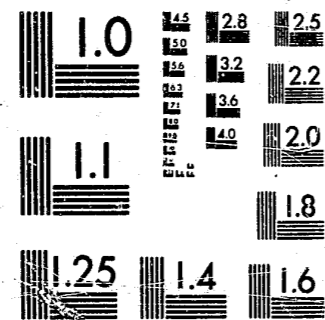


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**Criminal
Justice
Research**

Annual Report

November 1980

**U.S. Department of Justice
National Institute of Justice**

Letter of Transmittal

To the Congress of the United States:

It is my pleasure to submit this annual report on criminal justice research, development, and evaluation, the sixth and final annual summary prepared under the Crime Control Act of 1973, as amended.

This report covers an agency in transition. The Justice System Improvement Act, signed into law in December 1979, created a new National Institute of Justice, which assumed the functions of the former National Institute of Law Enforcement and Criminal Justice, as well as new responsibilities assigned to it by the Congress.

A brief review of the FY 1979 activities of the former National Institute was submitted as part of the Law Enforcement Assistance Administration's annual report. To give a fuller accounting of the concluding year of the first major Federal program for research on crime and justice, this report covers activities of the National Institute through January 1980.

The findings highlighted in this report represent increments of knowledge that will help shape the agenda for the new National Institute of Justice as it charts research responsive to the needs of the justice system in the 1980's.

Respectfully submitted,

Harry M. Bratt
Acting Director
National Institute of Justice

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New Directions for Justice Research

In 1979, research on crime and justice reached a new threshold. The first decade of Federal support for justice research had ended, yielding a body of findings that often challenged long-held assumptions, questioned time-honored practices, and brought into sharper focus many of the critical issues that will face the justice system in the 1980's and beyond. Early optimism about quick solutions to the crime problem had given way to a realistic appreciation of the obstacles that hinder efforts to understand and control criminal behavior.

A New Structure for Research. By the end of 1979, Congress affirmed that the search for answers to the many difficult questions about crime control must continue. With the passage of the Justice System Improvement Act of 1979, Congress created a new structure for research in the expectation that basic scientific inquiry and applied research and evaluation will continue to produce increments of knowledge that are useful or promise to have the potential for informing social policies relating to crime and justice.

The new legislation restructured the National Institute of Law Enforcement and Criminal Justice and gave it a new name to reflect its broadened responsibilities: the National Institute of Justice.

Congress directed the National Institute of Justice to:

- Sponsor research and development to improve and strengthen the criminal justice system and related civil justice aspects with a balanced program of basic and applied research.
- Evaluate the effectiveness of Federally-funded justice improvement programs and identify programs that promise to be successful if continued or repeated.
- Test and demonstrate new and improved approaches to strengthen the justice system, and recommend actions that can be taken by Federal, State, and local governments and private organizations and individuals to achieve this goal.
- Disseminate information from research, demonstrations, evaluations, and special programs to Federal, State, and local governments, and serve as an international clearinghouse of justice information.
- Train criminal justice practitioners in research and evaluation findings, and assist the research community through fellowships and special seminars.

Congress vested authority for administering the new Institute and awarding grants, contracts and cooperative agreements in the NIJ Director. A 21-member Advisory Board appointed by the President will recommend policies and priorities to NIJ and advise on peer review procedures.

Shaping a New Program. The legacy of the former National Institute represents a foundation for NIJ to build on. The research agenda and management structure in place will serve as a starting point for the new agency as it begins its expanded mission.

Setting Priorities. As noted above, NIJ planning will benefit from the counsel of a Presidentially-appointed Advisory Board, broadly representative of the various constituencies the program serves—State and local governments, criminal justice practitioners, researchers, community groups, and the general public. Currently, the NIJ long-range agenda includes these priorities:

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

Functions of the Institute. To discover, to develop, to evaluate, and to inform—these remain the basic aims of justice research as it enters a new phase. Organizationally, these functions are carried out by four offices:

The Office of Research Programs, which sponsors basic and applied research through its five divisions: The Center for the Study of the Correlates of Crime and Determinants of Criminal Behavior, Community Crime Prevention, Police, Adjudication and Corrections. Research solicitations issued by the Office may be quite specific or may indicate broad areas of interest, thus allowing the research community to articulate precise topics for study.

The Office of Research and Evaluation Methods, which administers methodological research and development projects focusing on measurement problems in justice research and evaluation.

The Office of Program Evaluation, which sponsors evaluations of national justice improvement programs, State and local crime control initiatives, and Institute-sponsored field tests.

The Office of Development, Testing, and Dissemination, which applies research results in the field and recommends promising approaches through the development of program models and the design and conduct of field tests. The Office also assesses the technological needs of justice agencies, and develops standards for key items of equipment. Findings from research, development, testing, and evaluation are disseminated by the Office to appropriate audiences through a variety of vehicles including training and information-sharing workshops, an international clearinghouse of justice information, and a range of publications.

Special Programs. Among the chief aims of a research institute in any field of inquiry are to expand the pool of skilled researchers in the field and to create vehicles for tapping the creative potential of a variety of research disciplines. Over the years, several special programs have been created to help achieve those aims:

The Unsolicited Research Program opens the Institute to creative ideas and approaches generated by researchers in the field of justice research and by those from other disciplines who may be new to the field. The Unsolicited Research Program helps ensure that individualized approaches of merit are not overlooked. The types of research supported include:

- Relatively small research projects for which there are few alternative funding mechanisms;
- Projects conducted by qualified researchers relatively new to the criminal justice field;
- Research projects with innovative methodological approaches to criminal justice problems;
- Basic or applied research on interdisciplinary subject areas relevant to criminal justice;
- Exploratory studies in criminal justice areas in which there has been little previous work; and
- Research aimed at developing practical applications to criminal justice problems.

Among the FY 1979 awards for unsolicited research are a study of the origin and development of corrections systems for women, an assessment of the effects of California's determinate sentencing law, and an examination of the re-

lationships between juvenile and adult crime and neighborhood deterioration in a selected urban area.

New talent for the field is fostered through **Graduate Research Fellowships.** Each year, a limited number of fellowships are awarded to doctoral candidates through sponsoring universities. The fellowships support students engaged in writing doctoral dissertations on topics related to crime and justice.

Established individual scholars are crucial to a research enterprise, both for the work they perform and the perspective they can bring to those charged with research administration. The **Visiting Fellowship Program** is an instrument for supporting productive work by recognized scholars at the Institute's headquarters and for creating opportunities for dialogue between highly competent researchers and staff.

Under the program, scholars work on projects of their own design for periods of 3 to 15 months. The emphasis is on innovative approaches for tackling important questions about crime. In 1979 three scholars were awarded Visiting Fellowships:

Samuel Krislov, Professor and Chairman of the Political Science Department and Adjunct Professor of Law at the University of Minnesota. Dr. Krislov will assemble the numerous studies on the adjudication process to derive a new picture of what the courts, as an institution, actually do.

Samuel L. Myers, Jr., Assistant Professor of Economics at

the University of Texas at Austin. Dr. Myers will study the relationship between employment opportunities and crime to learn more about the circumstances that lead individuals to choose one or the other.

Thomas J. Pavlak, Associate Professor of Public and International Affairs at the University of Pittsburgh. Dr. Pavlak will investigate cases of parole revocation in the light of recent State legislation and court decisions aimed at safeguarding parole procedures.

Organization of this Report. This report reviews some of the major contributions of Institute-sponsored studies and programs in 1979. The narrative portion of the report reflects the emphasis on the long-range priorities, with chapters reporting on progress being made in these broad areas. Activities in the priority areas often involve the work of more than one division or office, but each chapter notes the Office or Division primarily responsible for the subject area. Brief summaries also are included of studies that are outside the priority areas but deal with important issues facing the justice system.

The central mission of the Institute is research. Closely allied to it, however, are the legislatively-mandated functions of evaluation, and testing, development, and dissemination. Highlights of these activities are treated in separate chapters.

The appendix lists all grants and contracts awarded by the Institute in FY 1979. It also includes a chart showing how program funds were allocated and a chart on organization. A list of Institute staff appears on the inside back cover.

Crime is the product of many factors. Unemployment, poverty, illiteracy, racial discrimination, drug and alcohol abuse—these are but a few of the pervasive problems research has linked to criminal behavior. Because such problems are rooted in intractable and poorly understood social forces, agencies of the law are inherently limited in controlling criminal activity.

Crime control, as scholars and commissions have noted for more than half a century, is the responsibility of society as a whole. Social control policies that worked in earlier times, however, often have proven inadequate to the pressures of contemporary conditions. Development of social policies that promise greater effectiveness in the coming years requires that we advance our understanding of how an array of factors interrelate to produce criminal behavior in some people but not in others.

Research that explores such complexities obviously is difficult to perform, and answers do not come quickly. In 1977, the Institute broadened its existing program of research on criminal behavior. The long-range agenda developed that year targeted for study the correlates of crime and determinants of criminal behavior. To create an organizational focus for the priority work, a Center for the Study of the Correlates of Crime and Determinants of Criminal Behavior was created within the Institute's Office of Research Programs. The Center also supports studies on two other long-range priorities—career criminals and violent crime.

Longitudinal Studies. Examining so complex a subject as criminal behavior necessarily requires that many kinds of data covering many years be accumulated and analyzed to track behavioral changes in groups of individuals. Such longitudinal studies are time-consuming and expensive. One way to trim costs is to use existing longitudinal data amassed by researchers in other fields. Recently, the Institute took advantage of opportunities to examine existing longitudinal sources for data useful in studying criminal behavior.

Extensive national perinatal data had been accumulated under an earlier program sponsored by the National Institutes of Health. In 1978, the Institute awarded funds to the University of Pennsylvania to enable researchers to add more information to the Philadelphia sample, which includes psychological, biological, and social data on some 10,000 subjects born between 1959 and 1965. Researchers will compile school data and information on contacts with

the criminal justice system. They will analyze the data for relationships between recent experiences of individuals in the sample and such factors as early neglect or developmental problems recorded during the first 7 years of their lives. By the end of 1979, school and arrest records for the two oldest birth cohorts had been matched with the earlier data. Pairing of new and old data on the other three birth cohorts is expected to be completed by the end of 1980.

Under another grant, the University of Southern California last year completed a survey to identify other existing longitudinal data bases potentially useful for criminal justice research. The survey yielded more than 500 responses. The grantee is preparing a detailed report on 50 to 60 projects that have large data bases. At this point, approximately six data sets appear to be promising candidates for future Institute research.

A cross-national data base of Danish and American birth cohorts, merged from information gathered originally for two earlier studies, will enable researchers to explore differences between the crime rates of this country and Western Europe. The study will focus on the interaction of social factors relating to criminality.

External Research Centers. The nature of the study of criminal behavior also requires an environment conducive to multidisciplinary research and continuity of support. Since 1975, the Institute has worked to create such an environment through research agreements that link the Institute to established centers in universities and private organizations or that provide funds to create new centers for broad independent inquiries into some of the perplexing issues surrounding criminal behavior. Capable of drawing upon the skills of highly qualified people from many disciplines, the centers offer the potential for becoming, in time, recognized reservoirs of knowledge on concerns of crucial importance.

Among the topics now being pursued or scheduled for study are the following:

Unemployment and Crime. For several years, the Vera Institute of Justice in New York City has been studying links between unemployment and crime under a research agreement with the Institute. Augmenting their intensive review of available evidence on the subject, researchers also interviewed high-risk youth as well as seasoned offenders in New York City. Findings from these preliminary efforts,

although highly tentative, raise questions about the widely-held view that increases in crime parallel rises in unemployment and that employment is a solution to the crime problem.

An initial survey of 60 inmates of Rikers Island interviewed shortly before and then at least once after their release revealed some insights into why they chose work or crime. For many, legitimate work and crime were separate choices—they worked or committed crimes but not at the same time. For others in the sample, however, work went hand-in-hand with crime. Often a job was used to expand or enhance criminal activities. Some used work as a cover—for example, a bogus bicycle shop was a front for a numbers scheme. Others in the group worked to pay for drugs or to widen their network of illegal activities. A third group had given up on work entirely, devoting themselves strictly to crime and its real—or imagined—benefits. Some of this group felt that work was humdrum and not well-respected by their peers. Moreover, they saw themselves playing grand roles in crime, even though their actual criminal activities may have been as routine as their former jobs.

In another survey, Vera's researchers interviewed a small sample of inner-city youth living in neighborhoods with high crime levels and few opportunities for employment. This "high risk" group typically weighed the benefits of crime versus employment, choosing whichever source of income seemed to promise the better payoff. Matching the younger offenders to the Rikers' sample, researchers then constructed a model of the various phases through which offenders may pass: Early on, crime offers more visible and more readily attainable sources of income for some "high risk" youth. Somewhat later, they tend to alternate between crime and employment, working when the risks of getting caught seem too great, or "doing crime" when frustrated with a low-paying job. Still later, some may "mature out" of crime as they form family ties that compel conformity to a "straight life."

The Vera Institute's preliminary work has helped sharpen our understanding of the complex relationships between crime and unemployment. Obviously, the offenders who preferred crime to working or who worked and committed crime simultaneously did not enter into or continue crime because they were unemployed. For such offenders, prevailing notions about the jobless being forced into crime or employment as a preventive measure do not appear to hold up under scrutiny. Such assumptions appear to over-

simplify reality and apply perhaps to some but clearly not all types of offenders. Because of the relatively small samples and exploratory nature of the research done by the Vera Institute so far, however, firm conclusions about these relationships cannot yet be drawn. Questions about the reasons for shifting between jobs and crime remain, and untangling motives in work/crime patterns requires further probing. During the next few years, the Vera Institute will interview criminal defendants as well as employers of "high risk" populations, develop socioeconomic profiles of selected New York neighborhoods, and use these data to help clarify relationships between work and crime.

Citizens' Reactions to Crime. Early in 1980, another long-term study was nearing completion. Researchers at Northwestern University's Center for Urban Affairs explored citizens' reactions to crime problems, collecting extensive data from residents in 12 neighborhoods in San Francisco, Chicago, and Philadelphia. Collectively the neighborhoods are a cross-section of urban America: a mix of races and income levels, of long-term residents and transients, of home-owners and apartment dwellers, the elderly, the single, and large families.

First, Northwestern looked at actual crime rates and compared them with the residents' perceptions of crime. The researchers concentrated on the rates for personal theft (robbery, purse snatching), aggravated assault, burglary, and rape in the three cities since these crimes were found to provoke the greatest fear among residents.

Most citizens surveyed felt that women and the elderly are the typical victims of crime—usually violent crime. But this view contradicts the statistical picture of crime, which shows that both these groups tend to have lower victimization rates than other groups such as young men. Not surprisingly, women and the elderly were found to be more afraid of crime than other groups, with those over 60 expressing the greatest fear.

What influences people's perceptions of crime? Northwestern found that "vicarious contact" with crime plays a key role. Quite simply, people hear about crime, and talk about it, far out of proportion to its incidence, with violent crime engaging people's attention more than any other. Northwestern reported that fully 95 percent of those who could recall the details of a crime committed in the past week or two recounted a violent or potentially violent incident.

Other sources of information about crime also were studied. Northwestern analyzed stories on crime in the daily newspapers of three cities. They discovered that most reports portrayed violent incidents, and most victims matched the popular images of the typical victims—women and the elderly. But researchers could not isolate the media's impact from other influences such as conversations with friends and neighbors. Whatever the sources, "the message is violence," Northwestern reports.

To what degree did residents try to do something about crime? As individuals a good many of them took precautions such as avoiding going out after dark or staying away from poorly-lighted areas. Fully 67 percent of Northwestern's survey took such measures, and many looked out for their neighbors as well by keeping an eye on their homes when they were away. As members of a community, fewer citizens participated in programs organized by neighborhood groups, and even fewer—about 10 percent—were actively involved in neighborhood associations.

Problems of crime are not the sole catalyst for neighborhood action, the researchers found. Criminal activity is only one of the reasons for forming community groups, along with other signs of neighborhood decline—deteriorating residences, or abandoned buildings where derelicts may sleep or areas where kids loiter or deal drugs. Nor are all crime prevention programs identical; their activities take different forms depending on the make-up of the neighborhood. Homogeneous, long-established, tightly-knit communities tend to prefer vocational or recreational programs for neighborhood youngsters, whereas heterogeneous communities with a higher transient population emphasize programs for property protection—such as block watch activities and operation identification. These factors, Northwestern researchers believe, deserve attention by policymakers, planners, and implementers of crime prevention programs.

Econometric Studies of Justice. The Institute's research agreement with the Hoover Institution taps the tools of another discipline—economics—and applies them to policy problems facing the justice system. In supporting creation of the Center for Econometric Studies of the Justice System, the Institute sought to exploit the potential of the relatively new but developing application of econometrics to the analysis of crime rates and criminal behavior. Studies supported by the Center fall into four categories: methodological issues, deterrence and related issues, the

costs of crime control, and special topics. Several papers prepared by the Hoover researchers have been published in books or journals. Now in preparation is a two-volume work on the Hoover research, covering "Deterrence: An Economic Perspective" and "The Costs of Crime and Crime Control."

Any tally of the price of crime must include a myriad of costs both direct and indirect. Criminal justice expenditures are obvious direct costs, but capturing all these system costs can be difficult. Researchers at the Hoover Center for Econometric Studies have attempted to develop and improve techniques for estimating the costs of justice system services.

Hoover researchers, for example, used data from the California superior court system for 1974-1976 to estimate the costs of adjudication. Not surprisingly, there is a large difference in costs between obtaining a guilty plea from a defendant and completion of a trial. The researchers reported, however, that there appeared to be no difference in cost between jury and non-jury trials, suggesting that efforts to limit the use of juries may not produce very great reductions in court costs. Similar studies have looked at law enforcement costs, and an analysis of costs of corrections is nearing conclusion.

The final report of the Hoover research is expected to look beyond the costs of justice services to explore a variety of other social costs of crime. Using the econometric approach researchers will place a value on the benefits of crime control by estimating the costs of crimes that are averted. This will require investigation of precisely how the costs of crime are to be measured, including estimates of the social costs of crime.

White Collar Crime. At Yale University, Institute funds have supported a center that concentrates on the study of white collar crime. One of the primary aims of the Yale center is to advance the conceptual understanding of white collar crime. To that end, Yale published a report entitled, "Thinking about White Collar Crime," one of several reports that will emanate from the center. The paper sets forth various conceptual frameworks for getting a more precise grasp of the loosely defined, catch-all term of white collar crime.

Other Yale studies are examining differences in the way Federal prosecutors handle cases involving white collar crime compared to the way they deal with street crimes, the

factors governing judicial decisions in sentencing each type of offender, and the range of sentences given at the Federal level to white collar criminals. Another study analyzes enforcement practices of the Securities and Exchange Commission.

Career Criminals. The research agreement with the Rand Corporation has supported a multi-year study of criminal careers, now in its final phase. Researchers at Rand compiled a wealth of data on career criminals from both official records and from reports made by offenders themselves. Intensive surveys of samples of inmates in California have enabled Rand to profile the habitual offender as distinguished from the occasional offender. Research findings to date tend to corroborate the view that a relatively small percentage of offenders account for a disproportionate share of the crime. Interviews with 624 felons in 5 California State prisons, for example, showed that 8 percent committed more than 60 crimes each year in the 3 years before their imprisonment. More than half of those studied committed less than three crimes per year in the same period.

Rand is using the California data as well as information collected on prisoners in Michigan and Texas to assess the costs and crime reduction benefits of various imprisonment policies. Among the organization's other studies is an examination of statutes and policies governing use of juvenile records in adult proceedings, an analysis of offenders who participate in correctional programs in prisons, and an assessment of California's new determinate sentencing law.

Violent Crime. The newest external research center created by the Institute has begun study of a form of criminal behavior that arouses enormous public concern—violent crime. Under a 1978 research agreement, a Center for the Interdisciplinary Study of Violent Crime has been established at the University of Pennsylvania. Directed by Dr. Marvin Wolfgang, the Center will conduct research on the correlates, causes, and control of criminal violence. During the first 2 years of the project, the Center will survey the literature on violence and analyze extensive data on several large birth cohorts. These efforts will help pinpoint gaps in knowledge about criminal violence so that future research plans can be carefully charted.

Future Directions. In FY 1980, NIJ funded additional centers, including a Center for the Study of Race, Crime, and Social Policy and a Center for Research on the Relations of Drugs and Alcohol to Crime. Both of these

programs will carry forward earlier research sponsored by the Institute.

Race and Crime. Support for a Center on Race, Crime and Social Policy builds on earlier Institute efforts to focus on topics of special concern to minorities and to construct a coherent foundation for future research. There is no lack of theories purporting to explain why minority communities are most heavily victimized by crime and why minority group members are caught up in the criminal justice process in numbers that exceed their representation in the general population. Despite the obvious importance of the topic, however, it has not been studied thoroughly.

Last year the Institute awarded a grant to the National Urban League to begin such work. By the end of 1979, the League was completing two bibliographies—one a catalog of research on the relations of minorities to crime and the criminal justice system and the other an annotated bibliography on criminal justice research conducted by minorities. In addition, the League was synthesizing the studies compiled for the first bibliography and developing topics for future research. These topics were slated for discussion at a November 1980 colloquium. To a large degree, the papers prepared for the colloquium will be written by minorities from the academic field, the criminal justice system, and community groups. Collectively, the authors represent a pool of expert talent to articulate community and criminal justice issues from a minority perspective.

The papers commissioned for the meeting also will contribute to a research project Atlanta University is conducting under a 1979 Institute grant. The study is exploring the relationships between crime and such social

factors as employment, education, family structure, and community services. Black neighborhoods in Atlanta, Washington, D.C., and Philadelphia are the sites for the study.

Drugs and Alcohol and Crime. In 1976, Congress mandated the Institute to collaborate with the National Institute on Drug Abuse (NIDA) in studying the links between drug abuse and crime and evaluating drug treatment. Among the studies growing out of the collaboration is the Treatment Outcomes Prospective Study, funded both by NIDA and the National Institute. The study tracks a large representative sample of drug abusers enrolled in NIDA treatment programs and in LEAA's Treatment Alternatives to Street Crime (TASC) programs. Data on clients' histories and their involvement with the criminal justice system both during and after treatment are being gathered and analyzed. The data bank developed by the study promises to be a rich resource for continuing research on the links between drug abuse and crime.

Another collaborative effort with NIDA begun in 1978 is comparing a group of drug-addicted offenders to a non-addicted group of criminals. The aim is to uncover relationships between patterns of drug abuse and different types of crime as well as other forms of economic behavior by the offenders studied.

Results from these earlier efforts will help lay the groundwork for the future Center on the Relations of Drugs and Alcohol to Crime. Planning grants were awarded to the Research Triangle Institute to recommend research agendas in these areas. Research recommendations that emerge from the grants are being used by the Institute to set the stage for the Center's work on these topics in the future.

Preventing Crime: A Focus on the Community



Criminal justice institutions remain the primary agents of society's official response to crime. But, as Chapter 1 notes, these agencies are inherently limited in controlling criminal activity. Their successes often turn on the actions of individuals—citizens who take precautions against crime, report promptly when crimes do occur, provide information that can identify suspects, and serve as witnesses in criminal trials. Their failures often stem from conditions in the community at large which the justice system is powerless to control.

Recent Institute research underscores the importance of viewing crime in context: as part of the social and economic environment of the community. Viewed from this perspective, crime is seen as one of a number of factors that threaten the social order of the community. A neighborhood plagued by crime also is likely to have abandoned buildings or vacant areas littered with rubbish. All these signs of disorder point to the deteriorating condition of the community. And residents' fears for their own security may be prompted more by the declining health of the area than by actual crime rates.

Institute research on community crime prevention—a long-range priority—focuses on a comprehensive view of crime prevention since no single strategy can adequately address the complexities of community crime problems. Responsibility for the priority rests primarily with the Community Crime Prevention Division, although more basic research related to the topic has been sponsored by the Center for the Study of Crime Correlates and Determinants of Criminal Behavior, as reported in Chapter 2.

A common thread that runs through recent research on community crime prevention is the importance of the personal and social control exerted by citizens—both individually and collectively—in helping to maintain order and preserve the quality of life in communities. The findings that are emerging help pinpoint the societal and environmental factors that shape these informal social controls as they operate at various levels of community life—within apartment buildings, for example, or blocks or groups of blocks, or neighborhoods.

The Influence of the Environment. Much of the Institute's early work on crime and the environment was conducted by Oscar Newman, architect and urban planner, in public housing projects. Out of his research came the concept of "defensible space" which emphasized the importance of the environment in creating a heightened sense of territorial

concern by residents, coupled with increased opportunities for casual, natural surveillance of the building or neighborhood.

Drawing upon these studies as well as other research on the environment, the Institute began several field applications in 1973. Demonstrations were staged in residential, commercial, and school settings, implementing a variety of crime prevention strategies. In all of the field experiments, the defensible space concept was applied by changing the physical environment in ways conducive to enhancing security or a feeling of control. In some of the experiments, the physical changes were implemented in tandem with innovative police strategies and special programs by citizen and business groups.

The Hartford Experiment. Hartford, Connecticut, served as a site for a residential experiment. The city reconstructed critical streets as cul-de-sacs, narrowed others, and re-routed traffic to designated "through" streets, helping to restore the residential character of a neighborhood that had become an impersonal commuter passageway. In concert with the physical changes, local community organizations launched such crime prevention activities as watching each other's houses and patrolling neighborhood streets. The Hartford police department also contributed to the program by adopting a form of neighborhood team policing in the target area and working closely with residents on specific community concerns about crime.

Shortly after all the changes were installed, the Institute sponsored an evaluation of the Hartford experiment. The initial findings were promising: burglary in the target area had decreased by 42 percent and street robberies dropped by 27 percent. Fear of these crimes declined as well. Residents had made greater use of the neighborhood streets and parks and had established closer ties with their neighbors.

To learn whether these effects would persist, the Institute funded another assessment in 1979. Evaluators at the University of Massachusetts' Center for Survey Research report that the character of the experiment is different now, making it difficult, if not impossible, to attribute the latest findings to the original experimental design. For example, Hartford police have curtailed their team approach. And the community groups, which now have a program budget and a paid staff, have expanded their activities. Today, they operate a battery of programs for dealing with neighborhood problems, unlike the more informal community block

watch activities of before. However, the street redesigns remain intact.

The latest evaluation is not yet completed, but the preliminary findings suggest that the Hartford residents feel just as positively toward their neighborhood as they did during the earlier evaluation—perhaps even more so. Generally, they feel that crime is not the problem it was before the program, they believe their neighbors are now willing to help each other out and—for the first time—they believe the area is a better place to live.

Based on a survey of the residents, the evaluators report that burglary and robbery rates increased significantly during the 1-year period of the evaluation although not to the levels that prevailed before the program. At this early juncture, the researchers are seeking explanations for the increases, speculating that more people might be reporting crime or more offenders living in adjacent areas are committing crimes in the neighborhood. Despite the apparent rise in crime rates, however, the residents do not view crime as a serious problem. In explaining this apparent anomaly, the evaluators noted that people's fears of crime are influenced by their attitudes about their neighborhood. In short, people may know that crimes are committed in their neighborhood, but they may not be afraid of crime or view it as a serious problem unless there is a feeling of insecurity or disorder, of things being out of control in their neighborhood.

Crime Prevention Through Environmental Design. Evaluations of other Institute projects applying the environmental design approach also have been done. A commercial experiment in Portland, Oregon, and a school demonstration in Broward County, Florida, were both reported to be moderately successful in implementing the design principles and lowering crime and fear. In Portland, for example, the rate of commercial burglary was 48 percent lower in the 20 months following implementation of the environmental design strategies. Residential burglary also dropped in areas where residents adopted preventive techniques. But the changes in the physical setting, while enhancing opportunities for surveillance, did not seem to act as a catalyst for bringing residents together. Because the initial evaluation was conducted only 1 year after most—but not all—the changes had been installed, the Institute funded a follow-up assessment last year.

At this preliminary stage, evaluators have surveyed the Portland business owners but have yet to canvass neighbor-

hood residents or to collect data on crime rates. The storekeepers felt that the physical appearance of the area had improved although residents still limited their use of the area. They also believed that the economic quality of life had declined, a view that evaluators attribute to the health of the economy generally rather than to any effects of the program itself.

Defensible Space. In the field experiments involving the defensible space theory, the physical environment has been redesigned to make it more conducive to natural surveillance or to enhancing the inhabitants' feeling of control over the environment. Other Institute research has tested the theory where existing settings remain intact.

Building on his original research, Oscar Newman tested his defensible space theory in more than 60 Federally-assisted housing sites in Newark, St. Louis, and San Francisco, collecting data for a variety of housing modes—specifically row houses, low-rise walk-ups, and high-rise buildings.

A tenet of Newman's theory, heretofore untested, holds that high-rise buildings are easier targets for crime than other housing modes and, in turn, engender greater fears of crime among the residents. These problems are thought to stem from the unique features of high-rise buildings—single, large entryways and long, impersonal hallways which inhibit people from frequenting the common areas and exerting personal control over their environment. By contrast, residents of low-rises or row houses should be less vulnerable to crime—and less afraid of crime—the theory holds, because of the greater sense of security and familiarity afforded by fewer families sharing the entryways, inviting freer use of the common areas and a heightened sense of responsibility and control by tenants.

The findings of the study tended to confirm Newman's theory, with implications pertinent to Federal housing policy. High-rise dwellers suffered greater fears of crime than the residents of other types of housing. They also had greater turnover and vacancy rates—an indicator of the instability of the living environment. Another important factor was the accessibility of the building to outsiders. As measured by the vulnerability of the structure and the ease of surveillance, the accessibility of the building affected turnover and vacancies as well as burglary rates.

The study also took into account the residents' "defensive" use of their environment—the extent to which they frequented the common areas and believed their neighbors

would intervene on their behalf in a suspicious or criminal act. Here again, the size of the building was influential and the findings tended to support the defensible space theory. High-rise dwellers felt less able to exert control over their environment than residents of other housing modes. They also suffered greater fears of crime and experienced higher rates of burglaries and personal crimes as well. But even though the type of building influenced the residents' sense of control and, in turn, the crime rates, the size of the housing structure was not the strongest correlate of crime. The ratio of teenagers to adults in a building was found to influence crime rates more profoundly than the type of dwelling.

The study addressed many of its recommendations to housing officials. In doing so, the practical constraints on short-term solutions were acknowledged. Obviously, not much can be done about an existing high-rise, for example, other than installing corrective measures to improve its security. Significant improvements will come only by adopting housing policies for the future that use the knowledge gained about the relationship between physical design and crime.

Neighborhood Control. Early research dating from the 1920's and the work of the "Chicago School" of social ecology devised a theory about crime by documenting the crime rates of a number of Chicago neighborhoods. Crime was higher in neighborhoods close to the central business district, the researchers found, and decreased from the center of downtown in a gradually outward circle. Although highly influential for a decade or two, this and similar research could never prove whether crime was a cause or effect in the downward spiral of neighborhood decay. More recently, the theory has been further weakened by contradictory findings: some neighborhoods have low crime rates despite their proximity to high-crime areas. Last year, the Institute funded two projects to probe this phenomenon.

Although programs to conserve neighborhoods typically make appeals to the "solid" long-standing residents, few studies have explored how people's perceptions of crime and their views of a neighborhood may affect their personal commitment to the area. Under Institute auspices, the Research Triangle Institute is exploring the process by which residents are able to exert a hold on their neighborhood and maintain its security despite high crime levels in adjacent areas. The study will select three pairs of neighborhoods in Atlanta, Georgia, matching each pair by their

proximity, similar socio-economic characteristics, and their differing crime rates.

The other study grows out of a FY 1978 grant to the National Opinion Research Center to study the extent to which conditions such as racial change, the physical appearance of an area, and perceptions of crime affect the residents' commitment to or abandonment of a neighborhood. In their study of eight Chicago communities, the Center has identified several smaller areas that have lower crime rates than the larger neighborhoods they are part of. These smaller areas are the focus of a 1979 grant awarded to the Center. Examining the physical and social characteristics of the areas, the study will determine how residents come to identify and form attachments to an area, and in turn, to develop a sense of social solidarity. Community solidarity, the study hypothesizes, motivates residents to exercise the control necessary to hold down crime levels.

Crimes of Special Concern. Public concern about specific crimes has guided the Institute in sponsoring other research related to community crime prevention. Generally, these studies have focused on crimes that have far-reaching effects, either because they provoke a great deal of fear—such as violent crime—or because they have a major economic impact—such as white collar crime or organized crime.

Violent Crime. Basic, longitudinal research on violent crime is being pursued by the new Center for the Interdisciplinary Study of Criminal Violence, established with Institute funds at the University of Pennsylvania, as discussed in Chapter 1. Other Institute initiatives included a 1979 symposium on violent crime and the violent offender, which brought together experts in the medical and social science fields to discuss the treatment of the violent offender as well as techniques for measuring and predicting violence.

The **crime of homicide** is the specific topic of a 1979 grant awarded to Southern Illinois University. This study on the nature and patterns of homicide will synthesize the available literature on the subject and examine data from across the nation. Among the sources of information for the study will be the FBI's Uniform Crime Reports, the "Vital Statistics" reports of the Public Health Service, and data from a representative sample of U.S. cities. The Institute envisions this broadly-based effort as the beginning of a more intensive study on homicide in the coming years.

Another 1979 grant will support a study of **weapons and violent crime** by the University of Massachusetts. In addition to a literature survey, the study is collecting data from selected police departments and several courts on cases involving weapons to analyze patterns of law enforcement, investigation, processing, and sentencing.

The Institute also awarded funds in 1979 for a study of **collective disorders**. The three-stage project will produce a state-of-the-art report on issues related to collective disorders; collect data at the national level and also in one pilot city on the nature and causes of collective disorders and official prevention and control strategies; and devise an agenda for future basic and policy-oriented research on collective violence. Two other studies pertaining to the priority research on violence are mentioned elsewhere in this report. These are the study on the disposition of cases involving violence among family members and acquaintances sponsored by the Adjudication Division and discussed in Chapter 5, and the study of police use of deadly force, supported by the Police Division and reviewed in Chapter 4.

FY 1979 funds also were awarded for a study of how communities deal with the **crime of arson**. In addition to gathering such data as rates of arrest, the research will examine factors such as the organizational arrangements for preventing and investigating fires and the effects of arson laws. This research complements the Program Model on arson, described in Chapter 9, which was published last year by the Institute's Office of Development, Testing and Dissemination.

White Collar Crime. Long a topic of interest to the Institute, white collar crime research has accelerated in the past 3 years, coinciding with the designation of the topic "as an investigative priority" by the Justice Department. Last year, studies were completed on **fraud and abuse in government benefit programs, employee theft, and corporate crime**. A new project funded last year is examining the **sources of data on white collar crime**. To plan for the future, the Institute commissioned papers to identify the most pressing issues for future research.

A state-of-the-art study of **fraud and abuse in government benefit programs** assessed prevailing enforcement efforts for safeguarding the dispersal of government benefits. Information was collected on 15 of the larger programs including Medicaid, food stamps, unemployment

insurance, vocational education, and Aid to Families with Dependent Children. Researchers interviewed more than 130 State and local program officials charged with responsibility for locating and detecting misuse of government benefits. They also surveyed the States' Attorneys General to learn about the prosecution of violators.

Instances of stretching or bending the rules for eligibility are probably far more common than cases of outright fraud, the study found. Even so, the extent of either misuse or illegal use of public monies proved impossible to gauge because data on violations is seldom collected. From surveys of officials and available records, the study concluded that staff training programs on eligibility rules are helpful for curbing fraudulent or abusive practices. In addition, the study tentatively concluded that the ratio of caseload to staff size also is significant. The greater the assigned caseload, the higher the likelihood that public monies will be dispensed illegally or improperly.

On an encouraging note, the study reported that government officials have begun to realign their priorities in the past 5 years, moving from a philosophy of "delivery-at-all costs" to a more active role of combatting losses. Some jurisdictions are even developing civil remedies where existing criminal statutes prove inadequate.

Nevertheless, problems remain. Authorizing legislation may be vague, defining program beneficiaries simply as the "economically and socially disadvantaged." In such cases, prosecutors may have difficulty proving a beneficiary was ineligible. In addition, program administrators may be reluctant to step up enforcement when requests for more funds to combat losses might be construed by legislators as an admission of poor program administration. The study concludes by calling for improved legislation to tighten vague statutory language and to install other statutory measures for encouraging vigorous enforcement efforts. Program administrators should review and improve existing procedures, the study recommends, and enforcement officials should take a "broader view of their responsibilities."

A report published last year on **Illegal Corporate Behavior** produced some significant findings as well as a methodology that represents an innovative contribution and stimulus to future research on white collar crime.

The project concentrated on an empirical investigation of the 582 largest publicly-owned corporations in the United

States. The major focus was on large manufacturing corporations.

Data covered all enforcement actions initiated or imposed by 24 Federal agencies during 1975 and 1976, revealing for the first time the wide range of types of corporate violations and actions initiated and imposed by government agencies. Violations were ranked as serious, moderate and minor. Reporting violations, such as paperwork and similar violations of administrative law generally were considered minor. Other types of infractions of administrative law or violations of civil or criminal laws were considered serious or moderate, depending upon their nature. Among the study's findings:

- More than 40 percent of the manufacturing corporations engaged in repeated violations. About one-fourth had two or more serious or moderate violations.
- The motor vehicle, drug and oil refining industries accounted for almost one-half of all violations, and 4 out of every 10 serious or moderate violations.
- Over 60 percent of the corporations in this study had at least one enforcement action completed against them in 1975 and 1976. These corporations averaged 4.2 enforcement actions.
- There were twice as many warnings used as compared to any other sanction type. Monetary penalties and orders were used more often than injunctions and, generally, corporations were not subjected to the full force of the legally possible sanctions when they violated the law. Corporate actions that directly harm the economy were more likely to receive the greater penalties, while those affecting consumer product quality were responded to with the least severe sanctions. Although over 85 percent of all sanctions were administrative in nature, those corporate actions harming the economy were most likely to receive criminal penalties.

Because white collar crime is secretive or deceitful in character, research attempts to gauge the magnitude of the crime are inevitably hampered. The paucity of information on the specific white collar crime of **employee theft** testifies to the difficulties faced by researchers. In 1979, the first phase of a study on employee theft was completed under Institute auspices.

Surveys were administered to nearly 5,000 employees in the retail, manufacturing, and hospital sectors of a large mid-western city. From the survey responses and other data, the study estimated that as many as 40 percent of the respondents might have pilfered from their employers at

one time. More precise estimates of the scope of employee theft could not be obtained at this stage, however, partly because self-reports cannot be considered reliable without some way of verifying responses. In addition, the study found that companies do not keep records in such a way that the sources of their losses can be traced easily.

Despite the problems thwarting a full-scale view of the problem, several tentative findings emerged from the early phase of the research. Job dissatisfaction was common among employees who stole from their employers. In addition, the young and unmarried were more likely to steal than older or married workers. Those who were highly concerned about their careers, or training, or financial situation also reported higher incidence of theft. Employee pilfering was less of a problem where management had strictly defined and clearly understood policies. Peer pressure also was a deterrent—but only if exerted informally, the study said, and not as a company policy of rewarding informers.

The next phase of the research will look further into the factors influencing employee theft. In addition, it will attempt to tally the losses from theft and weigh the costs of preventive strategies against the dollar losses.

Organized Crime. Such illegal operations as loan-sharking, numbers, and bookmaking long have been considered the province of organized crime. Last year an Institute study examined these rackets in New York City. The study found that the "little man" not organized crime, was primarily responsible for the three rackets in New York City. Small-time entrepreneurs not only controlled the day-to-day business operations, they reaped most of the profits as well. The Institute followed the inquiry on organized crime beyond these types of racketeering. The second stage of the research will focus on infiltration of organized crime into certain legitimate industries.



Police are the most visible agents of formal social control. As such, public expectations about police performance are high: police are expected to "do something" about rising crime. Often, however, the expectations may be unrealistic, influenced not so much by the reality of policing but by misconceptions that distort or cloud understanding of the police role in crime control.

A clearer view of policing and its effects on crime has begun to emerge in recent years, the product in large part of research and experimentation that has accelerated during the past decade. Indeed, perhaps no part of the justice system has been as "studied" as police. The results in some cases have been provocative. Widely-held and apparently plausible assumptions appear, under scrutiny, to lack solid foundation. Time-honored practices seem questionable. Not surprisingly, however, research often has raised as many questions as it has answered. If the traditional approach has fallen short of its goals, what should replace it? The suggested alternatives remain unproven until they are applied and assessed under controlled conditions.

The Institute has continued its strategy of systematically building knowledge about current police operations and potential alternatives. Priority is given to utilization and deployment of police resources. In addition to the priority program, the Police Division supports studies of police management and of support systems such as the forensic sciences, which play an important role in police work.

Building Knowledge. Certainly, police would not and should not abandon decades-old procedures on the basis of a single experiment. Major policy shifts require an accumulation of evidence that a given practice needs modification. One of the research strategies for compiling and validating such evidence is replication of earlier, significant research projects that produced important findings. Hence, the Institute has supported replications and follow-on studies that examined practices that have been basic to law enforcement for years.

Patrol. The benefits of random patrol by uniformed officers, a mainstay of policing for years, came into question during the past decade. The Kansas City Preventive Patrol Study, conducted by the Police Foundation, was the first to challenge the assumption that traditional patrol prevented crime and made citizens feel safer. Essentially, the experiment found no significant difference between various levels of patrol visibility and rates of crime or citizen satisfaction with police. The study's results are still

the subject of debate, however, and many experts believe that methodological flaws may have affected the validity of some findings.

To gather more precise data on the subject, the Institute awarded funds to Public Systems Evaluation, Inc., of Cambridge, Massachusetts, to conduct a controlled experiment on preventive patrol. The first year of the project will be devoted to constructing an experimental design that meets high methodological standards. Once the design is developed and pilot-tested in St. Louis and Minneapolis, then a full scale experiment is planned.

When the project concludes in 1981, the Institute anticipates that it will yield reliable data on the relationship between police patrol presence and:

- various types of crimes;
- percentage of crimes reported;
- citizen feelings of security;
- citizen satisfaction with police;
- deterrence of crime; and
- displacement of crime to other areas.

"Aggressive" Patrol. Other more recent research has examined approaches to improving the efficacy of patrol. One such study sponsored by the Institute was conducted by James Q. Wilson and Barbara Boland. They examined the effect of police patrol tactics on robbery rates in 35 large American cities. The authors contend that cities with an "aggressive" patrol strategy have a higher arrest rate and lower robbery rate than communities where police follow a more passive approach. In performing their analysis, the researchers selected a measure they believe to be a reliable indicator of aggressiveness: the number of citations for moving traffic violations issued per officer. Departments following an aggressive strategy are likely to have above-average rates of such citations, make more frequent "street stops"—questioning suspicious persons—and employ "decoy" or stakeout procedures in high crime areas.

While there is continuing debate among law enforcement experts on the merits of aggressive versus other styles of patrolling, the study's provocative conclusions do focus attention on a central issue: management of patrol time. As Wilson and Boland note, police may affect crime rates more by what they *do* on patrol rather than how many of them are patrolling.

Split-Force Patrol. In grappling with the issues of effectiveness and productivity, many departments have experi-

mented with "directed" patrol approaches in which specific patrol activities are preplanned and defined by police supervisors and patrol officers. In Wilmington, Delaware, Institute funds supported an experiment with a "split-force" strategy. The city's patrol division was split into two parts:

- A basic force, which responded to complaints and calls for service ranked according to the seriousness of the incident.
- A structured force, which conducted various crime prevention and apprehension activities selected through analysis of crime data and feedback from police personnel.

According to evaluators, the split-force approach helped Wilmington increase patrol productivity. At the conclusion of the Federal experiment, Wilmington police decided to continue the split-force approach.

Managing Demand for Service. Following leads generated by the split-force experience, NIJ awarded a new grant to the Wilmington Police Department, shifting the focus of study to managing demand for services.

Typically the level of demand is accepted as a given. In Wilmington, however, police and researchers explored ways of managing this demand and minimizing reliance on the traditional and costly practice of rapid response to all calls for service. Since most calls are not emergencies—in Wilmington, for example, 95 percent of the calls in a 1-year period were non-critical—project staff hypothesized that: "... judicious use of alternative methods of handling complaints would result in a reduction of the resources necessary to respond to calls for service, without adversely affecting levels of patrol officer utilization or citizen satisfaction. This would in turn free up patrol units that could be put to use in more critical areas."

Preliminary findings suggest the hypothesis may be valid. In Wilmington, the approach has cut the volume of complaints dispatched to the basic patrol unit, permitting the Department to reduce deployment of basic patrol units. When the project began, Wilmington Police operated 27 8-hour patrol units. By using alternatives to traditional response, that number has been reduced to 21.

Evaluators report that the reductions have not impaired the overall effectiveness of the department. Citizen complaints have been minimal. Once again, Wilmington Police opted to continue the experimental program when the Federal grant concluded.

Police Response Systems. The response options now available to police and how they can be organized into an efficient system are the subjects of a study conducted by the Birmingham, Alabama, police department and the Police Executive Research Forum.

The study included a survey of response practices in 175 agencies across the country and an in-depth look at procedures in four cities—Birmingham, Alabama; Peoria, Illinois; Hartford, Connecticut; and San Jose, California. The researchers found widespread use of alternative responses: 80 percent of the 175 agencies surveyed reported using some form of alternative response. These included telephone reports (64 departments take some larceny reports by telephone); walk-in reports (19 agencies require callers to come to police headquarters to report some types of robbery); and reports by appointment (10 agencies schedule appointments for reports of certain bad check or forgery cases).

Use of the new procedures seems to have grown haphazardly, however. None of the departments surveyed appeared to have developed a system for applying the full range of alternative responses to the broad array of calls for service. As the report notes, use of one alternative response is an interesting practice, but it has little impact on a department's operation. A coordinated plan that integrates workable alternatives with the demand for services, however, promises to have a more significant impact on police operations.

Based on their exploratory research, the project developed a model system for matching the appropriate alternative response to specific types of citizen calls. The model includes three elements: a new classification scheme for defining the incident; categories that indicate time of occurrence; and a set of alternative responses.

The model's classification scheme departs from those that now prevail. According to the study, existing systems pigeonhole calls according to legal categories set by State statute or local ordinance. In many cases, however, these categories provide little information about what has actually happened. The new categories are designed to elicit more useful information about the incident and can be tailored to fit local circumstances.

Graphically displayed in chart form, the model can be used as a decisionmaking tool. The dispatcher defines the nature of the call and determines the time that has elapsed since

the incident occurred. These two factors are then used to pinpoint the appropriate response from among a range of possibilities.

Because the model is as yet untested in actual operations, questions about its feasibility cannot be answered conclusively at this point. But the study does shed light on a matter crucial to effective implementation of such a system: the reaction of citizens.

Attitudinal surveys conducted in Birmingham, Alabama, and San Jose, California, revealed surprisingly high levels of public acceptance of alternative responses. Project staff interviewed a random sample of citizens who had called police within the previous 3 months about certain crimes or other complaints. The citizens were asked their receptivity to a variety of alternative responses. The most readily acceptable alternative in both cities (approximately three-fourths of the respondents) was to have a civilian employee of the police department respond. Another acceptable alternative was having the police response delayed up to 30 minutes.

The study notes that the high level of citizen acceptance of alternatives is surprising in view of the fact that no public education about the alternatives existed in either city. Policy changes of this sort should be preceded by efforts to inform the public of the changes being made and the reasons for them. With such an effort, the study concludes, public acceptance of alternative responses would be greater than the survey indicates.

Referral to Other Agencies. In certain cases, the most appropriate alternative response may be referral to another agency. Because police often are the only available service agency on duty round the clock, they cope with a variety of social problems. For several years, Institute-sponsored researchers have been gathering data on these non-crime calls for service and referral practices in three metropolitan areas. The examination has focused on the actions of patrol officers and the extent to which they refer to other agencies citizens they encounter in the course of their duties.

In only 5 percent of more than 5,700 police-citizen encounters did a referral actually occur. Suggested referrals were slightly more common: they occurred in 7 percent of the encounters. Half the referrals made by patrol officers were to internal offices, mostly to units such as the detective bureau rather than to social services such as crisis intervention programs.

The study found that most departments had no articulated policy on referrals, with the exception of those that covered legally-mandated referral, usually of alcoholics. Informal policies, however, were evident. Analysis showed that the likelihood of referral increased when other agencies were represented at the scene of an encounter, perhaps reflecting prior departmental decisions that these agencies are routinely summoned in certain instances.

More detailed findings from the research will be published in 1981 and should be useful to police, administrators and other agencies involved in dealing with citizen calls for assistance.

Response Time. Rapid police response has long been a tenet of law enforcement, resting on the assumption that fast response to calls increases the likelihood of arrest. Although logical, the basic assumption was largely untested until the Response Time Analysis Study, sponsored by the Institute and conducted by the Kansas City, Missouri, police department.

In 1979, Kansas City police completed the second and final phase of the study. The study analyzed more than 7,000 calls for service to determine the relationship between response time and arrests, availability of witnesses, citizen satisfaction, and the frequency of injuries of citizens during crimes or other incidents. Included in the data base were Part I (major felony crimes), Part II (misdemeanors), and general service calls (including traffic, alarms, disturbances, suspicious parties, and noncrime, medical emergencies.)

Results from Kansas City indicate that victims of or witnesses to serious crimes allow crucial minutes to elapse before they report the crime to police. These delays decrease the probability of an arrest no matter how fast police respond.

For all the calls analyzed, the time it took citizens to report to police constituted approximately half of the response time continuum—the period from the time the crime or incident occurs to the point at which an officer arrives on the scene. And it is this reporting time interval, rather than police dispatch and travel time, that is the strongest predictor of whether an arrest will be made.

Only 13 percent of the total Part I and Part II calls resulted in an on-scene arrest, and only 3 percent resulted in an arrest that could be related to rapid response. Two types of crime accounted for more than half of the response-related

arrests: burglary, forgery, fraud and embezzlement incidents in progress. Both types could be reported to the police while they were happening without the suspect realizing that the crime had been detected and police summoned. In these cases, a combination of prompt reporting and rapid arrival of police seems to have produced the successful result.

The study also looked at the impact of response time on the availability of witnesses and on citizen injuries. As with arrests, the study found that reporting time was the most important predictor of witness availability. Neither the frequency nor seriousness of citizen injuries seemed to be affected by rapid response. The researchers emphasize, however, that the lack of effect may be due to other causes. Cases involving injuries reflected a small percentage of the total sample. Also the measure selected—type and length of hospital stay—may not have been sensitive enough to detect differences due to speed of response. And, the researchers note, "rapid response may serve to limit the frequency of injuries by neutralizing volatile situations before they erupt."

The Response Time Study has important implications for police departments, particularly in a period of shrinking resources and steady or increasing demands from the public. Police clearly need to be able to respond promptly to emergency calls. These, however, are a small part of the total calls for service, arguing against indiscriminate use of rapid response. Careful screening of calls by communications units can determine whether speed is essential or whether a delayed or alternative response is appropriate. Greater use of a range of alternative responses, along the lines suggested by the Birmingham study mentioned earlier in this chapter, also seems promising.

The study also urges that departments actively encourage citizens to report crime more promptly and inform the public of the ramifications of delay. Further insight into how to minimize reporting delays is expected to come from another Institute-sponsored study now in progress. That study is replicating the citizen reporting component of the Response Time Analysis in four cities: San Diego, Jacksonville, Peoria and Rochester, New York. The project will explore whether the reporting delays found in Kansas City are unique to that city or whether they typify general crime reporting behavior by citizens.

Investigative practices. Institute research and field experimentation has helped to bring into sharper focus another

essential police function—investigation. Research on the role of the detective conducted several years ago led to a field test of new approaches to managing criminal investigations. These include an expanded role for the patrol officer in conducting preliminary investigations at the scene of the crime, and case screening mechanisms that gauge the "solvability" of a case and thus aid police administrators in deciding how best to allocate scarce investigative resources.

Last year, the Institute launched a major new comparative study that will provide an international perspective on the investigative process. Participating in the venture are the United States, Australia, Canada, Holland, Sweden and the United Kingdom. Each country will conduct its own project on specific aspects of its investigative system. Topics are being developed by an international panel of representatives from the six countries. The Police Foundation will coordinate the research and synthesize the findings.

The U.S. research will be carried out under a grant from the National Institute to the Police Executives' Research Forum (PERF). Researchers at PERF will study burglary and robbery investigations, focusing on the contributions of the patrol officer, the crime scene analyst, and the detective in solving crimes. The analysis will center on the relationships between police activities and use of resources and information and their effects on case outcome.

Forensic Science Research. Appropriate procedures for collecting and analyzing evidence are often crucial to the outcome of a criminal case. The strength of an investigation may hinge on how evidence is handled at the scene of the crime, analyzed in the laboratory, and presented as testimony to juries.

Several years ago, the National Institute sponsored tests of the nation's crime laboratories, which revealed wide variation in levels of proficiency. Since then, a number of projects have been launched to correct deficiencies. These include training of crime laboratory examiners, establishment of laboratory standards, uniform methodologies and automated systems for analyses of drugs and other types of evidence, and a compendium of valid analytical methods for the most common types of physical evidence.

Last year, the Institute continued its support of work on identifying specific types of physical evidence that can help investigators link a suspect to a crime. Among these is a study of the potential of genetic typing of semen stains,

which would improve the quality of investigation and prosecution of rape cases by providing an independent method of corroborating a victim's identification of an assailant. Other work in progress is seeking more accurate methods of identifying bloodstains and hair, two common types of evidence found at crime scenes.

A certification program for the various disciplines of the forensic sciences profession is in its third year, and a research program to assess the performance of the nation's 200 forensic toxicology laboratories is scheduled for funding in 1980.

Other Research. In addition to studies under the police research priority highlighted in the foregoing, the Institute supports research into other managerial and operational issues facing police. Among the Institute studies published last year were: **Police Strikes: Causes and Prevention;** **Police Narcotics Control: Patterns and Strategies;** **Civil Service Systems: Their Impact on Police Administration;** and **An Anti-Corruption Manual for Law Enforcement Administrators.** Research was nearing completion on a planning tool for police resource allocation that uses a minicomputer rather than the larger, more expensive automated data processing equipment now typically required for operational planning.

New research initiatives launched in 1979 include two projects that will explore from different perspectives the advantages and disadvantages of "crime-focused" police operations. Scholars and commissions often have recommended that police agencies emphasize crime-related activities. One study will focus on the internal aspects of the crime-focused approach—how departments would have to reshape functions if they shift to crime-focused operations. The second study will reflect the external community perspective, delving into the implications of the new structure for municipal government services.

Use of Deadly Force. One of the most sensitive and complex issues confronting law enforcement today is the use of deadly force. The number of fatal shootings by police is increasing annually, with blacks and Hispanics accounting for more than 50 percent of those killed by police, according to experts who participated in a 1979 workshop sponsored by the National Institute and the National Organization of Black Law Enforcement Executives (NOBLE).

The Institute has begun a major research program to

examine some of the volatile issues inherent in police use of deadly force. Various aspects of the problem are being investigated by the Public Policy Research Organization at the University of California-Irvine, the International Association of Chiefs of Police, the National Urban League, the National Council of La Raza and the Chicago Law Enforcement Study Group. The projects are as follows:

The University of California at Irvine is studying fundamental policy issues important both to a better understanding of police conduct in using firearms and to creation of improved policies regulating use of deadly force. Among the study's aims are:

- Developing a theory to account for differences in the likelihood of an officer using deadly force;
- Determining relationships between departmental firearms policy and the rate of shootings;
- Identifying types of events or actions likely to increase or decrease shooting rates;
- Suggesting ways in which police training programs can be made more effective in helping to limit use of deadly force without risk to officers or the community.

The project conducted by the International Association of Chiefs of Police is designed to identify administrative options for limiting use of deadly force to life-threatening situations. The study will focus on those variables that police administrators can manipulate—that is, policies and practices relating to selecting, training, assigning, equipping and supervising personnel. Data will be gathered from a variety of sources: surveys of police departments in the 57 largest police departments; in-depth analysis of data in three or four departments; and FBI data on violent crime and arrests.

The role of race in police shootings is the subject of the project conducted by the National Urban League. The League's approach is to probe the social structure of communities for factors that may influence use of deadly force against members of minority groups. Project staff hypothesize that the extent to which minorities participate in the mainstream of community life has a bearing on the

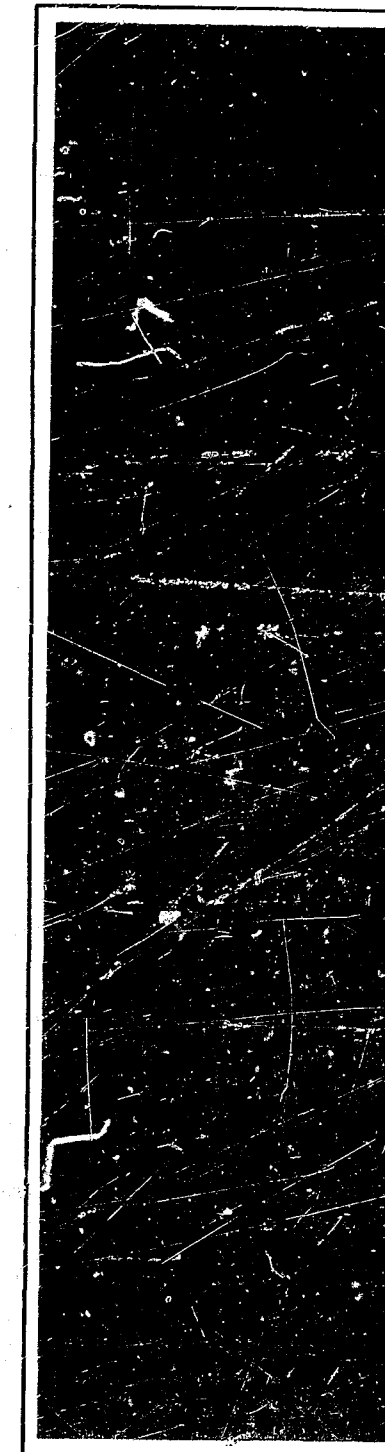
level of police violence directed at non-whites. The greater the level of participation, they reason, the lower the level of such violence because minorities are better able to influence official societal attitudes and actions.

The League will collect data on community and police characteristics in 59 cities with populations of more than 250,000. The data will span a 10-year period, and also will include more conventional variables such as police deaths, arrest rates, index crime rates, and violent crime rates for various ethnic groups.

The perspective of the Hispanic community will be represented through research by the National Council of La Raza. Their exploratory research will range from a review of the literature on the historical relationship between police and Hispanics to surveys of Hispanic attitudes and case studies of police shootings of Hispanics. Media accounts of such incidents will be reviewed for information on community reactions to police shootings.

The Chicago Law Enforcement Study Group will profile the characteristics of all shooting incidents involving police that occurred in Chicago during 1974-1978. The data includes some 650 incidents in which approximately 525 civilians were wounded or killed by police bullets and about 180 officers were shot.

Researchers will look at hundreds of variables on each shooting incident and the participants in it. For example, variables on citizens will include age, gender, race, residence, probable criminal activity, and any form of threatening behavior that may have been exhibited prior to the shooting. The project also will tabulate whether the civilians involved were armed and, if so, what kind of weapon they carried and whether it was recovered. For police, researchers will assemble information on such things as whether the officer was in uniform or civilian clothes; whether he or she was accompanied by a partner; whether the officer knew the identity of a civilian; whether the shooting was intentional, accidental—resulting from mistaken identity or a stray bullet, for example, and whether and how many warning shots were fired.



The courtroom is the focal point of American justice. But it is outside the courtroom that the shape and tempo of the judicial process is often set. Decisions made during the pretrial process are pivotal to the outcome of a case: whether to charge or dismiss, to release or detain the defendant, to negotiate a plea, to divert the case to alternative programs, or to proceed to a trial by court or by jury.

The pretrial process is thus a vitally important stage in the administration of justice. That is why the Institute made it a priority topic for research. Studies sponsored by the Adjudication Division have concentrated on two key aspects of the pretrial phase: consistent or evenhanded treatment of defendants and expeditious handling of cases.

Prosecutorial Policies. The cornerstone of the Institute's research on consistency in processing cases is a project by the Bureau of Social Science Research on "Prosecutorial Decisionmaking." The study is seeking to explain differences in policies among prosecutor offices and to determine their effect on case processing. The first phase of the project began 2 years ago when researchers visited 10 district attorneys' offices, studying not only how the legal environment affects the activities of prosecutors but also how prosecutors manage their caseloads within that environment.

In some of the study sites, the prosecutor's discretion in charging was clearly constrained by the legal environment: the authority of the police to file the initial charges restricted the prosecutor's control. In other sites, the chief prosecutor gave little guidance to the assistant prosecutors, precluding an explicit screening and charging policy.

In the sites where prosecutors tightly controlled their offices, the researchers found a range of policies for handling cases. In some sites, cases were accepted after only the briefest review for "legal sufficiency" to assure that the legal elements necessary to support the charge were present. A contrasting policy of screening for "trial sufficiency" was found in other offices where cases were accepted only if the strength of the evidence was sufficient to bring a conviction. And finally, a "systems efficiency" policy found in still other offices relied heavily on moving cases quickly to disposition, through plea bargaining or referrals to other agencies, in order to reduce caseloads.

BSSR undertook another research effort during the project's first phase. A set of 30 test cases was administered to assistant attorneys in four prosecutors' offices. The attorneys were asked to rank the seriousness of the cases and predict the disposition under their office's policies. A surprising outcome of the experiment was the extent of agreement among prosecutors: from one office to another as well as within an office, attorneys evaluated the "seriousness" of the test cases similarly. The decision to accept the cases for prosecution, however, depended upon the particular office policy.

In the next phase of the research, BSSR will explore further how the dictates of policy affect prosecutorial decisions. Expanding their study to a nationwide level, the researchers will assess the prevalence of the policies identified in the first phase and determine their impact on case processing. By describing the effects of the various policies, the researchers hope to give prosecutors a useful management tool, one which will guide their choice of approach for handling cases according to the legal environment and the nature of the workload in their offices.

Court Delay. In recent years, a growing concern about the pace of justice has sparked a variety of reforms, among them the new speedy trial laws. Although litigation is known to be protracted in some jurisdictions, the reasons for the delays have been hard to pinpoint. Some studies have traced the problems to judicial policies of granting continuances or to legal rules for discovery. But these reasons do not account for the logjams experienced by all jurisdictions. In fact, a study of case processing time in 21 metropolitan courts by the National Center for State Courts found no consistent relationship between processing time and caseload, judicial resources, the seriousness of the cases or the number of jury trials.

Under a 1978 Institute grant, the National Center began exploring another potential influence on the pace of litigation: "courthouse culture"—the norms or standards that govern a particular jurisdiction's decisions about cases. Preliminary findings from the research confirm the importance of local attitudes about the minimum time required for adequate trial preparation, negotiation, and other activities in setting the court's tempo. Now the study is exploring the possibility that the views of local judges

and attorneys may run counter to some proposed reforms. Although local legal culture does not preclude the possibility of changing the existing pace of litigation, it may set limits on the extent to which practitioners cooperate with efforts to compel faster disposition through court-imposed case management controls or mandatory speedy trial rules.

In FY 1979, the Institute awarded three grants to further examine the norms of courthouse culture. Focusing on this topic from complementary perspectives, the three studies will explore how judges, prosecutors and defense attorneys become socialized to the court's conventions; examine the interactions among the members within the context of the court's cases and the larger political and social environment; and in several jurisdictions in Ohio, examine the local environment as it shapes the implementation of the State Supreme Court's rules for reducing delay.

Plea Bargaining. Although plea negotiation is a widespread practice, it is not universally endorsed. It invites overcharging, some opponents claim, affording a "laundry list" of charges for bolstering the prosecutor's negotiating position. While never enthusiastically endorsing the practice, some proponents of plea bargaining defend the filing of multiple charges but eschew overcharging—the latter defined as inappropriate charges as distinct from those that *might* be appropriate. According to this argument, the meager information at the outset of a case necessitates the filing of multiple charges, thereby keeping the case active until all the information is gathered and at least one charge appears likely to stick.

The strength of these arguments was examined in an Institute study by Georgetown University, which analyzed plea bargaining decisions as they are influenced by prosecutors' control of their offices.

To isolate the effects of prosecutorial policies, the researchers selected six offices for the study. Each office fell into one of two groups: in the three "high control" jurisdictions, cases were screened carefully, plea bargaining was curtailed, and assistant prosecutors were closely supervised; in three "low control" jurisdictions, the decisions of the assistants were not closely monitored and negotiated pleas were not reviewed by the senior prosecutor.

The researchers reported an "extremely strong relationship" between prosecutorial control and charging patterns. In one "high control" jurisdiction, for example, 90 percent of the cases carried just one charge whereas less than 1 percent of the cases had one charge in a "low control" jurisdiction. The latter type jurisdiction also exhibited signs of overcharging: most cases carried at least two charges and half of these had five charges. Yet over 75 percent of the negotiated cases were guilty pleas to one charge, illustrating what the study team described as "plea bargaining with a vengeance."

The project also investigated the management policies of the two groups of offices to learn their effect on the number of charges dropped. Two "high control" offices dropped no charges in over 95 percent of their cases, whereas one "low control" jurisdiction dropped five or more charges in 39 percent of the cases. Not only did most "high control" offices stick to the original number of charges, they also were less likely than their "low control" counterparts to modify a charge. In short, the researchers said, defendants in the "high control" offices "more frequently plead guilty to the charge filed, there were fewer reductions in the number of charges and fewer reductions in charge severity."

The finding that prosecutors in the "high control" offices filed so few charges initially—usually just one—and obtained a guilty plea for the charge challenges the argument that multiple charges are necessary to obtain a guilty plea. The tenacity of the "high control" prosecutors in sticking to a few charges was unexpected. It may be attributable in part, the study notes, to a perception of the prosecutors' role that was closer to the adversarial stance of a trial rather than the negotiating role of plea bargaining.

Conceptually, plea bargaining and trials are opposites, at least in the traditional view. But this view will be re-examined through three studies launched last year. Each will investigate the issue through competing hypotheses. One will argue that while most cases are negotiated, recent changes in litigating cases have enhanced the adversarial nature of negotiation. Another will take the opposite tack, hypothesizing that the advantages claimed for plea bargaining—greater flexibility and more efficient case processing—can be found within the trial mode which, by its nature, is a better safeguard for the legal rights of participants. The third study will look at ways of settling cases in terms of differing organizations and the differing policies of the participants as these may determine whether a case is negotiated or tried.

Misdemeanor Courts. Although research has contributed a body of knowledge about the policies and operations of felony courts, little equivalent information is known about misdemeanor courts. As a first step toward filling that gap, the Institute awarded funds in 1978 for a study of issues related to the management of lower courts.

Part of the project was devoted to the implementation and assessment of several reforms for improving the management of misdemeanor courts. Among the more promising techniques was a case management information system for use in small courts that process fewer than 25,000 cases annually. The simple, manual system for docketing cases proved to be an inexpensive and valuable tool for scheduling the court calendar and for managing the typical heavy caseload common in lower courts.

The other part of the project was exploratory in nature and included a review of available literature on misdemeanor courts as well as studies of several key issues. One study examined the sentencing practices of a lower court site and turned up some unexpected findings. Previous research in one jurisdiction had suggested that many misdemeanor cases result in fairly inconsequential sentences. Instead, this study found that punishments were relatively severe. The study also suggested that placing the revenue from misdemeanor fines at the disposal of the court tended to determine the frequency of the levy and the dollar amounts. By contrast, courts were not likely to impose fines as often if the monies were deposited in a general revenue pool.

PROMIS. For several years now, the Institute has been reporting on research findings from data generated by the PROMIS system, a computerized tool for tracking cases in the District of Columbia's U.S. Attorneys Office, and— from the Institute's perspective—a rich source of information for justice research. By 1980, the Institute for Law and Social Research (INSLAW) had completed the last of 15 reports analyzing the PROMIS data.

In tracking every case from initial charge to final disposition, the District's system affords a comprehensive view of the pretrial phase—isolating particular facets (sanctions, dismissal rates), portraying offenders' involvement in the criminal justice system (rearrests, failure-to-appear rates), and highlighting certain crime issues (types of weapons, types of crimes). Although the studies pertain only to Washington, D.C., some of the findings have been corroborated by data from other jurisdictions. Highlights of the PROMIS research include:

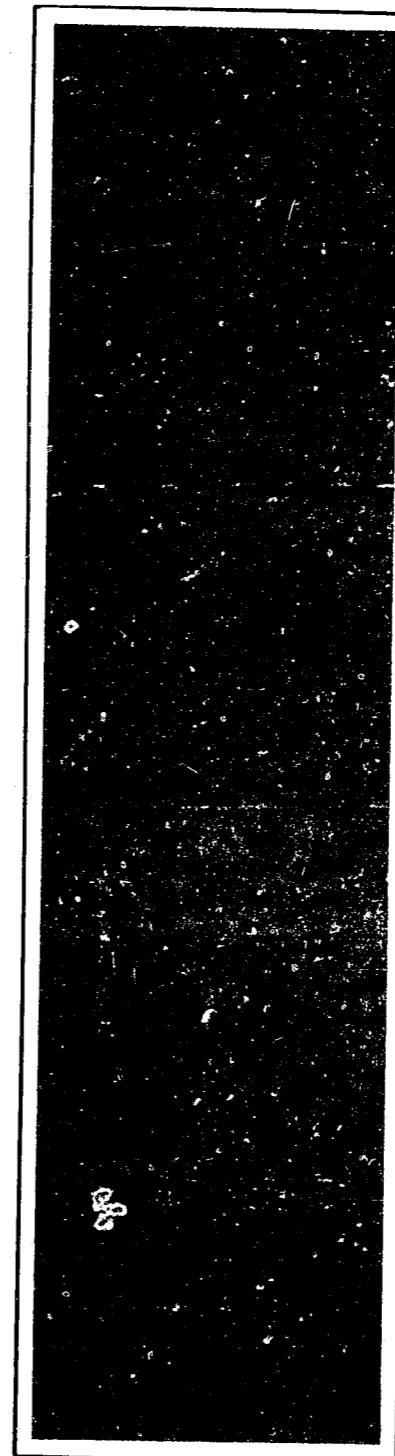
- A small proportion of offenders account for a disproportionate share of crime, a finding confirmed by other research on career criminals (see Chapter 1).
- Only 4 percent of defendants released before trial willfully failed to appear in court.
- Defendants who plea bargain do not get lighter sentences than those who stand trial, at least as evinced by a sample of District offenders charged with assault, larceny and burglary. The only exception was robbery defendants who generally got lighter sentences by pleading guilty.
- More than half of all arrests resulted in dismissal of all charges.

The last finding became the subject of several new research inquiries. The high rate of case attrition, reported in other jurisdictions besides Washington, D.C., poses a number of questions: Why are so many cases dismissed? Do witnesses fail to show or are cases weak? If a case is strong, is it ever appropriate to dismiss it?

A 1979 grant is examining felony case attrition to deter-

mine whether and under what conditions high dismissal rates may be either inevitable or desirable, and what strategies might be employed to reduce undesirable attrition in particular circumstances. Besides suggesting approaches for reducing attrition, the study is expected to recommend alternatives for handling cases that rarely result in convictions.

Recent research has suggested that cases involving violence are often dismissed if the victim was related to the defendant. In 1979, the Institute awarded a grant to study felony cases in which the victim and the defendant are related, comparing these cases with those involving strangers. The study will pinpoint the stage in the pretrial process where each is dismissed, the reasons for dismissing the non-stranger cases, the adequacy of the court's response, and the complainants' satisfaction with the outcome. The research will attempt to identify cases that might be handled more appropriately by agencies other than the courts. It will also suggest improvements in the way courts deal with such cases.



In the course of administering justice, there is perhaps no judicial role more profound in impact than the power to impose a punishment. For that reason, sentencing is one of the Institute's priority topics of research.

Of all the issues that impelled the Institute to focus on sentencing, lack of consistency is perhaps the principal one. Consistency implies fairness: it means that offenders who have similar criminal and social histories, and who have committed similar crimes, should receive roughly the same sentence. Yet there is a widespread belief that there are few jurisdictions in the country where sentencing is consistent.

Traditionally, sentencing has been an individual decision by the judge — a subjective judgment formulated within broad legal limits about the appropriate punishment for a particular offense. Since individual views and philosophies may vary, judges in the same jurisdiction may impose disparate sentences for similar offenses. Latitude in deciding an offender's punishment does not reside solely with the judge, however. In many jurisdictions, the parole board may exercise considerable discretion in deciding how long an offender will serve out his sentence. Members of parole boards also have differing perspectives and consequently their decisions may vary in similar cases.

The past few years have seen a surge of reforms aimed at curtailing disparity. Most of the reforms fall into two broad categories: mandatory sentences or minimum/maximum sentences enacted by State legislatures, and voluntary sentencing guidelines initiated by the judiciary or by lawmakers.

Sentencing Guidelines. As a tool for shaping the decisions of criminal justice officials, guidelines, in their earliest form, were first used by the U.S. Parole Commission. The Commission's pilot project was launched in 1970 when Parole Board members teamed with researchers Leslie Wilkins and Don Gottfredson of the Criminal Justice Research Center in Albany, New York, to formulate guidelines for parole decisionmaking. From this grew the more recent venture, also experimental, to develop and implement guidelines for sentencing.

The outcome of the first phase of the judicial experiment was reported last year in an Institute-sponsored feasibility study in which the District Court in Denver developed guidelines and began using them in its daily work. In the next phase of the project, Newark, Chicago, and Phoenix joined the experiment, with each jurisdiction developing

their own guidelines. Denver was included in this phase of the project as well, because the District Court had sentenced enough offenders under the guidelines to move the experiment a step forward, studying not only the feasibility of guidelines but also their impact on the criminal justice system.

Building on the initial phases of research, the Institute has launched several new studies of guidelines in the past few years. The first, a research project funded in FY 1978, is evaluating the impact of guidelines in Denver, Chicago, and in Philadelphia as well — where guidelines were developed with State and local funding. Complementing this research effort is the Institute's field test of guidelines, described in Chapter 10.

A Closer Look at Guidelines. In the same way that a judge's ruling on a legal point is drawn from the cumulative decisions of the past, so guidelines are built upon the foundation of previous sentences. Like a legal precedent, the guidelines allow a judge to know whether his decision is consistent with his colleagues. And they make the entire sentencing policy of a jurisdiction explicit.

In their final form, the guidelines resemble what Leslie Wilkins describes as a "road mileage chart." The vertical axis of the grid is the offense, on which the seriousness of the offense is marked on any point ranging from 1 to 5. The horizontal axis represents the dangerousness of the offender based on his prior record. The judge computes scores for the offense and offender based on weights assigned to factors that bear on the two scores. When each score is tallied and the intersection of the two is found, the grid shows the "indicated" punishment which may range anywhere from "out"—indicating an alternative to incarceration—to a range of months or years of imprisonment.

Creating the guidelines is a collaborative process between judges and analysts who work together, much like co-researchers, in building and refining a product. Beginning with a sample of past sentencing decisions, analysts add to this the judges' views of the factors that bear most heavily on their decisions. From this, a set of narrow sentencing ranges are calculated, reviewed by the judges, and modified if necessary, until all agree on a sentence for every type of offense.

In using guidelines, judges are not prohibited from deciding that the sentence called for in the guidelines is inap-

propriate. Indeed, the philosophy of guidelines assumes that judges will set them aside in some cases, explaining in writing why they chose a different sentence. Their reasons are then incorporated into a revised set of guidelines—as part of the continual process of refining and improving the structured sentencing criteria.

Reforms by the States. Increasing attention focused on the workings of the justice system has led to a growing number of reforms. Presently, more than a half-dozen States are developing, or about to implement, sentencing guidelines Statewide. And, on the legislative front, lawmakers in nearly a dozen States have revised State penal codes, replacing the elasticity of indeterminate sentences with the more restrictive determinate sentences which prescribe, within varying limits of stringency, what punishment each type of offender will receive for each crime.

Fundamental revision of a State's penal code might have several significant consequences, all of them meriting study. Not the least of the reasons behind the new determinate sentences, some of which are tougher than previous codes, is the lawmakers' expectations that crime rates will drop. Whether that expectation will materialize is one area warranting inquiry. Then there is the impact of the new laws on the criminal justice system. Viewed in a skeptical light, the prospect of subjecting an offender to what is perceived as an unduly harsh sentence may have unintended effects. Police may ignore certain crimes or book defendants to lesser charges, prosecutors may modify the police charges, or juries may hesitate to indict defendants.

Because the determinate codes have been introduced only recently, relatively little is known about their impact. Last year the Institute launched a study of Arizona's new determinate code, which generally is more severe than the former sanctions. The researchers will study the impact of the new code on crime rates and on the activities of prosecutors, courts, and corrections.

California's new determinate sentencing law figures in two other Institute studies. The first, funded in FY 1978 under the Unsolicited Research Program, is comparing the activities of prosecutors before and after the law's passage to learn whether the charging patterns of prosecutors have changed. In the other study, also funded in 1978, California's new law is one of several types of reforms for curbing disparity that is being explored in a comprehensive study conducted jointly by Rutgers University and the University of California at Berkeley. The researchers are

looking at the entire topic of determinate sentencing as it is evolving in theory and in practice across the country. For the theoretical phase, the project will scrutinize the concept of determinate sentencing as a mechanism for curbing disparity by exploring such questions as: What is determinacy and how is it measured? Is it possible for an offender to be paroled early or credited with "good time" in some states, even though a determinate sentence was imposed? Is disparity reduced when it is curbed in one sector of the criminal justice system but not in another?

Linked to the phase of the inquiry addressing these questions is a study of some of the reforms introduced in recent years, including parole guidelines and sentencing commissions as well as determinate sentences. A third part of the project will focus in-depth on the impact of several specific reforms in different states: in California, with its new code; and in Oregon, where the parole board uses guidelines to determine when inmates will be released. Among other issues, this phase of the project will investigate whether the reforms have affected the likelihood of incarceration or the average time served.

Massachusetts Gun Law. Another sentencing reform enacted by State lawmakers is the gun law in Massachusetts. Passed in 1975, the Bartley-Fox law as it is called requires a year in prison for anyone convicted of carrying a gun without a license. An Institute-sponsored evaluation reported on the impact of Bartley-Fox, comparing the data for the year before with the 2 years after the law's enactment.

Even before the law became effective, massive publicity brought about a reduction in assaults committed with guns, with the effects persisting well after the law was put into place. Overall, assaults with guns declined significantly in Boston as well as elsewhere in the State, dropping by 11 percent in the city and 19 percent throughout the State. At the same time, the rate of assaults with other weapons—knives, sticks, and the like—rose dramatically, with Boston experiencing a higher increase than the rest of the State.

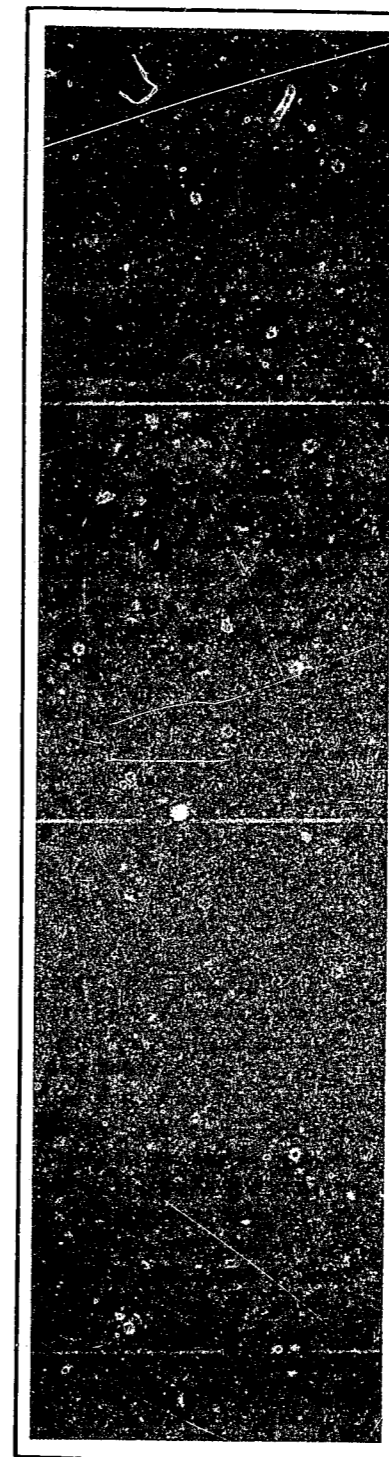
Perhaps the most striking finding was the drop in homicides, a decline more dramatic for gun than non-gun crimes although both types of crimes dropped far more than in the rest of the nation. Gun-related homicides decreased by 56 percent in Boston versus 23 percent in the country. And non-gun homicides declined by 20 percent in Boston compared to 1 percent in the rest of the nation.

Offenders who were convicted of carrying a gun illegally received at least 1 year in jail, a sign that judges were indeed heeding the sentence provision of the law. But, the evaluators add, the impact of the law may not have been felt during sentencing but at a different stage in the process—between the charging of a defendant and his or her conviction. A smaller percentage of those charged with carrying a gun were convicted, a finding that may be explained by one or more factors. Perhaps some cases were weaker, the evaluators suggest, or judges and juries were hesitant to convict a defendant under the harsher law. Whatever the reasons, the evaluators commented on the finding by saying: "It is fair to conclude that some people who would have received a suspended sentence prior to the law now receive no sanction whatsoever."

Clouding a complete picture of the law's impact are the differing charges of illegally possessing a firearm or illegally carrying it, since only the latter offense was forbidden under Bartley-Fox. This left police and judges with a good deal of discretion in deciding the distinction between the two charges. It also left the evaluators with a good deal of uncertainty about the effects of the law. For example, the study found that fewer defendants were charged with carrying a firearm after the law was enacted. But what is unclear about that finding is whether there were fewer individuals committing a crime with a firearm or whether the police or the prosecutors were evading the harsher law by making fewer arrests or modifying the initial arrest charges.

A more complete view of the Massachusetts gun law is expected from another study by members of the same team at Northeastern University who participated in the first. The follow-on project, funded in 1979, will attempt to sort out the short-term effects from those that may endure. It will explore to what degree offenders may be using weapons other than firearms, and to what degree crime may have been displaced to nearby areas. With a longer-term view coupled with a more detailed investigation of unanswered questions, the new inquiry is expected to add knowledge about deterrence, an Institute priority whose study requires long-term, cumulative evidence. For this same reason, the Institute is evaluating a recently enacted Michigan Law, which imposes a mandatory 2-year prison term for anyone convicted of committing a felony with a firearm. Linked to the evaluation of the law is the Wayne County (Detroit) prosecutor's policy of forbidding plea bargaining in such cases. The evaluation will study the extent to which the

prosecutor's policy has been adhered to, as well as the effect of the State law on gun-related crime in Detroit.



As the 1980's began, the number of offenders under the supervision of the corrections system reached an all-time peak. Rising steadily since 1973, the corrections population explosion has exacerbated existing problems such as overcrowding and violence in institutions. And, as budgets grow tighter, the impact of more offenders serving prison sentences or "doing time" on probation or parole increases pressure on the entire corrections apparatus: jails, prisons, probation and parole agencies.

Other forces are exerting a significant influence on corrections. Apart from their eventual impact on the corrections population, new trends in sentencing challenge the concept of corrections that has prevailed for the past 50 years. With the goal of rehabilitation questioned by both criminologists and lawmakers, increasing attention is being devoted to the more immediate concerns of managing an offender's incarceration. Programs designed to help offenders return to society are still a part of corrections, but the trend is toward voluntary participation and a more modest view of the rehabilitative potential of such programs.

As the debate over these issues continues, the Institute has focused research funds on a reexamination of the role of rehabilitation in corrections. In addition to this priority topic, the Corrections Division also has supported studies that deal with correctional standards, the problems of crowding, the management of correctional facilities, and the policies of probation and parole. Other studies have examined some of the promising innovations in correctional practice, including the use of restitution.

Rehabilitation. Before the success or failure of correctional programs can be judged reliably, there must be some agreed-upon criteria for assessing them. For instance a review of numerous evaluations of correctional programs found little evidence that the programs worked because of the imperfect measures used to evaluate them. This review and similar assessments have shown that the principal indicator for measuring success or failure—recidivism—is an imprecise gauge.

An Institute study conducted by the University of Illinois at Chicago Circle identifies the problems associated with using recidivism as a measure. One is that the working definition varies greatly from jurisdiction to jurisdiction—and from study to study. In some places an ex-offender who is rearrested is a recidivist; in others he must be reconvicted. In some places a probationer or parolee who violates one of the conditions of his release, even though that violation was

not a criminal act, is a recidivist; in others he is not. And in some places an ex-offender who is not rearrested for a year is deemed a non-recidivist, whereas his counterpart in another jurisdiction must avoid a similar entanglement with the law for at least 4 years.

The researchers at the University of Illinois analyzed these and other policies in order to develop a new method for estimating and comparing failure rates of offender populations, regardless of the working definition of recidivism. Typically, existing methods use the prevailing definition of recidivism in tracking samples of offenders for an arbitrary follow-up period, usually 1 or 2 years. Although the technique developed by the Chicago Circle group also incorporates the prevailing definition, it differs from existing methods by estimating the average length of time that can be expected to elapse until failure for recidivists occurs as well as the proportion of the sample population that can be expected to remain free of further criminal involvement.

The new method promises to be a valuable tool. By estimating the average number of "good days," correctional officials will have an indication of the duration of a program's impact. And this, along with a tally of the offenders who are likely to avoid future crimes, can be calculated earlier in a program—without waiting until the end of a prolonged follow-up period. Another benefit of the technique is that data need only be collected on the number of "days since release," thus permitting comparisons of groups with different release dates.

So far, the technique seems to be a good predictive instrument for judging a program's potential effectiveness, at least as evidenced by the test results from an analysis of several sets of data on offenders and their recidivism rates. In a follow-up grant, the researchers will test the predictive tool on other data sets. If the test results prove its reliability, the tool should be helpful in the design and administration of rehabilitation programs.

Parole. Any careful reappraisal of rehabilitation must reflect some sense of where things stand now. Last year an encyclopedic survey of parole research was well underway, with a few of the individual studies nearing completion. Included in this review are studies of the legal environment, parole field services, innovations in this country, and practices abroad.

A recently-completed project report reviewed the composition and activities of State parole boards across the

country. Changes in the staffing and practices of parole boards that have taken place in the last few years, the report notes, stem both from growing public pressures for reform and the more direct impact of legal challenges. Most boards are composed of at least five members, rather than the three participants typical of a few years ago, and most are assisted by full-time staff who compile background information on the parole candidates. Although few State boards use guidelines or other objective standards to structure their decisions, more are likely to do so in the future if recent pressures to open the parole hearing process to the public continue. With the move toward presumptive or fixed sentences, the future of parole boards is somewhat uncertain. Their role may be severely curtailed or even eliminated if recent trends persist.

Of the two broad powers granted parole boards—deciding to release an offender and revoking parole for a violation—the pressures to revamp parole practices have had the *least* impact on the initial hearing to decide release, the study reports. Most boards do not allow candidates to have legal counsel or witnesses appear on their behalf at that hearing, although they do permit witnesses to testify against the candidate. In most instances, offenders may not cross-examine witnesses or challenge the information compiled by the parole staff or even obtain a written transcript of the hearing. As for practices that differ from those of a decade ago, most boards now notify the inmate in writing of the hearing and also specify, in writing, the reasons for granting or denying parole. Some boards also allow "character" witnesses to testify for the candidate by submitting written statements into the record.

Because of numerous legal challenges to parole revocation procedures and recent Supreme Court rulings on guaranteeing due process, the parolee at a revocation hearing has gained some protections similar to those he had as a defendant. With the advent of fixed sentence lengths, parole is not served strictly at the pleasure of the board, and the revocation hearing itself has come to be viewed more as a right than a privilege. Now, parolees may be represented by legal counsel at revocation hearings. They also may offer evidence in their own behalf. Despite the new procedures, the decision to revoke parole remains largely arbitrary, the researchers found. If the parolee is incarcerated for a violation, the average stay in prison is 15 to 18 months. Moreover, few states have set a minimum time that a parole violator must serve before he is eligible for a rehearing.

A grant awarded in 1979 will explore more deeply one of

the more controversial aspects of parole—the revocation of parole for a technical violation. The project will study six State parole boards, analyzing their differing policies for technical violations and the degree of discretion each exercises under these circumstances.

Probation. In 1979, the Institute published a comprehensive survey of adult probation in the United States. The findings of this survey were summarized in the Institute's FY 1978 annual report. Related long-range investigation of the effects of different forms of probation supervision is being conducted by the Office of Program Evaluation. In the meantime, as a guide for practitioners and policymakers, the Office of Development, Testing, and Dissemination has published a Program Model on Promising Strategies in Probation and Parole.

Restitution. Compensating victims directly for their injuries is an old idea, originating in early Roman times and now gaining renewed favor among some criminal justice officials. In recent years, the concept has been reformulated to achieve goals ranging from retribution for the victim to rehabilitation for the offender.

If there are several aims for resurrecting this form of punishment, there are an even greater variety of circumstances for imposing it, according to an Institute-sponsored survey of restitution programs nearing completion. In some programs, restitution is a form of work-release—the offender's half-way exit from prison. In others, a restitution penalty is added to a probation term.

In evaluating six restitution programs, the study found that the placement of a program within the criminal justice system influenced the choice of sanction—and the timing. A program in a district attorney's office, for example, designated restitution penalties for certain defendants before their judicial hearing. Parole staff in another program, however, viewed restitution as the appropriate aftermath of an offender's prison term.

From these and other observations, the researchers wrote a "how-to" manual for practitioners interested in restitution. The manual emphasizes the importance of articulating priorities for a new program, deciding from the start whether benefitting the offender is more or less important than compensating the victim. These are often "competing and conflicting purposes," the guide explains, and they inevitably recur during the formation and operation of restitution programs.

Survey of Correctional Needs. Perhaps the most comprehensive assessment of the nation's jails and prisons was scheduled for completion in 1980. Under a 1976 Congressional mandate, the Institute-sponsored survey by Abt Associates looks at prevailing conditions in correctional institutions and the impact of emerging trends, including new sentencing laws and practices, on the future populations and capacities of the nation's facilities. The survey results will cover a host of other factors including staffing, costs, the age and security level of each facility, the race and sex of the incarcerated population, and the number and nature of legal actions by inmates and staff. The final report will draw a composite picture of correctional institutions from a nationwide perspective as well as a comparative view by region and by State.

In the preliminary report on institutional capacity, the study reported that "State correctional institutions are very near their limits by any standards." Using one standard for measuring capacity—the number of inmates in each unit—the survey found crowded conditions: there are six inmates for every five units in State prisons.

Another more precise standard generally accepted by most authorities specifies the minimum housing space for an inmate as 60 square feet. Not many of the correctional institutions across the country can meet this standard, the survey reported: specifically, 62 percent of the Federal prisons, 45 percent of the State prisons, and 40 percent of the nation's jails were able to meet or exceed the minimum square footage. "Old, large, and maximum security facilities have the smallest cells," the survey reported, and facilities with the smallest cells were more likely to have large populations and, in the case of State prisons, high security levels.

Important differences among regions of the country are likely to be masked by the composite view, the survey reported. Using still another standard—density (square footage) and occupancy (number of inmates)—units of less than 60 square feet occupied by more than one inmate represented the most severe measure on the survey scale. In the Northeast, only 5 percent of the inmates were living under the worst conditions on the scale, in contrast to 69 percent of the inmates in the South. The nation's jails reflect a similar pattern: for the survey's four regions of the country, the Northeast had the fewest (20 percent) inmates living in high-density/multiple occupancy units. This compares to 60 percent in the South. The North Central and Western regions fell between these two.

Another standard — one promulgated by the American Correctional Association and included in the Justice Department's draft standards for Federal prisons— stipulates a minimum of 80 square feet for an inmate kept in that space for 10 or more hours. However, the survey revealed that State prisons with the smallest units confined inmates in their cells for the longest periods of time. These conditions were less likely to prevail in the Northeast region of the country than in the North Central, the West, or the South.

In conclusion, the study noted that crowding is not measured solely by spatial dimensions or occupancy. It is an individual perception influenced by social and psychological factors as well as temporal and spatial dimensions.

Effects of Crowding. It was precisely these factors that were examined in another Institute research effort, a study of crowding conducted in six Federal prisons by a research team from the University of Texas. Here, crowding was examined from the perspective of "spatial density," the amount of space a prisoner occupies in his living quarters, and "social density," the number of prisoners in a housing unit—whether the unit is a cell or dormitory or some other type of quarters. A wide variety of prison quarters were incorporated in the study's sample, including relatively small or larger dormitories—with or without cubicles—single and multiple-occupied cells, and single or double bunking within the cells.

To gauge the effects of the inmates' living conditions on their behavior, the researchers tested certain physiological measures, such as the prisoners' blood pressure, as well as their levels of tolerance to crowding, their moods and feelings of control over their environment, and their attitudes toward their living quarters. They also examined the inmates' disciplinary records as well as their complaints of illness—a factor strongly linked to stress in other research studies.

Not surprisingly, negative responses for both the physiological and sociological measures increased proportionately with the decreasing size of the housing unit. Nevertheless, while the inmates' behavior was linked to "spatial density," it was even more strongly linked to "social density," suggesting that the privacy of an inmate's own territory was more important than sharing larger but open quarters. This conclusion was evident in the finding that open dorms elicited more negative responses than all other types of

housing—including double cells. Further confirming the need for the privacy associated with individual territory, the study found that partitioned dorms with individual cubicles were viewed more favorably than open dorms, even if the cubicles afforded no more than 50 square feet for each inmate. Thus, the study concluded, increasing an inmate's space in open dorms will not improve housing conditions from either the prisoner's point of view or as measured by factors such as illness rates or disciplinary incidents.

In addition to the tests and surveys administered to the inmates, the study also furnished a longer-term view of the effects of crowding through a review of historical data for two State prisons. Where prison populations grew without an increase in facilities, suicides, death and disciplinary rates rose disproportionately faster than the populations; conversely, a decrease in the population in one prison was accompanied by an even greater drop in deaths from violence. The rates for deaths, suicides, and psychiatric problems were also associated with the size of the institution, with the smaller prisons of 1,000 inmates or less experiencing fewer problems than the larger facilities of 1,500 inmates. Combining the findings from the historical data with the test results, the study concluded that the "ideal" prison would be "relatively small" (certainly less than 1,000 inmates and preferably 500) and consist of single rooms or cubicles."

Mental Health and Corrections. The last two decades have seen a decrease in the number of patients committed to mental hospitals and an increase in the population confined in correctional facilities. Although the declining number of institutionalized patients can be traced to a policy shift of releasing the less seriously ill, rather than confining them as in the past, the reason for the inverse relationship of the two populations is unclear. Is it possible, for instance, that those who would have been confined in a mental health facility 20 years ago are more likely to be committed to a prison or jail today? Two grants will be examining this question closely. One study will explore the shifting population rates from a broad viewpoint, examining data for every State as well as detailed records from six States. The other will analyze a comprehensive data set for a large populated county, tracking the experience of mental patients who have been released from the system including any involvement they may have with the criminal justice system. The study also will look at the rise and fall of the two populations and the impact of the fluctuations on the respective institutions.

Inmate Organizations. Today, the prison is a complex system of interrelated and often competing interests that are more visible, more organized, and more formalized than a decade ago. In an Institute-sponsored study of five maximum security prisons, the American Justice Institute found that unlike the informal, if not sub rosa, networks of 10 years ago, many of today's inmate organizations have obtained official recognition and approval for some of their activities. The "jail house" lawyers are an example of changing times. A decade ago, inmates who filed petitions or issued legal challenges were often subjected to disciplinary action whereas today, because of recent judicial rulings, this same group is condoned, even supported, by corrections management.

Just as inmates are organizing to promote their interests or to gain self-determination, so corrections officers are forming unions to redress what they see as imbalances in power. In short, the study reports, the emerging interests of competing groups represent a complex challenge for prison management, one that is perhaps unprecedented in the history of corrections.

Examining inmate organizations as part of the collective forces of the prison environment, the study surveyed correctional administrators and correctional officers as well as inmates. Not unexpectedly, the survey found that the inmates' values were those typically associated with the prisoner social system—a hatred of snitches, a willingness to use physical force to settle personal disputes, a fierce sense of "manhood." Loyalty was an especially important value for the inmates; in fact, it often mattered more than race in forming friendships.

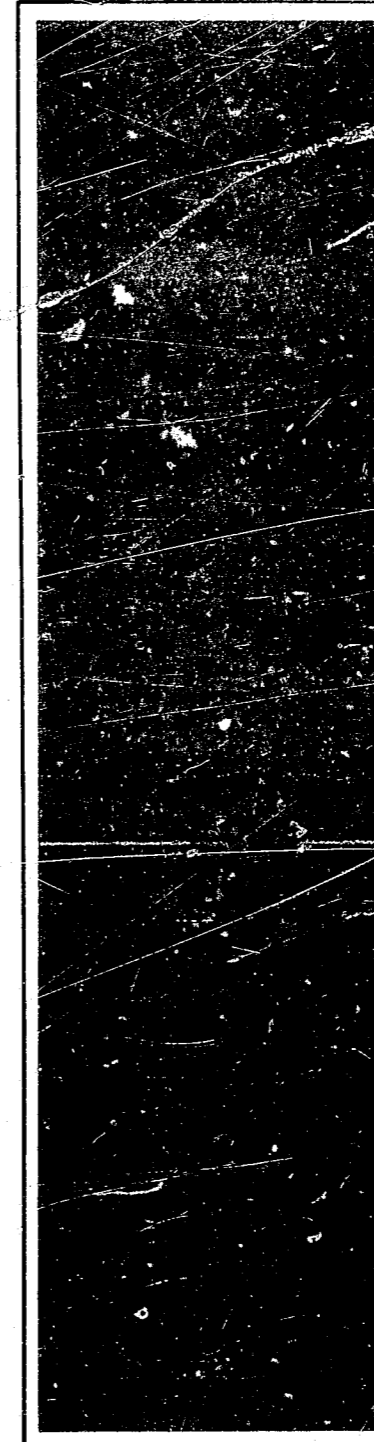
The image of the "hard-core" convict—the hardened criminal tied willfully and totally to a life of crime—did not emerge from this survey. Indeed, most of the inmates did not place an especially high value on criminal activities. Nor did male inmates feel especially victimized by the criminal justice system. Female inmates did, however. They were more "radical," the study said, feeling that the "real criminals wear business suits," for example. Rather than criticizing the criminal justice system as a whole, male inmates tended to criticize the institution's administrative policies, especially its efforts—either covert or overt—to undermine unity among the inmates. For the most part, the

inmates attached more importance to organizing for improved prison conditions than for gaining greater power per se, which is a hopeful sign for prison administrators willing to establish a more open and dynamic climate, the study concludes.

Correctional officers tended to resist any organizational changes that would lead to greater participation by the inmates in institutional affairs. The survey also found that correctional officers were most concerned with power—or exerting control over correctional policy. They were somewhat less concerned with maintaining control over the inmates and ranked their own safety in third place. From the officers' point of view, and indeed from the evidence as well, the job of correctional officer is a ladder to supervisory and management positions. Officers are promoted to supervisors after working in the prison for an average of 10 years if—in the words of the study—"they have demonstrated their loyalty and commitment to official institutional policies, and their ability to maintain control over the prisoner community during a variety of security situations." By virtue of the attributes that earned them their promotion, prison managers may balk at initiating any new policy that is not designed principally to protect the security of the institution.

In what may be a surprising finding, both male correctional officers and male inmates objected vigorously to female correctional officers. Male officers' feelings toward their female counterparts were especially intense, the study found. Women were considered vulnerable to sexual attack and a liability when confronting a dangerous situation, the officers reported. Male inmates expressed similar views but also disliked women having greater power and authority, the study reported.

Women in Corrections. The role of women in corrections will be examined in two Institute grants awarded in 1979. The first will explore women in corrections and the factors affecting their recruitment, placement, and advancement in the field. The second study will take a closer look at the concerns voiced by the male guards and inmates, attempting to sort out the credible fears from those that are unrealistic, unfounded or—for now—intractable. The results are expected to guide correctional authorities in assigning female officers to particular posts.



Analyzing criminal justice problems imposes special constraints that do not prevail in a laboratory environment. In an isolated and stable experimental setting, certain analytical techniques are appropriate and workable. But these same techniques may be inadequate for measuring the shifting, and often interlocking, dimensions of criminal justice problems in the community. Devising appropriate tools or tailoring the tools of other disciplines to criminal justice is crucial to the success of research in the field. Because the task requires specialized knowledge, the Institute established a separate Office of Research and Evaluation Methods (OREM) in 1977.

The Office sponsors research exploring the methodological and measurement problems facing criminal justice researchers and evaluators. In addition, the Office is responsible for developing and managing research on two of the Institute's long-range priorities: deterrence and criminal justice performance measurement, both subjects that require the application of sophisticated quantitative analyses.

Crime Control Theories. Building on its research initiatives on deterrence, OREM has expanded the field of inquiry to an exploration of major crime control theories.

Few would argue with the idea that society establishes a criminal justice system to contain convicted offenders and threaten sanctions against would-be offenders. In granting these powers to government, society expects, in return, to be protected against future crimes. But how much protection does this sanctioning power afford? This question simply cannot be answered adequately now, because appropriate measurement techniques for gauging the degree of security afforded by criminal justice policies still are lacking.

In principle, formal sanctions are intended to exert some control on crime in a number of ways. Incarcerating offenders is intended to curb crime by separating known offenders from society. In addition to retribution for their crime, offenders who have "mended their ways" are thought to be deterred from future criminal behavior. In theory, deterrence operates both directly and symbolically. Just as the experience of arrest, adjudication, and incarceration may deter convicted offenders from committing new crimes, the threat of criminal sanctions is expected to prevent criminal behavior by others.

Precisely how do these broad processes work? How effec-

tive are they in controlling crime? Researching such questions is a formidable task. Studies conducted several decades ago purported to show certain deterrent effects based on allegedly empirical evidence. Subsequent reviews indicate that more often they were shaped to support the researcher's inclinations or pre-dispositions.

In the past decade or two, however, a more objective spirit of investigation is evident. In 1977, the National Academy of Sciences—with Institute support—conducted an inquiry into the burgeoning research on deterrence. The panel of experts assembled by the Academy found, however, that all the studies it examined—both those that purported to disprove the hypothesis and those that reported measurable deterrent effects of criminal sanctions—were subject to question on methodological grounds. In an effort to address the flaws—and ultimately to overcome them—the Institute undertook a research program in deterrence.

Measurement Problems. Quantifying any theory of crime control by specifying "how many" crimes are prevented is beset by a central, if not, intractable problem. The researcher must figure out a way to count events that never take place. Incapacitation is an example. Among the questions decisionmakers must ask when debating incarceration policies is: "How many additional crimes are avoided by keeping convicted offenders out of society for longer periods of time?" The same is true for deterrence: How many crimes are prevented by imposing a particular sanction or by instituting a more vigorous arrest or prosecution policy. Obviously the answer depends on estimating how many crimes offenders would commit if they were free to do so or how many crimes would-be offenders would commit if they were not deterred by the sanction.

This type of problem is inherent in the very concept of measuring the effectiveness of crime control. For that reason, the validity of estimates, which at this juncture is all they can be, must rest on the overall credibility of the theories or models from which they are derived. Research in this area therefore entails creating and refining theories and structuring models, testing empirically the assumptions underlying the models, estimating the parameters crucial to their logic, and ultimately validating their predictive power. Lacking the laboratory analyst's advantage of subjecting a theory to rigorously controlled and ultimately conclusive tests, the modeler must resort to theoretical estimates, expressing in a set of mathematical relations the entire complex of causal links significant to theory. The empirical

test of the model is its ability to satisfactorily reproduce (and ultimately to predict) what is actually observed in the real world.

In the first 2 years of the research program, the Institute sought proposals from as large a sector of the scientific community as possible. The reason for this was partly strategic. A detailed set of studies would be appropriate only if the theory of crime control had advanced to the point where new concepts could be safely added on the existing theory. In the Institute's view, that is not the case. Thus, the solicitations for crime control sought to elicit high quality proposals—requiring researchers to suggest specific questions and demonstrate their relationship to the structure and empirical foundations of crime control theory.

Research in Progress. The Institute's research on crime control is divided roughly into two classes of studies. Six grants have been awarded for extending the existing theoretical work on crime control. Among the issues to be addressed by these studies are the gap in time between the onset of new sanctioning levels and their impact on crime rates, the deterrent effect of arrest and of serving indeterminate rather than fixed sentences for certain offenses, and the differences—if any—in the impact of sanctions at the neighborhood, community, and State levels.

The other class of studies is assessing the effects on deterrence of recently legislated changes in criminal sanctions. From the research perspective, these new—often harsher—laws offer potentially fewer complications for building a theory of crime control than estimates of deterrence based on uninterrupted sanctioning levels. Since legal sanctions are enacted within an identifiable time frame, any changes in crime rates occurring after that period can be linked to the sanctions with greater certainty, as long as there are no alternative explanations—which usually can be checked by comparing the jurisdiction's crime rates with those in a locality not subject to the sanctioning change.

Studies of legislative reforms passed by three States are mentioned in Chapter 6 of this report—the firearms law in Massachusetts, a similar statute in Michigan, and the revised criminal code in Arizona. A study of New York State's stricter laws on prosecuting juvenile offenders completes the Institute's portfolio of research on this topic.

In 1976, New York created the category of "designated felon," which allowed juveniles charged with serious crimes to be prosecuted as adults. In 1978, the State lowered the age of criminal responsibility, removing some juveniles from the Family Court and making them liable for the more severe sanctions of criminal court. In examining the punishments imposed before and after the new laws, the study will compare offenders in two large New York cities with those in two similar cities in a neighboring State.

Future Studies. As mentioned earlier, the Institute broadened its inquiry on deterrence in 1979 by incorporating the topic into the larger theoretical framework of crime control. From the Institute's perspective, research assessing the impact of legal sanctions or the prevailing punitive climate of the criminal justice system as a whole should not be pursued independently. Instead, studies of deterrence should coincide with the parallel development of theories for measuring the effects of incapacitation or for modelling the process by which the offender is diverted from committing another crime—through direct experience with the criminal justice system or through rehabilitation. For that reason, a more broadly conceived solicitation in the general area of crime control was issued.

Methodology Development. Projects in this category are designed to increase the capacity of researchers to study and evaluate criminal justice problems. Because the problems are so fundamental, complex, and pervasive, the Office has adopted a broad funding strategy. The call for proposals defines a general program need rather than a set of specific research problems, and is widely advertised. This strategy has yielded responses from researchers in criminal justice as well as non-criminal justice fields. During the first funding cycle of the program, the widely-circulated announcement resulted in a submission of nearly 150 concept papers. The promising ones were carefully reviewed by outside experts. The next year of the program saw essentially the same strategy. The solicitation was widely publicized, the papers were critiqued by outside experts, and although the broadly-conceived scope of the program was kept intact, the solicitation was modified slightly so as to elicit the kinds of research likely to be successful in competing for the limited funds available.

By the end of 1979 the increased vitality of the responses had produced a high quality portfolio of research projects. In all, 16 studies have been funded under the program. Although most of the studies were just underway or in

progress a few were at a point where preliminary findings could be reported.

The following example illustrates the kinds of methodological problems Institute-sponsored researchers are working on:

Classification Techniques for Criminal Justice Research. Offenders are classified at practically every stage of the criminal justice process: when defendants are released on their own recognizance or remanded to a treatment program, when offenders are placed on probation or assigned to a certain security level in prison. All these decisions are based on some classification scheme—whether subjective or formalized. Underlying these schemes are certain criteria—perhaps a judgment about the gravity of the offense or a prediction about the likelihood of rehabilitation. Whatever the criteria that shapes the classification systems, all have an immediate and profound impact on the offender. The researcher also uses certain classification schemes to predict the recidivism rates of offenders, for example, or to evaluate the effectiveness of criminal justice programs.

In research and in practice, many of the classification schemes used in criminal justice are faulty, this study contends. In many cases, the premises of the schemes are inexplicit and sometimes non-existent. When the concepts are fuzzy and the methodology accompanying the premises is weak, then the consequences can be dire—for example, when an offender's risk of criminality is wrongly predicted.

Better precision and greater predictive power in classifying offenders is now possible, the study argues, because of recent advancements in the field of taxometrics. Taxometrics uses sophisticated statistical techniques to generate classification schemes. Once several schemes are developed, the study will test their descriptive and predictive power. This, in turn, will lay the foundation for developing and testing new classification theories for criminal justice. Although the new classification schemes are intended primarily for future research, the Institute anticipates that practitioners will find them useful as well. The study also will evaluate the impact of different types of corrections programs.

Empirical Investigations of Correctional Cost Functions. This study of the cost of correctional facilities illustrates how the tools typically used in other disciplines—in this case, economics—can be applied to a problem in criminal

justice research. The economist's yardstick for estimating the costs of production—the cost per unit—was the starting point for this study. Just as this same measurement has been incorporated into management theory as the "man-month," so it was adapted here as the inmate-day-confined. Within this conceptual framework, the study developed various models for estimating the costs of correctional facilities. These models, and the information they yielded, are intended to help correctional planners decide how many guards might be needed in a prison, for example, or the optimum size of a facility. The models also shed some light on allocating costs efficiently. For example, the study found that the costs of rehabilitative programs rise and then decline as the number of participants increases; hence costs can be kept low by enrolling either a few or a large number of inmates in prison programs, but not an intermediate number.

The cost figures for the study were drawn from data for the California and Federal prison systems. Estimates were tallied for both a short-term period of confining inmates in existing facilities and for a longer term of building more facilities to house inmates. The study found that in the short-term, in both Federal and State systems, larger prisons are cheaper than medium-sized or smaller prisons; that is, the costs per inmate decline as the prison capacity increases. In the long-term, however, only large-sized Federal prisons are cheaper; by contrast, long-term costs in the State system in California are roughly equivalent for prison capacities ranging anywhere from 800 to 3000 inmates.

The study also reported that existing resources in both systems were being used in a "less than technically efficient manner". Costs were 8 percent higher than necessary in the Federal system and 15 percent higher in the California system. In calculating the efficient use of resources, the study did not ignore factors relating to humane confinement. Costs for housing, treatment, medical care and other correctional standards were built into the models, producing estimates that in some cases were surprising. For example, single cells were found to be less costly than multiple-occupant cells because fewer guards are needed to police these units and tension among inmates is lower. As would be expected, however, standards calling for more housing space or more sanitary facilities will increase costs, the study reported.

Performance Measurement. Broadly defined, performance is the fulfillment of a promise or order. Measuring the

performance of the police, or the courts, or corrections should, in theory, be simple. The promise or goal is identified, the appropriate measure of fulfillment is chosen and then applied. Unfortunately, reality is never quite that simple. Public agencies in particular are often obliged to fulfill many and often conflicting goals because doing less would undoubtedly cause unintended or even harmful side effects. Efficiency is a laudable goal, for example, but it cannot be pursued single-mindedly at the expense of complying with the law. And although responsiveness merits an important place in an agency's strata of goals, it should not take undue precedence over the equally important goal of equity.

Nor is there any common agreement on a measure for each of these goals. Effectiveness is one example. One commonly used barometer of police performance, for instance, is the number of arrests each officer makes. But that may not accurately measure effectiveness unless it also reflects the number of "good" arrests i.e., cases that lead to convictions—a gauge used to assess prosecutorial performance. Even a single component of the system, however, may have different measures. A chief prosecutor might measure the effectiveness of his or her office by conviction rate, another by the "strength" of the conviction (to the top charge), and still another by sentence lengths. Finally, those to whom criminal justice officials are accountable also have their own measures. While the elected official may gauge the performance of the police by crime rates, the public administrator may scrutinize the police department's budget, and citizens may care more about how quickly the police respond to call for service or how many officers patrol the neighborhood. In short, there is no agreement on which definition of performance is most appropriate in a particular case. But there is widespread agreement that "performance" must be measured.

Because performance measurement is relatively new to criminal justice, selecting appropriate yardsticks has been largely an intuitive exercise—a necessary first step in the evolution of any scientific theory. Examining what has already been developed is the starting point for developing a truly comprehensive measurement system. Such a system will have a solid theoretical framework, based on empirical research. Once this framework is developed, well-engineered and practical measurement schemes can be built.

The Office began work on building that foundation in 1978 when it awarded five 18-month grants, totaling \$1.1

million, for the first phase in the development of performance measurement. The center for Urban and Regional Studies at the University of North Carolina is working on a concept of police performance; the Bureau of Social Science Research on prosecution and defense; the Research Triangle Institute on adjudication; the Osprey Company on corrections, and Georgia Tech on integrating the four into a system-wide concept.

Each project is identifying key functions and factors within each agency and placing them in a broad measurement framework that explores their interrelationships. To do this, the researchers are clarifying the relationship between the activities of an agency and its goals and then determining what external conditions may inhibit or encourage the fulfillment of these goals. Next, they are assessing how well commonly-used measures capture the relationship between an agency's activities and its goals and how sensitive these traditional measures are to both the operation of other criminal justice agencies and the differing perspectives, if not priorities, of the larger community.

During this first phase of what is envisioned as an 8-to-10 year research effort, the project is trying to define rather than solve the issues in performance measurement. Greater precision in measuring performance will come about eventually, but at this stage the emphasis is on pulling together what is known as a foundation for future research.

In interviews with criminal justice officials across the country, researchers uncovered certain problems that for a long time had been only partly recognized. Many agencies could not, as a rule, articulate a definition of their own performance or furnish any data pertaining to their performance. Agencies that did operate according to a defined goal chose ones resembling efficiency—with courts concerned

with backlog, prosecutors and public defenders with speedy disposition, and corrections officials with costs and manpower. Police were the exception with their traditional concern for arrest rates as the measure of their effectiveness.

The researchers' field work and interviews have confirmed what has long been regarded as a knotty problem. Even where goals are articulated, their usefulness is uncertain. Many times there may be different sets of goals, or they may be vague or unrealistic. Worse yet in the researchers' view, the goals tend to become part of the definition of the problem, and hence inflexible if not sacrosanct. If a statement of goals is to be useful, the researchers conclude, it must be modified as conditions change and as the agency learns to develop and use better information about itself.

Another realization surfacing from this phase of the research is that although an agency's responsibilities are well understood and its operation can be charted, there is still little understanding of the factors that appear to significantly influence the end result. The points in the process where control can be exerted to shape the outcome are not well understood. Without this understanding, an administrator is hardpressed to bring about desired changes in policy.

A large part of the second phase of the project will be devoted to exploring this problem, pinpointing factors that are within the policy control of agencies and that consequently influence outcome. Research also will be conducted during the next phase on the unresolved issues in performance measurement. From here, the Institute eventually expects to develop and test prototype measurement schemes and then demonstrate them in a national implementation program.

Assessing Criminal Justice Programs

Everyone has a stake directly or indirectly in the performance of criminal justice programs. The program director, the policymaker, the lawmaker, and the sponsoring agency—each has some quota of interest invested in the effectiveness of a program. The citizen holds a share of interest, too—as victim or witness and ultimately as taxpayer.

Evaluating the effectiveness of programs is a branch of research. The Institute's evaluation efforts fall into several categories. The Institute's field tests of experimental approaches are among the programs evaluated by the Office of Program Evaluation. The Office also assesses groups of programs funded under LEAA block grants and national-level programs supported by LEAA discretionary grants. Among the evaluations that were under way or completed last year:

Neighborhood Justice Centers. Taxing the already lean resources of courts are the minor civil and criminal disputes that comprise a sizable portion of the caseload. Here and there across the country, jurisdictions have experimented with various approaches for settling these disputes in a forum other than the courtroom.

Drawing on the concept of some of the earlier programs, the Institute devised a field test of an alternative mechanism known as Neighborhood Justice Centers. In 1977, Los Angeles, Atlanta and Kansas City were chosen as the field test sites. As with all field tests, independent evaluators assessed the Neighborhood Justice Centers.

In the evaluators' words, the Centers are "a concept and a process that works: (they) meet a clear public need with indices of performance and satisfaction that are rather extraordinary." The evaluation then spells out the "indices."

From the standpoint of performance, the Centers handled a respectable—and in Atlanta a relatively large number of cases—nearly 4,000 in all. Nearly half these cases—or 45 percent—were resolved either before or during a mediated hearing. They also were settled far faster than comparable cases in courts. The Atlanta and Kansas City centers disposed of cases within 1 to 2 weeks, whereas the courts in the two jurisdictions took anywhere from 5 to 10 times longer, depending on the particular stage in the court process at which cases are resolved. Los Angeles could not be included in this analysis since it dealt largely with cases brought directly by residents rather than through referrals

from court officials, making it difficult to measure the comparative speed of the Center without comparable court cases.

Grouping the cases by civil dispute—tenant/ landlord and consumer/ merchant cases, for example—or by criminal charge—assault or harassment between neighbors or family disputes, for example—the evaluators found that interpersonal cases were more likely to reach a hearing, whereas civil disputes were more apt to be resolved before a hearing. However, fewer civil disputes were settled in the first place.

The size of the case load, while not a measure of success, depended on whether the cases were court referrals or initiated directly by citizens. Atlanta and Kansas City drew most of their cases from the courts; Atlanta also had the lion's share of the total caseload, followed by Kansas City and then Los Angeles. Sizing up these findings from the perspective of installing similar programs elsewhere, the evaluators concluded that "Centers which are connected to the local justice system will attract and resolve more disputes than those without such referral sources."

Because mediated settlements are not binding a key concern was whether a settlement "stuck" 3 or 6 months later. In a 6-month follow-up survey, the evaluators reported that disputing parties had abided by the terms of the settlement in a surprisingly high—70 to 80—percent of the cases, with roughly the same percentage reporting that they were satisfied with the outcome and would return to the Center again in a similar situation.

Another question concerns the number of cases that were not resolved, roughly 52 percent of the total caseload. In almost all of these cases, the disputing parties could not be brought together, either because respondents refused to discuss the dispute or they could not be contacted. However, when the parties did agree to a hearing, their disputes were settled in all but 4 percent of the cases. Since the hearing itself was an effective mechanism for reaching a resolution, the weak link in the process thus occurs at an earlier point—when the Centers are trying to bring disputing parties together. The reluctance of disputants to meet with each other may also point to a deeper problem, the evaluators note. Disputing parties may believe that compromise is unnecessary because in a court setting there are either winners or losers. The give and take of mediated settlements, far different from the adversary character of a court case, is the underlying tenet of dispute resolution. If

the centers are to be truly effective, the evaluators conclude, they must persuade people that compromise is preferable to the often costly litigation of the traditional court settlement.

Jury Utilization and Management. Another evaluation completed this year assessed 10 sites participating in a large-scale field project known as the Jury Utilization and Management System. The program sought to incorporate a number of innovations to boost efficiency and equity in jury operations.

Improving the selection of jurors and minimizing the hardship of jury duty were among the program's overall aims. Specific objectives included widening the pool of eligible jurors, selecting individuals from the pool in an equitable manner, shortening the jurors' time of service and making their stay as comfortable as possible. Scheduling improvements for reducing the typically lengthy jury duty were intended to add the benefit of reducing the total sums paid out in jurors' fees.

The demonstration courts made several significant changes, the evaluators reported. Many of the courts computerized their jury lists to improve the random selection of names. In a few of the demonstration sites, State statutes prohibited the use of other than voter registration lists for drawing jurors' names, which precluded selection from as wide a pool as possible since not every eligible citizen registers to vote. As a result of the demonstration, lawmakers in several States changed their statutes to supplement the voter registration list with others, such as the names of registered drivers. As for reducing jurors' fees, the evaluators reported an overall annual savings of \$400,000 for the demonstration courts compared to \$100,000 for the courts that were the control group.

National Evaluation Program. Under the National Evaluation Program, the Institute has supported assessments of a wide variety of criminal justice programs. The initial Phase I assessments are state-of-the-art reviews of major categories of programs—street lighting projects, for example—or functional area—family counseling activities, for instance. Twenty-seven have been completed on such topics as: pretrial screening projects, treatment alternatives to street crime, halfway houses, and early warning robbery reduction projects. The Phase I assessments funded in 1979 are police liaison offices, family counseling units, and screening and evaluation of mental health services.

The Phase I studies describe the program in question, present information gathered in representative program sites, assess the utility and reliability of existing data, and identify aspects requiring further investigation. The initial assessment also includes a pre-test of a design for a more intensive Phase II evaluation.

Policing Urban Mass Transit Systems. Among the Phase I studies published this year was a review of the crime problems in bus and rapid rail systems and the various approaches for policing transit networks. Crime on either bus or rail is far less serious than in the surrounding neighborhoods, the evaluators found. Of the crimes that do occur, certain types are common to certain types of transit systems. For example, pocket-picking and purse-snatching are especially prevalent on rapid rail systems where the large crowds afford ample opportunity for petty thievery. By contrast, robbery was once fairly common on bus systems but has been all but eliminated since the introduction of "exact fare" boxes. The evaluators also reported that riders are more likely to be victimized on rail rather than buses. And many also believe they are vulnerable on subways, a perception that influences ridership patterns.

Little is known about effective police strategies for curbing transit crime, the evaluators say. Adding more officers in a particular area—or so-called saturation patrol—does seem to deter crime, although it may displace criminal activity to another area. Another increasingly common policing strategy is the various electronic or communication devices recently introduced in transit systems. At this early juncture, many of these devices seem to have both pluses and minuses. On the positive side, some emergency equipment such as silent alarms and 2-way radios appear to deter would-be offenders, although the high rate of false alarms on buses tends to discourage police cooperation. Nor are video devices suitable for older systems where the multiple passageways and hidden corners tend to hinder visibility. An added problem is the need to monitor the video screens continuously. Some of these problems may be solvable, the evaluators report. In at least one jurisdiction, transit authorities are experimenting with a silent call-back signal which enables the driver to notify officials of a false alarm.

A key question is whether an enforcement unit dedicated solely to policing the transit system is more desirable than one that is part of the local police force. The views of transit authorities were mixed on this question. However, the evaluators concluded that a dedicated unit is more desir-

able when the transit system serves a network of jurisdictions, since policing the subways or buses does not compete with other law enforcement duties. Also arguing in favor of a dedicated unit is the special character of rapid rail systems. High-speed trains, rush-hour crowding, and electrified rails—all pose special problems that require some degree of specialized training and on-the-job experience.

Victim/Witness Programs. By most accounts, victims and witnesses need far more help than they typically receive. To furnish some of the needed services, LEAA has provided seed money for installing victim/witness programs throughout the country. An evaluation of roughly 280 programs found that the programs are serving the needs of their clients. Whether they are assisting victims or witnesses or—in a few cases—both types of clients, the programs are viewed favorably by the participants as well as by criminal justice personnel.

Witness programs notify their clients of impending court dates; arrange for transportation, protection, and child care; and assist witnesses when they come to court. Victim programs, often operating round-the-clock, provide counseling and refer their clients to the appropriate service agencies.

Generally, the witness programs handle a large number of clients at a relatively low cost. Victim programs incur higher cost because they provide counseling and other relatively expensive services necessary to assist a victim. At this stage, the impact of the victim programs is difficult to gauge, the evaluators report. For example, the effectiveness of counseling is largely uncertain, partly because the evidence needed to furnish an answer would require long-term experimental research. By contrast, the more immediate impact of the witness programs has yielded more information. Witnesses no longer make fruitless trips to the courthouse or waste undue hours waiting for their cases to be heard. By the same token, police officers appearing as witnesses save time as well. And the programs have helped reduce the number of cases dismissed because witnesses failed to appear. Overall, the witness appearance rate has been boosted by 10 to 15 percent.

Pretrial Release Programs. Under many State statutes, defendants may be confined only if there is a possibility that they will not appear in court, not if they pose a risk to the community. Growing concern about releasing would-be lawbreakers has sparked wide-spread debate, but despite

the obvious importance of the topic, little is known about the extent of pretrial criminality or the number of defendants who fail to appear in court.

A Phase I assessment of pretrial release practices revealed the paucity of knowledge about rearrests and failure-to-appear rates. Few of the pretrial programs surveyed had any data on the number of defendants rearrested, and even fewer knew whether defendants had been released on any type of surety other than bail. Nor is anything known about whether the type of release—bail, release-on-recognizance, supervised release—or the factors governing release decisions are related to misconduct.

A more intensive Phase II assessment by the Lazar Institute is studying the many unresolved issues, collecting information not only on rearrest and failure-to-appear rates but also on how release decisions are made. Along with this data, Lazar is looking at particular pretrial release programs to assess their costs and effectiveness. The assessment is expected to be enhanced by the addition of data from jurisdictions without such programs.

Lazar has collected extensive data on more than 5,000 defendants including information on their family and community ties, employment status and other socio-economic factors, as well as each defendant's arrest record, type of release, and related aspects of their pretrial status. The analysis of the data is not yet completed, but the tentative findings at this stage focus chiefly on pretrial criminality.

Roughly one-sixth of the defendants were rearrested before their court appearance for the first offense, and one-third of this number were rearrested more than once. More often than not, the defendant's second offense during the pre-trial period was less serious than the first. For nearly half the cases, the defendants' rearrest took place early in the pretrial phase—within 4 weeks of the initial arrest; the other half were rearrested within 8 weeks. Looking at the entire sample, Lazar has drawn a very tentative profile of those who are more likely to be rearrested. Usually, their initial crime is more serious than that committed by defendants who are not rearrested. They also are more likely to have a prior record and to be on probation or parole or pretrial release at the time of their initial arrest, and they usually are unemployed or receiving public assistance. When defendants failed to appear in court or were rearrested one or two times, the courts either did nothing or they set or raised the bail level. Only after the third rearrest did the pattern change significantly, Lazar

reported, with more defendants being detained or higher bail amounts set.

The study tentatively suggests so far that "high risk" defendants might be identified with a greater-than-average chance of accuracy. If so, the development of prediction tools might enable judges to make "safer" decisions about releasing a defendant. Similarly, by knowing more about how supervised and other forms of release bear on pretrial criminality, it may be possible to isolate the "high risk" defendants for whom certain types of supervision might help reduce the chances of their committing another crime.

Federally-funded Improvement Programs. During 1979, the Institute evaluated several of LEAA-funded national programs including the Community Anti-Crime Program, the Integrated Criminal Apprehension Program, Project Sting, and the Career Criminal Program.

Career Criminal Programs. Special career criminal units now operate in many prosecutors' offices throughout the country. Their function is to identify suspects whose criminal histories earmark them as serious habitual offenders and pursue their cases diligently. These cases typically are assigned to a single, experienced prosecutor who carries out a prompt, careful investigation. Prosecutors often recommend the full sentence for the charge, and plea bargaining is the exception, not the rule.

The Institute evaluators examined four of the jurisdictions participating in LEAA's program. Because the assessment found only modest improvements in the measures used for gauging effectiveness, the evaluators concluded that the sites were already prosecuting offenders quite vigorously before the special unit was formed. It should be noted, however, that other sites have demonstrated more striking changes for identical measures of performance.

Among the four units, the evaluators found little change in the number of convictions or dismissals. On the other hand, the strength of convictions—convictions for the most serious charge—increased in several sites, which in turn resulted in longer sentences for some cases. In two of the four units, more defendants were convicted of the top charge and more pled guilty to the top charge; in another site these measures could not be obtained; and in the last, the strength of conviction did not change.

Many of the measures for assessing the programs are outside the prosecutor's control, the evaluators noted. The rate

of convictions, for instance, depends on the strength of the evidence and the availability of witnesses. The length of sentences is decided by judges. However, the strength of conviction, which did change, is up to the prosecutor, who decides the charges and prepares a case so that the charges will stick. For this reason, the evaluators concluded that the program was "an intensification" of the prosecutors' role, rather than a radical departure.

In FY 1979, the Institute launched evaluations of other discretionary programs including LEAA's comprehensive crime prevention program and the anti-fencing program known as "Sting." Funds were also allocated during the fiscal year for evaluations of Institute-sponsored field tests on commercial security and pre-release centers.

Evaluation: A Science in its Infancy. Evaluations of social programs, no matter how well designed, are difficult to execute. An evaluation often rests on the adequacy of the data which may be difficult to obtain. Existing records may be incomplete or not comparable to data on similar programs. These shortcomings, along with inadequate measurement tools, often make it difficult to gauge the strength of a program. Despite these deficiencies, however, it is feasible to draw tentative conclusions. These findings then become part of a growing body of knowledge about criminal justice practices as more programs are developed and assessed.

Last year, the Institute published the "Review of Criminal Justice Evaluation, 1978," prepared with the assistance of the National Criminal Justice Reference Service. The Review reports on findings accumulated from numerous evaluations and assesses the state of the art in criminal justice evaluation. It summarizes the Institute's evaluation activities, synthesizes the findings of the knowledgeable researchers in the various areas of criminal justice, and

suggests future evaluation needs. Despite the limitations in the design and methodology of many evaluations, the trends depicted by the findings suggest a fairly positive view of criminal justice practices. However, the science of criminal justice evaluation still needs to be refined and improved considerably, the report states. Moreover, most evaluations conducted so far address only the first of four basic questions:

- Are the programs working?
- Are the programs producing the desired results?
- Are the results of the programs commensurate with the funds spent?
- Are there better ways to attack and solve society's problems?

Similar thoughts are voiced by James Tien in a paper published this year under Institute auspices. In "Toward a Systematic Approach to Program Evaluation Design," the author notes that many evaluations in the past have not lived up to expectations, largely because their evaluation designs are imprecise. And he adds, while many evaluations have assessed the implementation of a program, and to a certain degree its workings—or "process"—fewer have assessed its impact. Nor, for that matter has any evaluation explored what he calls "systemic measures"—a program's impact on other organizations over a long time period, its suitability for adoption by other jurisdictions, and its policy implications—the possible policies ranging from altering the program slightly to trying different approaches altogether. The author then outlines a conceptual approach for evaluators which is not, he emphasizes, a "cookbook": that type of step-by-step guide awaits an improved methodology. Rather, he offers a framework for putting together a cohesive evaluation as a first step toward designing systematic and comprehensive assessments.

In an ideal world, there would be no gap between research and action. Potentially beneficial results would gain the attention they deserve and soon find their way into everyday practice.

In reality, of course, the process is considerably more difficult and the pace of application much slower. First, sufficient findings must be assembled, their reliability weighed, and their practical implications assessed. The hypotheses that emerge must be shaped into programs and assessed under varying field conditions, preferably with the rigor of an experimental design. Evaluation results must be analyzed to determine the merits of the hypotheses and how particular aspects of experiments fared under varying conditions. Depending on the outcome, further leads for research and field experimentation may emerge, or concepts may be ripe for implementation as action programs by operating agencies. Throughout the process, communication with both researchers and practitioners is essential to enhance understanding of what is and is not known about specific innovations.

At the Institute, responsibility for managing this process is assigned to the Office of Development, Testing and Dissemination. The overall goals of the Office are shaped by the Institute's legislative mandate, which directs it to test concepts and then make recommendations for action to improve criminal justice, to disseminate the results of its research, and to serve as an international clearinghouse of information relating to crime and justice. The Office attempts to balance the practical needs of criminal justice agencies for timely information about new or improved approaches with the requirements of a sound applied research process that can enhance practices in the field and contribute to knowledge about the criminal justice process.

Program Models. The process starts with the pulling together of available knowledge. Sometimes the review of research yields no immediate insight for action. Rather, it may suggest aspects of the problem requiring further investigation. If results are sufficient and reliable, however, the Institute proceeds to synthesize research and evaluation data and publish the findings in Program Models reports. These reports also review practical experience and expert opinion on the topic, and present the advantages and disadvantages of various approaches to dealing with the problem.

In 1979, the Institute completed four Program Models:

Arson Prevention and Control probes the problems traditionally plaguing arson detection—namely, limited understanding of the nature and incidence of the crime and lack of cooperation among the various authorities charged with investigating it. The report outlines measures for controlling arson based on the experiences of especially successful programs throughout the country.

Victim Compensation Programs guides officials in setting up and operating a statewide victim compensation program. Among the issues discussed in the report are alternative approaches to location and staffing, public awareness, application procedures, program coverage, eligibility criteria, benefits, and costs.

Criminal Justice Planning for Local Governments offers advice about launching or improving criminal justice planning within local government, suggesting various activities and organizational arrangements for the planning function.

Unification of Community Corrections presents organizational alternatives for a unified approach to local corrections. Three models are described—a county-administered model, a multijurisdictional local government approach, and a State-administered decentralized model. Each type is illustrated with examples of successful programs.

Field Experiments. When particularly significant concepts and strategies are identified through research and Program Models development, the next requirement is to examine them carefully under operating conditions. The Institute's field test program is an applied research effort that critically examines the operations and effects of new policies and practices in a variety of localities across the nation. The Institute funds both the test sites and an independent assessment of the experiment. The evaluation, sponsored by the Office of Program Evaluation, focuses both on the effectiveness of the practices tested and their transferability to other jurisdictions.

An Institute team—chaired by Office of Development, Testing and Dissemination staff and composed of research, program development, and evaluation staff—develops the test design, which spells out the experimental conditions for implementation and evaluation, defines the methodology and the hypotheses to be tested, and specifies criteria for selecting the experimental sites.

Candidate test sites are chosen on the basis of their

capability to implement the rigorous design. During the test period, the office aids the sites by providing training and other technical assistance necessary to implement the experiment.

In 1979, the Office awarded funds to Maryland and Florida for a field test of **multi-jurisdictional sentencing guidelines**. For the experiment, four courts within each State will develop and implement a common set of guidelines. The aim is to determine the feasibility of installing and using guidelines in a multi-jurisdictional setting and to assess the effectiveness of the guidelines in enhancing sentencing consistency both within, and among, the jurisdictions.

Other field tests launched by the Office were:

Commercial Security—to learn whether business owners can reduce the risk of burglary, robbery and larceny by bolstering the security of their establishments. In this cooperative effort by police and businessmen, the key tool is a security checklist for assessing the adequacy of the business premises against losses from crime.

Structured Plea Negotiations—to determine whether formalized plea bargaining sessions make the process more efficient and the agreements more equitable. The participation of victims and defendants in the sessions is among the key aims of this experiment, a departure from the usual "behind-the-scene" negotiations for obtaining a guilty plea.

The experiments designed in FY 1979 were implemented in 1980. Each field test runs for 18 months. Among the programs designed previously and still in progress are:

Managing Patrol Operations, in Sacramento, California; Albuquerque, New Mexico; and Charlotte, North Carolina; and **Pre-Release Centers**, in New Orleans, Louisiana; Philadelphia, Pennsylvania; and Baltimore, Maryland.

If the test results suggest that further replication is warranted, the Institute refines the experimental design, specifying those elements of the model that worked and those that failed. Based on the results of earlier tests, a refined **Program Design** on managing team policing was published in 1979 and another on managing criminal investigations was developed for publication early in 1980. The Program Design pulls together the lessons learned from the field tests, and serves as a guidebook for the practitioner on what to do, how to do it, and what to avoid.

The following discussion of the Program Design on managing criminal investigations demonstrates the refinement of a program based on its application in the field.

Managing Criminal Investigations. The concept of this experimental program draws on earlier Institute-sponsored research which suggested that too much emphasis was placed on the detective's role in follow-up investigations and too little attention was given to the patrol officer's potential role during the initial investigative stage. The program sought to address these findings by redefining the roles of the detective and patrol officer in terms of what each could realistically contribute to the investigative process. The resulting model approach consisted of five elements:

- Expanding the role of patrol officers in preliminary investigations to include, among other things, the responsibility for detecting and documenting the key "solvability" factors critical to the solution of a case.
- Screening out cases that offer little likelihood of solution.
- Carefully reviewing and supervising case workload and thoroughly monitoring case progress.
- Improving police/prosecutor relations.
- Developing an investigative management information system.

The Institute tested and evaluated this model in Rochester, New York; Birmingham, Alabama; Santa Monica, California; St. Paul, Minnesota; and Montgomery County, Maryland.

From the evaluation of the field test and the experiences of the sites, the Program Design summarizes the results of the experiment and provides an implementation guide for police departments planning to adopt similar programs. Based on this first experimental alteration of traditional police roles, the program did not appear to improve the effectiveness of investigations; arrest and clearance rates remained at the same level. Nevertheless, the efficiency of criminal investigations did improve, suggesting that a satisfactory level of performance can be maintained with fewer resources—a potential cost-savings benefit for departments.

The improved efficiency is attributable to certain elements of the program and to special procedures implemented by the test sites. As identified in the program design, these "conditions for success" are the ingredients necessary for

achieving a similar level of efficiency in other settings. For instance, if patrol officers are to assume more of the investigative responsibilities, then a case screening system must be devised to reduce other aspects of their workload, particularly the less urgent calls for service. And, since fewer investigations will be followed up, some type of "call back" system must be implemented to notify citizens of the reasons for "inaction." Finally, since the program is keyed to flexibility in adjusting to fluctuations in criminal activity, a system for monitoring these changes—and the progress of ongoing investigations—is critical. The Program Design includes a model for such a system.

Perhaps the most significant lesson learned from the experiment is the importance of establishing a solid foundation for the program. Since the concept is a significant departure from traditional policing, it requires an equally significant shift in perspective on the part of the entire police department. For this reason, the report emphasizes the importance of training in preparing the way for the program's implementation. It also gives detailed descriptions of various training approaches and the appropriate audiences.

Exemplary Projects. Locally-developed innovations also are candidates for the Institute's knowledge utilization program. Through the Exemplary Projects program, the Institute identifies criminal justice initiatives at the local or State level whose merits have been verified by evaluation. Candidates are submitted by local agencies, screened by Institute staff, and validated by an independent contractor. Final selection is made by a review board of Federal, State, and local criminal justice officials. Projects that earn the Exemplary designation—only 32 out of 600 candidates to date—are publicized through brochures and manuals and through workshops for local officials. Some Exemplary Projects also have been the underpinnings of Program Models and field tests, thus contributing to the body of knowledge about promising concepts and practices.

Last year, three programs achieved Exemplary status:

Project CREST (Clinical Regional Support Team) of Gainesville, Florida, uses volunteer graduate students to counsel selected juvenile offenders on probation. CREST volunteers provide an estimated 102 hours of counseling a week at a cost of about 32 cents per day for each youngster.

The Witness Information Service in Peoria Illinois, provides a range of services for notifying and informing

witnesses involved in criminal cases. Witnesses aided by WIS had a 17 percent higher appearance rate than those who did not receive the services.

The Major Violator Unit of San Diego, California, focuses on the career criminal—particularly the repeat robbery offender. Of the 450 defendants processed by the unit, 96 percent were convicted of the top felony charge; sentence lengths increased—averaging 8.8 years versus 4.3 years before the program; and incarceration rates rose to 100 percent.

Host Program. For officials seriously interested in implementing innovations in their own localities, there is the Institute's Host program. Selected Exemplary Projects are designated "host" sites. Officials considering adoption of similar programs can visit the "host" for up to 2 weeks, learning first-hand how the program works.

In the 2-½ years since it began, the program has sponsored visits by more than 150 officials to Exemplary Projects. Approximately 85 percent of the visitors surveyed during 1978 reported that they had adopted part or all of a Host project.

Policy Briefs. A part of the Institute's dissemination strategy is devising the right tool for the right audience. Policy Briefs are an example of this strategy. Launched in 1979, the new publication series is designed specifically for lawmakers and government officials. Policy Briefs are concise descriptions of a specific innovation or emerging trend in criminal justice. They briefly describe the particular approach and the actions officials can take to institute the approach. They also include sample legislation and references to additional information on the topic. Policy Briefs have been published on Administrative Adjudication of Traffic Offenses, Neighborhood Justice Centers, and Career Criminal Programs.

Workshops for Decisionmakers. Workshops for key practitioners and researchers are another avenue for ensuring that research results are communicated to appropriate audiences. In 1979, workshops were held for more than 1,500 senior officials throughout the country on:

- Maintaining municipal integrity,
- Managing the pressures of inflation in criminal justice,
- Operating a defender's office, and
- Improved probation strategies.

At the request of officials who attended the workshops, local follow-up sessions were held for their own staffs with the sponsors paying all except the trainers' expenses which were underwritten by the Institute.

Another series of workshops brought together researchers and policy officials to exchange views on major national issues. In 1979, the eight Special National Workshops included:

- An **urban crisis** workshop in which mayors, police chiefs, and chief prosecutors tested a step-by-step plan for preventing and managing large-scale civil disorders;
- A workshop on **performance measurement** to acquaint public interest groups with the research in this area;
- A **career criminals** workshop in which criminal justice officials and researchers exchanged views on their respective experiences in prosecuting habitual offenders and in studying the host of issues surrounding the detection of serious offenders;
- A conference on **historical approaches to studying crime** focusing on promising trends for future research; and
- A workshop on the **state of the art in crime control**, in conjunction with the National Governor's Association and the National Conference of State Planning Agency Directors, to report research findings on key issues in criminal justice to governors, legislators, and other State officials.

Information Clearinghouse. Through the National Criminal Justice Reference Service, the Institute provides an international clearinghouse for researchers and practitioners. The Reference Service offers a wide range of distribution and notification services, informing its more than 47,000 subscribers of the latest research and operating experience in criminal justice. Its computerized data base contains more than 46,000 documents, and reference specialists can give quick responses to individual queries on criminal justice topics. A limited number of single copies of reports published by the Institute are provided free to subscribers. Selected foreign documents are available in English translation.

Each month, the Reference Service notifies subscribers through its Selective Notification of Information bulletin of the latest noteworthy additions to its collection. It also

compiles bibliographies on key issues in criminal justice. Through a range of publications—from brochures to annotated bibliographies—the Reference Service reaches audiences ranging from criminal justice researchers to community groups. Last year the Reference Service published 15 bibliographies on such subjects as speedy trial, the female offender, and arson. In building an array of useful dissemination tools, the Reference Service recently inaugurated the Share Packages, a circulating file of public information materials on topics such as crime prevention, to encourage information exchange among criminal justice agencies.

Crime and Justice. The year 1979 also marked the publication of the first volume of "Crime and Justice," an annual review of research prepared under Institute auspices and published by the University of Chicago Press. Edited by Norval Morris, Julius Kreeger Professor of Law and Criminology at the University of Chicago law school, and Michael Tonry, Associate Professor of Law at the University of Maryland law school, the commissioned essays are written by prominent scholars for an audience of researchers, practitioners, policymakers and concerned citizens. The Reference Service furnished administrative and research assistance on the Volume.

The Institute funds the review as a way to broaden awareness about the growing body of knowledge about crime and justice. The review integrates the significant work in criminal justice research that has been emerging from an ever-widening number of disciplines. Essays on youth violence, the police role, and theories about the causes of crime were among the articles featured in the first volume. The second volume is scheduled for publication in 1980.

Technology Assessment. Because equipment is a major budget item for law enforcement agencies, the Institute sponsors the testing of particularly significant items and disseminates the results. The program rests on a partnership between the Institute-funded Standards Laboratory, at the National Bureau of Standards, and the Information Center, operated by the International Association of Chiefs of Police (IACP), under an Institute grant.

The laboratory develops standards for how equipment should perform, devising a precise and measureable test for

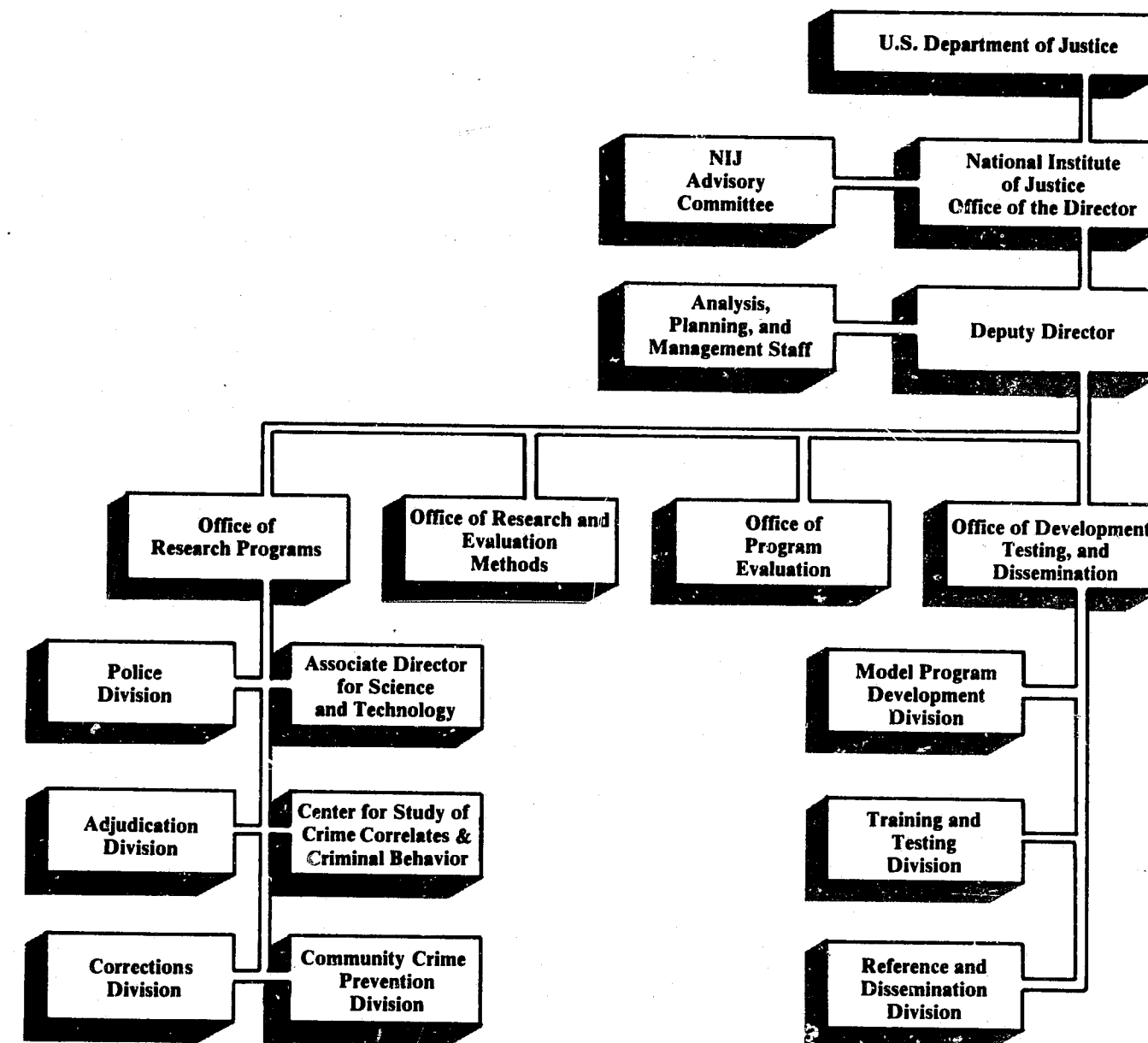
equipment on the market. Tests by independent laboratories are supervised by the center at IACP to learn if the available equipment meets the minimum performance standards. Government buyers can cite the standards, eliminating from competitive bidding those products that do not comply with the criteria. The tests results give the buyer added protection, serving as a consumer guide to the performance of specific products.

In a survey of buyers in local and State governments, half the respondents reported using the standards, saying that they saved time in research and elicited a better quality of product without an increase in cost. The U.S. Marshals' service also reported cost-savings on their purchase of special radios. By choosing the lowest bidder whose equipment met the standards, rather than the manufacturer whose equipment was listed on the GSA discount schedule, the marshals saved taxpayers more than \$500,000.

Special Information. The Institute disseminates the results of its work in various professional journals, in the OJARS newsletter, and in a bulletin issued to the research community. Each year, the Institute publishes its annual program plan, outlining proposed efforts for the coming fiscal year. This report to the Congress is the last annual report the Institute will publish. It will be superseded by a biennial report as mandated by the Justice Assistance Improvement Act of 1979.

Toward a Better Understanding of Change. The last decade has seen significant advancements in the quality of research on criminal justice and growing awareness by the field of the products of these efforts. The various ways in which the fruits of research are converted into practice in criminal justice—and in other fields—are not as well understood as they might be. In FY 1978, the Institute awarded a grant to the Rand Corporation to address this issue. Envisioned as a multi-year effort, the study will analyze the process of knowledge utilization and identify the factors affecting the successful use of new information. The researchers will examine the manner in which information pertaining to research findings and innovative programs is diffused throughout the criminal justice community, and in turn, the way in which this knowledge is adopted by practitioners and policymakers.

Organization of the National Institute of Justice



FY 1979 Awards

Office of the Director

79-NI-AX-C005
Title: Contract for Technical Assistance
Grantee: Koba Associates, Inc., 2001 S Street, N.W., Suite 302, Washington, D.C. 20009
Project Director: John Bellasai
Amount: \$630,939
Grant Period: 5/31/79-5/31/81

The Institute uses the peer review process to ensure fair and knowledgeable evaluation of its proposals and reports. This award furnishes the necessary technical assistance for conducting the review of Institute-sponsored efforts.

Visiting Fellowship Program

79-NI-AX-0053
Title: Procedural Justice in Parole Revocation
Grantee: Thomas Pavlak, Graduate School of Public and International Affairs, 3603 Forbes Quadrangle, Pittsburgh, Pennsylvania 15260
Amount: \$49,783
Grant Period: 9/1/79-8/31/80

Dr. Pavlak, a Visiting Fellow, is studying parole revocation practices in the light of recent legislative and judicial decisions mandating procedural safeguards. He will examine the impact of the procedures on parole revocation decisions and on the administration of the hearing. He also will investigate whether the hearing and the decision itself seem fair to parolees, parole officers, and other key participants. In addition to a literature search and a mail survey, Dr. Pavlak will visit six to nine parole agencies and conduct interviews with the key participants. The findings of his research will be presented in a monograph.

79-NI-AX-0073
Title: Employment Opportunities and Crime
Grantee: Samuel L. Myers, Jr., Department of Economics, University of Texas, Austin, Texas 78712
Amount: \$25,414
Grant Period: 12/1/79-8/31/80

As a Visiting Fellow, Dr. Myers will study the link between employment opportunities and crime and the relationship between criminal activity and the response of the criminal justice system. He will undertake three separate studies: the effects of pre-prison employment experiences on similar experiences after imprisonment; the effects on recidivists of an unstable employment history before imprisonment; and the impact of a criminal record on post-prison employment experiences. In addition to a technical paper on each study, Dr. Myers will write a monograph discussing the econometric techniques he employed for the studies as well as the findings of his investigation.

79-NI-AX-0077
Title: New Evidence on the Nature of Courts
Grantee: Samuel Krislov, Brandeis University, Department of Politics, Waltham, Massachusetts 02154
Amount: \$23,036
Grant Period: 4/1/80-7/31/80

During his Visiting Fellowship, Dr. Krislov will assemble numerous studies on the adjudication process to derive a new picture of what the courts, as an institution, actually do. Among the resources he will use for his inquiry are studies funded by the Institute, data collected by the Bureau of Justice Statistics, information from the Federal research program of the Justice Department's Office for Improvements in the Administration of Justice, as well as studies originating in the academic sector. In collecting this information, he will focus on case load studies, the relationship between courts and their clients, the nature of court interaction, the relative costs of settling various types of disputes, and the varying aims of participants in the adjudication process. He will write a monograph and several articles describing the findings of his inquiry.

79-NI-AX-0078
Title: Interpreting Services in American Criminal Courts, Phase II
Grantee: Research Foundation for State University of New York at Albany, P.O. Box 9, Albany, New York 12222
Project Director: Carlos Astiz
Amount: \$59,553
Grant Period: 1/1/80-8/31/80

This award continues a nationwide study on the need, availability and quality of interpreting services for non-English speaking defendants in the criminal justice system, funded under the Visiting Fellowship program. The study includes a literature review, a survey of court decisions, and field work in eight sites. Among the products of the study will be an analysis of existing legislation and court decisions related to the use of interpreting services in adjudication proceedings, the criteria for court officials to use in providing interpreters, and a report on the field study.

Office of Research Programs

Center for the Study of Crime Correlates and Criminal Behavior

79-NI-AX-A003
Title: Follow-up of TASC Clients
Grantee: National Institute of Drug Abuse, Office of Program Development/Analysis, 11400 Rockville Pike, Rockville, Maryland 20852
Project Director: Harold M. Ginzburg
Amount: \$200,000
Award Period: 6/15/79-6/14/80

A Congressional mandate required NILECJ to collaborate with the National Institute of Drug Abuse (NIDA) to investigate the relationship between drugs and crime and to evaluate drug treatment. One of the major efforts under the mandate is a study by NIDA on treatment for drug abusers. This award supports the portion of the study focusing on drug abusers who have become involved with the criminal justice system, particularly those who have entered the drug treatment program—Treatment

Alternatives to Street Crime (TASC). This group will be compared to other offenders as well as clients of the program who have not been involved with the criminal justice system. The study will assess the success of treatment as well as other salient factors

79-NI-AX-0038
Title: National Evaluation of Pretrial Release (Phase II: Continuation)
Grantee: The Lazar Institute, 1800 M Street, N.W., Washington, D.C. 20036
Project Director: Mary A. Tobog
Amount: \$292,957
Grant Period: 5/11/79-2/10/81

This award continues the Phase II evaluation of pretrial release begun under grants No. 77-NI-99-0050 and No. 78-NI-AX-0089. The evaluation is designed to fill gaps in knowledge about the results of releasing defendants—whether they are released and, if so, whether they fail to appear in court or are rearrested. In addition, the study is examining the nature of release practices in a variety of local settings. The activities of this phase of the project include: analyzing the results from experiments with control groups to test the impact of programs on defendants; assessing the mechanisms for making pretrial release decisions; and comparing the results of the programs with those from two jurisdictions without programs. The final report will integrate the findings from all of the studies conducted during the Phase II evaluation.

79-NI-AX-0055
Title: Study of Criminal Careers
Grantee: The Rand Corporation, 1700 Main Street, Santa Monica, California 90406
Project Director: Peter Greenwood
Amount: \$689,006
Grant Period: 7/16/79-7/15/81

This award continues Rand's research on career criminals, funded under the Research Agreements program. Among the key questions addressed by this research are: How many crimes had inmates committed prior to imprisonment? Are the criminally active offenders distinguishable from others? Given a variety of sentencing schemes, how many more crimes are prevented by incarcerating the most active versus the less active offenders? To address these questions, Rand has surveyed increasingly larger samples of prison inmates through the use of self-reports. Results of two surveys have already been analyzed. This award enables Rand to analyze the third survey, the self-reports of 2,500 jail and prison inmates in three States.

79-NI-AX-0071
Title: Econometric Studies of the Justice System
Grantee: Stanford University, Hoover Institution, Stanford, California 94305
Project Director: Michael Block
Amount: \$350,000
Grant Period: 9/1/79-6/30/81

This is the third and final phase of the Institute's Research Agreements program with the Hoover Institution. During the first 4 years of the program, the Center for Econometric Studies of the Justice System has applied econometric techniques to a variety of criminal justice problems including deter-

rence, the costs of crime and crime control, and the costs of drug control programs including their impact on property crime. Among the major tasks during the final research phase will be the preparation of a comprehensive report, synthesizing Hoover's research as well as related studies on econometrics and crime. It is expected that this report will assist policymakers, enhancing their understanding of the costs and effectiveness of various crime control strategies. The Hoover staff will also conclude several other studies during this phase, including a project on the deterrent effects of the private sector's enforcement of antitrust, securities and truth-in-lending laws as well as a study on the effectiveness of self-protective measures in deterring property crimes.

79-NI-AX-0076
Title: Workshop on Interdisciplinary Group on Criminology
Grantee: Professional Staff Association, Harbor/University of California at Los Angeles Medical Center, Torrance, California 90502
Project Director: Robert T. Rubin
Amount: \$29,473
Grant Period: 9/1/79-8/31/80

This award provided funds for a November 1979 workshop on criminological research. The participants, representing seven countries, have been engaged in a continuing effort to develop an interdisciplinary approach to research on aggression and violence. This was the fifth meeting of the interdisciplinary group—their first in the United States. The agenda included discussions of three projects currently funded by the Institute. The award also covered the costs of preparing a comprehensive report of the proceedings.

79-NI-AX-0082
Title: Employment and Crime Project—Continuation
Grantee: Vera Institute of Justice, 275 Madison Avenue, New York, New York 10016
Project Director: James W. Thompson
Amount: \$650,000
Grant Period: 12/2/79-6/1/81

Continuing their Research Agreements program with the Institute, the Vera Institute is focusing on the relationship between socio-economic factors and the employment patterns of "high-risk" youths (ages 16-24) in inner city areas where the opportunities for work are scant and the risks of criminal involvement are high. During the first phase of the project (under grant No. 77-NI-99-0059), the grantee reviewed existing literature on the relationships between employment and crime and developed a research design for studying the decisions of high-risk populations to move between crime and employment. During this phase of the project, the grantee will build upon a series of previous field research efforts by conducting an ethnographic study of high-risk New York City neighborhoods, interviewing criminal court defendants and surveying employers of high-risk populations. The results are expected to yield detailed descriptions of the target population's employment experiences and criminal involvement—serving as a bridge to future programs and policies.

79-NI-AX-0087
Title: Cross-National Comparison of Delinquency in Two Birth Cohorts
Grantee: University of Southern California, Social Science Research Institute, University Park, Los Angeles, California 90007
Project Director: Sarnoff Mednick

Amount: \$197,809
Grant Period: 8/27/79-8/26/81

This project will compare criminality in two birth cohorts—one Danish and the other American. The Danish sample resembles a cohort studied in Philadelphia by Wolfgang, Figlio and Sellin (1971). The Philadelphia sample will be replicated, and by comparing it with the larger Danish sample, the findings of the earlier American study can be extended in several ways. In addition to focusing on the interaction of social factors relating to criminality in the two cohorts, this study will devote special attention to data on violent offenders. Methodological techniques such as Markov chain analysis for time series will be used.

79-NI-AX-0106
Title: Processing of Female Offenders in Seven Major Metropolitan Areas
Grantee: University of Michigan, Institute for Social Research, 426 Thompson Street, Ann Arbor, Michigan 48104
Project Director: Rosemary Sarri
Amount: \$165,304
Grant Period: 9/24/79-1/23/81

Data from the Prosecutors' Management Information Systems (PROMIS) and similar information sources has proven to be a valuable resource for studying jurisdictional differences in processing the cases of male and female defendants. This study will analyze data from seven metropolitan jurisdictions to determine the effect, if any, of gender on case processing. Decisions made by criminal justice officials will be examined. In addition, the study will go beyond previous research by isolating the important variables that affect judicial decisions regardless of a defendant's gender. The aim of the study is to build better knowledge about adult female offenders—the types of offenses they commit and the response of the criminal justice system.

79-NI-AX-0127
Title: Interdisciplinary Study of Criminal Violence
Grantee: University of Pennsylvania, Center for Studies in Criminology and Criminal Law, 3451 Walnut St., Philadelphia, Pennsylvania 19104
Project Director: Marvin Wolfgang
Amount: \$649,641
Grant Period: 1/1/80-12/21/81

Funded under the Institute's Research Agreements program, the newly formed Center for the Interdisciplinary Study of Criminal Violence will conduct research on the correlates, causes and control of criminal violence. Emphasis will be placed on interdisciplinary research, longitudinal in nature. During the 2 years of this grant, detailed sociological, psychological, and biological data from several data sources will be analyzed; pertinent literature published since 1945 will be reviewed; a clearinghouse for information on violence will be established; and plans for further research will be formulated.

79-NI-AX-0135
Title: Victimological Research Agenda Development
Grantee: Mitre Corporation, 1820 Dolley Madison Boulevard, McLean, Virginia 22101
Project Director: Joseph Sasfy
Amount: \$49,905
Grant Period: 10/1/79-9/30/80

This grant will explore possible topics for Institute research on the characteristics of victims and the interactions of victims and defendants in relation to the dynamics of criminal behavior. Under this grant, papers will be commissioned on the state-of-the-art of knowledge for each topic area and the potential contribution of the research to furthering an understanding of the causes and prevention of crime. A 2-day colloquium will be held to review, analyze, and discuss the papers. The final report will summarize the results, develop the implications of the results for related programs, and furnish an agenda of recommendations for long-term research—ranked by priority.

Community Crime Prevention

79-NI-AX-0026
Title: Re-evaluation of Hartford Neighborhood Crime Control Program
Grantee: University of Massachusetts, Center for Survey Research, Harbor Campus, Dorchester, Massachusetts 02125
Project Director: Floyd J. Fowler
Amount: \$168,522
Grant Period: 3/26/79-3/25/81

This research is a follow-up to two previous awards which funded the design of a comprehensive residential crime control program, supervised and documented its implementation, and evaluated its short-term effects. The program was installed in a neighborhood in Hartford, Connecticut and included changes in the physical environment, in police procedures, and in community activities—all designed to reduce the area's worst crime problems, chiefly burglary and robbery. An initial evaluation of the program in 1977 showed a decrease in both the burglary and robbery rates and the residents' fears of crimes. This re-evaluation, conducted 3 years after the program was implemented, will attempt to determine if these initial effects have endured. The evaluation also will assess the longer-term effects, such as the residents' attitudes toward their neighborhood and the economic health of the community, examining whether these factors have improved as well.

79-NI-AX-0035
Title: A Study of Collective Disorders
Grantee: University of Michigan, Institute of Labor and Industrial Relations, Ann Arbor, Michigan 48109
Project Director: Louis Ferman
Amount: \$318,640
Grant Period: 4/16/79-7/15/81

This is the initial project in a new, long-term program of Institute research on collective violence. Among the project's aims are to enhance an understanding of the causes and dynamics of collective disorders so that effective strategies might be developed for preventing the personal violence and property damage that often accompanies such incidents. The project tasks include a "state-of-the-art" literature review, the collection of data from a sample of law enforcement agencies and a wide variety of activist groups, and an in-depth examination of selected incidents of collective disorders in a large city. Based upon the findings from these phases of the study, the grantee will develop a research agenda for the Institute.

79-NI-AX-0056
Title: Racketeering in Legitimate Industries: Two Case Studies
Grantee: Center for Research on Institutions and Social Policy, 217 Broadway (Room 515), New York, New York 10007

Project Director: Jonathan Rubinstein
Amount: \$129,964
Grant Period: 7/15/79-6/14/80

For this study, the grantee will be applying techniques similar to those employed in his earlier research on the structure and operations of book-making, numbers, and loansharking. Under this award, he will examine the infiltration of organized crime into legitimate businesses, focusing his analysis on case studies of the solid waste disposal and vending machine industries. Hypothesizing that certain structural characteristics of an industry encourage infiltration and domination by organized crime, the grantee will explore this proposition and explain the involvement of racketeering in the economy of legitimate industries.

79-NI-AX-0059
Title: Victims' Network of Support
Grantee: Victim Services Agency, Research Department, 2 Lafayette Street, New York, New York 10007
Project Director: Robert Davis
Amount: \$261,815
Grant Period: 7/1/79-2/28/81

The project will investigate networks of support for victims. The aim is to determine why and to what degree victims rely on informal networks, and what impact this has on victims and on established victim assistance programs. The grantee will interview a sample of victims and those who aided them in three New York City precincts which have varying crime rates and income levels. The results might suggest ways of modifying existing victim programs to enhance, rather than displace, the informal networks of victim support.

79-NI-AX-0079
Title: Safe and Secure Neighborhoods, Territorial Identification, and the Exercise of Social Control
Grantee: National Opinion Research Center, 6030 South Ellis Avenue, Chicago, Illinois 60637
Project Director: Richard Taub
Amount: \$124,919
Grant Period: 10/1/79-3/31/81

The neighborhoods to be investigated in this project are located within four larger communities, which are the focus of a previous study by the grantee funded under grant number 78-NI-AX-0131. The smaller neighborhoods have relatively low crime levels despite the high crime rates of the larger communities. This study will investigate how residents form an identification and attachment to their neighborhood and, in turn, a sense of social solidarity. These factors of social cohesiveness, the study hypothesizes, contribute to the exercise of social control and lead to reduced crime and improved safety. The grantee will gather information from resident surveys and crime statistics as well as from data collected under the previous grant.

79-NI-AX-0080
Title: Safe and Secure Neighborhoods
Grantee: Research Triangle Institute, P.O. Box 12194, Research Triangle Park, North Carolina 27709
Project Directors: Jay Williams and Stephanie Greenberg

Amount: \$124,479
Grant Period: 9/11/79-3/10/81

This project complements work performed under grant No. 79-NI-AX-0079. It will focus on factors that enable neighborhoods to maintain their safety and security despite their proximity to high crime areas. The factors to be examined are: territoriality, information exchange, formal neighborhood organizations, and informal surveillance. After a preliminary model is developed for explaining the hypothetical relationships of these factors, a case study will be conducted in a large city. Various neighborhoods will be selected for the study, matched according to their differing crime rates, racial composition, and income levels. The results are expected to enhance understanding of the causes and prevention of crime and—more specifically—to aid in the design of cooperative crime deterrent programs.

79-NI-AX-0081
Title: Relationship of Juvenile Delinquency and Adult Crime to Changes in the City Structure
Grantee: University of Iowa, Iowa Urban Community Research Center, 117 MacBride Hall, Iowa City, Iowa 52242
Project Director: Lyle Shannon
Amount: \$117,696
Grant Period: 9/30/79-2/29/81

The grantee will draw on crime and delinquency data collected for three cohorts born in 1942, 1949, and 1955. In addition, the study will use information on the housing characteristics of a midwestern city, which was collected in the 1960 and 1970 census. The grantee will analyze the data sets to test hypotheses about the relationships between urban ecological characteristics and criminal and delinquent acts. The project is expected to shed further light on the relationship of crime and the physical environment.

79-NI-AX-0090
Title: Theft by Employees in Work Organizations, Phase Two
Grantee: University of Minnesota, Department of Sociology, 1114 Social Sciences, 267 19th Avenue South, Minneapolis, Minnesota 55455
Project Director: John Clark
Amount: \$249,997
Grant Period: 9/16/79-3/15/81

This is the second phase of a study on the nature and scope of employee theft. The first phase was carried out in Minneapolis and St. Paul and included surveys, interviews and on-site observations in retail stores, electronic assembly plants, and hospitals. The second phase will include more extensive observations in a sample of the organizations studied in the first phase as well as additional data collected from retail organizations and hospitals in two other cities. The findings are expected to be useful in preventing and controlling employee theft.

79-NI-AX-0092
Title: Nature and Patterns of American Homicide
Grantee: Southern Illinois University, Center for the Study of Crime, Delinquency, and Corrections, Carbondale, Illinois 62901
Project Director: Marc Riedel
Amount: \$256,292
Grant Period: 10/1/79-12/31/81

This project will lay the foundation for future research on violent crime, one of the Institute's priority areas of research. Each task conducted under this project will yield a research report. The tasks are to: conduct an extensive review of the existing literature on homicide, including a synthesis of available research and the development of a typology for classifying the major patterns of this crime; analyze patterns and trends in homicide over the last decade from an examination of national sources of data; investigate the characteristics and correlates of the crime from an examination of police and medical examiner records in eight U.S. cities; and design an agenda for future Institute research based on the findings of the previous tasks.

79-NI-AX-0119
Title: Study of Arson and Anti-Arson Efforts in a Sample of Jurisdictions in the United States
Grantee: International Association of Fire Chiefs, 1329 18th Street, N.W., Washington, D.C. 20036
Project Director: Donald Flinn
Amount: \$249,346
Grant Period: 10/1/79-6/30/81

This award is for a case study of the resources and efforts applied to controlling arson in 10 jurisdictions. In the localities—each with a population greater than 100,000—the project will examine the organizational arrangements for preventing and investigating arson, the actual incidents of arson, various classification schemes, the effects of laws and statutes on arson incidents, and arrest rates for the crime. In addition, the study will develop profiles of arsonists from existing data. The project is expected to pinpoint the weaknesses in existing procedures and policies and to suggest improvements. The study also will systematically analyze key issues in arson detection and prevention.

79-NI-AX-0130
Title: Development of a Research Agenda on White Collar Crime
Grantee: Battelle Memorial Institute, Human Affairs Research Centers, 4000 Northeast 41st Street, Seattle, Washington 98105
Project Director: Herbert Edelbert
Amount: \$65,370
Grant Period: 10/1/79-9/30/80

Under this award, papers were commissioned on specific topics pertaining to white collar crime, and the authors as well as other experts were convened to discuss the papers. At the meeting, the participants focused on priority topics for future research and discussed the appropriate methodologies for conducting the research.

Police

79-NI-AX-0003
Title: Cross-National Research Coordination
Grantee: The Police Foundation, 1909 K Street N.W., Washington, D.C. 20006
Project Director: George L. Kelling
Amount: \$74,846
Grant Period: 12/14/78-5/13/80

This grant will enable the Police Foundation to coordinate cross-national research on criminal investigations by England, Australia, Sweden, Canada, Holland, and the United States. The grantee will assist researchers in the various nations in developing testable hypotheses, methodology, and instruments; will monitor progress of the research; and will conduct a comparative analysis of the results which will be published in a final report. This grant covers the first year of a 2-year endeavor.

79-NI-AX-0004
Title: Citizen/Police Relations in Police Policy Setting
Grantee: Institute for Social Analysis, 11800 Sunrise Valley Drive, Reston, Virginia 22091
Project Director: Terry Eisenberg
Amount: \$208,764
Grant Period: 1/30/79-9/30/80

This research investigates the rationale, methods, and extent to which communities become involved in police policymaking. The purpose is to determine whether there is a relationship between community involvement in police policymaking and certain important variables such as community satisfaction with police, departmental responsiveness, crime rates, etc.

79-NI-AX-0032
Title: Forensic Sciences Certification Program
Grantee: Forensic Sciences Foundation, Inc., 11400 Rockville Pike, Suite 515, Rockville, Maryland 20852
Project Director: Joseph L. Peterson
Amount: \$125,422
Grant Period: 4/9/79-4/8/80

This grant continues work begun under grants Nos. 76-NI-99-0101 and 77-NI-99-0070 on the design and field testing of certification programs for six of the disciplines comprising forensic sciences. This grant will enable the various boards that have been created to become self-sustaining.

79-NI-AX-0043
Title: Genetic Markers in Human Semen: Application to Analysis of Semen Evidence in Sexual Assault Case Material
Grantee: Oakland Police Department, 455 Seventh Street, Oakland, California 94607
Project Director: Jan Bashinski
Amount: \$118,848
Grant Period: 6/1/79-5/31/81

Genetic typing of semen offers the promise of improving the investigation and prosecution of sexual assault cases by providing a method of corroborating victim identification of an assailant. This project extends previous NIJ research on the typing of genetic markers in human semen from the academic research laboratory to the working crime laboratory. The project will determine which of the known genetic markers in semen can be expected to yield useful typing information for evidence in sexual assault cases, what the potential sources of errors are, and how potential analytical problems can be minimized.

79-NI-AX-0091
Title: Criminal Justice Case Information Requirements

Grantee: Socio-Environmental Research Center, Ltd., 735 West Wisconsin Avenue, Room 1011, Milwaukee, Wisconsin 53233
Project Director: Mary S. Knudten
Amount: \$150,895
Grant Period: 10/1/79-3/31/81

This project will collect data from four police departments and four prosecutors' offices on the types of information desired and needed for different types of cases (aggravated assault, robbery, and burglary). Researchers will examine the uses and relative importance of types of information in making decisions about the investigation of criminal cases from both the police investigator's and prosecutor's perspectives. The intent is to document the rationale and consistent prioritization of prosecutors' information requirements and police departments' investigative procedures.

79-NI-AX-0025
Title: Crime-Focused Policy Activity—Internal Perspectives
Grantee: Michigan State University, Department of Sociology, East Lansing, Michigan 48824
Project Director: Peter Manning
Amount: 195,428
Grant Period: 10/1/79-9/30/80

Various experts and commissions have recommended that police operations focus on crime related activities, de-emphasizing such noncrime work as traffic control. Existing measures of the degree to which a police department is crime-focused are inadequate. This project will seek new and more fundamental measures of police activities that focus directly on crime. It is one of two complementary research projects on the topic. (See also No. 79-NI-AX-0111). This grant examines only the internal aspects of the police agency that influence and shape crime-focused activities.

79-NI-AX-0111
Title: Crime-Focused Police Activity—External Perspectives
Grantee: State University of New York at Albany, P.O. Box 9, Albany, New York 12201
Project Director: William Brown
Amount: \$97,549
Grant Period: 10/1/79-3/31/81

This project is one of two grants that examine crime-focused activities of police. (See also No. 79-NI-AX-0095). The research will develop theories and models of the community environment that relate to crime. The results are expected to define the more fundamental problems of the community that must be addressed by crime-focused police activities.

79-NI-AX-0112
Title: Controlled Preventive Patrol Experiment
Grantee: Public Systems Evaluation, Inc., 929 Massachusetts Avenue, Cambridge, Massachusetts 02139
Project Director: Richard Larson
Amount: \$446,003
Grant Period: 10/1/79-9/30/81

Estimates indicate that preventive patrol consumes about 30 to 40 percent of police resources. This project will measure the effectiveness of preventive patrol by varying the presence of preventive patrols. The impact of patrol

presence on the prevention, deterrence, and displacement of various types of crimes, and citizen satisfaction with patrol levels will be assessed.

79-NI-AX-0115
Title: Identification of Hair by Analysis of Structural Proteins
Grantee: Massachusetts General Hospital, Fruit Street, Boston, Massachusetts 02114
Project Director: Howard P. Baden
Amount: \$60,500
Grant Period: 10/1/79-9/30/80

Hair is of great potential value in identifying individuals suspected of crimes. This project will extend previous NIJ research on identifying genetic markers in hair through various innovative techniques that promise greater accuracy and reliability.

79-NI-AX-0116
Title: Examination of Investigative Information and Behavior
Grantee: Police Executive Research Forum, 1909 K Street N.W., Washington, D.C. 20006
Project Director: Michael Farmer
Amount: \$274,268
Grant Period: 10/1/79-6/30/81

This study will analyze variations in the administration of investigative functions in several different police departments. Researchers will collect data on such aspects of investigative behavior as: type of information collected; activities of various police personnel; and level and type of resources used in investigations. How these factors interact and influence case outcome will be explored. The study will focus on robbery and burglary cases, but case studies will be made of selected homicide, child abuse, runaway/missing persons, and arson cases to give a wide array of investigative situations. The case studies will be compared with the in-depth data collected on the target crimes to identify differences among the various types of investigations.

79-NI-AX-0120
Title: A Labeled Antibody Approach for Simultaneously Determining Several Antigens in a Dried Bloodstain
Grantee: Research Foundation, City University, John Jay College, 444 West 56th Street, New York, New York 10019
Project Director: Peter R. Deforest
Amount: \$48,677
Grant Period: 10/1/79-9/30/81

Dried bloodstains often are important evidence in criminal cases. While examination of fresh blood is relatively straightforward, laboratory analysis of dried bloodstains requires vastly more complicated and difficult techniques. This project will test an innovative and promising approach for determining blood types in such stains with greater ease and reliability.

79-NI-AX-0125
Title: Research and Evaluation of Procedures and Antisera in Forensic Serology
Grantee: University of New Haven, Division of Criminal Justice, 300

Orange Avenue, West Haven, Connecticut 06516
Project Director: R. E. Gaenslen
Amount: \$66,886
Grant Period: 1/1/80-12/31/82

Blood characteristics are another means of linking suspects to crime. Antiserin is the name used for the reagent that detects blood types in dried blood stains. This project will evaluate the quality of commercially available reagents and develop other procedures for additional blood group systems for crime laboratories. The results of the research will be compiled in a manual for crime laboratory examiners.

79-NI-AX-0131

Title: Use of Deadly Force by Police Officers: Police Perspective
Grantee: International Association of Chiefs of Police, 11 Firstfield Road, Gaithersburg, Maryland 20760
Project Director: Norman Darwick
Amount: \$155,277
Grant Period: 10/10/79-7/3/81

This project will provide the police perspective on the deadly force issue. It complements work carried out under grants No. 79-NI-AX-0134 and 79-NI-AX-0132. Under this grant, IACP will survey the 57 largest police departments, gathering information on policies, shooting incidents, review authority, firearms training, types of weapons, ammunition, body armor, as well as on tactical and hostage negotiation units. Additional statistical information will be obtained from FBI records. The ultimate objective of the research is to identify manipulable factors related to the use of deadly force which will allow police administrators to reduce the number of violent confrontations in which citizens and police officers are killed.

79-NI-AX-0132

Title: Use of Deadly Force by Police Officers: A Minority Perspective
Grantee: National Urban League, Inc., 500 East 62nd Street, New York, New York 10021
Project Director: Garry A. Mendez, Jr.
Amount: \$299,955
Grant Period: 10/15/79-4/15/81

This two-pronged project, part of the Institute's research program on use of deadly force, will examine deadly force from the minority perspective. First, the National Urban League will examine the role of race in police use of deadly force. The 59 largest American cities will be surveyed to examine the rate of deadly force in relation to socio-economic variables and to the level of non-white participation in the social structure. Second, the National Council of La Raza, under a \$150,000 subcontract, will focus on Hispanic communities' attitudes and perceptions of deadly force by police officers in four sites. Case studies of a limited number of incidents, a literature review with specific emphasis on Hispanics, and a survey of newspapers and media accounts for the purpose of determining the response of the community will also take place.

79-NI-AX-0134

Title: Use of Deadly Force by Police Officers
Grantee: Public Policy Research Organization, University of

California, Irvine, Irvine California 92717
Project Director: Arnold Binder
Amount: \$361,000
Grant Period: 10/10/79-8/9/81

This project is part of an NIJ research program that is examining police use of deadly force from the perspectives of the minority communities, police, and researchers. Focusing on the research perspective, this study will attempt to identify critical organizational, administrative and policy issues that affect the use of deadly force and are amenable to administrative control. Determination of the modes of police behavior prior to a shooting, the sequential decision process, and the identification of events or actions which increase or decrease shooting incidents also will be examined.

Corrections

79-ED-AX-0011

Title: Employment of Women in the Field of Corrections
Grantee: Center for Women Policy Studies, 2000 P Street N.W., Suite 508, Washington, D.C. 20036
Project Director: Jane Chapman
Amount: \$106,347
Grant Period: 1/10/79-1/9/80

This project will explore where women work in corrections, what positions they hold, and what factors affect their recruitment, placement, and advancement in the field. In addition, the study will pinpoint special programs in various jurisdictions which attempt to recruit women or allow them access to the full range of correctional employment. The study will examine all sources of correctional employment: prisons, jails, community correctional facilities, probation and parole agencies, and correctional departments.

79-NI-AX-0031

Title: Post-Prison Adjustment Process
Grantee: University of Massachusetts, Social, Demographic Research Institute, Amherst, Massachusetts 01003
Project Director: Peter Rossi
Amount: \$60,992
Grant Period: 4/9/79-4/8/80

This project is examining the post-release experiences of 2,000 men and women released from the State prisons in Georgia and Texas during the first half of 1976. The study will examine recidivism and employment experiences of the prison releasees as well as subjective factors pertaining to the quality of their life. The data for the study was collected under a project sponsored by the Department of Labor and includes official prison records, interviews conducted before and after release, arrest records and employment files.

79-NI-AX-0039

Title: Current Problems of the Women's Correctional System: Origins and Development
Grantee: Northeastern University, Office of Research Administration, 360 Huntington Avenue, Boston, Massachusetts 02115

Project Director: Nicholas Hahn
Amount: \$94,447
Grant Period: 5/1/79-4/30/81

Sponsored under the Unsolicited Research program, this project is analyzing current problems in the women's correctional system by studying the origins and development of the system. In examining how the development of women's prisons has affected present-day problems, the study will examine the origin and operation of a number of institutions, the prison administrators, and the inmates. In addition to discerning patterns in the development of the institutions, the study will also determine whether there are trends in types of offenses and in sentences served for specific types of crime.

79-NI-AX-0046

Title: Study of the Consequences of Long-Term Confinement
Grantee: University of Minnesota, Office of Research Administration, 2642 University Avenue, St. Paul, Minnesota 55114
Project Director: David Ward
Amount: \$147,806
Grant Period: 7/1/79-10/31/80

This study will examine the impact of a maximum security prison on inmates and staff. At a time when maximum security facilities for dangerous offenders are either under construction or have been incorporated into the plans of many State corrections departments, the results of this study should be especially pertinent. From prison records and interviews with inmates, the study will explore the prison and post-release experiences of a group of offenders who have served long sentences in a stringent, maximum security facility. Similarly, the impact on correctional officers of working in such a prison will be assessed from an examination of personnel records as well as through interviews.

79-NI-AX-0063

Title: Monitoring Correctional Policy: A Systemwide Assessment
Grantee: Johns Hopkins University, Center for Metro Planning and Research, 34th and Charles Street, Baltimore, Maryland 21218
Project Director: Stephen Gottfredson
Amount: \$76,367
Grant Period: 8/15/79-8/14/80

Changes in correctional policies are occurring in Maryland due to a court order to reduce overcrowding, a tentative decision to cease building new institutions, and administrative efforts to expand community-based corrections. These policy changes are opposed by critics who espouse higher rates of incarceration and construction of more prison facilities. This study will analyze these conflicting approaches to correctional problems in Maryland to understand how correctional policies are formed. By focusing on the consequences of the decisions of Maryland officials, the study is expected to provide guidelines for officials in other States who are facing similar problems.

79-NI-AX-0083

Title: Parole Research: Analysis of Conditions for Revoking Parole—Technical Violations
Grantee: Social Issues Research Associates, 2490 Channing Way, Suite 513, Berkeley, California 94704

Project Director: Margo Robison
Amount: \$224,933
Grant Period: 10/1/79-3/31/81

This study will compare the parole boards of six jurisdictions, selected according to their organizational structures and the changes in their rates of parole revocation. In focusing on the factors that determine the revocation of parole for technical violations, the grantee will interview parole agents and others involved in the key stages of determining and punishing technical infractions. In addition, the grantee will review relevant court decisions as well as legislative and administrative regulations as a guide to probable future trends.

79-NI-AX-0096

Title: Female Correctional Officers in All-Male Prison Facilities
Grantee: California Department of Corrections, 714 P Street, Sacramento, California 95814
Project Director: Robert Dickover
Amount: \$75,000
Grant Period: 10/1/79-9/30/80

This study will examine some of the issues concerning the employment of female correctional officers in all-male prisons. Among those to be explored are the capabilities of female officers compared to male officers, the manner in which each sex carries out their assigned duties, and the characteristics of the prison environment that may make it particularly difficult for women to work as officers. Six California prisons will serve as the research sites. The grantee will collect data from a variety of sources: questionnaires and interviews with correctional officers and inmates, job performance ratings, job position analyses, and supervisor ratings. The findings are expected to be especially useful to correctional administrators in assigning female officers to corrections jobs.

79-NI-AX-0114

Title: Early Identification of the Chronic Offender
Grantee: California Department of Youth Authority, Division of Research, 4241 Williamsborough, Sacramento, California 95616
Project Director: David Rudisill
Amount: \$99,973
Grant Period: 10/1/79-2/28/81

Is it possible to predict which types of youthful offenders will eventually adopt criminal careers as adults? The data base for this study will be drawn from the records of 3000 youths, from 10-20 years old, who were committed to the California Youth Authority in the 1960's. At that time, extensive demographic, behavioral, psychological, and social data were collected on the youths. The records of these youths, who are now between 23 and 33 years old, will be examined for data items that predict chronic criminal behavior. Three reports will be produced from the study, aimed at researchers, correctional administrators, and practitioners respectively.

79-NI-AX-0123

Title: Criminal Population/Mental Patient Activity Risks: The Relationships Between Two Social Control Systems
Grantee: University of Southern California, Social Science Research Institute, University Park, Los Angeles, California 90007
Project Director: Leo Scherman

Amount: \$192,512
Grant Period: 10/1/79-9/30/81

This project will focus on two key issues: the degree of overlap between criminal justice and mental health populations, and the factors which may influence an interchange of the populations between the two systems. The grantee will examine some detailed records for the two groups in Los Angeles County for the years 1976-1979. Among the factors to be analyzed are changes in the volume of transfers between the two systems, the effects of key policies in both systems, changing trends in the handling of specific groups within the populations, and the levels of failure within and between the two systems.

79-NI-AX-0126
Title: Movement of Offender Population Between Correctional/Mental Health Facilities
Grantee: Research Foundation for Mental Hygiene, Inc., 44 Holland Avenue, Albany, New York 12229
Project Director: Henry J. Steadman
Amount: \$319,970
Grant Period: 10/15/79-10/14/81

This project will focus on changing strategies in the use of confinement in the correctional and mental health systems. The grantee will examine the transfer of populations from one system to another for each State, examine the experiences of a sample of inmates and patients in six States, analyze the transfers between the systems for the States, and analyze the processing of a group of defendants. In addition, the grantee will review relevant laws and conduct a nationwide survey of the financing of correctional and mental health services.

Adjudication

79-NI-AX-0001
Title: Boston Courts from 1814 through 1860
Grantee: Northern Illinois University, Department of Sociology, Zulauf Hall, DeKalb, Illinois 60115
Project Director: Theodore Ferdinand
Amount: \$107,150
Grant Period: 1/1/79-12/31/81

Funded under the Unsolicited Research program, this study will examine the pattern and levels of criminal prosecution in Boston's courts during 1810 through 1860. For each year of this historical period of rapid change, the study will analyze the offense patterns, the consistency and effectiveness of the arresting officers, and the consistency of the judicial sentences. By drawing a profile of the Boston Courts, including their response to a sharply increasing crime rate, the study will provide a backdrop for assessing how legal and law enforcement systems adapt to changing social conditions.

79-NI-AX-0034
Title: Research on Prosecutorial Decisionmaking: Phase Two
Grantee: Bureau of Social Science Research, 1990 M Street, N.W.,

Washington, D.C. 20036
Project Director: Joan E. Jacoby
Amount: \$335,733
Grant Period: 4/9/79-10/31/80

Continuing the research begun under Grant number 78-NI-AX-0006, this project is identifying and analyzing typical prosecutorial policies and determining their relationship to patterns of case disposition. Under this phase of the project, a nationwide survey of prosecutors' offices will be conducted and site visits will be paid to selected jurisdictions. At the sites, assistant prosecutors will be asked to indicate their processing of a set of test cases which vary in seriousness of offense. Information gathered from these activities will assist the grantee in determining the prevalence of prosecutorial policies identified in the first phase of the research. In addition, the grantee will identify factors associated with the implementation of the policies and will refine techniques for measuring the consistency of policy implementation within an office and for comparing policy variations among offices. The aim of the project is to enhance an understanding of how different policies affect the operations of an office and the disposition of cases. These findings are expected to show how prosecutorial discretion may be structured to enhance the equitable processing of cases.

79-NI-AX-0042
Title: Implementation of Determinate Sentencing Law in California
Grantee: Stanford University, Sponsored Projects Office, Stanford, California 93405
Project Director: Jonathan Casper
Amount: \$103,950
Grant Period: 5/28/79-3/30/81

Funded under the Unsolicited Research program, this study will assess the impact of a new determinate sentencing law in three California jurisdictions. The project will focus on the perceptions and reactions of participants in the adjudication process—particularly judges and prosecutors—as well as changes in the type and length of sentences imposed for robbery and burglary cases. Beyond examining the impact of the law, the study will also address the issue of how best to treat offenders equitably while punishing them in accordance with the law. The study is expected to furnish lawmakers with the empirical evidence needed for understanding the effects of this particular form of determinate sentencing. The findings are also expected to benefit prosecutors and other criminal justice personnel.

79-NI-AX-0062
Title: Explaining and Assessing the Pretrial Process: A Comparative Analytical Approach
Grantee: Pennsylvania State University, Institute for Policy Research and Evaluation, 207 Old Main, University Park, Pennsylvania 16802
Project Director: James Eisenstein
Amount: \$257,433
Grant Period: 9/1/79-8/31/81

This project will be integrating three approaches for understanding the variation in court operations and in the outcome of cases. The study will use an "individual" approach for examining the perceptions and attitudes of the key courtroom participants, a "contextual" approach for focusing on the characteristics of cases and defendants, and an "environmental" approach for examining the outcome of cases within the context of the local legal, social

and political culture. If the project is successful in explaining the variation in court operations and case outcome, it will permit criminal justice officials to know whether specific reforms will bear upon the factors that are shaped by the behavior of judges and courtroom attorneys.

79-NI-AX-0064
Title: Ruling Out Delay: Impact of Ohio Rules of Superintendence on Pretrial Practices
Grantee: American Judicature Society, 200 West Monroe Street, Suite 1606, Chicago, Illinois 60606
Project Director: Charles Grau
Amount: \$136,450
Grant Period: 1/1/80-3/31/81

In 1971, the Ohio Supreme Court promulgated several rules of superintendence to enhance the administrative efficiency of the courts within its general jurisdiction. The study will assess the impact of the rules on case delay and pretrial practices within the courts of common pleas. The grantee hypothesizes that the effectiveness of the rules in reducing delay depends on the particular enforcement mechanisms at the local level. For the study, the grantee will be examining data from all the counties in Ohio as well as gathering detailed information from three jurisdictions. From these investigations, the study will distinguish differences in the performance of the courts before and after the new rules as well as the extent of variation among the jurisdictions.

79-NI-AX-0066
Title: Application of Role Theory to an Understanding of the Pretrial Process
Grantee: Socio-Environmental Research Center, 735 West Wisconsin Avenue, Room 1010, Milwaukee, Wisconsin 53233
Project Director: Mary Knudten
Amount: \$181,522
Grant Period: 9/1/79-4/30/81

This study will examine how court professionals become socialized into the court organization to determine how this process affects the decisions of court officials. For the project, the grantee will collect data from court files, conduct extensive interviews with court personnel, and gather information from both formal and informal court proceedings. The findings are expected to benefit both researchers and court administrators.

79-NI-AX-0075
Title: A Comparative Design for a Study on the Organization of State Court Systems
Grantee: Institute for Economic and Policy Study, 901 North Washington Street, Alexandria, Virginia 22314
Project Director: Thomas Henderson
Amount: \$59,953
Grant Period: 10/1/79-6/30/80

The grantee will prepare a research design that can be used as the basis for a study on the consequences of unifying State court systems. The approach for the research design will focus on the link between organizational design and organizational performance and the factors that may intervene in this causal relationship. This research design is competitive with another, funded under Grant Number 79-NI-AX-0088. The candidate submitting the better

of the two proposals will be eligible to carry out the next phase of the research on State court organization.

79-NI-AX-0084
Title: Negotiated and Adversarial Resolution of Criminal Cases
Grantee: University of Florida, Department of Political Science, 3324 GPA, Gainesville, Florida 32611
Project Director: Albert R. Matheny
Amount: \$54,617
Grant Period: 1/1/80-3/31/81

This is one of three studies on the negotiated versus adversarial mode of resolving criminal cases, which the Institute is currently funding. This project will examine the differing organizations and policies of courts as these affect the choice to negotiate a case or to bring it to trial. The study will examine how the choice is made, who makes it, and how the relationship of court professionals affects the choice. The research team for the project is an interdisciplinary group and includes a political scientist, a sociologist, and a psychologist.

79-NI-AX-0088
Title: A Comparative Design for a Study of the Organization of State Court Systems
Grantee: Research Triangle Park, P.O. Box 12194, Research Triangle Park, North Carolina 27709
Project Director: Ronald Johnson
Amount: \$59,975
Grant Period: 10/1/79-9/15/80

This award is a companion to Grant Number 79-NI-AX-75. The research design to be developed under this award will focus on the court setting within the larger organizational context of the political and social environment. The organization of the court will be viewed not only from the perspective of the factors affecting the initial stages of the judicial process (the nature of the case, the activities of other organizations such as police and prosecutors) but also the factors emerging in the aftermath of the process (the expectations of the community and the correctional system). The design evolving from this approach will be compared with that from the other grant, with the better of the two eligible for the follow-on study.

79-NI-AX-0101
Title: Analysis of Adjudicative versus Consensual Resolutions of Criminal Cases
Grantee: University of Colorado, School of Law, Boulder Campus, Boulder, Colorado 80309
Project Director: Albert W. Alschuler
Amount: \$68,808
Grant Period: 1/1/80-3/31/81

As another of the three studies on the negotiated versus adversarial mode of case disposition, this study will examine the differences in the two modes, the characteristics and advantages of each, and their relationship. The grantee will classify a variety of consensual (negotiated) and adjudicative (adversarial and inquisitorial) modes to show that a range of alternatives does, or could, exist within both modes of case disposition. From this analysis, the grantee proposes to demonstrate that the advantages claimed for negotiated settlements can be obtained within an adjudicative format which, in addition, is a better safeguard for the legal rights of defendants.

79-NI-AX-0103

Title: Utilization of Psychiatric and Psychological Assessments by Court Judges

Grantee: The Forensic Sciences Foundation, 11400 Rockville Pike, Rockville, Maryland 20852

Project Director: Ira Silvergleit

Amount: \$122,706

Grant Period: 9/24/79-12/25/80

This project will examine the use of psychiatric and psychological assessments by judges to determine the type of information needed for judicial decisions. Specifically, the grantee will identify the types of cases for which assessments are typically requested, the factors influencing judges to request assessments, the methods for communicating psychiatric information to the courts, and the extent to which the reports are understood and used by judges. The results of the project are expected to be of interest to judges and lawyers as well as to mental health professionals.

79-NI-AX-0110

Title: Non-Stranger Violence: The Criminal Court's Response

Grantee: Institute for Social Analysis, 11800 Sunrise Valley Drive, Reston, Virginia 22091

Project Director: David Sheppard

Amount: \$199,846

Grant Period: 10/1/79-3/31/81

Cases involving violence among family members or acquaintances are frequent and often of serious consequence. Recent studies suggest that criminal courts are ill-equipped to handle the complexities of these "non-stranger" cases. This study will examine the screening, processing, and disposition of these cases, the reasons for their frequent dismissal, the adequacy of the court's response, and the impact of State laws on the disposition of the cases. In the four jurisdictions to be selected, the study will compare cases of violence involving family members or acquaintances with those involving strangers to distinguish differences in the screening and prosecution of the two types of cases.

79-NI-AX-0122

Title: Plea Bargaining, Professionalism and Progress

Grantee: Silbert, Feeley and Associates, 405 Orange Street, New Haven, Connecticut 06511

Project Director: Malcolm Feeley

Amount: \$65,011

Grant Period: 1/1/80-11/30/81

Another of the studies on the negotiated versus adversarial resolution of criminal cases, this project is examining the various mechanisms for disposing of cases within the adjudicated or negotiated framework. The grantee hypothesizes that while the negotiated mode has become the more prevalent mechanism for resolving cases, the adversarial character of plea negotiations has been enhanced at the same time. He also postulates that as the two modes have become merged, the use of trials has decreased. The grantee will test his theories by examining data from several jurisdictions and conducting a review of the pertinent research.

Office of Research and Evaluation Methods

79-NI-AX-0009

Title: Deterrence and Data Disaggregation

Grantee: Northeastern University, Center for Applied Social Research, 423 U R Building, Boston, Massachusetts 02115

Project Director: William Bowers

Amount: \$128,933

Grant Period: 3/5/79-12/4/80

In relating sanctions to crime rates, previous studies often have used data averaged over a State or the entire nation. Because the data was combined in this manner, the studies could not gauge the short-term effects of new, more severe sanctioning policies. This study will use data compiled at the State as well as at community and neighborhood levels. The grantee will apply innovative analytic techniques that are particularly appropriate for situations where more traditional analyses have produced occasionally contradictory results. He also will explore alternative assumptions about the time between the onset of sanctioning changes and their effects on crime rates.

79-NI-AX-0015

Title: Econometric Analysis of Deterrent Effects of Arrest and Imprisonment

Grantee: University of Iowa, Department of Economics, Iowa City, Iowa 52242

Project Director: Thomas F. Pogue

Amount: \$58,348

Grant Period: 3/1/79-9/1/80

As part of the Institute's research inquiry on deterrence, this study will examine various and heretofore unexplored aspects pertaining to crime control. Among the areas of investigation, the study will examine arrest as a deterrent to crime, apart from the deterrent effects of conviction and imprisonment. The impact of serving a prison term for a variable rather than an average time period also will be examined. The study hypothesizes that sanctions imposed on adult offenders primarily affect crimes committed by adults; hence the deterrence analysis resulting from this study will apply only to the fraction of crimes committed by adults, relative to the total crime rate. Hypotheses are also postulated about the length of time between imposition of sanction levels and effects on crime rates and the impact of funding by the criminal justice system on changing sanction levels. The grantee will use data spanning 1960-1977, reported at the State level and by standard metropolitan statistical areas (SMSA).

79-NI-AX-0040

Title: Economic Analysis of Crime and Deterrence

Grantee: Research Foundation of the State University of New York, State University of New York at Buffalo, P.O. Box 9, Albany, New York 12201

Project Director: Isaac Erhlich

Amount: \$68,756

Grant Period: 5/16/79-5/15/80

Data aggregated at the national level over a long time period may provide a better barometer of the impact of sanctions than comparative data on states for one time period. Among the aspects to be explored in this study on

deterrence is the relationship between crimes against persons and crimes against property. Using crime data from 1933-1975, the grantee will develop an empirical measure of the varying tradeoffs between the average financial gains from employment and from property crimes, the deterrent effects of legal procedures that stem from rulings such as Supreme Court decisions, and the effects on property crime of varying sanctions for violent crime as well as the reverse—the effects on violent crime of differing punishments for property crimes. New statistical techniques for assessing deterrence also will be employed in the study.

79-NI-AX-0041

Title: Deterrence Effects of Revised Arizona Criminal Code

Grantee: Arizona State University, Bureau of Business and Economic Research, College of Business Administration, Tempe, Arizona 85281

Project Director: Lee McPheters

Amount: \$211,109

Grant Period: 6/1/79-5/31/81

A new law in Arizona mandates presumptive sentences, which are generally harsher than the average sentences imposed before the code's adoption. By examining the activities of the prosecutor, courts, and correctional agencies before and after the code's implementation, the grantee will study the effects of the law on criminal activity. He will compile information from sources such as the courts and the corrections department and collect time series data on crimes reported to police during 1970-1978. Then he will use the time series to forecast criminal activity for 18 months after the new code is implemented. By comparing the forecast to reported crimes, he can assess whether the code has altered criminal activity.

79-NI-AX-0047

Title: Deterrent Effects of Arrest and Incarceration: A Criminometrics Study

Grantee: University of North Carolina at Chapel Hill, Department of Economics—Gardner Hall, Chapel Hill, North Carolina 27514

Project Director: Thomas Orsagh

Amount: \$90,963

Grant Period: 6/15/79-1/31/81

The project will develop a rigorous model of deterrence as well as statistical estimates of variables in the model. The grantee will focus on the impact on deterrence of arrest, incarceration and time served. He also will seek to account for variations in the likelihood of arrest and incarceration and in the levels of law enforcement. For the study, the grantee will use 1978 cross-sectional data drawn from the Offender-Based State Correctional Information Systems (OBSCIS) of at least two States as well as census data of jurisdictions and populations. The OBSCIS data is expected to yield better estimates of the effects of sanctions and incapacitation. At a minimum, estimates of deterrence will be calculated for the Part I crimes.

79-NI-AX-0050

Title: Deterrence of Automobile Repair Fraud

Grantee: University of California—Irvine, Social Ecology, Irvine, California 92717

Project Director: Gilbert Geis

Amount: \$71,496

Grant Period: 7/2/79-7/1/80

As part of the Institute's investigation of deterrence, this study of auto repair fraud is testing whether potential lawbreakers are deterred by the visibility, or obvious threat, of the law. In this case, the law is a California Statute on auto repairs; the sites for the study are two California cities, specifically 100 auto repair shops in each city. A car with a mechanical defect will be driven to the shops in both cities. Then, a reminder of California's licensing law will be mailed to the shops in one city. All of the auto repair businesses will be visited again. Changes in the diagnosis or repair of the car from the first visit will serve as the basis for analyzing differences between research and control groups.

79-NI-AX-0054

Title: Crime Rates and Arrest Rates: A Causal Analysis

Grantee: New York University, Sociology Department, New York, New York 10003

Project Director: David F. Greenberg

Amount: \$38,483

Grant Period: 7/15/79-7/14/80

Investigations of deterrence have been complicated by the difficulty of detecting the impact of arrest rates on crime versus the impact of crime on arrest rates. This project will try to add knowledge about deterrence by examining data for 100 U.S. cities and 50 States. The grantee will use various analytical approaches to estimate the reliability of crime data, resolve the two-way causal relationship between crime and arrest rates, and investigate reasons other than deterrence which can explain the relationship between crime and arrest data. The city data spans the years 1964 to 1970, and the State data covers 1964 to 1968, permitting analyses of short- and long-term time periods at the State and city levels.

79-NI-AX-0057

Title: Estimating Patterns in Crime Data

Grantee: Regents of the University of California, University of California—Santa Barbara, Santa Barbara, California 93106

Project Director: Reginald G. Gollode

Amount: \$102,034

Grant Period: 7/23/79-1/22/81

In studying patterns of crime, researchers often focus on differences that occur over time—the changing age and race composition in a neighborhood, for example—or differences that occur over space—the age/race composition of two neighborhoods, for example. Data aggregated in this manner may mask important patterns, however. For instance, data at the city level may yield different results from data aggregated by census tracts. This project will investigate a strategy for handling such analytic problems in criminal justice studies.

79-NI-AX-0058

Title: Inferring Individual Behavior from Grouped Data

Grantee: University of Illinois—Chicago Circle, Box 4348, Chicago, Illinois 60680

Project Director: John Wanat

Amount: \$66,014

Grant Period: 9/1/79-2/29/81

In evaluating the impact of new legislation, changes in policy, and new technologies in law enforcement and criminal justice, analysts often do not

have detailed data to assess the effect directly. Usually, only aggregate data is available for the period before and after the change, making it difficult to determine the effects of the change on sub-groups. This project will develop and apply a technique for estimating the impact of changes on population groups and for assessing the statistical level of confidence that can be ascribed to the estimates.

79-NI-AX-0065
Title: Detecting Patterns In Criminal Behavior
Grantee: University of Southern California, Department of Psychology, University Park—Founders Hall 304, Los Angeles, California 90007
Project Director: Norman Cliff
Amount: \$75,606
Grant Period: 9/1/79-2/28/81

Much of the data used in criminological research records events in the careers of offenders—arrested/not arrested, convicted/acquitted, incarcerated/released on probation, and so forth. Methods for analyzing and drawing inferences from these dichotomous records are less sophisticated than those for analyzing sequential events. Moreover, if the techniques for analyzing continuous data are applied to dichotomous records, the results are unsatisfactory and often incorrect. This project will attempt to develop a technique for detecting patterns in dichotomous data, addressing questions such as whether there are common sequences of criminal acts or chains of criminal behavior. In addition to developing specific indices for analyzing the data, the project will test the new techniques on a large sample of criminal records.

79-NI-AX-0068
Title: Developing Improved Techniques for Evaluating Correctional Programs
Grantee: University of Illinois—Chicago Circle, Center for Research in Criminal Justice, Box 4348, Chicago, Illinois 60680
Project Director: Michael Maltz
Amount: \$98,942
Grant Period: 9/1/79-8/31/80

Studies comparing the effectiveness of correctional programs have been hampered frequently by inconsistent criteria for measuring success or failure. Recidivism is the most frequently used criterion and it is defined by a time period. In most studies the follow-up period for recidivism is different, hence the programs cannot be compared. Continuing the work begun under grant #77-NI-AX-0073, the grantee will further develop an efficient and standard technique for determining one measure of the relative success of a corrections program. Particularly, he will try to build on the theory associated with failure-rate analysis, develop computer software for program evaluators, and extend his investigation of the use of various definitions of "success" and "failure" in recidivism as they bear on evaluations.

79-NI-AX-0069
Title: Identifying the Control Effects of Imprisonment
Grantee: University of California—Santa Barbara, Department of Economics, Santa Barbara, California 93106
Project Director: Llad Phillips
Amount: \$29,416
Grant Period: 8/27/79-11/26/80

A prevailing assumption in crime control theory is that crime rates will decrease as the likelihood of imprisonment rises and the average time served increases. This assumption is not easy to test. The criminal justice system may respond to rising crime rates by imposing stiffer penalties, making it difficult to separate cause from effect. Logically, however, the effects of tougher sanctions will lag in time behind the reasons for imposing them. The grantee will analyze the lag structure of crime rates and sanctions to identify and estimate the effects of imprisonment. The analytic technique for this study has already been used successfully in an analysis of homicide data for California. This project will extend the analytic power of the technique and apply it to a time series of seven major felonies and the corresponding imprisonment rates in California from 1945 through 1975.

79-NI-AX-0072
Title: New York's Double Crackdown on Juvenile Violence: Experiment in General Deterrence
Grantee: University of Chicago Law School, 5601 South Ellis Avenue, Chicago, Illinois 60637
Project Director: Franklin Zimring
Amount: \$82,685
Grant Period: 9/1/79-8/31/81

In 1976, the State of New York changed its sentencing policy toward young violent offenders by creating the category "designated felon." Under the new law, juveniles charged with serious crimes can be tried as an adult in criminal courts, at the discretion of the judiciary. Then, in 1978, the State lowered the age limit for certain serious violent offenses, removing juveniles from the family court and turning them over to the criminal court where the penalties are more severe. This study will focus on the "double crackdown" on juvenile violence, investigating the response of youths to the threat of increased sanctions. The project will compare the crimes of specific age groups in New York with those in other States to learn whether crime rates changed in New York and, if so, whether the punishments administered under the State's new laws are in fact, more severe.

79-NI-AX-0074
Title: Deterrence Processes and Effects: Quasi-Experimental Approach
Grantee: Northeastern University, Center for Applied Social Research, 360 Huntington Avenue, Boston, Massachusetts 02115
Project Director: William Bowers
Amount: \$149,629
Grant Period: 9/1/79-2/28/81

The Massachusetts' gun law is the focus of this project. In studying the impact of the new legislation, the grantee will try to distinguish the effects generated by publicity surrounding the law from the effects of the sanction itself, the rate of gun-related crimes versus non-gun crimes, and differences between groups of offenders. He will also try to discern to what degree crime has been displaced or deterred and to distinguish the short-term effects from more permanent changes in crime rates.

79-NI-AX-0086
Title: Structural Covariance Models and Criminology
Grantee: Regents of the University of California, Department of Psychology, Los Angeles, California 90024
Project Directors: Peter Bentler and William McGarvey
Amount: \$19,692
Grant Period: 9/10/79-3/9/80

In recent years, the data for assessing criminal justice problems and testing criminological theories have become increasingly complex. In turn, researchers have begun to use complex methods of analyzing and processing the data. While these methods may contribute significantly to understanding criminality, they also should be efficient and valid. This study will examine and compare advanced multivariate statistical methods to assess their utility, validity, and cost-effectiveness. The project will use information from a study of a Danish birth cohort, a data source which has been analyzed by several researchers in investigating criminal behavior.

79-NI-AX-0094
Title: The Deterrent Effect of Michigan's Firearm Law
Grantee: University of Michigan, 333 E. Liberty St., Suite 3-F, Ann Arbor, Michigan 48109
Project Director: Colin Loftin
Amount: \$141,498
Grant Period: 9/24/79-9/23/81

In 1976, Michigan lawmakers mandated a 2-year prison sentence for anyone committing a felony with a firearm. The law also bars concurrent or suspended sentences and prohibits release on probation or parole during the 2-year period. Under grant #77-NI-AX-0021, the effects of the law and the Wayne County prosecutor's ban on plea bargaining in Detroit's recorder court are being studied. This study will expand the earlier one by collecting and analyzing case processing data for a longer period of time before and after the law was passed. The grantee will also collect and analyze offense data from police, correctional and health agencies and assess the impact of the law on deterring gun and non-gun crime. After analyzing cases in Detroit's recorder court from 1976-1978, the grantee will construct a causal model of the law's deterrence of crime.

79-NI-AX-0099
Title: Methodology for Estimating the Length of Individual Criminal Careers
Grantee: Carnegie-Mellon University, Margaret Morrison Street, Pittsburgh, Pennsylvania 15213
Project Director: Alfred Blumstein
Amount: \$110,973
Grant Period: 9/17/79-3/16/81

The crime rate has risen rapidly in the last two decades with index crimes increasing 232.6 percent between 1960 and 1975, an average increase of 15.5 percent annually. This increase cannot be explained by population growth since the index crime rate, measured by offenses per 100,000 population, has also risen 179.9 percent. Instead it might be attributable to one or more of the following factors: the population subgroups most prone to commit crimes have grown disproportionately, more individuals in the subgroups are committing crimes, or individuals in these groups are committing more crimes. This study focuses on the prevalence of criminal activity within a demographic subgroup by developing methods for measuring the length of individual criminal careers.

79-NI-AX-0113
Title: Incapacitation Theory: A Field Test
Grantee: Michigan State University, Department of Sociology, East Lansing, Michigan 48824
Project Director: William S. Davidson, II

Amount: \$244,802
Grant Period: 10/1/79-9/30/81

Under a new law, Michigan now prohibits the early release of prisoners for "good time" behavior. This study will examine the State's criminal justice system response to the law; the changes in incarceration rates, lengths of time served, and prison populations; and the impact of the changes on crime rates. By focusing on Michigan's new policy of increased incapacitation, the study is expected to help build knowledge for crime control theory.

79-NI-AX-0117
Title: Influence of Sanctions and Opportunities on Bank Robbery Rates
Grantee: Criminal Justice Institute, Incorporated, Sixty East Forty-Second Street, Suite 956, New York, New York 10017
Project Director: George M. Camp
Amount: \$150,000
Grant Period: 10/1/79-1/31/81

Data on bank robbery lends itself to statistical analysis of deterrence for several reasons. Since 1933, bank robbery has been a Federal crime and its incidence has been reported accurately and uniformly, unlike the data often used in cross-jurisdictional studies. Also, the likelihood of apprehension for bank robbery is high and the time served when convicted is sufficiently severe and consistent for a thorough statistical analysis. This project will study the effects of the certainty, immediacy, and severity of punishments as they may be weighed against the monetary gains expected from the crime of bank robbery.

79-NI-AX-0121
Title: Analysis of Criminal Careers from an Incapacitation Perspective
Grantee: Carnegie-Mellon University, Margaret Morrison St., Pittsburgh, Pennsylvania, 15213
Project Director: Alfred Blumstein
Amount: \$254,471
Grant Period: 10/1/79-9/30/81

The grantee expects to furnish better estimates of individual arrest and crime rates and the length of criminal careers. A key concern will be how these rates differ by crime type, jurisdiction, demographic group, and the offender's age. The criminal histories of all offenders arrested for a felony in New York State from 1972-1976 will be the data source. The findings are expected to aid policymakers who are formulating incarceration strategies and analysts assessing the impact of such strategies on the crime rate.

79-NI-AX-0124
Title: Measuring Fear of Crime
Grantee: Westinghouse Electric Corporation, National Issues Center, 2341 Jefferson Davis Highway, Arlington, Virginia 22202
Project Director: Frank Frazie
Amount: \$109,924
Grant Period: 10/1/79-9/30/80

This project will develop and validate an index of perceptions that trigger fears of crime. The project will assess previous efforts to measure fear, develop new measures, and assign weighted values to the indexed factors. The results of the study are expected to provide a useful tool for evaluating crime prevention programs and for designing future research on the fear of crime.

79-NI-AX-0129
Title: Analysis of Parameters of Adult Felony Crime Switching Probabilities
Grantee: Spectrum Analysis, 444 Northeast Ravenna Boulevard, Seattle, Washington 98115
Project Director: Robert Willstadter
Amount: \$99,522
Grant Period: 10/1/79-3/31/81

This project will use computerized criminal history records from Oregon to determine how often offenders switch between types of crime during their careers and why and when they do so. This study will also track the offenders' activity to the point in their careers where no further offenses are reported. The findings are expected to be helpful for researchers studying criminal careers and for policymakers who are formulating sentencing strategies.

79-NI-AX-0136
Title: Models for Estimating Incapacitation Effects Using Police Investigation Data
Grantee: Analog, Inc. 2437 15th Street, N.W., Washington, D.C. 20009
Project Director: Stephen Stollmack
Amount: \$83,206
Grant Period: 10/15/79-10/14/80

The chief difficulty in constructing models to examine the effects of incapacitation is that crimes are not observable. Traditionally, researchers have used arrest records or self-reports to learn about criminal activity. Another data source, not widely used, is the information gathered during a criminal investigation. This study will explore the potential of investigative data in yielding information that is more complete than arrest records and more accurate than self-reports.

Office of Program Evaluation

79-NI-AX-0002
Title: Decision-Theory Approach to Evaluating Criminal Justice Programs
Grantee: University of Southern California, Social Science Research Institute, 950 West Jefferson Boulevard, Los Angeles, California 90007
Project Director: Ward Edwards
Amount: \$86,585
Grant Period: 12/1/79-1/31/80

A new approach to program evaluation, the Maut-Bayes methods combine two statistical theories: Maut is an acronym for multi-attribute utility theory, and Bayes refers to Bayesian statistics. This project will develop a manual for applying Maut-Bayes methods to the evaluation of criminal justice programs.

79-NI-AX-0005
Title: Evaluation of Neighborhood Justice Center Pilot Program
Grantee: Institute for Social Analysis, 11800 Sunrise Valley Drive, Reston, Virginia 22901

Project Director: David Sheppard
Amount: \$203,584
Grant Period: 1/30/79-1/15/80

The grantee evaluated the neighborhood Justice Center pilot program in Atlanta, Kansas City, and Los Angeles. The evaluation focused on the capability of the centers to attract and settle cases involving disputes and to arrive at fair and lasting resolutions. In addition, the grantee assessed whether the centers provided faster and less costly services than the courts and whether the participants were more satisfied with the outcome. Case referrals by the courts and the impact on the court caseload of diverting cases to the centers were examined as well. The reports of the evaluation are available from the Government Printing Office.

79-NI-AX-0021
Title: Community-Based Pre-Release Model Programs
Grantee: University of Arizona, Department of Public Administration, Epa Building, Tucson, Arizona 85721
Project Director: Eric Carlson
Amount: \$299,498
Grant Period: 4/2/79-4/1/81

The Institute field test of pre-release centers provides intensive services to offenders to prepare them for re-entering the community. This evaluation of the field test will determine the centers' impact on their clients and the communities, assess the economic utility for the criminal justice system, and identify the elements of the program contributing to the outcome. An experimental design will be used for the evaluation: eligible participants will be randomly assigned to an experimental program and to other pre-release programs, or else paroled. Offenders who otherwise would not qualify for the programs also will be included in the experimental design. The data collected will include information on the offenders and their needs, the services and costs of the program, the attainment of its objectives, and the impact of the experiment on the community.

79-NI-AX-0027
Title: Continuation of State Law Enforcement Planning Agency Evaluation Effort
Grantee: New Jersey State Law Enforcement Planning Agency, 3535 Quaker Bridge Road, Trenton, New Jersey 08625
Project Director: Harold F. Damon
Amount: \$112,500
Grant Period: 4/1/79-4/1/80

The State Planning Agency of New Jersey is experimenting with various strategies for increasing the use of evaluation information while keeping costs to a minimum. This grant is evaluating the effectiveness of the agency's strategies as applied to juvenile corrections. The results should prove helpful to other evaluation units faced with similar problems.

79-MU-AX-0034
Title: Evaluation of Statistical Analysis Centers
Grantee: General Research Corporation, 7655 Old Springhouse Road, McLean, Virginia 22102
Project Director: Philip J. Silvers
Amount: \$194,990
Grant Period: 10/1/79-12/31/80

Statistical Analysis Centers (SAC's), now established in most of the States, are part of a coordinated effort between Federal, State, and local governments for collecting and dispersing criminal justice data. The centers are supported by the Bureau of Justice Statistics (BJS)—formerly, the National Criminal Justice Information and Statistics Service. In evaluating the Centers for BJS, the grantee will analyze SAC operations, based on their own guidelines. Then he will compare this analysis with information drawn from surveys of users and site visits to the SAC's to refine the description of their operations and develop recommendations for their activities in the future.

79-NI-AX-0045
Title: Evaluation of LEAA Anti-Fencing Program
Grantee: University City Science Center, Suite 101, 1717 Massachusetts Avenue, N.W., Washington, D.C. 20036
Project Director: Robert A. Bowers
Amount: \$243,968
Grant Period: 6/1, 79-2/28/81

Since 1974, LEAA has supported over 45 anti-fencing, or "sting", operations. This evaluation will assess the costs, operations and impact of the "Sting" program in five sites. The evaluators will gauge the impact of the program on arrests, convictions, and property recovered. Other issues will be examined as well, including the organization of tactical activities, the procedures for maintaining a chain of evidence, the ratio of purchases to the officers' time on duty, and the modes of operation vis a vis the target groups.

79-NI-AX-0061
Title: Re-Evaluation of CPTED Program in Portland, Oregon
Grantee: City of Portland, Office of Justice Planning and Evaluation, 430 S.W. Morrison, Portland, Oregon 97204
Project Director: Sherrill Whittemore
Amount: \$83,264
Grant Period: 8/1/79-10/31/80

Institute-sponsored research on Crime Prevention Through Environmental Design (CPTED) has been shaped into programs installed in commercial, residential and school settings. Evaluations of the experiments were conducted several years ago. This grant will re-evaluate the commercial program in Portland, Oregon to determine whether the effects reported in the first evaluation have endured. The types of data gathered for this assessment will be similar to the first. For example, historical and economic information will be collected and surveys will be conducted of the Portland business owners and their customers. Victims of crime will be interviewed as well.

79-NI-AX-0067
Title: Evaluation of the National Criminal Justice Executive Training Program
Grantee: Institute for Social Analysis, International Center, 11800 Sunrise Valley Drive, Reston, Virginia 22091
Project Director: Royer Cook
Amount: \$149,871
Grant Period: 9/1/79-8/31/80

Funded by the Office of Development, Testing and Dissemination, the Institute's Executive Training program sponsors workshops for

policymakers, practitioners, and senior municipal officials. Aspects of the program to be evaluated include the selection of participants, the usefulness of workshop materials, and the extent to which workshop objectives are achieved.

79-NI-AX-0070
Title: Screening and Evaluation of Mental Health Services: Phase I Assessment
Grantee: National Center for State Courts, 300 Newport Avenue, Williamsburg, Virginia 23185
Project Director: Ingo Keilitz
Amount: \$249,768
Grant Period: 10/1/79-4/1/81

This Phase I assessment will focus on programs associated with the criminal justice system, which screen, evaluate, and refer clients to the mental health system. The grantee will undertake a variety of activities for the evaluation, which include reviewing other evaluations of the programs, assessing a sample of existing programs, developing an evaluation design, analyzing available information, and pinpointing gaps in knowledge where more research is needed. The evaluation also will identify factors influencing the success or failure of the programs and their costs and benefits.

79-NI-AX-0098
Title: Evaluation of LEAA Criminal Conspiracies, Major White Collar Crime Program
Grantee: Institute for Intergovernmental Research, P.O. Box 12729, Tallahassee, Florida 32308
Project Director: William L. Reed
Amount: \$295,235
Grant Period: 10/1/79-6/30/81

This project will evaluate 11 LEAA-funded white collar programs, identifying the factors affecting their operation and success. Tasks include examining the history of the program, the start-up and operation at each site, and the cost-effectiveness and impact of the project. Each site will be examined individually and then compared with the others to evaluate the overall program and to recommend future policy. The grantee will also produce a white collar crime evaluation design to assist similar efforts in the future.

79-NI-AX-0100
Title: National Evaluation of the Comprehensive Crime Prevention Program
Grantee: American Institutes for Research, 1055 Thomas Jefferson Street, N.W., Washington, D.C. 20007
Project Director: Robert Crew
Amount: \$248,142
Grant Period: 10/1/79-4/2/81

LEAA's Comprehensive Crime Prevention Program (CCPP) supports the planning and implementation of crime prevention activities among private and public organizations. The program has funded planning activities for crime prevention in seven cities. The final phase of this evaluation, launched originally under grant number 78-MU-AX-0055, will assess the efforts of the seven programs to coordinate community and city government activities and to elicit citizen participation. The evaluation will focus chiefly on the

impact of the programs' planning activities. It also will try to gauge the effectiveness of the programs.

79-NI-AX-0102
Title: Family Counseling in the Criminal Justice System: Phase I Assessment
Grantee: American Institutes for Research, P.O. Box 1113, Palo Alto, California 94302
Project Director: Jane G. Schubert
Amount: \$249,460
Grant Period: 10/1/79-3/31/81

This evaluation will assess existing knowledge about family counseling programs in the criminal justice system. The grantee will review and evaluate available literature, investigate and assess existing programs, develop a framework for evaluating the programs, and analyze the accumulated information. The evaluation will gauge the performance and effectiveness of the various programs, the factors influencing their success or failure, and the costs of implementing these programs as opposed to alternative services.

79-NI-AX-0104
Title: Police Liaison Activities: Phase I Assessment
Grantee: Mitre Corporation, 1820 Dolley Madison Boulevard, McLean, Virginia 22102
Project Director: Warren Moy
Amount: \$249,562
Grant Period: 10/1/79-7/1/81

A close relationship between police and other agencies is vital to a successful functioning of the criminal justice system. Liaison by the police is thus an important issue, yet there have been no attempts so far to investigate the activities involved in police liaison or to review their effectiveness. This evaluation will pinpoint what is known about these activities and their impact, and then identify areas requiring further research. The major issues to be examined include the development of police liaison units, the nature and effectiveness of the units, and the barriers to improving coordination between the police and other agencies within as well as outside the criminal justice system.

79-NI-AX-0105
Title: Systematic Evaluation of the Commercial Security Field Test
Grantee: Public Systems Evaluation, 929 Massachusetts Avenue, Cambridge, Massachusetts 02139
Project Director: Michael F. Cahn
Amount: \$400,000
Grant Period: 10/1/79-9/30/81

This project will evaluate the Institute-sponsored field test of commercial security. In the three cities chosen for the test sites, a security survey will be conducted of all the businesses in a target area, gauging the adequacy of their security provisions and suggesting feasible improvements. The evaluators will assess the success of the experiment in reducing burglary, robbery, and larceny—the three target crimes of the test. The grantee will collect a variety of information: crime rates, economic indicators, and victimization data plus the findings from interviews and observations. Data will be compared from the three test areas and between each target area and

corresponding control site. The evaluation also will determine whether the programs should be adopted on a wider scale.

79-NI-AX-0107
Title: Application of Maut-Bayesian Method to the Community Anti-Crime National Evaluation
Grantee: Decision Sciences Consortium, Inc., 7700 Leesburg Pike, Falls Church, Virginia 22043
Project Director: Kurt J. Snapper
Amount: \$99,220
Grant Period: 8/15/79-12/31/80

This project complements the other evaluation of LEAA's Community Anti-Crime Program under grant #79-NI-AX-0109. Here a new evaluation technique is applied, an approach based on decision theory. Key participants in the program and other stakeholders are asked to identify important decisions involving the program and then to define and rank its objectives. This information is analyzed along with expert opinion and other data, with the results showing a variety of options and their relative usefulness for each key decision. The program participants are thus furnished with a set of guidelines for weighing future decisions.

79-NI-AX-0109
Title: National Evaluation of the Community Anti-Crime Program
Grantee: American Institutes for Research, 1055 Thomas Jefferson St., N.W., Washington, D.C. 20007
Project Director: Karol Kerns
Amount: \$248,776
Grant Period: 8/15/79-4/2/81

In 1977, Congress authorized LEAA to launch a community anti-crime program that provided funds directly to local community groups to undertake crime prevention activities. These activities consist of reducing opportunities for crime and deterring criminal behavior. Under this award, the evaluator will examine the program overall as well as in-depth. Mail surveys will be conducted on 146 programs. The analysis of 24 projects will examine closely the activities of the programs vis-a-vis their effectiveness. Among the activities to be examined are block watches, escort services, police/community relations, and projects deemed exemplary by LEAA.

79-NI-AX-0118
Title: Evaluation of Multi-Jurisdictional Sentencing Guidelines
Grantee: Abt Associates, Inc., 55 Wheeler Street, Cambridge, Massachusetts 02138
Project Director: Brad Smith
Amount: \$399,986
Grant Period: 10/1/79-3/31/82

Sentencing guidelines are among the newer sentencing reforms, designed specifically to reduce disparity in sentences while articulating judicial sentencing policy. A few jurisdictions have developed and implemented their own guidelines; the Institute's field test of multi-jurisdiction guidelines extends the experiment a step further. Maryland and Florida are the test sites and within these States, three or four jurisdictions will develop and implement a common set of guidelines. This evaluation of the field test will assess whether the guidelines enhance the consistency of sentences and whether they are feasible for a multi-jurisdictional setting. The experiences

of the test sites are expected to assist other jurisdictions which are considering similar initiatives.

79-NI-AX-0128
Title: Evaluation of Program Test Designs: Structured Plea Negotiations
Grantee: Institute for Law and Social Research, 1125 15th Street, N.E., Washington, D.C. 20005
Project Director: Deborah Buchner
Amount: \$383,340
Grant Period: 11/1/79-10/31/81

This evaluation of the Institute's field test of structured plea negotiation will determine to what extent the test sites have adopted the program design and met the program's objectives. Plea agreements that are explicit, open, and subject to judicial review and which include the views of all parties, including defendants and victims, are among the program's objectives. Others include reducing court delay, and structuring plea negotiations to enhance the equity of the judicial process.

Office of Development, Testing and Dissemination

Model Program Development

79-NI-AX-0085
Title: Knowledge Utilization: A Policy Approach
Grantee: Rand Corporation, 1700 Main Street, Santa Monica, California 90406
Project Director: Phyllis Ellickson
Amount: \$349,991
Grant Period: 1/1/80-12/31/81

This study will entail a systematic, empirical inquiry into the process of knowledge utilization in the field of criminal justice. The results of the study are expected to contribute to a better understanding of how knowledge from research and evaluation is conveyed to the criminal justice community and then transformed into policies or put into practice. The project will focus on the various stages in the process of knowledge utilization as well as on the critical factors and key participants in the process. The activities to be undertaken for the research program are a coordinated series of studies investigating several key aspects: the development of knowledge, its diffusion and adoption, its implementation, and its incorporation as a program or policy into a permanent place in the local setting. Among the studies to be conducted under this award are a literature review, several case studies, and a survey.

Training and Testing

79-NI-AX-C004
Title: National Criminal Justice Research Utilization Program
Grantee: University Research Corporation, 5530 Wisconsin Avenue, N.W., Washington, D.C. 20015
Project Director: Sheldon Steinberg
Amount: \$3,018,000
Contract Period: 6/1/79-5/31/80

This contract supports the Institute's Research Utilization Program including its research utilization workshops, special national workshops, and field test support as well as the NILECJ advisory board. In addition, the contractor is responsible for evaluating the quality and impact of the entire program. Related responsibilities include the provision of administrative and professional services, facilities, equipment, and other resources necessary to carry out the program.

79-NI-AX-0051
Title: On-Site Technology Transfer in Advanced Criminal Justice Projects (HOST III)
Grantee: Public Technology, Inc., 1140 Connecticut Avenue, Northwest, Washington, D.C. 20036
Project Director: John Herzig
Amount: \$304,790
Grant Period: 6/15/79-8/7/80

This grant continued the Institute's HOST program, which provides senior criminal justice officials with the necessary skills and knowledge for effectively duplicating especially successful or innovative programs which have been validated by an independent team of evaluators. The program has already enabled over 150 carefully selected officials to spend from 1 to 2 weeks at one of the 14 "host" sites, chosen from among the Institute's Exemplary Projects. This award permitted another 91 executives to visit the "host" sites. It also enabled members of the Urban Consortium to identify their priorities for future research or dissemination and analyze their needs. This analysis, as well as the HOST program itself, are aimed at establishing a close link between research and practice.

79-NI-AX-0052
Title: Neighborhood Justice Center of Venice/Mar Vista
Grantee: Los Angeles County Bar Association, 606 South Olive—Suite 1212, Los Angeles, California 90014
Project Director: Joel Edelman
Amount: \$112,500
Grant Period: 7/1/79-6/30/80

In FY 1978, the Institute awarded funds to three sites to field test the Neighborhood Justice Center program. This grant continued the sponsorship of the center in Los Angeles for a year-long transitional period. The evaluation of the program, which is reported in the body of this document, showed that the centers achieved the goals of the experiment by providing an effective mechanism for resolving minor disputes in a forum other than the courtroom.

Title: Multijurisdictional Sentencing Guidelines Program Test
Grant Period: 10/1/79-9/30/80

79-NI-AX-0089
Grantee: Florida Supreme Court, Office of the State Court Administrator,
Supreme Court Building, Tallahassee, Florida 32304
Project Director: Kenneth Palmer
Amount: \$268,642

79-NI-AX-0093
Grantee: Maryland Administrative Office of the Courts, P.O. Box 431,
Annapolis, Maryland 21404
Project Director: Patricia Nelson
Amount: \$270,000

This project is testing the feasibility of implementing sentencing guidelines in the criminal courts of several jurisdictions in Maryland and Florida. The experiment also will yield an understanding of the merits of the implementation strategy as incorporated in the test design. The use of guidelines has several aims, including reducing unwarranted disparity in sentences while retaining judicial discretion to tailor sentences. Other objectives are to provide an explicit sentencing policy which, in turn, should facilitate the review and modification of the policy. The guidelines also should serve as an information tool for new or rotating judges and enhance an understanding of the sentencing process to those outside the judiciary.

79-NI-AX-0097
Title: Pre-Release/Work Release Center Field Test
Grantee: Baltimore city, City Hall, 401 East Eager Street, Baltimore,
Maryland 21202
Project Director: Robert Tickner
Amount: \$200,000
Grant Period: 10/1/79-3/31/81

The city of Baltimore is one of three test sites for the Institute's field test of a pre-release/work release centers; the other test sites—Philadelphia and New Orleans—are funded under grants awarded in FY 1978. The key aims of the experiment are twofold: to assess whether the structured, community-based, early release program is an effective alternative to traditional release procedures; to determine whether the release program of this experiment warrants replication on a wide scale. Among the goals of the program are: to enable inmates who have no community ties to adjust successfully to the community, to aid inmates who have not been incarcerated for a long time to maintain their community ties, and to provide a cost-effective alternative to traditional methods of release.

Reference and Dissemination

79-NI-AX-0048
Title: Crime and Justice: An Annual Review of Criminal Justice Research
Grantee: University of Maryland, The Law School, 500 West Baltimore
Street, Baltimore, Maryland 21201
Project Director: Michael Tonry
Amount: \$114,085
Grant Period: 6/1/79-5/30/80

This award continues the series of annual reviews of the state-of-the-art in criminal justice issues, institutions and research methods. The series is designed to be a prominent and prestigious forum for the publication of high quality essays on criminal justice. Among the aims of the project are to enhance the status of criminal justice research in the academic disciplines, provide a basic reference source for practitioners and scholars, and publicize the developments and trends in criminal justice research to a wider audience than the academic community. The research agendas incorporated in some of the individual essays will also suggest possible topics for research scholars, officials, and practitioners.

79-NI-AX-A004
Title: Study of Information Delivery: The Use of Microfiche
Grantee: U.S. Department of Commerce, National Technical Information
System, Springfield, Virginia 22161
Amount: \$20,000
Grant Period: 5/24/79-2/5/81

This award will enable the National Technical Information System to assess the pros and cons of using microfiche to disseminate the results of Institute-sponsored efforts. The aim of the study is to learn whether microfiche documents can adequately meet the information needs of State and local criminal justice officials.

78-NI-AX-0016-S1
Title: Technology Assessment Program Information Center
Grantee: International Association of Chiefs of Police, 11 Firstfield Road,
Gaithersburg, Maryland 20760
Project Director: Frank Roberson
Amount: \$600,329
Grant Period: 1/13/79-1/14/80

As part of a continuing program, this grant supports the development of the advisory council of the Technology Assessment Program, and the testing and dissemination of information about the equipment. The emphasis during this newest phase of the program will be on comparing equipment performance, based on validated test standards, to assist law enforcement officials in making improved procurement decisions. A part of this grant is devoted to completing the testing of transceivers, body armor, handcuffs and vehicles in accordance with scientifically sound standards. Work will also begin on testing a drug identification kit. Another part of this supplementary award will continue the necessary support for coordinating the Advisory Council's recommendations for specific standards and performance requirements with the development of standards by the Law Enforcement Standards Laboratory, which is supported by a separate Institute award.

LEAA-J-IAA-021-3
Title: Law Enforcement Standards Laboratory
Grantee: National Bureau of Standards, Department of Commerce,
Washington, D.C. 20534
Project Director: Lawrence K. Eliason
Amount: \$900,000
Grant Period: 9/28/79-9/30/80

Under an interagency agreement with the Department of Commerce, the Institute established the Law Enforcement Standards Laboratory in 1971 to

set standards for equipment used by the law enforcement and criminal justice community. Since then, the laboratory has produced many performance standards, guideline documents, reports, and reference materials. Part of the funding for fiscal year 1979 supports the development of a new standard for burglar alarms and a revised standard for handcuffs. It also supports the laboratory's close collaboration with the Institute-sponsored information center of the Technology Assessment Program, a part of the International Association of Chiefs of Police.

J-LEAA-023-77
Title: Contract for the Continued Operation and Refinement of the
National Criminal Justice Reference Service (NCJRS)

Contractor: Aspen Systems Corporation, Box 6000, Rockville, Maryland
20850
Project Director: Georgette Semick
Amount: \$2,992,056
Award Period: 7/7/79-7/6/80

The National Criminal Justice Reference Service provides information to the nation's criminal justice community and to government officials at the Federal, State and local levels, as well as to universities and professionals here and abroad. It acquires, indexes, abstracts, stores, retrieves, and distributes reports and information on all aspects of law enforcement and criminal justice. NCJRS also offers a wide range of reference and referral services.

**Distribution of FY 1979
National Institute Program Funds**

(By Program Area)

Program Area	Dollars
Office of Research Programs	
Police	\$2,734,318
Adjudication	1,753,154
Corrections	1,398,347
Community Crime Prevention	2,146,056
Center for the Study of Crime	
Correlates and Criminal Behavior	642,491
Research Agreements	157,786
Visiting Fellows	2,338,647
Office of Program Evaluation	4,052,136
Office of Research and Evaluation	
Methods	2,486,502
Office of Development, Testing and Dissemination	9,539,008
Total	\$27,248,445

National Institute Program Funds

(By Type of Recipient)

State and Local Governments	\$1,288,727
Universities	6,861,537
Federal Research Development Centers	299,467
Non-Profit Research Centers or Organizations	10,971,928
Federal Agencies	1,386,000
Profit-Making Organizations	6,283,000
Individuals	157,786
Total	\$27,248,445

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