

FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION (Mark appropriate box)

NOTICE OF INTENT (OPTIONAL)

PREAPPLICATION

APPLICATION

2. APPLICANT'S APPLICATION IDENTIFIER

a. NUMBER
N/A

b. DATE
Year month day
19 85 12 2

3. STATE APPLICATION IDENTIFIER

NOTE: TO BE ASSIGNED BY STATE

a. NUMBER

VERA INSTITUTE

b. DATE ASSIGNED
Year month day

LIBRARY

1121

4. LEGAL APPLICANT/RECIPIENT

a. Applicant Name: Vera Institute of Justice

b. Organization Unit: Research Department

c. Street/P.O. Box: 377 Broadway

d. City: New York e. County: New York

f. State: New York g. ZIP Code: 10013

h. Contact Person (Name & Telephone No.): Sally T. Hillsman, Ph.D. 212-431-3003

5. EMPLOYER IDENTIFICATION NUMBER (EIN)
13-1941627

c. PROGRAM (From CFDA)

a. NUMBER

MULTIPLE

b. TITLE

7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)
Becoming Delinquent: Adolescent Behavior in Two High-Risk Communities

8. TYPE OF APPLICANT/RECIPIENT

A-State B-Interstate C-Successor Organization D-Country E-City F-School District

G-Social Purpose District H-Community Action Agency I-Higher Education Institution J-Indian Tribe K-Other (Specify): DMVETA non-profit

Enter appropriate letter

9. AREA OF PROJECT IMPACT (Name of cities, counties, states, etc.)

10. ESTIMATED NUMBER OF PERSONS BENEFITING

11. TYPE OF ASSISTANCE

A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other

Enter appropriate letter

12. PROPOSED FUNDING

a. FEDERAL	\$ 200,000	.00
b. APPLICANT	150,314	.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. Total	\$ 350,314	.00

13. CONGRESSIONAL DISTRICTS OF:

a. APPLICANT: 17th

b. PROJECT: Brooklyn

15. PROJECT START DATE: 19 86 10 1

16. PROJECT DURATION: 18 Months

18. DATE DUE TO FEDERAL AGENCY: 19 85 12 2

14. TYPE OF APPLICATION

A-New B-Amended C-Revision D-Continuation E-Expansion

Enter appropriate letter

17. TYPE OF CHANGE (For 14c or 14d)

A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Circumvent

F-Other (Specify): N/A

Enter appropriate letter

19. FEDERAL AGENCY TO RECEIVE REQUEST: Department of Justice

a. ORGANIZATIONAL UNIT (IF APPROPRIATE): Office of Juvenile Justice and Delinquency Prevention

b. ADMINISTRATIVE CONTACT (IF KNOWN): Barbara Water Kelley

c. ADDRESS: 633 Indiana Avenue, N.W. Room 784 Washington, D.C. 20531

20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER:

21. REMARKS ADDED

Yes No

22. THE APPLICANT CERTIFIES THAT:

To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

a. YES, THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____

b. NO, PROGRAM IS NOT COVERED BY E.O. 12372 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

22. CERTIFYING REPRESENTATIVE

a. TYPED NAME AND TITLE: Jerome E. McElroy, Associate Director Vera Institute of Justice

b. SIGNATURE: *Jerome E. McElroy*

24. APPLICATION RECEIVED: 19

25. FEDERAL APPLICATION IDENTIFICATION NUMBER: _____ 25. FEDERAL GRANT IDENTIFICATION: _____

27. ACTION TAKEN

a. AWARDED

b. REJECTED

c. RETURNED FOR AMENDMENT

d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE

e. DEFERRED

f. WITHDRAWN

28. FUNDING

a. FEDERAL	\$.00
b. APPLICANT		.00
c. STATE		.00
d. LOCAL		.00
e. OTHER		.00
f. TOTAL	\$.00

29. ACTION DATE: 19

31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

30. STARTING DATE: 19

32. ENDING DATE: 19

33. REMARKS ADDED

Yes No

SECTION I - APPLICANT/RECIPIENT DATA

SECTION II - CERTIFICATION

SECTION III - FEDERAL AGENCY ACTION

PART II PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local, regional, or other priority rating?
_____ Yes X No

Name of Governing Body _____
Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?
_____ Yes X No

Name of Agency or Board _____
(Attach Documentation)

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?
_____ Yes X No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?
_____ Yes X No

Name of Approving Agency _____
Date _____

Item 5.

Is the proposed project covered by an approved comprehensive plan?
_____ Yes X No

Check one: State
Local
Regional
Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?
_____ Yes X No

Name of Federal Installation _____
Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?
_____ Yes X No

Name of Federal Installation _____
Location of Federal Land _____
Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?
_____ Yes X No

See instructions for additional information to be provided.

Item 8.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?
_____ Yes X No

Number of:
Individuals _____
Families _____
Businesses _____
Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?
_____ Yes X No

See instructions for additional information to be provided.

Item 11.

Is the project in a designated flood area?
_____ Yes X No

See instructions for additional information to be provided.

PART III — BUDGET INFORMATION

SECTION A — BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$ 200,000	\$ 150,314	\$ 350,314
2.						
3.						
4.				\$ 200,000	\$ 150,314	\$ 350,314
5. TOTALS		\$	\$	\$ 200,000	\$ 150,314	\$ 350,314

SECTION B — BUDGET CATEGORIES

Object Class Categories	— Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$ 200,000	\$	\$	\$	\$ 200,000
					\$

The project budget which follows includes federal and non-federal amounts: the distribution of the amount requested (\$200,000) among budget categories over an 18 month period would be negotiated with OJJDP staff if this proposal is approved.

SECTION C -- NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8.	\$ 150,314	\$	\$	\$ 150,314
9.				
10.				
11.	\$ 150,314	\$	\$	\$ 150,314
12. TOTALS				

SECTION D -- FORECASTED CASH NEEDS

	Total for 1st Year			
	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 21,600	\$ 21,600	\$ 32,400	\$ 32,400
14. Non-Federal				
15. TOTAL	\$ 21,600	\$ 21,600	\$ 32,400	\$ 32,400

SECTION E -- BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	\$	\$ Estimated annual budgets for Phase II (months 19-60)	Provided in Budget Narrative; federal and non-federal amounts would be negotiated with OJJDP if this proposal is	
17.				
18.				
19.	\$ 92,000	\$ approved.	\$	\$
20. TOTALS				

SECTION F -- OTHER BUDGET INFORMATION

(Attach Additional Sheets if Necessary)

21. Direct Charges: See Budget -- Phase I and Narrative which follow.

22. Indirect Charges: See Budget -- Phase I and Narrative which follow.

23. Remarks:

Budget: Phase I (18 months)
1 October 1986 - 31 March 1988

	<u>Total 18 mo. Costs</u>
A. <u>Personnel*</u>	
1. <u>Director of Research</u> Sally T. Hillsman @\$59,551; 10%	\$ 9,111
2. <u>Project Director</u> Laura A. Winterfield @\$41,340; 75% for Months 1-12, 50% for months 13-18	43,155
3. <u>Sr. Res. Assoc./Soc. Psychologist</u> Susan Sadd @\$46,275; 20%	14,345
4. <u>Sr. Res. Assoc./Urban Anthro</u> Mercer L. Sullivan @\$39,438; 0%	---
5. <u>Sr. Programmer/Analyst</u> John Best @\$38,877; 20% for months 1-12, 30% for months 13-18	13,957
6. <u>Data Collection Coordinator</u> 1 @\$27,000; 60%	25,110
7. <u>Interviewers/Data Collectors</u> 4 @\$16,000; 60%, 50%, 50%, 20%	44,280
8. <u>Res. Assoc/Ethnographer</u> 1 @\$20,000; 0%	---
9. <u>Res. Assistant</u> 1 @\$18,000; 30%	7,648
10. <u>Administrative Assistant</u> 1 @\$20,000; 50%	<u>15,300</u>
A. Total Personnel	\$172,906
B. <u>Fringe Benefits</u> @23% on A1-10	\$ 39,768
C. <u>Contractual</u> : Statistical Consultant David Rindskopf	\$ 1,000
D. <u>Travel</u>	
1. Local	\$ 965
2. Out-of-town	<u>1,630</u>
D. Total Travel	\$ 2,595

*Salaries include an annual 6% inflation factor, keyed to individual employee's hire date. Therefore, total costs cannot be calculated directly from the base

salaries and the percent of work time indicated.

E. Subsistence

1. Local	\$ 450
2. Out-of-town	<u>1,500</u>
E. Total Subsistence	\$ 1,950

F. Other Than Personnel Services

1. Stipends	\$ 9,530
2. Occupancy	39,128
3. Computer services	1,500
4. Key punching	747
5. Printing	10,850
6. Supplies	625
7. Publications	500
8. Reproduction	1,800
9. Long distance telephone	450
10. Postage & delivery	<u>1,200</u>
F. Total OTPS	\$ 66,330

G. Total Direct Costs (A-F) \$284,549

H. Total Indirect Costs (24% of A,B,D,E and F2-F10) \$ 65,765

I. Total Costs Phase I \$350,314

Request for support from OJJDP	\$200,000
Contributed by Vera Institute of Justice	\$150,314

Budget Narrative Phase I

A. Personnel

Descriptions of the work tasks assigned these staff lines are covered in Section E (Management Structure) pages 62 - 66 in the Project Narrative. The proportion of time each will spend during the 18 months of Phase I are reflected in the budget. Drs. Hillsman, Winterfield and Sadd will be actively involved in the project's work throughout the full Phase I period. Mr. Best will begin work in Month 8 designing the computerized database. The Data Collector Coordinator will come on in Month 8 to help hire and train the interviewers, the first of whom will join the staff in Month 9; the other interviewers will come on in Month 10; three will remain full time and one half-time throughout Phase I and into Phase II. Dr. Sullivan's work on the Ethnography will not begin until Phase II so no funds are allocated in the budget for Phase I, although he will be available for consultation, especially on the base line community data collection during the project's first year.

Salaries include an annual 6% inflation factor, keyed to individual employee's hire date.

B. Fringe Benefits

The fringe benefit rate (23%) for full-time staff is the standard, uniform rate applied to all Institute personnel.

C. Contractual

The project will require the services of a statistical consultant to assist us in applying the LISREL program to our longitudinal data.

D. Travel

1. Local travel. The two communities in which this research will be conducted are in Brooklyn. A field staff of four and a half persons will be making frequent trips from the Vera Research Department in Manhattan to both these areas and traveling between them, beginning in Month 8. The three and a half interviewers will make daily trips during the six months of T1 data collection that fall within Phase I of the project (120 days x 3 @\$2.00 RT); the field supervisor will make an average of 2 trips per week during this period (24 weeks x 2 @ \$2 RT); mapping the two neighborhoods for sampling will take daily trips for 2.5 field staff over 5 weeks (2.5 x 25 days x \$2 RT).
Total local travel: \$965.

2. Out-of-town travel. It is assumed that there will be three meetings of all OJJDP grantees involved in this initiative during Phase I, one of which would occur in New York City and involve no travel expenses for Vera staff. It is assumed one will take place on the West Coast and one in the Midwest or Mountain states. Travel expenses for this project, therefore, are estimated as follows: 3 staff to West Coast @\$320 RT and 2 staff to Mountain states @\$260 RT, with ground transportation @\$30/person/trip. Total out-of-town travel: \$1,630.

E. Subsistence

1. Local subsistence. It is assumed Vera will host one grantee meeting and incur the expense of luncheon for 18 grantees and OJJDP staff during a three-day period. Total local subsistence: \$450.
2. Out-of-town subsistence. Three staff will attend one out-of-town grantee meeting and two staff will attend the second meeting; each meeting will last three days @\$100 per day. Total out-of-town subsistence: \$1,500.

F. Other Than Personnel Services

1. Stipends. The project will pay each respondent \$10 for completing each interview. The first wave of interviews (N=1400) will include both a parent and the sample youth (subsequent waves include only youth). Beginning in Month 13, it is assumed that two-thirds of all the first wave interviews will be completed by Month 18, the end of Phase I. Total stipend costs: 933 interviews during Phase I plus 20 pretest interviews @\$10: \$9,530.
2. Rental and Other Occupancy Costs. The Vera Institute Research Department currently occupies space at 377 Broadway for which it pays rent and the associated costs of maintaining office facilities (e.g., utilities, security, maintenance, reception, local telephone, etc.). These Departmental costs are apportioned to each research project on the basis of full-time equivalent personnel (FTEs) at an estimated (but uniform) number of square feet. During Phase I of this project, @ 266.5 square feet per FTE at a cost of \$22/square foot, total rental and other occupancy costs would be: \$39,128.
3. Computer services. The Vera Institute Research Department has maintained a contractual relationship with the Computer Center of the City University of New York for many years to process our computerized data. Its large and sophisticated processing equipment, coupled with the availability of many statistical packages routinely used by Vera researchers (including LISREL, as well as SAS, SPSS, and BMDP) and the availability of technical support from the Computer Center's staff, has made this an efficient and successful method of data processing. We access their equipment through remote terminals located in the Research Department offices. Based on our previous experience with research projects of similar magnitude, we estimate the data processing costs for Phase I to be \$1,500; this low figure reflects the fact that most of the successive waves of data entry and the data analysis using LISREL will occur in Phase II.
4. Keypunching. We estimate the six data collection instruments (3 personal interviews and 3 updates of criminal history records) will result in approximately 33 cards of data per case (N=700 at T1) for a total cost of \$4,206 over the full project, accounting for sample loss. Approximately \$747 of this amount will be incurred during Phase I.
5. Printing. Data for this project will be collected primarily from a series of existing (or to be constructed) instruments needed to test the proposal delinquency model. At each personal interview one composite interview form will be used that will be approximately 100 pages in length. Because the instruments used will be the same throughout the project, they will all be reproduced during Phase I to take advantage of economies of scale. Pretest and training interviews (N=100), Parent interviews at T1 (N=700), and Youth interviews at T1, T2, T3 (N=1755, taking sample loss into account) @\$4.25: \$10,850.
6. Supplies. @ approximately \$100 per person-year: \$625.

7. Publications. For the purchase of books, computer manuals and test instruments that are copyrighted: \$500.

8. Reproduction. @ \$100/month (\$.06 page), including general use, the production of quarterly reports and the Phase I technical report to OJJDP, and circulation of documents and memoranda to other grantees: \$1,800.

9. Long Distance Telephone. @ \$25/month: \$450.

10. Postage and Delivery. @ \$50/month during the first 12 months and @ \$100 during months 12-18, after the start of the field work. The increased monthly estimate takes into account the needs of the field staff in maintaining contact with sample members between the T1 and T2 interviews by letter as well as by telephone and personal visits. Total postage costs: \$1,200.

H. Total Indirect Costs. The current approved IDC rate for the Vera Institute is 24% as reflected in the attached U.S. Department of Health and Human Services agreement.

Estimated Annual Budget: Phase II (42 months)
1 April 1988 - 30 September 1991

Continuation of <u>Year 2 (6 mo)</u>	Year 3 <u>(12 mo)</u>	Year 4 <u>(12 mo)</u>	Year 5 <u>(12 mo)</u>	Total Phase II <u>(42 mo)</u>	Total Phases I and II (60 mo.)
\$160,358	\$414,148	\$392,339	\$177,026	\$1,143,871	\$1,494,185

The estimated costs for Phase II are based upon the Specification of Tasks and Time Lines for Phase II found on pages 57 - 60 in the Project Narrative. They assume a continuity of the specific project personnel identified in the narrative with time commitments per year appropriate to the tasks.

During Phase II, the ethnographic work will be carried out; thus Dr. Sullivan and a part-time ethnographer are included in these cost estimates. Because of the need for maintaining contact with 700 difficult research subjects over a three-year period, as well as for doing the interviewing at T2 and T3 and the remainder of those at T1, the budget reflects maintenance of a full-time field staff, who also carry out other data collection and coding functions. The estimated budget includes travel expenditures associated with anticipated annual meetings with other grantees and OJJDP staff, as well as costs involved in obtaining official RAP sheets, stipends for research subjects (both sample members and community members participating in the ethnography), local travel and postage costs required by the field work, and computer costs associated with the use of LISREL.

It is assumed that this budget will include federal and non-federal amounts; the distribution of these amounts will be negotiated with OJJDP, if this proposal is approved.

RATE AGREEMENT
NONPROFIT ORGANIZATIONS

ORIGINAL

ORGANIZATION:

Vera Institute of Justice, Inc.
377 Broadway
New York, New York 10013

DATE: June 7, 1985

FILING REF.: The preceding
Agreement was dated 9/28/84

The rates approved in this Agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section II.

SECTION I: RATES

Type	Effective Period		Rate	Locations	Applicable To
	From	To			
<u>INDIRECT COST RATES*</u>			(1)		
Final	7/1/83	6/30/84	68.3%	On-Site(2)	Research
Final	7/1/83	6/30/84	32.7%	On-Site(3)	All Programs
Final	7/1/83	6/30/84	25.3%	Off-Site(4)	All Programs
Provisional	7/1/84	Until Amended	24.0%	All	All Programs

- (1) See Special Remarks - 1.
- (2) Applicable to programs conducted at 39th street site.
- (3) Applicable to programs conducted at 275 Madison Avenue site.
- (4) Applicable to programs administered out of 39th street but conducted at off-site locations.

*Base: Total direct cost less capital expenditures (alterations, renovations equipment - see special remarks - 2), major subcontracts and flow-through monies for which the organization operates as a conduit of funds.

Treatment of Fringe Benefits: Fringe benefits applicable to direct salaries and wages are treated as direct costs.

ORIGINAL

ADDENDUM TO RATE AGREEMENT

June 7, 1985

Agreement Reference Date

ORGANIZATION: Vera Institute of Justice, Inc.

ADDRESS: New York, New York 10013

SPECIAL REMARKS

- (1) The institution has elected to directly charge grants and contracts for all costs except general and administrative expenses, as illustrated in Appendix E - Direct Allocation Method in "A Guide for Non-Profit Organizations, OASMB-5.
- (2) The institution's policy provides that an item of nonexpendable tangible personal property having a useful life of one year or more and an acquisition cost of \$500 or more is classified as equipment.

PART V ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines and requirements; including OMB Circulars No's. A-95, A-102, A-110, A-122, and A-87, as they relate to the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grants is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the sponsoring agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
12. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historic Preservation Act of 1966 (16 USC 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
13. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.
14. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA, NIJ, BJS, OJJDP or OJARS grant.
15. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the grantor agency organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.
16. It will comply with the provisions of 28 CFR 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.
17. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 CFR 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.

Becoming Delinquent: Adolescent Behavior in
Two High Risk Communities

ABSTRACT

Recent efforts to construct models of the onset and maintenance of delinquent behavior have increased our ability to explain who does and does not become delinquent. Yet most current theoretical models have been developed within the context of a single discipline (usually sociology). Furthermore, only a few have been tested using longitudinal designs and fewer have been tested on high-risk populations. This dearth of longitudinal research limits our ability to establish temporal order and to explore causal relationships. Earlier models have not allowed evaluation of the relative contributions of individual-level and community-level variables. In addition, we need to know more about how various factors identified in those models interact, how the factors differentially affect delinquent career patterns (from petty, short-term to serious, extended involvement), and how official criminal justice interventions affect delinquent careers.

The proposed study will first expand, and then test, an integrated sociological model of delinquency; the expanded model will incorporate individual differences (IQ, personality) and macro-level community characteristics, with criminal justice actions and social psychological factors (inadequate socialization as measured by parent management, strain, weak conventional bonding, delinquent peers). Where possible, existing instruments or constructs with established psychometric properties will be employed. Delinquent involvement will be measured using self-report data. These data will be used to develop typologies of delinquent career patterns, reflecting variations in the seriousness and duration of delinquent activities, based on a method already developed in previous Vera research on delinquent careers.

The model will be tested on a community-based sample of 700 boys between the ages of 12 and 17, drawn from two predominantly minority, high-crime neighborhoods in Brooklyn. The particular communities were selected because Vera has previously collected extensive ethnographic data on both the communities and the delinquent boys living in them.

The longitudinal design will allow us to test a causal model, including reciprocal relationships between predictor variables. Such a test will require the use of sophisticated statistical techniques designed to evaluate structural equation models (e.g., LISREL). We will also conduct ethnographic research on peer relationships in the two study neighborhoods. The project will be conducted over five years, with data being collected three times, at one year intervals.

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Becoming Delinquent: Adolescent Behavior
in Two High-Risk Communities

I. STATEMENT OF THE PROBLEM AND REVIEW OF THE LITERATURE

A. Statement of the Problem

Crime and the fear of crime cause intolerable damage to life, to property and to the quality of life. Our efforts to reduce that damage drain the public purse for police, prosecution, public defenders, courts, probation, prisons and parole. This unsatisfactory state of affairs is made worse by the magnitude of crimes committed by youth. Juveniles account for about half of all arrests for serious property and violent crimes. The importance of the problem of juvenile delinquency lies not only in its magnitude, but also in its presumed link to the adult crime problem. To the extent that our crime control strategy relies on post hoc interventions after criminal careers have begun in adolescence, we increase our vulnerability to the crimes committed during the development of those careers and increase the expense of the correctional apparatus necessary to confine and correct the adults who emerge.

Our experience of crime and of corrections calls out for a strategy of prevention. Post hoc correctional interventions -- whether applied to adjudicated juvenile delinquents or to convicted adult criminals -- have not been resounding successes. They are not applied to nearly enough of those committing crimes (particularly juveniles) to reduce substantially the incidence of crime committed by active delinquents and criminals, and they are applied too late to prevent the development of criminal careers.

These widely-shared concerns about juvenile crime provoked both the 1980 amendments to the 1974 Juvenile Justice and Delinquency Prevention Act (mandating additional attention to the problem of juveniles who commit serious

crime), and a renewed focus on the development of effective delinquency prevention programs at the community level.

While the strategic attractiveness of investment in prevention is obvious, it is difficult to imagine dramatic short-term returns on such investments. Not only have most rigorous evaluations of delinquency prevention programs shown ambiguous or mixed results (e.g., Lundman and Scarpitti, 1978; Miller, 1959; Newton, 1978; Powers and Witmer, 1951; Wright and Dixon, 1977), but the theoretical underpinnings of prevention programs are weak. OJJDP's Delinquency Prevention Research and Development Project and its Violent Juvenile Offenders Research and Development Project, and NIJJDP's National Center for the Assessment of Delinquent Behavior and Its Prevention (NCADBIP) bespeak a consensus in the field that we must build a deeper, sounder theoretical foundation for design of delinquency prevention programs. More powerful theoretical models, delineating the causes of delinquency and the relationships between these causal factors, are necessary for the efficient targetting of interventions on those juveniles for whom delinquency is most likely to be prevented. We also need to specify points in their adolescent development when the particular interventions are most likely to work.

Research on the etiology of delinquency, though much advanced in recent years, is not yet adequate to this task. The inability of juvenile delinquency research to provide the level of specificity necessary for program development exists for several reasons. Over the last twenty years, the field of juvenile delinquency theory has been one of competing, rather than complementary paradigms. As a result, most prior research has not been focused on developing an inclusive model of delinquency, but on debunking the current popular approach. The "models" built within this competitive context have not

been interdisciplinary in scope, which has limited their ability to provide adequate causal explanations.

In addition, the methodological and analytical designs offered in much of this research have been relatively unsophisticated. Most of the research done to date has been cross-sectional. With cross-sectional designs, the temporal order of a set of factors cannot be established. Thus, research to date has made little effort to establish causal order or explore the interactions among identified correlates of delinquent behavior; it has, therefore, produced only limited insights into the causes of delinquency or the likely strategies for its prevention.

OJJDP's recent program announcement calls for research to generate and test an interdisciplinary multivariate model of delinquency, using a longitudinal design. The goal of such research is to help build a knowledge base modeling the potential causes of juvenile crime and the development of pro-social and antisocial adolescent behavior, thereby facilitating the better design and better targetting of prevention efforts. What is needed is the development of an inclusive model that explains both the onset and the maintenance of criminality or delinquency, and that specifies the sequential order of those explanatory factors. To serve its intended uses, such a model should be able to predict paths leading either to no onset of delinquency or to desistance from delinquency, as well as those leading to delinquent involvement and serious, sustained delinquent careers. Additionally, the model should be inclusive enough to be able to specify predispositional factors placing youths at risk of developing delinquent behavior. To determine the important social context in which delinquency occurs and to specify factors amenable to intervention within these contexts, the model should include factors relating to the community, the family, and the individual.

Our goal in the research proposed below is to move beyond a sociologically-derived integrated theory of delinquency to incorporate theoretical perspectives from other disciplines. Our resulting model will combine individual-level and community-level variables with sociological constructs of established predictive value. Tests of that model will attempt to specify reciprocal relationships between independent variables more fully than have previous efforts. We will also construct the dependent variable (delinquency) to reflect variations in delinquent career patterns over time. In the following pages, we review literature from a variety of areas focusing primarily on the relevance of that literature to the subsequent delineation of the model.

B. Review of the Literature Concerning Delinquency and Crime

Theoretical models describing the etiology of delinquent involvement are plentiful. Classic sociological theory provides alternative explanations of the development of delinquent behavior; more recently sociologists have explored integrated models which attempt to combine competing intradisciplinary theories in recognition of the multiple causes of delinquency. Yet there has been little effort to synthesize sociological explanations of delinquency with those offered by other disciplines proposing psychological, biological, ecological or economic theories of delinquency.

In their recent attempt to construct a "comprehensive model" of crime and its correlates, Wilson and Herrnstein (1985: 41) point to the exclusion of explanatory factors associated with competing disciplines:

...theories that call attention to the social setting in which crime occurs (such as the attitudes of parents and peers, the perceived costs and benefits of crime, the influence of drugs and television) direct our attention away from preexisting individual traits that make people more or less susceptible to such social factors; by the same token, theories that emphasize the preferences of

individuals tend to deemphasize the situational factors that determine how, or even whether, those preferences affect behavior.

To provide a theoretical basis for the model we propose to test, we shall briefly review various relevant theoretical perspectives and the empirical evidence testing those theoretical perspectives. We focus initially upon the traditional sociological theories of delinquency (e.g., strain, control, and social learning/subculture theory) and efforts to integrate those theories. However, we also consider literature pointing to the central role of both community setting and psychological characteristics that have not as yet been fully included in the integrated sociological models.* Furthermore, we will also briefly discuss the literature regarding the potential outcomes of criminal justice interventions upon subsequent delinquency; i.e., the labeling and deterrence literature. From these theoretical frameworks (strain, control, and social learning theory, psychology, community, labeling and deterrence) the predictive factors of our model (i.e., the independent variables) will be drawn.

In addition, we briefly consider some of the recent literature on criminal careers, including work currently being carried out at Vera. This is done to outline our theoretical concerns with the issue of how delinquency is conceptualized as a dependent variable. This has implications for measurement issues that will arise when we operationalize our expanded theoretical model.

* We do not here consider the dominant economic theory explaining criminal involvement as a "rational economic choice," weighing the costs and benefits of illegitimate involvements, with costs defined in terms of the potential returns to legitimate employment. Recent research, both at Vera (Sviridoff and McElroy, 1984) and elsewhere (Thornberry and Christensen, 1984) suggests that this specific model has little explanatory power in relation to the early stages of delinquent involvement. Our research suggested that economic factors, mediated by residential setting, had an indirect effect on criminal involvement.

1. Etiology of Delinquency

The sociological research of the last fifty years concerning the etiology of delinquency presents three main theoretical orientations: strain theory (Cloward and Ohlin, 1960; Elliott and Voss, 1974; Merton, 1938; Simon and Gagnon, 1976), control theory (Hirschi, 1969; Reiss, 1951), and social learning or subculture theory (Akers, 1977; Cohen, 1955; Sutherland and Cressey, 1970). Each of these orientations, as used in contemporary empirical research, is described briefly below.

Strain theory, in its simplest form, has been used to conceptualize delinquency as the result of a disjunction between aspirations and opportunities. It assumes that all individuals have been adequately and equally socialized and share middle-class aspirations and goals. Yet individual youths are seen as differing in access to socially accepted means for fulfilling common goals. In its earlier form (Cloward and Ohlin, 1960; Merton, 1938), strain theory was directly linked to social class; lower class youth were seen as having limited access to success because of their class position. Blocked opportunities led to the formation of delinquent subcultures within lower class communities. More recent formulations (Elliott and Voss, 1974) assert that it is necessary only to aspire beyond one's current means to create strain, and real deprivation is not required. In this formulation, the focus has shifted from social structures to individual perceptions of the disjunction between aspirations and opportunities. In all strain formulations, delinquency emerges as a response to actual or anticipated failure to achieve socially induced needs or goals. Those who are unable to revise or adjust their goals in the face of this failure are forced to consider unconventional alternative means.

Control theory, on the other hand, assumes that the state of unfulfilled needs (strain) is human nature, and that what differentiates individuals is

their degree of socialization to the conventional normative order (Hirschi, 1969). Thus, the internalization of conventional norms (internal controls), and the degree of involvement with conventional groups and activities (external controls) act as constraints on individuals' behavior. In most instances, control theorists pay particular attention to adolescents' bonds to the family, the school, community organizations, and future work roles as the major external sources of social control. Personal attitudes, values, and beliefs are seen to be the primary sources of internal control. Delinquent behavior is thus the result of inadequate bonding to the conventional social order. This lack of bonding reduces the psychological costs of delinquent behavior, permitting the choice of delinquency over non-delinquent actions.

In contrast to strain and control perspectives, social learning theory emphasizes neither an inherent motivation for crime nor generally agreed upon social aspirations. From this perspective, there is neither a push into delinquency because of strain nor an inability to resist a natural impulse because of weak social controls. The decision to engage in either conforming or deviant behavior is viewed as resulting from differential social reinforcement. Through social interaction, rewards and punishments for a variety of acts condition subsequent behavior (Akers, 1977). Those individuals and groups that provide the major sources of rewards and punishments during childhood and adolescence are seen to be the family, the school, and the peer group. The normative orientations of these groups, especially the peer group, generate differential social reinforcements which determine delinquent behavior.

While much of the sociological research during the past thirty years has been devoted to "proving" that one or another of these paradigms was the right one, the major emphasis in the last decade has shifted to integrating compo-

nents from the various perspectives. These efforts have been driven by a desire to increase the overall explanatory power of the models being developed. As Elliott et al. (1985: 125) state:

The level of explained variance attributable to separate theories is embarrassingly low, and, if sociological explanations for crime and delinquency are to have any significance upon future planning and policy, they must be able to demonstrate greater predictive power.

The assumption that the causes of crime and delinquency are multiple lies at the heart of the integration approach. Thus, the integrationist's premise is that there may be more than one set of causal conditions necessary to explain individual involvement in delinquency, and that there may be more than one temporal ordering for a given set of predictors.

Most current attempts at integrating sociological theories involve a single level of explanation -- that of individual-level variables and outcomes (Aultman and Welford, 1979; Cernkovich, 1978; Conger, 1980; Elliott and Voss, 1974; Elliott et al., 1985; Hawkins and Weis, 1980; Johnson, 1979; La Grange and White, 1983; Meade and Marsden, 1981; Minor, 1977; Segrave and Hastad, 1983). Additionally, these integrated models proposed to date vary greatly in the degree to which the logical assumptions of each theory have been made compatible and synthesized.

Most of the integration attempts thus far have been what Elliott (1985: 130) calls mixed models. Mixed models, often developed from empirically observed relationships, make no attempt to specify how the independent variables, or explanatory factors, relate to one another. However, the causal relationships between variables and the determination of the sequential ordering and expected effects are crucial to an adequate integrated model.

With few exceptions, cross-sectional tests of integrated models increase the level of explained variance attained by the separate theories. In a model

which added strain variables to control variables, Cernkovich (1978) found a small increase (3 percent) in explained variance. Yet, the overall amount of variance explained by the strain-control model was low (approximately 15 percent). However, in a different theoretical configuration where control variables were added to social learning variables (Johnson, 1979) a substantial increase in explained variance was found (27 percent).

Several other studies used predictors from all three sociological theories (Figueira-McDonough et al., 1981; Meade and Marsden, 1981; Simons et al., 1980). Here, although the overall variance explained increased somewhat over those models with predictors from two perspectives, the net increase added little to the explanatory power of social learning variables alone. However, a review of the cross-sectional integrated studies suggests not only that there can be an increase in the amount of variance explained when information from the three perspectives is combined, but that specifying the temporal order of the predictors clarifies the causal processes. Generally, strain variables add explanatory power to control variables. Further, when the social learning variables are added and temporal order is imposed, the overall explanatory power of the model is enhanced.

Elliott et al. (1985: 141), in a longitudinal analysis of a national probability sample of youths, found an increase in predictive efficiency when sets of variables from all three sociological perspectives were combined and the causal order specified:

Including both strain and social disorganization predictors increases the level of explained variance by 20 percent to 50 percent over that of the social control predictors alone. While strain and disorganization predictors are clearly weak predictors, they appear to be largely independent of social control predictors.

In a recent document regarding the prevention of serious delinquency (Weis and Sederstrom, 1981), NCADBIP offers an integrated model to serve as

the conceptual framework for prevention program development. The authors suggest that

...a dynamic multivariate causal model of delinquency is desirable for theory and prevention. A dynamic causal model and its derivative implications for prevention should be responsive to the direct and interaction effects among variables over time. In the most general sense, the different causes of delinquency have different effects at different points in time in a youngster's life. (p. 36)

They offer an explicit integration of control and social learning theory, with strain notions interwoven throughout. They then use this model to specify types of prevention programs suggested by the integrated model, focusing on the community, the family, the school, peers, and employment.

Despite the improvements in predictive power made by integrated models, many have not adequately measured "inadequate socialization." Specifically, the family is the primary unit within which appropriate behaviors (e.g., social norms) are learned; therefore, the family is the locus of socialization (or lack thereof). Thus, the current research proposes to include family practices among the measures of inadequate socialization.

Recent work at the Oregon Social Learning Center has focused on relationships between the parental role and delinquency involvement (Patterson, 1982; Patterson and Dishion, 1985). Patterson and his colleagues argue that the families of antisocial children differ from others in terms of the extent of parental attachment, parental monitoring, parental response to bad conduct and the consistency of rewards and punishments. Furthermore, a recent reanalysis of data containing information on parenting from the Richmond Youth Survey supports these hypotheses (Chapman, 1985).

Greenwood and Zimring (1985) incorporate parenting style in their predictive model of delinquency. Their focus on early childhood as the period in which delinquent predispositions develop complements their interest in early

interventions -- Head Start programs and parent training programs. They report:

The seeds of chronic delinquency were shown to be planted at an early age in a breakdown of the normal socializing process. This breakdown is usually a result of incompetent or inattentive parental behavior and may be aggravated by a child's abnormal physiological or psychological characteristics. Inadequate early socialization leads to failure in school, rejection by conventional peers, and continuing drift in deviant activities and peer groups. By the time a juvenile court clearly identifies a juvenile as a chronic or serious delinquent, he or she will have fallen far behind more conventional peers in social, academic, and emotional development. Intervention efforts will continue to be hampered by problems within the juvenile's family and the necessity of facing the normal problems of later adolescence. (p. 69)

This focus on parenting is, in effect, social control theory. An expansion of a theoretical model that defines inadequate socialization in terms of socializing agents might increase the explanatory power of such models.

Given the empirical and practical support for an integrated sociological model of delinquency, using notions from strain, control, and social learning theory (coupled with the focus on the community as the locus of the prevention effort), the sociologically-based integrated approach provides a strong foundation for any model addressing the etiology of delinquency. Even with the advances made by the integrated approach, however, there are several important deficiencies. First, most integrated models do not test for reciprocal relationships among the factors suggested by the models. As the recent work by Thornberry and Christenson (1984) demonstrates, specifying reciprocities among the factors can aid greatly in the conceptualization of the timing of specific causal paths. Reciprocities will be specified and analyzed in our conceptual model (which will be explained in detail in Section II).

Additionally, the factors in the integrated models thus far have included only individual-level variables; as a result, the models do not incorporate

macro-level community factors which are related to crime. As Weis and Sederstrom (1981: 33) state:

[this] reflects a difference in emphasis -- one on the general case and the other on the more specific case of serious juvenile crime. Clearly, the latter requires a specification of the community context wherein the social development process is to unfold. Otherwise put, the social development of youths is different in the South Bronx than in Beverly Hills.

Because the attempt here is to develop a fully specified model concerned with high-risk youth, those general features of the community, shown to be correlated with crime and delinquency, must be included. As Elliott et al. (1985: 144) indicate, macro-level, community variables "...have an indirect relationship to crime, but can improve the general explanatory power of our theoretical formulations and increase our understanding of criminogenic environments and process."

2. Social Area Analysis and Ethnographic Field Studies

A long tradition of social area research at the University of Chicago has focused attention on neighborhoods -- their institutional structures, their stability and their capacity to meet the needs of residents. These factors are seen as integrally related to the prevalence of delinquent activity in slum communities (Bordua, 1958-59; Chilton, 1964; Lander, 1954; Shaw and McKay, 1931, 1942, 1969). In this tradition, concentrations of delinquency in lower class areas are thought to be the result of processes of cultural transmission affecting successive generations. The social area tradition points to the physical deterioration of slum areas, high residential mobility, persistent poverty, diversity of values, and the erosion of traditional values of immigrants as characteristics associated with neighborhoods in which delinquent patterns develop.

A second tradition, that of anthropological field studies in ghetto communities, also focuses attention upon relationships between local settings and delinquency development (Hannerz, 1969; Lewis, 1966; Liebow, 1967; Whyte, 1955). Such research explores community culture in the broadest sense, analyzing relationships among locally endorsed values, beliefs and behaviors. Although the widely cited "culture of poverty" hypothesis suggests that culturally transmitted behaviors sustain patterns of poverty, unemployment and criminality (Hippler, 1974; Lewis, 1966), most field studies argue that values supporting delinquency emerge as adaptations to pre-existing poverty within poor communities (Curtis, 1975; Valentine, 1968). Some, like Thrasher (1927), suggest that youths in such communities band together initially for protection against a threatening environment and gradually develop responsive delinquent behaviors. Others (Rainwater, 1970) see delinquent behaviors as part of a more general effort to validate identity by developing an "expressive self" in the face of limited legitimate opportunities. Many studies suggest that community settings can affect behavior without leading to fully developed deviant subcultures (Liebow, 1967; Matza, 1964; Rodman, 1963). They contend that conflicting prosocial and antisocial values are maintained simultaneously through a process of "value stretch" or a "shadow system" of values, permitting delinquent youth to support conventional values while engaging in delinquent behavior. The lower class community is seen as permitting and fostering multiple, often contradictory, value systems and thereby enabling delinquency to flourish.

Recent ethnographic research at Vera on employment and crime relationships in three high-risk Brooklyn communities (a poor black neighborhood, a poor Hispanic neighborhood and a working-class white neighborhood) found distinctive neighborhood-specific patterns of delinquent activity (Sullivan,

1984). Neighborhoods differed in terms of economic and ecological characteristics, patterns of household formation and relationships to local institutions (schools, police, community groups). These differences shaped the kinds of crimes youth engaged in, as well as the prevalence, frequency, severity and persistence of delinquent involvement. For example, in the poor minority communities, persistent economic deprivation appeared to be related both to the erosion of parental authority and to the diminished trust in conventional institutions. Neighborhood economic conditions affected levels of both informal and formal social control and indirectly affected the delinquent involvements of youth.

Thus, as is evident in the emphasis of strain theory upon blocked opportunities leading to subcultural adaptations within a community context and in the emphasis of control theory on weak social controls within neighborhoods (Kornhauser, 1978), theories which envision community disorganization as causally related to delinquency have clear ties to the broader sociological tradition. In the context of an integrated sociological model, community disorganization can be seen as both weakening conventional bonds and encouraging the formation of delinquent peer groups. Both the Chicago and the ethnographic traditions of community-oriented research demonstrate the indirect role played by local settings in the development of delinquency. Clearly, community level influences need to be incorporated into integrated sociological models.

3. Psychological Factors

Sociological models do not generally include psychological factors that have been found to influence delinquent involvement. Reviewing literature identifying such effects, Wilson and Herrnstein (1985) point to intelligence,

verbal skills, birth order, temperament, and impulsivity as central predisposing elements. They suggest that individuals vary in their ability to be socialized and that impulsive, aggressive children resist socialization more than others. They also contend that families vary in their ability to provide consistent rewards and punishments as behavior patterns develop. In their literature review, predisposing factors, in concert with ineffective parenting, emerge as the primary determinants of delinquency.

This differs from social control theory. That theory assumes that the ability to be socialized does not vary, but that socializing agencies (family, school, community, peer groups, religious institutions) do. In contrast, biological and psychological explanations of delinquency emphasize individual differences in the ability to be socialized. Thus, it is important in expanding a conceptual model, to include these psychological factors.

4. The Competing Notions of Labeling and Deterrence

To have a more complete theoretical model of the predictors of delinquency, it is necessary to include an additional construct, that of criminal justice intervention. That is, the formal societal response to an individual's illegal behavior has an effect on the likelihood of his committing illegal acts in the future. The direction of the effect of official intervention is a matter of contention, depending upon one's theoretical orientation.

The general notion offered by labeling theorists is that "naming makes it so." Labeling theory suggests that police apprehension stigmatizes the offender, thereby denying him access to conventional society. Most of the research assesses the hypothesized outcome of such a process, rather than the process itself.

Gold (1970) reported on an analysis of the effect of police apprehension on subsequent delinquent behavior, and found that apprehended youth reported

an average of 3.7 subsequent offenses as compared with 2.7 for youth who had no official police contacts. This study has been criticized, however, because of its small sample size and failure to control for offense seriousness in the post-apprehension period. Thomas (1977) also examined the relationship between police apprehension and subsequent criminality and found that, although those apprehended did, in fact, show lower rates of arrest after apprehension, the low amount of variance in subsequent arrests explained by police activity indicated that other factors account for the decline in arrests. Using a longitudinal design, Paternoster (1978) tested the direct effects of apprehension on future delinquency, and also the indirect effects of apprehension through several intervening variables such as social bonding and delinquent identity. He found that higher involvement in delinquent behavior during the study period was associated with a prior police involvement, and that this relationship was highest for lower-class youth. Wolfgang et al., after calculating the probabilities of continued and serious delinquency subsequent to official dispositional decisions, concluded that "serious delinquent behavior more often follows court appearance than not." (1972:234) West and Farrington's self-report findings support those from official data: they state that "the experience of conviction usually led to a further hardening of anti-social attitudes and a worsening of delinquent behavior." (1977:161) Thus, this body of research seems to confirm the labeling hypothesis that once a delinquent is officially categorized, there is a subsequent negative effect on behavior. However, this research has failed to identify the major variables which mediate the relationship between apprehension and subsequent behavior; therefore, further specification and testing is necessary.

On the other side of the argument is deterrence theory, which hypothesizes that certainty and severity of punishment will have an impact on subse-

quent criminality through one of two alternative routes -- individual or general. Because we are concerned with developing a model to explain an individual's involvement in delinquency, we focus primarily on research concerned with individual-level deterrence.

Those studies which have focused on individual's perceptions of the likelihood and severity of punishment (Chiricos and Waldos, 1972; Erickson, Gibbs and Jensen, 1978; Teevan, 1976), generally conclude that belief in the certainty of punishment is negatively correlated with involvement in delinquent acts; perceptions of severity have little or no effect on behavior. Additionally, some deterrence studies have examined the role that extralegal factors, such as attitudes to crimes, peer delinquency, and commitment to conventional society have in relation to criminal behavior (Silberman, 1976; Tittle, 1969; Toby, 1964). These works suggest that individuals with low stakes in conformity, low condemnation of illegal acts, and membership in delinquent peer groups are those for whom punishment has the least deterrent effect. However, because all of the work regarding individual deterrence thus far has been cross-sectional in design, it remains unclear what relationships between important variables will be found once temporality is considered.

In sum, then, we feel that the inclusion of a broad array of sociological and psychological variables, together with the potential effect of official interventions, more fully specify the predictors for an expanded causal model. However, the concept and measurement of the dependent variable, delinquent behavior, remains to be identified. The reasoning behind our choice of methods for conceptualizing criminal behavior is provided by reference to the career criminal literature. This is not intended to provide a comprehensive discussion of the research in this area; nor does it enumerate all of the

hypotheses tested in those studies.* Rather, it explains the basis of our decision to use the notion of a "criminal career" in measuring delinquency. In addition, the advantages of such a method are discussed.

5. Definition of a Criminal Career

The conceptualization of the criminal career involves several issues surrounding the types of data used to characterize the career and the way in which information is combined. The type of information used with rare exception (Elliott et al., 1983) has been an official arrest or conviction. This reliance on official data has meant that our notions of career are based on official reactions to some unknown portion of the illegal behavior which actually takes place. Self-report techniques surely come closer to measuring the latter and indicate that some people who actually offend frequently are adept at evading detection. For example, Elliott et al. found that only 2% of those they classified as serious offenders based on self-report data had been arrested 5 or more times, that is, met Wolfgang's criterion for classifying someone as a serious offender.

Furthermore, those official reactions (arrests) have typically been combined in summative ways, without controls for either the distribution of the arrests over time, or their seriousness. For example, Wolfgang et al. defined a chronic offender simply as one who has five or more arrests. This lack of

* Within this field, there are eight pieces of work widely cited (Blumstein and Cohen, 1982; Chaiken and Chaiken, 1982; Elliott et al., 1984; Farrington, 1981; Hamparian et al., 1978; Petersilia, 1980; Polk, 1978; Shannon, 1981; Wolfgang et al., 1971). Most of this research is descriptive in nature, focusing on the characterization of a criminal career, incidence and prevalence of criminality, and tests of specific hypotheses regarding developmental processes within careers -- specifically the juvenile-adult continuity hypothesis, the early onset and career length hypothesis, the increasing seriousness hypothesis, and the increasing specialization hypothesis.

specificity has several implications. First, when the distribution of offenses over time is not controlled, it is impossible to differentiate between an offender who has six arrests within one year with none thereafter, and another who has two arrests per year over a three year period. The latter offender is a more likely candidate for a "career criminal" than is the former. Second, if the severity of offenses (or arrests) is not incorporated into a categorization of "career," the multiple petty thief cannot be discriminated from the multiple rapist.

In contrast, Elliott et al. (1985) argue that the minimum components of a career definition should include the frequency and severity of involvement in illegal activity, as well as some specified period of persistence or continuity. To that end, he suggested that offending during each year should be characterized in terms of the number and types (felony, misdemeanor) of offenses reported. Elliott proposed that a minimum of two consecutive years at a given level of offending should be the criterion by which different career types are distinguished.

In our current analysis of the career patterns of a cohort of juveniles brought before the Family Court in New York City, we adopted Elliott's approach to characterizing criminal careers and found this to be a rigorous and useful definition of career criminality. Using this approach on our data, 15% of the sample members were characterized as high-rate career offenders (those with three or more felony arrests per year at risk for a minimum of two consecutive years); Wolfgang's five-plus definition applied to our data yields 38% defined as high-rate offenders (Winterfield, forthcoming 1986). The difference produced by the application of different definitions suggests that the common conceptions regarding the prevalence and incidence of chronic offenders need to be tested using a more rigorous definition of high-rate offending based on self-report data.

For the development of a fully specified model of delinquency, the implications of the theoretical issues arising from career criminal research include the following: first, the definition of the outcome variable (e.g., delinquency) should not reflect activity at only one point in time, but a criminal career typology should be applied as soon as two years of offending behavior are available for analysis. Second, when defining career elements in terms of the severity and frequency of offending over time, self-report behavior should be the primary data source; this is because self-report data better reflect behavioral patterns of persistence than do official arrest data.

Thus, the use of a career criminal outcome variable will allow for a more specific characterization of delinquency over time, and will permit extending an integrated sociological model of etiology to include the development and maintenance of various career patterns. The exact method for this analysis will be detailed in the analysis plan.

II. STRATEGY FOR ACHIEVING RESEARCH GOALS

A. Goals and Objectives of this Research

The general goals of Vera's proposed longitudinal research on the etiology of delinquency are:

1. To expand an existing, highly predictive, sociologically-derived integrated theory of delinquency by adding constructs focusing on individual traits, parenting style, macro-level social indicators and official criminal justice responses.
2. To permit examination of the reciprocal nature of relationships between factors that affect the development of delinquency.
3. To examine the structure of peer groups and their effect on delinquent and non-delinquent involvement using ethnography.

4. To expand the integrated model to develop propositions regarding criminality over time -- the maintenance of and desistance from delinquency.
5. To analyze the model and other data in order to better identify optimal points for intervention that might preclude either onset or maintenance of delinquency.

Because exploration of the maintenance of and desistance from delinquent involvements necessarily focuses on the period of adolescence, such a model cannot take account of early predispositional factors (temperament and parenting style during early childhood). The model, therefore, may not account for the onset of delinquency preceding early adolescence, although it can explore relationships between presumed predispositions (as measured during adolescence) and delinquent involvements. To do so we must assume that characteristics of temperament and parenting measured in this later period are reflective of earlier periods as well. Although the model we present does not attempt to explain the very early onset of delinquency, the inclusion of individual differences and parenting variables will enhance our ability to explore delinquent involvement beginning in early adolescence.

B. Theoretical Framework

The theoretical framework which initially guides our approach to this proposed study is the integrated sociological model of Elliott et al. (1985) which, as indicated above, combines propositions from strain theory, control theory, and social learning theory. Elliott et al. tested a sequential model in which strain, inadequate socialization, and social disorganization were seen as leading to weak conventional bonding and to bonding to delinquent peers; these factors in turn were seen as leading to delinquent behavior. In their longitudinal analysis of a national probability sample of youths, they identified bonding to delinquent groups as the most proximate cause of delin-

quent behavior and specified that prior delinquent involvement was the only other variable that had a direct effect on delinquent behavior. In an additional analysis reported elsewhere (Elliott, 1985), they found that including the interaction between conventional bonding and bonding to delinquent peers considerably increased the predictive power of the model; those with strong conventional norms and delinquent peers were far less likely to develop delinquent behavior than those with a weak conventional orientation and delinquent peers. Their integrated model explained 52 percent of the variance in self-reported delinquent (SRD) behavior:

...the explanatory power of the integrated model is quite good, given the level of prediction currently reported in the delinquency and drug use literature. Further, the consistency in the initial and replication findings increased our confidence in these estimates of the model's explanatory power. And finally, the evidence suggests that the integrated model has greater predictive power than any of the pure theoretical models included in the integration. (p. 137)

It is because of this empirical result (as well as its theoretical coherence) that we begin with this sociological model; however, the Elliott model is not fully specified. The authors note that they have not explored the causes of bonding to delinquent groups, and point to the offender's community of residence as a factor, not included in the model, which might be strongly related to delinquent peer bonding. Nor does the model fully explain what constitutes "inadequate socialization." It is here that additional variables, such as the youth's social skills and parenting style, need to be included. Furthermore, although Elliott (1985) attempts to explore the interaction between involvement with delinquent peers, conventional bonding and delinquent behaviors, other potentially reciprocal relationships between intervening variables are not explored.

We will expand the Elliott model in several ways. First, we will add two sets of exogenous factors. Based on the community ecology literature, macro-level social indices will be included as one set of exogenous factors, allowing for the potential explanation of concepts not explained in the existing model (inadequate socialization, strain, and a predisposition to prior involvement in delinquency). The other set of exogenous factors, added in an attempt to explain inadequate socialization, includes individual differences as measured by psychological variables. This addition of exogenous variables will permit the explanation of factors that had previously been unexplained. This will provide an opportunity to explore mediating variables which might be targeted for intervention.

The second way the theoretical framework will be expanded is through delineation of the structure of the delinquent peer group, using an ethnographic approach. Previous research has attributed much importance to the adolescent peer group as the context in which most delinquency occurs, yet there has been considerable controversy over the relationship between the individual and the peer group. Yablonsky's (1962) characterization of delinquent peers as weak groupings of individuals with social disabilities, for example, contrasts sharply with Suttles' (1968) portrayal of street-corner gangs as providing protection that local residents do not receive from official authorities. Specifically, existing research gives little indication of whether delinquent individuals come together to form delinquent peer groups or whether stable groups of youths develop as delinquents together. Various analysts have argued that delinquent and non-delinquent peer groups either are or are not different in their structure, organization, and stability over time. The importance of delinquent activities within the total activities of an adolescent peer group has also been controversial. Delinquency may be

situationally-induced among multi-functional groups or persistent delinquency may lead to splitting and re-grouping of delinquents apart from non-delinquents.

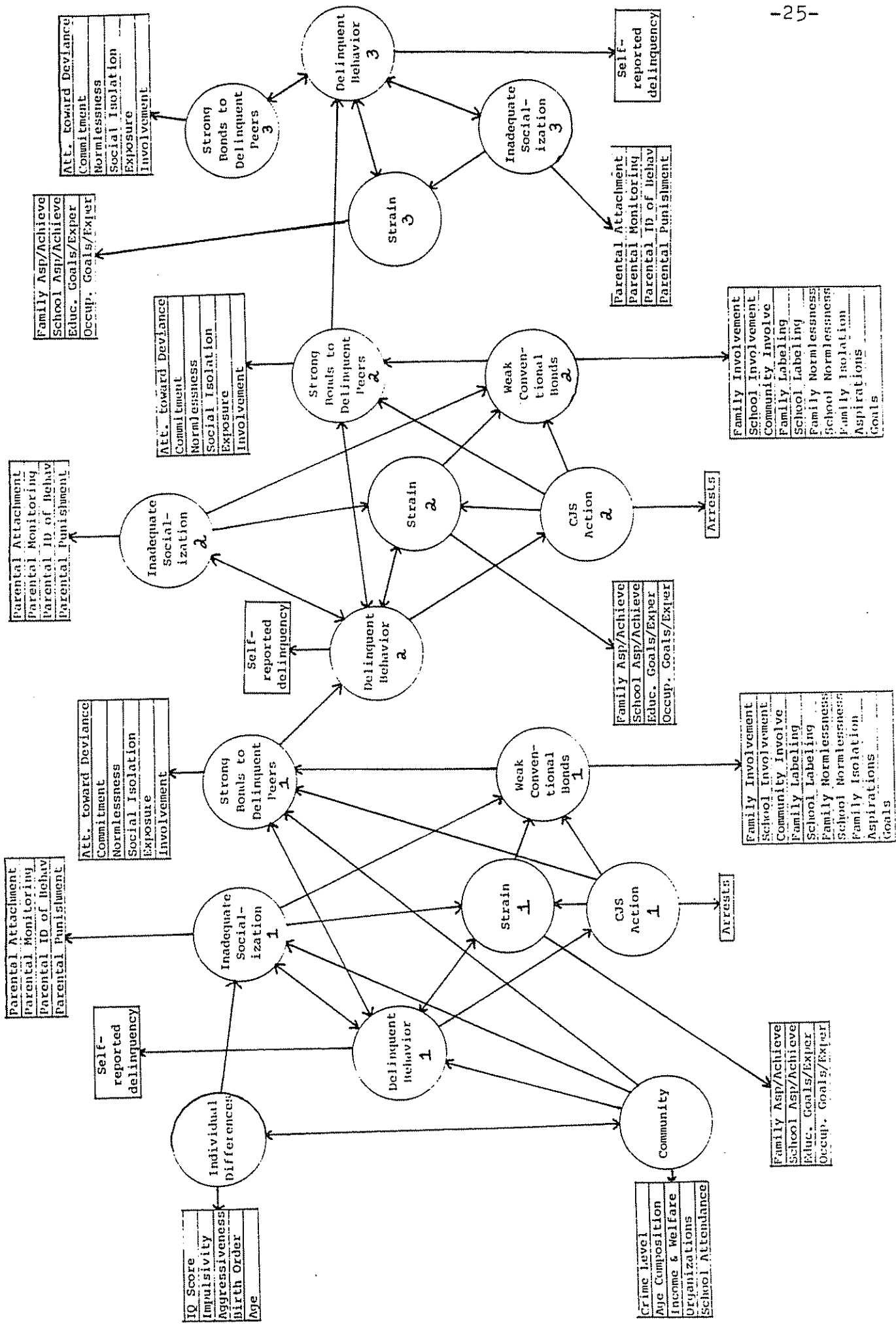
Ethnographic research with peer groups that are predominantly either delinquent or non-delinquent offers the possibility of resolving some of these issues empirically. Continued contact with youths over time can allow researchers to document patterns of sociometric grouping and how these change as members of the groups go through both pro-social and anti-social experiences. The structure and stability of different groups can be documented and compared. The interaction of different peer groups with other neighborhood residents and institutions can be described. Hansell and Wiatrowski (1981) have argued for just this sort of analysis and have recommended the application of the techniques of social network analysis to these problems, including measurements of clique size and density, dyadic reciprocity, stability, and the distributions of status within cliques.*

Third, an additional endogenous variable, official criminal justice intervention, will be added. We expect that this will affect the maintenance of or desistance from subsequent delinquency.

Finally, the integrated sociological approach will be expanded through an incorporation of the notion of a criminal career. This will be done by defining the dependent variable as a career typology based on offending over time, which will be based on self-reported delinquent behavior. The theoretical model we propose measuring and testing is shown in Figure 1.

* Through intensive field work, not only can delinquent and non-delinquent peer groups be fully described, but the level of organization of the community can be more adequately delineated. This information will complement the macro-level community factors that are part of the theoretical model to be tested.

Figure 1
Conceptual Model 1



The relationships in Figure 1 are specified through the causal arrows. We expect that community and individual differences will have an effect on the adequacy of the socialization process. We also propose that community will have a direct effect on bonding to delinquent peer groups, as indicated by the direct arrow from social disorganization to delinquent peers. We further postulate that it is through the attenuation of bonds to the conventional order that strong bonds to delinquent peers are established, and that the attenuation is caused by inadequate socialization, strain, and criminal justice system actions. We believe further that there are reciprocal relationships between delinquency and inadequate socialization, delinquency and strain, and delinquency and bonds to delinquent peers. We will also test whether bonding to delinquent peers, when combined with weak bonding to conventional norms and groups, leads to a high probability of delinquent behavior.

At Time 2, once the second delinquency measure is taken, a career offender typology will be created based on the delinquency scores over time (see the variables section for the specific approach). Then, we hypothesize that those subjects who are the most severe continuing offenders will also be those with continued inadequate socialization and strain, and some level of criminal justice actions. These factors, measured at Time 2, will then be related to other factors during that same time period, including weak conventional bonds and bonding to delinquent peers. Because of the longitudinal nature of the research, we can test whether all of the causal influences must be present at Time 2, or whether presence at Time 1 is sufficient for maintenance of delinquent behavior at Time 2.* The major substantive work will be in generating and testing the quantitative conceptual model.

C. Research Design

1. Subjects

To meet the objectives described above, the research will be longitudinal, focusing on a representative sample of males between the ages of 12 and 17 who live in two high-crime neighborhoods in Brooklyn. Previous research at Vera (Sullivan, 1984; Winterfield, forthcoming) suggests that for most youth the onset of delinquency occurs after age 12 and confirms the finding of other research that early onset is related to the duration of criminal careers. The particular age range was chosen in light of the interest in both onset and maintenance of delinquent behavior. Inclusion of the younger members of the sample will allow the study to identify factors that are precursors to delinquent behavior, while the older members of the sample will provide data on some individuals who persist in delinquent behavior and on others who desist. The longitudinal design covering three years of behavior provides the opportunity to examine such patterns over time during a critical period.**

Vera's previous research makes us sensitive to the many ways in which differences in age affect both delinquent behavior and the factors related to

* Some respondents will score high on the set of causal factors associated with delinquency at both T1 and T2. Other respondents will score low on factors at both T1 and T2. For an intermediate group, scores on these factors will vary with time. We predict that those scoring highest on causal factors associated with delinquency at both times will score highest on the career typology, and that those who score lowest on these factors at both times will score lowest on that typology.

** It is important to note that the age of adult jurisdiction in New York State is 16. Thus, the inclusion of 16 and 17 year-olds in our sample permits us to analyze behavior that is generally termed "delinquent", but is subject to adult sanctions in New York. This permits us to explore the effects of the transfer from juvenile to adult court processing and of differing levels of sanctions for continued offending.

delinquent behavior.* Although we acknowledge the potential influence of age on relationships between delinquency and its correlates, we are unable to build separate age-specific models into this study, because the sample sizes necessary to test age specific models render the research far too expensive and because the model is already complex. However, age will be included in the model as an independent variable. This will permit testing, at least for linear relationships, between age and other correlates of delinquency.

The decision to limit the study population to boys is based on the desire to identify predictors of pro-social and anti-social behavior among a high risk population. Prior research on crime and delinquency, as well as on the demographics of arrestees, indicates that males are far more likely than females to be involved in serious delinquency or activities that come to the attention of the criminal justice system. Therefore, while it would be interesting and useful to study both genders, the sample size requirements for so doing would again render the study prohibitively expensive.

2. Data Collection

Most data for the study will be collected in personal interviews with the research subjects (i.e., the youths). Once the sample has been selected (using the method described below), the youth respondents will be interviewed three times over the course of approximately two years about their behavior during a three-year period (i.e., each year prior to the interview). The initial interview will be the longest, including psychological tests (e.g.,

* For example, our research on relationships between employment and crime revealed that employment was weakly related to criminal involvement for young defendants (16-19) but more strongly related to criminal involvement for older defendants (Sviridoff and McElroy, 1984). Other recent research (LaGrange and White, 1985) also points to substantial age differences in the effect of specific variables (parents, school, peer groups) on delinquent involvements.

I.Q., aggressiveness, self-esteem, etc.), questions on basic demographics, baseline data on the preceding 12 months (involvement with delinquent peers, family and school involvement, community involvement, self-reported delinquency and drug use), and measures of the child's perceptions of parental management practices, current general attitudes, perceptions and aspirations (used as indicators of strain, socialization, conventional and deviant bonding). The second and third interviews will be conducted 12 and 24 months subsequent to the initial interview and will repeat the measurements of involvement with family, school, community and delinquent peers for each of the respective 12 month periods. These interviews will also contain questions on delinquent acts and drug use during the same 12-month periods. In addition, general attitudes and perceptions, perceptions of parental management, and aspirations will be measured at Time 2 and Time 3. Thus, each measure of a "dynamic," time-based variable will be repeated in the three personal interviews; only the "static" (invariant over time) measures of demographics and personality are collected just once. (See Figure 2 for explication of interview schedule.)

Parents will be interviewed at Time 1 only. Parent interviews will provide data on the socioeconomic characteristics of the family and previous parent management practices. Although it would be ideal, in a theoretical sense, to interview parents at Time 2 and Time 3 regarding changes in parenting practices, this is prohibitively expensive. Additionally, the more salient predictor of youth delinquency, we believe, is the youth's perceptions of his world. Thus, as stated above, youth perceptions of parenting are measured at Time 2 and Time 3. Parents will also be asked to authorize access to school records in case they are needed for research purposes.

Figure 2

Data Collection Schedule

	Measuring for year preceding T1 interview	Measuring for year preceding T2 interview	Measuring for year preceding T3 interview
Parenting Skills/Socialization	Aggressiveness Measure Perceived Parental Monitoring & Punishment/Reinforcement External Conventional Bonding Measures External Deviant Peer Bonding Measures S.R.D. Information Official CJS Actions	Aggressiveness Measure Perceived Parental Monitoring & Punishment/Reinforcement External Conventional Bonding Measures External Deviant Peer Bonding Measures S.R.D. Information Official CJS Actions	Aggressiveness Measure Perceived Parental Monitoring & Punishment/Reinforcement External Conventional Bonding Measures External Deviant Peer Bonding Measures S.R.D. Information Official CJS Actions
Birth Order			
Educational Records			
Official CJS Actions			
Birth			
	1st Survey T1 Measures	1st Survey T2 Measures	1st Survey T3 Measures
	Information as of: Jan. 1	Information as of: Jan. 1	Information as of: Jan. 1
	Strain Measures Internal Conventional Bonding Measures Internal Deviant Peer Bonding Measures Social Skills Scales Parental Attachment Impulsive/Present Time Orientation	Strain Measures Internal Conventional Bonding Measures Internal Deviant Peer Bonding Measures Social Skills Scales Parental Attachment Impulsive/Present Time Orientation	Strain Measures Internal Conventional Bonding Measures Internal Deviant Peer Bonding Measures Social Skills Scales Parental Attachment Impulsive/Present Time Orientation
	Jan. 1		
	T1	T2	T3
	Year 1	Year 2	Year 3
			Year 4
1980 Census Macro-Social Disorg.			

Other data to be included in the study will be collected concurrently with the interview administration. That is, baseline descriptors of the community will be derived from data collected for the 1980 U.S. Census (these are described in greater detail below), and will be included as part of the Time 1 data. Official criminal justice system data on juvenile and adult arrests will be collected and "keyed" to each of the three 12-month periods.

3. Sampling Strategy

The research will be carried out in two selected high-crime areas within Brooklyn. We decided to use a Brooklyn-based sample for several reasons. Among boroughs within New York City, Brooklyn seems most representative of other large American cities. It does not attract international tourism, multi-national corporations, or nationwide media coverage as does Manhattan. It does not have widespread desolation, burned out buildings and disintegrating neighborhoods, as does the Bronx. Instead, Brooklyn contains a wide variety of high-risk residential neighborhoods that offer ethnic and socio-economic diversity. Featuring a major downtown shopping area and an extensive industrial employment base, Brooklyn has all the characteristics of a large central city in its own right.

Among large cities in the United States, New York City as a whole ranks third in the incidence of robbery per 100,000 residents and eighth in the incidence of burglary -- crimes frequently committed by young offenders (McGahey, 1983). Within New York City, Brooklyn is the borough with the largest population, and the largest concentration of criminal activity among youth. Thirty-eight percent of citywide felony arrests of youths below the age of 16 occur in Brooklyn.

In addition, census and city planning data show that Brooklyn offers a range of high-risk, low-income neighborhoods which themselves offer considerable diversity in terms of ethnicity, income, and family stability. Even within highly concentrated minority neighborhoods, small concentrations of white residents can be identified. Similarly, even within low-income housing projects, some families are intact and not dependent upon welfare. Thus, Brooklyn permits identification of a broad range of high-risk neighborhoods which vary in terms of ethnic composition, socio-economic composition and the degree of risk of delinquent involvement, both internally and in contrast to each other.

Vera has considerable experience in conducting research on crime in Brooklyn. Vera's recent study of relationships between employment and crime (Sviridoff and McElroy, 1984; Sullivan, 1984) was based on a sample of defendants drawn at arraignment in the Brooklyn Criminal Court and an ethnographic study of youth in three high-risk Brooklyn neighborhoods -- Brownsville, a low-income black neighborhood; sections of Sunset Park, a low-income Hispanic (and white) neighborhood; and Greenpoint, a working-class white neighborhood. Through that research, particularly the ethnographic component, we have gained considerable familiarity with patterns of youth crime within these neighborhoods. Thus, these will be the neighborhoods for our analysis.*

Sunset Park is not the poorest or the most heavily Hispanic neighborhood in Brooklyn. It contains a mix of white and Hispanic residents and has undergone extensive redevelopment in recent years. Nevertheless, some sections of Sunset Park in which Hispanics are heavily concentrated are among the poorest

* We have chosen not to include Greenpoint in the current study for two reasons. First, it has fewer youth (the median age is 36 as compared to 19 in the other two neighborhoods). Second, based on official crime reports, it does not qualify as a "high" crime area compared to other areas of Brooklyn.

in Brooklyn. In our earlier ethnographic research, we encountered many youths who were children of first generation migrants from Puerto Rico. Although most households were supported by welfare, some were supported by working men, employed in low-wage service jobs. Most youths studied had become involved in delinquency at an early age, breaking into local factories, which were generally deserted at night, and selling goods to neighborhood residents. Many continued such involvements, burglarizing households as well as factories. Others became involved in neighborhood-based auto theft rings or low-level drug selling operations. Most ended delinquency involvements by the age of 19 when they were beginning to find employment outside the neighborhood, although a few continued to be involved in quasi-organized criminal enterprises.

Brownsville is one of the poorest neighborhoods in Brooklyn. The neighborhood contains a very heavy concentration of public housing projects and very little industry or commerce. It has a rapidly dwindling commercial section, and some areas that are burned-out and empty. In our ethnographic research, we studied a group of youths who had grown up together in a single project building. They were the children of first and second generation black migrants from the southern states. Many lived in female-headed households supported by welfare, although some of their parents were transportation, hospital, and postal workers. Among Brownsville youths, there was considerable early involvement in chain-snatching, purse-snatching and various forms of subway robbery -- the kinds of crimes the public fears most. Most respondents stopped engaging in such activities by the age of 16, either of their own volition or because they were arrested and incarcerated on robbery charges. Others became heavily involved in local drug-selling operations activity which continued beyond the teenage years.

Our neighborhood-based sampling strategy contrasts markedly with the national probability sample used by Elliott et al. (1985) in the initial test of their integrated sociological model. Because that sample was representative of the nation as a whole, there were a limited number of high-risk youth. In contrast, our sampling approach will permit us to explore the extent to which a general population model of delinquency can be extended to high-risk groups.

In each of the two neighborhoods, area sampling will be used to identify dwellings from which the research sample is to be drawn.* Specifically, the boundaries of each neighborhood will be mapped, including every block face within each neighborhood. Following procedures employed in Vera's current research on community patrol officers in Brooklyn, researchers will enumerate all the households within each neighborhood (see Kish, 1965). For the purposes of the proposed research, a household will be defined as an occupied apartment or house (and staff will receive specific instructions on how to distinguish between occupied and vacant residences). Once these have been enumerated, a random sample of households will be selected from each neighborhood.

The number of households to be sampled initially in each neighborhood is based on assumptions regarding: (1) the proportion of households with male children between the ages of 12 and 17 ("eligibles"); (2) the proportion of

* Brownsville is a homogeneous neighborhood, defined by the City Planning Agency as a separate community district, and generally recognized as a neighborhood by community residents. Although Sunset Park is also a community district in its own right, the area is less homogeneous and contains a variety of sub-sections, each of which is perceived by residents as a distinct "neighborhood." In Sunset Park, we will restrict sampling to low-income areas, which contain a mix of Hispanic and white residents. This neighborhood can be readily described by aggregating census tract data.

eligibles who will refuse to participate; (3) the proportion of eligibles who will be unable to respond because they speak neither English nor Spanish, or are physically or mentally disabled; and (4) mortality (sample loss) between Time 1 and Time 3. Based on 1980 U.S. Census data, we expect approximately 13% of the households in Sunset Park to contain eligible youths and 17% in Brownsville. We anticipate the refusal rate in each neighborhood to be approximately 25% of the sampled households; this estimate is based on Elliott et al.'s (1985) rate of 27% and a rate of 25% in a recent Vera study of community police patrol in Sunset Park. Very few eligible subjects are expected to be lost to language barriers or to physical and mental disability. Thus we intend to draw an initial sample of 6453 households (2353 in Brownsville and 4100 in Sunset Park) with the expectation that this will result in approximately 300 subjects in Brownsville and 400 in Sunset Park. These initial sample sizes were chosen on the basis of the expected mortality rate (33%, see discussion below) and the need to have an adequate sample at Time 3 to test the full model. Discussions with our statistical consultant and others in the field have led us to conclude that 200 from each "group" (neighborhood) would be adequate with a structural equation technique. With an initial Brownsville sample of 300, and sample deterioration of 33%, we expect to have 200 subjects from Brownsville at Time 3, most of whom will be black. Sunset Park is predominantly Hispanic but is more ethnically diverse, with approximately 38% of the population identifying themselves as white (non-Hispanic). An initial sample of 400 is likely to be composed of approximately 150 white and 250 Hispanic subjects. With 33% sample loss, this would yield approximately 100

white and 170 Hispanic subjects at Time 3. If the above estimates produce fewer subjects than anticipated, we will resample those neighborhoods.*

It is likely, particularly in such high birthrate areas as Brownsville, that many households will contain more than one eligible child. Because of the expectation that there would be relatively high intraclass correlations among siblings' responses, only one subject will be selected from each consenting household. The particular child will be chosen using the selection method described by Kish (1965). This involves listing all eligibles in the household by age and then, based on the size of the family, choosing the one indicated by the selection table. This technique will insure random selection from the multiple eligibles in the household.

Elliott et al. (1985) report sample attrition of 5.5% by the third interview. Recalling that Elliott et al. were studying a national probability sample and that the proposed research will focus on inner-city low-income youth,

* We recognize the difficulty of this sampling strategy but have found it successful before in obtaining representative samples of a community in densely populated areas of Brooklyn. We estimate, for example, that we will have to sample (and initially interview) 2353 households in Brownsville to identify 400 youthful male respondents in the necessary age range, 300 of whom will agree to participate. Given the high concentration of households in this community (many high-rise projects), we estimate we will have to enumerate approximately 7059 households to have sufficient variability and geographic dispersion across census tracts. In Sunset Park, although a less densely populated area, we estimate we will enumerate 8100 to get the larger sample of 400. Although this strategy is difficult, our recent experience in household enumeration and door-to-door interviewing in our on-going study of community patrol officers in Brooklyn neighborhoods suggests that with persistence such a strategy can be successfully implemented.

In New York City, community-based sampling is clearly preferable to school-based sampling for several reasons. High drop-out rates and equally high truancy levels suggest youth most at-risk will be difficult to identify through the schools. New York City schools are not necessarily neighborhood based; youth at less risk of delinquency involvement are likely to attend competitive or vocational public schools, or parochial schools outside of high-risk residential areas. Finally, the New York City School System does not permit identification of students or release of their records without prior parental consent. We would need to identify our sample before gaining access to schools for sampling purposes.

we anticipate a substantially higher rate of sample loss. Previous longitudinal studies conducted by Vera on similar but somewhat older populations have experienced sample attrition of up to 33% over similar data collection periods (Hillsman and Sadd, 1981; Sadd et al., 1983). We have built our sample sizes to accommodate this rate of panel attrition because such neighborhoods are characterized by high residential mobility, a large proportion of unlisted telephone numbers, poor identification (and vandalism) of residential mail receptacles, and distrust of strangers, all of which increase the difficulty of maintaining contact with subjects. Furthermore, large proportions of youth in these neighborhoods are school drop-outs or truants who cannot be relied upon, particularly at Time 3, to be in a particular place (i.e., school) at a particular time. To minimize sample loss, we will also identify and interview those respondents who are incarcerated at the time they are due for follow-up interviews. However, it is possible that sample loss will be less than we expect. It is also possible that the concentration of subjects in a relatively small geographic area will make it easier to locate them, thus reducing sample loss, perhaps below the anticipated 33% level. Nevertheless, we will project sample loss of up to 33% by Time 3, resulting in complete data on approximately 200 subjects from Brownsville and 270 from Sunset Park, for a total of 470 in the study sample.

We recognize that those who drop out before the end of the research may be systematically different from those subjects who remain. Therefore, we will continue to collect criminal history data on subjects, even if we are unable to reach them for personal interviews. We will use these data, along with data from the initial interview, to compare statistically the characteristics of the sample drop-outs with those remaining in the study. Again, based on earlier Vera research, we expect few important differences among

those who remain in and those who drop out of the sample (Hillsman and Sadd, 1980).

4. Analysis Structure

The research is designed to enable us to identify causal relationships as well as reciprocal relationships between pairs of endogenous variables. That is, the temporal nature of the variables will allow us to draw inferences about the factors and events occurring during $T(i)$ that affect behaviors, perceptions, and events during $T(i+1)$. Such data are most powerfully analyzed through structural equation models which allow the inclusion of both a multivariate design and temporal order. While the specific techniques to be employed are discussed in a later section, the general model is presented in Figure 1.

The longitudinal nature of the study will allow the analysis to be conducted in stages. Once the first two waves of data collection are complete, including coding, data entry and cleaning, preliminary analyses predicting behavior (SRD) at Time 2 from the exogenous variables (personality and community data) and the time-based data collected at Time 1 can be computed. After the third wave of data is complete, this model will be replicated, predicting Time 3 behavior from Time 2 factors and exogenous variables. The final model to be tested will include variables collected during all three waves as illustrated in Figure 1.

Ethnographic work within the two neighborhoods will permit comparative qualitative analysis of delinquent and non-delinquent peer groups. Using social network analysis, the ethnographer will explore the structure, organization and stability of these groups. In addition to producing descriptive case studies of selected neighborhood peer groups, the ethnographic work will

provide information on the social organization of each of the study neighborhoods which can facilitate the analysis and interpretation of the quantitative data. Ethnographic data will be used to probe for qualitative patterns such as the inter-relationship among local families, schools, police, churches, youth agencies, and the labor market. These qualitative analyses can then be integrated formally with the quantitative data in the final report. Patterns discovered in the quantitative data may also be more easily and appropriately interpreted within the context provided by the qualitative data.

5. Variables

In any research it is prudent to build upon prior work in the area. One aspect of that process involves using instruments whose psychometric properties have been thoroughly tested and shown to be reliable and valid indicators of the constructs they were designed to measure. This is particularly important in research as complex as the proposed study.

Therefore, some of the predictors used in the proposed research will be selected from those used by Elliott et al. (1985). A list of measures and data sources is provided in Table 1 at the end of this section. These include scales that measure strain, inadequate socialization, conventional bonding, and deviant peer bonding. In the National Youth Survey (NYS) sample collected by Elliott et al., these scales had alpha reliability coefficients between .60 and .90. We will compute these coefficients for our sample for each data wave, but do not expect them to be substantially different from those in the NYS sample.

When integrating the macro-level community variables, three approaches will be used. The first, which will be separate from the statistical test of the model, will be the qualitative development of neighborhood characteristics

using an ethnographic approach. The second and third uses of the macro-level factors are quantitative; each individual in the study will receive two sets of macro-social scores. The first will be generated from the characteristics of the respondent's census tract, while the second will be the individual's own values for the same types of information. Thus, for example, the individual will receive a value for the percent unemployed in his census tract, and one for his own head of household's employment status.

In terms of the measures of inadequate socialization, Patterson and Dishion (1985) state that parental management practices, important components of interaction in the home, might attenuate the child's bonding to the conventional social order. Thus, for the general construct of inadequate socialization, two sources of data concerning parental management will be used. The first will be a parent interview, based on that used by Patterson and Dishion, to assess overall parental management practices. Then, for each data wave, the child's perceptions of parental management practices will be assessed, also using scales from Patterson and Dishion.

Specific measures of individual differences have not yet been completely identified. A variety of scales that measure impulsivity and aggressiveness will be explored during Phase I of the grant. Patterson and Dishion (1985) used the Child Behavior Checklist (CBC) to measure hostility and interpersonal competence. Other researchers have found the socialization, responsibility, and self-control scales of the California Psychological Inventory (CPI) to be predictive of delinquency (Wilson and Herrnstein, 1985). Similarly, researchers (Shrider, 1962) have found delinquents to score lower than the general population on factors B (concrete/abstract thinking) and G (superego strength) of the 16PF (Cattell, Eber, and Tatsuoka, 1970). The final choice

of instruments will be based on their psychometric properties and appropriateness for our sample.

For our measure of I.Q., we will administer, as part of the initial youth interview, the Peabody Individual Achievement Test (revised edition). This test takes only 15 minutes to administer and has been shown to correlate highly with the Wechsler Adult Intelligence Scale (WAIS). In addition, because of the method of construction, the Peabody has been shown to lower the incidence of cultural biases that affect measurement of the abilities of minorities; we also expect a Spanish version to be available by the time our research goes into the pre-test stage.

In assessing the impact of criminal justice actions, measures will be created using arrest data. The decision to focus only on arrest is based on the extremely low incidence of conviction and sentencing in New York's Family Court. In our criminal career analysis (Winterfield, forthcoming 1986) the average number of juvenile arrests for an individual with one conviction was 8. Thus, for criminal justice intervention, a variety of severity/charge type variables will be developed from arrest data.

The dependent variables will be derived from those developed by Elliott et al. (1985), and those used by Weis et al. in the Seattle Youth Survey. Using self-reported delinquent (SRD) behaviors recalled over a one year period, Elliott et al. created three scales: (1) General Delinquency (24 items), (2) Index Offenses (9 items), and (3) Minor Delinquency (7 items). They also used two measures of drug use -- a single item measuring marijuana use and a five-item Drug Use scale. The proposed research will use the Time 2 and 3 measures of each of these five scales as dependent variables, and the Time 1 measures as predictors. A separate test of the model will be computed for each dependent variable.

Finally, as was discussed above, the longitudinal data on self-reported delinquency will allow us to categorize the subjects into "career types." These career types are not simple counts of arrests, but are measures of maintenance of delinquent or non-delinquent behavior over a two-year period. The career type variable (which is ordinal) will also be used in the model as a dependent variable.

The method used to categorize the criminal career will be a modification of that developed by Elliott et al., and used by Vera in our criminal career study (Winterfield, forthcoming 1986). Here, each year of an individual's career (beginning with the first year in which offending is reported) is scaled to reflect the number and types of offenses reported. Thus, the scale will run from one minor delinquency offense reported to, for example, three or more index offenses. Then, a minimum of two consecutive years of offending will be used as the criterion for a career. For those reporting two consecutive years of offending, that time period will be scaled in order of severity of offending during the two years (this will be the career variable). The career variable is expected to range from those with only a small number of minor delinquencies reported to those with a high rate of serious offenses indicated.

Regarding data access, the consent process for the parents and children referred to in the privacy certificate section (see below) will establish access to the sample subjects. We have spoken with school officials, and have been told that, with a signed parental consent, access to school records is likely. Over the last twenty-five years, the New York City Police Department has given us access to the official adult arrest reports for the purposes of research upon receipt of a formal written request. In addition, in previous research on both juvenile arrest processing and on juvenile criminal careers,

we have secured access to sealed juvenile records with the assistance of the Administrative Judge of the New York City Family Court. We have no reason to believe we will not receive the same cooperation in conjunction with the proposed research. Thus, no problems gaining access to the data sources are anticipated.

We have structured our data collection to rely most heavily on information from youths and their parents, including topics that might also be obtained from official school records. The reason for this is not problems of access to school records, but the incompleteness of these records for our research purposes. Our previous research, as well as that of others, indicates that the permanent school records for sample populations such as the one we are studying are often incomplete with respect to standardized ability tests, truancy, and even grade level. Much of this has to do with the often erratic attendance of these populations, frequent transfers between schools and drop-out rates. Thus, uniform school data on a substantial proportion of the sample is unlikely. However, in addition to asking youths and their parents about what school they are enrolled in, their truancy and grade level, we will also ask them if they have ever been identified by the school system as a "handicapped" student. District offices of the school system in New York keep IQ scores, learning disability data, hyperactivity and other information only on students who have been formally identified as handicapped and who then come under the jurisdiction of the Committee on Handicapped (COH). If a significant proportion of our sampled youth have COH records, we will explore collecting information to verify this from the school system.

TABLE 1
Theoretical Variables and Measures

<u>CONSTRUCT</u>	<u>DATA SOURCE*</u>
<u>Individual Demographics</u>	
Sex	YI
Age	YI
Race	YI
SES (Duncan and Hollingshead Scales)	YI/PI
Grade Level	S/PI
Truancy	S/PI
<u>Individual Differences</u>	
IQ Score [Peabody]	YI
Verbal/mathematical ability scores	S
Impulsivity scale	YI
Time orientation scale	YI
Aggressiveness scale	YI
Birth order	YI
Learning disability	S
Hyperactivity	S
Social skills	YI
<u>Macro-Level Social Disorganization (Community)</u>	
Perceived levels of crime in neighborhood	YI/E
Family crises	YI/E
Patterns of household composition	C/E
Patterns of school attendance and achievement	C/E
Ethnicity and age composition	C/E
Neighborhood stability/transition factors	C/E
Income and welfare dependency	C
Crime patterns (arrests and reported crime)	P
Types and number of neighborhood organizations	CP/E
<u>Strain</u>	
Family aspiration/achievement scale	YI
School aspiration/achievement scale	
Educational goal/experience discrepancy scale (current and future)	
Occupational goal/experience discrepancy scale (current and future)	

continued.../

* YI = interview with youth
 PI = parent interview
 S = school
 C = census
 E = ethnography
 P = police records
 CP = City Planning records

<u>CONSTRUCT</u>	<u>DATA SOURCE</u>
<u>Inadequate Socialization/Parental Management Practices</u>	YI/PI
Parental attachment to child	
Parental monitoring of child's behavior	
Parental modeling of pro-social behavior	
Parental rule setting for child	
Parental punishment patterns of child	
Parental reinforcement of pro-social behavior	
Parental negotiation with child	
<u>Conventional Bonding</u>	
<u>External (Social)</u>	YI
Family involvement scale	
School scholastic involvement scale	
School athletic involvement scale	
Community involvement scale	
Family labeling scale	
Teacher labeling scale	
Perceived sanctions in family scale	
<u>Internal (Personal)</u>	YI
Family normlessness scale	
School normlessness scale	
Family Social isolation scale	
School social isolation scale	
Family aspirations scale	
School aspirations scale	
Future educational goals	
Future occupational goals	
<u>Deviant Peer Bonding</u>	
<u>External (Social)</u>	YI
Involvement with deviant peers index	
Peer sanctions-involvement index	
Peer involvement scale	
Exposure to delinquent peers	
Perceived sanctions by peers	
<u>Internal (Personal)</u>	YI
Attitudes towards deviance scale	
Commitment to delinquent peers scale	
Peer normlessness	
Peer social isolation	

continued.../

CONSTRUCT

DATA SOURCE

Self Report Delinquency (preliminary list)

Minor Delinquency

YI

Hit Teacher
Hit Parent
Theft LT \$5
Joyriding
Disorderly Conduct
Panhandled
Runaway

Index Offenses

YI

Murder
Aggravated Assault
Sexual Assault
Gang Fights
Stole Motor Vehicle
Stole something GT \$50
Broke into bldg/vehicle
Strongarmed students
Strongarmed teachers
Strongarmed others

General Delinquency

YI

Stole Motor vehicle
Stole something GT \$50
Bought stolen goods
Runaway
Carried hidden weapon
Stole something LT \$5
Aggravated assault
Prostitution
Sexual intercourse
Gang fights
Sold marijuana
Hit teacher
Hit parent
Hit students
Disorderly conduct
Sold hard drugs
Joyriding
Sexual assault
Strongarmed students
Strongarmed teachers
Strongarmed others
Stole something \$5-50
Broke into bldg/vehicle
Panhandled

continued.../

<u>CONSTRUCT</u>	<u>DATA SOURCE</u>
<u>Drug Use</u>	YI
Marijuana	
Hallucinogens	
Amphetamines	
Barbiturates	
Heroin	
Cocaine	
<u>Criminal Justice System Actions</u>	P
Number of arrests	
Arrest charge types	
Arrest charge severity	
Combination of number and type-severity	

6. Analysis Design

As indicated above, we intend to use structural equation models to test the theoretical relationships of these variables. The specific technique used to test the model will be LISREL (Joreskog and Sorbom, 1981; Long, 1983), which allows a complete system of causal relationships to be specified as a set of linear structural equations (Joreskog, 1979). Our model has been described in Figure 1. We should note that at Time 3, Figure 1 depicts only the dependent variable, and those constructs (and associated measures) that are predicted to have a direct relationship with the dependent measure. This was done in an attempt to simplify an already complicated illustration. Therefore, Weak Conventional Bonds 3, a measure which is expected to have an indirect effect (through Strong Bonds to Delinquent Peers 3) on delinquent behavior (3), is not represented in Figure 1 although it will be included in the analysis of the model.

Although the model in Figure 1 contains multiple measures for each construct, prior to testing the LISREL model for a given dependent variable, a series of multiple regression analyses will be run to reduce the number of

predictors. The variables used to measure a particular construct (e.g., weak conventional bonds) will be entered into a regression analysis, and those measures that account for the largest amount of variance in the dependent variables will be selected for inclusion in the LISREL model. An alternative approach to data reduction would be factor analysis, and use of the resulting factors as predictors. The choice of methods will be made with the aid of our statistical consultant.

We also recognize that even after reducing the number of predictors, the model will be very complex. Joreskog (1979) cautions that under such circumstances,

The estimation and testing of such a model with the LISREL program may present considerable difficulties even on today's high-speed computers. Furthermore, the model may be only tentative, or in any case, if it does not fit the data well (which is likely), one may want to modify the model during the process of analysis. (pp. 161-162)

Therefore, we intend to follow the procedures he suggests, and build the model in stages. This would entail beginning with one wave and one dependent variable, and then, through an iterative process, combining the waves.

Given the complexity of the theoretical model and the cautions discussed above, it is possible that LISREL may not be appropriate for the data. Elliott et al. (1985) initially used LISREL to obtain estimates of their parameters for the National Youth Survey (NYS) data; however, they were unable to obtain reasonable converged solutions. They attributed this problem to violation of the assumption of multivariate normality, resulting from highly skewed delinquency data. As a result, Elliott et al. used standard path analyses to test the theoretical model, and augmented these with separate tests of the interaction between conventional and deviant bonding. Because the proposed research would be conducted on a sample of high-risk youth,

rather than a national probability sample, we anticipate that our delinquency data would be less skewed than their NYS data. Nonetheless, if we are unable to achieve reasonable solutions using LISREL, we will explore other multivariate techniques, including path analysis and unweighted least squares analysis (Bentler and Weeks, 1979; Long, 1983). One of the advantages of LISREL over conventional path analytic techniques is the ability to test reciprocal relationships. If LISREL does not result in a reasonable solution, we will lose that capability. However, using either path analysis or multiple regression, we will retain the ability to specify the causal order and size of the relationships among the variables, and the multiple correlation coefficient (R^2) would indicate the amount of variance explained using the predictors.

7. Coordination Among Grantees

The various individual research efforts funded under this OJJDP program should be coordinated, allowing for the development of as coherent a knowledge base across sites as possible, given different models and research goals. This would increase the knowledge which such a research program could generate. One approach for successfully integrating these projects depends in part on agreement among the researchers on the specific data items, and measurements of the items to be used in their analyses. Too often, comparisons of findings from different pieces of delinquency research are hampered by different and competing definitions of the variables in question. Here, although such a process is not expected to be simple, it is hoped that a consensus can be reached on the measurement of some data items. In the event that consensus cannot be reached, multiple measures can be used, allowing for evaluation of the differences among various measurement techniques.

A second way of furthering research integration involves the testing of multiple causal models on the same data base. In that the researchers involved in this project will be creating conceptual models, and conducting their research in a variety of sites, it is possible that some sites could apply the models developed by other researchers. This would permit simultaneous comparisons of several models of delinquency, thereby avoiding the typical lengthy process through which comparison tests are made only after publication of the results.

These suggestions for coordination among projects will necessitate ongoing meetings among grantees. We suggest that the first of the three meetings to be held in Phase I be scheduled early in the second month of the research. This will allow for hiring major project staff, and is timed to precede determination of major measurement issues. The second meeting is suggested to be held during the seventh month. In our time frame, this would allow researchers to share their completed instruments to ensure that all concerns had been addressed prior to printing and fielding the instruments. Finally, within the time period specified as Phase I, we suggest that the last meeting be held during month sixteen. The purpose of this meeting would be to share information regarding the initial data collection efforts. If a specific project was experiencing difficulties, a joint discussion might offer alternative strategies.

If, through scheduled meetings and an informal ongoing process of communication, procedures can be established to replicate both methods of measurements and conceptual models in a more immediate fashion than is currently the case, it is conceivable that the five projects can produce information not unlike that which would be produced by one project implemented in five sites. This would truly help build a consolidated knowledge base.

8. Protection of Privacy

To insure the protection of the privacy of research subjects, the Vera Institute will collect individual identifiers on a separate face sheet, coded with a research identification number; all other information will bear only that identification number. We will maintain a name/identification number index in a separate locked file cabinet. A copy of a privacy certificate, detailing these procedures, the justification for the collection of identifiable data, procedures for notifying subjects, procedures for the final disposition of data and an employee confidentiality agreement is appended (see Appendix B). Because Vera does not normally transmit identifiable information, we have not included a separate information transfer agreement, but can do so upon request.

All research subjects will be informed of the purpose of the research, told that information will be collected for research and statistical purposes only, and informed that compliance with the request for information is strictly voluntary and can be withdrawn at any time. They will also be told that they will be reinterviewed twice, twelve months and 24 months after the first interview date. At the time of the second and third interviews, they will again be informed of the confidentiality of information collected for research purposes and of the voluntary nature of their participation. A consent form will be developed later with the assistance of Vera's counsel, subject to the approval of OJJDP.

D. Work Plan

The proposed project has been designed to cover a five year period beginning October 1, 1986 and ending September 30, 1991. The first year of the project will be devoted primarily to refining the longitudinal design and the instruments (in collaboration with other grantees involved in the OJJDP initiative), collecting the baseline data on the two communities to be studied, carrying out the sampling strategy, and preparing for the field work which will begin in Year Two. The first of three waves of interviews with the sample will be completed during Year Two, as will collection of the baseline official criminal history data. In addition, the computerized database will be constructed and refined using a test sample from the first wave of interviews, and the initial stage of the data analysis (data reduction) will be undertaken. Year Three of the project will be devoted to completing the second wave of interviews, up-dating the official criminal histories of the sample, and running the initial test of the LISREL model. In this third year, the ethnographic data collection will also be carried out. In Year Four, the third wave of the interview and criminal history data will be completed, the LISREL analysis would be refined and extended to two waves of data, and the report on the ethnographic work will be completed. In the project's final year, the LISREL analysis will be completed using the full three waves of data and the project's final report of findings--methodological, theoretical and substantive--will be written, submitted for review, revised and prepared for publication.

In the detailed work plan, the full project has been divided into two phases. Phase I covers the first 18 months of the five year project. The tasks to be undertaken during this phase are reflected in the section which follows (Specification of Tasks - Phase I) and in the Time Line for Task

Completion - Phase I; they are also reflected in the detailed budget included at the beginning of this proposal. In order to provide a coherent view of the entire research project, however, we have also included a specification of the tasks to be carried out during Phase II and the Time Line for their completion. Annual cost estimates for the work involved in carrying out Phase II tasks are summarized in the earlier budget materials.

The entire five-year project will be administered by the Research Department of the Vera Institute of Justice, under the general guidance of Vera's Director of Research. Major responsibility for running the project will be carried out by a Project Director, in collaboration with three other senior staff members of the Research Department--a Social Psychologist/Methodologist; an Urban Anthropologist/Ethnographer; and a Programmer/Analyst. The extensive data collection involved in the project will be the responsibility of a full-time field staff working for the Vera Institute's Research Department. Fiscal support will be provided by the Institute's Fiscal Department, and computer services will be provided by the Computer Center of the City University of New York under the terms of a long-term contract with the Vera Institute.

1. Specification of Tasks - Phase I and Milestones

Phase I of the project will cover 18 months, beginning on October 1st, 1986 and ending the middle of Year Two (March 30, 1988). The major milestones for this initial research period, apart from the three meetings of all OJJDP initiative grantees and OJJDP staff mentioned above, include the following: (a) completion of instrument selection and construction (month 8); (b) collection of baseline neighborhood data (month 10); (c) completion of neighborhood mapping and sample selection (month 11); (d) initiation of field work for wave 1 of the interviews (month 13); (e) completion of the design of the computerized database and drawing of a test

sample to refine the analysis programs (month 17); and (f) preparation of the first of a series of technical reports on the implementation of the research design (month 16).

SPECIFICATION OF TASKS- PHASE I*
(Months 1 - 18)

<u>Task Description</u>	<u>Months</u>
1. OJJDP Grantee meetings: (a) to share and coordinate instruments being proposed; (b) to report on success of review and pre-testing of all instruments and to select final instruments; (c) to report on success of early field work.	2,7,16
2. Design measures for constructs currently without instruments; review existing instruments for these constructs, especially those in use by other grantees; develop new ones where necessary.	2-8
3. Pre-test all instruments and determine full test format for parents and youths; prepare training manual for interviewers; develop coding schema for CJ data, juvenile/adult.	5-9
4. Print instruments, code sheets and training manual.	10-11
5. Collect baseline neighborhood data: analyze individual census tract data for each neighborhood and aggregate for each neighborhood (or sub-neighborhood) to be studied.	9-10
6. Hire the field staff (interviewers).	8-11
7. Select census tracts to be included in Sunset Park and Brownsville samples; map each block face in each census tract for each neighborhood to be sampled; enumerate all households for sampling purposes, randomly select sample households. For descriptive purposes, map all commercial, recreational and other use areas of sampled neighborhoods.	10-12

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*The numbers assigned to these tasks on the left are keyed to the Time Line for Task Completion-Phase I which follows. Some tasks in Phase I extend beyond the end of the month 18 and the month of completion in Phase II is indicated on the Phase I Chart with a dotted line.

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|--|---------------------|
| 8. Train field staff for approaching selected households, obtaining consent, conducting interviews. Prepare plan for maintaining contact with youth respondents between T1-T2 interviews (e.g., develop computerized tracking system). | 12 |
| 9. Conduct parent and youth T1 interviews. | 13-21 |
| 10. Design computerized data base, using the questionnaire formats. | 8-16 |
| 11. Key punch and enter T1 interviews into database. | 15-22 |
| 12. T1 data cleaning and screening: screen raw data for out-of-range and inconsistent values; correct and update files. | 16,23 |
| 13. Write and test computer program on first 100 interviews (including test of program to create scales and test of reliability program). | 17-23 |
| 14. Secure access to adult and juvenile criminal histories. | 13-15 |
| 15. Write quarterly reports. | (3 month intervals) |
| 16. Prepare first Technical Report, regarding questionnaire development, sample selection, and implementation of field work. | 16-17 |
| 17. Maintain contact with youth between T1 and T2 interviews. | 17-28 |

3. Specification of Tasks-Phase II

The following list of tasks is for the second phase of the project, months 19 through 60. To the right of the task descriptions are the months of the project in which the work will be carried out and the wave of data collection involved (Time 1,2 or 3). The time line which follows this list is keyed to the number of the task as was done for Phase I.

SPECIFICATION OF TASKS - PHASE II

(Months 19 - 60)

<u>Task Description</u>	<u>Months</u>
18. Submit name, address, date of birth (DOB) of all 700 youth respondents to Criminal Justice Agency for computer search for official New York State Identification Numbers (NYSID), as first step in acquiring adult criminal arrest histories.	22 (T1) 34 (T2) 46 (T3)
19. Review New York Police Department (NYPD) youth records for full juvenile arrest histories of all 700 youth.	22 (T1) 34 (T2) 46 (T3)
20. Submit DOB and NYSID to NYPD for all 700 youth respondents to obtain RAP sheets.	23 (T1) 35 (T2) 47 (T3)
21. Code arrest data from RAP sheets.	24 (T1) 36 (T2) 47 (T3)
22. Key punch and merge criminal history data into database.	25-26 (T1) 37-38 (T2) 48 (T3)
23. Screen and clean criminal justice information.	27 (T1) 39 (T2) 49 (T3)
24. Reliability tests: output raw data to SPSS, and test each scale for internal consistency and reliability.	24 (T1) 36 (T2) 48 (T3)

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|-----|---|-------------------------------------|
| 25. | Data reduction and predictor specification: conduct multiple regression or factor analyses to reduce the number of predictors that enter structural equation model. Run these analyses separately for each set of variables (which measure a particular construct) on each dependent variable. | 25-26 (T1)
37-38 (T2)
49 (T3) |
| 26. | Testing the model: using the predictors identified in (25), specify an initial structural equation model for <u>single</u> data wave and test using LISREL. Adjust specifications of causal relationships empirically and estimate the new model. Continue this iterative process until a reasonable single wave solution is obtained. The model will be applied to the interview data first. | 27-30 (T1)
39-40 (T2)
50 (T3) |
| 27. | Add criminal history data to model and test resulting new specifications. This step is separate from (26) to expedite the analysis of the interview data. This creates a single wave model, one for each of the three data waves. | 28-30 (T1)
40 (T2)
50 (T3) |
| 28. | Conduct ethnographic data collection in two neighborhoods. Identify respondents for the ethnographic study through networks already available to the Vera staff as well as from the survey instruments. Ethnographers will identify and describe one predominantly delinquent and one predominantly non-delinquent peer group in each neighborhood. | 25-36 |
| 29. | Repeat field interviews, for T2 and T3. | 25-33 (T2)
37-45 (T3) |
| 30. | Maintain contact with respondents between T2 and T3 cycles. | 29-40 |
| 31. | Key punch remaining field interviews, and enter into computerized database. | 27-34 (T2)
39-46 (T3) |
| 32. | Screen and clean T2 and T3 field interviews. | 35 (T2)
47 (T3) |
| 33. | Extend the single wave model to two data waves. Once single wave models for year 1 and year 2 data are in place, merge data, specify the test, and revise longitudinal (2 wave) test. | 41-42 |
| 34. | Extend model to 3 waves. After year 3 data are available and 2 wave model has been tested, merge third wave and specify, test, and revise longitudinal (3 wave) model. | 51-52 |
| 35. | Write ethnographic report. | 37-42 |

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|-----|--|--------------------------|
| 36. | Write and circulate two Correlates of Delinquency reports: after data waves 1 and 2, reports regarding analyses determining those factors most strongly associated with delinquency will be published. | 27-28 (T1)
39-40 (T2) |
| 37. | Write and circulate two Reports of Test Model: these reports will reflect analyses of the causal model after data waves 1 and 2. Included will be the degree of fit, coefficients of the converged model, and discussion of the results. | 31-32 (T1)
43-44 (T2) |
| 38. | Final report(s) will be written, summarizing the implementation and results of the five year project. | 49-60 |
| 39. | The database will be prepared for archiving and use by other researchers. | 57-60 |

5. Research Products

In addition to quarterly progress reports submitted to OJJDP and circulated to other grantees under this initiative, the major product of the research during Phase I will be a Technical Report describing the process of initial implementation. The specific items to be covered are (a) questionnaire development and outcomes, especially the choice of instruments used, the rationale for their selection, and the problems encountered with their administration; (b) collection of baseline data on the two communities covered by the study and the rationale for selecting sub-areas of those communities for sampling (if the entire geographic boundaries of those communities are not included); (c) the process of sample selection, including how the neighborhoods selected were mapped and the sample households chosen; (d) initiation of the field work, including a discussion of how the sample households were approached, the number containing youths in the age range specified for inclusion in the interviews, and reasons for refusal; finally, (e) discussion of procedures established for maintaining contact with respondents over time.

We anticipate sharing the materials in this Technical Report with other grantees who will find the information useful assuming, as we do, that there will be overlap among the grantees with regard to the use of specific research instruments. We will also communicate the early results of this study with other researchers in the field. This will be done both through the professional staff's on-going relationships with colleagues across the country and abroad, through their participation in professional meetings, and the writing of research papers, where appropriate, for submission to professional publications.

Phase II of the study will result in four other Technical Reports (in years three and four) focusing on the correlates of delinquency and on

initial tests of the LISREL model. These will be shared with other grantees and researchers. As tentative findings from the data analysis emerge, these will be reviewed in light of existing literature and the ongoing work of other grantees in order to explore the potential policy implications, especially as they relate to intervention. Phase II will also result in a report on the ethnographic research in year four; this will stand alone from other project reports and be submitted for publication, but also be integrated into the project's one or more final reports. The latter will be written in the fifth and final year of the project and will contain discussions of methodology, model testing and theory development, as well as discussions of substantive findings and their implications for program development in the area of delinquency intervention.

E. Management Structure of the Project

1. Overall Project Organization

The project will be carried out within the Research Department of the Vera Institute of Justice under the general oversight of Dr. Sally T. Hillsman, Vera's Director of Research and a sociologist who has been engaged in criminal justice research for the last ten years.* Major responsibility for running the project will be carried out by a Project Director, Dr. Laura A. Winterfield, a sociologist specializing in delinquency research and criminology. Over the five year period, Dr. Winterfield will commit between 50 percent and 75 percent of her time to

*Brief descriptions of the members of the research team for this project which high-light relevant aspects of their professional background will be found in Section E3 below; full resumes are also appended.

this study. She will be assisted by three senior members of the Vera Research Department staff. Dr. Susan Sadd, a social psychologist with background in research on personality and specializing in methods and statistics, will collaborate closely with Dr. Winterfield in the selection of the instruments, the design of the analysis and the interpretation of the results. She will also work with the project's structural equation model consultant, Dr. David Rindskopf of the City University of New York. Drs. Winterfield and Sadd will be supported by John Best, Senior Programmer/Analyst of the Research Department who will design and maintain the computerized database for the project and program the analyses. Dr. Mercer L. Sullivan, the Institute's Urban Anthropologist, will carry out the ethnographic part of the study with the aid of a Research Associate/Ethnographer as a continuation of his ongoing ethnographic work in these neighborhoods. They will provide Drs. Hillsman, Winterfield and Sadd with detailed information on the community structures of the neighborhoods being studied and on the nature of delinquent and non-delinquent sub-groups in those communities.

The project activities include substantial field work: mapping the communities to be studied; conducting interviews with research subjects (parents and youths) in these communities; maintaining contact with them over a three year period; and manually compiling juvenile arrest histories from the Youth Records Division at the headquarters of the New York City Police Department. This work will be carried out by full-time field staff, employed by the Vera Institute's Research Department. The field staff will consist of a Data Collection Coordinator, reporting to the Project Director, and three to four interviewers.

2. Description of Major Staff Positions

The staff positions and their major responsibilities will be defined as follows:

(a). Project Director - Under the general supervision of Vera's Director of Research, the Project Director will be responsible for the overall management and coordination of all parts of the research project. The Project Director will be heavily involved in further specifying the research design; carrying out the sampling; deciding upon and developing the data collection instruments; training the field staff in their use; supervising the Data Collection Coordinator; designing and carrying out the data analysis; and writing the various interim and final reports. She will be closely involved with all the grantees of this OJJDP initiative and will maintain active professional relationships with other professionals working in this field by presenting papers at professional conferences and writing for professional publications.

(b). Senior Research Associate/Social Psychologist - In collaboration with the Project Director, the project's social psychologist/methodologist will assess the instruments proposed for inclusion in the youth and parent interviews and play an active role in designing and carrying out the analysis of the data using LISREL. She will participate in the writing and presentation of all the project's research reports and papers.

(c). Senior Research Associate/Urban Anthropologist - In collaboration with the Project Director, the Urban Anthropologist will carry out the ethnographic work in both communities being studied, supervise the work of the Research Associate/Ethnographer, and assist in the coordination of those qualitative data with the quantitative data that are at the core of

the model-testing. He will prepare a separate report on the ethnographic work and assist in the preparation of other final reports of the full research.

(d). Senior Programmer/Analyst - Under the direction of the Project Director, the Senior Programmer/Analyst will prepare the computerized database; enter the three waves of interview and criminal justice data; and program all analyses. He will supervise the data screening and cleaning; design a computerized tracking system to aid in the management of the field work; and consult with the Project Director and Social Psychologist in the forming of the data collection instruments. At the conclusion of the project, he will prepare the database for archiving and for use by other researchers.

(e). Data Collection Coordinator - Under the direction of the Project Director, the Data Collection Coordinator will supervise all activities of the field staff. He or she will supervise the mapping of the two communities being studied in preparation for the sampling; train and supervise the interviewers in identifying sample households and interviewing subjects; maintain the tracking system for all subjects over time and supervise the activities of the interviewers in keeping in touch with the sample between annual interviews; check the quality of the interview data and, with the help of the project's Administrative Assistant, maintain the project's papers and files of data collection instruments. He or she will also supervise the field staff's work in collecting and coding the juvenile and adult criminal history data from official agencies.

(f). Interviewers/Data Collectors - The project will maintain a full-time bilingual field staff of three to four people to carry out all the interviewing, criminal justice data collecting and coding under the

supervision of the Data Collection Coordinator. They will also map the neighborhoods for the purposes of sampling, and maintain active contact with all members of the sample between annual interviews. The Vera Research Department has put together field staffs of this type on many occasions in the past, relying upon the universities and colleges in the New York City area and various community-based programs and criminal justice agencies for the referral of suitable, talented individuals.

(g). Research Associate/Ethnographer - Under the supervision of the Senior Research Associate/Urban Anthropologist, the Research Associate will conduct interviews with delinquent and non-delinquent members of the communities being studied. This staff member will be hired from among the graduate students in one of several excellent Anthropology Departments at universities in the New York City area.

(h). Research Assistant - A research assistant from the Vera Research Department will be used on an as-needed basis to screen and clean the computerized data, to help compile and aggregate the community data, to update the computerized tracking system, and to code data.

(i). Administrative Assistant - The project's Administrative Assistant would assist the Project Director in carrying out all the administrative tasks associated with the implementation of the project. These tasks will include serving as liaison with the Vera Fiscal Department regarding management of the project budget; assuring that all project staff have the space and supplies they need to carry out their tasks effectively; and making sure that all project records are properly maintained and fully secured. In addition, the Administrative Assistant will serve as the executive secretary to the Project Director and perform many secretarial and typing duties required for the production of project reports, including the transcription of interviews for the project's two ethnographers.

3. Members of the Research Staff for this Project

Sally T. Hillsman, Ph.D. has been Director of Research at the Vera Institute of Justice for the past six years. In addition to her administrative and supervisory activities in the Research Department, she is currently conducting a two year study of prosecution and court delay in New York City. She has also recently completed two studies in the United States and England on the use and enforcement of fines as criminal sanctions. Prior to becoming Research Director, Dr. Hillsman was Project Director of Vera's three-year study of pretrial intervention in New York City's Criminal Court. The study, funded by the National Institute of Justice, is one of the only criminal justice evaluations to successfully carry out a controlled experiment in a court setting; it also employed a longitudinal design which involved a large sample of youthful criminal defendants followed over a two year period.

Previously, Dr. Hillsman was a Research Associate at the Center for Policy Research in New York, and on the faculties of the City University of New York and Columbia University. She holds a Ph.D. in Sociology from Columbia, and has done research and consulting in a number of policy fields, particularly in the area of criminal justice. Dr. Hillsman has written on pretrial aspects of the criminal justice system, sentencing, and on research and evaluation methods. She is a former Vice President and member of the Board of Directors of the Society for the Study of Social Problems and holds advisory positions to several major federally-funded criminal justice research projects.

Laura A. Winterfield, Ph.D. is currently Project Director of the Criminal Careers study at the Vera Institute, and has been involved in delinquency and criminology research for over ten years. While at the Colorado Judicial Department she did an extensive analysis of juvenile court case processing and developed a program evaluation module for the Judicial Department's on-line computerized juvenile probation system. She has done several program evaluations of juvenile treatment programs, which were used in funding decisions by the Colorado State Legislature.

While earning her doctorate, Dr. Winterfield worked extensively with Dr. Delbert Elliott, building a conceptual model of delinquency against which specific treatment programs were evaluated. She received a post-doctoral fellowship at Carnegie-Mellon University, and worked with Dr. Alfred Blumstein on Elliott's 1974 Delinquency and Drop-out database. In her current work at Vera, based on a sample of arrested juveniles taken to New York City's Family Court probation intake unit, she has developed a career criminal typology and prospective predictive models. Dr. Winterfield holds a Ph.D. in Sociology from the University of Colorado at Boulder.

Susan Sadd holds a Ph.D. in Personality and Social Psychology from New York University, where she received extensive training in research design and methodology, and advanced statistical techniques. Dr. Sadd has been employed at the Vera Institute since 1977. She is currently Director of a research project evaluating three types of detoxification programs for public inebriates.

Previously, Dr. Sadd served as the research director of a multi-year, multi-site research and demonstration project conducted by the Vera Institute (AYES). The research on this project involved repeated interviewing of high-risk 16-21 year-old youths. As one of her responsibilities, Dr. Sadd supervised the data analysis, which included computation of reliability co-efficients and measurements of change over time while controlling for demographic variables. This was accomplished using a variety of techniques, including multiple regression, logistic regression, and analysis of variance. She also served as Deputy Director of research on Vera's Court Employment Project, which provided pretrial diversion to young defendants. In sum, Dr. Sadd has considerable experience conducting large-scale research on high-risk youth populations, as well as substantial analytic and methodological expertise.

Mercer L. Sullivan, Ph.D. is an urban anthropologist with over ten years professional experience in all phases of ethnographic research. He has conducted field studies of the social organization and desegregation of urban schools; the relationships between youth crime and employment; ex-offender employment services; and sexual development and parenting among inner-city teenage males. Most of these research projects have involved the application of the techniques of social network analysis to the study of adolescent peer groups. His writings on these subjects have received favorable responses from academic and professional audiences as well as extensive coverage in the mass media, including Newsweek, The New York Times, and national radio and television networks. He is currently a Senior Research Associate at the Vera Institute of Justice where he has carried out much of this work since 1979.

John Best is an applications programmer/analyst with over ten years of experience in the design and analysis of research databases. During his eight years of employment at Vera, he has been responsible for the database design, management and programming for several complex, longitudinal studies. For example, the analyses of both the Court Employment Project (CEP) evaluation and the AYES study required the merger of multiple waves of data from both personal interviews and official criminal histories for large samples. At the present time, Mr. Best is the analyst on a two year project of prosecution and court delay requiring very complex file management and data analysis of more than a dozen tapes acquired from the New York State Unified Court System each of which contains approximately 100,000 court records.

The studies described above have required Mr. Best to be well-versed in the use of a variety of statistical packages including SAS, DATATEXT, SPSS and BMDP. He also has had full responsibility for file management and documentation for these studies; several of these archived datatapes have been used subsequently by other researchers.

David Rindskopf, Ph.D. will serve as a consultant to the project on data analysis, particularly the use of LISREL. Dr. Rindskopf is an Associate Professor in the Educational Psychology and Psychology Departments of the City University of New York Graduate Center. At CUNY he teaches courses on multivariate statistics, with an emphasis on structural equation models (including use of LISREL). Dr. Rindskopf has also done research using these analytic techniques which has been published in journals such as Psychometrika. In addition, he has taught multivariate statistics to employees of government agencies (including the GAO, the U.S. Department of Agriculture and the Federal Judicial Center) and to employees of private corporations.

RESUMES

SALLY T. HILLSMAN

Director of Research
Vera Institute of Justice
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Apartment 10-E
New York, New York 10025
212-662-7712

EDUCATION

Columbia University, Ph.D. (Sociology 1970).
Mount Holyoke College, A.B. with Great Distinction
(Economics and Sociology 1963).
University of Edinburgh, Scotland, non-degree candidate
(Political Economy and Social Philosophy 1962).

ACADEMIC HONORS

Doctoral Research Grant, U.S. Department of Labor, 1968-1970.
Graduate Research Assistantship, Columbia University, 1968.
Pre-doctoral Fellowship, National Institute of Mental Health,
1964-1967.
Danforth Fellowship, 1963-1964.
Phi Beta Kappa, 1963.
Gold Medal in Political Economy, University of Edinburgh, 1962.
Merchant Company Prize in Political Economy, University of
Edinburgh, 1962.

RESEARCH EXPERIENCE

Director of Research, Vera Institute of Justice, New York City,
1979-Present. The Vera Institute is a private, non-profit
corporation that has been working since 1961, with funding
from foundations and government, to help make the criminal
justice and social service systems work better. Vera uses
research to identify and analyze key social problems, de-
signs and implements programs to alleviate these problems,
and conducts evaluative studies to assess the worth of
particular programs and to identify ways in which their
impact may be enhanced. At the present time, Vera em-
ploys over 200 people performing these functions in New
York and London, including over 30 in the Research
Department.
Assistant Director of Research, Vera Institute of Justice, New
York City, 1978-1979.
Project Director, Court Employment Project Evaluation, Vera
Institute of Justice, New York City, 1976-1979.
Controlled experiment conducted in the New York City
Criminal Court examining the impact of pretrial diversion,
under a grant from the National Institute of Law Enforce-
ment and Criminal Justice, LEAA.

Research Associate, Center for Policy Research, New York City, 1970-1972. Research on the relationship between the social and psychological characteristics of workers and the structural characteristics of jobs, under a grant from the U.S. Department of Labor.

Project Director, Bureau of Applied Social Research, Columbia University, New York City, 1968-1970. Research on early employment and educational experiences of working class white, black and hispanic women, under a grant from the Manpower Administration, U.S. Department of Labor.

Research Assistant, Bureau of Applied Social Research, Columbia University, New York City, 1969-1970.

Research Assistant, Bureau of Applied Social Research, Columbia University, New York City, 1967.

TEACHING EXPERIENCE

Assistant Professor of Sociology, Queens College of the City University of New York, 1971-1976. Courses taught at BA and MA levels; member, Personnel and Budget Committee (elected 1973-1976); member, Graduate Program Committee (1971-1973).

Associate in Sociology, School of General Studies, Columbia University, New York City 1970-1971.

Adjunct Instructor, Humanities and Social Science Division, The Cooper Union, New York City, 1967-1968.

PUBLICATIONS

Enforcement of Fines as Criminal Sanctions: The English Experience and Its Relevance to American Practice. 1985 (forthcoming). Washington, D.C.: National Institute of Justice. With Silvia S.G. Casale.

Fines in Sentencing: A Study of the Use of the Fine as a Criminal Sanction. 1984. Washington, D.C.: National Institute of Justice. With Joyce L. Sichel & Barry Mahoney.

Executive Summary, Fines in Sentencing: A Study of the Use of the Fine as a Criminal Sanction. 1984. Washington, D.C.: National Institute of Justice. With Joyce L. Sichel & Barry Mahoney.

"Pretrial Diversion of Youthful Adults: A Decade of Reform and Research." 1982. The Justice System Journal 7 (Winter).

The Diversion of Felony Arrests: An Experiment in Pretrial Intervention. 1981. Washington, D.C.: National Institute of Justice. With Susan Sadd.

"Random Time Quota Selection: An Alternative to Random Selection in Experimental Evaluations." 1979. Evaluation Studies Review Annual, Volume 4, Lee Sechrest (ed). Beverly Hills, California: Sage Publications. With Orlando Rodriguez.

"Women in Blue-Collar and Service Jobs." 1978. Women Working: Theories and Facts in Perspective, Ann H. Stromberg and Shirley Harkess (eds). Palo Alto, California: Mayfield.

"Earnings Prospects of Black and White Working-Class Women." 1976. Sociology of Work and Occupations 3 (May): 123-150. With Bernard Levenson.

"Job Opportunities of Black and White Working-Class Women." 1975. Social Problems 22 (April): 510-533. With Bernard Levenson. Reprinted in Women and Work: Problems and Perspectives. 1982 Rachel Kahn-Hut, Arlene Kaplan Daniels and Richard Colvard (eds). Oxford Press.

"Job Design and Worker Satisfaction: A Challenge to Assumptions." 1975. Journal of Occupational Psychology 48: 79-91. With Richard A. Hansen.

"Tolerance for Bureaucratic Structure: Theory and Measurement." 1973. Human Relations 26 (December): 775-786. With Amitai Etzioni, Richard A. Hansen, and Marvin Sontag. Reprinted in Society, Individual and Personality. 1981 (third edition). Gordon J. DiRenzo (ed.). Ginn Publishing.

MONOGRAPHS AND REPORTS

The Court Employment Project Evaluation. Final Report to the National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration. New York: Vera Institute of Justice, 1979. With Susan Sadd.

Pretrial Diversion from Prosecution: Descriptive Profiles of Seven Selected Programs. New York: Vera Institute of Justice, 1978. With Pamela Samuelson and Ann Berrill.

Research Design and Implementation: Court Employment Project Evaluation. New York: Vera Institute of Justice, 1977. With Orlando Rodriguez.

Workers' Predispositions and Job Requirements. New York: Center for Policy Research, 1972. With Amitai Etzioni, Richard A. Hansen and Marvin Sontag.

Tolerance for Bureaucratic Structure: A Scale and Test Manual. New York: Center for Policy Research, 1972. With Marvin Sontag, Richard A. Hansen, and Amitai Etzioni.

Problems in the Evaluation of Mental Health Projects. New York, Bureau of Applied Social Research, Columbia University, 1970. With Carol H. Weiss.

Entry Into the Labor Market: The Preparation and Placement of Negro and White Vocational High School Graduates. Ph.D. dissertation. Columbia University, 1970.

PRESENTED PAPERS AND ADDRESSES

"Fine Usage in England and America." Annual Meetings of the American Society of Criminology. San Deigo, California, November 1985.

"The Politics of Randomization." Annual Meetings of the American Society of Criminology. Cincinnati, Ohio, November 1984.

"From Family Court to Criminal Court: A Study of Delinquent to Criminal Careers." Crime Control Theory Conference. Carnegie-Mellon University, Pittsburgh, Pa., June 1983.

"Pretrial Diversion as an Alternative to Prosecution." Committee of Community Social Researchers of the Community Council of Greater New York. New York City, May 1983.

"Research on Sentencing Alternatives." Judicial Council of the Second Circuit, United States Courts. New York City, March 1983.

"An Innovative Approach for Fostering Independence in Developmentally Disabled Adults: Supported Work as a Rehabilitative Mechanism." Annual Meeting of the American Orthopsychiatric Association. Boston, April 1983. With Janet Weinglass and Arlene Silberman.

"The Fine as a Criminal Sanction." Annual Meeting of the Law and Society Association. Toronto, Canada, June 1982. With Barry Mahoney.

"Sociologists at Work: Satisfactions and Dissatisfactions." Annual Meetings of the Society for the Study of Social Problems. Boston, August 1979.

"Diversion: Do the Standard Pretrial Intervention/ROR Models Still Work? Their Effect on Women." Women in Crisis Conference, Project Return Foundation and School of Social Welfare, SUNY at Stony Brook. New York City, May 1979.

"How Some Diversion Programs 'Fail'." National Symposium on Pretrial Services, Pretrial Services Resource Center. Lexington, Kentucky, April 1979.

"The New Marketplace: Roles of Practicing Sociologists." Annual Meetings of the Eastern Sociological Society. New York City, March 1979.

"Publishing and the Non-Academic Sociologist." Annual Meetings of the American Sociological Association. San Francisco, September 1978.

"Random Time Quota Selection." Annual Meetings of the American Sociological Association. San Francisco, September 1978; also presented at the Second National Workshop on Criminal Justice Evaluation, Law Enforcement Assistance Administration. Washington, D.C., October 1978.

"Pretrial: An Update." Plenary Session of the National Symposium on Pretrial Services, Pretrial Services Resource Center. San Diego, California, April 1978.

"The Pretrial Agency and the Evaluator." National Conference on Pretrial Release and Diversion, The National Association of Pretrial Services Agencies and the Pretrial Services Resource Center. Arlington, Virginia, May 1977.

"Sociologists in Non-Academic Employment." Annual Meetings of the Eastern Sociological Society. New York City, 1977.

"Women and Organized Labor." Conference on Women and Work: Feminist and Social Perspectives, Sociologists for Women in Society. New York City, February 1976.

"Employment Opportunities of Black and White Working-Class Women." Annual Meetings of the American Sociological Association. San Francisco, August 1975.

"Vocational Education: The Unmet Needs of Blue-Collar Women." First Working Conference on Research, The Ford Foundation. December 1974.

"School and Work: The Operation of Selection Processes and Their Consequences for the Early Careers of Black, Puerto Rican, and White Working-Class Women." Annual Meetings of the Society for the Study of Social Problems. New York, August 1973.

"Tolerance for Structure: Implications of Work Orientations for Job Placement and Development." Annual Meetings of the Society for the Study of Social Problems. New Orleans, August 1972.

OTHER PROFESSIONAL ACTIVITIES

Advisory Committee Memberships (recent list): Chair,
"Comprehensive Evaluation of the Community Boards Program of San
Francisco," Frederic DuBow, University of Illinois, 1983-5.
(William & Flora Hewlett Foundation); "The Effects of Sentences
on Subsequent Criminal Behavior," State of New Jersey
Administration Office of the Courts, 1984 - (National Institute
of Justice); "The Relationship Between Drug Use and Pretrial
Crime," Toborg Associates Inc. and Narcotics and Drug Research
Inc., 1984 - (National Institute of Justice); "Survey of Judges'
Attitudes Toward the Fine as a Criminal Sanction," Institute for
Court Management and University of Connecticut, 1984 - (National
Institute of Justice); "Telephone Hearing Project," Institute for
Court Management and the ABA Action Committee to Reduce Court
Costs and Delay, 1983 (National Science Foundation & National
Institute of Justice). "Work appreciation for Youth (W-A-Y)
Project," The Children's Village, 1974 - ;

Society for the Study of Social Problems:

Committee on Permanent Organization, 1985-1986;
Chair, Lee Founders Award Committee, 1984-1985;
Vice President, 1982-1983;
Board of Directors, 1977-1980;
Co-Chair, Committee on Unemployment in the Profession,
1975-1981.

Member, Public Affairs Committee Inc, New York City, 1984-1987.

Testimony, "Criminal Fine Collection and Enforcement," Hearings
before the Subcommittee on Energy, Nuclear Proliferation and
Governmental Processes of the Senate Committee on Governmental
Affairs. Washington, D.C., August, 1983.

Editorial Board, The Justice System Journal, 1983-1985.

Eastern Sociological Association, Papers Committee, 1982-1983;
Committee on Employment, 1980-1981.

Participant, Sentencing Institute for the Second Circuit, United
States Courts. New Paltz, New York, November 1981.

Guest, Planning Meeting on Women's Employment and Related Social
Issues. Assembly of Behavioral and Social Sciences,
National Academy of Sciences. Washington, D.C., April
1980.

Testimony, Hearings on Women in Blue-Collar, Service and Clerical Occupations, New York City Commission on Human Rights. April 1975.

Participant, First National Working Conference on Research: Women in Blue-Collar Jobs. The Ford Foundation. New York, December 1974.

Participant, Forty-third American Assembly on the Changing World of Work. Columbia University, November 1973.

Consultant: American Telephone and Telegraph, Project on Women, Minorities, and Management, 1976; Community Services for Human Development, Jackson Heights-Elmhurst, Queens, New York, 1975-1976; American Civil Liberties Union, in Tatum v. Laird, 1971-1972.

Reviewer: American Sociological Review; Social Problems; Work and Occupations; Signs; Justice System Journal.

MEMBERSHIPS IN PROFESSIONAL ASSOCIATIONS

Society for the Study of Social Problems.

American Sociological Association.

Eastern Sociological Association

Sociologists for Women in Society.

Law and Society Association.

National Council on Crime and Delinquency.

National Center for State Courts.

American Society of Criminology.

Clinical Sociology Association.

RESUME

Laura Anne Winterfield

Residence: 230 Riverside Drive, 7D
New York, N.Y., 10025
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Business: 377 Broadway
New York, N.Y. 10013
(212) 431-3003

EDUCATION

1980 Ph.D. Department of Sociology, University of Colorado, Boulder, CO.
1975 M.A. Department of Sociology, University of Colorado, Boulder, CO.
(Specialty: Human Services)
1971 Secondary Education Teaching Certification, Department of Education
University of Colorado, Boulder, CO.
1970 B.A. Department of Sociology, University of Colorado, Boulder, CO.

AREAS OF SPECIALIZATION

- Action Sociology
- Policy Analysis and Evaluation Research
- Organization
- Research Methods
- Deviance and Criminology

WORK EXPERIENCE: RESEARCH AND EVALUATION

March, 1984- Project Director, Vera Institute of Justice

Present:

- Design and conduct an analysis of the criminal careers of a cohort of juvenile offenders, processed in New York City.
- Design and conduct an evaluation of a prosecutorial program developed to speed up the disposition of criminal cases in New York City.
- Hire and supervise support staff as necessary.

Aug., 1982- Private Consultant, President, Timberline Associates

March, 1984:

- Provide technical assistance to local jurisdictions regarding policy development and implementation concerning jail and prison overcrowding.
- Conduct population projections.
- Carry out training regarding development of alternatives to incarceration.

Jan, 1982- Vice President, Policy Sciences Associates
March, 1984:

- ° Conduct research in natural resources field.

Sept. 1981- Post-Doctoral Fellow, Carnegie-Mellon University, Pittsburgh, PA
Aug. 1982:

- ° Design a study to test findings regarding criminal career information generated from adult arrest data in order to determine whether similar patterns can be found in juvenile data.
- ° Design and conduct comprehensive analysis to determine the impact of pretrial policies on jail populations.
- ° Develop and analyze the impact of a new sentencing policy on commitment rates.

Oct. 1980- Research Associate, Policy Sciences, Boulder, CO
Sept. 1981:

- ° Design a research project to assess the public acceptability and potential impact of various water management policies on residential water use.
- ° Design the questionnaire used in the analysis; perform analyses, write final report.

Oct. 1980- Research and Systems Analyst, Boulder County Community Corrections
Sept. 1981:

- ° Carry out all systems analysis and design for a comprehensive Management Information System (MIS) to be used by all criminal justice agencies in Boulder County.
- ° Conduct on-going staff training for the MIS system.
- ° Develop and carry out an evaluation to measure the effectiveness of an LEAA Jail Overcrowding/Pre-Trial Detainee Project in Boulder.

Sept. 1979- Alcohol-Drug Program Evaluator, Division of Highway Safety
Oct. 1980: Colorado Department of Highways

- ° Design a statewide computerized evaluation system and all necessary forms used to monitor and assess the impact of new legislation placing alcohol specialists in Colorado's judicial districts to perform diagnostic evaluations on all persons convicted of DUI or DWAI (House Bill 1467).
- ° Train alcohol specialists, probation and judicial personnel, and treatment agencies in the use of that system.
- ° Design and conduct a recidivism study to determine the effectiveness of H.B. 1467.
- ° Write necessary status reports regarding the program, and present to probation, judicial, and treatment personnel.
- ° Carry out research projects relating to the impact of motorcycle helmets on severity of injuries.

March, 1978- Research Associate, Colorado Department of Corrections

Sept. 1979:

- ° Design and conduct a statewide evaluation of community corrections, both state-operated and contractual.
- ° Design and conduct evaluation of Outward Bound, a treatment program at the Reformatory.
- ° Design, implement, and evaluate Performance-Based Budget System. Develop workload, efficiency, and effectiveness factors for all operational and programmatic areas within the department's facilities and agencies.
- ° Design, implement, and evaluate weighted caseload system for parole and community corrections. Develop typology of offenders based on risk and need factors. Conduct time analysis of job activities and establish standards for job tasks and client supervision levels.

Jan. 1976- Research and Evaluation Coordinator, Colorado State Judicial
March 1978: Department

- ° Design and conduct a study to determine sentencing patterns for three felony offenses.
- ° Conduct on-going research relating to the evaluation of sentencing disparities in Denver District Court.
- ° Design and conduct study to develop a typology of probationers based on client risk factors.
- ° Design weighted caseload system for probation.
- ° Design on-line computer system for adult probation statewide.
- ° Design program evaluation module for the juvenile on-line probation system.
- ° Design and conduct a survey of probation staff to determine attitudes regarding the effectiveness of the on-line computer system.
- ° Serve as trainer for and liaison with probation staff regarding the computer system.

Jan. 1974- Evaluator, Paraprofessionals in Probation Services, Colorado State
Dec. 1975: Judicial Department

- ° Design and conduct a two-year evaluation of a grant designed to develop innovative use of probation personnel.
- ° Monitor and supervise probation department compliance with grant stipulations.

March 1975- Research Analyst, Colorado State Judicial Department
Jan. 1975:

- ° Design and conduct analysis of processes, procedure and case flow for juvenile, county, and district courts.
- ° Design and conduct analysis of case processing times in Denver's juvenile, county and district courts.
- ° Develop baseline data for evaluation of computerization of Denver's juvenile court.

PUBLICATIONS

- Lord, William B., James A. Chase, and Laura A. Winterfield. "Choosing the Optimal Water Conservation Policy." American Water Works Association Journal, 75 (7), July, 1983: 324-329.
- Lord, William B., James A. Chase, and Laura A. Winterfield. Evaluation of Demand Management Policies for Conserving Water in Urban Outdoor Residential Uses. Boulder, Colorado: Policy Sciences Associates, Research Report 82-1, January, 1982.
- Winterfield, Laura A. Colorado Community Corrections: A Case of Not Widening the Net. Pittsburgh: Carnegie-Mellon University, 1982.
- Winterfield, Laura A. Analysis of Front-End Diversion Community Corrections. Colorado Department of Corrections, March, 1979.
- Winterfield, Laura A. Design of a Weighted Caseload System for Colorado Adult Probation. Colorado Judicial Department, 1978.
- Winterfield, Laura A. Evaluation of Outward Bound. Colorado Department of Corrections, January, 1978.
- Winterfield, Laura A. An Analysis of Sentencing Patterns for Three Felony Offenses. Colorado State Judicial Department, Final Report, 1977; Preliminary Report, 1975.
- Winterfield, Laura A. Evaluation of Paraprofessionals in Probation Services. Colorado State Judicial Department, Final Report, 1976; Preliminary Report, 1975.
- Winterfield, Laura A. An Analysis of Case Processing Times in Denver Juvenile Court. Colorado Judicial Department, 1974.
- Winterfield, Laura A. Case Weighting Study in Metropolitan Courts. Colorado Judicial Department, 1974.
- Winterfield, Laura A. A Study of Procedural Patterns and Case Flow in Denver Juvenile Court and Probation Department. Colorado Judicial Department, 1973.
- Winterfield, Laura A. Evaluation of Intake Procedures in Denver Juvenile Probation Department. Colorado Judicial Department, 1973.

PRESENTATIONS

"Criminal Careers of Juveniles in New York City: Results." Annual Meetings of the American Society of Criminology. San Diego, CA, November, 1985.

"Criminal Careers of Juveniles in New York City: A Proposal" Annual Meetings of the American Society of Criminology. Cincinnati, Ohio, November, 1984.

"Community Corrections in Colorado: A Case of Not Widening the Net." Annual Meetings of the American Society of Criminology. Denver, Colorado, November, 1983.

"The Use of Community Corrections as an Alternative Sentencing Policy." International Symposium on the Impact of Criminal Justice Reform. NCCD, San Francisco, CA, 1983.

"Comparative Evaluation of the Effectiveness of Community Corrections as a Sentencing Alternative." Annual Meetings of the American Society of Criminology, Toronto, Canada, 1982.

"Probation or Community Corrections: Who's Appropriate for Placement?" Annual Meetings of the American Society of Criminology. Washington, D.C., November, 1981.

Testimony before the New Mexico Special Legislative Subcommittee concerning Prison Reform. Presented information on the structure of the Colorado Community Corrections Act, and data regarding use of community corrections in Colorado. March, 1978.

"Use of an On-line Computer System for Program Evaluation." National Conference on Criminal Justice Evaluation, Washington, D.C., February, 1977.

HONORS AND GRANTS

- | | |
|------|---|
| 1981 | Selected for a Post-Doctoral Fellowship at Carnegie-Mellon University funded by NIMH. |
| 1979 | Selected for an award for an LEAA Fellowship for dissertation support. |
| 1976 | Co-author on a grant titled "Probation Research and Evaluation," awarded to the Colorado Judicial Department. |

June, 1985

SUSAN SADD

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Ossining, N.Y. 10562
(914) 762-1375

Education

Ph.D.	(Personality and Social Psychology)	New York University	1977
M.A.	(Psychology)	New York University	1974
B.A.	(Mathematics)	Michigan State University	1971

Research Experience

1977 - Present Vera Institute of Justice
 377 Broadway
 New York, New York 10013

1983 - Present. Project Director of Alcohol Detoxification Study, funded by the National Institute of Alcohol Abuse and Alcoholism; a two-year study of the effectiveness and safety of alcohol detoxification programs for public inebriates. Responsibilities include proposal development; research design and implementation; hiring and supervising research staff; development of data analysis specifications; report writing.

1983. Director of Criminal Careers Project during the design and data collection phases; funded by a grant from the National Institute of Justice; a predictive study following a cohort of delinquents from the juvenile to the adult court. Responsibilities included design of data collection forms and supervision of data collection process.

1981 - 1983. Research Director of the Alternative Youth Employment Strategies project, funded by the Department of Labor; a three-year research and demonstration project for 16-21 year old high risk youth in three U.S. cities. Responsibilities include supervision of central research staff and research staff in the three sites; development and monitoring of large budget; supervision of data collection and processing; extensive report writing.

1979 - 1981. Deputy Research Director of the Alternative Youth Employment Strategies project.

1977 - 1979. Deputy Director of Court Employment Project Evaluation, funded by a grant from the Law Enforcement Assistance Administration; longitudinal data were collected from personal interviews and official records.

1977 - 1982 Project Director/Consultant
 Societal Data Corporation
 New York, New York

Direct and coordinate survey studies for magazines and journalists. Topics covered by the surveys include money, feelings and attitudes towards having children, students' views of the future; religion; male sexuality; and stages in adult life development. Responsibilities include writing questionnaires; supervising sample selection; preparation of questionnaires for keypunching and data analysis; writing research reports.

1977 Project Director
 Studies of Fear of Success and Fear of Failure
 Department of Psychology
 New York University

Direct research sponsored by the Spencer Foundation. Involved scheduling studies; supervision of personnel who ran studies; planning and consulting during data analysis. Research included laboratory studies; clinical interviews; correlational studies.

Teaching Experience

1979 - Present Adjunct Assistant Professor
 Department of Psychology
 New York University

Teach evening courses on both the undergraduate and graduate level in social psychology and graduate level statistics.

Honors Received

1971 Graduation with Honors, Michigan State University
1972-1973 National Institute of Mental Health Predoctoral
 Traineeship, New York University
1973-1976 Teaching Assistantship, New York University
1977 George Zimbardo Memorial Prize, New York University
1978 James M. Cattell Award, New York Academy of Science

Publications

1. Safran, C., Shaver, P., Sadd, S., & Lenauer, M. Religion questionnaire. Redbook, 1976, 147, 86-89, 220-230.
2. Tavris, C. & Sadd, S. The Redbook Report on Female Sexuality. New York: Delacorte Press, 1977.

3. Welkowitz, J., Sadd, S., & VanZandt, C. Gender, field dependence, and simultaneous speech, presented as part of a symposium entitled, "Demographic and Personality Influences on Nonverbal Behavior in Conversation," American Psychological Association meeting in San Francisco, August 1977.
4. Miller, F., Sadd, S., & Zeitz, B. Sex roles, feminism, and achievement conflicts. Paper presented at Eastern Psychological Association meeting in Washington, D.C., March 1978.
5. Sadd, S., Lenauer, M., Shaver, P., & Dunivant, N. Objective measurement of fear of success and fear of failure: A factor analytic approach. Journal of Consulting and Clinical Psychology, 1978, 46, 402-413.
6. Sadd, S., Welkowitz, J., & Feldstein, S. Judgments of characteristics of speakers in a natural stress situation. Perceptual and Motor Skills, 1978, 47, 47-54.
7. Tavis, C., & Sadd, S. Results of the first Ms. money survey. Ms., May 1978, 6, 47-48, 50-51, 97-103.
8. Sadd, S., Miller, F.D., & Zeitz, B. Sex roles and achievement conflicts. Personality and Social Psychology Bulletin, 1979, 5, 352-355.
9. Sadd, S. Fear of success and fear of failure. Paper presented at New York Academy of Science, Psychology Division Meeting, March 1979.
10. Sadd, S. Relationships among achievement conflict measures. Paper presented at American Psychological Association meeting in New York, September 1979.
11. Shaver, P., Lenauer, M., & Sadd, S. Religiousness, conversion, and subjective well-being: The "Healthy-Minded" religion of modern American women. American Journal of Psychiatry, 1980, 137, 1563-1568.
12. U.S. National Institute of Justice. Diversion of felony arrests: an experiment in pretrial intervention. By Sally H. Baker and Susan Sadd, Washington, D.C., U.S. Government Printing Office, 1981.
13. Welkowitz, J., Kaufman, L., & Sadd, S. Attribution of psychological characteristics from masked and unmasked conversations. Journal of Communication Disorders, 1981, 14, 387-397.

Reports

1. Sadd, S. Manpower analysis and projections. American Express Company, Card Division, November 1975.
2. Shaver, P., Sadd, S., & Lenauer, M. Report on Redbook religion survey. New York University, Psychology Department, December 1976.
3. Shaver, P., Sadd, S., & Pullis, C. Analysis of survey on adult life crises. Completed for Gail Sheehy, August 1977.
4. Sadd, S., Shaver, P., & Lenauer, M. Report on Redbook male sexuality survey. New York University, Psychology Department, September 1977.
5. Shaver, P., & Sadd, S. Report on Redbook survey on feelings about having children. Societal Data Corporation, December 1977.
6. Sadd, S. Report on Ms. Magazine's survey on money. Societal Data Corporation, January 1978.
7. Baker, S.H., & Sadd, S. The Court Employment Project Evaluation: Final Report. Vera Institute of Justice, December 1979.
8. Sadd, S., Kotkin, M., & Friedman, S.R. Alternative Youth Employment Strategies Project: Final Report, Vera Institute of Justice, August 1983.
9. Sadd, S., Kotkin, M., & Friedman, S.R. Alternative Youth Employment Strategies Project: Special Summary, Vera Institute of Justice, August 1983.

Master's Thesis: The effects of performance feedback on competence judgments. New York University, 1974.

Ph.D. Dissertation: Fear of success and fear of failure. New York University, 1977.

VITA OF MERCER L. SULLIVAN

Born: February 23, 1950; Rome, Georgia

Marital Status: Married, one child

EDUCATION

Columbia University, Ph.D. Department of Anthropology, Program in Applied Anthropology and Education, Dissertation Title: Getting Over: Economy, Culture, and Youth Crime in Three Urban Neighborhoods, 1985.

Yale College, B.A., Honors Major in Philosophy and Literature, 1973.

Darlington School, Rome, Georgia, diploma, June 1967.

EMPLOYMENT

Project Director, Research on Neighborhood Work Project (an ex-offender employment program) and Teenage Fathers Research Project, Vera Institute of Justice, 377 Broadway, New York, New York, 10013. 6/84-present.

Deputy Director, Employment and Crime Project, Vera Institute of Justice, 10/82 - 6/84.

Research Associate, Employment and Crime Project, Vera Institute of Justice. Supervisor of project's ethnographic studies among "high-risk" youth in three neighborhoods, 6/79 - 9/82.

Research Fellow, Horace Mann-Lincoln Institute, Teachers College, Columbia University, New York, N.Y., 9/73 - 5/79. Responsibilities included performing and supervising participant-observation research, proposal writing, analysis of qualitative data, writing of research reports; Projects: Social Organization of Schools Study, funded by the National Institute of Education, 1973-1975; Desegregation Study, funded by NIE, 1975-1978; Klingenstein Fellowship Program, 1978-79.

Consultant to Dr. Francis A.J. Ianni, 7/73 - 9/73; interviewing and draft writing for his book, Black Mafia: Ethnic Succession in Organized Crime, published 1974, New York, Simon and Schuster.

Legal Service Assistant, The New York Legal Aid Society Criminal Appeals Bureau and Prisoners Rights Project, 1/72 - 6/73.

Intern, New York City Mayor's Urban Action Task Force, Morrisania Office, 157th Street and Washington Avenue, Bronx, New York, Summer, 1969.

TEACHING

Adjunct Professor, Sociology Department, New York University, Spring Term, 1984. Taught one undergraduate course, "Juvenile Delinquency."

Teaching (cont'd)

Lecturer, Department of Educational Administration, Teachers College, Columbia University, on occasional basis, for courses in organizational structure and process taught by Professor Francis A.J. Ianni, 1974-present.

PUBLICATIONS

Getting Paid: Economy, Culture, and Youth Crime in the Inner City (tentative title), Cornell University Press, forthcoming August, 1986.

"Youth Crime: New York's Two Varieties," New York Affairs, Vol. 8, No. 1, Fall, 1983.

Book Chapter: "Contacts Among Cultures: School Desegregation in a Polyethnic New York High School" in Ray Rist, ed., Desegregated Schools: Appraisals of an American Experience, Academic Press, N.Y., 1979, pp. 201-240.

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Teen Fathers in the Inner City: An Exploratory Ethnographic Study. Report to the Ford Foundation, April, 1985.

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The Social Organization of Three High Schools with Francis A.J. Ianni et al. Report to the Ford Foundation, 1973.

CONSULTING

Study of Political Leadership in American Chinese Communities, Chia-ling Kuo, Ph.D., Principal Investigator, Chinatown Planning Council, 1979.

Workshop on "Racial Isolation in the Classroom," Middle Island School District Middle Island, New York, 7/79.

Desegregation Workshop, Race Desegregation Assistance Center, Institute for Urban and Minority Education, Teachers College, Columbia University, 10/18/79.

Employment and Crime Study, Vera Institute of Justice, 3/79 - 5/79.

Training Institute on Equitable Procedures of Discipline and Control, R.D.A.C., I.U.M.E., T.C., Columbia University, 9/80 - 1/81.

Foreign Languages: French and German

Appendix A

The Vera Institute of Justice: Organizational Capability Statement

The Vera Institute of Justice is a private, non-profit corporation which has been working since 1961, with funding from foundations and government agencies, to further understanding about the problems of crime and to improve the functioning of the criminal justice system. In carrying out this mission, Vera has engaged in basic research to identify and analyze the complex problems of crime, of the criminal justice system, and of the populations involved with that system. It has also designed and implemented programs intended to alleviate criminal justice problems, and conducted experimental research to evaluate the worth of various program efforts (our own and others), as well as identifying ways in which program impact might be enhanced.

Over the years, Vera has applied this research and development approach to many aspects of the crime problem and to virtually all functions of the criminal justice system. This work began in 1961 with the Manhattan Bail Project -- a successful attempt to develop and implement a predictive point scale that would identify defendants most likely to appear subsequently for trial without bail being posted. This research and development approach has continued to the present time, often using larger and far more complex research designs. Many of these designs, discussed below, have been multi-wave, multi-site studies involving extensive data collection both from individual respondents and from official sources (including schools, employers, welfare agencies, drug programs, as well as the full range of adult and juvenile criminal justice agencies). The projects have resulted in large databases and complex sets of variables that have been analyzed by sophisticated multivariate techniques.

The Institute first became involved directly with the problems of the juvenile justice system in 1968 through an action project that attempted to address an inherent structural imbalance within the New York City Family Court that necessitated police officers and Family Court judges to assume key aspects of the traditional prosecutorial function. Before this time, there was no one specifically designated to represent the public in presenting the charges against a youth brought before the juvenile court or to screen out cases that should not be pursued. With a pilot grant from the Mayor's Criminal Justice Coordinating Council, Vera assigned a new Family Court Law Officer to perform these prosecutorial functions. This project helped demonstrate the need for a separate prosecuting authority in juvenile delinquency cases and led to a major modification of the New York City Family Court structure in which the City's Corporation Counsel assumed a role similar to that of the district attorney in the adult criminal court.

The Institute became more directly involved with the juvenile court population with its Neighborhood Youth Diversion Program. This began in 1971 as an effort to divert to community-based mediation twelve to fifteen year olds brought before the Family Court for relatively minor offenses. Located in the inner-city East Tremont section of the Bronx, the program established a forum of community members to deal with the problems of troubled youth and to intervene in crises between parents and children which, if brought before the Family Court, would often result in the placement of young people in state facilities.

The Institute became more centrally involved in basic research on delinquency and the problems of juvenile justice with the 1975 inception of Paul

Strasburg's study of violent delinquents (1978).^{*} With funding from the Ford Foundation, Strasburg reviewed the state of knowledge about violent delinquency and explored the extent to which we could identify and develop intervention strategies for repeat, violent juvenile offenders. Based upon a 10 percent random sample of delinquency petitions brought before the courts in 1974, in Manhattan and Westchester counties in New York and Mercer County, New Jersey, Strasburg found that 29 percent of the sample had been charged at least once with a violent offense and a much smaller group -- six percent -- had been charged with a serious violent offense more than once. Strasburg's study was an early influence on focusing criminal justice practitioners in the New York area and elsewhere on this small group of violent, repeat offenders, and his findings fit well into the now much expanded research literature on delinquent careers.

Because of its continuing interest in developing policy to deal with this group, the Ford Foundation provided Vera with funds for a Violent Delinquency Planning Project (1976-1978) to conduct a national search to identify exemplary programs designed for chronic, serious delinquents, and to expand our knowledge about violent delinquency. The project confronted the problem that repeat violent offenders are difficult to identify for program purposes, but argued that chronic delinquents, although few in number, were more likely than other groups to engage in violent acts, simply because their delinquency was so frequent. It appeared that it was more feasible for programs to concentrate on repeat, serious juvenile offenders, in an attempt to reduce potential

^{*} It might be noted here that, because the age of adult jurisdiction in New York State is the 16th birthday (and younger, for some serious offenses), and because so many arrestees in New York City are between 16 and 18 years old, much of the Institute's research on "adult" offenders has dealt with populations of an age to be considered "juvenile delinquents" in other jurisdictions, albeit delinquents in the later stages of adolescence.

violence, than to identify juveniles already involved in repeat violent offenses. The program ideas developed in the course of the Violent Delinquency Planning Project have been developed and discussed with the Ford Foundation, New York City's Department of Juvenile Justice, New York State's Division for Youth and federal officials at the Office of Juvenile Justice and Delinquency Prevention.

Strasburg's study also led Vera research in another direction. Strasburg called attention to the lack of information on juvenile court processing, and the need for expanding our knowledge about the extent to which serious cases are handled appropriately in juvenile courts. In 1978, with funds from the New York State Division of Criminal Justice Services, the Foundation for Child Development, the William T. Grant Foundation and the Scherman Foundation, Vera began the Family Court Disposition Study, an extensive, basic research project on case processing in New York City's Family Court. The study was modeled, in part, on Vera's earlier study of felony case processing in New York City's criminal courts (Felony Arrests, 1977; revised, 1981). Following that approach, the Vera Family Court study established both a large representative sample (1,890 delinquency and 893 PINS cases), and a smaller ("deep") sample for in-depth study, consisting of 200 cases drawn from the larger sample. The representative sample was selected randomly (one-in-ten for the alleged delinquents and one-in-six for the PINS) from those entering four separate Family Courts in New York City during a one year period. The deep sample cases were selected for the purpose of exploring in detail through interviews the practitioners' perceptions of and decisions about individual cases.

The Family Court study fills a major gap in our knowledge about how juvenile courts dispose of delinquency charges and status offenses and expands our knowledge about the kinds of offense behaviors that come before the juvenile

court (Weisbrod et al, 1981). In addition, the large database it generated has become the basis for a subsequent research project. This project is designed to describe the complex structure of criminal careers from juvenile onset to age twenty-one and to predict prospectively serious adult offenders.

Funded by the National Institute of Justice under its Career Criminal Program and by the City of New York's Office of the Criminal Justice Coordinator, this three-year project is nearing completion (Winterfield, forthcoming 1986). The database consists of all 1,251 fourteen and fifteen year old juvenile delinquents drawn in the original Family Court study's representative sample of four juvenile courts. Their original juvenile records were updated and then augmented by subsequent adult criminal histories. After accounting for periods of time in custody, the research constructed yearly rates of offending for this population beginning with their first arrest as a juvenile and ending with the last arrest (adult or juvenile) officially recorded at the close of data collection (a period covering ages 20 or 21 for most sample members). The methods developed in this study for describing and classifying an individual's officially recorded criminality over time (those arrests occurring both within the juvenile delinquency jurisdiction and within the adult jurisdiction as well as across the entire career span) permit a sophisticated analysis of the persistence and the desistance of criminality over time and across court jurisdictions, and also of the stability or escalation of offense severity. Furthermore, because the study population was selected at ages 14 and 15, and includes both more and less serious juvenile delinquents, it permits the prospective testing of predictive models of adult criminality and its seriousness. As indicated in the current proposal, much of the work done in the Criminal Career Project will be used in conceptualizing and operationalizing the dependent variables in the model to be tested.

Another major research effort of the Vera Institute also provides a context for the five-year study proposed here. In 1977 the Institute was awarded a long-term renewable grant for basic research under the National Institute of Justice's Research Agreements Program (RAP). The goal of this research effort was to develop a variety of approaches to studying in depth the multifaceted relationships between employment behavior and criminal behavior of high-risk, young inner-city populations.

In carrying out this research agenda, Vera surveyed over 900 arrestees in Brooklyn, exploring the complex relationships between their criminal careers and their legitimate careers (Thompson, 1985; McGahey, 1982). In addition, Vera conducted a multi-year ethnographic study of male youths in three high-risk neighborhoods, also in Brooklyn. Systematic ethnography was viewed as a central means of exploring in rich multidimensional detail the wide-ranging experiences of inner-city white, black and Hispanic youths. This approach helped explore the social, psychological, and environmental factors which shape their employment and criminal behaviors over time. Age, personality, education, family, and local community settings, with the latter's important structural variation in both legal and illegal influences and opportunities, were found to affect both the employment and crime activities of youths and to mediate the relationship between them (Sullivan, 1985). To build upon the extensive ethnographic data compiled during the RAP project both on the communities studied and on individual youths living within them, the research proposed herein will focus on two of the same neighborhoods in the selection of the research sample, and will also contain an ethnographic component carried out by the urban anthropologist who conducted the original RAP research. Much of what we have learned from this seven-year effort about the reciprocal nature of factors affecting criminal behavior and the complexity of those

factors (see Sviridoff and Thompson, 1983; Sviridoff and McElroy, 1984) is reflected in the delinquency model set forth in this application.

The longitudinal dimension of this proposed research is also not new in Vera's long history of research on crime and delinquency. In 1983, Vera completed a multi-site longitudinal study the Alternative Youth Employment Strategies Project (AYES). The study involved high-risk poverty youths aged 16 to 21 who were out of school, unemployed, and either had prior experience with the juvenile or adult criminal justice system or evidenced substantial likelihood for such involvement. The major purpose of the research was to assess the impact of three employment training models involving work experience, education and a combination of the two. We used an experimental design calling for four waves of interview data, as well as data from standardized tests, program performance records, and juvenile and adult criminal history records.

With funding from the U.S. Department of Labor, Vera was involved in designing both the research and program operations; implementing them in New York City, Miami, Florida, and Albuquerque, New Mexico; receiving the six million dollars in grant funds from DOL and managing all financial functions pertaining to both program and research activities in all three sites; providing technical assistance to and overseeing local program implementation; collecting and analyzing data on 2,219 research subjects; preparing and transmitting data tapes for inclusion in the national database compiled by the Education Testing Service for DOL's Office of Youth Programs; and preparing technical reports on the instruments, data collection activities, and statistical analysis. (See Sadd, Kotkin and Friedman, 1983.)

AYES is only the most recent of the longitudinal designs Vera has implemented over more than a decade. In 1979, Vera completed a four-year study of

pretrial intervention in adult felony cases involving three waves of interview data and the collection of detailed information from employers, schools, welfare agencies, program records, and official RAP sheets (Hillsman and Sadd, 1980 and 1981). This study, the Court Employment Project, funded by NIJ, involved an experimental design with a sample of 666 arrested youths, (black, Hispanic and white), half of whom were 18 or younger, and most of whom lived in the five boroughs of New York City; they were primarily poor, inner-city males who were out of school, out of work and involved in criminal activity. In both this project and in the AYES project, Vera researchers not only acquired considerable substantive knowledge about youth crime and the factors associated with it, but also accumulated a wealth of experience in the hard work of maintaining contact over time with extremely difficult samples of research subjects. We thus have experience in tracking such subjects down when, as all too often happens, they "disappear" and "reappear" in their homes, neighborhoods and hangouts, and motivating them to continue their participation in the research process.*

The Institute's study of Wildcat, a program involving employment intervention in both crime and drug abuse, is particularly pertinent to the proposed research (Friedman, 1978). This study, funded by the National Institute on Drug Abuse and by New York City's Addiction Services Agency and the Depart-

* Vera also recently completed a smaller longitudinal research project involving 120 subjects, most from poor or working class neighborhoods in New York City who were interviewed multiple times over a 36 month period. The interesting, but difficult, aspect of this study was not the population's poverty, mobility or criminality, but the fact that all research subjects were mentally retarded. This resulted in considerable difficulty for researchers both in keeping in touch with the population over time, and in maintaining the subjects' involvement in the interview process. Nevertheless, because the results were extremely satisfactory (Hillsman, Weinglass, Silberman, 1983), the Manpower Demonstration Research Corporation was encouraged and launched a multi-site, multi-wave evaluation of employment programs for mentally retarded youth using a similar research design.

ment of Employment, involved an experimental design calling for multiple waves of personal interviews and record data collection (including criminal history and drug use information) with over 600 ex-addicts over a four-year period. Older than the other research populations discussed above, they were also more heavily involved in crime and in drug abuse. Nevertheless, two-thirds of the sample remained in the design to the end, despite the fact that some respondents died, were imprisoned or disappeared from families, neighborhoods, jobs and drug programs.

In the Wildcat project, as in the other research efforts mentioned above, the computerized data sets were large and involved a complex fusion of many different types of data, all of which were collected at several points in time. The statistical analyses employed a variety of multivariate techniques for handling longitudinal data. Finally, the variables were many and complex, including official criminal histories, self-reported criminality, drug use, employment activity, peer and family involvement, and various life skills measures. In sum, these studies reflect the Institute's substantial record of successfully carrying out longitudinal research that involves interviewing and maintaining contact with difficult research populations; obtaining access to and collecting a variety of data from official sources, including information that is confidential by law; designing and managing large, complex databases; and carrying out sophisticated data analysis plans involving many different types of variables. In addition, the RAP project (as well as several others not included in this discussion) demonstrates the Institute's ability to carry out ethnographic research and documents how such methods complement quantitative analyses by expanding our understanding of the complex personal, interpersonal, and community constructs that are tapped by quantitative measures and modeled by statistical techniques.

Appendix B

PRIVACY CERTIFICATION

Etiology of Delinquency Study

Vera Institute of Justice
377 Broadway
New York, N.Y. 10013

I. Description of Research/Statistical Component

A complete description of the goals and a statement of the specific research steps required by the project are presented in the attached grant proposal. The specific data items relating to privacy considerations are described in Sections II C-2 through II C-5.

II. Justification for Collection of Identifiable Data

The collection of individually identified socio-demographic and offense data is essential for the achievement of project aims. We need to merge information from respondent interviews with data drawn from official school and criminal justice records. Individual identifiers are necessary for us to obtain such information from official sources. In addition, the longitudinal design of this research requires that we contact respondents annually for two years after the initial interview. Individual identifiers are necessary in longitudinal research which requires repeated contact with respondents, many of whom may be difficult to locate in subsequent years. Collection of interview data and data from official records on individual subjects will be carried out with meticulous protection of anonymity; study procedures have been designed to preserve the confidentiality of information.

III. Procedures to Preserve Anonymity of Private Persons and to Ensure Confidentiality of Data (Sec. 22.23(b)(2); 22.23(b)(7); 22.23(b)(8); 22.25(b)).

Statistical information identifiable to a private person will be used only for research purposes. When the names are selected for the study sample, each name will be given a project identification number. The name-number correspondence key will be held in a separate locked file at the Vera Institute of Justice, 377 Broadway, New York, N.Y. 10013.

All data collection forms will contain identifiable information on a removable facesheet; all subsequent pages will bear only the project identification number. After data collection is complete, the facesheet will be removed and stored in a locked file at Vera.

All data will be stored in locked files at Vera; the name-number correspondence key and removable facesheets will be maintained in locked files separate from other data.

Access to study data, identifiable to a private person, will be limited to those employees having a need-to-know for specified study research tasks. As a condition of employment, such employees shall be required to sign a written agreement of compliance with the Department of Justice, OJJDP Regulations relating to the Confidentiality of Identifiable Research and Statistical Information. A copy of that agreement has been attached hereto as Exhibit A.

Project findings and reports prepared for dissemination will not contain information identifiable to a private person.

IV. Procedures for Notification (Sec. 22.27)

Individuals who are interviewed with respect to study cases will be notified that the information obtained will be used for research and statistical purposes only, that compliance with the request for information is voluntary and may be withdrawn at any time, and that, in the conduct of the project, Vera is bound by the Department of Justice, OJJDP Regulations relating to the Confidentiality of Identifiable Research and Statistical Information.

V. Information Transfer Agreement (Sec. 22.24)

Prior to the transfer of any identifiable information to persons other than LEAA or project staff, Vera will enter into an Information Transfer Agreement as required by Section 22.24 of the Department of Justice, OJJDP Regulations relating to the Confidentiality of Identifiable Research and Statistical Information. Normally, it is not Vera's practice to transfer identifiable information.

We will also maintain a log indicating all transfers of information in identifiable form. (The log will indicate the name of the individual to whom the information was released, the individual's organization, the date of dissemination, identification of records released, and the purpose for which the transfer was made.)

VI. At the close of the project, identifiers will be removed from data collection forms and a name-index will be retained in a separate locked file cabinet, as described above in

Section III. Sally Hillsman, Director of Research at the Vera Institute of Justice, is authorized to determine the final disposition of the data.

The undersigned certifies that:

1. The information contained above is correct and that the procedures noted above will be carried out;
2. The project will be conducted consistent with all requirements of Section 524(a) of the Omnibus Crime Control Act of 1968, as amended, and regulations promulgated thereunder contained in 28 CFR Part 22;
3. OJJDP will be notified of any material changes in any of the information supplied above.

Signature of Person Authorized
to sign

Signature and title of project
director or other official pri-
marily responsible for use and
maintenance of confidential data

VERA INSTITUTE OF JUSTICE

377 BROADWAY

NEW YORK, N. Y. 10013

(212) 431-3003

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Agreement

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As a member of the staff of the Vera Institute's Etiology of Delinquency Study, I pledge that I will protect the confidentiality of all information identifiable to a private person that is collected in the conduct of the study. I will not discuss such identifiable information with anyone but other Vera EDS staff members who have a need-to-know. I will follow the procedures that the Vera Institute has established to prevent unauthorized access to such information.

I have been informed that, in the conduct of this study, the Vera Institute is governed by the Department of Justice, Office of Juvenile Justice and Delinquency Prevention, Regulations relating to the Confidentiality of identifiable Research and Statistical Information, and that I, as a Vera employee, am governed by those Regulations as well. I understand that if I am responsible for any violation of these Regulations, my employment at the Vera Institute will be terminated and that I will be liable to legal actions leading to the imposition of a fine of up to \$10,000.

Employee Confidentiality Agreement
Page two.

I understand that my signing this agreement is a condition of my employment on the staff of the Vera Institute's Etiology of Delinquency Study.

Employee Signature

Date

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