



DEC. 04		NIJ
Solicitation for Proposals		
Evaluations of Office of Juvenile Justice and Delinquency Prevention FY 2003 Discretionary Funds Projects		
Notice: You <i>must</i> submit your application using the Office of Justice Programs' automated Grants Management System. Paper applications will not be accepted. We suggest you begin the process as soon as possible. To start the process, go to http://www.ojp.usdoj.gov/fundopps.htm .		Deadline: February 16, 2005 8 p.m. eastern time SL 000694

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Evaluation of Office of Juvenile Justice and Delinquency Prevention FY2003 Discretionary Funds Projects

I. Introduction

The National Institute of Justice (NIJ) is the research, development, and evaluation agency of the U.S. Department of Justice and a component of the Office of Justice Programs. NIJ provides objective, independent, evidence-based knowledge and tools to enhance the administration of justice and public safety. NIJ solicits proposals to inform its search for the knowledge and tools to guide policy and practice.

NIJ seeks evaluations of four programs supported by FY 2003 discretionary funds from the Office of Juvenile Justice and Delinquency Prevention (OJJDP). The evaluations will answer questions about program effectiveness, transferability, and return on investment.

Due date: The due date is listed on the cover of this announcement and on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>. Extensions to the deadlines are generally not granted.

Page limit: The program narrative section of your proposal must not exceed 30 double-spaced pages in 12-point font with 1-inch margins. Abstract, table of contents, charts, figures, appendixes, and government forms do not count toward the 30-page limit for the narrative section.

Reasons for rejection: NIJ may reject applications that are incomplete, do not respond to the scope of the solicitation, do not comply with format requirements, or are submitted after the deadline. No additions to the original submission are allowed.

How to submit applications to NIJ: Instructions for applying are in "Guidelines: How to Submit Applications," available on the NIJ Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.

II. Proposal Topics

NIJ and OJJDP are working together to understand the effectiveness of four programs funded by OJJDP. The four programs were selected from a large pool of projects and were chosen because of their scope, activities, and potential for rigorous evaluation.

A summary of each program, called a “Preface,” and a full description, called an “Evaluability Assessment,” are appended to this solicitation:

- [Chicago Project for Violence Prevention/Ceasefire](#)
- [SAGE Project: LIFESKILLS and Early Intervention Prostitution Prevention](#)
- [SAGE Project: First Offender Prostitution Program](#)
- [Youth and Families with Promise](#)

As you develop your evaluation design, you should review carefully the Evaluability Assessments. The Preface to each contains the name of a site contact who can provide additional information and explore with you the possible ways the site staff might be able to support the evaluation.

NIJ intends to award grants for process and outcome evaluations of the programs. The primary audience for the evaluations is Federal program funders and State and local program developers.

Evaluation designs should address three issues relevant to this audience:

- Effectiveness (attribution of program outcomes to program activities).
- Transferability (feasibility for adoption by other organizations).
- Return on investment (whether the programs are cost-effective or, wherever feasible, cost-beneficial).

Your proposal should contain (1) the most rigorous design possible for each project, (2) a design and dissemination plan that maximizes the usefulness of the findings for both research and practice, and (3) a time period that is appropriate to the outcome questions being studied. To ensure results are useful, the findings must be available in a timely fashion in order to inform policy.

III. General Requirements and Guidance

NIJ is asking you to submit a proposal that states the problem under investigation (including goals and objectives of the proposed project) and the relevance of the project to public policy, practice, or theory. The narrative program section should state the research question and objectives and explain how the work will contribute to knowledge and practice. It should describe in sufficient detail the research methods and analytic strategy.

Format your proposal as follows:

1. Abstract of no more than 400 words
2. Program narrative

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- a. Research question or problem
 - b. Research goals and objectives
 - c. Research design and methods
 - d. Implications for knowledge and practice
 - e. Dissemination plan for project deliverables
 - f. Description of estimated costs
 - g. Staffing plan
 - h. Timeline
3. Tables, figures, charts, and appendixes (if applicable)

Instructions for submitting proposals can be found in “Guidelines: How to Submit Applications,” (available at <http://www.ojp.usdoj.gov/nij/funding.htm>) and the Office of Justice Programs Grants Management System Handbook (available at <http://www.ojp.usdoj.gov/fundopps.htm>).

- A. Submit applications online:** Paper applications are not accepted. Applications must be submitted through the Office of Justice Programs’ online Grants Management System. NIJ suggests you begin the process early, especially if this is the first time you have used the system. To begin, go to <http://www.ojp.usdoj.gov/fundopps.htm>. There are three types of documents that can be uploaded to an application package: PDFs, Word documents, and text documents. The Grants Management System does not consider an application complete until three files are uploaded: (1) “Program Narrative,” (2) “Budget Detail Worksheet and Narrative,” and (3) “Other Program Attachments.”
- B. Relevance of the project for policy and practice:** Higher quality proposals clearly explain the practical implications of the project. They connect technical expertise with policy and practice. To ensure that the project has strong relevance for policy and practice, some researchers and technologists collaborate with practitioners and policymakers. You may include letters showing support from practitioners, but they carry less weight than clear evidence that you understand why policymakers and practitioners would benefit from your work and how they would use it. While a partnership may affect State or local activities, it should also have broader implications for others across the country.
- C. Equal opportunity for all applicants:** It is OJP’s policy that faith-based and community organizations that statutorily qualify as eligible applicants under OJP programs are invited and encouraged to apply for awards. Faith-based and community organizations will be considered for an award on the same basis as any other eligible applicants and, if they receive an award, will be treated on an equal basis with non-faith-based and community organization grantees in the administration of such awards. No eligible applicant or grantee will be discriminated against on the basis of its religious character or affiliation, religious name, or the religious composition of its board of directors or persons working in the organization.

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- D. Cofunding:** A grant made by NIJ under this solicitation may account for up to 100 percent of the total cost of the project. You must indicate whether you believe it is feasible for you to contribute cash, facilities, or services as non-Federal support for the project. Your proposal should identify generally any such contributions that you expect to make and your proposed budget should indicate in detail which items, if any, will be supported with non-Federal contributions.
- E. Number of grants to be awarded:** NIJ's grant award process is highly competitive. The number of awards NIJ makes is always subject to the availability of funds and the number and quality of applications received.
- F. When awards will be made:** All applicants, whether they are accepted or rejected, will be notified. The review and approval process takes about 6 months. You should not propose to begin work until at least 6 months after the proposal deadline on the cover of this solicitation. Also, you should not expect to receive notification of a decision for at least 6 months after that date. Lists of awards are updated regularly on NIJ's Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.
- G. Financial audits are required:** If your organization spends \$500,000 or more of Federal funds during the fiscal year, you may be asked to submit an organization-wide financial and compliance audit report before any award is made. The audit must be performed in accordance with the U.S. Government Accountability Office Government Accounting Standards and must conform to Chapter 19 ("Audit Requirements") of the Office of Justice Programs' Financial Guide (available at <http://www.ojp.usdoj.gov/FinGuide>). You may include the costs of complying with these audits in the proposed budget submitted as part of your application. Detailed information regarding the independent audit is available in Office of Management and Budget Circular A-133 (available at <http://www.whitehouse.gov/omb/circulars>).
- H. An environmental assessment may be required:** All award recipients must comply with the National Environmental Policy Act (NEPA). To ensure NEPA compliance, NIJ may require some award recipients to submit additional information.
- I. Protection of confidentiality:** Federal regulations require applicants for NIJ funding to outline specific procedures for protecting private information about individuals as part of the Privacy Certificate submitted with the application package. For additional information, see "Guidelines: How to Submit Applications," <http://www.ojp.usdoj.gov/nij/funding.htm>.
- J. A DUNS number is required:** The Office of Management and Budget requires that all businesses and nonprofit applicants for Federal funds include a DUNS (Data Universal

Numeric System) number in their application for a new award or renewal of an award. Applications without a DUNS number are incomplete. A DUNS number is a unique nine-digit sequence recognized as the universal standard for identifying and keeping track of entities receiving Federal funds. The identifier is used for tracking purposes and to validate address and point of contact information. NIJ will use the DUNS number throughout the grant life cycle. Obtaining a DUNS number is a free, one-time activity. Obtain one by calling 1–866–705–5711 or by applying online at <http://www.dunandbradstreet.com>. Individuals are exempt from this requirement.

K. Funds cannot be used to lobby: Under the Anti-Lobbying Act (18 U.S.C. § 1913), grantees generally may not use funds to support the enactment, repeal, or modification of any law, regulation, or policy at any level of government. For additional information on rules and regulations, see “Guidelines: How to Submit Applications” at <http://www.ojp.usdoj.gov/nij/funding.htm> and OJP’s Financial Guide at <http://www.ojp.usdoj.gov/FinGuide>.

L. What will *not* be funded:

1. Provision of training or direct service.
2. Proposals primarily to purchase equipment, materials, or supplies. (Your budget may include these items if they are necessary to conduct applied research, development, demonstration, evaluation, or analysis, but NIJ does not fund proposals that are primarily to purchase equipment.)
3. Work that will be funded under another specific solicitation.

Note: Evaluation funds may not be used to implement the project being evaluated.

M. Cost of proposed work: NIJ anticipates that \$2.3 million will be available for awards made through this solicitation. NIJ expects to make 4 awards—one for each program depending on funds available and number of high-quality applications. An estimated cost for each evaluation is in the Preface to each program description. (See Section II, Proposal Topic, for information about where to find the descriptions.)

You may propose to evaluate as many of the projects as you believe you can manage effectively. Each proposal must be submitted in a separate application. NIJ will assess each proposal on its individual merits. Recognizing that organizations may wish to propose the same personnel on more than one project, where necessary NIJ will negotiate key personnel issues for multiple awards to the same organization after technical peer reviews have been completed.

You should propose evaluation timetables and durations consistent with the objective of performing a rigorous and successful outcome evaluation. NIJ will conduct a 2-day meeting of all evaluation grantees in Washington, D.C., in the first year after awards are made. You

should budget time and funds for this meeting in your application. You should also plan to produce a detailed evaluation design and workplan within 60 days of award.

If you propose a project that exceeds the amount of money that may be available for this solicitation, we recommend that you divide the project into phases, stages, or tasks so that NIJ can consider making an award for a specific portion of the work. NIJ cannot guarantee that subsequent phases, stages or tasks will be funded. Such additional funding depends on NIJ's resources and your satisfactory completion of each phase, stage, or task. Note: Deliverables (e.g., a final report) will be required at the end of each phase, stage, or task.

N. Call for assistance:

For technical guidance about using the Grants Management System, call the hotline at 1-888-549-9901. For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, see the NIJ web site at <http://www.ojp.usdoj.gov/nij> or contact NIJ at 202-307-2942.

IV. Selection Criteria

NIJ is firmly committed to the competitive process in awarding grants. All proposals are subjected to an independent peer-review panel evaluation. External peer-review panelists consider both technical and programmatic merits. Panelists are selected based on their expertise in subject areas pertinent to the proposals.

Peer-review panelists will evaluate proposals using the criteria listed below. NIJ staff then make recommendations to the NIJ Director. The Director makes final award decisions.

Successful applicants must demonstrate the following:

A. Understanding of the problem and its importance.

B. Quality and technical merit.

1. Awareness of the state of current research or technology.
2. Soundness of methodology and analytic and technical approach.
3. Feasibility of proposed project and awareness of pitfalls.
4. Innovation and creativity (when appropriate).

C. Impact of the proposed project.

1. Potential for significant advances in scientific or technical understanding of the problem.
2. Potential for significant advances in the field.
3. Relevance for improving the policy and practice of criminal justice and related agencies and improving public safety, security, and quality of life.

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4. Affordability and cost-effectiveness of proposed end products, when applicable (e.g., purchase price and maintenance costs for a new technology or cost of training to use the technology).
 5. Perceived potential for commercialization and/or implementation of a new technology (when applicable).

D. Capabilities, demonstrated productivity, and experience of applicants.

1. Qualifications and experience of proposed staff.
2. Demonstrated ability of proposed staff and organization to manage the effort.
3. Adequacy of the plan to manage the project, including how various tasks are subdivided and resources are used.
4. Successful past performance on NIJ grants and contracts (when applicable).

E. Budget.

1. Total cost of the project relative to the perceived benefit.
2. Appropriateness of the budget relative to the level of effort.
3. Use of existing resources to conserve costs.

F. Dissemination strategy.

1. Well-defined plan for the grant recipient to disseminate results to appropriate audiences, including researchers, practitioners, and policymakers.
2. Suggestions for print and electronic products NIJ might develop for practitioners and policymakers.

V. Requirements for Successful Applicants

If your proposal is funded, you will be required to submit several reports and other materials as follows:

- A. Final report:** The final report should be a comprehensive overview of the project and should include a detailed description of the project design, data, and methods; a full presentation of scientific findings; and a thorough discussion of the implications of the project findings for criminal justice practice and policy. It must contain an abstract of no more than 400 words and an executive summary of no more than 2,500 words.

A draft of the final report, abstract, and executive summary must be submitted 90 days before the end date of the grant. The draft final report will be peer reviewed upon submission. The reviews will be forwarded to the author with suggestions for revisions. The author must then submit the revised final report, abstract, and executive summary by the end date of the grant.

The abstract, executive summary, and final report must be submitted in both paper and electronic formats.

For evaluation studies, the final report should include a section on measuring program performance. This section should outline the measures used to evaluate program effectiveness, modifications made to those measures as a result of the evaluation, and recommendations regarding these and other potential performance measures for similar programs. (This information will be particularly valuable to NIJ and other Federal program agencies in implementing performance measures for federally funded criminal justice programs.)

B. Interim reports: Grantees must submit quarterly financial reports, semi-annual progress reports, and a final progress report. Future awards and fund drawdowns may be withheld if reports are delinquent. Post-award reporting requirements are described in “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm>.

C. Materials concerning protection of confidential information and human subjects: Recipients of NIJ research funds must comply with Federal regulations concerning the protection of private information about individuals. Recipients also must comply with Federal regulations concerning protection of human subjects. In general, all research involving human subjects that is conducted or supported by NIJ funds must be reviewed and approved by an Institutional Review Board before Federal funds are expended for that research. NIJ may also ask grant recipients for additional information related to privacy and human subjects testing.

Additional general information regarding NIJ’s requirements for privacy and protection of human subjects appears in “Guidelines: How to Submit Applications,” available at <http://www.ojp.usdoj.gov/nij/funding.htm>. Complete information about NIJ’s requirements can be found at <http://www.ojp.usdoj.gov/nij/humansubjects>.

D. Electronic data: Some grant recipients will be required to submit electronic data and supporting documentation, such as a codebook or dictionary, capable of being re-analyzed and used by other researchers. The materials must be submitted by the end date of the grant. Grant applicants should ensure that the proposed timeline and budget accommodate these requirements.

E. Performance guidelines: As part of government-wide efforts to measure the performance of Federal funding, in May 2002, the White House issued guidance on how to evaluate the performance of Federal research programs. Research should be: (1) relevant—that is, important and appropriate for meeting the needs of the field, (2) of high quality, and (3) well-managed by grantees and well-monitored by the Federal agency. Therefore, in addition to the reporting requirements discussed above, a grantee’s performance on an award made under

this solicitation will be evaluated on whether the final research report was (1) relevant to the needs of the field as measured by whether the grantee's substantive scope did not deviate from the funded proposal or any subsequent agency modifications to the scope; (2) of high quality as assessed by peer reviewers; and (3) well-managed as measured by whether significant interim project milestones were achieved, final deadlines were met, and costs remained within approved limits. For more information see "Guidelines: How to Submit Applications," available at <http://www.ojp.usdoj.gov/nij/funding.htm>.

Tips for Submitting Your Application

1. Begin the application process early—especially if you have never used the online Grants Management System before. NIJ will not accept applications received after the closing date and time listed on the cover. To start the process, go to <http://www.ojp.usdoj.gov/fundopps.htm>.
2. Review "Guidelines: How to Submit Applications" for complete instructions, available at <http://www.ojp.usdoj.gov/nij/funding.htm>.
3. Although your proposal may budget for the purchase of equipment if the equipment is necessary to conduct the project, NIJ will not fund applications that are primarily to purchase equipment, materials, or supplies.
4. Call for help:
 - For technical guidance about the Grants Management System, call the hotline at 1-888-549-9901.
 - For questions about this solicitation, the research being solicited, or other NIJ funding opportunities, contact NIJ at 202-305-7807 or visit NIJ's Web site at <http://www.ojp.usdoj.gov/nij/funding.htm>.

View or print a copy of this document from the NIJ Web site (<http://www.ojp.usdoj.gov/nij/funding.htm>) or request one by calling NCJRS at 1-800-851-3420 or e-mailing askncjrs@ncjrs.org.

Appendix: Evaluability Assessments with Prefaces

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Preface: Chicago Project for Violence Prevention/CeaseFire

Staff Contact: Candace Kane
Chief Operating Officer
Chicago Project for Violence Prevention/CeaseFire
312-996-1319

NIJ has identified key guidance on the phasing of this evaluation. Applicants may depart from this guidance by providing appropriate rationale.

NIJ requires a phase I process evaluation. The suggestion is that this be done using the Chicago Project for Violence Prevention MIS system and extant records both for the program and reasonable comparisons. The results of this phase I process evaluation will be submitted to NIJ for review prior to the release of funds to complete a phase II outcome evaluation. A strong quasiexperimental design is recommended for the outcome evaluation. It is suggested that a qualitative component be embedded in the quasiexperimental design to allow assessment of community dynamics, mechanisms of behavioral change, deterrence, dynamics of gang and group behavior, increased community capacity including problem solving, and partnering with government agencies. The funds for phases I and II will be included in a single award. Separate budgets should be submitted for the phase I and phase II portions of this evaluation.

NIJ is interested in two broad questions regarding program outcomes:

- Does the intervention result in reductions in the number of arrests and rate of recidivism for clients of the outreach workers?
- Does the intervention result in reductions in shooting incidents at the neighborhood level? (It is thought that the number of homicides at the neighborhood level is too small to be used as an outcome for this effort.)

NIJ expects the cost of this evaluation to be no less than \$1 million. Total funds available for all four evaluations covered by this solicitation are approximately \$2.3 million.

Evaluability Assessment: Chicago Project for Violence Prevention/CeaseFire

SYNOPSIS

Grantee: Chicago Project for Violence Prevention/CeaseFire (1996-MU-FX-0013)

Grant Period: Fiscal Year 2003

Grant Award: \$447,075

Funding History: Not available

Project Summary: The Chicago Project for Violence Prevention was established in 1995 with the goal of reducing gun shootings in the Chicago metropolitan area. The project uses a strategic public health approach to violence prevention. The implementation of the project's strategy is called CeaseFire. To date, the Chicago Project has implemented CeaseFire in 10 neighborhoods, most of which account for a significant portion of Chicago's shooting incidents and homicides. "The mission of the Chicago Project is to work with its community, city, county, and State and Federal partners in order to reduce street violence, namely killings and shootings" (Chicago Project for Violence Prevention, 2004).

The Chicago Project focused its initial efforts between 1995 and 1999 on strategy, development, and infrastructure building. During the initial planning stage, an eight-point plan was developed that borrows and adapts from other models such as the Boston Gun Project and the Spergel model (the Comprehensive Community-wide Approach to Gang Prevention, Intervention, and Suppression). The eight-point plan involves (1) developing and maintaining strong community coalitions, (2) sending a unified message about gun violence (no shooting), (3) mediating and intervening in all conflicts, (4) rapidly responding to all shootings, (5) providing alternatives and linkages for most at-risk persons, (6) providing safe havens and programs for youths, (7) enforcing penalties for gun use and gun trafficking, and (8) ensuring prosecution of offenders.

Scope of Evaluation: The evaluation should be a multicomponent evaluation that involves (1) process evaluation and transferability assessment, (2) impact evaluation, (3) ethnography, and (4) cost-benefit evaluation. It is important to note that the Chicago Project is a large partnership that seeks to effect change at many levels: individual, community, and systems. Outcomes could include reductions in individual levels of arrests/recidivism, reductions in shooting incidents at the neighborhood level, and changes in community perceptions of crime. A strong evaluation would view the project as a community justice/public health partnership seeking not only to reduce the number of shootings, but also to increase the capacity of neighborhoods to problem solve and partner with government agencies and of other entities to respond to violence.

Summary of Evaluability Assessment Activity: In May 2004, the assessment team conducted a 2-day site visit. The assessment team spoke with senior staff, frontline workers, and lead community agencies. The assessment team also sat in on a steering committee meeting and had the opportunity to visit a neighborhood in the target area and speak to clients.

Findings: It is recommended that this project be evaluated. The program logic model is strong, community buy-in is high, the partnerships are strong, the MIS system is sound, and there has been little turnover of project management staff. In addition, sample sizes would be adequate. The management staff report that collecting data from the Department of Corrections and the police department should not pose a problem because these agencies have a strong, reliable history of participating in research projects. In addition, very little currently is known about the mechanisms of behavioral change with regard to violence, particularly gang violence. The Chicago Project/CeaseFire seeks to change behavior using a well-informed logic model. An evaluation of the Chicago Project's model would add a significant amount of knowledge to the field. Furthermore, evaluations of strong crime prevention partnerships that have an individual and community focus are uncommon.

ANALYSIS

What do we already know about projects like these?

The Chicago Project for Violence Prevention/CeaseFire is modeled after the Boston Gun Project/CeaseFire and the Spergel model (the Comprehensive Community-wide Approach to Gang Prevention, Intervention, and Suppression). However, the Chicago Project combines best practices of both models and adds a number of public health strategies not present in either model. Both the Boston Gun Project and the Spergel model have been evaluated and show promise for gun violence reduction. More details are provided below.

The implementation of the Spergel model first took place in Little Village, Chicago. The key goals of this model are to (1) reduce individual-level gang-related crimes, (2) improve public safety at the community level by reducing crime rates, and (3) increase community capacity by creating a jurisdiction-wide integrated system of services for gang-involved youths. The model has a heavy gang suppression and enforcement component but also centers on developing community-level capacity to solve gang problems. The evaluation, which utilized a comparison group, examined members of two of the largest, most violent gangs in the Chicago area. The evaluation measured self-reported criminal behavior, number of crimes reported to police, number of gang-related crimes, and community feelings of fear. The findings showed that program participants reported decreased participation in violent crime, whereas the comparison group did not. In addition, official record data reflected these findings. Positive outcomes also were found with regard to community perceptions. Community residents reported feelings of increased safety, decreased fear of victimization, and perceived decreases in community crime levels (Spergel, Grossman, Wa, Choi, and Jacob, 1999). The Spergel model also has been implemented in additional communities around the country. In 1995, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) funded five jurisdictions for a multiyear demonstration project involving the Spergel model. The evaluations currently are being finalized.

In many ways, the Boston Gun Project utilizes parts of the Spergel model, but it emphasizes a strong deterrence message through immediate responses to homicides. Initiated by a multiagency working group that began in 1995, Boston's problem-solving partnership determined from the research and planning phase that youth violence in

Boston was concentrated among a small number of chronically offending, gang-involved youths (Kennedy, Piehl, and Braga 1996; Kennedy, Braga, and Piehl, 1997). The working group crafted an enforcement intervention that would respond to the particular nature of the violence. The intervention, which came to be known as Operation CeaseFire, delivered an explicit deterrence message stressing that violence would not be tolerated. The working group and gang outreach workers delivered the message to a small target audience of youth gang members through formal meetings and direct police and probation contacts with gang members and inmates in juvenile facilities. The message was in essence, “We know who you are and we are watching ... we will not tolerate violence; if you choose violence, the consequences will be as severe as State and Federal law can make them, that is, very severe.” Key to the strategy was making sure the working group followed through on the promised response to violence. The intent was to interrupt the cycle of violence to provide the necessary lull that would then enable neighborhoods and community institutions to function better (Kennedy, 1998).

Formal evaluation of the Boston intervention revealed that it accounted for a 63 percent decrease in the monthly number of Boston youth homicides, a 32 percent decrease in monthly shots fired, and a 25 percent decrease in gun assaults. These reductions were significant when compared with national trends for these types of crimes in other U.S. cities (Braga, Kennedy, Waring, and Piehl, 2001).

As a result of the successes of Operation CeaseFire, NIJ funded five cities in 1998 (and an additional five in 2000) to replicate the success of CeaseFire through problem-solving partnership strategies known as the Strategic Approaches to Community Safety Initiative (SACSI). To date, evaluations have been completed for some of the SACSI sites. An evaluation of SACSI in Winston-Salem found that notification meetings were not successful in reducing individual-level violent behavior, but examination of aggregate crime levels showed a decrease that could be attributable to the intervention (Easterling, Harvey, Mac-Thompson, and Allen, 2003). The evaluators suggested adoption and refinement of a theoretical logic model that adequately accounts for the many factors that influence behavioral change. A summary report of the SACSI partnerships by Dalton (2003) revealed that homicide victimization fell in Minneapolis after strategy implementation, and in Portland, a decrease in drive-by shootings was observed.

It should be noted that the evaluation designs varied widely among SACSI sites. Only a few sites utilized qualitative data such as focus groups or observation to gain insight into perceptions of deterrence or the strategy as administered. Similarly, it appears only one site evaluated changes in community fear of crime.

In summary, evaluations do exist that examine gun violence reduction strategies. These strategies show promise. However, none of the projects evaluated through rigorous evaluation has utilized quite the same model as the one being implemented in Chicago CeaseFire.

What could an evaluation of this project add to what we know?

Very little is known about the mechanisms related to behavioral change with regard to violence, particularly gang violence. The Chicago Project/CeaseFire seeks to change behavior using a well-informed logic model. An evaluation of the Chicago Project's model would add a significant amount of knowledge to the field. The field could learn

whether particular mechanisms of behavioral change work, as well as under what circumstances the model works. Because the project is implemented in a diverse array of neighborhoods, there is much to be learned about the types of communities that could most benefit from the project. The field could also learn how best to define “success” with regard to behavioral change in violence. For example, is it feasible to believe that the model will reduce all shootings, or only those shootings that are gang related? Finally, it is important to note that very few rigorous evaluations exist of community justice partnership initiatives. A rigorous evaluation (in this case a strong quasiexperimental design), regardless of the model, would add significantly to the field of research on community justice partnerships.

Which audiences would benefit from this evaluation?

Multiple audiences could benefit from an evaluation of the Chicago Project. Basically, funders, researchers, and community practitioners could all benefit from an evaluation. The intervention is a comprehensive initiative that seeks to increase neighborhood well-being by reducing gun-related crimes (e.g., shootings). The program also seeks to empower the community’s capacity to effect change. Therefore, there are multiple service sectors and research fields that would benefit from evaluation findings. Criminal justice researchers and practitioners would benefit by learning what works with regard to a strategic public health approach. Currently, many violence prevention and intervention partnerships do not include such an intensive public health model. The criminal justice community could learn how public health approaches could be integrated into community justice partnerships to reduce crime and violence. Basically, the Chicago Project takes the best practices of the Boston Gun Project model and combines them with public health strategies.

Community practitioners across fields such as criminal justice, public health, health, and social work could learn how to implement behavioral change models and whether different facets of behavioral change models are effective under different contexts. Because the CeaseFire model in Chicago will vary in implementation across the different Chicago communities, there is much to be learned regarding how neighborhood context influences outcomes.

Because gun violence is such a serious problem in inner-city communities, hundreds of communities around the country would benefit from simply learning about the CeaseFire strategy and its effectiveness.

Furthermore, with regard to the intervention, the Chicago Project is a complex community justice partnership that seeks to effect change at multiple outcome levels—the individual, community, and systems levels. As stated above, rigorous evaluations of community justice partnerships are few and far between, as are rigorous evaluation of other types of partnerships seeking to increase community well-being (e.g., education, community development). Basically, audiences beyond the criminal justice field will benefit from evaluations of partnerships that examine individual-, community-, and systems-level changes.

What could be done with the findings?

Findings from a process and impact evaluation could be used to generate best practices for violence prevention and intervention strategies around the country. Community practitioners could use findings to guide not only the development of similar programs, but also the maintenance of existing programs and partnerships that are not currently using the strategies present in CeaseFire. Researchers could learn from the tools and methods used in the evaluation and seek to replicate positive findings. Funders could use the findings to guide funding practices. Similarly, policymakers could use positive findings to set policy initiatives that include the strong components of CeaseFire.

Is the grantee interested in being evaluated?

Yes. The director of the project, in addition to the senior staff, expressed a strong interest in being evaluated.

What is the background/history of this project?

The Chicago Project for Violence Prevention was established in 1995 with the goal of reducing gun shootings in the Chicago metropolitan area. The project uses a strategic public health approach to violence prevention and attempts to change norms and current perceptions of punishment, as well as provide alternatives to criminal lifestyles (through provision of services and other opportunities). The implementation of the project's strategy is called CeaseFire. To date, the Chicago Project has implemented CeaseFire in 10 neighborhoods, most of which account for a significant portion of Chicago's shooting incidents and homicides. "The mission of the Chicago Project is to work with its community, city, county, and state and federal partners in order to reduce street violence, namely killings and shootings" (Chicago Project for Violence Prevention, 2004).

The Chicago Project focused its initial efforts between 1995 and 1999 on strategy, development, and infrastructure building. During this strategic planning phase, the project director visited Boston CeaseFire several times to learn about the program model and to attend joint steering committee meetings. In addition to strategy and infrastructure building, funding and community commitment were also important initial components. The U.S. Department of Justice and the U.S. Department of Health and Human Services were the first agencies to provide funding for the project.

Since its inception, the Chicago Project has been situated in the University of Illinois at Chicago's School of Public Health. In addition to support from the university, the project receives county, State, and Federal funds. The project relies heavily on the support of foundations and other outside sources, including the Chicago Community Trust, the Robert Wood Johnson Foundation, and the MacArthur Foundation. The project has more than 20 funding sources.

At what stage of implementation is it?

The project is in its eighth year and currently is undergoing tremendous expansion. The 10 Chicago neighborhoods where CeaseFire has been implemented are at varying stages of development. On February 15, 2004, the project was awarded a \$2 million State grant with the stipulation that it must be spent by June 15, 2004. As a result, the project was

able to enter into new neighborhoods and increase the number of outreach workers from 20 to 60. CeaseFire communities are currently in various stages of development given that new sites were just introduced and are still forming, while others have been in place for as long as 6 years (two of the three original sites).

What is the intervention to be evaluated?

The Chicago Project for Violence Prevention/CeaseFire is the intervention to be evaluated. The project consists of five main subcomponents: community coalitions, police involvement, clergy outreach and organizing to provide safe havens, public education, and youth outreach.

What are the project's outcome goals in the view of the project director?

According to the director of the Chicago Project, the outcome goals are to accelerate communitywide reductions in shooting incidents and gun-related homicides, to get youths on a positive path, and to learn how best to reach these goals.

Does the proposal/project director describe key project elements?

As stated above, there are five key project elements (community coalitions, law enforcement involvement, clergy outreach, public education, and youth outreach).

Do they describe how the project's primary activities contribute to goals?

The project is dedicated to changing the norms and perceptions of those committing violence in communities, as well as changing the overall communities' response to violence as it occurs. The project utilizes outreach workers to reach out to neighborhood youths. The work of the outreach workers—building the trust of clients and providing them with prosocial opportunities—seems to be a primary vehicle for changing norms and behavior patterns. Many of the outreach workers have criminal histories or gang involvement in their past, and it was noted that past criminal involvement on the part of the outreach workers assists with the building of trust between clients and staff. Simultaneously, the project seeks to send a message to the community that violence is unacceptable. The message involves a heavy presence of public media materials. It is worth reiterating that the project's media campaign is serious and strong and is a key component of how activities should contribute to goals. Overall, the project's eight-point plan highlights the key activities of the project: (1) developing and maintaining strong community coalitions, (2) sending a unified message about gun violence (no shooting), (3) mediating and intervening in all conflicts, (4) rapidly responding to all shootings, (5) providing alternatives and linkages for most at-risk persons, (6) providing safe havens and programs for youths, (7) enforcing penalties for gun use and gun trafficking, and (8) ensuring prosecution of offenders.

Program activities include the Gang Mediation Task Force (Violence Interrupters), the objective of which is to connect with influential exgang members to immediately mediate gang conflict and thereby prevent shootings. The community outreach and development team coordinates monthly goal-setting meetings and intensive and frequent training. The goal of this outreach component is to provide technical assistance to communities and community initiatives by providing violence prevention strategies. Media awareness and

public education include neighborhood canvassing, the citywide display of CeaseFire materials (e.g., bumper stickers, signs, posters, bus stop boards, and billboards), a toll-free crisis help line operated 24 hours a day, and public service announcements. Currently these efforts are intended to increase awareness of CeaseFire's existence in the city and specifically among the residents living in CeaseFire zones. Outreach workers carry out the majority of the project's outreach activities, including client referral and connection to services, client advocacy, community responses to shootings, midnight barbeques, home visits with clients, and working in the community. Some of these activities are described below:

- **Client referral/Connection to services:** Outreach workers do not simply refer clients to services but actually identify the appropriate service provider and then act as an advocate on the client's behalf. The outreach worker will work with the client before arranging to turn over the client to the service provider. Outreach workers also identify service gaps and secure resources to provide and refer services.
- **Responses:** Whenever there is a shooting within a CeaseFire zone, outreach workers and CeaseFire staff respond within 48 hours. A response is typically a rally held in the community aimed at calling the community's attention to the shooting and making it significant. Sometimes there are only 5 people in attendance, while other times there are as many as 500 people. Responses try to change the norms of how communities accept violence.
- **Midnight barbeques:** These events are held between 10 p.m. and 2 a.m. in CeaseFire zones roughly twice per month year-round. Outreach workers and anywhere from 15 to 100 community residents typically attend. These events are designed to build trust within the community and foster relationships with residents.
- **Home visits:** Outreach workers are expected to see a client a minimum of four times per month; at least one meeting needs to be a home visit and the others can be street contacts. While this is the minimum, many outreach workers go well beyond this.

The impact that activities can have on clients varies depending on age, background, and the experiences of clients. Typically it takes anywhere from 1 to 3 months for an outreach worker to get a client to enroll in the project. At the point of enrollment, the client becomes part of the outreach worker's caseload. When this occurs, the outreach worker begins to formally assess the client's needs and facilitate services.

Can you sketch the logic by which activities should affect goals?

The project's eight-point plan, as described above, guides the program logic. In addition, the project has developed a [draft logic model](#) that is attached to the end of this assessment.

Are there other local projects providing similar services that could be used for comparison?

Project Safe Neighborhoods (PSN) exists in some Chicago neighborhoods and one of the key Chicago Project/Ceasefire staff acts as a liaison to the PSN strategy. However, it should be noted that the two initiatives are separate. In addition, there are other programs

in the City of Chicago that offer similar services or some elements of the project's services but they are not coordinated in a similar manner.

Will samples that figure in outcome measurement be large enough to generate statistically significant findings for modest effect sizes?

With regard to examining individual-level outcomes, the project is targeting youths and young adults in 10 neighborhoods. Each neighborhood has outreach workers who have a caseload of 20–25 clients. Currently, there are roughly 60 outreach workers. If an evaluation were to focus on all neighborhoods, sample size could be roughly 1,300 after 1 year.

With regard to tracking community-level outcomes, one would have to focus on reductions in shootings, not homicides. The number of homicides within and across the targeted neighborhoods probably would be too small to find statistically significant changes in homicides each year.

Is the grantee planning an evaluation?

Yes. The Chicago Project has an evaluation team in place. The team is tasked with collecting and managing a large MIS that is used to generate a wide variety of performance measures. In addition, the evaluation team is conducting community-level surveys in a few of the neighborhoods where the project has been implemented. Telephone interviews were conducted with residents to examine perceptions of public and personal safety and knowledge/awareness of the project. In addition, surveys have been conducted with high-risk youths in a few neighborhoods.

Evaluation efforts are primarily descriptive (based on performance reporting) in that the evaluation team is responsible for reporting to funders on the implementation of the strategy in the many neighborhoods. The evaluation team utilizes the data to share with community partners to help drive the strategy.

Adult and youth surveys are utilized to accumulate a number of waves of data to evaluate the media campaign and assess measures of fear. Two waves of both adult and youth surveys have now been conducted. The adult surveys consisted of a sample size of 150 adults and were conducted over the telephone. There was a 50 percent response rate, with some variance among the seven communities surveyed. Youth surveys were conducted in person, with a sample size of 50 high-risk youths per neighborhood surveyed. The evaluation team utilized a snowball sample for survey participation. The team went to alternative high schools and parole and probation departments in order to identify kids who were out of school, in a gang, or on parole/probation.

In addition, data are collected on calls to the CeaseFire hotline. At the beginning of each call, callers are asked how they got the telephone number and their level of awareness of the campaign.

What data systems exist that would facilitate evaluation (this could be hard copy or electronic)?

The project currently has an MIS system. The evaluation team utilizes the electronic system to collect and analyze data provided by outreach workers and supervisors, as well as to examine trends in shootings using data provided by the police department.

The evaluation team is currently planning to develop a Web-based system to collect all data electronically from outreach workers and supervisors. Currently, the outreach workers and supervisors record all data on paper. The paper copies are then transmitted to the evaluation team, which enters the data into the electronic MIS.

The hardcopy data provided monthly by the frontline staff include the following general components: basic intake and assessment information on clients, information on client referrals, case plans, total number of clients per outreach worker, in-person contacts, number of conflicts mediated, number of times a client was accompanied in court, number of school visits, number of trainings attended, and number of home visits. The evaluation team also collects summary information from site supervisors (by neighborhood) on the number of community activities, number of active coalition members, number of safe havens, and number of members at meetings. Information is also collected on the amount of public education materials distributed, number of beat meetings attended, and type of response to shootings. Every month, for each shooting that occurs in a site, site supervisors record detailed information about the shooting as well as the community response. Detailed information also is collected on conflicts mediated. The site supervisors are tasked with tallying this information for all outreach workers.

With regard to limitations in data elements, the current database does not capture information on “preclients,” or those individuals who are building relationships with outreach workers but have not yet become part of the caseload. Furthermore, there is not a set timetable for service delivery with regard to a start or end date. In other words, there are no procedures or definitions for client exit or termination from caseload.

In addition, the data collected from the outreach workers do not include information on service provision by referral agencies. For instance, if a client was referred to a job training program, currently there is no method to capture whether the client succeeded in the program. However, the outreach workers may document this information informally in their case notes.

In addition to the client and community activity data system, the project works closely with the Chicago Police Department, which provides the project with crime data on the number of shootings by beat. The evaluation team receives a weekly data report with summary information on all shootings. The summary information includes notes from the police incident reports.

What are the key data elements contained in the MIS system and on paper?

Please see above response for more detail. Overall, data elements include police data on shootings, community and high-risk youth perceptions of crime, safety and program awareness (survey data), program intensity data, and client monitoring data.

Are there data to estimate unit costs of services or activities?

Data do exist that will measure unit costs and client costs, but currently the project does not examine these data.

Are there data about possible comparison samples?

The evaluation team has utilized comparison neighborhoods for its survey data collection; hence, data exist for these neighborhoods. In addition, because Chicago has neighborhoods that correspond to administrative boundaries, basic data on demographics and crime exist for comparison samples.

In general, how useful are the data systems to an impact evaluation?

The project has a data system that supports analysis of program process, strategy, and implementation. The project's data inform programmatic implementation and support programmatic change but do not currently report on the larger impact of the project. It should be noted that the MIS system that is in use appears to be comprehensive and certainly would aid an evaluation.

The evaluation team already collects basic crime data on shootings by neighborhood, but these data are not disaggregated by type of shooting or motive for shooting. Discussions with the project director suggest that to accurately capture the impact of the program, one would have to disaggregate shootings and only include those shootings that relate to group dynamics. For instance, domestic shootings should not be included in the outcome measure. Also, it should be noted that the project does not follow clients longitudinally. Thus, new data would have to be collected that is client specific.

SITE VISIT EVALUABILITY ASSESSMENT

Is the intervention being implemented as planned and on schedule?

The intervention is currently implemented in 10 neighborhoods, though progress and development within each neighborhood vary based on a variety of factors, including community-based funding, community capacity, resident support of the program, and when the intervention was initially introduced in the community.

What outcomes could be assessed? By what measures?

Outcomes could be assessed at both the individual and neighborhood levels. These include the following:

- **Individual-level outcomes:** (1) Official record data on arrest and incarceration, and (2) self-report data on basic attitudinal and behavioral changes, as well as self-report data on criminal behavior, group/gang behavior, treatment and services, and so forth.
- **Neighborhood-level outcomes:** (1) Reductions or changes in the number of shootings and homicides, (2) changes in the perception of crime and safety, and (3) awareness of the public media campaign.

Are there valid comparison groups?

Possible comparison groups could include other Chicago neighborhoods where the Chicago Project/CeaseFire has not been implemented (or is no longer being implemented). The only element of CeaseFire that is citywide is the public education component. Nevertheless, there are many neighborhoods where the Chicago Project/CeaseFire would be active if not for fiscal constraints. Although there are 279 police beats in the City of Chicago, the project currently is implemented in only 35 police beats. Furthermore, the project is not in all of the city's violent beats, so there are beats with similar crime problems to those where CeaseFire already exists.

Is random assignment possible? If not, why not?

Random assignment is not possible because CeaseFire is a comprehensive, community-based program that is implemented in entire neighborhoods. CeaseFire efforts and outreach target the whole community and its population in addition to the at-risk residents within the neighborhood.

What threats to a sound evaluation are most likely to occur?

Assuming that the best possible design is a quasiexperimental design using comparison neighborhoods, there are a few threats to consider. These include contamination of the comparison group because the no-shootings message of CeaseFire is spread throughout Chicago and could impact comparison neighborhoods. Similarly, outreach workers are not stopped from doing their work outside of targeted beat boundaries and could be recruiting clients who have moved into the comparison neighborhoods or who simply hang out or have friends in comparison neighborhoods. Another issue is that implementation has begun in almost all of the 10 communities, making it difficult to collect data at a baseline before the intervention begins. Also, some clients are juveniles and it may be difficult to get parental consent to obtain information. However, the majority of the targeted population appears to be older than 17.

Changes in police definitions of shootings may also pose a problem (albeit a small one). In July 2003, Chicago changed its definition of a shooting. Before July 2003, "shooting" was defined as a person being shot or shot at. Now, after July 2003, shooting refers only to an incident when someone is shot, not just shot at. This change would disrupt an examination of trend data; however, there appear to be methods to minimize this problem (e.g., receiving data in multiple categories of shooting incidents from the police department and reagggregating all years).

Are there hidden strengths in the project?

The project has many strengths and is unique in that it is under the umbrella of the University of Illinois' School of Public Health, taking a public health approach to violence prevention and reduction. In this capacity, the project views both the problem of violence and the solution as multifaceted. It also approaches the problem of violence as something that the entire community owns.

The program logic model is strong, community buy-in is high, the partnerships between neighborhood agencies and the management team are strong, the MIS system is sound, and there has been little turnover of management staff. Furthermore, management staff report that collecting data from the Department of Corrections and the police department should not pose a problem because these agencies have a history of participating in research projects.

What are the sizes and characteristics of the target populations?

There are both target communities and target populations within those communities. The project has focused predominantly on neighborhoods in the Chicago metropolitan area that account for a significant share of the homicides and shootings that occur each year. Project criteria for implementation in a community include (1) sufficiently serious problem with violence, (2) community capacity and supportive community coalitions with adequate resources and management capability, (3) geographic and racial diversity from other CeaseFire zones, and (4) resident and community support of the project. Within each of the 10 CeaseFire zones, outreach workers target gang members, high-risk youths, individuals with violent personal histories, and individuals who are willing or ready to make lifestyle and behavioral changes. Program wide, 60 outreach workers serve a total of 1,200–1,500 clients (20–25 clients per outreach worker). Clients are predominantly male (80–90 percent) and between the ages of 17 and 22. According to the project team, approximately 25 percent of the total client population is currently supervised through probation or parole.

Individuals considered CeaseFire clients are those who are formally enrolled in the program and do not include individuals who outreach workers contact informally. Currently, the project is developing methods to more systematically identify the number of clients as well as the number of preclients, as defined earlier.

How is the target population identified (i.e., what are eligibility criteria)? Who/what gets excluded as a target?

The project has general eligibility criteria, as described above, but the criteria are very flexible and the team currently is attempting to develop specific eligibility criteria. The project targets the highest risk and most violent residents of targeted neighborhoods, including gun shooters, youth gang-involved males and females, dropouts, and drug dealers. These individuals are identified by canvassing the streets of CeaseFire neighborhoods and through the help of Violence Interrupters as well as the Chicago Police Department.¹

Initially, the project made proactive (independent) decisions about the three neighborhoods in which it would implement CeaseFire. The project first considered the neighborhood's demographics, geography, racial mix, and homicide rates relative to the rest of the Chicago metropolitan area. In addition to these factors, the project also considered whether shooting incidents were a serious enough problem to warrant the diversion of resources and efforts to this neighborhood over others. And finally, the

¹ The project is developing methods to become more efficient at pinpointing the highest risk population by working with probation, police, and hospitals.

project considered whether the community organizations were willing to implement CeaseFire and had the management capability and adequate resources to do so.

With growing funds, neighborhood selection (and expansion) was, according to senior staff, largely determined by who fought for the money. Elected officials in many of these neighborhoods appealed to the governor, who in turn guided the project's neighborhood selection and expansion process. State funds went first to neighborhoods in which the Ceasefire program had been initiated and then to four neighborhoods that had pushed to get money (and wanted the program in the community).

Have the characteristics of the target population changed over time?

No. However, as other factors have become involved in the neighborhood selection/expansion process, CeaseFire has entered into some neighborhoods that do not have populations with characteristics similar to the original sites. Rogers Park, for example, does not necessarily have high homicide or poverty rates or an ethnic population comparable to those of the other sites. While the population targeted in Rogers Park is still the same according to the project's strategy, the population is inherently different.

How large would target and comparison samples be after 1 year of observation?

Target samples could include all the clients of outreach workers, which currently total 1,200–1,500 clients. However, there are plans to increase the total number of outreach workers from 60 to 80, which could potentially increase the client caseload in the range of 1,600–2,000. Depending on how many comparison neighborhoods were chosen, comparison samples could be sufficiently large.

What would the target population receive in a comparison sample?

Comparison samples would receive nothing other than what is already taking place in their communities.

What are the shortcomings/gaps in delivering the intervention?

Potential shortcomings include high staff turnover (outreach workers). In addition, a shift in community agency leadership is often followed by a change in priorities and in focus of the organization, and this can occur at the exclusion and expense of CeaseFire efforts. While efforts are still being made to improve clergy cooperation, many sites have struggled to get clergy members on board. Changes in police leadership also threaten the relationship that the project has built with the Chicago Police Department. The project relies heavily on consistent funding, and when funding streams are interrupted or stopped, service delivery is potentially compromised.

What do recipients of the intervention think the project does?

One client described his interaction with the project: "I was skeptical at first, I did not know what CeaseFire did, I only knew [of] its existence. Now my outreach worker is the first one I call, my best friend." Clients perceive CeaseFire as a program that will connect them with resources and help them to change their lives in positive ways.

How do clients assess the services received?

When questioned, clients relayed that they felt that the project has had a positive impact on their lives and enabled them to make positive changes. Clients also perceived outreach workers as a tremendous resource.

Do protocols exist for data sharing within the program or with external agencies?

There are no formal protocols or Memorandums of Understanding in place for receiving data from the Chicago Police Department (CPD). Data requests must go through the Research and Development Department of CPD and a liaison in this department works with the project's evaluation team. In addition, CeaseFire staff are invited to attend CPD's Deployment Operations Center meetings, where decisions are made regarding concentrating officer deployment in the most violent areas of the city. All the commanders and area chiefs of the CPD get together on Friday mornings, bringing with them information on incidents and potential gang wars. Outreach workers are invited and CeaseFire representatives attend to acquire information on hot spot areas. According to senior staff, CeaseFire has been given a greater level of involvement in CPD work because CPD has made gun violence and, more specifically, homicides a priority.

The project is making efforts to connect with Cook County Probation to form a data-sharing partnership. The project is also looking to work with the Illinois Department of Corrections (DOC) to acquire data on the number of offenders returning to CeaseFire neighborhoods, as well as recidivism data on parolees. Thus far, DOC has been incredibly cooperative with sharing data.

Within the project, reports are produced on a weekly and monthly basis and are then disseminated to the community coalitions of each CeaseFire zone. These reports include information on shootings and homicides by beat and by month in the current and previous year. These reports are also distributed to all steering committee members at each steering committee meeting.

What specific input, process, and outcome measures would data support?

Outcomes measures were discussed above. Possible input and process measures are described below:

- **Community coalitions:** Monthly count of organizations and agencies involved in CeaseFire.
- **Community response:** Shooting data, response information, agencies represented, and number of people in attendance.
- **Community presence:** Outreach activity information, agencies represented, number of clients, and number of contacts.
- **Police partnership:** Homicide and shooting responses attended, weekly DOC meeting, and outreach activities in the community.

- **Clergy outreach:** Homicide and shooting responses attended, number of outreach activities attended, activities in which clergy are involved in conflict resolution, and number of conflicts resolved.
- **Outreach:** Number of clients, number of outreach activities, number of homicide and shooting responses, and number of conflicts resolved.
- **Public education:** Distribution of public education materials, press clippings, hotline calls, Web site hits, e-mails to Web site, and signups for e-news.

How complete are data records? Can you get samples?

Data records are very complete with respect to program process and implementation information as well as client-based information. The project is in the process of improving the collection of information on preclients and outreach activities. Samples can be provided.

What routine reports are produced?

Funding reports are produced weekly, in addition to quarterly project progress reports and weekly reports on shootings and homicides by beat (provided at staff meetings). One report per outreach worker by client by month is also generated, outlining the services provided, issues that were initially presented, and where the client stands currently.

Can target populations be followed over time?

It is possible, although currently the project does not follow clients longitudinally.

Can services delivered be identified?

Yes, basic services that are part of the project can be identified, as described in detail earlier. However, services provided by referral agencies (agencies to which the outreach workers referred clients) are not reported.

Can systems help diagnose implementation problems?

Yes. As stated earlier, the project's data systems inform program process and implementation.

Do staff tell consistent stories about the project?

After speaking with senior staff (including the project director and senior associates), community outreach and development directors, community coalition members (specifically representatives of the Alliance of Logan Square Organizations, which manages CeaseFire in the Logan Square neighborhood), outreach workers, and clients, it is quite clear that staff tell remarkably consistent stories about the project and have a clear, consistent, and in-depth understanding of the program model, goals, activities, and staff roles.

Are senior staff backgrounds appropriate for the project's activities?

The project's senior staff have diverse backgrounds and experiences, creating a multidisciplinary administrative and management team for the project. All of the staff have extensive training and experience in their respective fields. A brief background of five key project leaders follows:

- **Project Director:** The project director, who has an M.D. from the University of Chicago, spent 15 years working in the international public health field on infectious diseases and epidemics including cholera, TB, refugee health, and AIDS. He learned techniques of epidemic control during 7 years at the World Health Organization and now specializes in methods related to behavioral change at the community and city levels.
- **Assistant Director:** Previously, the assistant director served as the director of a foundation and also worked on the Serious and Violent Offender Reentry program.
- **Senior Associate:** The senior associate has worked in criminal justice for most of her career. She participated in the development of the OJJDP gang model and worked on the Little Village Project. Her background is in social disorganization and she is interested in how the Chicago Project examines the problem of gun violence.
- **Evaluation Coordinator:** The evaluation coordinator is a trained clinical psychologist. Prior to joining the Chicago Project, she helped create programs for juvenile delinquency prevention. She manages the project's multidisciplinary research team, with expertise in a number of fields.
- **Community Development and Outreach Director:** The community development director has extensive experience in youth violence prevention and intervention in communities. He coordinates the community outreach team, which comprises community and organization leaders.

Do project staff have special experience, training, or skills?

The backgrounds, qualifications, hiring processes, and training of project staff who work with clients, namely Violence Interrupters and outreach workers, are described below:

- **Background/qualifications:**
 - **Violence Interrupters:** There are five violence interrupters concentrated in the west side of Chicago. They all have been in prison and were influential members of gangs. They use their influence in the gang community to mediate gang conflict and prevent violence, particularly that which is retaliatory.
 - **Outreach workers:** Currently, there are 60 outreach workers. This position is characterized by a high turnover rate, with more than 30 outreach workers having left the project during the past 3 years. It is an entry-level position (\$20,000–\$25,000) with very high demands, and it requires exceptional communication skills, positive behavior and attitudes, and often a background within the community.

- **Hiring:** The process of hiring outreach workers varies by community. The project makes announcements in public forums and other public settings, but primarily staff is recommended by other staff and by community clergy members. All candidates must appear in front of a hiring panel, which comprises law enforcement officers, community organization members, other outreach workers, and CeaseFire community development staff. Senior staff indicated a consistently high volume of candidates and interest in these positions.
- **Training:** There is a 10- to 15-page handbook on outreach protocols, which all outreach workers are required to have read before entering into communities. When they do start, new outreach workers go out with veteran outreach workers who serve as mentors. This occurs for a long period of time, until the new outreach worker is comfortable establishing new relationships with clients. The initial program training is discussion based and is a half-day. Weekly training is conducted every Friday evening for 2 hours. In addition, followup training includes clinical training bimonthly, which focuses heavily on the clinical aspects of working with clients and maintaining relationships. This training is led by a social worker. In addition, there is documentation training, which focuses on how to take effective case notes, set case goals, and establish case plans. This training is offered three times per week. Lastly, outside experts conduct training on substance abuse and the current state of gangs in the city, as well as personal safety.

What do partners provide/receive?

The project relies on partners, to varying degrees, to implement the program, provide connections to residents and clergy, coordinate responses to shootings and homicides, promote program visibility and initiatives, provide input into strategy and public education, provide a context for the coalition, and so forth. The project is essentially responsible for providing technical assistance to community initiatives, materials, funds, data and relevant analysis, a network of key funders and leaders, and the program infrastructure and strategy. Otherwise, the project relies almost entirely on community coalitions to implement and operate the program.

How integral to project success are the partners?

For the reasons described above, it is clear that project maintenance entirely depends on project partners, and thus partners are critical to project success.

What changes is the director willing to make to support the evaluation?

The director welcomes an outside evaluation and believes strongly that it could be beneficial to the project's development and to the field of violence prevention, and has indicated that he would be extremely accommodating to support an external evaluation.

CONCLUSIONS

Would you recommend that the project be evaluated? Why or why not?

It is highly recommended that the project be evaluated. As stated earlier, the program logic model is strong, community buy-in is high, the partnerships are strong, the MIS system is sound, there has been little turnover of project management staff, and sample size would be large. Furthermore, the management staff report that collecting data from the Department of Corrections and the police department should not pose a problem because these agencies have a history of participating in research projects.

In addition, very little is currently known about the mechanisms of behavioral change with regard to violence, particularly gang violence. The Chicago Project/CeaseFire seeks to change behavior using a well-informed logic model. An evaluation of the Chicago Project's model would add a significant amount of knowledge to the field. Furthermore, evaluations of strong crime prevention partnerships that have a community focus, as well as an individual focus, are few and far between.

The Federal Government currently is backing the implementation around the country of Project Safe Neighborhoods (PSN), which, in many ways, is similar to the Chicago Project. However, it is likely that very few jurisdictions are implementing PSN initiatives with such a strong community element within its gun-reduction model. The Chicago Project offers a rare opportunity to examine a strong community-based behavioral change approach. In addition, the project is being implemented in many neighborhoods within Chicago and thus, could provide an examination of how local community context influences outcomes. Natural opportunities for understanding and capturing variations in community context are generally rare in sound evaluations of criminal justice programs.

What kinds of evaluation designs should be proposed?

The evaluation should be a multicomponent evaluation that involves (1) process evaluation and transferability assessment, (2) impact evaluation, (3) ethnography, and (4) cost-benefit evaluation. Ethnography could uncover the varying community dynamics as well as the detailed mechanisms involved in behavioral change. Extant knowledge of the dynamics of group and gang behavior, deterrence of gang behavior, and punishment avoidance is limited, and ethnography may help to uncover the mechanisms of behavioral change in these areas.

The impact evaluation could utilize a quasiexperimental design with neighborhoods not receiving the intervention as comparison groups.

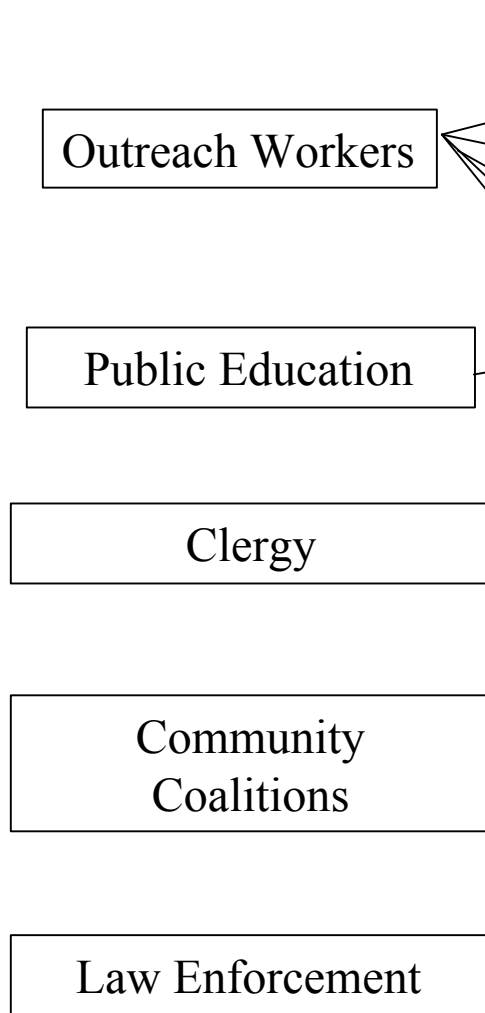
It is important to note that the Chicago Project is a large partnership that seeks to effect change at many levels: individual, community, and systems. Outcomes could include reductions in individual levels of arrests/recidivism, reductions in shooting incidents at the neighborhood level, and changes in community perceptions of crime. In addition, an evaluation could seek to capture any changes that may be attributable to the media/public education campaign. A strong evaluation would view the project as a community justice/public health partnership seeking not only to reduce the number of shootings, but also to increase the capacity of neighborhoods to problem solve and partner with government agencies and other entities to respond to violence.

What should DOJ's grant manager know about this project?

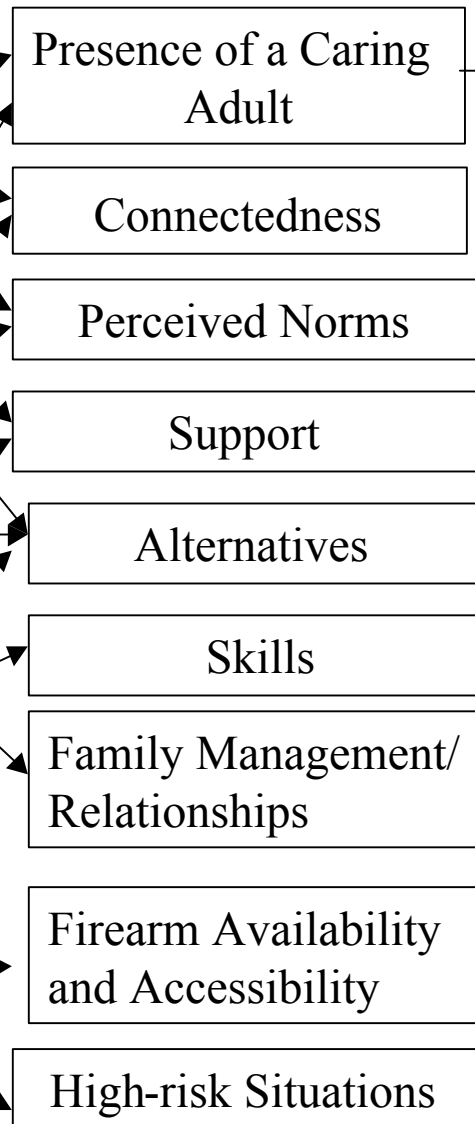
The project team assembled for the initiative is highly qualified and has implemented a very strong project. The team is dedicated to this initiative and encourages an opportunity for a strong evaluation. The project has incredible local, university, and community support. The university currently is considering institutionalizing the project. To date, there has not been a permanent place in the university for the project. The university is considering creating a Violence Prevention Institute with an endowment to help fund core activities. If this occurs, the university would create a board and the School of Public Health will be the responsible fiscal agent and monitor of the project.

The Chicago Project for Violence Prevention: Model for Change

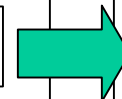
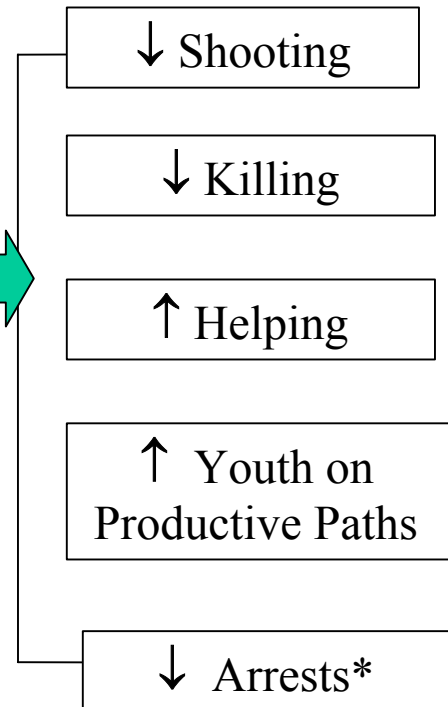
Agents of Change



Antecedents



Outcomes



* Ultimately, will decrease

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Preface: LIFESKILLS and Early Intervention Prostitution Prevention (EIPP)

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SAGE offers a combination of recruitment, services, and aftercare to girls and young women engaged in prostitution. The program offers an opportunity to increase our understanding of entry into and departure from prostitution, the physical and psychological injuries incurred, and the prospects for facilitating retirement and recovery.

It does not appear feasible to evaluate the SAGE programs through traditional experimental design approaches at this time. Instead, NIJ asks applicants to consider approaches that help us understand recruitment, retirement, and recovery processes and also the near- and intermediate-term needs of young women leaving prostitution. NIJ is interested in followup studies of girls and young women who participate in SAGE's LIFESKILLS and EIPP programs. So that better interventions and evaluations can be designed in the future, the objective of these proposed studies would be to provide information on questions such as:

- What circumstances led these girls and young women to enter prostitution?
- How does the duration of engagement in prostitution affect the likelihood of graduation from SAGE programs?
- How successful are graduates in reentering legitimate society? What needs have SAGE services met and which needs still require attention?

Note that the programs covered in this preface are included in the overall evaluability assessment of "Expansion and Replication of SAGE (Standing Against Global Exploitation) Services."

NIJ suggests this study should take approximately 2 years and cost no less than \$300,000. Total funds available under this solicitation are approximately \$2.3 million.

Preface: First Offender Prostitution Program (FOPP, or the Johns' School)

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FOPP focuses on reducing the demand for prostitutes through a combination of specific deterrence and preventive education for male customers, or johns. This program was evaluated at a modest level of intensity as part of the Harvard Innovations in Government process, but not within a comparative context nor with a view toward understanding the mechanisms by which the program affects future behaviors of johns. NIJ believes that a quasiexperimental design is feasible, using nearby communities that prosecute johns (under different sanctioning policies) as bases for comparison.

NIJ is interested in approaches that address the following kinds of questions:

- Do johns who participate in FOPP recidivate at significantly lower rates than johns prosecuted under other policies?
- Does FOPP displace demand to nearby communities?
- Are FOPP graduates influenced more by prospects of future sanctions or by the preventive education they receive?

Note that the program covered in this preface is included in the overall evaluability assessment of "Expansion and Replication of SAGE (Standing Against Global Exploitation) Services."

NIJ expects this evaluation should take less than 2 years and cost no less than \$300,000. Total funds available under this solicitation are approximately \$2.3 million.

Evaluability Assessment: Expansion and Replication of SAGE (Standing Against Global Exploitation) Services

SYNOPSIS

Grantee: SAGE (2003–55069–CA–KX)

Grant Period: September 1, 2003–August 31, 2005

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Funding: \$1,241,875 over 2 years

Project Summary: The SAGE Project addresses the exploitation of women, domestically and internationally. It conducts its work in a variety of ways: raising awareness of the issues and lobbying for legislation to strengthen law enforcement; providing services to women (and some men) who are or have been sexually exploited; providing education to men arrested for soliciting prostitution; and working with other jurisdictions to develop similar efforts. Some of the project’s work is grant funded, and some is performed on contract to various state agencies (e.g., Department of Mental Health, the district attorney’s office).

SAGE takes a harm-reduction approach. In some cases, it helps women leave exploitive relationships. In other cases, it works to resolve the long-standing trauma resulting from past exploitation as part of its treatment of problems such as long-term substance abuse. An important part of SAGE’s philosophy is the use of peer education. The project tries to match clients closely with caseworkers who have similar histories to increase trust and the chances of success.

The earmark grant funds project services to girls, including programs related to violence, exploitation, and trauma provided in juvenile detention facilities and intensive services provided in the community. There are several other aspects of the program that are of interest: the Early Intervention Prostitution Program (EIPP) for young women, the LIFESKILLS program for girls, the First Offender Prostitution Program (FOPP, also known as the “johns’ school”), and efforts to replicate the program(s).

Scope of Evaluation: There are several alternative evaluation designs, depending on the aspect of SAGE under study.

Summary of Evaluability Activity: A consultant reviewed the written materials (including grant application, program materials, population reports, and related documents) and conducted phone interviews with project staff. On May 26 and 27, this consultant visited the site along with Edwin Zedlewski of NIJ and Katherine Darke Schmitt of the Office of Juvenile Justice and Delinquency Prevention.

Findings: Although all of the components of SAGE are potentially of interest due to the novelty of the harm-reduction approach to the consequences of sexual exploitation, not all are good candidates for outcome evaluation. The provision of services to girls is done on a small scale and there is no compelling comparison group. Following the project's replication efforts with a process evaluation could reveal insights into the best way to organize a response to sexual exploitation and its consequences. EIPP and FOPP are the most amenable to outcome evaluation, as they have definable referral streams and are sufficiently large. Furthermore, these two programs are reasonably assessed using criminal justice outcomes, which could be collected for treatment and comparison group members. These outcomes could be supplemented with other data. Similar data could be collected for girls in LIFESKILLS.

ANALYSIS

1. What do we already know about projects like this? What would this evaluation add to what we know?

The literature contains primarily descriptive information from women involved in prostitution drawn from interviews with mostly adult populations. These reports document high levels of trauma and abuse among prostitutes, both before and after becoming involved in prostitution, as well as high prevalence of health problems and substance abuse. These studies generally find the average age of entry into prostitution as 16 or 17, with substantial proportions entering in their early teens (Farley and Kelly, 2000; Erickson et al., 2000).

Despite this descriptive information, there is little in the literature on policy responses to prostitution and/or sexual exploitation. In Wilson and Petersilia's book on various crimes (Wilson and Petersilia, 2002), there is just one mention of prostitution (in a section on police crackdowns). Some have written specifically about policy toward prostitution control (Weitzer, 1999) or about harm reduction more generally (MacCoun, 1998). There is not a rich literature on policy responses and their effects, particularly with young prostitutes, so that evaluation results of a program such as this would add significant value to understanding policy options in this area.

There is a similar program established by Dr. Lois Lee called Children of the Night and located in Van Nuys, CA. Children of the Night is a residential program designed to help child prostitutes escape the danger of the streets and learn to function in mainstream society. Children of the Night's 24-bed home provides refuge, food, clothing, an onsite school, counseling, and emotional support for child prostitutes from all over the United States.

What audience would benefit from this evaluation?

Evaluation results would be of interest to law enforcement (police, court officials, corrections officials dealing with populations most of whom have suffered sexual or physical trauma); program providers dealing with overlapping, hard-to-serve populations (such as those providing substance abuse treatment); and other jurisdictions (law enforcement, nonprofits, community groups) looking to develop similar efforts. For most purposes, evaluation research could be most helpful in program design in other settings.

2. Grantee Level of Cooperation

Is the grantee interested in being evaluated?

The grantee is very interested in being evaluated and is implementing infrastructure improvements that will make evaluation easier. Starting this summer, data on demographics, history, and program participation will be kept electronically. SAGE plans to fill in back data somewhat, but this will take time and may reveal holes in the data.

Is there a local evaluation? If so, summarize methods and findings.

The only local evaluation planned is one of the psychological trauma curriculum used with the peer educators. This will be underway soon.

3. Background /History

The SAGE Project began in 1995 to address the problems of sexual exploitation and trafficking, primarily of girls and women. A key element is the understanding of the role that violence plays in the prostitution industry. In nearly all cases, prostitutes either have been victims of violence or are currently in relationships with the threat of violence. Sexually exploited children and adults contribute disproportionately to the criminal justice system, cycling through the courts and jails. Some girls come to SAGE as young as 13 or 14 years of age.

The first major initiative of SAGE was a program with the San Francisco District Attorney's office to hold "johns" accountable for their role in the prostitution industry. When johns were arrested, they were given the option of paying a fine and attending a "johns' school" instead of facing prosecution. The fines generated the first revenue stream for SAGE to provide services to girls and women to help them leave exploitive situations.

SAGE was founded by a former prostitute, and peer education is central to the program model. As services are expanded, SAGE works to recruit staff who have direct experience with the problems they are trying to address. As a result, professional development for staff members is critical. As other jurisdictions have expressed interest in adopting the SAGE model, the organization has begun to develop a curriculum and a formal set of relationships to assist in replication.

4. Program Design and Logic Model

As the various program elements are quite different, each is described in turn. In general, the target population is extremely traumatized and marginalized. Most clients have cycled through criminal justice entities and various programs.

Services for Girls

The target population is girls involved in prostitution or sexually exploitative relationships (such as selling drugs for a boyfriend) or at risk of becoming involved in such activities. A range of services are provided to girls in and out of custody:

- For those in custody, weekly groups are run, reaching hundreds of girls per year. Some of the girls attend once or several times; others are there for months (depending on the sentence).
- For those arrested for prostitution, crisis intervention assessment and counseling are provided. This work emphasizes victimization and Post-Traumatic Stress Disorder assessment.
- The LIFESKILLS program meets weekly for out-of-custody girls and also provides case management services. There are approximately 10 girls in the program at any given time.

As with any comprehensive program, the actual services provided to any given client depend on the case. Some receive drug treatment counseling, others receive family counseling. Some get help finding a job, others get housing referrals. The girls come to the program through many different routes, from self-referral to court mandate as a condition of probation. Exposure to the program can be terminated for a number of reasons (e.g., probation ends, the girl turns 18 and is transferred to SAGE's adult program, the girl gets moved to another county for a residential placement).

The logic model is as follows. These girls are extremely traumatized and, if the trauma is not addressed, efforts to solve their criminality or their substance abuse will be unsuccessful. The use of peer education is seen as the best approach to gaining the girls' trust and to being successful in getting them to face and address their present and their past. Once this happens, case managers can help the girls construct a life with positive features, including housing, school and/or a job, and, if possible, family. The details vary with the case, and services must be comprehensive.

The goals for the program are broad. The program hopes to reduce recidivism and improve education, legal earnings, sobriety, housing stability, friendships, mood, aspirations, and more.

EIPP

This program targets young women ages 18–24 who are actively involved in prostitution. Clients are sent to the program by the district attorney's office, with a sentence of 25 hours of work for a first arrest and 8 additional hours per case thereafter. Young women also come to the program after being referred from LIFESKILLS, or they come as self-referrals. Background information is collected on a series of intake forms. Of the 93 women who have been referred to SAGE under this program, 24 have completed their obligations.

EIPP's philosophy is harm reduction and safety enhancement. The logic is similar to that described above for girls, with the exceptions that EIPP participants are currently involved in prostitution and participation is mandated.

FOPP

FOPP is the oldest and largest of SAGE's programs; 4,862 men have participated in the program's 1-day intensive education effort and paid its \$1,000 fine (with a sliding scale for incomes below \$30,000). The majority of those arrested for soliciting prostitution in San Francisco (from 60 to 90 percent, depending on the month) are eligible for the program. The logic model is that men who solicit prostitutes may be influenced by information about the life circumstances of the women and the STD and other health risks involved. The direct provision of this information by former prostitutes is considered to be a key element.

Replication

SAGE is aware of its status as an early participant in this field and has been tracking interest of other jurisdictions for some time. It keeps track of site visits to SAGE and also of consulting visits to other jurisdictions. It is currently planning replication in several sites: Highpoint, NC, Kansas City, MO, St. Paul, MN, Seattle, WA, and Denver, CO. Part of the earmark is dedicated to a residency program to allow SAGE to host visitors. This will begin as soon as the training materials for replication have been revamped, which is also a component of the earmark.

6. Implementation Issues

Services for girls are evolving somewhat as juvenile probation evolves and as the program gets up to scale. EIPP, FOPP, and LIFESKILLS are well established and consistently implemented. All of the programmatic elements described here are fully staffed.

Efforts to institutionalize the replication materials are underway. The curriculum development is due to be complete soon.

7. Evaluation Design

Services for Girls

This program provides challenges for outcome evaluation. Girls come through many points of entry, receive different sets of services, and exit in multiple ways.

Data on past events is routinely collected for those receiving more intensive services (not those in the in-custody groups), but detailed measures are not kept on which services are provided and followup measures are not routinely gathered. It would be possible to collect information from criminal justice agencies (such as juvenile probation) or to conduct surveys to collect broader measures; however, the latter would be costly.

Another challenge is one of defining a comparison group. There is, as with any criminal justice intervention, a fair bit of arbitrariness with regard to timing and conditions of release that could be used to identify comparable girls who did not receive any services. One could imagine comparing those who were in custody long enough to receive the in-custody counseling, which runs for 1 week to several months, to those who were not in custody long enough. However, there are only 56 girls in the treatment population at any given time, and the intervention may be too modest to show a perceptible treatment effect, even if the sample size were many times larger.

In evaluations, one is generally worried about positive selection. However, interviews with juvenile probation representatives during the site visit indicated that the girls who go to SAGE crisis counseling tend to be those with the more serious problems because of the way out-of-home placements are determined. In theory, it is possible that the probation department has detailed enough records to test this proposition, but the sample size is too small.

The LIFESKILLS program is a much more substantial treatment and would be less likely to suffer from confounding factors, but the small sample size and the multiple sources of referral provide other challenges.

EIPP

EIPP is a standardized intervention given to a definable population: first-time arrestees for prostitution. This program could be evaluated using criminal justice outcomes (such as subsequent arrests) and other administrative information (such as emergency room visits) or using surveys to gain a broader set of measures (such as stable housing or substance abuse patterns). Because the population is identified by the district attorney's office, comparable populations could be drawn from other jurisdictions. From the case histories of the participants, rich details about entry into prostitution could be learned.

FOPP

One could evaluate the FOPP program using rearrest information or through surveys, though the latter might be costly and it might be difficult to gain cooperation of program participants. Alternatively, one could interview citizens or neighborhood groups to get a sense of whether arresting johns appreciably changes the perception of the problem and/or to gauge the extent of displacement of demand to nearby communities. The number of participants is large, the selection criteria can be modeled, and the primary outcome is straightforward.

Replication

It would be interesting to see which and how program elements are adopted in different locations. For example, a program from a jurisdiction with an active law enforcement partner is likely to have a different structure than one based entirely in the private sector. A process evaluation including some first-generation sites such as San Francisco and Toronto, as well as the second-generation efforts, could isolate the important features of the programs, the political tensions, and the range of alternate institutional forms.

Because of the diversity of sites and the many program elements, it is not possible to conceive of an experimental or even quasiexperimental evaluation of replication. However, a process evaluation should address outcomes such as stability and, to the extent possible, effectiveness.

8. Measurement Model

EIPP and LIFESKILLS

Outcome variables for EIPP and LIFESKILLS would begin with subsequent arrest and case outcome variables, which can be collected from criminal justice agencies. These can be easily accessed for both treatments and controls and for several different followup periods (i.e., 1- and 2-year periods). Analysis should distinguish between subsequent arrests for prostitution and nonprostitution offenses.

For the treatment groups, measures of the amount and type of SAGE activities, as well as the time to completion, should be collected to measure the dose of the treatment. These variables are readily available from SAGE, though not in electronic form at this time.

Without a survey, it will not be possible to collect comparable information on any similar activities among comparison group members. One could design a survey or take care in selecting the comparison site to document the use of any comparable services in that jurisdiction.

With case files and/or interviews, one could also develop a close description of the routes into prostitution by this population. Though nonexperimental by nature, this too would provide valuable research knowledge about aspects of trauma, child abuse, prostitution, exploitation, criminal behavior, substance abuse, law enforcement, and harm reduction.

FOPP

The evaluation design here is similar to that for EIPP. The main outcomes are subsequent arrest for soliciting prostitution and case outcomes at 1- and 2-year followups. Secondary outcomes are arrest for other offenses and case outcomes. These variables can be collected relatively easily from official criminal history records. For FOPP, nearby counties that also arrest johns (but do not have a similar program) may provide a source of comparable outcomes.

The evaluation should also collect information on how the curriculum or other aspects of the johns' school has changed over time (including changes to the fee structure). All participants at any given time are exposed to the same treatment, but it is possible that the characteristics of program attendees may change over time, and that should be included in the analysis.

9. Data

EIPP and LIFESKILLS

EIPP is attractive for outcome evaluation because the populations can be tracked over time, both in treatment and comparison groups. Due to the modest sample size, this evaluation must take extreme care to minimize attrition. Also, the evaluation should allow adequate time to accumulate additional participants (a total of 200 or so) before closing the sample and beginning the final followup period. The need to allow the sample to accumulate means that the evaluation should be scheduled to take 3 years.

Developing a comparison group may prove more difficult for girls participating in LIFESKILLS, partly because of modest samples, partly because of difficulties in identifying girls in other jurisdictions. It is possible, however, to track girls who participate and determine a variety of outcomes that are not limited to criminal justice histories.

The outcome evaluation would require accessing official criminal history records. The development of extensive personal histories for treatment group members would require new data collection (e.g., coding of case files, conducting interviews or surveys).

FOPP

FOPP has been in place for years, so sample size is not a problem. Criminal history variables can be accessed from official sources. All other key variables and population data should be available through the district attorney's office and SAGE. As no new data need to be produced, this evaluation could be completed in 18 months to 2 years.

10. Summary Remarks

Little is known about the best ways to respond to exploitation and human trafficking. SAGE is a particularly interesting program because it has programs addressing various aspects of this policy problem: lobbying for increased punishment, educational efforts for demand reduction, and programming to help victims exit prostitution and to deal with the long-term effects of the trauma. Individually and together, these elements are generally more fully implemented in San Francisco than in other locations in the United States and elsewhere. SAGE's target population is extremely traumatized and marginalized. Most clients have cycled through criminal justice entities and various programs, using widely disproportionate amounts of social services.

Criminal justice agencies can be relied on for data where these agencies are the source of the referral. FOPP and EIPP are attractive for outcome evaluation, as one could analyze the full flow of referrals from the district attorney's office as well as other sources.

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Preface: Youth and Families with Promise

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Extant literature on mentoring programs indicates that structured, well-organized programs produce positive outcomes. Youth and Families with Promise (YFP) adds a second dimension to mentoring activities: a focus on building family assets. Through its “family night out” and “grand mentors,” YFP supplements the basic mentor-mentee relationship. The program identifies family assets and deficits and uses both the mentoring and family building activities to address risk and protective factors.

NIJ believes that the intent-to-treat approach described in the evaluability assessment is a viable approach to evaluating YFP outcomes. NIJ encourages applicants to extend their approaches to address family as well as child outcomes. Possible questions to be addressed include the following:

- Do participants achieve lower levels of risky behavior than similar nonparticipants?
- Do siblings of participants also achieve more positive outcomes?
- Do program effects increase with duration of participation?

NIJ suggests that the evaluation should take approximately 3 years to complete and should cost no less than \$600,000. Total funds available under this solicitation are approximately \$2.3 million.

Evaluability Assessment: Youth and Families with Promise

SYNOPSIS

Grantee: Youth and Families with Promise (2003–52289–UT–KX)

Grant Period: May 1, 2003–April 30, 2004

Current Award: \$596,100

Funding History: Not available

Project Summary: This early intervention project is designed to strengthen social skills, academic motivation, and family relationships and to prevent delinquency and problem behaviors through mentoring of youths and their families. Called Youth and Families with Promise (YFP), the program serves children ages 10–14 in 20 Utah counties.

Schools, churches, and community services refer to the program children who are at risk due to poverty, lack of adult role models, abuse, academic failure, or behavioral problems in school or in the community. Each youth receives a young adult youth mentor and, in some counties, a grand mentor (older adult) as well to work with the family. Approximately 25 percent of the mentoring units have a grand mentor assigned. In some counties, all families have a grand mentor; in others, none do.

All youths enroll in the local 4-H group as part of the mentoring activities. In addition, youths and mentors meet weekly and engage in one of the activities outlined in the activities and training material used in preparing the mentors. Site coordinators, who are employed by the project, supervise mentors. Additionally, the site coordinators administer monthly family nights out. Although program duration is 1 year, the most intense period of activity is during the school year (8 months). From 600 to 800 children are mentored each year.

Scope of Evaluation: The evaluation should track the ability of the mentoring program and its elements (youth and grand mentoring) in meeting its goals: academic performance, interpersonal skills development, prevention of problematic behaviors, and strengthened family relationships.

Summary of Evaluability Activity: Abt staff prepared a preliminary evaluability assessment by reviewing program materials supplied by Dr. Thomas R. Lee. These materials included the report of a site visit made by NIJ to the program a year ago. Abt staff Peter Finn and NIJ staff Edwin Zedlewski made a site visit. During that visit, Finn and Zedlewski interviewed participants and administrators and observed project activities.

Findings: The program has a large client base, serving 600–800 youths and their families each year. The service has a great deal of variation in terms of the number of visits that occur in a month of mentoring and the types of activities involved, but the principle of role modeling and relationship development between youth and mentor is the foundation of the approach. YFP maintains activity logs of the number of sessions each mentor has

with the youth, and YFP has good relations with the school districts, allowing the program to collect school performance data.

The major challenge facing an evaluator is the development of a logical comparison group for the evaluation. Youths and families enter the program on a volunteer basis, so they represent a set of at-risk youths and families who are more motivated than at-risk youths and families in the community at large. A preliminary evaluation is using a pretest/posttest design with a control group developed from random assignment to waiting-list youths. Abt understands that this evaluation is underway, but that the sample size is too small to provide adequate statistical power. An expanded evaluation might build on the preliminary evaluation to continue enrollment provided two conditions hold:

- There must be sufficient excess demand so that YFP is unable to serve several hundred at-risk children who apply for the program.
- YFP must not perform triage—that is, given the excess demand, any one child who applies for the program must have the same probability of selection as any other child, holding the school constant.

Meeting these conditions may be problematic. Therefore below Abt suggests some alternatives for developing comparisons.

ANALYSIS

1. What do we already know about projects like this? What would this evaluation add to what we know?

While the idea of role models for youths is an old one, formal mentoring programs for youths began to flourish in the early 1980s. Mentoring programs have targeted diverse age groups. Big Brothers Big Sisters—one of the oldest mentoring programs—targets a wide range of ages (5–18). Programs like Team Works and Project Raise target middle school youths; programs like Career Beginnings and Sponsor and Scholar focus on high school age youths. Most programs assign individual mentors to individual youth, though some like the Police Athletic League provide group activities for at-risk youths led by an adult role model.

Programs also differ in terms of the goals they set. Many like RAISE and Career Beginnings have a clear academic focus and count success as such things as attendance, grades, college admission, and grade point average (GPA). Others focus on delinquency or substance abuse prevention.

The literature identifies two types of mentoring. In *planned mentoring*, an agency or program assigns a mentor who is typically matched to the youth. The agency/program usually provides a prescribed program of interactions. Big Brothers Big Sisters illustrates this variety. In *informal mentoring*, there is little or no centralized planning, but still a role model or an informal mentor (e.g., family member, teacher) influences the life of a child (Beier et al., 2000). Finn focused on the first type of mentoring though the mechanism of the potential impact of both is the same: role modeling, support, linking at-risk youths with resources, and strengthening protective factors.

The effectiveness of mentoring has face validity, but there exists little systematic research on this type of programming. Studies by Thompson and Kelly-Vance (2001) examined the impact of the Big Brothers Big Sisters program on the academic achievement of a small group of at-risk youths. They compared those on the program's wait list with those assigned a mentor. They found those with the mentor made significantly higher academic gains after controlling for ability. The sample size in this study, however, was very small, making it difficult to generalize. In another study of the same program, Tierney and Grossman (1995) compared outcomes for 487 treatment and 472 controls. They found that mentored youths skipped fewer classes, reported decreased drug and alcohol use, and had improved relationships with family and friends.

In a longitudinal study of 220 students, Torrence (1984) found that those with mentors completed more years of high school than those without. An evaluation of a mentoring program in Baltimore (McPartland and Nettle, 1991) found positive effects of the mentoring approach on school absences and GPA, though others (Slicker and Palmer, 1993) found no difference in GPA or dropout rates between mentored at-risk youths and controls in school-based programs. While some studies have shown evidence of effectiveness of mentoring programs, there have been conflicting findings (Sipe, 1999). Programs that do not adequately screen mentors can produce disappointing relationships for the adolescent.

Conflicting results, weak effects, or faulty designs cloud answers to the question of the efficacy of mentoring programs. The evaluation of YFP may be an opportunity to evaluate a fully developed mentoring program for a targeted segment of the youth population. YFP is different than other programs like Big Brothers Big Sisters in that the family component is a structured, required element rather than an adjunct to the central youth/mentor relationship. In addition, YFP utilizes the grand mentor skills to augment help to the families and the mandatory membership in 4-H activities as a link to continuing involvement of the youth in positive activities.

2. Grantee Level of Cooperation

Steven Bach-Harrison, Social Research Institute at the University of Utah, is conducting a pilot evaluation. This began in November 2003 and includes sites in Salt Lake, Davis, and Utah Counties. He is collecting preprogram data at intake from youths and their parents at the point of referral and posttest data 6 to 9 months after program entry. His original design called for a random assignment of 50 enrolled participants to mentoring and 50 to a wait list (total 100). The plan had to be revised to enroll a total of 60 participants in the study. The participants are asked to fill out five questionnaires. They include a prevention needs assessment survey, a school questionnaire on attitude and problem behavior, a parent survey, a behavior checklist, and a measure of family relationship and self-efficacy. The program's willingness to cooperate with Bach-Harrison portends a willingness to cooperate with other researchers.

3. Background/History

YFP has been in operation since 1995. It began in Iron County, Utah, in an attempt to deal with a growing delinquency problem. Originally developed by the Iron County Extension Service and the Utah State University (USU) faculty, the program has been

refined and expanded to 32 sites in 21 out of 29 Utah counties. It provides mentoring services to 600–800 youths and their families each year.

OJJDP, the U.S. Department of Agriculture, USU Extension, the Department of Workforce Services in two Utah counties, the Housing Authority of Salt Lake City, Weed and Seed in Weber County, the State Imitative Cooperative Agreements in three counties, and the Utah State Legislature contribute to funding the 35 sites. Dr. Thomas Lee and Kathleen Riggs, both of Utah Sate University, are co-investigators who administer the program.

4. Program Design

Target Populations

The target population is youths ages 10–14 who are identified as at risk due to life circumstances (e.g., poverty, single-family household, abuse, inadequate support systems) or behaviors (e.g., academic failure, truancy, and minor delinquency). Forty percent of the youths are male and 59 percent are female with an average age of 12. Thirty-five percent of YFP participants are minorities, primarily Hispanic and American Indian; 60 percent live in single-family households; and 74 percent of the families have annual incomes of less than \$30,000.

Youths are referred to the program through teachers, administrators, juvenile court services, social service agencies, and community organizations in each of the participating counties. The county's YFP site coordinator reviews the referrals. If the youth and family are interested in YFP, the program matches a mentor to the youth. In those counties with grand mentoring programs operating, the coordinator assigns an older individual or couple to assist the family. Grand mentors are difficult to recruit, so not all families have a grand mentor.

Project Goals and Objectives

The project goals are to:

- Improve academic performance of participants including increasing homework completion, increasing weekly reading, increasing attitudes favorable toward academic achievement, increasing positive attitudes toward school and school personnel, reducing truancy, reducing disciplinary referrals, and reducing the number of Ds and Fs on report cards.
- Improve interpersonal competence through increasing the ability to avoid delinquent involvement, increasing conflict resolution skills, increasing friendship skills, and increasing planning and decisionmaking skills.
- Strengthen family bonds through increasing the quality of family relationships as reported by both parent and child, increasing feelings of parental adequacy, and maintaining parental satisfaction with the program.

- Prevent involvement or decrease current involvement in delinquent acts or other problem behaviors by preventing or reducing alcohol, tobacco, or other drug use and preventing or reducing delinquent behaviors.

Project Activities that Comprise the Interventions

The program activities consist of a minimum of one weekly visit between mentor and youth, family visits with a grand mentor (if available in the area), and monthly group (family) activities such as family night out. In addition, all youths are automatically enrolled in the local 4-H chapter and expected to participate with and without their mentor in 4-H activities. The duration of the program is at a minimum 8 months (the school year), but children and families may continue into the summer months.

Where grand mentors operate, their duties include involvement with parents and other family members in solving home-related problems including budgeting and parenting skills development. Grand mentors meet with families at least once per month.

There are formal program guides. A manual for the youth suggests activities; a manual for mentors provides definitions, suggestions, and activities; and a guide for parents includes consent forms and a brief description of expectations. The program also provides site coordinators with a workbook of family activities designed to strengthen family relationships; this workbook is also available to mentors where appropriate.

Additionally, a training and program manual guides one-to-one weekly youth/mentor meetings. The manual provides suggested activities and lessons designed to meet different youths' needs. Activities—including recreational events, homework help, and craft projects—are designed to increase youth competences in academic and social areas.

5. Program Logic Model

The Search Institute's Developmental Asset Model provides a program logic model. From the perspective of this model, there exist experiences, developmental assets, and competencies that encourage youths to make good decisions. This is an early intervention model for youths younger than age 14 and families. The logic is similar to the idea of risk protection found in delinquency and substance abuse prevention work. The overall goal of mentoring is to bolster developmental assets through fostering relationships with positive adult role models and teaching life skills.

The YFP core goals are academic achievement, social competency, and improved family relationships. These three factors are distinct. Academic achievement is a straightforward goal in that schools are heavily involved and activities dealing with school performance—such as homework help and involvement in school attendance—are part of the YFP curriculum. Social competency is seen as having three dimensions: goal setting, friendship skills, and leadership and refusal skills. Family relationship goals are addressed through grand mentoring help where available and through family group activities.

The conceptual model presumes a direct link between the mentor relationship and the socioemotional and cognitive development of the youth through role modeling and role identification. The curriculum provides a context in which these relationships develop

and are sustained, and it provides a source of assistance and experiential learning opportunities.

6. Implementation Issues

The project has been in operation for several years and has developed training materials, curriculums, and manuals for mentors to use. It has developed a number of mechanisms for recruiting mentors and grand mentors that it has created in all of the counties. This should be considered a fully developed program.

7. Staffing

The project is staffed with a principal investigator, Dr. Thomas Lee of USU, and a co-principal investigator, Kathleen Riggs of USU Extension Services. It employs regional coordinators in three areas of the state (northern Utah, southern Utah, and southeastern Utah) who supervise the program in their area. They are responsible for training mentors and providing support to the site coordinators. In each county, a county extension educator acts as the director of the local program. They are responsible for organizing community advisory boards and recruiting and supervising site coordinators. Site coordinators are responsible for the day-to-day running of the program, including managing youths and mentors, facilitating parent newsletters, holding family nights out, coordinating services for youths and families, managing data collection, and assisting volunteers.

8. Evaluation Design

What aspect of the project could be evaluated for outcomes? What would be the outcome measure?

The program currently collects considerable information about participants. It uses a preassessment tool to target specific needs of the youth and family. This tool is linked to the developmental asset model and provides scores from three domains (family, youth, and referral source). After these scores are combined and assigned a priority ranking for each youth, they serve as a planning tool. In addition, mentors keep monthly logs about each youth's involvement, what the program refers to as a "dosage" record. These are Web-based records submitted by mentors to the site coordinators. They can also be submitted over the phone. At the conclusion of the 8-month involvement period, youths complete a post-program survey. In addition, focus groups are conducted in selected counties with parents, mentors, and youths.

Pre- and postmentoring interviews focus on attitudes measured on Likert scales. Questions cover the following categories: "About Your School Experiences," "About Your Family," "About Yourself," "About Your Community," "About Your Mentor," and "About Your Program Experience." Parents are asked questions in the same topic areas and in a similar format.

These data appear to provide an excellent foundation for the process component of an evaluation, though they are presently limited to participants who continue in the program. Tracking information on those who start but drop out and/or on a comparison group would have to be developed for comparability to this data system.

The program reports what appear to be behavioral outcomes (school performance) in its materials. With the close ties mentors maintain with schools in each area, this assessment assumes that participant school performance is traced by mentors and reported in logs.

The program is currently involved in a pilot evaluation that began in November 2003. It includes both an impact and process component. Part of the pilot evaluation plan is to identify and develop prevention-related outcome measures that are appropriate for YFP and sensitive to the goals of YFP. The design is a pretest/posttest with a random assignment to program and nonprogram conditions. In the proposed evaluation, participants are asked to fill out five questionnaires pre- and postparticipation. While the original design called for 50 participants in the mentor group and 50 in the control (wait list) group, slow recruitment rates for mentors and participants have reduced the sample size. Many referral sources refused to refer control group participants to the program.

YFP is highly selective, posing a problem for evaluation. Several referral sources (e.g., schools, social services, churches, community organizations) provide candidates for the program. Participants must fit the requirements of need and be willing to engage in the family and youth component of the process. Families must also sign on to the process and agree to participate. The result of the selection process is a unique group of individuals, particularly on the dimension of motivation or readiness for change in some of the outcome areas. Therefore, the appropriate comparison pool of participants must come from those persons similarly screened and motivated, i.e., from a waiting list. This assessment's concern is with the experience of the pilot evaluation in this regard. While appropriate for a pilot study, sample sizes of 50 in each condition are not adequate for a full evaluation of the program. If the pilot study was forced to reduce that sample to 30 each, this does not bode well for the development of a larger sample size. Thus, selecting students from a waiting list may not be feasible for a larger evaluation.

The program operates with students ages 10–14. The issues and problems of elementary school participants will be different from those of middle school participants, so any analysis should examine elementary and middle school programs separately. This would require the development of adequate samples of each age group for determining the impact of the program.

The program is a large one (600–800 participants each year). It is unclear whether the small recruitment in the pilot study was based on a single area or set of counties. Of course, in those areas with a higher concentration of participants (Salt Lake, Logan), it may be practical to recruit and randomly assign an adequate sample from the waiting list. Alternatively, there may be no alternative to developing a nonequivalent comparison group.

What alternative evaluation design would work? How could an appropriate comparison group be created? Are sample sizes statistically significant?

Absent a sizable waiting list or a willingness to randomly assign from that list, the best approach to evaluation would probably rest on identifying eligible populations and applying an intent-to-treat model to estimate treatment effects. Abt provides an overview.

In an intent-to-treat model, the evaluator identifies eligible populations—in this case, children who would be deemed eligible for program participation had they been referred

and accepted the referral.² Eligible populations might be drawn from different schools, they might be drawn from different years in the same school, or other sources might emerge. The key assumption is that these eligible populations would be comparable except for participation in YFP. Regression models or propensity scores are often used to force comparability after adjusting for factors that might otherwise account for differences in outcomes for members of the eligible populations.

Once the eligible populations have been identified, an evaluator hopes to find that participation in the YFP program differs across those eligible populations, providing what might be seen as different dose effects. Provided the variation in dose effects are caused by exogenous factors (such as variation in capacity), the size of the treatment effect can be established from variation in the proportion of eligible children who actually participate in the YFP program. It is difficult to know for sure whether such in-classroom eligible population samples can be identified in Utah.

How long in duration would the evaluation be?

The proposed length of the evaluation is contingent on the ultimate design: random assignment of cases to programming or a wait list or development of in-classroom samples. In the first case, the flow of students into the program eligible list is still not well defined and may be as limited as the pilot study suggests. In the second case, the evaluation would require time to develop the three sample groups but may permit the use of all or most of the 600–800 students going through the program each year.

8. Measurement Model

What specific outcome variables would be included?

The program has identified a number of variables it currently measures as outcomes. They include attitudinal measures of change in the domains of family, school experience, self, and community. It is assumed that the program is also tracking academic variables like attendance or performance. If not, it is suggested that those variables and others retrievable from the school be added such as records of rule violation and awards for both the program participants and the comparison group selected.

9. Data

Can services be delivered as identified?

Each mentor records interactions with the youth in activity logs reviewed by the site coordinator. These include how many visits and what types of activities were undertaken as well information about the progress of the youth in general terms. From these logs, which are both entered on the Web, over the phone, and by hand, the services delivered can easily be tracked.

² Typically an eligible population is a subset of the true eligible population because the latter is unknown. For example, the eligible population for purposes of program evaluation might comprise children from an impoverished neighborhood who perform badly in school. The evaluation question is whether the YFP program increased the performance for children in that eligible population.

Can target populations be tracked over time?

See above.

Would an evaluation have to generate new or additional data?

It is assumed that at a minimum new data would consist of attitudinal data from the comparison group however defined at comparable junctures and school-based measures (e.g., truancy, GPA) for all groups however defined.

Given the nature of the program goals, records data from the school alone will not be acceptable to determine the impact of the program. Many of the goals of the program are changes in attitudes or behaviors related to family and community, so it is critical to determine if mentoring affects those aspects of the youth's life and development. The measures used in the pilot study are those derived from the Developmental Asset Model and quite extensive. If this program goal is important, then these data elements need to be collected for all experimental and comparison groups.

10. Summary Remarks

This is an interesting program serving a large number of Utah youths throughout the state. It has a well-articulated conceptual model and has been in operation since the 1990s. The difficulty in evaluation of its efforts lies in the "scatter" of participants across many schools and counties, making it difficult to accumulate samples in one school or location for easy comparisons. In addition, there appears to be predictable resistance from referral sources to random assignment of youths to program/nonprogram states when they are faced with youths they feel are in immediate need of the services. Unless it is acceptable to accumulate treated and untreated groups over a considerable period of time or unless some concentration of naturally occurring excess demand can be identified, alternative approaches would have to be considered.

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