work on interpreting services for non-English-speaking defendants in the criminal courts in a number of cities.

Finally, the Task Force made a series of recommendations at its May meeting this year: to establish a minority center to study race, crime, and social policy, that is, to establish a research agreement program with some institution to study these priority areas; to study the strength in minority communities to resist crime; to study victimization; to study capital punishment; to study arrest and its impact on the family; to study undocumented victimization; and to study due process in alternative dispute settlement arenas.

In response to a suggestion from William Gaiter that a summary report of the meeting would be useful for Advisory Committee members, Mr. Bratt said that Institute staff was currently in the process of synthesizing a transcript of the Task Force meeting and a report would be forwarded to Committee members.

Mr. Cunningham asked where the funds for minority research were described in the program plans currently under consideration. Mr. Pickett noted that \$260,000 were allocated to research on minorities and crime in FY 1980 and that that would be in addition to a possible research agreement program. Mr. Bratt added that the Institute was also trying to encourage minorities to apply for the Institute's visiting fellowships.

Remarks--Henry Dogin, LEAA Administrator

LEAA is caught up in the battle of the budget and it is almost a bizarre situation, Mr. Dogin said, because it is difficult to explain the need for more dollars in this year of transition when Congress is dedicated to cutting dollars for domestic programs. The Senate has cut the President's budget of \$546 million by \$100 million, a cut that will have serious effects on the ability to fund the entitlement jurisdictions in the block grant mold and the Bureau of Justice Statistics. Even with this cut, Mr. Dogin said he had no intention of cutting the Institute's funding level. And he and others involved would be working to get the budget restored to the \$546 million figure.

In terms of reauthorization, the new legislation breezed by the Senate (on a vote of 67 to 8) and is on the floor of the House, but the bill may not reach a vote there until after the September recess. Survival is not in question, Mr. Dogin added, as it seems apparent that the basic OJARS structure will be approved including an independent National Institute of Justice with a Presidential appointment at its head.

Mr. Rosenblum asked what the Advisory Committee can, should, or should not do in light of the legislative agenda and its apparent consequences on the day-to-day operations of the agency. Mr. Dogin said that neither he nor the Committee can be involved in lobbying, but he believed a strong National Institute would emerge from the vote in the House. The Committee, he said, should expect to have major influence on its policy and in the selection of the Presidential appointee to head it and other personnel.

Mr. Cunningham remarked that as an SPA representative, he particularly supported the Institute's capacity to develop, test, and market program designs. This capacity is particularly relevant in light of the expression of Congress at least through the Biden Amendments that the Institute's program be focused down on fewer and tested programs, he said. A track record of well-documented models such as alternatives to dispute resolution, ICAP, and so forth, will be critical in four years when the Institute's future will again be before Congress, so this capacity area should be considered along with other functions. Mr. Dogin responded that should funds be drastically cut, which he did not expect, he would consider three areas as priorities: foremost would be a strong research program; second, support of a few major programs that grew out of the research; and third, a strong auditing capability.

Mr. Onlin asked how the legislation appeared to affect the role of the Advisory Committee. The role was in no way diminishing, Mr. Dogin said, but

he was bothered by the number of other boards--one for statistics and one for OJARS--and thought they might not all be necessary, especially the one for OJARS. Mr. Blumstein suggested that key members might be appointed to more than one board.

Mr. Williams and Mr. Ward both questioned the budget breakdown for minority funding. It was neither clear nor specific and the Institute's commitment to research on minority issues would not be perceived by the public through it. Mr. Williams added that he saw a need for more consistency in the document and for some definitions. Mr. Ohlin said he would request a more specific budget breakdown, staff report, and a fuller discussion for the next Advisory Committee meeting. Mr. Rosenblum added that this issue was precisely one in which the Advisory Committee should be involved and that well in advance of the next meeting a working, not final, document should reach the Committee members so they could respond to it. The document needed is more than a segregated budget explanation, Mr. Blumstein suggested. It should be a full description of where the Institute's program intersects minority issues and it could be circulated through the Minority Task Force to the research community. It could become an annual special study, he said.

Review of the Unsolicited Research Program--Robert Burkhart,
William Saulsbury, and Voncile Gowdy

The Unsolicited Research Program (URP), now in its third year, was initiated as a direct consequence of the National Academy of Science's assessment of the Institute and its recommendation that NILECJ should support a broader and more competitive research solicitation process with peer review, explained Mr. Burkhart, director of the Institute's Office of Research Programs. It is

particularly important as a balancing support program to the Institute's other priority-directed research. And it gives some opportunity to smaller research units and individual researchers to participate in the Institute's work.

URP is truly a cooperative staff venture, he continued, since from the beginning the policies and the implementation of them have been the responsibility of an Institute committee whose members are appointed for a year. The program is still evolving, and later in the day the Advisory Committee would be asked to respond to some specific questions and recommendations about its future direction.

Mr. Saulsbury, FY 1979 chairman of the Unsolicited Research Program, spoke next, amplifying some of the areas described in his program synopsis, which was distributed to the Committee. When URP began in the spring of 1977, its form was very different, he said, and its history has been one of attempting to standardize a style of program new to the Institute. The goal has not changed: to fund a limited number of projects not necessarily in the Institute's designated priority areas but which address significant criminal justice issues. While not ignoring traditional styles of projects and researchers, URP does offer the means to encourage innovative studies as well as new researchers.

The program has met with mixed success, he continued. For example, for the most part, the applications received proposed the more traditional types of studies. For the past two years, URP has been spending \$750,000 split between two review rounds. The money does not seem enough to the URP committee to stimulate the types of applications hoped for. The competition is also very stiff for the limited funds--from the more than 300 papers submitted, 19 have been funded during the past five rounds of reviews. When the papers come in, they are generally divided into categories along the functional lines of the Institute and some researchers have criticized this, saying their papers were

inappropriately placed and therefore not considered by the appropriate persons. This is an area where the URP committee could use some Advisory Committee input, as well as suggestions on how to streamline the current review process. There has been very favorable response to the peer review process in general, but the final rank-ordering of papers in the end is still cumbersome, he said.

Ms. Gowdy, chairwoman of the URP committee for FY 1980, briefly summarized the outgoing committee's recommendations for the program, recommendations the Advisory Committee would be asked to discuss at the afternoon workshops. The committee recommended that 1) the program's funds be increased from \$750,000 to \$1.5 million; 2) the ceiling, that is, the maximum allowed for a grant, be lowered from \$150,000 to \$120,000; 3) up to one-third of the program budget be reserved for grants of \$60,000 or less; and 4) ways to streamline the review process should be developed.

At this juncture, Mr. Ohlin appointed reporters and chairpersons for the three workshop groups that would meet in the afternoon to discuss URP and data use: Mr. Rosenblum, chairman, and Mr. Cunningham, reporter, for group A; Ms. Becker, chairwoman, and Mr. Reppetto, reporter, for group B; and Ms. Weiss, chairwomen, and Mr. Parkison, reporter, for group C.

Panel on Data Use and Access--Richard Linster, Michael Traugott, Michael Hindeland, and Al Reiss

Mr. Linster, director of the Institute's Office of Research and Evaluation Methods, explained that the purpose of the panel was to explore some of the policy issues NILECJ faces concerning the data collected for and used in research. The panel was asked to consider four broad questions: What problems confront the researcher in respect to obtaining access to and using data? In the context of the scope of Institute and NCJISS authority, what can be done to develop an effective strategy in this area? What are the major roadblocks

in the development of such a strategy? What can be done to circumvent the roadblocks?

In 1974, the Institute first became concerned with the difficulties in accessing data that had already been used for research purposes and began funding projects to consider the feasibility of establishing a repository for criminal justice research data, Mr. Linster said. An archive, now several years old, was developed at the University of Michigan. The problem for the Institute in funding other projects offering to build data bases is that a coherent strategy needs to be developed before program money is invested further in this.

Mr. Traugott of the University of Michigan next described the archive and supporting programs housed at the University and supported by NCJISS. The archive, part of a program entitled the Interuniversity Consortium for Political and Social Research, was developed with three main tasks in mind: to develop and disseminate archival resources related to the criminal justice system with computer readable, quantitative data, usable for secondary or extended analysis (examples of the resources include the National Crime Surveys, criminal justice system employment and expenditure data, some PROMIS data, Uniform Crime Reports, and other); to provide technical support facilities for people interested in using the archival data; and to develop a variety of training and other support activities.

Mr. Hindelang of the State University of New York at Albany told the Committee that many of the problems of access to and use of criminal justice system data relate to the data explosion of the past eight years, an explosion fostered in part by NCJISS through contract to the Census Bureau and by the Institute through grants.

Some of the serious problems in working with Census data, he said, include the following: 1) currency or timeliness of the data; 2) conservative or severe confidentiality restrictions (e.g., in the National Crime Survey, areas populated by fewer than 250,000 people are not identified), a trend that seems to be growing; 3) the content of what is collected is decided often with no input from the criminal justice community; 4) the high cost of data processing for the large Census files; and 5) a widespread perception that Census data files are extremely complex. Regarding data produced by grantees, there are generally two kinds of problem areas, Mr. Hindelang said. First, despite the presumption that grantees will make their data available, this is often not the case and can result in expensive duplication of effort. The second area relates to the duplication of the kinds of data collected, for example, five or six different groups collect data on police salaries and personnel and all communicate directly with police departments, a process that can lead to "respondent fatigue."

Briefly, Mr. Hindeland continued, some suggestions he would make to deal with such problems are first, to create an advisory board to examine the problems, serve in a coordinating capacity, look into needs, and address timeliness of publication and duplication of efforts. Second, since grantees are now required to make data available for the archive, the expenses of putting them into the archive should also be written into the grants. Third, some attention and financial support should be paid to the development of software to process large data files. Finally, criminal justice researchers and others need to be better informed about the archive and its support activities through publicity at meetings and so forth.

Mr. Reiss of Yale University said he would discuss the problem of data access and use in terms of four constituent communities: the sponsors of data collection, in this case, NILECJ and NCJISS; those who supply the data; the collectors of the data who are also sometimes users of it; and the pure users, for example, those who do secondary analysis. These groups often have very different interests and the problem thus becomes one of what lawyers like to call a "balancing of interests." Mr. Reiss said he would try to give just a bit of the flavor of how the problems have to be considered in terms of each group.

One issue, for instance, of major concern to sponsors relates to priority of release of data. LEAA may insist upon executive summaries and prior reviews, for example, which can consume long periods of time. While this interest of the sponsor must be recognized, there may be limits that should be placed on the sponsor's rights so that after some time period, the sponsor loses the right to hold back data. Related to this is control of publication. Many universities will not enter into agreements that restrict freedom and serious conflicts can arise here, he noted.

An issue relating to the suppliers of data is what is owed to them in terms of feedback and what rights should they have in terms of priority of release of information. Again, this is a knotty issue, Mr. Reiss said, but it seems very important to have feedback for certain kinds of research projects because serious errors can be made otherwise. This does not imply that the suppliers should have veto power, but researchers do have certain obligations to them. This is possibly the most critical issue because researchers depend on these suppliers, and if they are alienated, their cooperation could be lost.

Among the collectors of data, there are four significant subtypes each with particular interests. First there are collectors interested in

identifying indicators--true of much of the Bureau of Census work where the Bureau essentially becomes the primary contractor for LEAA. Here issues about what kind of arrangements and interchange to make between government agencies becomes a major issue. The goal of a second type of data collector is analytical use of the information--true of a great many NILECJ surveys. A third collector community is interested in replication or secondary analysis and some very peculiar relationships can develop between primary and secondary collectors and users and the different policies under which they may have to operate. The last community produces very specialized data sets and some may be available but, often, access to the sets is very limited.

Mr. Reiss next posed two possible solutions for resolving a number of these conflicts. One has to do with "a proprietary interest in being protected from harm" that can arise from misuse or misrepresentation of data, for example, from premature release of data. Some protection has to be provided to investigators, he said. One possibility is to give them the right to conduct some analysis to test the data set before release. A second principle, perhaps a less defensible one, has to do with what is termed the "priority of claims" in science, he said. In one sense, information should be available, but a competing idea is that that which motivates, one does. The solution lies in finding a balance between these forces.

Finally, the consumer group, the pure users of data, are the hardest group to satisfy. In considering the needs of the consumers, one should keep two principles in mind. The first is the great diversity in this group and the need to avoid organizing data just for one group such as academics. Second, the usefulness and value of raw data is directly related to its conformity to some criteria of what constitutes a statistically meaningful set of data and, therefore, any set of data that does not include information on its error

structure should probably not be distributed or allowed into an archive. Mr. Reiss said he would argue strongly for a set of criteria to govern what goes into archives, otherwise consumers may assume all sets are equally valid when they are not.

Reports from Workshops on URP and Data Access and Use

Participants were asked to discuss the following issues and questions at the small workshops:

Data Use and Access:

Considered in the context of a NILECJ sub-program--that is, an effort requiring dedication of some level of program funds and staff time--

1. Should NILECJ pursue a more active strategy than we now do as a data "broker," locating existing data bases of interest to the supported research program and facilitating access by the research community?
2. Should NILECJ consider implementing a sub-program specifically funded for the purpose of creating new data bases that can be shown to be of interest to a field of inquiry (as opposed to a specific research project)?

Unsolicited Research Program

1. Allocation of funds for URP in FY 80
2. Funding ceiling (maximum amount for URP proposals)
3. Split allocation of funds to meet the needs of small and large budgeted applicants
4. Review process (suggestions on new procedures)

Mr. Ohlin asked the reporters from each of the three workshop groups to summarize the discussion of data use and access first.

Mr. Cunningham, the reporter for group A, said his group enjoyed little consensus but raised many issues. There was a great deal of skepticism about pursuing the program suggested in the second question. The closest the group came to a consensus was around Mr. Blumstein's suggestion that such a program should be developed only in very narrow situations and ones that approximate a research program. There were some conditions under which this could be done, primarily involving multiple users who could be brought together to agree that data acquired in common could be useful.

In response to the first question, Mr. Cunningham said there seemed to be agreement that researchers had a strong interest in such access to data, but that the holders of the data perhaps needed even more consideration because these officials, agencies, and so forth, were often the target of multiple and overlapping requests for data. Some way to reduce the burden placed on the data holders, such as through archival resources or data sharing, would be beneficial. There was also support for his suggestion, Mr. Cunningham said, that over the long term, guidelines be developed to protect both the askers of questions and the answerers from misuse of their data or analysis. The guidelines could also address the issue of the duplication of requests for data. Mr. Rosenblum, chairman of this group, added that he thought there was strong consensus in the group about the need for such guidelines.

Mr. Repetto, reporter for group B, noted that his group had some difficulty in determining the dimensions of the problem particularly since there were no specialists in this area in the group. There was some discussion of whether grants carried requirements to put data in retrievable form and since the answer was generally no, the group felt it might be useful to earmark 1 or 2 percent of grant funds for this purpose. There was also some discussion of balancing the needs for access to data and of the differing needs for confidentiality, he said.

In reference to the first question, Institute staff told the group that they were fairly active in locating and making available data bases and would like to be more active, but this would require additional funds, Mr. Repetto continued. Some members of the group wondered, however, how much value there is in collecting data from other types of projects since each is usually so unique. This led to a discussion of the comparability of data among projects since the group's experience has been that projects often define terms and goals in relation to particular needs. The group did not intend to be negative here but simply wanted to raise the issue, he said. The group also asked how difficult it was to retrieve so-called "fugitive data" and was informed by Institute staff that although they were aware of a good many areas of data, to acquire all of it now would swamp present facilities. Staff then asked whether the group felt the Institute should serve as a clearinghouse or whether efforts should be made to supplement the resources at the University of Michigan's archives. No resolution was reached on this.

Question 2 gave the group even more trouble, Mr. Repetto said. While no one objected to the concept and goals embodied in the first question, the group did not really know how to proceed with the second issue or on what level of priority to place it. The group did agree that as to the "broker role," they felt that this should be specified as a function of the Institute and that there should be a designated grant program in this area in the Institute's program plan.

Group C, its reporter Mr. Parkison noted, also had difficulty with both questions and, in fact, spent 45 minutes of the hour not even discussing them but coming to the agreement that data, in whatever form it is presently collected and stored, is "lousy," to put it mildly. It was somewhat discouraging then looking at the questions, he said. The group did seem to agree that

instead of the two questions posed, there was a third, even more important question concerning the validity of data currently being collected and stored. Much of the discussion centered on the role of archives and what they should accept and dispense, and what kind of warnings they should dispense with the data. There seemed to be general agreement that the National Institute should develop some projects to test the validity of data being collected and stored and there was some interest that the Institute take a more active role in the areas referred to in both questions.

The group expressed quite a bit of concern, Mr. Parkison said, about what happens when data is stored, that is, data considered very problematic may become "engraved in stone" when placed in an archive and returned on a computer printout. It may be the duty of archivists to put warnings on data for researchers, and the group felt it might be appropriate for the Institute to see that such warnings are in place, he said. Ms. Weiss, chairwomen of the group, added that the language of the questions and any project should speak to the issue of validity.

In general discussion about the topic of access to data and its use, Mr. Cunningham brought up two more points discussed in his group. First, there was skepticism expressed, he said, about expanding NILECJ's role in this area at a time when both the Institute's funds and staff were possibly being curtailed. Second, since a Bureau of Justice Statistics would have coequal status under the proposed legislation, new programs involving statistical data issues might be premature until roles were better worked out in the new agency. Ms. Becker added that her group had discussed this second issue and the suggestion was offered that the Institute should at least be considering its role now since it may have very different interests and needs than a statistics bureau, especially in relation to the grants it funds.

Mr. Ohlin noted that there seemed in his group not to be so much concern for generating new data bases as for generating ways to protect, use, and increase the use of the data that is being collected and put into archives, particularly with a view to making the data more relevant as well as ensuring its validity.

Mr. Grossman said he saw a further issue that bears discussion, perhaps at a later meeting, concerning the tension that is apparently increasing between the demands for confidentiality and privacy and the demands for access and dissemination of information, especially in relation to research involving human subjects. Mr. Ohlin agreed that he felt this was an important agenda item for the future.

Discussion turned next to the Unsolicited Research Program.

Mr. Cunningham reported that he was the only member of his group that questioned the value of the program and was adequately persuaded by Mr. Blumstein that URP was an attractive door for the Institute to use to support a class of researchers whose work was very needed. There was not a consensus in the group, he said, that the program funds should be raised to \$1.5 million, but there was agreement that the Institute should have the flexibility to shift some funds to URP should the quality of proposals for URP be higher than in the directed research programs. The group did not deal specifically with the split allocation of funds issue (question 3). As to the review process, it was suggested that the requirement for a full concept paper for initial submission might be unnecessarily burdensome to both the academicians and the Institute staff, and that a summary paper might suffice.

Mr. Reppetto reported that his group commented that many of the URP projects seemed to involve applied rather than basic research, a topic that led into a discussion of the review process (question 4), he said. Many were

surprised that the review was not a blind review. And there was some discussion of the 20-page limit on submissions. A lively discussion took place, he said, over the timeliness of the grant cycle, and a suggestion was offered that grants could be awarded without funding and be subject to the availability of funds. Regarding the split allocation of funds, it was suggested that procedures be developed to earmark some part of the URP funds for "new scholars," who were defined as people with good ideas but no track record, he said. As to increasing the funds overall, the group considered \$1.5 million very reasonable especially since basic research is not really funded elsewhere in criminal justice. Finally, regarding the funding ceiling, the group seemed to agree that smaller grants might be preferable as would spreading the money around, but that each proposal should still be studied individually, perhaps even with an eye to reducing some of its expenses.

Mr. Monroe suggested that if the purpose of URP was to follow an NAS recommendation to generate more basic research, then perhaps it would be beneficial to have some evaluation now by NAS or others of the program. For, he said, it seemed to some in his group that the research (at least from the grant titles and staff acknowledgment that not many proposals for basic research were received) was possibly not following the lines recommended by NAS.

Mr. Bratt responded that the program might need a bit more time to attract new proposals before evaluation since LEAA traditionally was an applied research agency.

Mr. Parkison reported that his group agreed that URP funds should be increased to \$1.5 million and that a lid of \$120,000 should be placed on grants. The staff recommendation on split allocation of funds was not accepted but the following was recommended: that the funds be divided roughly in half with two-thirds of the projects being funded at a maximum level of \$60,000 and the other

third receiving grants of \$60,000 to \$120,000. The reason for this recommendation was that there was a strong feeling in the group that there was a class of researchers who are being neglected and that by increasing the URP funds and allocating them in such a fashion, this class would be served, he said. At the same time, such a program would serve to supplement the recommendations of the Minority Task Force. Finally, as to the review process, there was some consensus that a rating system should be developed and made known to the applicants. In addition, if submissions contain serious flaws, these should be made known to them.

Ms. Weiss said she wanted to emphasize the point that the group considered the Unsolicited Research Program to be a means for the Institute to encourage minority researchers as well as new research endeavors, especially since the directed research program is so geared to large firms or universities.

During general discussion of the topic, Dr. Monroe commented that he felt strongly that somewhere in the review process, either grant finalists or those candidates expected to be awarded large grants should be subject to some kind of interchange with the proposal evaluators, perhaps through a site visit, to ensure that the Institute's investment is well placed.

Mr. Cunningham commented that he thought the directed research program could be evaluated with an eye to carving out some of the funds of a large grant to be bid separately and encourage smaller research efforts. Mr. Blumstein said he agreed with this idea and that the area that might benefit by such an effort would be the conceptualization of a program, especially since RFPs are often weak in conceptualization. Solicitations might benefit by having some of the conceptualization or even pilot work done separately at a smaller level, he said.

Mr. Parkison said he had a concern he would like the Advisory Committee to consider as the Institute prepares to expand the Unsolicited Research Program. A number of years ago a primary concern was to set priorities for the directed research program, he noted. In the case of URP, it seems incumbent upon the Advisory Committee to pay careful attention to process as the program expands, that is, the process of selecting the winners. Ms. Becker noted that concern was expressed in her group about more than one URP award for related project areas going to the same university and that it seemed that at some point in the review process, perhaps at the initial stage, a blind review was needed to ensure that the so-called new scholars without track records really have an equal chance to obtain grants.

Closing Business

Ms. Chemers told the Committee that the next meeting had been scheduled for September 27-28, dates the largest number of members said they would be available. In planning the agenda, Ms. Chemers said that a review of the priorities was tentatively planned. The Committee might also want to consider, she suggested, some format for documenting its experience as an advisory body to pass on to the statutory board that is expected to take its place after the reauthorization legislation is passed.

Mr. Cunningham said that because it seems that neither the reauthorization legislation nor the budget would be final by the end of September, a meeting then no longer seemed a good idea and that an October meeting would be more profitable. The issue of the Committee's charter, which expires with the passage of the new legislation (scheduled for October 1, 1979), was raised. Mr. Rosenblum said that as an advisor he would like to advise the Institute that despite the charter, the most beneficial forum for exchanging experience

would be a face-to-face meeting between the old and new committees. If the legality of such a meeting is in question then it could be discussed with LEAA's general counsel, but the question ought to be an open one and the answer not dictated to the Committee, he said. Mr. Ohlin suggested putting over a decision until the next day.

Mr. Irving made a motion that at the next meeting, whenever it was scheduled, instead of a luncheon speaker, that time be reserved to honor Blair Ewing and present him with a resolution of appreciation from the Committee and honor his contributions as Acting Director of the Institute. The motion was passed unanimously. Mr. Ohlin appointed himself and Mr. Irving to work on the arrangements.

PROCEEDINGS OF THE SECOND DAY

(June 29, 1979)

Panel Discussion with the Task Force on the National Institute of Justice

As the reauthorization legislation took shape, four task forces were created along the proposed organizational lines to ease the transition of LEAA, Mr. Bratt explained. One is concerned with the Bureau of Justice Statistics (BJS), one with LEAA, one with the overall OJARS structure, and one with the National Institute of Justice (NIJ). In addition to himself, most of the NIJ task force members were present to discuss the transition: Thomas Madden, LEAA's general counsel; Charles Wellford from the Office for Improvements in the Administration of Justice; Ralph Swisher from LEAA's Office of Planning and Management; James Howell, head of the research Institute of the Office of Juvenile Justice and Delinquency Prevention; and James Shealey, budget officer for LEAA. Norval Morris and Robert Deigelman, the two other task force members, were not present.

The NIJ task force has been looking at two major areas: What the appropriate functions are for NIJ under the proposed legislation and what relationships the various parts of OJARS will have. Later, an organizational structure for NIJ will have to be developed as well as budget and staffing patterns to address its new functions, Mr. Bratt said. The list of issues distributed to Committee members are still germane and the task force would like the input of Advisory Committee members most especially concerning the evaluation function and juvenile justice research.

Mr. Madden next brought the Committee up to date on the status of the reauthorization legislation. The Senate has passed a bill that would reauthorize the research, financial assistance, and statistics functions now

carried out by LEAA, and the bill has been sent to the House, he said. It would create a National Institute of Justice and a Bureau of Justice Statistics. It would limit LEAA to carrying out financial assistance, training, and technical assistance programs. And it would create a coordinating agency--OJARS. The House has reported out a bill that is very similar, but procedure in the House requires a rule (setting procedures and a time for consideration of the bill by the full House) from the Rules Committee where there is a backlog. It seems now, he said, that the bill will not be considered in the House before September and then differences between the House and Senate bills will have to be resolved.

Another complication involves appropriations, Mr. Madden continued. In the House, since there is not yet any reauthorization statute, the Appropriations Committee gave LEAA zero dollars. The Senate Appropriations Committee acts after the House, and it appears that they will appropriate \$446 million, which is \$200 million below the current level and \$100 million below the Administration's budget.

The major difference between the House and Senate bills is that the House bill does not provide for any kind of civil justice authority. The Administration supports the Senate bill, he said.

Essentially the bill is the Justice Systems Improvement Act, introduced by Senator Edward Kennedy and Representative Peter Rodino last year, with modifications. The bill repeals the old LEAA statute and replaces it with the OJARS structure. In the original bill and the House bill, NIJ, BJS, LEAA, and OJARS are under the direct authority of the Attorney General which puts them all on a par with other bureaus and offices in the Justice Department. However, organizationally the coordinating unit, OJARS, will provide both support and broad policy guidelines for all, and the Attorney General will probably delegate

day-to-day responsibility for the agencies to a deputy. The Senate bill modifies this authority slightly, stating that OJARS is "under the general authority and policy control of the Attorney General," as LEAA currently is. This means that in day-to-day operations and the awarding of grants and contract, OJARS would be independent of the Attorney General, but under his authority for policy, budget, and legislation matters. The directors of NIJ, BJS, and LEAA would report to the director of OJARS in the Senate bill. In this case, the Administration supports the House bill because the lines of authority seem clearer, Mr. Madden said. Under both bills, the directors of NIJ and BJS have the final authority in the award of all grants and contracts.

In both bills, NIJ's advisory board is a statutory one, but in the House bill the Attorney General would appoint the board members while in the Senate bill, the President would. The Administration supports the House bill in this, he said. The new advisory board would have statutory responsibility to establish policy for NIJ in conjunction with its director. This would include research objectives, a research agenda, research methodology, selection of grantees, and so forth. The functions of NIJ, with the exception of civil justice, would essentially be the same ones now carried out by the Institute, that is, primarily research and evaluation functions.

Mr. Rosenblum questioned the reasons for establishing a statutory advisory board and said he believed that insofar as the present Advisory Committee has been successful in advising on Institute policy, it had been so because it was an influential body, not a powerful one. Should conflicts arise between an advisory board and permanent staff, Mr. Rosenblum said he firmly believed that professional staff ought to be in position to prevail. If in the hierarchy established, the advisory board's power outweighs that of NIJ's director, there could be unfortunate consequences, he said.

Under the legislation, LEAA would oversee five program areas according to Mr. Madden: a formula grant program, a priority grant program, a discretionary grant program, the community anti-crime program, and a training and manpower development program. The formula grant program, which replaces the block grants, has a number of innovations some of which relate to the Institute, he said. The comprehensive plan is eliminated under the new formula grant program and, instead, states will submit applications for funds that cover three years of activities with provisions for yearly updates if a state changes its application. Also, states must submit annual performance reports. During debate in Congress, the Kennedy-Biden Amendments were added and changed the thrust of the LEAA program, he noted. In the past, block grants were given to the states largely to finance general improvements, mainly in the capacity-building or system support areas. Under the amendments, formula grants can only be used to fund programs of proven effectiveness, programs with a record of proven success, or programs with a high probability of making identifiable improvements in the criminal justice system. Further, LEAA has authority to identify programs with low probability of success or for making improvement, publish findings on them, allow time for comment, and then tell the states that such programs will not be funded. By definition, Mr. Madden said, improvements are limited to areas that the jurisdiction is already financing, so formula grant funds cannot be used to add new equipment or pay new salaries. Further, the legislation says that NIJ, in carrying out its research and evaluation functions, will have responsibility to identify programs of proven effectiveness, with a record of proven success, or a high probability for success. LEAA also has this responsibility, but the legislation does not tie the two together. It does not say, for instance, that NIJ will review LEAA's programs, Mr. Madden explained.

The priority grant program offers funding to the states essentially for programs of proven effectiveness, he continued. LEAA would identify priorities from a list of successful and some innovative programs and offer states money to carry out the programs if states provide 50 percent of the cost. The states in turn may use their formula grant money to make the 50 percent match. The director of NIJ may make recommendations about the priorities to the director of OJARS, who has final authority.

The discretionary grant program is designed somewhat as a pressure valve to fund programs that have great political support, for example, or to fund programs to meet some national priorities, Mr. Madden said. Also, the funds can be used to fill in gaps in the formula grant program, for instance, if one area of the criminal justice system is underfunded. And these are the funds that can be used to try some innovative programs. The activities for this program will be established by the director of OJARS after comments from NIJ, BJS, and the public. Both the formula and discretionary grants are 100 percent funding.

As for juvenile justice programs, the act that established OJJDP does not expire until 1981 and legislation was recently submitted by the Administration that would reauthorize the program essentially as it is, Mr. Madden said. However, the original Administration bill proposed to have whatever basic research is carried out by OJJDP transferred to NIJ. This issue will probably not be resolved until debate on reauthorization of Juvenile Justice Act.

Both the House and Senate bills would eliminate the special corrections program in LEAA. But a number of amendments require that corrections have special emphasis in all three grant programs. At one time, the legislation would have eliminated the National Institute of Corrections, but it was decided to keep it as a separate unit in the Bureau of Prisons.

Finally, the Biden Amendments have one other part that should be noted, Mr. Madden said. They require that four years after reauthorization, LEAA submit a report to Congress through OJARS evaluating how the three grant programs have contributed to the objectives of the Justice System Improvement Act, especially in reference to 23 categories of funding specified in the statute. This requirement for a so-called sunset report implies that to the extent improvements cannot be shown, programs will not be refunded or reauthorized.

Mr. Cunningham commented that with reference to the Institute's evaluation role, a narrow interpretation of the Biden Amendments could offer a golden opportunity to further the marketing of some of the programs important to the states for replication, such as the career criminal program or managing criminal investigations, by using its statutory authority to identify programs of proven effectiveness and so forth. Mr. Madden responded that the legislation did not intend to have NIJ review formula grant plans and that, in fact, that was a kind of relationship the Justice System Improvement Act was trying to move away from. The Institute would continue to carry on an exemplary projects program, however. Mr. Parkison said he had to come out on the opposite side from Mr. Cunningham. In his opinion, programs could not be packaged, put on the shelf, and pulled out by the states to plug into their systems. Mr. Parkison said he felt it would be a mistake for the Institute to get into the "Good Housekeeping Seal of Approval" role with LEAA programs.

After a short break Mr. Madden next turned his attention to the evaluation function of NIJ, a difficult issue that is likely to continue to evolve, he said. There are evaluation responsibilities contemplated for all three divisions of OJARS and OJARS itself. NIJ's responsibility is mainly tied into its own mission and the priorities it sets, he said. In addition, it is authorized, but not mandated, to evaluate selected state programs. BJS is authorized to

carry out evaluation in the statistics area. LEAA's evaluation role is more a monitoring and oversight one. The first level would be to evaluate the formula grant applications submitted by the 50 states. During the three years of the grant period, LEAA has an obligation to evaluate selected programs carried out by the states, review the progress reports submitted by the states, and recommend not to continue funding programs that do not meet stated objectives.

OJARS' evaluation role emanates from the Biden report and involves assessing the impact of the three major grant programs in relation to the 23 specified categories. It should be clear that there is overlap between the units, he said.

In response to a question from Ms. Weiss on what such terms as proven effectiveness might mean in an evaluation sense, Mr. Swisher noted that the legislation makes reference to the kind of analysis conducted by the Brookings Institution, which is not typically considered rigorous evaluation. Whether this approach is more or less realistic is still an open question for the advisory board and internal planners, he said. Also, it seems that Congressional expectation is that the annual performance reports from the states will serve as installments for the sunset report and that the sunset report itself will be a summary of these and other general evaluation data that answer some specific questions, not a complex study.

Mr. Bittner said he saw the legislation creating a peculiar kind of Institute, one that is assuming vastly increased responsibilities plus evaluation activities while losing staff and money. One could foresee a future where original research is just a very small part of the whole enterprise, he said.

Mr. Cunningham commented that although he is not fully satisfied with the popular dichotomy between process and impact evaluation, the legislative history here seems to imply strongly that impact evaluation will be required. He said he hoped the Institute would take a leadership role in steering evaluation toward the impact area. Mr. Blumstein said he agreed with this point but noted that the technology for achieving it was still very limited. Furthermore, he said, impact evaluation requires disinterestedness on the part of the evaluator. In LEAA's case, there is definitely a lack of disinterestedness in evaluating programs whose success are directly tied to LEAA's future, and in this instance the Biden Amendments seemed to be promulgating a charade by putting LEAA in an impossible position. In response, Mr. Madden explained that originally Congress would have had LEAA attempt to evaluate each of its dollars spent in relation to the crime rate and that the present sunset approach evolved when the Administration's desire to have an evaluation along the lines of the Brookings Institute model was not fully acceptable to Congress. Unresolved questions, however, concern the utility of the final report that could conceivably cost between \$2 and \$10 million to produce as well as the validity of such a report, he said.

Mr. Irving said he was concerned about the rigidity that could set in because of the sunset aspect of the evaluation and the apparent need to put money only into what works in a criminal justice system that is not working. He said he hoped the next advisory board would make clear to Congress and the public, first, that the system is not working and, then, that experimentation is necessary even though some of the experiments will not work.

Mr. Parkison said he felt a major concern that the Institute would be forced to lose sight of its basic research mission by the diverse unknowns Congress is forcing into the statutes--requiring evaluation when the processes

do not work, requiring more data collection when most of the data is in a bad state, and so forth. The Institute, he said, should keep an eye on its own mission and separate it from LEAA's. It could be, he suggested, that the Institute could continue to develop evaluation and data collection techniques and transfer these to LEAA.

In the evaluation area, Ms. Weiss said that when considering objective, rigorous, data-based evaluation, she felt it would be best to keep this out of LEAA to the extent possible because LEAA would be in the position of evaluating itself directly and this would be suspect and least credible to Congress. Although the Institute will not have the resources to take over major evaluation roles, its role might be to consider basic evaluative policy or standards to set the guidelines for evaluation that outside contractors would conduct. Also, she said she hoped that appropriate interim or near-time measures such as reductions in court delay would be acceptable measures instead of measures such as reduction in crime rates which could undermine the entire program.

Mr. Bittner said he recognized Mr. Biden's problem in writing the legislation but he felt the solution is troublesome and might be worse than the problem because pressures are being created to encourage engagement only in activities that produce proven results. This can be done, he said, but it creates conditions whereby engaging in research that may be productive but does not result in immediately visible and measurable indices of success is discouraged. Another problem with the Biden Amendments has to do with the 22 categories. He said that he imagined it was correct that the inventory really allows the Institute to do anything it wants, but in another way it also requires that all 22 objectives be met because someone may ask whether number 16, for instance, was accomplished. Thus all the categories will be addressed even if it is known that some will not be productive avenues.

the two offices and, in fact, it might be futile, he said. Coordinating mechanisms, probably ad hoc ones, ought to be the way to proceed now, he suggested, particularly since the final legislation may be quite different from what is currently proposed. Also, this subject might better be taken up at a later meeting should there be one, he said.

Mr. Cunningham suggested that a logical point of contact would be the two advisory bodies to the institutes. Several members from each could be appointed as liaisons, he suggested. Mr. Blumstein said he agreed with this suggestion and urged that those who appoint the advisory boards see to it that at a minimum the chairman of each board also serves on the other board.

Closing Business

The subject of a final meeting date for the Advisory Committee was discussed again. Mr. Madden told the Committee members that if they wanted to meet after the end of September, at which time their charter expires, an amendment to the charter would be needed. Mr. Parkison raised the point that from the end of September until the time when a new advisory group was appointed could be a lengthy period of time, so that considering holding a joint meeting between the old and new boards in October was probably unrealistic and a late September meeting might be preferable. Ms. Becker suggested that the hiatus in the Institute's access to an advisory group was itself an argument for seeking an amendment to extend the life of the present group. Mr. Ohlin said he would pursue the issue and make a proposal to the Committee later. Just prior to adjournment at noon, the minutes of the last meeting were approved.

Mr. Ohlin turned the discussion to the juvenile justice issue. Mr. Bratt introduced the subject by explaining that the legislation seems to call for basic research in the field to be conducted by NIJ and applied research to remain in the juvenile justice agency. He noted that definitions of basic and applied research were murky, but some decision and division will have to be made.

Mr. Howell then described some of the implications of what he considered a very difficult issue for OJJDP. First, he explained, the legislation creating OJJDP makes it somewhat a mini-LEAA with responsibility for the formula grant program in the juvenile area, technical assistance, training, standard development, action programs, and coordination of federal efforts in addition to research, evaluation, and program development. Essentially, the juvenile justice research efforts are aimed at assisting in the development of action programs, and evaluation is closely tied to the implementation of the programs and assessing their effectiveness. Thus, the juvenile justice institute is interested in a broad definition of its research program, one that would not diminish opportunities in designing action programs that can be determined in some measure to be effective, he said. The clearest distinction his office sees that would take into account its legislative mandate and the role it has developed would be to view basic research primarily from the standpoint of causation.

Mr. Ohlin commented that in light of the two budgets involved and the pressures on them, each could live with a considerable amount of overlap. The crime problem, he noted, is very largely a youth crime problem and to study causation a researcher must delve into the youth world and consider processes such as socialization, environment, and so forth. It may not, therefore, serve any useful purpose to try to draw a sharp line between the research of

SECTION VI

NIJ ADVISORY COMMITTEE

QUESTIONNAIRE

NAME _____

Correlates of Crime and Determinants of Criminal Behavior

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Violent Crime

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Utilization and Deployment of Police Resources

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Delay Reduction and Consistency

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Sentencing

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Career Criminal

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Community Crime Prevention

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

Performance Standards and Measures

1. How relevant and important is the priority area? Does it reflect present issues in the field?
2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?
3. Do the activities or plans for FY 1980 appear to represent a logical progression?
4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

NAME _____

General Deterence

1. How relevant and important is the priority area? Does it reflect present issues in the field?

2. Does the priority statement contain clear objectives? Does it encompass too much? too little? What other activities, if any, should be considered?

3. Do the activities or plans for FY 1980 appear to represent a logical progression?

4. Please include any questions you may have regarding the priority statement or additional comments you feel are relevant to this review?

END