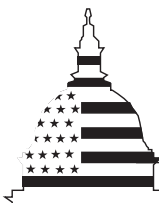


October 2001

# JUVENILE JUSTICE

## OJJDP Reporting Requirements for Discretionary and Formula Grantees and Concerns About Evaluation Studies



GAO

Accountability \* Integrity \* Reliability

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## Abbreviations

CPD	Child Protection Division
IPR	Individual Project Report
JUMP	Juvenile Mentoring Program
NCJRS	National Criminal Justice Reference Service
NCMEC	National Center for Missing and Exploited Children
OJJDP	Office of Juvenile Justice and Delinquency Prevention
OJP	Office of Justice Programs
PATHE	Positive Action Through Holistic Education
RPDD	Research and Program Development Division
STAD	State and Tribal Assistance Division
TTAD	Training and Technical Assistance Division



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United States General Accounting Office  
Washington, DC 20548

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October 30, 2001

The Honorable Bob Schaffer  
House of Representatives

Dear Mr. Schaffer:

Although the nation's rates of violent juvenile crime and youth victimization have declined dramatically over the past 5 years, critical problems affecting juveniles and the juvenile justice system still remain, such as drug dependency, the spread of gangs, and child abuse and neglect. To address these and other issues, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) has funded a variety of demonstration, replication, research and evaluation, and training and technical assistance programs aimed at preventing and responding to juvenile delinquency and juvenile victimization. Questions have been raised, however, regarding what these numerous and diverse programs have accomplished.

You asked us to review OJJDP's major programs, as well as the evaluations it has funded. Specifically, we agreed to provide (1) information on programmatic reporting requirements for OJJDP grantees, the reasons for these requirements, and examples of the information grantees have reported; (2) information on how many juveniles OJJDP grantees reported directly serving in fiscal year 2000, and whether OJJDP requires grantees to report the number of juveniles they directly serve, and if not, why; and (3) analysis of the methodological rigor of the impact evaluations OJJDP has funded of its own programs since 1995, and information on the other types of evaluations OJJDP has funded. In addition, you asked us to provide information on how much OJJDP awarded to various grant programs from fiscal years 1996 through 2000 and the types of organizations that received these awards, and we have provided this information in appendix I. You asked us how OJJDP disseminates published interim results of impact evaluations as well as other published publications OJJDP and its grantees produce, and we have provided this information in appendix II. You also asked us to review how OJJDP monitors its grantees, and we have reported to you on this issue.<sup>1</sup>

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<sup>1</sup> *Juvenile Justice: Better Documentation of Discretionary Grant Monitoring Is Needed* (GAO-02-65, Oct. 10, 2001).

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## Results in Brief

Our review of 16 of OJJDP's major programs showed that although virtually all grantees are required to report on their progress twice a year, the information they reported varied. Grantees receive standard, general guidance for reporting on their projects and providing OJJDP information with which to monitor grantees' projects and accomplishments. According to OJJDP officials, such guidance needs to be somewhat general, given the variation that can occur among individual projects as grantees try to meet local needs and circumstances. For example, one Drug-Free Communities Support Program grantee reported that it had helped students produce an anti-smoking commercial, while another grantee in the same program reported making presentations on drug abuse to young men at the local juvenile detention facility. Grantees in 8 of these 16 programs are subject to additional reporting requirements tailored to each of their programs, and these specific requirements were established primarily to support outside evaluations or for other program or project assessment purposes. For example, OJJDP requires all Juvenile Mentoring Program grantees to cooperate fully with an outside evaluator. Grantees in this program are required to report prescribed demographic information for both juveniles and mentors who participate in their programs, as well as other specified data.

We identified eight programs in which all grantees reported the number of juveniles they directly served. Grantees in these eight programs reported serving about 142,000 juveniles in fiscal year 2000.<sup>2</sup> For example, Court Appointed Special Advocate Program grantees reported serving over 70,000 juveniles through volunteers who advocate for the best interests of abused and neglected children who come before the court. Juvenile Mentoring Program grantees reported serving about 8,500 juveniles by providing one-on-one mentoring for at-risk youths. OJJDP does not require grantees in all its programs to report on the number of juveniles they serve directly for several reasons, including that many of its programs are not intended to serve juveniles directly. Instead, OJJDP programs have a variety of other purposes that can indirectly benefit juveniles, such as helping state and local governments improve their juvenile justice systems, providing training and technical assistance to juvenile justice professionals, and establishing a centralized research effort on problems of juvenile delinquency. In commenting on a draft of this report, the Assistant Attorney General stated that research projects do not typically

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<sup>2</sup> Grantees in three of the eight programs reported data for time periods that did not correspond precisely with the fiscal year.

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provide services directly, yet their results can potentially help thousands of juveniles.

Our in-depth review of 10 of OJJDP's impact evaluations<sup>3</sup> undertaken since 1995 of its own programs raises some concerns about whether many of the evaluations will produce definitive results. All of these evaluations are still ongoing, with half in their formative stages and half well into implementation. While program evaluation is an inherently difficult task, in some of these evaluations, the effort is particularly arduous because of variations across sites in how the programs are implemented. These variations will make it difficult to interpret evaluation results. Two of the evaluations that are in their later stages and three of those that are in their formative stages lack specific plans for comparison groups, which would aid in isolating the impacts of the program from the effects of other factors that may have influenced change. Furthermore, three of the five evaluations that are well into implementation have developed data collection problems. We are making a recommendation in relation to the five evaluations that are in their formative stages, intending to ensure that potential problems related to comparison groups and data collection are mitigated.

The Assistant Attorney General provided us with written comments on a draft of this report in a letter dated October 15, 2001. In general, she agreed with our findings and recommendation. However, she disagreed with our focus on the use of comparison groups as the only valid evaluation design. Although she agreed that the inclusion of comparison groups would strengthen the interpretation of evaluation results, she said that sufficient funds are not available to include comparison groups in every evaluation and that laboratory-like comparison groups may not be possible when evaluating real life community-based programs. We recognize that not all evaluation issues that can compromise results are resolvable, including the use of comparison groups. However, the validity of the evaluation results can be enhanced through establishing and tracking comparison groups. If other ways exist to effectively isolate the impacts of a program, comparison groups may not be needed. However, in the 10 evaluations for which we assessed methodological rigor, we saw no evidence of other methods being used. While studies that do not have appropriate comparison groups can provide useful information, they

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<sup>3</sup> Impact evaluations assess the extent to which a program causes changes in the desired direction in the target population.

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should not be considered impact evaluations. The full text of the Assistant Attorney General's comments and our evaluation of them are presented in appendix IX and elsewhere in this report, as appropriate.

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## Background

OJJDP, one of the components of the U.S. Department of Justice, Office of Justice Programs (OJP), was established by the Juvenile Justice and Delinquency Prevention Act of 1974 (Juvenile Justice Act).<sup>4</sup> Its mission is to provide national leadership, coordination, and resources to prevent and respond appropriately to juvenile delinquency and juvenile victimization. OJJDP accomplishes its mission through developing and implementing prevention programs and a juvenile justice system that protects the public safety, holds juvenile offenders accountable, and provides treatment and rehabilitative services based on the needs of juveniles and their families. OJJDP funds research and evaluation efforts, statistical studies, and demonstration programs; provides technical assistance and training; produces and distributes publications and other products containing information about juvenile justice topics; oversees activities dealing with missing and exploited children; and administers a wide variety of grant programs. OJJDP funds programs that serve juveniles directly as well as those that benefit juveniles more indirectly by focusing on system-wide changes or by increasing the capacity of governmental units or organizations.

OJJDP awards grants to states, territories, localities, and private organizations through five formula and block grant (formula/block grant) programs and numerous discretionary grant programs. OJJDP administers four formula grant programs<sup>5</sup> that provide funds directly to states and territories on the basis of states' juvenile populations, and one block grant program<sup>6</sup> that awards a fixed level of funds to all states and territories. Under these formula/block grant programs, states may, in turn, make subawards to other organizations such as units of local government. OJJDP awards discretionary grants through a competitive process to state

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<sup>4</sup> 42 U.S.C. 5601, et seq.

<sup>5</sup> OJJDP's four formula grant programs are the Formula Grants Program, the Community Prevention Grants Program, State Challenge Activities, and the Juvenile Accountability Incentive Block Grants Program.

<sup>6</sup> OJJDP's one block grant program is the Enforcing the Underage Drinking Laws Program. The Enforcing the Underage Drinking Laws Program has both a block grant component and a discretionary grant component.



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governments, local governments, or individual agencies and organizations. OJP is responsible for the financial monitoring<sup>7</sup> of grantees (i.e., it provides policy guidance, control, and support services in the financial management of grants), whereas OJJDP is responsible for program monitoring. For program monitoring purposes, OJJDP assigns each of its grantees a program manager who is responsible for ensuring administrative and programmatic compliance with relevant statutes, regulations, policies and guidelines of awarded grants. The program manager is also responsible for monitoring grantees' performance and progress as related to grantees' stated goals and objectives.

OJJDP's budget has increased significantly over the last 5 years—from about \$188 million in fiscal year 1997 to about \$596 million in fiscal year 2001. During this time, the Congress has created new programs and increased appropriations for some existing ones. The Congress has also provided direction each year regarding certain program areas OJJDP should fund. Overall, in fiscal year 2001, 31 percent of OJJDP's available funds<sup>8</sup> were congressionally earmarked—that is, set aside for an identifiable grantee, specified amount, and/or specific authorized purpose. For fiscal year 2001, \$180 million of OJJDP's funds were available for discretionary grant awards, of which 77 percent was earmarked.

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## OJJDP's Fiscal Year 2000 Awards

OJJDP awards the majority of its funds to grantees in its five formula/block grant programs. In fiscal year 2000, the latest year for which awards data were available, OJJDP awarded (1) about \$354 million, or 64 percent of the total funds awarded, to these formula/block grant programs and (2) just over \$200 million, or 36 percent of the total funds awarded, to a wide range of discretionary grant programs. The programs awarded the most funds in fiscal year 2000 were the Juvenile Accountability Incentive Block Grants Program (\$221 million), the Formula Grants Program (\$70 million), the Community Prevention Grants Program (\$36 million), the Child Abuse and Neglect Program<sup>9</sup> (\$32 million), the Missing and

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<sup>7</sup> OJP conducts financial monitoring of grantees through the Monitoring Division of its Office of the Comptroller.

<sup>8</sup> Of OJJDP's \$597 million dollar appropriation, only \$583 million were "available;" about \$12.7 million were designated to support OJJDP administrative costs and \$1.3 million (.0022) was rescinded.

<sup>9</sup> This program encompasses several other programs within OJJDP's Child Protection Division including the Court Appointed Special Advocate Program, Children's Advocacy Centers, the Model Courts Program, and the Safe Start Initiative.

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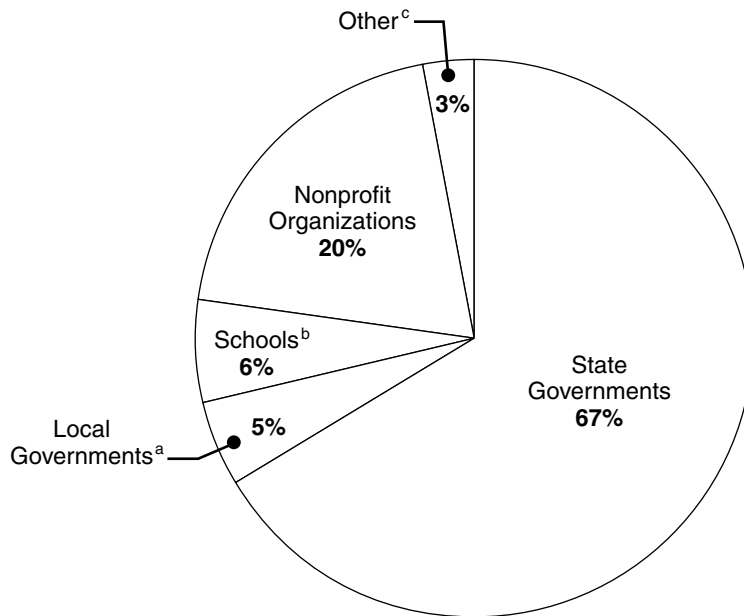
Exploited Children Program<sup>10</sup> (\$32 million), and the Drug-Free Communities Support Program (\$30 million).

OJJDP awards funds to a wide range of recipients, with the majority of awarded funds going to state governments. As shown in figure 1, 67 percent of the funds OJJDP awarded in fiscal year 2000 went to states, 20 percent to nonprofit organizations, 6 percent to school districts or educational institutions, and 5 percent to local governments. However, because many grantees make subawards to other entities, the awards to these grantees do not reflect the ultimate recipients of the funds OJJDP awards. For example, under the Formula Grants Program, states pass through a minimum of two-thirds of their awarded funds to public and private nonprofit organizations. (See app. I for data from fiscal years 1996 through 2000 on (1) OJJDP funds awarded to formula/block grant versus discretionary grant programs, (2) OJJDP awards by program area, (3) OJJDP award recipients, and (4) OJJDP formula/block grant awards by state.)

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<sup>10</sup> This program encompasses several other programs within OJJDP's Child Protection Division including the National Clearinghouse and Resource Center for Missing and Exploited Children, the Missing and Exploited Children Training and Technical Assistance program, and the Internet Crimes Against Children Task Force Program.

**Figure 1: OJJDP Award Recipients, Fiscal Year 2000**



Note: Percentages do not total 100 due to rounding.

<sup>a</sup>Local governments include county governments, cities, townships, and special district governments.

<sup>b</sup>Schools include independent school districts and state and private institutions of higher education.

<sup>c</sup>Other includes for-profit organizations, individuals, Indian Tribes, and other miscellaneous recipients.

Source: GAO analysis of OJP database.

## Scope and Methodology

To identify programmatic reporting requirements<sup>11</sup> for OJJDP grantees, the reasons for these requirements, and examples of information grantees have reported, we reviewed all 5 of OJJDP’s formula/block grant programs and we selected 11 of its major discretionary grant programs to review based on OJJDP officials’ input regarding which programs were “major” (e.g., number of grantees, program funding, and/or importance of the program). To identify grantee reporting requirements, and the purpose of these requirements, we met with the OJJDP program managers who monitor each of these 16 programs or with other key officials. For those

<sup>11</sup> We did not review requirements associated with OJP’s financial monitoring of OJJDP grantees.

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programs in which OJJDP funded an outside evaluation, we also met with program managers who oversee the evaluations. We reviewed OJP's *Grant Management Policies and Procedures Manual* (January 19, 2001) and Categorical Assistance Progress Report (progress report) form<sup>12</sup> along with the instructions for completing the form. (See app. III for a copy of the progress report form.) We also reviewed OJJDP program documents for each of the 16 programs, including any special reporting conditions. To supplement program documents, we reviewed relevant documents from outside evaluators. We did not assess the adequacy of reporting requirements established by OJJDP or the outside evaluators.

To identify specific examples of performance data that grantees reported, we asked OJJDP officials to provide progress reports for each program demonstrating a range of detail and, in some cases, we asked for reports from specific grantees. For each program, we then reviewed 3 to 15 progress reports (or individual performance reports) submitted between 1998 and 2001. We did not review progress reports from all grantees in every program, nor did we review grantees' compliance with reporting requirements. For programs being evaluated by an outside evaluator, we reviewed performance data that program grantees reported to those evaluators, when available.

To determine whether OJJDP requires grantees to report the number of juveniles they serve directly and to identify the number of juveniles OJJDP grantees reported serving in fiscal year 2000, we interviewed OJJDP program managers for each of the 16 programs we reviewed and examined relevant program documents, including selected semiannual progress reports. To determine whether other programs directly serve juveniles, obtain available data on the numbers of juveniles served, and learn why OJJDP does or does not require grantees to report such data, we reviewed OJJDP program literature and met with OJJDP division directors. Nevertheless, the list of OJJDP programs we identified as directly serving juveniles may not be comprehensive. We focused our data collection effort on only those programs we identified in which all grantees reported juveniles-served data.

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<sup>12</sup> For the Formula Grants Program, we reviewed OJJDP's instructions for completing the annual Performance Report, including the Individual Project Report forms, because Formula Grants grantees are required to complete these reports in lieu of progress reports.

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To assess the methodological rigor of the impact evaluations OJJDP has funded since 1995 of its own programs, and to provide information on the other types of evaluations OJJDP has funded, we asked OJJDP to identify all program evaluations it had funded since 1995. For each evaluation, we asked OJJDP to indicate whether it was an impact evaluation, whether the program being evaluated was funded by OJJDP, and whether the evaluation had been completed or was ongoing. Overall, OJJDP identified 35 evaluations funded since 1995.

Eleven of the 35 evaluations were impact evaluations of OJJDP programs, and all were ongoing.<sup>13</sup> For each of the 10 impact evaluations we assessed, we asked OJJDP to provide any documentation relevant to the design and implementation of the evaluation methodologies, such as the initial and supplemental proposals, peer review documents, progress reports, reports of interim results, and correspondence between OJJDP and the evaluators. In addition, we contacted OJJDP officials to resolve any questions that we had regarding the documentation and to request any missing documents. We did not contact the program manager responsible for each evaluation.

To assess the methodological rigor of the 10 impact evaluations, we used a data collection instrument to collect information systematically on each program being evaluated and the features of the evaluation methodology. We based our data collection and assessments on generally accepted social science standards. We examined such factors as whether evaluation data were collected before and after program implementation, how program effects were isolated (i.e., the use of nonprogram participant comparison groups or statistical controls), and the appropriateness of sampling, outcome measures, statistical analyses, and any reported results. A social scientist with training and experience in evaluation research and methodology read and coded the documentation for each evaluation. A second social scientist reviewed each completed data collection instrument and the relevant documentation for the impact

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<sup>13</sup> During the course of our review, OJJDP officials identified 10 of their 35 ongoing evaluations as impact evaluations of OJJDP-funded programs. In commenting on a draft of this report, the Assistance Attorney General said that the Teen Courts evaluation has a comparison group and should have also been classified as an impact evaluation of an OJJDP-funded program, along with the other 10 evaluations. Because this had not been included as an evaluation of an OJJDP-funded program when we initially requested the information, we did not assess the methodological rigor of the Teen Courts evaluation as we did with the other 10 impact evaluations. On the basis of comments provided by the Assistance Attorney General, we have reclassified the Teen Courts evaluation as an impact evaluation of an OJJDP-funded evaluation.

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evaluation to verify the accuracy of every coded item. We relied on documents OJJDP provided to us in April 2001 in assessing the evaluation methodologies and reporting on each evaluation's status.

For each of the remaining 24 evaluations, which included nonimpact evaluations of OJJDP-funded programs, as well as evaluations of juvenile justice programs that OJJDP did not fund, we asked OJJDP to provide general descriptive information, such as the type and purpose of the evaluation, the number of sites involved, and whether the evaluation included data on all participants. We did not assess the methodological rigor of these evaluations.

We conducted our work at OJJDP Headquarters in Washington, D.C., from September 2000 to August 2001 in accordance with generally accepted government auditing standards.

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## All Grantees Receive Standard Reporting Guidance and Some Are Required to Report Specific Data

OJP requires virtually all OJJDP grantees<sup>14</sup> to submit semiannual progress reports, which OJJDP uses to help monitor grantees' project implementation and achievement of the goals they identified in their grant applications. To this end, OJP provides grantees standard, general guidance on the types of program information they are to report, such as narrative information on the status of each of their project goals and the quantitative results of their projects. In addition to this standard requirement, grantees for some of OJJDP's programs are subject to additional reporting requirements that apply only to their respective programs. Our review of 16 major programs<sup>15</sup> showed that grantees in 8 of the programs were required to comply only with the standard requirement for information, and grantees in the other 8 programs were required to report additional specified data. The specific reporting requirements were established primarily to help evaluate the results of these programs. Table 1 identifies the 16 programs we reviewed and the reason for the standard or specific reporting requirements for each program.

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<sup>14</sup>All discretionary and all formula/block grant program grantees, with the exception of Formula Grants Program grantees, must submit these reports.

<sup>15</sup>We reviewed all 5 of OJJDP's formula/block grant programs and 11 of its discretionary grant programs.

**Table 1: Reasons for Reporting Requirements for 16 Selected Major OJJDP Programs**

Program	Reason for reporting requirement	
	Standard requirement	Specific requirement
State Challenge Activities	Monitoring	None
Community Prevention Grants Program (Title V)	Monitoring	None
Juvenile Accountability Incentive Block Grants Program	Monitoring	None
Enforcing the Underage Drinking Laws Program (block grant component) <sup>a</sup>	Monitoring	None
Enforcing the Underage Drinking Laws Program (discretionary grant component) <sup>a</sup>	Monitoring	None
Tribal Youth Program	Monitoring	None
Model Courts Program	Monitoring	None
National Clearinghouse and Resource Center for Missing and Exploited Children	Monitoring	None
Formula Grants Program <sup>b</sup>	Monitoring	Statutory compliance, OJJDP assessment
Comprehensive Gang Initiative	Monitoring	Outside evaluation, grantee self-assessment
Rural Gang Initiative	Monitoring	Outside evaluation, grantee self-assessment
Juvenile Mentoring Program (JUMP)	Monitoring	Outside evaluation
SafeFutures	Monitoring	Outside evaluation
Drug-Free Communities Support Program	Monitoring	Outside evaluation
Internet Crimes Against Children Task Force Program	Monitoring	OJJDP assessment
Children's Advocacy Centers	Monitoring	OJJDP assessment, grantee self-assessment

Note: Five programs in this table are formula or block grant programs: State Challenge Activities, the Community Prevention Grants Program, the Juvenile Accountability Incentive Block Grants Program, Enforcing the Underage Drinking Laws Program (block grant component), and the Formula Grants Program. The remaining 11 programs are discretionary grant programs.

<sup>a</sup>The Enforcing the Underage Drinking Laws Program has both a block grant program component and a discretionary grant program component, and OJJDP administers each from separate organizational units.

<sup>b</sup>Rather than reporting semiannually through progress reports, grantees under this program report on their subgrantees' projects annually through Individual Project Reports. The standard requirements for reporting are similar for both types of reports.

Source: GAO analysis.

Our review of selected progress reports from the 16 programs showed that, in all but the Formula Grants Program, grantees reported information on the status of their activities and accomplishments in response to the standard requirements, although the details they reported varied as did the projects themselves. Grantees in the eight programs with specific reporting requirements reported a variety of descriptive information and performance data to OJJDP and/or outside evaluators. (See app. IV for a

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program description, summary of reporting requirements, and examples of what grantees reported in each of the 16 programs we reviewed.)<sup>16</sup>

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### Grantees Receiving Standard Guidance Reported a Variety of Information Used for OJJDP Monitoring

All OJJDP grantees are required to report on their project activities and accomplishments to OJP twice a year using the Office of Justice Programs' Categorical Assistance Progress Report (progress report) form.<sup>17</sup> The form is unstructured and is to be completed in narrative and/or chart form.<sup>18</sup> The standard instructions to grantees for completing the form state that grantees should report information on the status of each of their projects' goals scheduled to be achieved during the reporting period and set forth in their grant application, including quantitative project results based on performance measures. Grantees are also instructed to report on actions planned to resolve any implementation problems and request any technical assistance they might need. OJJDP program managers are to use reported information to help monitor grantees' project implementation. OJJDP officials explained that because the progress report is intended as just one of their monitoring tools, this standard, general guidance meets their basic oversight needs. They further explained that guidance needs to be somewhat general given the variation that can occur among projects as grantees tailor them to meet local needs and circumstances. OJJDP encourages grantees to design projects that meet the unique needs of their own communities, and therefore grantees do not always report on the same performance measures.

Although OJJDP program managers have additional ways of keeping abreast of grantees' projects, such as phone calls and on-site visits, OJJDP officials indicated they would prefer to require and obtain more specific,

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<sup>16</sup> In addition, we aggregated performance data from grantees in OJJDP's training and technical assistance programs and research programs because such data are quite significant in terms of OJJDP's outputs, and would not be fully captured if we reported only on the 16 programs we selected for review. Although training and technical assistance grantees and research grantees were typically subject only to standard reporting requirements, they reported similar types of quantitative performance data. Thus, we were able to report comprehensive output data, rather than examples of output data, as we did for selected grantees in the 16 programs. See appendix V for a summary of performance data from training and technical assistance grantees and research grantees.

<sup>17</sup> As previously noted, the Formula Grants Program is the only exception. In lieu of the semiannual Categorical Assistance Progress Report, Formula Grants Program grantees are required to report annually on their subgrantees' activities and accomplishments using Individual Project Reports.

<sup>18</sup> A copy of the progress report form can be found in appendix III.



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and even more frequent, information through the progress reports or other reporting mechanisms. However, according to these officials, they are reluctant to impose additional reporting requirements on grantees because of the Paperwork Reduction Act of 1995, which seeks to ensure that federal agencies balance their need to collect information with the reporting and paperwork burden they impose. Under the Act, federal agencies have an obligation to keep the paperwork burden they impose as low as possible, and agencies must receive prior approval from the Office of Management and Budget for information collection requests.

We reviewed selected progress reports that grantees from each of the 16 programs submitted to OJJDP and found that, in all but the Formula Grants Program, grantees reported on the status of their projects. Grantees reported input, output, or outcome data related to the process, implementation, and/or accomplishments of their projects. They included information such as subgrant awards, specific meetings held, staff hired, implementation difficulties, number of project participants, and behavioral change in youths. However, the particular information grantees reported varied, as did their projects. This variation, coupled with the unstructured format of the progress report, makes it difficult to aggregate reported data.

Fourteen of the programs we reviewed had multiple grantees and the information these grantees reported in response to the standard guidance varied, even within each program. For example, we found the following:

- Under the Tribal Youth Program—a program that recognizes differences among tribes and encourages diversity in their projects—grantees must implement projects in keeping with at least one of four broad purpose areas.<sup>19</sup> One tribe reported that it had completed the renovation of a youth center; another reported that it had collected examples of other tribes' juvenile law enforcement codes<sup>20</sup> and started drafting model codes

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<sup>19</sup> Funds are available for projects that support the following four broad purposes: (1) to reduce, control, and prevent crime by and against tribal youth; (2) to provide interventions for court-involved tribal youth; (3) to improve tribal juvenile justice systems; and (4) to provide prevention programs focusing on alcohol and drugs.

<sup>20</sup> To address the severe juvenile crime problem in Indian communities, many tribal governments have developed juvenile codes that typically include provisions relating to the disposition of cases involving Indian youth arrested or detained by the Bureau of Indian Affairs or tribal law enforcement personnel. Tribal juvenile codes are generally tailored to Indian youth by incorporating traditionally accepted cultural methods of dealing with juvenile delinquency issues.

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adapted for each of its villages. A third tribe reported that the resignation of its community truancy officer had impacted its ability to reduce instances of misbehavior in school.

- Under another program—the Juvenile Accountability Incentive Block Grants Program—grantees (states) and their subgrantees (communities) have undertaken a variety of projects and, thus, report different information. In this program, states and their communities can choose from 12 different purpose areas<sup>21</sup> under the broad objective of promoting greater accountability in the juvenile justice system. Thus, one state reported that one community hired a juvenile court intake officer and included that officer’s caseload; the same state reported that another community was unable to start a project because a local agency declined to participate in its project. Another state reported on the number of youths enrolled in one community’s drug testing project and reported the number of drug screening tests performed.
- In the Drug-Free Communities Support Program, grantees design projects to meet the needs of their local communities; thus, the projects and the information grantees reported varied. For example, one grantee reported that it helped local students produce a 30-second anti-smoking commercial in collaboration with the local health department and further reported that only 9 of 50 invited members attended a strategic planning meeting it had held. Another grantee reported making presentations on drug abuse to 146 young men at the local juvenile detention facility, and that its pre- and post-assessments continually showed that the young men gained knowledge in the harmful effects of alcohol and drugs.

In the Formula Grants Program, not all grantees reported on the objectives and accomplishments of their subgrantees’ projects, as required. OJJDP requires grantees in this program to complete an Individual Project Report

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<sup>21</sup> Funding is available to support the following 12 purpose areas: (1) construction of juvenile detention or correctional facilities, including training of personnel; (2) accountability-based sanctions programs; (3) hiring of judges, probation officers, and defenders, and funding pretrial services; (4) hiring of prosecutors; (5) funding of prosecutor-led drug, gang, and violence programs; (6) providing technology, equipment, and training programs for prosecutors; (7) probation programs; (8) gun courts; (9) drug courts; (10) interagency information-sharing systems; (11) accountability-based programs for law enforcement referrals or those designed to protect students and school personnel from youth violence; and (12) controlled substance testing (including interventions) for juveniles in the juvenile justice system.

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(IPR)<sup>22</sup> for each subgrantee. The instructions for completing IPRs are similar to the instructions grantees in other programs receive for completing semiannual progress reports. Our review of IPRs from selected states showed that, for one state, none of the IPRs contained any information on subgrantees' accomplishments, and some did not include information on subgrantees' program objectives.<sup>23</sup> For another state, neither OJJDP nor the state was able to provide us with copies of completed IPRs because OJJDP's automated reporting system for states was inoperable.

Two of the 16 programs we reviewed had only one grantee each. Although both received only standard reporting guidance, they reported more detailed, quantitative output and outcome data than grantees in the other programs that received only standard guidance. In the first program—the National Clearinghouse and Resource Center for Missing and Exploited Children—the grantee has voluntarily reported detailed information in a structured format. In the second program—the Model Courts Program—OJJDP has emphasized that the grantee should include quantitative performance data in its progress reports, but did not prescribe the specific indicators on which the grantee must report.

OJJDP has designated the National Center for Missing and Exploited Children (NCMEC) as the grantee for National Clearinghouse and Resource Center for Missing and Exploited Children, and NCMEC has developed its own standardized reporting format that covers 10 categories. This format collects numbers and other information on each category, such as missing children cases, exploited children cases, public affairs, and hotline calls. NCMEC reports to OJJDP quarterly, rather than semiannually, because this timeframe matches the reporting structure of its data management system. For the first quarter of 2001, NCMEC reported various output and outcome data that included receiving 24,983 calls through its hotline; assisting in the recovery of 1,610 missing

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<sup>22</sup> IPRs are part of annual Performance Reports, which Formula Grants Program grantees are required to complete.

<sup>23</sup> Although assessing the quality of OJJDP's monitoring efforts was outside the scope of our review, we inquired about the lack of information in this particular state's IPRs. According to the responsible OJJDP official, OJJDP staff addressed this issue during a site visit made subsequent to the state's annual submission, and also in a follow-up letter to the state.

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children;<sup>24</sup> receiving 5,291 tips on its online child pornography tip line; and displaying pictures of 1,399 missing children, which resulted in locating 257 children.

The sole grantee of the Model Courts Program—the National Council of Juvenile and Family Court Judges<sup>25</sup>—also reports quantitative information in its semiannual progress reports. Although OJJDP has not specified the performance indicators on which the Council must report, it has emphasized to the Council the need for quantitative performance data in the semiannual progress reports. As a result, the Council includes specific quantitative output data in its progress reports. For example, it reported that during the last half of 2000 it distributed 17,818 technical assistance bulletins, conducted 96 training presentations, and made 31 site visits to model courts. In addition, the Council voluntarily publishes an annual report that provides more detailed information on the accomplishments of the individual model courts, such as a reduction in the number of children in court custody. OJJDP officials told us that they do not require the Council to provide this report, but they have instructed it to report detailed performance data on the activities of the model courts, when such data exist. They further explained that if the Council were to stop publishing an annual report, OJJDP would require it to include model court performance data in its progress reports.

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### Grantees in Some Programs Are Required to Report Specific Performance Data, Often for Evaluative Purposes

In eight of the major programs we reviewed, grantees were given additional, more explicit reporting instructions requiring them to report on the same specific performance measures as other grantees in the same program. In these programs, additional requirements were established to meet the evaluative needs of OJJDP or an outside evaluator. In one of the eight programs, requirements were also established to ensure grantee compliance with certain requirements of the Juvenile Justice Act as well as for program assessment. The specific requirements of each of these

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<sup>24</sup> “Missing children” includes nonfamily and family abductions; runaways and “throwaways”; and lost, injured, or otherwise missing children. The number of recovered children includes deceased children.

<sup>25</sup> The Council provides training and technical assistance to 23 “model courts” nationwide. These designated model courts seek to improve how child abuse and neglect cases are processed through the court and child protection systems. Although their initiatives vary, all the model courts address certain core issues, such as how well court processes work in everyday practice and how well the child protection system meets the needs of children and their families.

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eight programs varied, as they were tailored to each program. However, grantees in all these programs were still required to routinely report narrative information on the status of their activities and accomplishments through semi-annual progress reports.

In five of these programs, OJJDP and/or an evaluator have established specific reporting requirements primarily to support an outside program evaluation.<sup>26</sup> For example, as a condition of receiving a Juvenile Mentoring Program grant, OJJDP requires all grantees to participate fully in the evaluation by providing data to the evaluator. This evaluator requires grantees to report their data through quarterly progress reports that are similar to semiannual progress reports. The required data include information on youths participating in each project, participating mentors, and youth-mentor matches. For instance, grantees are required to report family structure information for participating youths. The evaluator aggregates such data from all grantees and has reported, for example, that 56 percent of participating youths lived with their mother only, 20 percent lived with both parents, 4 percent lived with their father only, and 21 percent were in other living arrangements.<sup>27</sup>

In two of the eight programs—the Internet Crimes Against Children Task Force Program and Children’s Advocacy Centers—specific reporting requirements were established so that OJJDP could assess program accomplishments. The governing board of the Internet Crimes Task Force, in agreement with OJJDP, identified monthly performance measures on which grantees must report, such as the number of arrests made, search warrants issued, subpoenas served, and cases opened by the task forces. Under the Children’s Advocacy Centers program,<sup>28</sup> OJJDP prescribed specific performance measures on which grantees must report, such as the number of practitioners trained, training conferences held, and publications distributed. In this program, specific reporting requirements were established not only for OJJDP to assess the program’s overall accomplishments, but also to help grantees assess their own projects.

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<sup>26</sup> In two of these five programs, a secondary purpose for imposing these requirements was to allow grantees to assess their own programs.

<sup>27</sup> Data were reported in a September 2000 OJJDP Juvenile Justice Bulletin entitled *Juvenile Mentoring Program: A Progress Review*.

<sup>28</sup> This program is, in part, a training and technical assistance program.

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The eighth program—the Formula Grants Program—has requirements that are statutorily based and further spelled out by OJJDP in program regulations. Program reporting requirements were established to ensure grantees comply with the four core requirements of the Juvenile Justice Act and as a basis for assessing the effects of the program. These core requirements are (1) deinstitutionalization of status offenders,<sup>29</sup> (2) separation of juveniles from adult offenders, (3) removal of juveniles from adult jail and lockup, and (4) addressing efforts to reduce disproportionate minority confinement. OJJDP regulations list in detail the information on which states must report.<sup>30</sup> For instance, regarding the deinstitutionalization of status offenders, states must report the total number of accused and adjudicated status offenders and nonoffenders placed in facilities that are, for example, not near their home community. (See app. VI for a summary of states’ compliance with the core requirements of the Juvenile Justice Act.) According to the compliance monitoring coordinator for the Formula Grants Program, grantees’ reports on compliance with the core requirements also provide the basis for OJJDP to assess the effects of the program.

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**Some Data Exist on the Number of Juveniles Served Directly, Although Most Grantees Are Not Required to Report This Information**

We identified eight programs that serve juveniles directly and whose grantees reported such data for fiscal year 2000. However, OJJDP often does not require grantees to provide this information, in large part because not all of its programs are intended to provide direct services to juveniles.

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<sup>29</sup> A status offender is a juvenile who has been charged with or adjudicated for conduct that would not be a crime if committed by an adult.

<sup>30</sup> 28 C.F.R. 31.303(f)(5).

**In Some Programs, All Grantees Report the Number of Juveniles They Directly Serve**

We identified eight programs in which grantees directly serve juveniles and in which all grantees report the number of juveniles served to either OJJDP or an outside evaluator. About 400 grantees in these eight programs directly served close to 142,000 juveniles in one year. For example, in fiscal year 2000, the Juvenile Mentoring Program reported serving about 8,500 juveniles, and in calendar year 2000, the Court Appointed Special Advocate Program reported serving 70,348 youths. Table 2 shows the programs we identified as directly serving juveniles and reporting such data for fiscal year 2000.

**Table 2: OJJDP Programs GAO Identified in Which All Grantees Reported Data on the Number of Juveniles Directly Served, Fiscal Year 2000**

<b>Program</b>	<b>Description</b>	<b>Juveniles directly served</b>	<b>Grantees</b>
Arts and At-Risk Youth	A program that combines the arts with job training and conflict resolution skills and provides summer jobs or paid internships for youths in the program.	381	3
The Arts Program for Juvenile Offenders in Detention and Corrections	A program that works with arts professionals to help youths develop art skills to use after release from detention.	1,026	6
Comprehensive Gang Initiative	A demonstration program that utilizes a variety of strategies, including intensive youth and family intervention, community mobilization, and organizational change, to reduce youth gang crime and violence.	78 <sup>a</sup>	2
Court Appointed Special Advocate Program	A program to help ensure that abused and neglected children receive timely and effective representation in dependency hearings. Program volunteers are appointed by judges to advocate in court for the best interests of abused or neglected children.	70,348 <sup>b</sup>	207
Juvenile Mentoring Program (JUMP)	A one-on-one mentoring program for at-risk youths.	8,509	175
Life Skills Training	A training and technical assistance program that instructs teachers on how to replicate the Life Skills Training program in a large number of diverse jurisdictions. Life Skills Training is a tested whole-school-immersion model for reducing drug use by middle-school students in selected communities.	53,685 <sup>c</sup>	1
SafeFutures	A program that works to reduce delinquency and youth violence through the development of a continuum of services. Grantees in this program use a single grant to draw on a variety of OJJDP categorical funds.	5,789 <sup>d</sup>	6
Truancy Reduction Demonstration Program	A program to reduce the number of truant children by providing services, such as truancy workshops and truancy case workers.	2,085	7
<b>Total</b>		<b>141,901</b>	<b>407</b>

Note: The programs listed are those we identified in which all grantees reported juveniles-served data. We identified these programs by reviewing OJJDP literature and interviewing OJJDP division directors. Nevertheless, the list may not be comprehensive.

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<sup>a</sup>The level of services provided under this program varied widely by juvenile—i.e., some juveniles received intensive intervention counseling, while others were only monitored by a case worker.

<sup>b</sup>This number represents juveniles served in calendar year 2000.

<sup>c</sup>This number is associated with the academic year 1999-2000, which roughly corresponds with fiscal year 2000. Because this is a program to teach drug prevention skills to all middle-school students in selected communities, the grantee reports the number of “students reached” rather than the number of “juveniles served.”

<sup>d</sup>This number represents a combination of data provided by SafeFutures grantees and by the program’s national evaluator. In addition, the level of services provided to these juveniles varied widely by individual, with some grantees including data on juveniles who received a full array of project services, and others reporting data on juveniles who were assessed but subsequently denied services or referred elsewhere. Furthermore, one grantee reported data for a slightly different period—September 1999 through August 2000.

Source: GAO analysis of OJJDP, evaluator, and grantee data.

We also identified a program in which all subgrantees directly serve juveniles, but not all subgrantees report such data. The national grantee<sup>31</sup> for the Children’s Advocacy Centers program reported that its subgrantees served over 100,000 juveniles in calendar year 2000, but this number represents only those juveniles served by subgrantees accredited through a national membership council.<sup>32</sup>

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## Reasons Exist for Not Requiring Grantees to Report Number of Juveniles Served

For several reasons, OJJDP does not typically require grantees to report the number of juveniles their projects directly serve. First and foremost, many of OJJDP’s programs are not intended to serve juveniles directly. The Juvenile Justice Act established OJJDP for a variety of purposes, many of which involve indirect benefits to juveniles, rather than direct services. Statutorily-established purposes for OJJDP include the following:

- To provide technical assistance to and training programs for professionals who work with delinquents.
- To provide for the evaluations of federally-assisted juvenile justice and delinquency prevention programs.
- To establish a centralized research effort on problems of delinquency.

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<sup>31</sup> The national grantee (one of five program grantees) awards funds to subgrantees, who in turn provide direct services to juveniles. The other four grantees, which are regional, provide training and technical assistance to local Children’s Advocacy Centers, as does the national grantee.

<sup>32</sup> Accredited subgrantees received 75 percent of funds available to subgrantees.



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- To assist state and local governments in improving the administration of justice and services for juveniles who enter the system.

Some of OJJDP's programs, in their entirety, provide indirect benefits, rather than direct services, to juveniles. OJJDP's Model Courts Program, for example, benefits juveniles indirectly by providing training and technical assistance to court personnel to improve their handling of child abuse and neglect cases. The Internet Crimes Against Children Task Force Program also benefits juveniles indirectly by helping to identify and arrest pedophiles and child pornographers who use the Internet to prey on children. Furthermore, in commenting on a draft of this report, the Assistant Attorney General pointed out that although OJJDP's research projects do not typically provide services directly, their results can potentially help thousands of juveniles.

OJJDP officials provided the following additional reasons for not requiring all grantees to report the number of juveniles their projects directly serve:

- A common interpretation of "juveniles served" does not exist across, or even within, programs. For example, grantees in one program might consider the number of juveniles served as those assessed for services but referred elsewhere, while grantees in a different program might consider only juveniles who received at least 10 sessions of therapy. Even within the same program grantees may not share a common definition of "juveniles served." One program grantee might report on the number of juveniles who received intensive one-on-one drug prevention services over an extended period of time, while another grantee in that same program might report on the number who attended a one-time presentation on drug prevention. Without a common interpretation of "juveniles served," the data grantees report would be inconsistent and would have little value.
- For some programs, directly serving juveniles may be only one of a number of intended program purposes and thus, OJJDP does not typically require all grantees within these programs to report such data. For example, in the Formula Grants Program, states and their subgrantees can choose from among 14 different program areas related to preventing and controlling delinquency and improving juvenile justice systems. Under the program area of "planning and administration," for instance, states can fund planning projects that benefit juveniles indirectly, such as developing a comprehensive state plan to identify juvenile service needs and programs that address those needs over the long term. However, under the area of "illegal drugs and alcohol," a local subgrantee can serve juveniles directly by establishing a drug and alcohol abuse prevention project.

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- Juveniles-served data could be used inappropriately to measure the effectiveness of a program whose primary purpose may not be to provide direct services to juveniles. For example, the primary purpose of State Challenge Activities is to stimulate system-wide change, although many of its 10 activity areas also promote projects intended to directly serve juveniles. However, grantees in this program are expected to implement direct service projects within the broader context of promoting system-wide change. For instance, one State Challenge Activities grantee used funds it received under the “deinstitutionalization of status offenders” activity area to establish two community projects that provide housing for runaway juveniles, many of whom are girls. The grantee intends to use its experiences with these two new projects to initiate system-wide change by developing a comprehensive model program expressly geared to serving runaway girls. By focusing on the number of girls served by this program, one might fail to see that its primary purpose was to develop a comprehensive model program for serving runaway girls.

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## Methodological Concerns Could Adversely Affect Evaluation Studies

OJJDP has funded 35 evaluations since 1995, including 11 evaluations intended to measure the impact of OJJDP-funded programs. We reviewed the methodological rigor of 10 of the 11 evaluations.<sup>33</sup> Half of these 10 evaluations are in formative stages, while the other five are well into implementation.<sup>34</sup> None had been completed at the time of our review. Our in-depth review of these 10 evaluations shows that although several are well-designed and use, or plan to use, sophisticated data analysis methods, others raise concerns as to whether the evaluations will produce definitive results. We recognize that impact evaluations, such as the types that OJJDP are funding, can encounter difficult design and implementation issues. For some of the evaluations we reviewed, program flexibility has added to the complexity of designing evaluations. A lack of comparison groups to aid in isolating the impacts of some programs, and data collection problems could compromise some evaluation results.

According to OJJDP officials, the OJJDP weighs a number of factors when deciding which programs to evaluate and what kind of evaluations to fund.

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<sup>33</sup> As discussed in the Scope and Methodology section of this report, in commenting on a draft of this report, the Assistant Attorney General pointed out that the evaluation of the Teen Courts program is also an impact evaluation of an OJJDP-funded program. This section addresses only the 10 impact evaluations OJJDP had initially identified.

<sup>34</sup> We based our analysis of these 10 ongoing evaluations on documentation OJJDP provided as of April 2001.

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Given its budget, it considers how much of its discretionary funds to spend in support of evaluation activities. In deciding which of its programs to evaluate, OJJDP gives priority consideration to programs that have been mandated by the Congress. Other criteria OJJDP uses to determine whether a program should be evaluated include the program's level of funding and its uniqueness, as well as the feasibility and cost of an evaluation and its potential benefits to the field. Similar criteria are also involved with decisions to evaluate non-OJJDP funded programs, as well as congressional interest and other federal agencies' willingness to co-fund an evaluation.

The 10 impact evaluations of OJJDP-funded programs that we assessed vary in size and scope. The cost to conduct these evaluations ranges from \$300,000 to well over \$5 million; however, some of these grants involve both impact and process evaluations and the cost of the impact portion alone cannot be separated from the total. All 10 evaluations are multi-year, multi-site projects. The number of evaluation sites ranges from 2 in the Rural Gang Initiative to 175 in the evaluation of the Juvenile Mentoring Program. As of April 2001, three evaluations had produced interim findings of some program impacts.<sup>35</sup> (See app. II for information on OJJDP's process for disseminating products with interim findings as well as other products.)

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## Evaluations of OJJDP Programs Are Difficult to Successfully Design and Implement

Program evaluation is an inherently difficult task because the objective is to isolate the impact of a particular program from all other factors that could have caused a change consistent with the intent of the program, or mitigated against that change. Given that programs, such as those funded by OJJDP, operate in an ever-changing environment and involve juveniles and adults who themselves constantly change, producing definitive evaluation results can be arduous. For example, the impact of a hypothetical program intended to improve students' grades could be confounded by the effects of an outside-of-school mentoring program, the transfer of high-performing students to a magnet program, changes in school faculty, a new scholarship program, a severe flu season that results in widespread student absences from school, and a myriad of other factors.

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<sup>35</sup> Two other evaluations reported preliminary results of some of the data collected as part of the impact evaluations; however, these did not comprise impact results.

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**Project Variation Within a Program Can Complicate Evaluation Design**

Our in-depth review of the 10 impact evaluations of OJJDP programs showed that a number of these evaluations are particularly complex because local grantees design their own projects to fit their communities' needs. (See app. VII for a description of the impact evaluations OJJDP has funded of its own programs since 1995). Although this customization may make sense from a program perspective, it makes it more difficult to evaluate the program. Instead of assessing a single, homogeneous program with multiple grantees, the evaluation must assess the effects of multiple configurations of a program. Although all of the grantees' projects under each program being evaluated are intended to achieve the same or similar goals, an aggregate analysis could mask differences in individual projects' effectiveness and, thus, not result in information about which configurations of projects work and which do not.

OJJDP's evaluation of the Enforcing the Underage Drinking Laws Program (discretionary grant component) exemplifies this situation. In implementing their projects, states and local communities have substantial latitude to employ media campaigns, merchant education, compliance checks, youth leadership training, or a variety of other activities to deter underage drinking. Similarly, under the Positive Action Through Holistic Education program, local educators develop their own ways to prevent student violence and behavior problems based on their assessments of the causes of these problems in their schools. Because of the limited number of sites (two school districts) being evaluated and the likely differences in how each school has developed its own project, the resulting evaluation may not provide information that could be generalized to a broader implementation of the program.

**Lack of Appropriate Comparison Groups Could Compromise Some Results**

A standard way for evaluators to isolate the impacts of a program from other potential factors that could have influenced change is to use a comparison group as a benchmark. In the hypothetical example cited above concerning a program to improve students' grades, a second set of students who are not in the program but are matched in academic performance and exposed to all of the same factors (except the program) could provide a baseline from which to assess the impact of the program. The grades of students in the two groups before and after the program would provide the data from which to measure program impacts. Without the benefit of the comparison group as a baseline, it is difficult or impossible to isolate changes resulting from the program from changes due to other factors.

The designs of two of the five evaluations that are well into implementation lack an appropriate comparison group. The evaluation of

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the Juvenile Mentoring Program—a one-on-one mentoring program for youths—compares youths entering the program to those completing it. However, a variety of other factors, including the fact that youths in the program are likely to mature and, thus, improve somewhat spontaneously, cannot be ruled out as a rival cause of change from the beginning to the end of the program. Although the evaluators are employing multiple and innovative strategies to determine the effectiveness of the program in achieving its objective, the lack of a comparison group of nonparticipant youths is an obstacle to identifying definitive outcomes.

An evaluation of the Partnerships to Reduce Juvenile Gun Violence Program includes a comparison of before and after crime statistics in project communities with crime statistics for the same time frames for the cities in which the projects operate. However, citywide crime statistics would no doubt include data from communities that are similar to the project community as well as from those that are not. Thus, the differences between citywide and project community baselines make it difficult to attribute potential findings to the program.

Of the five programs for which evaluations are still being developed, two (the Safe Start Initiative and the Rural Gang Initiative) did not seem to have plans for comparison groups at the time of our review. Another (Parents Anonymous) anticipates using a comparison group, but as yet had not developed specific plans for one.

#### Data Collection Problems Could Compromise Some Results

Regardless of the quality of a program evaluation design, data collection problems can compromise the validity of findings. Data collection problems may affect the validity of the findings for three of the five evaluations that are currently completing or have completed data collection. The Juvenile Mentoring Program evaluation has experienced problems obtaining behavioral measures and school performance data with which to gauge program-driven change. The Comprehensive Gang Initiative evaluation has also experienced data collection problems such as the lack of fully adequate comparison youth data at all or most sites, missing police histories, and missing self-reported data.

The Intensive Aftercare evaluation has experienced survey response rate shortfalls, in some cases obtaining response rates of less than 30 percent, which may affect the validity of the findings. In commenting on a draft of this report, the Assistant Attorney General said that the poor response rates for some elements at different sites were particularly disappointing because this evaluation had a strong random assignment design; however, the strategies for obtaining adequate data turned out to be insufficient. She

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added that the program staff who were required to collect data did not give data collection adequate priority in comparison to their other duties. This was particularly true of data regarding the comparison groups.

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## OJJDP Has Funded Other Types of Evaluations

In addition to funding impact evaluations of OJJDP programs, OJJDP has funded 24 other evaluations since 1995—11 nonimpact evaluations of OJJDP programs, 9 impact evaluations of programs that were not supported by OJJDP funds, and 4 nonimpact evaluations of programs that were not funded by OJJDP. The nonimpact evaluations are not intended to determine the outcomes of the various programs, but rather how well the programs have been implemented. For example, OJJDP has funded a process evaluation of its SafeFutures program to learn more about the process of community mobilization and collaboration in building a comprehensive program of prevention and intervention for at-risk youths and juvenile offenders.

OJJDP has also funded evaluations of programs that are funded by entities other than OJJDP. For example, although OJJDP does not fund the Act Now Truancy Program, it has funded a nonimpact evaluation of this program. The Act Now Truancy Program grew out of a unique Arizona law that allowed prosecutors to issue citations to parents whose children were chronically truant. Because there was a great deal of interest in this approach and OJJDP believed it provided a unique opportunity to learn about the impact of an unusual approach, it funded an evaluation of the program. Appendix VIII contains brief descriptions of these 24 other evaluations.

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## Conclusions

Although there is great interest in assessing results of programs, it is extremely difficult to design and execute evaluations that will provide definitive information. Our in-depth review of 10 OJJDP-funded evaluations of OJJDP's own programs undertaken since 1995 has shown that, in some cases, the flexibility that can be beneficial to grantees in tailoring programs to meet their communities' needs has added to the complexities of designing impact evaluations that will result in valid findings. Furthermore, the lack of an appropriate comparison group or sites and/or problems in data collection may compromise the reliability and validity of some of these evaluations. Because half of these 10 evaluations are in relatively early stages, any potential problems with comparison group issues or data collection shortfalls could still be resolved over the course of the evaluation. We recognize that not all evaluation issues that can compromise results are resolvable, including

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many involving comparison groups and data collection. However, to the extent that appropriate comparison groups can be established and tracked and data collection issues can be overcome, the validity of the evaluation results can be enhanced.

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## Recommendation for Executive Action

Our review of the recent OJJDP program evaluations has shown that, of the five that are in or near their final stages, some problems with valid comparison groups and/or data collection could compromise the usefulness of some of their results. Five other program evaluations are in a formative stage where comparison group issues and data collection strategies are not yet finalized. Accordingly, we recommend that the Attorney General direct the Administrator of OJJDP to assess the five impact evaluations in the formative stages to address potential comparison group and data collection problems and, on the basis of that assessment, initiate any needed interventions to help ensure that the evaluations produce definitive results.

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## Agency Comments and Our Evaluation

We provided a copy of this report to the Attorney General for review and comment. In an October 15, 2001 letter, the Assistant Attorney General commented on a draft of this report. Her comments are summarized below and are presented in their entirety in appendix IX. Her detailed comments have been addressed in the report as appropriate.

The Assistant Attorney General said that the draft report provides useful information that highlights areas warranting attention. She added that the draft report would be an important tool that OJP will use to improve the quality of its evaluations and to design programs that will achieve greater impact. Furthermore, OJP will assess the five impact evaluations that are currently in their formative stages to address potential comparison group and data collection problems. On the basis of that assessment, OJJDP will initiate any needed interventions to help ensure that evaluations produce definitive results.

The Assistant Attorney General said that OJP agrees that it should always strive for more rigorous and scientifically sound evaluation designs and that the inclusion of comparison groups would certainly strengthen the interpretation of evaluation results. However, she disagreed with our reliance on the use of comparison groups as the only valid evaluation design for two primary reasons. First, OJJDP seeks to conduct juvenile justice evaluations in a real-world setting, where laboratory-like comparison groups may not be possible. Second, sufficient funding is not

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available for including comparison groups in every evaluation. The Assistant Attorney General also said that given the choice between conducting far fewer evaluations, all with comparison groups, and conducting a greater number of evaluations under less-than-ideal conditions, OJJDP's Research and Program Development Division works hard to tread a middle ground that satisfies needs for both quality and quantity. She further pointed out that a growing number of policy makers and evaluators firmly believe that community-based initiatives do not lend themselves to the kind of traditional evaluations that this draft report proposes. Accordingly, some researchers have strongly urged that new approaches to evaluation be developed.

In addition, the Assistant Attorney General said that our report suggests that more evaluations using experimental or quasi-experimental evaluation designs should be funded. She added that many communities reject participation in programs that are evaluated in this way (i.e., with control or comparison groups) because they feel that it requires them to purposely exclude youths from receiving services.

In her comments, the Assistant Attorney General seemed to be using the terms "comparison group" and "control group" interchangeably. However, control groups are commonly associated with experiments involving random assignment. We do not intend our statements regarding the need for comparison groups in impact evaluations to imply that random assignment is necessary for studies to be valid. Furthermore, we recognize that groups can be compared after controlling for differences by methods other than random assignment, including statistical methods and various methods of matching. For impact evaluations, comparisons should be made, and should involve individuals who were not subject to the program or treatment being evaluated. However, not all the evaluations we assessed made such comparisons.

We also recognize that not all evaluation issues that can compromise results are resolvable, even with the use of comparison groups. We also recognize that designing evaluations with comparison groups can be expensive and funding limitations could preclude their use in all evaluations. In addition, obtaining participants can be troublesome, as the Assistant Attorney General pointed out. However, the validity of evaluation results can be enhanced through establishing and tracking comparison groups. If other ways exist to effectively isolate the impacts of a program, comparison groups may not be needed. However, we saw no evidence of other methods being used in the 10 impact evaluations we assessed. While studies that do not have appropriate comparison groups



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can provide useful information, they should not be considered impact evaluations. Furthermore, we recognize the fact that communities may not favor withholding treatments or programs from individuals in control or comparison groups, however, this problem is commonly handled by phasing in the treatment or program and offering it to comparison group members following the evaluation period.

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As we agreed with your office, unless you publicly announce the contents of this report earlier, we plan no further distribution of it until 30 days from the date of this letter. At that time, we will send copies to the Senate Judiciary Committee, the Senate Subcommittee on Youth Violence, the House Committee on Education and the Workforce, the House Subcommittee on Early Childhood, Youth and Families, the Attorney General, and the Director of the Office of Management and Budget.

If you or your staff have any questions about this report, please contact James M. Blume or me at (202) 512-8777. Key contributors to this report are acknowledged in appendix X.

Sincerely yours,

A handwritten signature in black ink that reads "Laurie E. Ekstrand". The signature is written in a cursive style with a large, stylized initial "L".

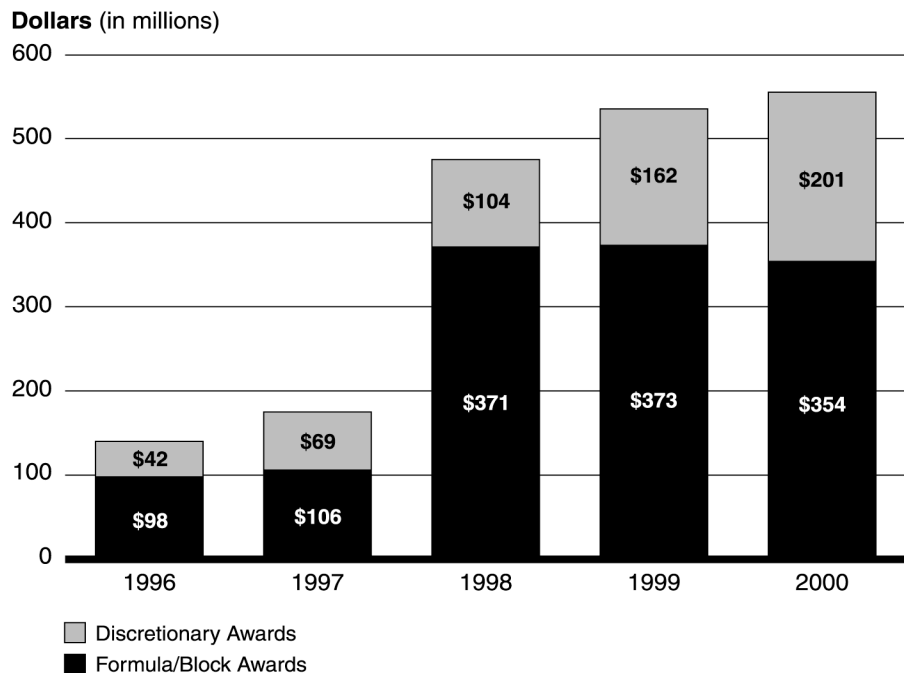
Laurie E. Ekstrand  
Director, Justice Issues

# Appendix I: OJJDP Awards Data, Fiscal Years 1996 Through 2000

This appendix provides information on the awards the Office of Juvenile Justice and Delinquency Prevention (OJJDP) made each year from fiscal years 1996 through 2000. It contains data on OJJDP funds awarded to formula/block grant programs versus discretionary grant programs (see fig. 2), OJJDP funds awarded by more specific program areas (see table 3), types of OJJDP award recipients (see table 4), and OJJDP formula/block grant awards by state (see table 5).

We relied on the Office of Justice Program’s (OJP) awards database to analyze data on all OJJDP-administered awards made during this 5-year period. We analyzed awards by the year the award was made—not the year in which the funds were appropriated. We worked with OJJDP officials to identify awards by major program or program area, as the database did not provide sufficiently detailed information. OJP officials advised us that they perform daily quality control checks on all data entered into their database, however, we did not verify the accuracy of the database.

**Figure 2: OJJDP Formula/Block Grants Versus Discretionary Grant Awards, Fiscal Years 1996 Through 2000**



Note: Dollar amounts are rounded to the nearest million.

Source: GAO analysis of OJP database.

**Appendix I: OJJDP Awards Data, Fiscal Years  
1996 Through 2000**

**Table 3: OJJDP Funds Awarded by Program Area, Fiscal Years 1996 Through 2000**

<b>Program area</b>	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>	<b>FY 1999</b>	<b>FY 2000</b>
<b>Formula/block grant programs</b>					
Formula Grants Program	\$68,795,296	\$77,469,250	\$92,069,600	\$74,468,599	\$69,699,750
State Challenge Activities	9,352,900	10,363,264	9,726,800	9,011,429	8,227,500
Community Prevention Grants Program (Title V)	19,762,000	18,368,000	18,707,000	39,921,000	36,158,000
Enforcing the Underage Drinking Laws Program (block grant component)	a	a	18,360,000	17,640,000	19,080,000
Juvenile Accountability Incentive Block Grants Program	a	a	232,250,000	232,250,000	221,094,775
<b>Discretionary grant programs</b>					
<b>National Institute for Juvenile Justice and Delinquency Prevention<sup>p</sup></b>					
Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders	900,730	900,055	1,835,597	1,842,240	2,640,000
Causes and Correlates of Delinquency Research	299,999	900,000	599,999	600,000	750,000
Statistics and Systems Development Program	349,978	249,996	449,998	549,923	649,996
Other research, statistics, evaluation, information dissemination, and training and technical assistance grants	12,382,088	15,689,329	21,566,738	40,816,294	42,783,923
<b>Demonstration and replication programs</b>					
Comprehensive Gang Initiative	2,349,597	2,848,881	3,224,480	2,249,742	1,149,498
Rural Gang Initiative	a	a	215,000	1,112,754	1,474,473
SafeFutures	2,159,950	5,540,000	4,715,979	9,462,844	10,829,102
Community Assessment Centers	a	1,074,552	1,699,992	125,000	875,000
Juvenile Mentoring Program (JUMP)	a	9,688,488	3,363,281	21,059,220	5,760,000
Partnerships to Reduce Juvenile Gun Violence Program	a	551,060	1,050,230	1,299,975	799,996
Enforcing the Underage Drinking Laws Program (discretionary grant component)	a	a	6,608,019	2,344,986	6,272,003
Drug-Free Communities Support Program	a	a	8,903,433	19,039,326	29,677,581
Truancy Reduction Demonstration Program	a	a	a	693,849	711,328
Tribal Youth Program	a	a	a	a	8,252,019
Other demonstration and replication grants	7,070,330	8,846,421	17,178,085	26,309,408	24,058,149
<b>Missing and Exploited Children Program</b>					
National Clearinghouse and Resource Center for Missing and Exploited Children	3,294,648	4,576,640	7,585,000	8,925,000	19,490,263
Missing and Exploited Children Training & Technical Assistance program	a	3,448,575	1,749,803	1,848,947	1,949,741
Internet Crimes Against Children Task Force Program	a	a	2,351,829	199,997	8,486,056
Other missing and exploited children grants	1,189,639	1,488,935	1,759,887	978,356	2,074,318
<b>Child Abuse and Neglect Program</b>					
Court Appointed Special Advocate Program	6,040,000	5,904,400	7,062,100	9,034,200	9,796,000
Children's Advocacy Centers	3,199,856	3,099,914	5,691,000	4,733,000	5,824,302

**Appendix I: OJJDP Awards Data, Fiscal Years  
1996 Through 2000**

<b>Program area</b>	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>	<b>FY 1999</b>	<b>FY 2000</b>
Model Courts Program	742,500	984,100	1,964,900	2,108,097	2,109,200
Safe Start Initiative	<sup>a</sup>	<sup>a</sup>	<sup>a</sup>	<sup>a</sup>	8,038,573
Other child abuse and neglect grants	1,725,000	3,199,878	4,838,152	6,508,938	6,499,976
<b>Total</b>	<b>\$139,614,511</b>	<b>\$175,191,738</b>	<b>\$475,526,902</b>	<b>\$535,133,124</b>	<b>\$555,211,522</b>

Note: Award amounts are not adjusted for de-obligated funds, except in cases in which an entire award was de-obligated and later re-awarded, as occurred in rare instances of formula/bock grant awards.

<sup>a</sup>Either the program did not receive an appropriation or OJJDP did not award funds.

<sup>b</sup>Awards listed under this subheading comprise a variety of research, statistics, evaluation, information dissemination, and training and technical grants. However, the funds awarded under this subheading do not represent a comprehensive accounting of all such activities funded by OJJDP. In some cases these activities are accounted for under other subheadings. For example, the Missing and Exploited Children Training and Technical Assistance award, which is primarily a training and technical assistance grant, is listed under the Missing and Exploited Children's Program. Also, evaluations for many of the demonstration and replication programs are accounted for under their respective programs, rather than under the National Institute for Juvenile Justice and Delinquency Prevention. In commenting on a draft of this report, the Assistant Attorney General pointed out that combining training and technical assistance funding under the National Institute of Justice and Delinquency Prevention does not highlight the importance of training and technical assistance. Although we recognize the importance of training and technical assistance, OJP's awards database did not readily lend itself to identifying all training and technical assistance—either awards or portions of awards—because they are part of many programs across OJJDP divisions.

Source: GAO analysis of OJP database.

**Table 4: OJJDP Award Recipients, Fiscal Years 1996 Through 2000**

<b>Recipients</b>	<b>FY 1996</b>		<b>FY 1997</b>		<b>FY 1998</b>		<b>FY 1999</b>		<b>FY 2000</b>	
	<b>Amount awarded</b>	<b>%<sup>a</sup></b>	<b>Amount awarded</b>	<b>%<sup>a</sup></b>	<b>Amount awarded</b>	<b>%</b>	<b>Amount awarded</b>	<b>%<sup>a</sup></b>	<b>Amount Awarded</b>	<b>%<sup>a</sup></b>
State governments	\$98,854,634	71	\$109,350,562	62	\$377,103,675	79	\$377,819,401	71	\$369,196,062	67
Local governments <sup>b</sup>	2,584,003	2	7,230,243	4	13,534,664	3	18,766,350	4	27,078,615	5
Schools <sup>c</sup>	4,936,373	4	14,425,127	8	18,292,717	4	20,926,891	4	34,975,373	6
Nonprofit organizations	32,289,708	23	41,026,686	23	60,476,935	13	106,044,793	20	109,431,488	20
Other <sup>d</sup>	949,793	1	3,159,120	2	6,118,911	1	11,575,689	2	14,529,984	3
<b>Total</b>	<b>\$139,614,511</b>	<b>100</b>	<b>\$175,191,738</b>	<b>100</b>	<b>\$475,526,902</b>	<b>100</b>	<b>\$535,133,124</b>	<b>100</b>	<b>\$555,211,522</b>	<b>100</b>

<sup>a</sup>Percentages may not total 100 due to rounding.

<sup>b</sup>Local governments include county governments, cities, townships, and special district governments.

<sup>c</sup>Schools include independent school districts and state and private institutions of higher education.

<sup>d</sup>Other includes for-profit organizations, individuals, Indian tribes, and other miscellaneous categories.

Source: GAO analysis of OJP database.

**Appendix I: OJJDP Awards Data, Fiscal Years  
1996 Through 2000**

**Table 5: OJJDP Formula/Block Grant Awards, by State, Fiscal Years 1996 Through 2000**

State	Funds awarded				
	FY 1996	FY 1997	FY 1998	FY 1999	FY 2000
Alabama	\$1,424,000	\$1,648,900	\$5,896,400	\$5,855,300	\$5,638,100
Alaska	787,500	832,500	2,822,300	2,839,800	2,594,200
Arizona	1,502,000	1,821,000	6,197,500	6,714,900	6,327,800
Arkansas	869,000	1,014,500	4,222,700	4,432,700	4,222,100
California	11,440,000	13,417,100	37,575,000	37,547,300	36,119,800
Colorado	1,279,000	1,497,000	5,579,400	5,649,200	5,474,219
Connecticut	1,017,000	1,197,000	4,744,200	4,824,300	4,612,400
Delaware	787,500	829,500	2,133,100	3,469,600	2,726,200
District of Columbia	788,546	187,500	1,785,400	1,778,000	1,699,100
Florida	4,302,000	5,144,000	15,440,600	15,631,200	15,089,600
Georgia	2,467,000	2,907,000	9,432,800	9,534,600	9,188,600
Hawaii	787,500	860,500	2,984,800	3,402,400	3,096,800
Idaho	787,500	869,500	3,280,000	3,388,200	3,264,700
Illinois	3,605,000	1,626,064	17,824,400	14,320,800	12,886,850
Indiana	1,942,000	2,269,000	7,615,300	7,608,129	7,304,900
Iowa	961,000	1,106,000	4,446,700	4,641,700	4,438,300
Kansas	909,000	1,057,000	4,316,400	4,517,200	4,360,300
Kentucky	278,000	0	4,117,800	5,117,100	6,659,600
Louisiana	1,553,900	1,816,100	6,518,200	6,317,100	6,010,400
Maine	787,500	859,500	2,965,650	3,027,850	3,076,500
Maryland	1,665,000	1,941,000	6,751,400	6,678,100	6,418,700
Massachusetts	1,537,500	893,000	7,789,450	7,375,900	7,035,600
Michigan	5,572,000	3,808,000	11,800,200	11,613,500	11,207,319
Minnesota	1,636,000	1,899,000	6,592,150	6,604,300	6,312,800
Mississippi	997,000	857,000	4,902,400	4,736,500	4,327,600
Missouri	1,797,000	2,088,000	7,169,800	7,188,300	6,835,700
Montana	787,500	843,500	2,957,900	2,619,400	3,223,100
Nebraska	664,500	910,500	3,558,900	3,700,700	3,563,000
Nevada	795,500	888,500	3,481,600	3,695,300	3,630,700
New Hampshire	637,500	1,006,500	3,133,550	3,192,800	3,089,400
New Jersey	2,546,000	2,996,000	7,096,000	7,676,900	9,528,200
New Mexico	830,500	939,500	3,739,300	3,884,500	3,748,900
New York	5,815,000	6,798,000	19,858,900	19,779,400	18,544,600
North Carolina	2,260,000	2,693,000	8,924,300	9,016,600	8,746,900
North Dakota	787,500	827,500	2,779,400	2,766,400	2,682,900
Ohio	3,763,000	4,363,000	13,101,700	13,060,100	9,405,700
Oklahoma	1,160,000	1,340,000	5,102,900	5,170,600	4,946,500
Oregon	1,027,000	1,217,000	4,809,400	4,934,700	3,769,500
Pennsylvania	3,821,000	4,439,000	13,292,600	13,163,000	12,471,600
Rhode Island	787,500	843,500	2,965,000	2,992,300	2,905,700

**Appendix I: OJJDP Awards Data, Fiscal Years  
1996 Through 2000**

<b>State</b>	<b>Funds awarded</b>				
	<b>FY 1996</b>	<b>FY 1997</b>	<b>FY 1998</b>	<b>FY 1999</b>	<b>FY 2000</b>
South Carolina	1,240,000	1,427,000	5,319,300	5,166,300	4,938,550
South Dakota	787,500	100,000	2,013,500	1,993,800	1,921,300
Tennessee	1,710,000	1,999,000	6,897,100	6,905,800	5,332,000
Texas	6,910,000	8,165,000	23,614,200	24,006,200	22,961,500
Utah	885,000	1,030,000	4,281,400	4,518,500	4,372,000
Vermont	787,500	822,500	2,717,300	2,711,200	2,626,619
Virginia	2,113,000	2,460,000	8,155,800	8,205,799	7,794,800
Washington	1,856,000	2,164,000	7,362,500	7,433,800	6,784,350
West Virginia	810,500	899,500	3,497,100	3,590,800	3,432,100
Wisconsin	1,755,000	2,045,000	6,538,150	7,368,750	6,621,600
Wyoming	0	0	1,933,950	1,836,800	1,759,100
American Samoa	148,000	133,000	617,391	601,962	472,248
Guam	115,000	192,000	842,350	841,700	807,800
Northern Mariana Islands	148,000	151,000	381,959	381,738	370,552
Puerto Rico	1,367,750	1,917,000	5,856,900	5,854,100	5,548,800
Republic of Pulau	15,000	21,350	4,300	0	0
Virgin Islands	100,000	123,000	1,374,700	1,407,100	1,331,818
<b>Total</b>	<b>\$97,910,196</b>	<b>\$106,200,514</b>	<b>\$371,113,400</b>	<b>\$373,291,028</b>	<b>\$354,260,025</b>

Source: GAO analysis of OJP database.

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# Appendix II: OJJDP's Process for Disseminating Published Products, Including Interim Results of Impact Evaluations

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The Office of Juvenile Justice and Delinquency Prevention (OJJDP) has a process for disseminating published interim results of impact evaluations as well as other publications produced by OJJDP and its grantees. OJJDP publications are available through the Juvenile Justice Clearinghouse.<sup>1</sup> According to an OJJDP official, OJJDP develops a specific strategy for each publication that includes the number of copies to be printed, the methods for announcing availability, and the target audience that will automatically receive copies. OJJDP promotes products through the *National Criminal Justice Reference Service (NCJRS) Catalog*, OJJDP's *Juvenile Justice* journal, the NCJRS and OJJDP Web sites, e-mail lists, the Office of Justice Programs press announcements, conference displays, criminal/juvenile justice newsletters and journals, and flier mailings. Almost all of OJJDP's publications are made available to the public through OJJDP's Web sites, which is administered by the Juvenile Justice Clearinghouse. Many publications, depending on their length, are also available through the Clearinghouse's fax-on-demand service. Individuals can also order copies of publications online or by calling the Clearinghouse's toll-free number. In addition, the Clearinghouse automatically sends publications to targeted constituents (e.g., juvenile justice policymakers, practitioners, researchers, and community-based organizations) and to individuals who have registered to receive publications based on their specific areas of interest.

As of May 2001, OJJDP had used this dissemination process to share interim results from 5 of the 10 ongoing impact evaluations<sup>2</sup> of OJJDP programs that we assessed.<sup>3</sup> In total, OJJDP had distributed over 400,000 copies of 9 products that contained interim results from the 5 evaluations. Table 6 provides additional information on the distribution of these publications.

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<sup>1</sup> OJJDP established the Juvenile Justice Clearinghouse to provide individuals and organizations easy access to information and resources on juvenile justice topics. The Clearinghouse is a component of NCJRS, a federally-sponsored information clearinghouse that offers a range of services including online newsletters, access to publications by partner agencies, and a calendar of upcoming conferences. Its federal sponsors include the Office of Justice Programs (including OJJDP) and the Office of National Drug Control Policy. NCJRS maintains a Web site where publications by OJJDP and other federal sponsors can be accessed.

<sup>2</sup> Although these interim results were based on data collected from impact evaluations, they did not necessarily comprise impact results.

<sup>3</sup> These 10 impact evaluations were ongoing as of April 2001.

**Appendix II: OJJDP's Process for  
Disseminating Published Products, Including  
Interim Results of Impact Evaluations**

**Table 6: Dissemination of Published Products With Interim Results of Impact Evaluations, as of May 2001**

<b>Program</b>	<b>Product<sup>a</sup></b>	<b>Automatic mailing<sup>b</sup></b>	<b>Other distribution<sup>c</sup></b>	<b>Other availability</b>
Juvenile Mentoring Program (JUMP)	Juvenile Mentoring Program: 1998 Report to the Congress (Report, December 1998).	41,000	7,100	Online
	Juvenile Mentoring Program: A Progress Review (Bulletin, September 2000).	44,000	7,000	Online Fax-on-demand
	FY 2000 OJJDP Discretionary Program Announcement: Juvenile Mentoring Program (Solicitation, March 2000).	63,700	9,000	Online Fax-on-demand
Comprehensive Gang Initiative	Gang-Free Schools and Communities Initiative: FY 2000 OJJDP Discretionary Program Announcement (Solicitation, July 2000).	48,700	6,700	Online Fax-on-demand
	Youth Gang Program and Strategies (Summary, August 2000).	45,000	2,500	Online
Intensive Aftercare	Implementation of the Intensive Community-Based Aftercare Program (Bulletin, July 2000).	32,100	2,500	Online Fax-on-demand
	Reintegrating Juvenile Offenders Into the Community: OJJDP's Intensive Community-Based Aftercare Demonstration Program (National Institute of Justice Research Preview, December 1998).	Not available	664	Online Fax-on-demand
Partnerships to Reduce Juvenile Gun Violence Program	Fighting Juvenile Gun Violence (Bulletin, September 2000).	44,000	2,300	Online Fax-on-demand
Enforcing the Underage Drinking Laws Program	OJJDP Research 2000 (Report, May 2001).	46,000	1,366	Online
<b>Total</b>		<b>364,500</b>	<b>39,130</b>	

<sup>a</sup>Full citation information for these products is contained in the bibliography.


<sup>b</sup>"Automatic mailing" refers to publications disseminated to targeted and registered individuals and groups. The Juvenile Justice Clearinghouse maintains 290 targeted mailing lists of key constituents that include criminal/juvenile justice policymakers, practitioners, researchers, and community-based organizations. In addition, individuals can register with the Clearinghouse to automatically receive information based on their specific areas of interest.

<sup>c</sup>"Other distribution" refers to orders for specific publications. Anyone can order a publication by calling the toll-free line or using the NCJRS or OJJDP Web site.

Source: OJJDP.



# Appendix III: Categorical Assistance Progress Report Form

 <b>U.S. DEPARTMENT OF JUSTICE</b> Office of Justice Programs <b>CATEGORICAL ASSISTANCE PROGRESS REPORT</b>		
The information provided will be used by the grantor agency to monitor grantee cash flow to ensure proper use of Federal funds. No further monies or other benefits may be paid out under this program unless this report is completed and filed as required by existing law and regulations (Uniform Administrative Requirements for Grants and Cooperative Agreements — 28 CFR, Part 66, Common Rule, and OMB Circular A-110).		
1. GRANTEE	2. AGENCY GRANT NUMBER	3. REPORT NO.
4. IMPLEMENTING SUBGRANTEE	5. REPORTING PERIOD (Dates) FROM: TO:	
6. SHORT TITLE OF PROJECT	7. GRANT AMOUNT	8. TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> FINAL REPORT <input type="checkbox"/> SPECIAL REQUEST
9. NAME AND TITLE OF PROJECT DIRECTOR	10. SIGNATURE OF PROJECT DIRECTOR	11. DATE OF REPORT
12. COMMENCE REPORT HERE. (Continue on plain paper)		
13. CERTIFICATION BY GRANTEE (Official signature)		14. DATE

OJP FORM 4587/1 (REV. 2-90)

**INSTRUCTIONS FOR COMPLETING OJP CATEGORICAL ASSISTANCE PROGRESS REPORTS**

Grantees are required to submit Progress Reports on project activities and accomplishments. It is expected that reports will include data appropriate to this stage of project development and in sufficient detail to provide a clear idea and summary of work and accomplishments to date. The following should be observed in preparation and submission of progress reports:

- a. **Due Date.** Reports are due on a semi-annual basis as follows  

<b>Reporting Period:</b>	<b>Due Not Later Than:</b>
Jan 1-June 30	July 30
July 1-Dec 31	Jan 30

A final report is due 90 days following the close of the grant period or any extension thereof.
- b. **Submission.** Grantees shall submit to OJP Office of the Comptroller an original and one copy of quarterly progress reports and an original and three copies of final progress reports. Reports should be mailed to:  

Office of Justice Programs  
Office of the Comptroller / Control Desk  
810 Seventh Street, NW  
Washington, DC 20531
- c. **Form and Execution.** Grantees should use OJP Form 4587/1 as a face sheet. If continuation pages are needed, plain bond paper is to be used. The report is to be signed by the person designated as project director on the grant application or any duly designated successor.
- d. **Reporting Requirements.** The reporting requirements are intended to provide the grantor agency with sufficient information to monitor grant implementation and goal achievement. To support effective monitoring, progress reports must be keyed to the grant implementation plan provided in Part IV of the grant application. Specifically, the report should:
  - 1. Indicate the status of each goal which was due for completing during a previous report quarter but carried over due to implementation or other problems.
  - 2. State the status of each goal scheduled to be achieved during the report period.
  - 3. State the corrective action planned to resolve implementation problems and state the effect of these problems on the remaining schedule for achieving remaining project goals.
  - 4. If appropriate, identify changes needed in the implementation plan specified in Parts III and IV of the grant application to overcome problems. Changes which alter plans and/or goals set forth in Part III or IV of the application require prior grantor agency approval and the issuance of a Grant Adjustment Notice.
  - 5. State what technical assistance the grantor agency might provide during the coming quarter to help resolve implementation problems. If technical assistance has been provided to resolve implementation problems, state the problems (or tasks) addressed and the results (or impact) of the assistance provided.
  - 6. Based on the performance measures in the grant application (implementation plan), indicate in quantitative terms the results (of the project) achieved both during the reporting period and cumulative-to-date. Explanatory and qualifying statements will be helpful here, especially if project objectives have changed.
- e. **Special Requirements.** Special reporting requirements or instructions may be prescribed for categorical projects in certain program or experimental areas to better assess impact and comparative effectiveness of the overall categorical grant program. These will be communicated to affected grantees by the agency.

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the U. S. Department of Justice, Office of Justice Programs, 810 Seventh Street, N.W., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503. Do NOT send completed Progress Reports to OMB.

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# Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information

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Twice a year, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) grantees are required to complete a Categorical Assistance Progress Report—a narrative report that is to include a summary of the status of their particular projects' goals, quantitative project results based on performance measures set forth in their grant applications, actions planned to resolve any implementation problems, and any technical assistance they might need. In 8 of the 16 major programs we reviewed, grantees received only this general guidance, and were not subject to any additional reporting requirements. In the other eight programs we reviewed, grantees were required to follow this standard guidance and, in addition, report more specific information. Grantees in all 16 programs reported input, output, and/or outcome data related to the process, implementation, and/or accomplishments of their projects, such as acquisition of additional funding for a project evaluation, the number of project participants, or the number of missing children recovered.

Table 7 provides summary information on the eight programs in which grantees are not subject to additional reporting requirements and examples from grantees' progress reports. Table 8 provides similar information regarding the other eight programs in which grantees are additionally required to report specified data to OJJDP or outside evaluators, as well as the specific performance measures on which grantees are required to report. Unless otherwise noted, the examples of reported information represent individual grantee or subgrantee data<sup>1</sup> for a 6-month period. Information provided regarding the specific data on which grantees are required to report do not necessarily include all performance data required.

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<sup>1</sup> Examples from OJJDP's five formula/block grant programs were typically reported at the subgrantee or community level.

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

**Table 7: Eight Programs GAO Reviewed With General Reporting Requirements Only**

<b>Program name</b>	<b>Active grantees (FY2000)</b>	<b>Program description</b>	<b>Examples of information reported by grantee(s) per general requirements</b>
State Challenge Activities	52	This program, established in 1992 under Title II, Part E of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended, provides incentive grants to states to improve their juvenile justice system. States must use funds to develop, adopt, or improve policies in 10 specified challenge activity areas, including (1) basic system services, (2) access to counsel, (3) community-based alternatives, (4) violent juvenile offender facilities, (5) gender-specific policies and programs, (7) state ombudsman, (8) deinstitutionalization of status offenders, (9) alternatives to school suspension and expulsion, and (10) aftercare services/state agency coordination/case review system. To receive these grants, states must also participate in the Title II, Part B Formula Grants Program. States may subaward State Challenge Activities funds to communities.	<ul style="list-style-type: none"> <li>• Implemented an aftercare program for state wards returning to their community that provided community reintegration services including counseling, employment readiness services, family mediation, and weekly check-in and monitoring programs.</li> <li>• Hired a disproportionate minority confinement coordinator.</li> <li>• Home visitation research contract delayed due to paperwork complications.</li> <li>• Held weekly meetings with female juveniles identified by the court to receive counseling and support through a gender-specific services program.</li> <li>• Selected and made subaward to private provider with experience in developing intake services for youths cited by law enforcement with a focus on preventing unnecessary placement in attendant care or detention.</li> <li>• Provided quarterly training to all case management staff on more rapidly and successfully returning youths in state custody from out-of-home placement into community and in-home placement.</li> </ul>
Community Prevention Grants Program (Title V)	54	This program funds collaborative, community-based delinquency prevention efforts. The program integrates six fundamental principles—comprehensive and multidisciplinary approaches, research foundation for planning, community control and decision making, leveraging of resources and systems, evaluation to monitor program effectiveness, and a long-term perspective—that combine to form a strategic approach to reducing juvenile delinquency.	<ul style="list-style-type: none"> <li>• Exceeded goal of providing career exploration and training on work awareness skills to 150 high school students.</li> <li>• Trained 11 students to become mentors.</li> <li>• Provided substance abuse education to six middle school girls.</li> <li>• Experienced difficulties starting a delinquency prevention program to develop self-esteem and reduce inappropriate school behavior in at-risk seventh-grade students.</li> <li>• Hired two outreach workers to work with elementary and junior high schools.</li> <li>• Created an instructional video on quality daycare issues and distributed it to parents and the community.</li> <li>• Enrolled and “graduated” 13 children in a 6-week kindergarten preparation class.</li> </ul>
Juvenile Accountability Incentive Block Grants Program	54	The Congress established this formula grant program in 1997 to promote greater accountability among juveniles who are involved in the juveniles justice system. To qualify for funds, states must demonstrate a commitment to increasing such accountability. Funds are allocated to states based on their relative population of youths under age 18, and states must pass on at	<ul style="list-style-type: none"> <li>• Hired a case manager to monitor attendance and grades of juveniles in a youthful offender program.</li> <li>• A local office declined to participate in the mentoring program and the subgrantee is considering alternative participants.</li> <li>• Completed a study of achieving a system of graduated sanctions within the state.</li> <li>• Enrolled 30 youths in a juvenile drug testing program and performed 52 drug screens.</li> </ul>

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

Program name	Active grantees (FY2000)	Program description	Examples of information reported by grantee(s) per general requirements
		<p>least 75 percent of their funds to local governments, absent a waiver. Funds can be used for 12 program purpose areas.</p>	<ul style="list-style-type: none"> <li>• Expanded a drug abuse program for juveniles referred to the court to include a second group involving both parents and juveniles. To date, the project has held 3 groups of 6-week classes.</li> <li>• No juveniles completed a 6-week intensive educational program for substance abuse during the reporting period because of problems starting the program.</li> <li>• The placement of a full-time police officer at a high school was delayed due to problems involving the officer's training.</li> <li>• Contracted with a part-time prosecutor to assist full-time prosecutor with juvenile pre-trial and trial services, including compiling case information, preparing witnesses, and tracking cases. The part-time prosecutor works an average of 25 cases per week. In total, about 234 cases have been handled.</li> <li>• Experienced difficulties in recruiting a data analyst due to problems with applicants meeting the minimum requirements.</li> </ul>
Enforcing the Underage Drinking Laws Program (block grant component)	51	<p>The block grant component of the Enforcing the Underage Drinking Laws Program helps states and the District of Columbia develop comprehensive and coordinated efforts to enforce state laws that prohibit the sale of alcoholic beverages to minors and to prevent the purchase or consumption of alcoholic beverages to those under age 21. Grantees may use funds to support activities in one or more of three priority areas, including (1) law enforcement and prosecution efforts that target establishments suspected of selling alcohol to minors; (2) public advertising campaigns to educate businesses and youths about the prohibitions against illegal alcohol sales and purchases; and (3) other innovative programs to prevent and combat underage drinking.</p>	<ul style="list-style-type: none"> <li>• Formed 15 youth task groups in order to examine the community norms and messages that young people get regarding alcohol.</li> <li>• Placed billboards to educate the public about alcohol use in 20 communities for 4 weeks.</li> <li>• Produced a 60-second radio spot aimed at preventing underage alcohol use.</li> <li>• Trained 20 community teams about prevention approaches to reduce underage drinking.</li> <li>• Established a support position to improve coordination and communication between enforcement, prevention, and treatment systems.</li> <li>• Held a full-day conference for established task force groups.</li> <li>• Experienced implementation problems due to problems with students' schedules and limitations of the school year schedule.</li> <li>• The local public television station worked with a youth task force group to design and film a 1-hour documentary about underage drinking.</li> </ul>
Enforcing the Underage Drinking Laws Program (discretionary grant component) <sup>a</sup>	23	<p>The discretionary grant component of the Enforcing the Underage Drinking Laws Program provides grants to states and territories to support the block grant component of the same program. Its purpose is to expand the number of communities taking a comprehensive approach to the problem of underage drinking, with an emphasis on increasing law enforcement activity regarding the sale of alcohol to minors. States that receive</p>	<ul style="list-style-type: none"> <li>• Three communities developed a compliance check database form to be used by law enforcement agencies.</li> <li>• Requested technical assistance for a 1-day training session for local coalitions on environmentally-based activities.</li> <li>• Published two reports on status of underage drinking in targeted community.</li> <li>• Held two advisory committee meetings.</li> <li>• Implemented new diversion program for underage alcohol violators and achieved a 32-percent success rate for youths completing the program.</li> </ul>

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

Program name	Active grantees (FY2000)	Program description	Examples of information reported by grantee(s) per general requirements
		these competitive awards select between two and eight diverse jurisdictions as subgrantees.	<ul style="list-style-type: none"> <li>• Experienced difficulty in bringing one subgrantee on board; the subgrantee has not yet attended any planning sessions.</li> <li>• Four communities hired part-time program coordinators.</li> <li>• Conducted six monthly conference calls with four communities.</li> <li>• Youth coalition placed 4,000 warning stickers on alcoholic beverages in 13 stores.</li> <li>• Youth coalition designed placemats containing underage drinking facts and figures for restaurant and grocery store distribution.</li> <li>• Published two newsletters.</li> <li>• Was not able to hold banquet recognizing top 100 businesses that had discouraged underage alcohol sales due to preparation demands of an anti-alcohol youth conference.</li> <li>• Arranged for more than 700 youths to sign a pledge not to drink.</li> </ul>
Tribal Youth Program	81	Under this discretionary award program, federally recognized Tribes can apply for funds to (1) reduce, control, and prevent crime both by and against tribal youths; (2) provide interventions for court-involved tribal youths; (3) improve tribal juvenile justice systems; and (4) provide prevention programs focusing on alcohol and drugs. The program is intended to provide a flexible funding stream for tribes.	<ul style="list-style-type: none"> <li>• Began keeping juvenile crime data for future analysis of whether targeted reductions have been achieved.</li> <li>• Drafted court diversion protocol.</li> <li>• Identified tribal judges and court clerks.</li> <li>• Experienced set-backs in establishing four functional tribal courts to deal with juvenile crime for reasons including the resignation of the general counsel and competing demands of the commercial and subsistence fishing season.</li> <li>• Reported conferences and training events attended.</li> <li>• Met with state representatives about possible transfers of cases from state to tribal court.</li> <li>• Began identifying courtroom equipment needs and researching purchases.</li> <li>• Obtained examples of tribal juvenile codes.</li> <li>• Taught conflict resolution skills to families upon request.</li> <li>• Suffered a set-back in reducing cases of misbehavior and rules violations in the schools because the community truancy officer resigned and had not yet been replaced.</li> <li>• Referred five youths for counseling as a result of conflict resolution curriculum presented in schools.</li> </ul>
Model Courts Program <sup>b</sup>	1	This program awards one earmarked <sup>c</sup> grant annually to the National Council of Juvenile and Family Court Judges to provide training and technical assistance to 23 “model courts” around the nation that process child abuse and neglect cases. The program’s goal is to design and deliver technical	<p>Information reported by grantee through progress reports:</p> <ul style="list-style-type: none"> <li>• Made 31 on-site staff visits to model courts.</li> <li>• Held 96 national, regional, state, and local training events for nonmodel court jurisdictions.</li> <li>• Supported the establishment of two model courts.</li> <li>• Trained 9,729 model court and nonmodel court</li> </ul>

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

Program name	Active grantees (FY2000)	Program description	Examples of information reported by grantee(s) per general requirements
National Clearinghouse and Resource Center for Missing and Exploited Children <sup>e</sup>	1	The National Center for Missing and Exploited Children (NCMEC) is the national resource center and clearinghouse dedicated to missing and exploited children's issues. By law, NCMEC is to (1) establish a toll-free hotline, (2) provide information on free or low-cost transportation for missing children and their families, (3) coordinate programs that reunite missing children with their families, (4) disseminate information that benefits missing and exploited children, and (5) provide training and technical assistance to law enforcement and other agencies.	<p>personnel.</p> <ul style="list-style-type: none"> <li>• Distributed 17,818 technical assistance bulletins.</li> <li>• Conducted 134 telephone consultations.</li> <li>• Distributed 2,341 resource packets.</li> </ul> <p>Information reported by grantee through annual status report:<sup>d</sup></p> <ul style="list-style-type: none"> <li>• Reported one court reduced its caseload of 58,000 abused and neglected children in 1995 (prior to program implementation) to 27,001 children in 1999.</li> <li>• Reported one court reduced the average length of abuse and neglect complaint cases from 3.5 years in court year 1998 to 2.4 years in court year 1999.</li> <li>• Reported one court established a child protection division with two judges who hear all child protection cases.</li> <li>• Following this change, the average case length (from petition to adjudication) for one section of the division dropped from 140 days to between 29 and 41 days.</li> </ul> <ul style="list-style-type: none"> <li>• Upgraded toll-free hotline.</li> <li>• Received 24,983 hotline calls.</li> <li>• Assisted in recovering 1,610 missing children.</li> <li>• Described missing children cases in which NCMEC assisted.</li> <li>• Distributed 5,306 pictures of missing children.</li> <li>• Described public awareness campaigns.</li> <li>• Trained 1,708 law enforcement and health care personnel.</li> <li>• Described joint projects with other agencies.</li> <li>• Completed 48 age progressions of photographs.</li> <li>• Received 5,291 child pornography tips online, and 492 tips through the hotline.</li> <li>• Described technical assistance provided to other agencies.</li> </ul>

<sup>a</sup>This program was established in fiscal year 1998 under the name Combating Underage Drinking.

<sup>b</sup>OJJDP has emphasized to the single grantee for this program that it should include quantitative performance data in its progress reports, but did not prescribe the specific indicators on which the grantee must report.

<sup>c</sup>Earmarked grants are those for which the Congress sets aside a specified amount for an identifiable grantee and/or a specific authorized purpose.

<sup>d</sup>The grantee chooses to provide performance data regarding model court activities and accomplishments in an annual status report that is available to nonmodel courts and to the general public.

<sup>e</sup>Although the grantee in this program is only required to submit progress reports semiannually, it chooses to submit progress reports on a quarterly basis. Examples presented in this table were excerpted from a recent quarterly progress report.

Source: GAO analysis of OJJDP and grantee data.

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

**Table 8: Eight Programs GAO Reviewed With Specific Reporting Requirements and General Reporting Requirements**

<b>Program name</b>	<b>Active grantees (FY2000)</b>	<b>Program description</b>	<b>Specific data required from and reported by program grantee(s)</b>	<b>Examples of information reported by grantee(s) per general requirements</b>
Formula Grants Program	54	OJJDP has administered this program since 1975. The program provides funds to help states, U.S. territories, and the District of Columbia implement a comprehensive state juvenile justice plan based on a detailed study of needs to support state and local delinquency prevention and intervention efforts and juvenile justice system improvements. To be eligible for a formula grant, a state must designate an agency to prepare a 3-year plan, establish a State Advisory Group, and commit to complying with the four core requirements of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended.	<p>Grantees (states) must report data including but not limited to the following:</p> <ul style="list-style-type: none"> <li>• Number of accused status offenders and nonoffenders held in any secure detention or correctional facility for more than 24 hours.</li> <li>• Number of accused status offenders and nonoffenders securely detained in any adult jail, lockup, or nonapproved collocated facility for any period of time.</li> <li>• Number of accused status offenders and nonoffenders placed in facilities not near their home, not the least restrictive appropriate alternative, and not community-based.</li> <li>• Number of juvenile offenders and nonoffenders not separated from adult criminal offenders in facilities used for secure detention and confinement of both juveniles and adults.</li> <li>• Number of juveniles detained in collocated facilities not approved by the state that were not sight and sound separated from adult criminal offenders.</li> </ul>	<ul style="list-style-type: none"> <li>• For 21 youths involved in a truancy abatement program, school attendance increased by an average of 89 percent.</li> <li>• A runaway youth program provided counseling to 129 runaway youths and their families; of 57 cases closed, 86 percent of youths returned to home, a friend, or a relative.</li> <li>• Discontinued a violence prevention curriculum for middle and high school students and a conflict resolution training program for eighth-grade students due to the programs' lack of effectiveness.</li> <li>• Twenty-six status offenders and their families participated in family counseling activities that focused on parenting skills, communication, and prosocial behaviors.</li> <li>• A mentoring program has continued to have difficulty in recruiting appropriate mentors.</li> <li>• Enrolled 40 youths pending adjudication and/or disposition in home detention programs in lieu of incarceration, shelter, or detention placement.</li> <li>• Despite efforts, was unable to gather and analyze data on youths participating in a tutoring program due to a lack of school system cooperation.</li> </ul>
Comprehensive Gang Initiative	2	This program assists community coalitions in implementing and testing the comprehensive gang model—a collection of strategies aimed at the prevention, intervention, and suppression of youth gang crime and violence. The model requires communities to assess local gang problems, identify key risk factors among youths, develop program plans, and	<ul style="list-style-type: none"> <li>• Number of juveniles served.</li> <li>• Age, sex, and income level of participating youths.</li> <li>• School participation and academic performance for participating youths.</li> <li>• Criminal activity, gang activity, drug use, and alcohol use by participating youths.</li> <li>• Project staff's perceptions of the seriousness of gang and nongang problems in</li> </ul>	<ul style="list-style-type: none"> <li>• Received university grant to fund local project evaluation.</li> <li>• Developed action team to address problem of female gang members.</li> <li>• Project youths were not participating in tattoo removal program; project staff need to better promote benefits of tattoo removal.</li> <li>• Recruited five new community leaders to join project.</li> <li>• Held biweekly staff meetings to discuss progress of participating</li> </ul>



**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

Program name	Active grantees (FY2000)	Program description	Specific data required from and reported by program grantee(s)	Examples of information reported by grantee(s) per general requirements
		<p>evaluate program outcomes. Coalitions focus on five core strategies: community mobilization, academic and economic opportunities, social intervention, gang suppression, and organizational change and development.</p>	<p>the community.</p> <ul style="list-style-type: none"> <li>Nature and frequency of services provided to youths and families.</li> <li>Youth workers' (probation officers, case workers) perceptions of the effectiveness of services provided to youths and families.</li> </ul>	<p>youths.</p> <ul style="list-style-type: none"> <li>Inadequate staffing levels caused delays in processing higher than expected numbers of youth referrals and prevented project expansion to additional neighborhoods.</li> <li>Revised staff procedures for delivering and coordinating warrants.</li> <li>Recruited 25 girls for selected projects.</li> </ul>
Rural Gang Initiative	4	<p>A spin-off of the Comprehensive Gang Initiative that adapts the comprehensive gang model to rural communities. Two sites have incorporated the full version of the model and two sites follow a modified version of the Comprehensive Gang Initiative.</p>	<ul style="list-style-type: none"> <li>Aggregated demographic data for community (unemployment rates, education attainment, race).</li> <li>Community attitude data (community's perception of gang problem).</li> <li>Youth attitude data (perceptions about gang-involved youths from at-risk youths).</li> <li>Law enforcement crime data (data on nature of criminal gang activity in community—number of assaults, property crimes, etc.)</li> <li>Community resource data (inventory of services available to gang and community members—e.g., conflict resolution, individual counseling, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Experienced delay in hiring a project coordinator and outreach staff due to a lack of qualified applicants; project is preparing for second recruitment effort.</li> <li>Developed steering committee composed of representatives from community organizations involved with youths.</li> <li>Attended training on implementation of the comprehensive gang model.</li> <li>Located and rented a building to house project staff.</li> <li>Insufficient staff to follow up on court orders against targeted youths who were at-risk for joining a gang.</li> <li>In the process of forming an intervention team composed of law enforcement, school, and social services personnel.</li> <li>Hired a gang crime specialist.</li> <li>Computer failure prevented police department from providing crime data.</li> </ul>
Juvenile Mentoring Program (JUMP)	175	<p>JUMP provides one-to-one mentoring for youths at risk of delinquency, gang involvement, educational failure, or dropping out of school. Awards are made to local educational agencies or private or nonprofit agencies that have clearly defined relationships with local schools. Grantees must conduct thorough background checks on volunteer mentors to ensure a safe environment</p>	<p>Youth information:</p> <ul style="list-style-type: none"> <li>Demographic information, such as age, gender, and ethnicity.</li> <li>Living situation.</li> <li>Medical or mental health problems.</li> <li>Total number of school absences.</li> </ul> <p>Mentor information:</p> <ul style="list-style-type: none"> <li>Demographic information such as age, gender, and ethnicity.</li> <li>Reason for becoming</li> </ul>	<ul style="list-style-type: none"> <li>Exceeded goal of matching 50 at-risk girls with mentors.</li> <li>Mentors and mentees participated in classes highlighting other cultures.</li> <li>Retained 50 percent of mentors from the previous year.</li> <li>Experienced problems with parents who were unwilling to complete project requirements, such as interviews and home visits.</li> <li>Continued to recruit mentors from local businesses.</li> </ul>

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

<b>Program name</b>	<b>Active grantees (FY2000)</b>	<b>Program description</b>	<b>Specific data required from and reported by program grantee(s)</b>	<b>Examples of information reported by grantee(s) per general requirements</b>
		for each child. JUMP also emphasizes projects that are established in communities where 60 percent or more of the youths qualify to receive a free or reduced-price lunch.	<ul style="list-style-type: none"> <li>involved in the mentoring program.</li> <li>Highest education completed.</li> <li>Previous mentoring experience.</li> </ul>	<ul style="list-style-type: none"> <li>Twenty out of 26 mentors who responded to a survey said the program met their expectations and 23 said they would participate again.</li> <li>Twenty-five youths dropped out of a project.</li> </ul>
SafeFutures	6	This program, based on OJJDP's comprehensive strategy model, targets communities that have already begun to reform their juvenile care systems. Program goals include developing a full range of graduated sanctions, ensuring community safety, and providing treatment services for juveniles. Communities use one grant to tap into nine OJJDP program components (e.g., juvenile mentoring, aftercare, mental health, delinquency prevention, gang programs, etc.)	<ul style="list-style-type: none"> <li>Demographic data (age, race, sex) for youth participants.</li> <li>Family/household characteristics (employment, number of family members, number of juveniles/adults living at home, school history, family rules) for youth participants.</li> <li>Self-reported data by youth participants (neighborhood characteristics, gang affiliation, number of delinquent acts, characterization of family relationships, drug and alcohol abuse, emotional problems, participation in project activities, drug and alcohol abuse by family members).</li> </ul>	<ul style="list-style-type: none"> <li>Developed and submitted applications for additional funding.</li> <li>Experienced problems providing substance abuse treatment services due to the lack of a full-time, trained substance abuse counselor.</li> <li>Hired a new local evaluator.</li> <li>Referred 249 juveniles for direct services and care coordination.</li> <li>Completed 13 community service projects involving 394 students and families.</li> <li>Experienced problems implementing a mentoring program—i.e., recruiting mentors, retaining matches, and motivating mentors to attend sessions.</li> <li>Continued coordination between law enforcement agencies on gang intelligence resulted in the arrest of two arson suspects.</li> <li>Installed a computer system to track gang members and gang-related activities in the community.</li> </ul>
Drug-Free Communities Support Program	307	This program is intended to increase citizen participation and strengthen community anti-drug coalition efforts to reduce substance abuse among youths in communities throughout the United States and, over time, to reduce substance abuse among adults.	<ul style="list-style-type: none"> <li>Number of organizations represented on the grantee's coalition.</li> <li>Types of organizations represented on the coalition.</li> <li>Number of individuals who are coalition members.</li> <li>Number of youths, parents, and community leaders who are coalition members.</li> <li>Number of recruitment activities held.</li> <li>Steps taken to engage members in drug prevention planning.</li> <li>Activities sponsored by the coalition.</li> <li>Number of participants in activities.</li> </ul>	<ul style="list-style-type: none"> <li>Exceeded goal of 100 community organizations participating in workshops.</li> <li>Produced anti-smoking commercial.</li> <li>Invited health professionals to a strategic planning meeting.</li> <li>Staff worked with drug-free clubs.</li> <li>Hired first full-time staff.</li> <li>Printed quarterly newspaper.</li> <li>Distributed 20,000 copies of a family resource directory.</li> <li>Experienced low attendance at a strategic planning meeting.</li> <li>Provided drug prevention education to 78 after-school detention students.</li> </ul>

**Appendix IV: Descriptions of OJJDP Programs, Reporting Requirements, and Examples of Reported Information**

<b>Program name</b>	<b>Active grantees (FY2000)</b>	<b>Program description</b>	<b>Specific data required from and reported by program grantee(s)</b>	<b>Examples of information reported by grantee(s) per general requirements</b>
Internet Crimes Against Children Task Force Program	50	This program encourages communities to develop regional, multi-jurisdictional, and multi-agency responses to online enticement and child pornography cases. These task forces provide forensic, prevention and investigative assistance to parents, law enforcement, prosecutors, educators, and other professionals working on child victimization issues.	<p>Grantees in this program must complete a monthly performance measures report that collects information including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Number of arrests.</li> <li>• Number of child pornography producer cases.</li> <li>• Number of child pornography seller cases.</li> <li>• Number of search warrants.</li> <li>• Number of subpoenas.</li> <li>• Number of referrals from other agencies.</li> <li>• Number of law enforcement personnel trained.</li> <li>• Number of presentations given to students, parents, teachers, citizens or the media.</li> </ul>	<ul style="list-style-type: none"> <li>• Provided summaries of 24 cases during the reporting period.</li> <li>• Hired a child victim service specialist.</li> <li>• Achieved goal of implementing training seminars for local, states and federal law enforcement officers.</li> <li>• Acquired necessary equipment for investigating online offenders such as desktop and laptop computers, cameras, and investigative software.</li> <li>• Made presentations on Internet safety to teachers, parents, community groups, and school-age children.</li> </ul>
Children's Advocacy Centers	5	This program provides training and technical assistance to local children's advocacy centers and promotes their expansion nationwide. Children's advocacy centers coordinate law enforcement and protective services responses to victims of child abuse through multi-disciplinary teams. Under this program four regional centers and one national association provide training and technical assistance to local centers; the national association also awards subgrants to local centers for training, program development, and other purposes.	<p>Training and technical assistance grantees are required to report on:</p> <ul style="list-style-type: none"> <li>• Number of training sessions conducted.</li> <li>• Number of practitioners trained.</li> <li>• Number of technical assistance requests filled.</li> <li>• Number of consultations (on-site, electronic, telephone) provided.</li> <li>• Number of publications developed and distributed.</li> </ul> <p>National grantee is required to report subgrantee data on:</p> <ul style="list-style-type: none"> <li>• Number of new and developing local centers.</li> <li>• Number of on-site monitoring visits.</li> <li>• Number of grant applications approved.</li> <li>• Type of grants approved (program development, program support, training, and state chapter).</li> </ul>	<p>Training and technical assistance grantees:</p> <ul style="list-style-type: none"> <li>• Finalized a diversity plan to ensure that children receive services in a culturally appropriate setting.</li> <li>• Experienced difficulties agreeing on research methods to evaluate the children's advocacy centers' impact on case outcomes.</li> <li>• Developed a "multidisciplinary team development" curriculum.</li> <li>• Identified and provided assistance to underserved rural communities.</li> </ul> <p>National grantee:</p> <ul style="list-style-type: none"> <li>• Reviewed subgrantees' biannual reports on activities held during the reporting period.</li> <li>• Unexpected resignation of grants coordinator hampered data collection efforts and the awarding and processing of grants.</li> <li>• Approved 409 applications for subgrants and notified recipients.</li> <li>• Surveyed local accredited centers and found that 49,350 juveniles had been served during the reporting period.</li> </ul>

Source: GAO analysis of OJJDP, grantee, and evaluator data.

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# Appendix V: Training and Technical Assistance and Research Performance Data Reported by OJJDP Grantees

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The Office of Juvenile Justice and Delinquency Prevention's (OJJDP) training and technical assistance programs and research programs are unique in that they cut across many of OJJDP's other programs. Also, grantees<sup>1</sup> in each of these two areas typically report the same types of quantitative performance data as other grantees in their area, even though OJJDP does not usually prescribe the specific performance measures on which the grantees should report. Training and technical assistance grantees maintain the same types of data due to the common support services they provide, and research grantees do the same because they share a common goal of producing research products.

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## Performance Data for Training and Technical Assistance Grantees

OJJDP awards grants to training and technical assistance providers to support grantees in many of OJJDP's grant programs. OJJDP administers the vast majority of its training and technical assistance grants through three of the Office's divisions: (1) the Training and Technical Assistance Division (TTAD), (2) the State and Tribal Assistance Division (STAD), and (3) the Child Protection Division (CPD).<sup>2</sup> Many of the training and technical assistance providers are required to report information on their projects' activities and accomplishments semiannually using OJP's Categorical Assistance Progress Report form, as do all OJJDP grantees.<sup>3</sup> OJP provides standard guidance on information to be reported, such as information on the status of each of the grantees' project goals and quantitative results of their projects. STAD has not imposed additional or more specific reporting requirements on its training and technical assistance providers and, for the most part, neither have TTAD<sup>4</sup> nor CPD.<sup>5</sup>

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<sup>1</sup> OJJDP awards grants, cooperative agreements, and contracts to training and technical assistance providers, and award grants and cooperative agreements to research providers. Officials commonly refer to all of these as "grants" and to all award recipients as "grantees."

<sup>2</sup> In commenting on a draft of this report, the Assistant Attorney General noted that these divisions do not always provide the same types of services.

<sup>3</sup> All training and technical assistance providers that receive grants are required to complete progress reports. Providers that are under contract or have cooperative agreements with OJJDP must also report on their accomplishments, but not necessarily through a progress report. Often, they are required to report their activities on a monthly basis.

<sup>4</sup> In commenting on a draft of this report, the Assistant Attorney General noted that TTAD requires Juvenile Accountability Incentive Block Grants Program grantees to submit monthly reports. These grantees comprise approximately one-fifth of all TTAD grantees and account for approximately \$5 million annually.

Officials explained that OJJDP does not require all grantees to routinely report prescribed data because it is reluctant to place additional reporting requirements on grantees due to the Paperwork Reduction Act of 1995,<sup>6</sup> which set goals to reduce the federal government’s reporting and paperwork burden. Although most of these providers are not subject to additional reporting requirements for prescribed data, it is not unusual for them to report on the same or similar quantitative performance measures. Because of the nature of the services they provide, training and technical assistance providers tend to maintain like data that can readily be counted, such as numbers of training events held, practitioners who attended those events (“practitioners trained”), and technical assistance requests filled. Some of these providers also produce publications or materials, such as bulletins, surveys, curricula, brochures, and other support materials, and report such information to OJJDP. Table 9 summarizes performance data we obtained regarding training and technical assistance grants.<sup>7</sup>

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<sup>5</sup> CPD has prescribed additional, specific reporting requirements for providers in two of its programs—the Children’s Advocacy Centers and the Missing and Exploited Children Training and Technical Assistance program—such as reporting the number of training events held.

<sup>6</sup> The Paperwork Reduction Act applies to identical reporting requirements imposed on 10 or more parties. CPD’s training and technical assistance providers that have specific reporting requirements are not affected by the Act since they involve less than 10 providers.

<sup>7</sup> We attempted to obtain fiscal year 2000 data from all grantees; however, in some cases OJJDP provided calendar year 2000 or fiscal year 2001 data due to a lack of available or representative data. Because we obtained publications data that pertained only to some of the grantees, we did not include such information in the table. For example, State Challenge Activities training and technical assistance providers reported producing 10 bulletins in fiscal year 2001 and Juvenile Accountability Incentive Block Grant providers reported that in fiscal year 2000 they developed or were developing 628 supportive materials, such as reports, curricula, and newsletters.

**Appendix V: Training and Technical Assistance and Research Performance Data Reported by OJJDP Grantees**

**Table 9: Training and Technical Assistance Performance Data Reported by OJJDP Grantees**

<b>Division/program supported</b>	<b>Training events</b>	<b>Practitioners trained</b>	<b>Technical assistance requests filled<sup>a</sup></b>
<b>Training and Technical Assistance Division (FY2000)</b>			
Juvenile Accountability Incentive Block Grants Program	227	13,816	1,374
Life Skills Training <sup>b</sup>	64	858	16
National Training and Technical Assistance Center <sup>c</sup>	<sup>d</sup>	<sup>d</sup>	329
Other programs <sup>e</sup>	<sup>f</sup>	36,000	1,633 <sup>g</sup>
<b>State and Tribal Assistance Division (FY2001)<sup>h</sup></b>			
Community Prevention Grants Program (Title V)	55	2,171	4
Formula Grants Program	10	1,148	265
State Challenge Activities	2	69	71
Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders	76	2,252	232
<b>Child Protection Division (Calendar Year 2000)</b>			
Children's Advocacy Centers	183	10,939	6,501 <sup>i</sup>
Court Appointed Special Advocate Program	194	5,312	21,323
Model Courts Program	161	42,537	401
Permanency Planning	124	38,888	4,264
Prosecutor Training	<sup>f</sup>	9,300	1,800
Parents Anonymous	3	149	<sup>f</sup>
Missing and Exploited Children Training and Technical Assistance program <sup>j</sup>	68	2,950	<sup>f</sup>

<sup>a</sup>Data can include the number of in-depth, on-site visits and/or the number of responses to telephone and e-mail requests.

<sup>b</sup>Data for this program were from the academic year 2000-2001, which roughly corresponds with fiscal year 2001.

<sup>c</sup>The Center receives requests from the field for technical assistance, which it then fills in-house or refers to other technical assistance providers. In fiscal year 2000, it either filled or referred 329 requests for technical assistance. The Center does not provide direct training to the field.

<sup>d</sup>Not applicable.

<sup>e</sup>Data reported from 19 other training and technical assistance grantees.

<sup>f</sup>Data not available.

<sup>g</sup>Reflects the number of communities that received technical assistance.

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**Appendix V: Training and Technical Assistance and Research Performance Data Reported by OJJDP Grantees**

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<sup>h</sup>At the suggestion of OJJDP officials responsible for the following programs, data for the Community Prevention Grants Program are prorated from the first 9 months of the fiscal year, training and technical assistance data for State Challenge Activities are prorated from the first 8 months of the fiscal year, and data for the Comprehensive Strategy for Serious, Violent, and chronic Juvenile Offenders are prorated from the first 6 months of the fiscal year.

<sup>i</sup>Includes data from the national grantee and three of the four regional grantees.

<sup>j</sup>Data are for fiscal year 2000.

Source: GAO analysis of OJJDP and grantee data.

OJJDP officials cautioned that not all providers share common definitions of “training” and “technical assistance.”<sup>8</sup> For one thing, the difference between the two is not always clear and, therefore, it is sometimes difficult to definitively categorize a provided service as training versus technical assistance. Furthermore, not all training events are equal. For example, some providers might characterize both a 1-day training conference and a 10-day training workshop as a training event; others might differentiate between the two. Furthermore, one provider might consider a telephone request from a grantee as merely a query, while another might consider it a request for technical assistance.

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## Performance Data for Research Grantees

OJJDP administers its research grants out of its Research and Program Development Division (RPDD).<sup>9</sup> RPDD sponsors empirical studies on an array of topics related to juveniles and delinquency, from the causes of violence to the impact of victimization. The overall goal of these research grants is to generate credible and useful information to help prevent and reduce juvenile delinquency and victimization. Research grantees are not only expected to collect data but to analyze and disseminate their analyses to the public. RPDD requires all research grantees to produce publishable products and, in some instances, RPDD specifies the type of products to be published depending on the results of the research. Thus, according to OJJDP officials, one measure of a research grantee’s performance is the number of products the grantee has published.

Like most OJJDP grantees, research grantees must report information on their projects’ activities and accomplishments semiannually through

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<sup>8</sup> In commenting on a draft of this report, the Assistant Attorney General pointed out that TTAD published the *Training, Technical Assistance, and Evaluation Protocols* booklet 2 years ago, which defined both training and technical assistance.

<sup>9</sup> Some grants administered through other OJJDP divisions have a research component, but they are not considered “research grants.”

progress reports. RPDD does not impose additional, specific reporting requirements on grantees, but it does encourage them to report on products produced through private publishers (as opposed to those published through OJJDP).<sup>10</sup> The division director told us that it is not necessary to impose specific requirements on grantees in addition to the semiannual progress report requirements because officials work closely with grantees throughout the life of the grants.

OJJDP research grantees produce products based on their OJJDP-funded research. Some of these products are approved and published by OJJDP, who in turn disseminates the products through its own distribution process (see app. II for a description of OJJDP's product dissemination process). Grantees also publish many products that are based on their OJJDP-funded research through private publishers. OJJDP officials told us they give their research grantees latitude to privately publish products because the majority of their research grantees are academics whose funding depends on the number of products they publish, and because grantees often have funding sources in addition to OJJDP.

Tables 10 and 11 summarize the products that active OJJDP research grantees published through OJJDP and private publishers as a direct result of OJJDP-funded research. Table 10 describes the number of research products published by OJJDP from 1993 through September 2000, by topic. Table 11 shows the number of products, by topic, that grantees with active research grants privately published between 1986 and June 2001, or were in the process of publishing in June 2001.

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<sup>10</sup> Officials told us that they ask grantees to submit products for review prior to external publication, but often grantees do not do this. In the past, grant applicants have turned down funding when it was contingent on OJJDP's review of privately published products, citing the importance of academic freedom. Also, grantees oppose submitting external products to OJJDP prior to publication because many academic journals will not publish research findings that have been reviewed or disseminated prior to submission.



**Appendix V: Training and Technical Assistance and Research Performance Data Reported by OJJDP Grantees**

**Table 10: Active OJJDP Grantees' Research Products, Published by OJJDP**

Topic	Summaries	Reports	Fact sheets	Bulletins
Aftercare (post-detention)	2	1	1	3
Causes and Correlates of Delinquency <sup>a</sup>	1	2	4	6
Crimes against juveniles	0	0	0	7
Delinquency prevention	1	5	1	6
Detention/corrections	3	2	7	2
Gangs	5	0	4	8
Juvenile courts	1	3	9	4
Juvenile health	0	1	1	2
Juvenile justice system reform	1	2	0	2
Juvenile offenders	3	3	5	10
School safety	0	2	0	0
Other	0	1	1	0
<b>Total</b>	<b>17</b>	<b>22</b>	<b>33</b>	<b>50</b>

Note: Table includes some products published as a result of OJJDP evaluation and statistics grants.

<sup>a</sup>This topic is comprised of products from Causes and Correlates of Delinquency grants. In commenting on a draft of this report, the Assistant Attorney General noted that these products can be categorized under a number of the topics listed.

Source: GAO analysis of OJJDP data.

**Table 11: Active OJJDP Grantees' Research Products, Published Externally**

Topic	Journal articles	Book chapters	Other publications <sup>a</sup>
Causes and Correlates of Delinquency <sup>b</sup>	57	43	17
Crimes against juveniles	12 <sup>c</sup>	6	2
Delinquency prevention	0	0	2
Detention/corrections	3	0	0
Gangs	13 <sup>d</sup>	9	2
Juvenile courts	5	1	1
Juvenile health	51 <sup>e</sup>	5	7
Juvenile offenders	3	0	2
School safety	16	0	4
Other	0	0	5
<b>Total</b>	<b>160</b>	<b>64</b>	<b>42</b>

Note: Table includes some products published as a result of OJJDP evaluation and statistics grants.

<sup>a</sup>Includes books, reports, and other publications.

<sup>b</sup>This topic is comprised of products from Causes and Correlates of Delinquency grants. In commenting on a draft of this report, the Assistant Attorney General noted that these products can be categorized under a number of the topics listed.

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**Appendix V: Training and Technical  
Assistance and Research Performance Data  
Reported by OJJDP Grantees**

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<sup>6</sup>Includes one paper submitted but not yet accepted for publication.

<sup>4</sup>Includes one paper presented at an academic conference.

<sup>8</sup>Includes three papers submitted but not yet accepted for publication.

Source: GAO analysis of OJJDP and grantee data.

# Appendix VI: States' Compliance With Core Requirements of the Juvenile Justice and Delinquency Prevention Act of 1974

**Table 12: State-Reported Compliance with Core Requirements, Calendar Year 1998**

Core requirements	Number of jurisdictions	Jurisdictions <sup>a</sup>
<b>Deinstitutionalization of status offenders</b>		
Full compliance – zero violations	9	ME, MT, NY, VT, AS, GU, MP, PR, VI
Full compliance – de minimis exceptions <sup>b</sup>	39	AL, AK, AR, CA, CO, CT, DE, DC, FL, GA, HI, ID, IL, IN, IA, KS, KY, LA, MD, MA, MN, MO, NE, NV, NH, NM, NC, ND, OK, OR, PA, RI, TX, UT, VA, WV, WI
Not in compliance	4	MS, SC, TN, WA
Funds withheld pending additional compliance data	2	NJ, OH
Not participating	2	SD, WY
<b>Separation of juvenile and adult offenders</b>		
Full compliance – zero violations	41	AL, AZ, AR, CA, CO, CT, DE, DC, FL, IL, IN, KS, KY, ME, MD, MA, MI, MN, MO, MT, NE, NV, NH, NM, NC, ND, OK, OR, PN, RI, SC, UT, VT, VA, WA, WI, AS, GU, MP, PR, VI
Full compliance – exception provision	11	AL, GA, HI, ID, IA, LA, MS, NY, TN, TX, WV
Funds withheld pending additional compliance data	2	NJ, OH
Not participating	2	SD, WY
<b>Jail and lockup removal</b>		
Full compliance – zero violations	11	AL, DC, NC, OR, SC, VT, AS, GU, MP, PR, VI
Full compliance – de minimis exceptions	38	AZ, AR, CA, CO, CT, DE, FL, GA, HI, ID, IN, IA, KS, KY, LA, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NM, NY, ND, OK, PA, RI, TN, TX, UT, VA, WA, WV, WI
Not in compliance	3	AK, IL, ME
Funds withheld pending additional compliance data	2	NJ, OH
Not participating	2	SD, WY
<b>Disproportionate minority confinement<sup>c</sup></b>		
Completed identification and assessment, implementing intervention and monitoring	21	AR, CO, CT, FL, GA, ID, IN, IA, LA, MO, NV, NC, ND, OK, PA, SC, TN, UT, VA, WA, WV
Completed identification and assessment, implementing intervention	15	AK, AZ, HI, IL, KS, MD, MA, MI, MN, NE, NM, NY, RI, TX, WI
Completed identification and assessment/updating data and revising intervention plan	2	CA, DE
Completed identification/implementing intervention/conducting formal assessment	3	AL, MS, MT
Conducting identification phase	1	NH
Exempt from requirement	7	ME, VT, AS, GU, MP, PR, VI
Status under review	5	DC, KY, NJ, OH, OR
Not participating	2	SD, WY

Note: OJJDP based its initial determination of states' eligibility to receive fiscal year 2000 Formula Grants on 1998 monitoring reports—the most recent data available as of March 2001.

<sup>a</sup>AS = American Samoa; GU = Guam; MP = Northern Mariana Islands; VI = Virgin Islands.

<sup>b</sup>Fewer than 29.4 violations per 10,000 persons under age 18 in the state.

<sup>c</sup>States reported data on disproportionate minority confinement in their fiscal year 2000 comprehensive plans for compliance.

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# Appendix VII: Impact Evaluations OJJDP Has Funded of Its Own Programs

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This appendix contains information on the 10 impact evaluations that the Office of Juvenile Justice and Delinquency Prevention (OJJDP) has funded of its own programs since 1995 and for which we have assessed the methodological rigor, as well as information on one impact evaluation—Teen Courts—that we did not assess. Five of the 10 evaluations are in their formative stages, and five are well into their implementation. For each of the 10, we have included a description of the program being assessed, the evaluating organization, a description of the evaluation and its findings, and our assessment of the evaluation.<sup>1</sup> As discussed in the Scope and Methodology section of this report, we did not assess the methodological rigor of the Teen Courts evaluation. However, we have included a summary of this evaluation at the end of this appendix.<sup>2</sup>

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## Impact Evaluations of OJJDP Programs in Their Formative Stages

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### Parents Anonymous

**Program Description:** Parents Anonymous is a national child abuse prevention program that began in 1970. It consists of 32 state and local organizations and over 1,000 weekly mutual support groups. The principal participants are at-risk parents, though complementary projects exist for children. The cornerstones of the program are mutual support and shared leadership.

**Evaluator:** National Council on Crime and Delinquency.

**Evaluation description:** This evaluation, which is in the beginning stages, is based on a proposal to conduct a process evaluation in year 1, and an outcome evaluation in years 2 and 3. The researchers will determine how Parents Anonymous is staffed and operated in different settings, how it attempts to change the behavior and attitudes of parents, and what factors are related to its effectiveness. While the specifics of an outcome evaluation design are yet to be determined, the researchers

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<sup>1</sup> We relied on documents OJJDP provided to us in April 2001 in assessing the evaluation methodologies and reporting on each evaluation's status.

<sup>2</sup> OJJDP provided us with this evaluation description.

indicate that they will most likely compare the Parents Anonymous participants with a control group and with Parents Anonymous dropouts. The process evaluation received \$300,000 for a 3-year period.

**Evaluation findings:** It is too early in this evaluation to have reported results.

**GAO assessment:** No assessment of the impact evaluation is possible because it has not yet been planned. More fully developed proposals will need to be made to OJJDP to obtain funding for the impact evaluation portion of the study.

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Positive Action Through  
Holistic Education  
(Project PATHE)

**Program Description:** This program replicates and evaluates Project PATHE, which was first implemented in the Charleston County School District in South Carolina between 1980 and 1983. Project PATHE is a comprehensive school-based program that combines services to students who are at elevated risk for developing problem behaviors with school-wide organizational changes intended to improve both school climate and students' behavior. Local educators are encouraged to develop their own (1) explanations for the causes of their schools' violence and behavior problems and (2) specific local objectives and ways to prevent these problems by empowering teachers' decision-making and fostering collaborative and nonhierarchical efforts. For various reasons, the grantee has had difficulty in selecting a school district for the replication. Funding for this effort began in October 1999 with funds provided by the Centers for Disease Control and Prevention.

In commenting on a draft of this report, the Assistant Attorney General pointed out that all funds for this effort come from the Centers for Disease Control and Prevention through an interagency agreement. OJJDP awarded this grant, which the two agencies jointly manage. OJJDP originally identified Project PATHE as an OJJDP-funded program. However, on the basis of the Assistant Attorney General's comments, this program appears to be a non-OJJDP-funded impact evaluation. Since we assessed its methodological rigor, we have included it with the other OJJDP-funded evaluations.

**Evaluator:** Institute of Behavioral Science, University of Colorado.

**Evaluation description:** Although the impact evaluation was expected to be completed in July 2001, it has yet to begin. Original plans called for one school district to be selected for the replication and evaluation. In a

school district, one high school and one middle school would be selected to receive the program, once school principals had been informed and staff surveys had been conducted to determine interest in participating. Comparison schools (one high school and one middle school) in the same district would be selected with similar demographic characteristics of students, levels of problem behaviors, and other unspecified organizational characteristics, as well as a low probability of mounting other school-wide efforts to reduce problem behavior during the study period. Plans are to collect data before and after project implementation. All students and staff in all schools would be surveyed in September and May for 3 consecutive school years. In addition, 200 students from each high school—100 seniors and 100 sophomores—and 200 students from each middle school—100 eighth graders and 100 sixth graders—would be sampled in the first year of the study for followup for 3 years. Each sample is to include 25 students identified as “high risk.” It is not clear, however, how these samples will be selected. Schools are to be visited three times yearly during the study, and school records and teacher ratings of student behavior in each school will be used in establishing differences between the program and comparison schools. Program outcomes are to be selected after determining goals and objectives collaboratively with local school officials. Multivariate statistical analyses, such as logistic regression, are planned. Because of the difficulty in selecting a school district the latest progress report indicates some changes in this design. Agreements have been signed with two school districts (Charleston, SC and Baltimore, MD), instead of one, and plans are to conduct the replication and evaluation in four middle schools (two program and two comparison schools) in each district—high schools have been excluded. The amount of the grant is \$875,000. However, additional funds have been requested.

***Evaluation findings:*** It is too early in this evaluation to have reported results.

***GAO assessment:*** The evaluation, as designed, is basically sound. The variation in program structure and implementation between schools may limit generalizability. While the researchers do suggest awareness of potential problems due to students switching schools, they do not clearly indicate, at this early design stage, how possible contamination will be handled.

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## Rural Gang Initiative

***Program Description:*** The Rural Gang Initiative is a comprehensive strategy to ameliorate gang problems in rural areas. The program was

adapted from the comprehensive gang model, developed at the University of Chicago, and implementation began in two rural areas in fall 2000. The program consists of five elements: community mobilization, opportunities provision, social intervention, suppression, and organizational change and development.

***Evaluator:*** National Council on Crime and Delinquency.

***Evaluation description:*** The impact evaluation of this program began in January 2001 and is expected to be completed in December 2003. It focuses on two of the four sites, Mount Vernon (IL) and Glenn County (CA), that were part of a year-long feasibility study that began in April 1999. The other two sites are not part of the evaluation because they did not fully implement the model.<sup>3</sup> Information will be collected from these two sites on gang-involved youths and youths at-risk of gang involvement, all of whom have participated in the program. However, it is unclear how the youths will be sampled or whether all participants will be included. Data will be obtained from a variety of sources, including interviews, organizational surveys, and administrative data from schools and the justice system. No comparison groups are planned, though the researchers indicate that attempts will be made to collect data that will permit an assessment of alternative explanations for program effects. The researchers plan to collect data before and after program implementation; then they will measure any changes and follow-up with program participants for at least 12 months after their participation in the program. Individual sites are to identify specific program outcomes. Although the researchers have described prospective outcome measures, such as the reduction of gang-related crime and the prevention or reduction of gang involvement, they (1) have not chosen the outcome measures that they will use and (2) have not provided information on the types of statistical analyses planned. However, the evaluation is still in the formative stages. At the time of our review, this evaluation had received \$525,000 in funding.

***Evaluation findings:*** It is too early in this evaluation to have reported results.

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<sup>3</sup> In commenting on a draft of this report, the Assistant Attorney General pointed out that these two sites did not implement the comprehensive gang model because their gang crime problem did not warrant the model's prescribed intervention approach.

**GAO assessment:** It is too early to tell from this evaluation how effective it will be. However, the absence of plans for comparison groups and the lack of specificity regarding any other control mechanisms, make it unclear how program effects will be distinguished from alternative explanations at this stage of the evaluation.

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## Safe Schools/Healthy Students

**Program Description:** The Safe Schools/Healthy Students program has funded 77 school districts nationwide, with grants ranging up to \$3 million, to develop services and activities to promote healthy childhood development and prevent violence and drug abuse. The program also aims to develop greater collaboration and cooperation between communities and schools to enhance their effectiveness in responding to and reducing violence. Each project model is intended to evolve over time.

**Evaluator:** Research Triangle Institute.

**Evaluation description:** This impact evaluation began in October 1999 and data will be collected through the Spring of 2005. School and community-based archival records, surveys of key coalition personnel, teachers, superintendents, principals and other school staff, and teacher behavioral checklists for students in selected grades will be gathered in all 77 school districts. The evaluation will compare data from participating sites with national norms and with similar information from matched nonparticipating (comparison) sites that the researchers surveyed in each of two large, nationally representative studies of school districts. The matching will be based on unspecified socio-demographic characteristics and responses to policy-related questions in the baseline survey. Archival data will be collected yearly over a 5-year period. Survey data will generally be collected at three points in time, about 2 years apart. The survey items will be drawn from established instruments and will provide, in conjunction with the archival or administrative data, information on behavioral outcomes, risk factors and inhibiting factors, and indicators of positive development and mental health. At the time of our review, this evaluation was funded at approximately \$5.6 million.

**Evaluation findings:** It is too early in this evaluation to have reported results.

**GAO assessment:** This evaluation, as designed, is basically sound.



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## Safe Start Initiative

**Program Description:** This demonstration program seeks to prevent and reduce the impact of family and community violence on young children, primarily aged 0 to 6, in up to 12 communities. The program plans to create a comprehensive service delivery system that integrates service providers (in the fields of early childhood education/development, health, mental health, and all manner of prevention, intervention, and treatment programs), law enforcement, legal services, and the courts. It also seeks to improve the access, delivery, and quality of services to children exposed to, and at high risk of, violence. Project sites are to be selected through a competitive grant process. Funding for the program began in October 1999.

**Evaluator:** Caliber Associates.

**Evaluation description:** This evaluation began in May 2000, and is expected to end in September of 2005. The effect of the Safe Start Initiative will be measured within and across all participating communities at both the community and individual levels. Multiple data collection methods, including focus groups, service agency usage logs and documents, and random-digit-dialing telephone surveys, will be used. Plans are to collect data before program implementation and for 4 years after the program begins in each site. Although specific outcome measures have not yet been identified, they are expected to address such areas as agency referral levels and quality of service, increased interagency collaboration, knowledge and perceptions of police and child protective services, rates of child maltreatment, physical injuries, and mental health problems. No comparison communities are to be studied. Analyses are to include regression and time series models. At the time of our review, this initiative had received \$1 million.

**Evaluation findings:** It is too early in this evaluation to have reported results.

**GAO assessment:** The absence of any appropriate comparison communities and the variability in program implementation and components across the 12 study sites will make it difficult to find compelling evidence of program effects.

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## Impact Evaluations of OJJDP Programs Well Into Their Implementation

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### Comprehensive Communitywide Approach to Gang Prevention, Intervention, and Suppression Program (Comprehensive Gang Initiative)

**Program Description:** This program aims, in the five sites in which it is being implemented and evaluated (Mesa and Tucson, AZ; Bloomington, IL; San Antonio, TX; and Riverside, CA) to reduce gang-related crime through five interrelated strategies: community mobilization; provision of social, educational, and economic opportunities; suppression of gang violence; social intervention; and organizational innovation. It involves the collaborative efforts of the police, probation officers, prosecutors, judges, schools, youth agencies, churches, housing authorities, and governmental agencies. It targets youths at strong risk of gang membership and crime, and youths already involved in serious gang crime. The evaluation began in 1995.

**Evaluator:** University of Chicago.

**Evaluation description:** The impact evaluation of the program began in May 1995, and is expected to be completed in April 2002. Each project site is to be matched with a comparison site. In four of the five sites, the program participants and comparison groups were selected from similar gang problem areas within the same city; in the fifth site, a separate comparison community was selected. Between 100 and 115 youths, ages 12 to 21, who were involved in gangs or at risk of involvement, were selected to participate in the program in each site, and between 77 and 134 similar youths in each site were selected for comparison purposes. Neither program nor comparison group youths were selected randomly. A large, complex, communitywide data collection effort is being employed in each site, through a variety of methods and sources, including organizational surveys, youth surveys, reports from service workers, police and school records, local newspaper reports, and census data. Data were to be collected at baseline and after the first and third years of the program. The principal outcomes to be measured are gang crime patterns at the individual, gang, and community levels. The evaluation will also consider changes in opportunities, as well as integration in and alienation from conventional individuals and institutions. A variety of analyses of the data are planned, including time-series analyses and hierarchical linear models. At the time of our review, the evaluation had received approximately \$3 million.

**Evaluation findings:** Preliminary results have been reported for program participants, but not comparison groups. Because of missing data and other problems, reporting deadlines may not be met, and two of the five project sites and associated comparison sites have been deferred from the current analyses.

**GAO assessment:** The evaluation, as designed, is basically sound. However, numerous difficulties in obtaining data threaten parts of the evaluation. Also, the way in which subjects were selected for the study may be problematic, and it is unclear how program and comparison youths were matched within sites.

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## Enforcing the Underage Drinking Laws Program

**Program Description:** Since 1998, 85 communities and 4 colleges in at least 10 states have been awarded subgrants under the discretionary grant component of this program to enforce underage drinking laws. In most states, a diverse group of stakeholders are involved in planning a variety of projects under this program that can include media campaigns, merchant education, compliance checks and other enforcement, youth leadership training, school-based education, and the development of local coalitions and interventions aimed at reducing underage drinking. States and communities are given substantial latitude in planning their projects; interventions are not standardized across communities.

**Evaluator:** Wake Forest University School of Medicine.

**Evaluation description:** The effort to evaluate the discretionary grant component of this program began October 1, 1998, and is expected to be completed December 31, 2001. Data are to be collected—from telephone surveys of police chiefs, sheriffs, and youths in participating communities and matched comparison communities in at least 9 states—before or early on in project implementation and at least 1 year after project initiation. Project sites to be evaluated were initially chosen from all states participating in the program. It is unclear whether these sites are representative of all participating project sites. In the first year, surveys were conducted in 52 participating communities and a similar number of comparison communities. In the second and third years, surveys will be conducted in those same communities and 34 others—17 in each group. The participant and comparison communities were matched on median income, liquor law violations, percentage attending college, and population size. The surveys of the top one or two law enforcement officials in each community will provide information on local law enforcement efforts, including the number of compliance checks

conducted in each year. A small number of youths from each site are to be selected at random for the surveys each year. The youth surveys will obtain data on perceptions of alcohol availability, peer and personal alcohol use, and alcohol-related problem behaviors including binge drinking and drunk driving. At the time of our review, this evaluation had received approximately \$945,000.

**Evaluation findings:** While some demographic data have been reported from the baseline survey, no results have been reported involving program effects.

**GAO assessment:** The researchers suggest aggregating all program communities together and all comparison communities together to diminish community sample size problems, which may mask program effects. In addition, the wide variation allowed in program implementation may compromise the interpretation and generalizability of any findings.

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## Intensive Aftercare

**Program Description:** The Intensive Aftercare program provides intensive supervision and services to serious juvenile offenders for 6 months following their release from secure confinement. The goal is to facilitate reintegration and reduce recidivism. The program was implemented, beginning in June of 1993, by various youth service offices and departments of corrections in four states: Colorado, Nevada, New Jersey, and Virginia. New Jersey was eventually dropped because of implementation problems, so the evaluation of the program is being completed in the other three states.

**Evaluator:** National Council on Crime and Delinquency.

**Evaluation description:** Beginning in 1995, youths entering correctional facilities in the three states (four counties in Colorado including Metropolitan Denver; Clark County, NV; and Norfolk County, VA) were screened for eligibility and randomly assigned, within each site, to the treatment group (whose members participated in the Intensive Aftercare program upon release) or control group. Between 1995 and 1999, 82 youths were assigned to the program and 68 to the control group in Colorado, 120 youths were assigned to the program and 127 to the control group in Nevada, and 75 youths were assigned to the program and 45 to the control group in Virginia. Information was collected for study participants at baseline (that is, upon entry into the institution), before release from the institution (9 to 12 months after baseline, or entry), immediately after completing the program (6 months after release), and 6

months after completing the program (12 months after release). The data collected, using survey instruments, standardized tests, monthly case management forms, and administrative (police and court) databases, included social and criminal history and demographic data, information on the extent of supervision and services, and the extent of criminal activity following institutional release. Many of the measures being employed in the study, according to the researchers, are standard and have been validated. At the time of our review, the evaluation had received approximately \$932,000 in funding.

**Evaluation findings:** The preliminary findings offered from this evaluation suggest that the Intensive Aftercare participants did receive greater supervision and more services after release than the control group, which suggests some success in implementing the program. Outcome results related to reintegration and recidivism are not complete, and the interim results are mixed as to whether the program is associated with positive outcomes.

**GAO assessment:** This is a well-designed study, though serious missing data problems, if not corrected, may make it difficult to determine the outcome of this program.

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## Juvenile Mentoring Program (JUMP)

**Program Description:** JUMP was established by Part G of the Juvenile Justice and Delinquency Prevention Act of 1974, as amended in 1992. Through that legislation, the Congress authorized OJJDP to award 3-year grants to community-based not-for-profit organizations or to local educational agencies. The grantees are to support one-on-one mentoring projects that match volunteer adult mentors with youths at risk of delinquency, gang involvement, educational failure, and dropping out of school. The legislation also provided funding for a national, cross-site evaluation of JUMP. OJJDP guidelines emphasize the need for projects to recruit, train, supervise, and do thorough background checks for all volunteer mentors; develop procedures for appropriately matching youths and mentors; define the population of at-risk youths to be served; develop guidelines for the type, frequency, and duration of youth and mentor project activities; and establish procedures for gathering and reporting data to support the evaluation process. As of November 2000, 175 JUMP projects had been funded, in amounts ranging from \$180,000 to \$210,000 over a 3-year period.

**Evaluators:** Information Technology International and Pacific Institute for Research and Evaluation.

**Evaluation description:** This evaluation began in May 1997 and is expected to conclude on September 30, 2002.<sup>4</sup> Three approaches are being taken to determine how well JUMP is accomplishing its objectives. The first is a modified pre-post design that involves a within-subject comparison of the characteristics of youths at the time they enter and exit the program and between-subject comparisons of youths entering and exiting the program at the same time. The second approach is a best practices approach that will use structural equation models to estimate what program features or activities, including success in matching mentors and youths, are most likely to contribute to program success in reducing the risk of school and family problems, delinquency, and drug use among youths. The third approach relies on combined youth outcome data and community data to determine community cost offsets. The evaluation was funded at \$3.3 million.

**Evaluation findings:** In their November 2000 JUMP annual report, the evaluators provided considerable descriptive information about the various JUMP projects, the characteristics of the youths and mentors, and information on youth-mentor matching. The only “outcome” information thus far provided, however, is information on how satisfied youths and mentors were with the mentoring experience and how much benefit each perceived was derived from the experience. None of the three analytic approaches described above has been successfully applied to study outcomes because of a variety of pitfalls experienced by the national evaluation team, most notably insufficient data on school performance and behavioral measures (e.g., delinquent behavior and arrests).

**GAO assessment:** The researchers are employing multiple and innovative strategies to determine the effectiveness of JUMP in achieving its objectives. It is not clear, however, whether definitive evaluation results can be reached in the absence of outcome data on youths who, in the same project areas at the same points in time, do not receive the program. In addition, data limitations, if not corrected, may be serious enough to compromise findings.

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<sup>4</sup> In commenting on a draft of this report, the Assistant Attorney General pointed out that the latest award sets project and budget end-dates of September 30, 2002. However, she expects the evaluation will not be completed before September 30, 2004. OJP does not move the project period forward beyond the budget period as this may imply an assurance of future funding.

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## Partnerships to Reduce Juvenile Gun Violence Program

**Program Description:** The Partnerships to Reduce Juvenile Gun Violence Program is a multi-year demonstration program planned for four sites (Baton Rouge and Shreveport, LA; Syracuse, NY; and Oakland, CA). It began in 1997 and is expected to conclude in 2001. However, one site, Shreveport, was dropped from the program early. The program aims to reduce youth gun violence by enhancing, in specific target areas of these cities, prevention and intervention strategies and strengthening partnerships among community residents, law enforcement agencies, and the juvenile justice system. The program involves mobilizing the community, establishing agency linkages, and planning case management for juveniles with gun charges in year 1, linking at-risk youths to services in year 2, and expanding opportunities for youths in year 3.

**Evaluator:** COSMOS Corporation.

**Evaluation description:** The strategy for evaluating the impact of this program has evolved as the program has unfolded. An impact evaluation was planned for three sites and was to include (1) a comparison of changes in crime rates in target areas of these cities before and after the implementation of the program, (2) a comparison of responses from high-risk youths in targeted areas surveyed before and after the program was implemented and services were provided, and (3) information on changes in policies and caseloads revealed through focus group meetings and interviews with agency officials. Crime rate information has thus far been reported only for Oakland and Baton Rouge, and surveys have been conducted only in Baton Rouge. In Baton Rouge, surveys were given to 92 high-risk youths in the criminal justice system identified through a variety of processes. The sampling strategies for surveying these high-risk youths were unlikely to yield generalizable results. In addition, fifth-, seventh-, and ninth-grade students in six schools in the target area were surveyed in March of 1999. It is unclear why these students and schools were sampled and what response rates were. In 2000, a small sample of 50 youths in Baton Rouge was identified as a possible matched comparison group for arrest rate comparisons. At the time of our review, this evaluation had received \$1.2 million in funding, although a process evaluation is also being conducted with these funds.

**Evaluation findings:** The researchers report decreases in gun-related homicides and arrests in Oakland that were larger in the target area than for the city as a whole. They also report decreases in gun-related homicides in Baton Rouge. No analyses of results from the survey data have been reported to date.

**GAO assessment:** Comparisons between crime rates in the target community and the city as a whole may not be appropriate. Student and school selection criteria are unclear, making it difficult to assess their appropriateness for obtaining definitive results. In addition, if supporting survey and administrative data are only gathered in one site, it will be very difficult to generalize findings whether they appear positive or not.

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## Impact Evaluation of OJJDP Program— Summary of Evaluation We Did Not Assess

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### Teen Courts

The purpose of the Teen Courts evaluation is to measure the effect of handling young, relatively nonserious violators of the law in teen courts, rather than in traditional juvenile family courts. Although teen courts often include many of the same steps used by formal juvenile courts (for example, intake, preliminary review of charges, court hearing, and sentencing), they differ from formal courts in that young people are able to assist in the community decision-making process for dealing with juvenile offenders. Youths may act as prosecutors, defense counsel, jurors, court clerks, bailiffs, and judge (or as a panel of judges). To evaluate teen courts, both a process and impact evaluation are used, with case studies and comparison groups as part of the research design. In each of the four case study sites (Anchorage, AK; Independence, MO; Maricopa County, AZ; and Rockville, MD), data are collected on about 100 youths handled in teen courts (experimental group) and 100 youths handled in the traditional juvenile justice system (comparison group). Data are also collected on several dimensions of program outcomes, including post-program changes in teens' perceptions of justice and their ability to make more mature judgements as a result of the program. A process evaluation of the projects—exploring legal, administrative, and case-processing factors that hinder the achieving of project goals—is also being conducted.



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# Appendix VIII: Twenty-Four Other Evaluations Funded by OJJDP

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This appendix contains summaries of the 24 evaluations the Office of Juvenile Justice and Delinquency Prevention (OJJDP) has funded since 1995 (excluding the 11 impact evaluations it has funded of its own programs discussed in app. VII). For 22 summaries, we used descriptions of evaluations that were provided to us by OJJDP; for 2 summaries,<sup>1</sup> we wrote the descriptions based on OJJDP documents. OJJDP categorized the 24 evaluations into the following three groups:

- OJJDP-funded programs: nonimpact evaluations (11).
- Non-OJJDP-funded programs: impact evaluations<sup>2</sup> (9).
- Non-OJJDP-funded programs: nonimpact evaluations (4).

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## OJJDP-Funded Programs: 11 Nonimpact Evaluations

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### Community Assessment Centers

The purpose of this evaluation is to test the feasibility and effectiveness of the OJJDP community assessment center concept in different environments. Community assessment centers seek to facilitate earlier and more efficient delivery of prevention and intervention services at the front end of the juvenile justice system. The evaluation uses a two-phase process to (1) measure some outcomes at the two enhancement sites, with quasi-experimental design,<sup>3</sup> and (2) achieve more and better outcome measures. But, according to OJJDP, implementation and data problems will limit the effectiveness of the quantitative methods employed. OJJDP also believes that the attempt to implement a random assignment study at one project site will probably need to be abandoned. The first phase covers the four project sites that comprised the Community Assessment Centers program—two of these sites funded enhancements to existing

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<sup>1</sup> We used OJJDP documents to develop summaries for SafeFutures and Coping With Life Course.

<sup>2</sup> Impact evaluations assess the extent to which a program causes changes in the desired direction in the target population.

<sup>3</sup> In a quasi-experimental design, methods other than random assignment are used to create a comparison group. When randomly assigning individuals to a control group is not feasible, quasi-experimental impact evaluations can be used to compare the performance of program participants on various measures to individuals not in the program.

programs and the other two funded the planning and implementation of new programs. The second phase covers the two project sites—one enhancement and one planning—in which the program is being continued after the end of the first funding cycle.<sup>4</sup> Many of the evaluation measures are at the project or community level rather than at the participant level.

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### Community Prevention Grants Program (Title V)

The purpose of this evaluation is to examine the viability and effectiveness of the community-based delinquency prevention model used by grantees in the Community Prevention Grants Program. The Community Prevention Grants Program encourages communities to develop comprehensive, collaborative plans to prevent delinquency. The evaluation focuses on two main questions: (1) What is the impact of the program on community planning, service delivery, risk factors, protective factors, and juvenile problem behaviors? (2) What factors and activities lead to the effective implementation of the Community Prevention Grants Program model and to positive program outcomes? This evaluation employs a case study approach supplemented by a basic profile of communities that are participating in the program. Case studies are to be implemented in 11 communities in 6 states. Evaluation measures are to be applied at the project, community, and program levels.

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### Comprehensive Strategy for Serious, Violent, and Chronic Juvenile Offenders (Comprehensive Strategy)

The purpose of this process evaluation<sup>5</sup> is to address the following questions about the Comprehensive Strategy program: (1) What are the factors associated with successful Comprehensive Strategy planning and implementation? (2) To what extent do project sites adhere to the prescribed Comprehensive Strategy framework? (3) What are the major implementation challenges program grantees face in implementing the Comprehensive Strategy? (4) To what extent does the training and technical assistance provided to project sites help them acquire the knowledge, skill, and tools necessary to develop the Comprehensive Strategy? (5) What role should OJJDP play in the future implementation of the Comprehensive Strategy? The Comprehensive Strategy is OJJDP's

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<sup>4</sup> In commenting on a draft of this report, the Assistant Attorney General explained that the other two project sites were not included in the second phase of the evaluation because they did not receive additional funding. One site is no longer a separate project and the other project—a planning site—continues to move toward operational status.

<sup>5</sup> A process evaluation uses empirical data to assess delivery of a program and verifies whether it was delivered as intended to the targeted recipients.

approach for addressing juvenile violence and delinquency at the community, state, and national levels through a systematic plan. It advocates the use of local planning teams to assess the factors and influences that put youths at risk of delinquency, determine available resources, and establish prevention programs to either reduce risk factors or provide protective factors that buffer juveniles from the impact of risk factors. This evaluation uses a multilevel design to assess how project sites implement the Comprehensive Strategy. The evaluation began with telephone interviews with site coordinators from all 48 project sites; 25 of the 48 project sites were randomly selected for a stakeholder survey. One year later, 10 of the 25 project sites are being given a second stakeholder survey. Subsequently, five sites are to be selected for visits, and intensive case studies are being done in three cities.

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### Drug-Free Communities Support Program

The purpose of this evaluation is to examine (1) community coalitions' developmental processes from the early planning and adoption stages through implementation and later stages and (2) the impact of coalitions' prevention efforts concerning risk and resiliency factors and, to the extent feasible, alcohol, tobacco, and other drug use. The Drug-Free Communities Support Program provides grants to community coalitions to strengthen their efforts to prevent and reduce young people's illegal use of drugs, alcohol, and tobacco. The evaluation is studying two cohorts of program grantees—those that received grants in 1998 or 1999 (cohort 1) and those that received grants in 2000 (cohort 2). The national evaluation sample is comprised of a total of 213 grantees. The sample is divided by years of operation: 1-5 years, 6-9 years, and more than 9 years. Semiannually, cohort 1 grantees are required to submit progress reports to OJJDP and the evaluator that include a special section (Part II), which provides information about the compositions of the coalitions and outcome data collection. Cohort 2 grantees do not have a Part II reporting requirement and submit progress reports semiannually only to OJJDP. In addition, 21 grantees (15 from cohort 1 and 6 from cohort 2) serve as intensive study sites, where interviews with staff and stakeholders provide greater detail about coalition development and local program evaluation.

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### Juvenile Accountability Incentive Block Grants Program

The purpose of this process evaluation is to provide feedback to OJJDP on the implementation of the Juvenile Accountability Incentive Block Grants Program. The program encourages states and local jurisdictions to implement accountability-based programs and services in 54 states and U.S. territories. The evaluator is surveying state and local practitioners, policy makers, and grant program administrators about their perceptions

and attitudes about the program and its administration. Specifically, the evaluation focuses on (1) understanding how states and local units of government plan for and administer program funds and (2) examining the perceptions of states and local units of government about how well the program is achieving congressional intent. In addition, in-depth case studies are conducted at a limited number of sites.

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**Performance-based  
Standards Project**

The purpose of this evaluation is to (1) provide feedback to the Performance-based Standards Project team on improving design and implementation support to the sites, (2) assist the project team in refining the Performance-based Standards Project model and in maximizing responsiveness to the needs of the participants, that is, those who are implementing the project model, and (3) chronicle the development of the project and summarize lessons learned. OJJDP established the Performance-based Standards Project to improve the quality and conditions of juvenile corrections facilities. Specifically, the project develops and implements outcome standards and an assessment tool. Corrections facilities can use both to monitor progress towards meetings goals in areas of operations, such as health and safety. The evaluation uses a case study approach. This approach consists of the collection of both quantitative and qualitative data describing the processes used to implement the project model in 80 juvenile detention and correctional facilities across the country. Site visits are made and in-depth case studies are planned. An all-site survey is distributed to key participants to determine satisfaction with the supports provided to them in the implementation of the project model. In addition, the survey seeks the participants' assessment of (1) the impact the project has made on conditions of confinement and management of the facilities and (2) the overall utility of the project model.

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**Prenatal and Early  
Childhood Nurse Home  
Visitation Program**

The purpose of this evaluation is to (1) determine the extent to which replication project sites have been able to conform to the original program model, and (2) assess the "prosocial" (that is, positive, socially-oriented behavior) outcomes for mothers and their babies. The Prenatal and Early Childhood Nurse Home Visitation Program consists of intensive and comprehensive home visitation by nurses during a woman's pregnancy and the first 2 years following the birth of her first child. The evaluation involves six project sites and employs a quasi-experimental design with matched comparison groups.

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**Partnerships to Reduce  
Youth Violence and  
Delinquency Program  
(SafeFutures)**

This purpose of this process evaluation is to document and understand the process of community mobilization and collaboration. SafeFutures is designed to build a comprehensive program of prevention and intervention strategies for at-risk youths and juvenile offenders. The program comprises six project sites that represent urban, rural, and Native American communities. The evaluation is examining all six project sites. Project sites collect and record performance data on program operations and client outcomes using the Client Indicator Data Base. The project sites are required to collect extensive information from selected SafeFutures program components on individual participants' risk and protective factor profiles, youths' service utilization, and agencies' coordination of services for youth during the course of their involvement in the SafeFutures program. In addition, they collect information on outcome measures regarding youths' educational commitment (that is, school attendance, achievement, and behavior), youths' involvement in delinquency and crime, and any changes in youths' risk profiles. Analysis of these data will provide a picture on program performance in three key areas: reaching the intended high-risk youth clientele, coordinating services for youths with multiple problems, and monitoring subsequent school performance problems and involvement in the juvenile justice system.

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**Safe Kids/Safe Streets**

The purpose of this evaluation is to document the lessons learned and factors associated with the successful development and implementation of the Safe Kids/Safe Streets program. The Safe Kids/Safe Streets program is designed to (1) help communities break the cycle of early childhood victimization and later criminality and (2) reduce child abuse and neglect, as well as the child fatalities that often result. The evaluation is surveying five project sites through five data collection strategies: agency administrative data, case tracking, key informant interviews, surveys of agency professionals, and surveys of stakeholders.

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**Tribal Youth Program**

The purpose of this evaluation is to (1) support culturally appropriate process and outcome evaluations of activities funded under Tribal Youth Program grants and (2) build the capacity of tribes to better evaluate their own juvenile justice programs and activities. The Tribal Youth Program assists grantees in developing projects, within tribal communities, for the prevention and control of youth violence and substance abuse. The evaluation is participatory in nature, that is, project personnel and stakeholders will be involved in developing the evaluation designs, with the assistance and guidance of an evaluation facilitator. The five project sites are implementing different projects and have not yet completed their

evaluation designs. According to OJJDP, it is too early in the evaluation to tell exactly what designs are to be used. OJJDP has required that all evaluations be designed to examine both program implementation and program outcomes.

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### Truancy Reduction Demonstration Program

The purpose of this process evaluation<sup>6</sup> is to (1) determine how community collaboration can affect truancy reduction and lead to systemic reform and (2) assist OJJDP in the development of a model for a truancy reduction program, including identifying the essential elements of that model. The Truancy Reduction Demonstration Program encourages communities to develop comprehensive approaches—involving schools, parents, the justice system, law enforcement, and social service agencies—in identifying and tracking truant youths. The evaluation is employing site visits, interviews with key personnel, and case studies of individual sites. Process data are gathered from all seven project sites participating in the evaluation and, from some sites, limited outcome data are gathered.

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### Non-OJJDP-Funded Programs: Nine Impact Evaluations

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#### Adolescent Female Offenders (Three Programs)

The purpose of this evaluation is to evaluate the efficacy of three Adolescent Female Offenders programs in Wayne County, Michigan. The three programs are (1) a program incorporating gender-specific programming, home-based intervention, and community involvement, including pregnant and parenting adolescents; (2) an intensive probation program with limited gender-specific programming; and (3) a traditional, female-only residential program that provides limited gender-specific training. The evaluation is using a quasi-experimental design. Using random assignment, the home-based intervention model is to be compared with the established intensive probation model; the outcomes of these models are then to be compared with outcomes of the traditional,

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<sup>6</sup> The Truancy Reduction Demonstration Program and its evaluation are jointly funded by OJJDP, the Office of Justice Program's Executive Office of Weed and Seed, and the U.S. Department of Education.

female-only residential program. The comparison analysis involves at least 50 young women in each of the 3 programs. A wide range of outcomes—including recidivism, substance use, depression, community integration, academic performance and career aspirations, parenting readiness, and responsible sexual behavior—is to be examined. The evaluator is also exploring the relationship of specific program components to these outcomes.

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### Coping with Life Course

The purpose of this impact evaluation is to evaluate the effectiveness of a cognitive-behavioral group intervention. The Coping With Life Course is aimed at enhancing prosocial coping and problem solving for adolescents incarcerated in youth correctional facilities. To evaluate the program, a minimum of 120 adolescents in one youth correctional facility are randomly assigned to either the Coping with Life Course intervention group or a standard-care control group. Six Coping with Life Course cohort groups of 10 each are followed. The evaluation is allowing for attrition (from the initial 60 participants down to 48) in each of the intervention and control groups. Participant functioning is assessed before and after intervention through a battery of questionnaires. Recidivism, return to close custody, and service utilization are tracked through databases and statewide records.

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### Creation and Implementation of a Family Index in Riverside County, California, Courts

The purpose of the evaluation is to (1) document the implementation of a new “family index” case management system (through a process evaluation) and (2) examine the impact of the family index on juvenile court case processing (through an impact evaluation). The family index system allows cross-referencing to identify all family members involved in family law; juvenile dependency; juvenile delinquency; and criminal, civil, and probate matters. For the process evaluation, a case study approach is used to describe the implementation of the family index at one project site, the Riverside, California, Court. For the impact evaluation, a pre-post design is used to examine how the family index has affected juvenile court matters (for example, court processing time, coordination between courts, and content of hearings).

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### Flashpoint

The purpose of this evaluation is to evaluate the effects of Flashpoint on the antisocial patterns of juvenile offenders’ thoughts and actions and high school students’ thoughts and actions. Specifically, changes are assessed for (1) media use and literacy, (2) violence-supporting beliefs and behavior, and (3) substance use and abuse. The Flashpoint program is

designed to build critical thinking skills young people need to (1) see through false media portrayals that glorify violence and drug use and (2) apply decision-making in their own lives. The evaluation is using comparison groups, pre-post interventions, and case studies. Participants include 264 juveniles, ages 14 to 17. Treatment groups are compared with no-treatment control groups for baseline-to-posttest changes. Three groups and project sites are involved: (1) repeat and serious offenders in a correctional program, (2) first-time offenders in a diversion program, and (3) students in a public high school.

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**Free to Grow: Head Start  
Partnerships to Promote  
Substance-Free  
Communities**

The purpose of this evaluation is to determine if Free to Grow can reduce substance abuse (alcohol use, smoking, and illegal drug use). The Free to Grow program builds on existing Head Start programs, adding community-strengthening and family-intervention components to address the problem of substance abuse. The evaluation is attempting to determine the independent effects of these two components on substance abuse prevention. It involves 16 project sites and 16 comparison sites and employs a multistage experimental research design.

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**Gaining Insight Into  
Relationships for Lifelong  
Success Project**

The purpose of this evaluation is to provide a process and outcome evaluation of the Gaining Insight into Relationships for Lifelong Success Project. The project involves two primary levels of intervention: (1) a psycho-educational counseling group, dealing with relationships and involving girls in four relational domains (relation to self, family, peers, and teachers), and (2) a focus on individual consultations, educational workshops and the policies and procedures of the local juvenile justice system, and the involvement of court service workers from the system. Specifically, the evaluation will (1) investigate the applicability of a relational approach to the treatment of female juvenile offenders; (2) examine the components of the relational approach that deal with relationships to self, family, peers and teachers; (3) evaluate the impact of increasing the knowledgebase of professionals involved in the local juvenile justice system; and (4) provide an empirically based, alternative treatment model that can be replicated in other settings. The evaluation of the first level of intervention—the counseling group—focuses on each of the four relational domains through the use of multimethod data collection; this collection includes self-reports and other reports, school records, and recidivism data. The evaluation of the second level of intervention focuses on the court services that workers use, specifically gender-sensitive treatment recommendations and referrals; qualitative observational data, gathered from monthly meetings, will be used. There is



random assignment between girls referred to either the project intervention or to the standard intervention currently being used by the Clark County Court in Athens, Georgia. Approximately 180 girls—90 referred to the project intervention and 90 referred to the standard court intervention—are to be evaluated.

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### Quantum Opportunities

The purpose of this evaluation is to assess the implementation and the impact of Quantum Opportunities. The Quantum Opportunities program is designed to reduce the incidence of delinquency, criminal behavior, and subsequent involvement in the criminal and juvenile justice systems amongst educationally at-risk inner city youths. The evaluation is using an experimental design with random assignment. Ninth-grade students at six sites are randomly assigned to treatment and control groups, with the treatment group enrolled in the Quantum Opportunities program. The students are followed through their high school careers and 2 years beyond. Information is collected from academic achievement tests, administered each year, and from two questionnaires.

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### Restorative Justice Conferences

The purpose of this evaluation is to test the impact—on recidivism, program completion, and victim satisfaction—of the Restorative Justice Conferences for a population of youthful offenders (aged 14 and under) in an urban setting (Indianapolis, IN). Restorative Justice Conferences bring together the offender, victim, and supporters of each so as to provide an opportunity for fuller discussion of the offense; the effect of the offense on the victim, the offender's family, and greater community; and steps the offender can take to make amends. The evaluation is using a single-site evaluation with an experimental design. As part of the design, youths are randomly assigned to a treatment group (Restorative Justice Conferences) or a matched control group.

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### Risk-Focused Community Policing

The purpose of this evaluation is to determine if the program reduces the amount of delinquency in a city. The Risk-Focused Community Policing program increases protection by the community police, potentially reducing delinquency. The evaluation is using an experimental research design. The project site (city) is divided into approximately 40 census blocks, with 20 blocks randomly selected as program blocks and the other 20 designated as control blocks.

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## Non-OJJDP-Funded Programs: Four Nonimpact Evaluations

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### Act Now Truancy Program

The purpose of this evaluation is to study the Act Now Truancy Program. The program is a prosecutor-led truancy reduction program. The evaluation is using a pre-post intervention design involving one project site. Information is collected and aggregated (for example, truancy rates rather than individual truancy behavior) for all participants.

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### Childhood Violence Prevention Program (Let's Talk About...)

The purpose of this evaluation, conducted in two schools, is to assess the impact of the Childhood Violence Prevention Program. The program is designed to prevent the legitimization of aggression among pre-adolescent, elementary, and middle school children, with special focus on victims of child maltreatment. The evaluation is using a pre-post intervention design, with comparison groups. The study involves having elementary school students participate in a class activity using a workbook designed to encourage problem solving action rather than aggressive behavior in interactions with peers.

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### Community-Level Programs for Youth

This project is not an evaluation, per se, but rather a synthesis of existing evidence on community-level interventions and service programs. Its purpose is to identify the strengths and weaknesses of community-level evaluations and to provide recommendations to the field about how to structure and carry out such evaluations. Community-level programs for youths are designed to promote positive youth development. To evaluate the programs, a committee—experts from several disciplines (child and adolescent development, child health, sociology, psychology, evaluation research, youth services, and community development)—is assessing the strengths and limitations of measurements and methodologies that have been used to evaluate these interventions.

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Department of Labor's  
Education and Training for  
Youthful Offenders  
Initiative

The purpose of this evaluation is to assess the activities undertaken by project sites, determine whether they can be evaluated, and ultimately assess the impact of these activities on the youthful offenders participating in the program. The program is intended to (1) enhance school-to-work education and training in juvenile correctional facilities and (2) improve youthful offenders' transition into the community. The evaluation design has not been completed, but random assignment study is strongly preferred, if feasible. At the time of our review, only one of the three potential sites could be evaluated. One more project site is to be awarded and, if it can be evaluated, it will be added as a second evaluation site.

# Appendix IX: Comments from the Department of Justice

Note: GAO comments supplementing those in the report text appear at the end of this appendix.



U.S. Department of Justice

Office of Justice Programs

Office of the Assistant Attorney General

Washington, D.C. 20531

OCT 15 2001

Laurie E. Ekstrand  
Director  
Justice Issues  
Tax Administration and Justice  
General Accounting Office  
441 G Street, N.W. Room 2A38  
Washington, D.C. 20548

Dear Ms. Ekstrand:

This correspondence responds to the General Accounting Office (GAO) draft report entitled "*JUVENILE JUSTICE: Information on OJJDP Grantee Reporting Requirements and Concerns About Evaluation Studies*" (GAO-02-23). The draft report has been reviewed by the Office of Justice Programs' (OJP's) Office of Juvenile Justice and Delinquency Prevention's (OJJDP's) Research and Program Development, Training and Technical Assistance, and Special Emphasis Divisions.

Overall, the draft report provides useful information that highlights areas warranting attention. The report will be an important tool which we will use to improve the quality of our evaluations, and ultimately to design programs that will achieve greater impact. The OJJDP's Research and Program Development Division (RPDD), in conjunction with the other OJJDP divisions, will commence the development of a guide and related tools that communities can use without additional funding to assess both program impact, and process activities related, to existing services and subgrantee efforts.

As recommended, we will assess the five impact evaluations that are currently in their formative stage to address potential comparison group and data collection problems. On the basis of that assessment, OJJDP will initiate any needed interventions to help ensure that the evaluations produce definitive results.

This review provides an important opportunity to bring to light the difficulties associated with evaluation of real life community based programs where the luxury of laboratory-like comparison groups may not be possible. We agree with GAO that we should always strive for more rigorous and scientifically sound evaluation designs. However, we were disappointed in GAO's reliance on the use of a comparison group as the only valid evaluation design. The inclusion of comparison groups would certainly strengthen the interpretation of evaluation results. However, RPDD, does not have sufficient funding to include comparison groups in every evaluation.

Now on pp. 3, 8-10, and  
22-25.

Now on pp. 23-24.

Given the choice between conducting far fewer evaluations, all with comparison groups, and conducting a greater number of evaluations under less-than-ideal conditions, the RPDD works hard to tread a middle ground which satisfies needs for both quality and quantity.

The GAO discusses evaluation methodology throughout the report (pp. 3, 7, 8, 21, 23, 25, and 26) and the "lack of appropriate comparison groups." For example, on page 23 of the report, GAO provides a hypothetical example of what it believes is an appropriate use of a comparison group in a program designed to improve students' grades. We note that an education example in a controlled classroom environment was profiled, not a juvenile justice example in a community setting, which would have been more relevant. Regarding a hypothetical comparison group GAO states, "... a second set of students who are not in the program but are matched in academic performance and exposed to all of the same factors (except the program) could provide a baseline from which to assess the impact of the program." We agree with this statement in theory, but outside highly controlled laboratory settings, there is no way to assure that participants are exposed to "all of the same factors (except the program)." The best that can be done in a real world setting is to randomly assign similar participants to treatment and comparison groups and hope that any other effects distribute themselves randomly and wash out (i.e., become random error) in the analysis.

OJJDP seeks to conduct juvenile justice evaluations in a real world setting. School research has become increasingly difficult due to the need for obtaining parental consent and the unwillingness of schools to use class time for research programs.

A growing number of policy makers and evaluators firmly believe that community based initiatives do not lend themselves to the kind of traditional evaluations that this draft report proposes. In particular, the Annie E. Casey Foundation has been grappling with this issue for years. Concern with the inadequacies of traditional evaluations has given rise to the Roundtable on Comprehensive Community Initiatives for Children and Family, a policy program of the Aspen Institute which had its origins with the National Academy of Sciences. Comprised of 30 members who have been engaged in cross-system, geographically targeted initiatives, the Roundtable issued its first report in 1995 (Connell, Kubisch et al. 1995) that strongly urged that new approaches to evaluation be developed. This view is based on the fact that so many individual interventions are necessary, but not sufficient to improve outcomes.

We are heartened that GAO has, through this effort, highlighted the difficulties associated with such efforts and look forward to any suggestions the reviewers may have in dealing with these real world issues. Our detailed comments are attached for your consideration.

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Appendix IX: Comments from the Department  
of Justice

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If you have any questions or need additional information about this response, please contact me on (202) 616-3433 or LeToya Bryant, OJP Audit Liaison, on (202) 514-0692. Thank you for your continued cooperation and assistance.

Sincerely,



Deborah J. Daniels  
Assistant Attorney General

Attachment

cc: Terrence S. Donahue  
Acting Administrator  
Office of Juvenile Justice and  
Delinquency Prevention

Cynthia J. Schwimer  
Comptroller  
Office of Justice Programs

LeToya A. Bryant  
Audit Liaison  
Office of Justice Programs

OAAG Executive Secretariat  
Control No. 20012013

Attachment

The Office of Justice Programs (OJP) Specific Comments on the General Accounting Office (GAO) draft report entitled: "JUVENILE JUSTICE: Information on OJJDP Grantee Reporting Requirements and Concerns About Evaluation Studies" (GAO-02-23)

Now on p. 21.

1. On page 2, the report responds to Congressman Bob Schaffer's question about the "number of juveniles served", by noting that "many of its [OJJDP's] programs are not intended to serve juveniles directly." Later, on pages 19-20, the report elaborates on why grantees might not be required to report the number of juveniles served. Although research is mentioned in passing, there is no explanation of why "juveniles served" might not be an appropriate measure for a variety of research projects. There is no mention, for example, of the fact that although research projects do not typically provide services directly, their results can potentially help thousands of juveniles. The report should more clearly explain the nature and importance of the work OJJDP does.

Now on p. 4.

2. On page 3, "Background" section, OJJDP's mission should be more clearly reflected to include its emphasis on improving the juvenile justice system. It is critical to reflect the full mission statement in order to provide clarity and context when describing the types of programs funded and the extent to which they serve juveniles directly.

Now on p. 6.

3. On page 5 of the draft report, "For example, under the Formula Grants Program, states pass through two-thirds of their awarded funds to public and private non-profit organizations." The words, "a minimum of" should be inserted before the "two-thirds" as there are states that actually pass-through more than the minimum 2/3. The statute reads that at least 66 and 2/3 must be passed through.

Now on p. 9.

4. On page 8, the report describes the methodology of data collection for the report. Specifically, the report states that GAO utilized a data collection instrument to systematically collect information on OJJDP evaluations from the grant files. This description raises a few questions. First, how was missing data treated? The GAO reviewers spent a great deal of time here and RPDD staff coordinated the document retrieval for some of the missing documents within RPDD. However, it is likely the case that there was missing data because documents were missing or documents were not complete. A fair analysis of the state of evaluation would have to include a strategy to solicit this information for all potential sources. Had the GAO reviewers consulted with the program managers directly, there would have been an opportunity for OJJDP program managers to correct and complete some of the data that had already been collected. The GAO reviewers should clearly present in the draft report the strategy for the treatment of missing data.

Now on p. 10.

5. On page 9, (entire paragraph), the report implies that OJJDP believes that the semiannual progress report provides sufficient information with which to monitor grantee's project implementation and achievement of the goals they identified in their grant applications.

While OJJDP has indicated that the semi-annual progress report is one monitoring tool that is used to meet basic oversight needs, we have also indicated that we would prefer, and perhaps make better use of, more frequent reports with more detailed information.

The GAO report did not provide any recommendations or conclusions directly related to grantee reporting requirements. For policy consideration purposes, perhaps it would be useful for GAO to comment conclusively on grantee reporting requirements, instructions, and on what is gained through these reports.

Now on pp. 10-18.

6. On pages 9-21 (entire section pertaining to grantee reporting requirements), as presented, it is not readily apparent that this section of this report is not limited to only "evaluation" grantees. There is considerable discussion regarding Juvenile Accountability Incentive Block Grant (JAIBG) reporting and the Formula report, and it is clear that GAO is making statements regarding the OJJDP grantees reporting the number of juveniles served that include ALL grantees, not just evaluation grantees. The point is important because, at first look, it appears that the report suggests (as does the title) that the reporting issues raised are limited to evaluation studies. We propose that the report's title be modified to "Juvenile Justice: Information on OJJDP Grantee Reporting Requirements for Discretionary and Formula Grant Programs and Concerns About Discretionary Evaluation Studies."

Now on p. 22.  
See comment 1.

7. On page 21, (section entitled "Methodological Concerns Could Adversely Affect Evaluation Studies"), the title of the section and the "assessment of the evaluation" section of the 10 impact studies examined in the appendix of the report, suggests there is no room for limitations in studies. There are ALWAYS limitations in evaluation and research projects. Indeed, part of the discussion in the final report/summary of peer reviewed studies cautions the reader to attend to the possible limitations of interpreting the study findings (i.e., sample size, generalizability). There is a significant body of research that cautions the researcher in utilizing comparisons across sites on the basis of descriptive data, in this, the case number of child abuse-founded cases (just taking one unit of measurement for purposes of discussion). Differences between communities can make any type of comparison questionable at best. Prior rate of child abuse/neglect in comparison communities, the amount of resources entering the community, etc., cannot be controlled. A number of writers (Mark, et al., 2000), Henry, Dickey, & Areson, 1991) have documented the limitations of attributing program effects on the basis of unit (e.g., site) comparison. It is simply not possible to control for everything when a program is administered in one location and not administered in another. In simplest terms, any observed differences between a demonstration site and a comparison may be attributable not only to the absence of the program, but to the differences between the two sites. There is no way to accurately attribute impact of the program in a comparison strategy that appears to be suggested in the GAO report.



One approach to program evaluation that has received significant respect in the social science field and would likely be considered a “generally accepted standard,” is comparisons with prior data. For many of OJJDP system-changing initiatives, knowing if the policy being implemented is moving the community in the direction we hope they would go...such as increased awareness of child abuse/neglect issues in the community or decrease in child abuse/neglect convictions, is a primary goal of the evaluation. Some methodologists (i.e., Behn, 1997) suggest that communities should target performance levels that are customized for each community. This targeting is an effective tool in motivating communities toward performance improvement. Monitoring performance indicators is considered, by many folks in the field, to be one of the richest sources of comparison analyses for evaluation progress.” Please consider the following references provided by the OJJDP’s RPDD.

References Supporting RPDD’s Concerns for GAO’s Consideration

*Behn, R. D (1997). Linking Measurement and Motivation: A Challenge for Education. Advances in Educational Administration, 5, 15-18.*

*The Annie E. Casey Foundation (1998) Evaluating Comprehensive Community Change. Baltimore, MD: Author*

*Connell, J.P., & Kubisch, A.C. (1998). Applying a Theory of Change Approach to the Evaluation of Comprehensive Community Initiatives: Progress, Prospects, and Problems.*

*Henry, G. T., Kickey, K.C., & Areson, J.C. (1991). Stakeholder Participation in Educational Performance Monitoring. Educational Evaluation and Policy Analysis, 13(2), 177-188.*

*K. Fulbright-Anderson, A.C. Kubisch & J.P. Connell (eds.), New Approaches to Evaluating Community Initiatives: Theory, Measurement and Analysis. Queenstown, Md: The Aspen Institute.*

*Knapp, M.S., (1995). How Shall We Study Comprehensive Collaborative Services for Children and Families. Educational Researcher. 24(4), 5-16*

*Mark, M, Henry, G., & Julnes, G. (2001). Evaluation: an Integrated Framework for Understanding, Guiding, and Improving Public and Nonprofit Policies and Programs. San Francisco: Jossey-bass.*

*Mittlemark, M.B., Hunt, M.K., Heath, G.W. & Schmid, T.L. (1993). Realistic Outcomes: Lessons from Community-based Research and Demonstration Programs for the Prevention of Cardiovascular Diseases. Journal of Public Health Policy, 14(4), 437-462.*

Now on p. 25.

*Robinson, G.H. & Hill, J., (1995). Problems in the Evaluation of Community-wide Initiatives. New Approaches to Evaluating Community Initiatives: Concepts, Methods, and Context. The Aspen Institute.*

*Shaw, KM, Replogle, E., (1996). Challenges in Evaluating School-linked Services: Toward a More Comprehensive Evaluation Framework. Evaluation Review. 20(4)*

8. On pages 23-24 of the report, GAO states that the Juvenile Mentoring Program (JUMP) evaluation “compares youth entering the program to those completing it. However, a variety of other factors, including the fact that youth in the program are likely to mature and, thus, improve somewhat spontaneously, cannot be ruled out as a rival cause of change from the beginning to the end of the program.”  
In response, the design adopted is a compromise in which the most rigorous design was found to be incompatible with the program being evaluated. The designs which are appropriate for the JUMP program were adjusted and implemented in such a way as to improve their validity.

An experimental design, with youth randomly assigned to experimental and comparison groups, was considered, but found to be inappropriate for the JUMP evaluation for several reasons. One reason is the small number of participants we are seeing at many sites, a function, ironically, of the success of the JUMP projects in targeting the youth most in need of mentoring, those living in poverty whose living and schooling arrangements may be unstable and transitory. The needier the clients, the fewer can be served by the same size staff, and many projects are not able to serve even 30 clients, severely restricting design options and statistical analysis. Another serious difficulty with a random assignment design is that it makes it more difficult to carefully match mentors and mentees. Mentors are always in short supply and project staff review candidate youth to best match characteristics for a successful relationship. Random assignment would halve the number of options for matching, and thus reduce to some extent program effectiveness.

The current design is more rigorous than a simple pre- and post- test because it will permit using different cohorts at a site as comparisons for each other. Youth entering a mentoring relationship during the second year of a project will have their pre-mentoring measurements compared to the post-mentoring measures of the first-year youth. This design can provide considerable validity when augmented by additional evaluation methods including qualitative studies, special analyses of selected projects, special studies of long-term impacts and sustainability, and the many analyses which can be conducted of data from 175 sites.

The maturation effect, mentioned in the report, is generally observed as worsening behavior as the 12 to 13 year-old youth approach their most crime-prone years and are exposed to increasing numbers of risk factors. The evaluation will control for this effect

by comparing the outcomes of programs serving youth of varying ages and through some of the special analyses mentioned above.

Now on p. 25.  
See comment 2.

9. On page 24, the report states that the "JUMP evaluation has experienced problems obtaining behavioral measures and school performance data with which to gauge program-driven change." As mentioned above, data collection problems are made more difficult by the fact that the youth being served by this program are, in fact, those most in need of mentoring--those whose living situations are most unstable. These participants drop out of mentoring relationships and schools when living arrangements change or caregivers move, and it is often impossible to obtain post program data when a child is taken out of school, often out of the area, with no advanced notice or preparation. OJJDP and the evaluation grantee conduct a very labor intensive program of regular contact with project staff to obtain the best data possible. Each project is provided with a computerized management information system which makes reporting a very simple process. Because some sites are unable to provide complete data on all participants, an enhanced analysis will be conducted of sites in which the best data is available.

Now on pp. 25-26.

10. On page 24, the report states that the "Intensive Aftercare evaluation has experienced survey response rate shortfalls, in some cases obtaining response rates of less than 30 percent, which may affect the validity of the findings." The poor response rates for some elements at different sites were particularly disappointing because this evaluation was a strong random assignment design. The strategies for obtaining adequate data, including site visits from technical assistance and evaluation staff and regular data reports to the projects, turned out to be insufficient. The program staff who were required to collect data regarding service provision and participant behavior in the program did not give data collection adequate priority in comparison to their other duties. This is particularly true of data regarding the comparison groups.

Now on p. 26.

11. On page 25, "Conclusions" section, the report suggests that more evaluations using experimental or quasi-experimental evaluation designs should be funded. Please note, many communities reject participation in programs that are evaluated in this way because they feel that it requires them to purposely exclude youth from receiving services, i.e., control or comparison groups. These communities believe that this type of evaluation is not necessary.

Now on p. 26.

12. On page 25, the GAO conclusion highlights the lack of a comparison group. The Teen Court evaluation has a comparison group, with data collection solely supported with a minimal amount of funding from a few Federal agencies.

Now on p. 31.

13. On page 28, Table 3: OJJDP Funds Awarded by Program Area, Fiscal Year 1996 through 2000, the funding amounts for the Rural Gang Initiative (RGI) are inaccurate. It appears that all funds awarded to the National Youth Gang Center (NYGC) were included as part of this Initiative. Although NYGC is responsible for providing training and

**Appendix IX: Comments from the Department of Justice**

technical assistance for the RGI, NYGC also carries out a variety of tasks that are unrelated to RGI under the same grant number. NYGC first received funding to provide training and technical assistance for RGI in FY1998. NYGC funding amounts by task are included in the table below.

**Funding for the NYGC Under Grant Number 1995-JD-MU-K001 (Original through S-7)**

	FY1998	FY1999	FY2000
Base funding	\$750,000	\$750,000	\$775,000
<b>Rural Gang Initiative Training &amp; Technical Assistance</b>	<b>\$215,000</b>	<b>\$375,000</b>	<b>\$450,000</b>
National Youth Gang Symposium	\$50,000	N/A	N/A
Youth Gangs in Indian Country	N/A	N/A	\$50,000
<b>Total</b>	<b>\$1,015,000</b>	<b>\$1,125,000</b>	<b>\$1,275,000</b>

All remaining funding under RGI was awarded in FY 1999 and FY 2000 and was given directly to program sites or the evaluation grantee. This information is included in table below.

Task	Grantee	Grant Number	Award Date	Amount
<b>FY1999</b>				
Program	City of Mt. Vernon	1999-JD-FX-0004	5/18/99	\$125,000
Program	County of Glenn, Department of Probation	1999-JD-FX-0002	5/5/99	\$125,000
Program	City of Elk City	1999-JD-FX-0003	5/13/99	\$115,208
Program	Longview Police Dept.	1999-JD-FX-0001	4/27/99	\$122,546
Evaluation	National Council on Crime and Delinquency	1999-JD-FX-K001	4/27/99	\$250,000
Subtotal				\$737,754
<b>FY 2000</b>				
Program	City of Mt. Vernon	1999-JD-FX-0004 S-1	9/30/00	\$275,000
Program	County of Glenn, Department of Probation	1999-JD-FX-0002 S-1	9/30/00	\$275,000
Program	City of Elk City	1999-JD-FX-0003 S-1	2/1/01	\$99,473
Program	Longview Police Dept.	1999-JD-FX-0001 S-1	2/15/01	\$100,000
Evaluation	National Council on Crime and Delinquency	1999-JD-FX-K001 S-1	9/30/00	\$275,000
Subtotal				\$1,024,473

Based on the information in the tables above, the amounts presented in Table 3 on page 28 of the report should be:

Demonstration and replication programs	FY 1996	FY 1997	FY 1998	FY 1999	FY 2000
Rural Gang Initiative	(zero)	(zero)	\$215,000	\$1,112,754	\$1,474,473

Now on p. 35.

14. On page 32, the sentence describing promotional avenues OJJDP employs to get the word out about its products should be augmented to reflect the full range used. We recommend revising as follows (changes shown in bold): OJJDP promotes products through **the NCJRS Catalog, OJJDP’s Juvenile Justice journal, the NCJRS and OJJDP websites, email lists, OJP press announcements, conference displays, criminal/juvenile justice newsletters and journals, and flier mailings.**

Now on p. 35.

Also on page 32, three sentences down from above text, we recommend the following revision (shown in bold) to the statement on how to order copies: Individuals can also order copies of publications **online or** by calling the Clearinghouse’s toll-free number.

Now on p. 36, table 6.

15. On page 33, Table 12, second title under the Intensive Aftercare Evaluation heading (“Reintegrating Juvenile Offenders...”), the text in the “Automatic mailing” column should be changed from “None” to reflect “Information not available” or similar text.

Now on p. 48.

16. On page 46, “Performance Data for Training and Technical Assistance Grantees,” the draft GAO report says, “Neither TTAD or STAD has imposed additional or more specific reporting requirements on their training and technical assistance providers, and, for the most part, neither has CPD.” This statement is incorrect. The Training and Technical Assistance Division (TTAD) imposed considerable increases in reporting requirements from all of the grantees that divide up the Juvenile Accountability Incentive Block Grant (JAIBG) funds annually. Grantees receiving JAIBG funds must send in a monthly report, which is required. These grantees comprise approximately 1/5 of all TTAD grantees and account for approximately \$5 million annually.

Now on pp. 48-51

17. On pages 46 - 49, “Performance Data for Training and Technical Assistance Grantees,” a reader of the report may assume that each of the OJJDP divisions providing technical assistance are delivering the same types of services. The draft GAO report further makes the assumption that a grantee is the same whether the grantee is a state, tribe, non-profit organization, for-profit, or a local jurisdiction. The use of formula grant dollars is treated the same as discretionary funds. In addition, on page 28, the chart combines training and technical assistance funding under the National Institute for Juvenile Justice and Delinquency Prevention. However, this presentation does not highlight the importance of training and technical assistance.

Now on p. 51.

18. On page 49, the draft GAO report indicates that there is not a common definition of training and technical assistance. The TTAD published the "Training, Technical Assistance, and Evaluation Protocols" booklet two years ago, which clearly defines both training and technical assistance. However, this guide is not mentioned in the draft GAO report.

Now on p. 51.  
See comment 3.

19. On page 49, the section title ("Performance Data for Research Grantees"), it appears that publications are being used as a measure of performance for research grants. This may be too simplistic an approach. If one proceeds with this idea, then there should be a table with number of publications per grant or project. Instead, the report shows a table of publications listed by topics. It is misleading to use "Causes and Correlates" as a topic since so many of the reports could more accurately fall into one of the other categories (which are not clearly defined and often overlap). It is not clear what the purpose of these tables are: to show how productive our grants are or to show how productive OJJDP grantees on the whole are on certain topics.

Now on p. 53, tables 10 and 11.

The number of publications (from 1993-Sept 2000) and the numbers in Table 7 on page 51 of the report seem very low (especially juvenile courts and juvenile offenders). It is unclear whether these include fact sheets and bulletins from the National Juvenile Court Data Archive. Please note, the list provided to GAO during the review listing non-OJJDP publications was for "active" grants only and did not constitute a complete list.

Now on p. 59.

20. On page 53, "Rural Gang Initiative Evaluation Components" indicates that two of the four sites are not a part of the evaluation "because they did not fully implement the model." This suggests that the grantees failed to comply with grant requirements or that their performance was insufficient. In fact, these two grantees did not implement the model because their gang crime problem did not warrant the model's prescribed intervention approach, i.e., the model was not appropriate for these sites and they were not tasked with its implementation.

Now on p. 57-58.

21. On page 54, the description of the Violence Prevention (Project PATHE) evaluation should updated to include Charleston and Baltimore as replication sites. When GAO was conducting its review, the sites for this evaluation had not been identified. Also, the project now focuses on middle schools only, and will not focus on high schools.

Fundamentally, the design of the project (experimental and control schools) has not changed, and the plan for both process and outcome evaluations continues pending available funding. All of the funds for this effort came from the Centers for Disease Control (CDC) via an Interagency Agreement (IAA) and OJJDP made the grant award (co-managed by CDC and OJJDP).

Now on p. 66.

22. On page 56, the report states that the JUMP evaluation is expected to conclude on September 30, 2001. The latest award sets project and budget end-dates of September 30,

2002. This evaluation is funded with a Mentoring set-aside for evaluation. Funding will drop to zero, or pretty close to it, if the set-aside is discontinued. We do not move the project period forward beyond the budget period as this may imply an assurance of future funding. However, ending the evaluation before September 30, 2004, would waste funding and effort already invested.

Now on p. 64.  
See comment 4.

23. On page 58, the GAO questions the validity of the EUDL evaluation design around the participant and comparison communities. The report argues that because there are no universal activities that all EUDL grantees must initiate as part of the program, there is no way of achieving a legitimate representative sample. While there are no specific program activities (i.e. compliance check, cops in shops etc.,) that are mandated to be a part of every EUDL discretionary program, the impact evaluation will be able to measure impacts on several program areas across each site. This will provide important information to the field. In other words, we may not be evaluating EUDL, because there is no specific EUDL program, however, within the parameters of EUDL funding, there are a number of activities/programs, such as compliance check and cops in shops, that we will be able to compare with a sample of communities that have not received EUDL funding. This is still important to the field, and should not be ignored.

Now on p. 70.

24. On page 61, the report states that the “second phase covers the two project sites – one enhancement and one planning – in which the program is being continued after the end of the first funding cycle.” The two projects which are the subject of the second phase are the two which received additional OJJDP funding to add elements to their programs to bring them closer to the OJJDP Community Assessment Centers (CAC) concept. Of the two projects which did not receive additional funding (and are therefore not included in the second phase of the evaluation), one has ceased to function as a separate project, the other, a planning site, continues to move toward operational status.

Now on p. 71.

25. On page 66, overall, the comments reflected in the draft GAO report pertaining to the Drug Free Communities Support Program national evaluation are accurate. Although, please note that the report does not reflect that we require supplementary information from Fiscal Year (FY) 1998 and FY 1999 grantees in the form of a Part II to their Categorical Assistance Progress Report (CAPR). This additional information supports the national evaluation. Grantees from FY 1998 and 1999, must submit CAPR, Part I and II, to both OJJDP and Caliber Associates. Grantees from FYs 2000-2002 report to OJJDP only and do not have the CAPR, Part II requirement.

Now on p. 73.

26. On page 63 and 64, the description of the national evaluation of SafeFutures is incomplete and (only very recently) outdated with respect to the methodology being used. Also, the report focuses only on the Youth and Caregiver Surveys, which were eliminated and did not mention a major component of the evaluation, the Client Indicator Data Base.

Regarding the Youth and Caregiver Surveys, after extensive developmental work on the instrument and attempts to implement the survey in three sites, by late Spring 2001, it became apparent that survey response was poor and would not produce worthwhile results. A decision was made to discontinue this component of the research and redirect remaining resources to more productive efforts, including the expanded qualitative analyses, and process reporting. Several factors contributed to poor response, including outdated contact information for the sampled youth and service provider ambivalence about the perceived intrusiveness of the data collection.

Nevertheless, GAO did not address a major component of the national evaluation that collects program performance data on program operations and client outcomes through the Client Indicator Data Base. The local programs are required to collect extensive information from selected SafeFutures program components on individual participants' risk and protective factor profiles; youth's service utilization and agencies' coordination of services for youth during the course of their involvement in the SafeFutures program. In addition, outcome measures regarding youth's educational commitment (school attendance, achievement and behavior); their involvement in delinquency and crime, and any changes in their risk profiles. Analysis of these data will provide a picture on program performance in three key areas: reaching the intended high risk youth clientele, coordinating services for youth with multiple problems, and subsequent school performance and involvement in the juvenile justice system.

Please note that the Client Indicator Data Base was made available to the GAO Auditors, and formed the basis for some sites in responding to the questions regarding the number of youth served.

Now in app. VII, p. 68.

27. In the Appendix III-"Non-OJJDP-Funded Programs: 10 Impact Evaluations," the Teen Courts evaluation is listed and described on pages 68-69 as an evaluation of a non-funded OJJDP program. OJJDP has an extensive national program on this and it is the only Federal or private national initiative on youth courts. It is administered through OJJDP's TTAD. Also, throughout the document there are references that there are only 10 impact evaluations on OJJDP programs. This should be changed to "11".
28. On page 68, the draft report says, "...rather than adults, youth are in charge in Teen Court". It should be noted that adults are in charge in Teen Court and it is recommended that the sentence be revised to say, "...they differ from formal courts in that young people are able to assist in the community decision making process for dealing with juvenile offenders."



The following are GAO's comments on the Department of Justice's October 15, 2001, letter.

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## GAO Comments

1. As we indicated in our report, impact evaluations, such as the types that OJJDP is funding, can encounter difficult design and implementation challenges. (See section titled, *Evaluations of OJJDP Programs are Difficult to Successfully Design and Implement.*) Also, we are aware that virtually all impact evaluations have limitations. However, where possible, impact evaluations should be designed to mitigate as many rival explanations of program effects as feasible, and potential limitations of the chosen research design should be acknowledged.
2. Our statement that the Juvenile Mentoring Program evaluation “has experienced problems obtaining behavioral measures and school performance data” was not intended to criticize the evaluators’ level of effort, but rather to indicate that their inability to obtain data from school and law enforcement officials in many of the study sites makes it more difficult to evaluate how well the program is achieving its objectives of diminishing delinquency, gang involvement, and school failure. While enhanced analysis of sites with the best data may be warranted, it does not overcome the problem of having a large number of sites with little or no reliable data from school and law enforcement officials. This problem was explicitly recognized by OJJDP in its November 2000 report.
3. During the course of our review, OJJDP officials told us that one measure of a research grantee’s performance is the number of products the grantee has published. These officials provided us a listing of all products published by active research grantees through OJJDP and private publishers as a direct result of OJJDP-funded research. We summarized these voluminous data by topic to facilitate the presentation.
4. Our report points out that the Enforcing the Underage Drinking Laws Program evaluation documents OJJDP provided to us were not clear on whether the sites chosen were representative. Our report does not suggest “there is no way of achieving a legitimate representative sample.” However, we agree with OJJDP that the evaluation may not be evaluating the Enforcing the Underage Drinking Laws Program because there may be no program components common to all project cities. The Assistant Attorney General states that the evaluation will be

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able to measure impacts on several program areas across each site. However, our point is that the evaluator's plan to aggregate data across sites may be inappropriate because wide variation allowed by the program means that program activities are not common across all sites. Therefore, interpreting and generalizing results may be problematic.

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# Appendix X: GAO Contacts and Staff Acknowledgments

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## GAO Contacts

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## Acknowledgments

In addition to the above, Lori A. Weiss, Barbara A. Guffy, Michele J. Tong, Leslie C. Bharadwaja, David P. Alexander, Douglas M. Sloane, Shana B. Wallace, Michele C. Fejfar, Charity J. Goodman, and Jerome T. Sandau made key contributions to this report.

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