

Innovation in the Criminal Justice System

A National Survey of Criminal Justice Leaders

by Melissa Labriola with Emily Gold and Julia Kohn

Acknowledgements

The Trial and Error Initiative is funded by the U.S. Department of Justice's Bureau of Justice Assistance (grant #2010-DJ-BX-K033), in partnership with the Center for Court Innovation.

Project staff would like to thank Stephanie Poland and David Herda from NORC at the University of Chicago for helping to develop the questionnaire and for overseeing data collection.

At the Center for Court Innovation, we thank Aubrey Fox, for his insights, comments, and partnership on this project. Thank you to Kelli Henry for preliminary data work. We would also like to thank Greg Berman and Mike Rempel for their comments and edits on earlier versions of the final report.

Last but not least, this project would not have been possible without the insight and donated time of the hundreds of criminal justice leaders who responded to the questionnaire. We thank them for their contribution to this important work.

The opinions, findings, and conclusions or recommendations expressed in this publication are those of the authors and do not necessarily reflect the positions or policies of the U.S. Department of Justice. For correspondence, please contact Melissa Labriola, Center for Court Innovation, 520 8th Avenue, New York, NY 10018 (labriolam@courtinnovation.org).

May 2013

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Executive Summary

Innovation in the Criminal Justice System: A National Survey of Criminal Justice Leaders is part of a multi-faceted inquiry concerning innovation and criminal justice reform conducted by the Center for Court Innovation in partnership with the Bureau of Justice Assistance and the U.S. Department of Justice.

The questionnaire was administered from June to August 2012 among a nationwide sample of 1,000 professionals: 300 community corrections officials; 300 leaders from prosecutors' offices; 300 police chiefs and sheriffs; and all 102 chief judges and chief court administrators from the 50 states and the District of Columbia.

There was an overall response rate of 62%, and the final sample included responses from 624 individual criminal justice leaders. On average, respondents had over 26 years of experience in the criminal justice system. Weighting techniques were utilized to assign each of the four criminal justice segments (community corrections, prosecution, law enforcement, and court administration) equal influence over the reported totals.

The questionnaire was designed to provide a snapshot of the current state of innovation in the field of criminal justice: Is innovation a priority? Are criminal justice leaders aware of emerging research, and do they use research to inform policymaking? What obstacles stand in the way of innovation in the field?

The questionnaire was written and analyzed by the Center for Court Innovation in collaboration with the National Opinion Research Center (NORC) at the University of Chicago.

Key Findings

1. Prevalence of Innovation

- **Innovation at Work:** More than half of respondents rated their agencies as innovative (56%). Respondents were more likely to label themselves innovative (72%) than the field in general (33%).
- **Trial and Error Process:** Two-thirds of the respondents (67%) reported an experience with a criminal justice program or initiative that did not work. The most often stated reason for a program not working was a lack of necessary funding or staff. Of those reporting that a program of theirs did not work, 8% indicated that they continued the program unchanged, 37% continued the program with changes, 24% replaced the program, and 24% stopped the program completely. This suggests that the trial and error process is alive and well in criminal justice.

- Proactive Response to Failure: Respondents who reported engaging in more innovative practices at work were both more likely to report an experience of failure and more likely to respond to failure by changing or replacing the failed program, rather than continuing it unchanged. These findings point to a relationship between a willingness to try new approaches and a proactive response when failure occurs.
- Specific Innovative Leaders: The questionnaire asked respondents to name the most innovative person in criminal justice. The two people who were mentioned the most were William Bratton, who served as Chief of Police of Los Angeles, New York and Boston, and Dr. Edward Latessa of the University of Cincinnati, who has published extensively in the areas of criminal and juvenile justice and corrections and is particularly known for research that intensive offender interventions are particularly suitable for high-risk offenders and can have counter-productive effects with low-risk offenders.
- Specific Innovative Programs: Respondents were asked what new idea or program in their field they were most excited about. The programs cited most frequently were: problem-solving courts, evidence-based practices, validated risk assessments, technological advances, community engagement initiatives, and intelligence-based policing.
- Agency Differences: Court administrators report a greater use of innovative practices at work than law enforcement, community corrections, and prosecutors, with prosecutors the least likely to report the use of innovative practices.

2. Data-Driven Decision-Making

- Use of Data and Research: Nearly half (46%) of respondents reported “always” using research or evaluation findings to guide programmatic decisions, with an additional 43% reporting that research is used “sometimes.” Almost four in ten (39%) respondents reported employing researchers on their staff to evaluate performance, and exactly half of respondents reported that they had utilized an external evaluator on at least one occasion. This is encouraging evidence that the field is shifting toward a more widespread reliance on evidence – a key area of focus for reformers in recent years.
- Agency Differences: The embrace of data-driven decision-making was not uniform. Court administrators appeared to make the greatest use of research. Prosecutors were the least likely to report that they relied on research and evidence.
- Relationship between Research and Innovation: Respondents who strongly embraced the use of research in their agencies were also more likely to rate themselves as innovative, to indicate that they work in an innovative agency, and to score higher on the index measuring the use of specific innovative practices at work. These results show that innovation is strongly linked to understanding the necessity of research and data in developing and evaluating programs.

3. Barriers to Innovation

- Common Barriers: According to respondents, the most common barriers to innovation were a lack of funding and lack of buy-in from frontline staff. Prosecutors were the most likely agency to cite lack of funding as a barrier (92%).

4. Sources of New Ideas

- Major Sources of Information: The most commonly cited sources of new ideas on criminal justice programs or reform initiatives were: colleagues (85%), conferences (78%), and professional associations (77%). In a time of fiscal restraint, it is worth noting that less than half (48%) of the leaders surveyed reported using the Internet as a source of information about criminal justice reform. Ninety-four percent of respondents said they would be interested in reading a publication about criminal justice innovation.

Chapter One

Introduction and Methodology

With the support of the Bureau of Justice Assistance, the Center for Court Innovation has been conducting a multi-faceted inquiry since 2007 concerning innovation and failure in criminal justice reform. This has included analyses of why some criminal justice reforms succeed and other fail (Cissner and Farole 2009; Berman, Bowen and Mansky 2007); case studies of reforms whose results fell short of expectations (Berman and Fox 2010); and interviews with criminal justice policymakers about leadership (Fox and Gold 2011). The purpose of these efforts is to encourage honest self-reflection and thoughtful risk-taking among criminal justice leaders and institutions nationwide.

One of the key themes to emerge from this work has been the importance of leadership in encouraging a culture of innovation within criminal justice agencies. Given this, the Center sought to document knowledge, attitudes, and practices among a national sample of U.S. criminal justice leaders. In particular, we sought to understand the prevalence of innovation; the use of data and evidence to inform practice; the responses to disappointing results; and the barriers to widespread adoption of innovative practices. The questionnaire was written and analyzed by researchers at the Center for Court Innovation in collaboration with the National Opinion Research Center (NORC) at the University of Chicago, which administered the instrument to 1,000 respondents nationwide.

This chapter describes the sampling plan; questionnaire domains; approach to questionnaire administration; and approach to the data analysis.

Sampling Plan

The sampling frame included high-level criminal justice leaders throughout the U.S. from four segments of the criminal justice field:

1. Law Enforcement (local and state police chiefs and sheriffs)
2. Prosecutors (including state attorneys, county attorneys, district attorneys, city attorneys, commonwealth attorneys)
3. Community Corrections (probation, parole, and juvenile services commissioners or directors)
4. Court Administrators (chief judges and chief court administrators of state court systems)

To build the sampling frame, the full lists of chief judges and chief court administrators were obtained from the Conference of Chief Judges (CCJ) and the Conference of State Court Administrators (COSCA). Membership in the Conference of Chief Justices (CCJ) consists of the highest judicial officer of the 50 states, the District of Columbia, as well as U.S. territories. For the purposes of this questionnaire, members from U.S. territories were removed. Membership in the Conference of State Court Administrators (COSCA) consists of the chief state court

administrator or equivalent official in each of the 50 states, the District of Columbia, as well as U.S. territories. Members from U.S. territories were again removed.

To obtain the other three segments of the criminal justice field, we purchased lists contained in the National Directory of Law Enforcement Agencies (NDLEA) from the National Public Safety Information Bureau. These included lists of leaders from Municipal Law Enforcement, County Law Enforcement, Prosecutors, and State Correctional Agencies. The National Public Safety Information Bureau describes the 2012 National Directory of Law Enforcement Administrators as “the most accurate source of local, state and federal contact information for law enforcement and related agencies nationwide” (National Public Safety Information Bureau). The complete database is updated annually and data verifications are made on a continual basis. The entire NDLEA includes 40,000 records but is also available for purchase by segment for various categories. We obtained the following segments:

- Segment A – Municipal Law Enforcement (12,449 records)
- Segment B1 – County Law Enforcement—Sheriffs and County Police Departments Only (3,100 records)
- Segment D – Prosecutors (2,945 records)
- Segment L – State Correctional Agencies (3,660 records)

The first step was to select a sample of 1,000 professionals to survey: 300 leaders from community corrections, 300 leaders from prosecutors’ offices, 300 leaders from law enforcement; and all chief judges and chief court administrators from the 50 states and District of Columbia (a total of 102 individuals). With the exception of the state level chief judges and chief court administrators, who were sampled with certainty (all 102 received the survey), the other professionals were randomly selected to receive the survey. The first decision made regarding the sampling frame was to remove any jurisdiction with a population of less than 50,000. Jurisdiction size may influence the resources available, political barriers, and other factors related to innovation and it was hypothesized that extremely small jurisdictions face their own unique challenges. Other decisions were made based on the information obtained from each segment. The resulting decisions were as follows:

Court Administrators: For the Court Administrators sampling frame, we obtained free member lists from two sources: The Conference of Chief Justices (CCJ) and the Conference of State Court Administrators (COSCA). We then:

- Removed representatives from U.S. territories.
- Checked to ensure that there were no duplicates.
- Ensured that each state (and DC) had two records: a Chief Justice and a Court Administrator.
- Checked to ensure that all critical fields were complete (i.e., name, address, ZIP).

Police Chiefs and Sheriffs: For the Police Chiefs and Sheriffs, we included individuals listed in the NDLEA Segment A – Municipal Law Enforcement (12,449 records), which includes representatives from Police Departments and Independent City Sheriffs, as well as Segment B1 –

County Law Enforcement, which includes Sheriffs and County Police Departments Only (3,100 records). We then:

- Combined the Municipal Law Enforcement and County Law Enforcement lists.
- Removed all records from jurisdictions with a population less than 50,000.
- Removed all records with no specific person/name specified if we were unable to find a name elsewhere.
- Removed constables, officers, and marshals.
- Checked to ensure that there were no duplicates.
- Checked to ensure that all critical fields were complete (i.e., name, address, ZIP).

Prosecutors: For Prosecutors, we included individuals listed in the NDLEA Segment D – Prosecutors (2,945 records). We then:

- Removed all records from jurisdictions with a population less than 50,000.
- Removed all records entries with no specific person/name specified if we were unable to find a name elsewhere.
- Checked to ensure that all critical fields were complete (i.e., name, address, ZIP).

Community Corrections and Juvenile Justice Officials: For the Community Corrections sampling frame, we included individuals listed in the NDLEA Segment L – State Correctional Agencies (3,660 records). We then:

- Removed all records from jurisdictions with a population less than 50,000.
- Removed all records entries with no specific person/name specified if we were unable to find a name elsewhere.
- Removed all wardens of correctional facilities, community programs (i.e. treatment centers), prisons, members or chairmen of parole boards, and non-leadership positions (i.e. youth counselors, parole officers, prison directors, and all “deputy” or “assistant” positions).
- Removed records from the same agency/department when the highest position could be identified.
- Checked to ensure that there were no duplicates.
- Checked to ensure that all critical fields were complete (i.e. name, address, ZIP).

All random samples were drawn using SPSS. Table 1.1 reports the population and regional breakdown characteristics for each segment pre- and post-random sampling. There is no population or regional information provided for the court administrators because their positions are statewide. In addition, unlike the other segments, all court administrators and chief judges were surveyed (there was no random sample drawn). The information provided in this table indicates that population and regional characteristics essentially remained the same for each group after the random sample was drawn.

Table 1.1. Population and Region Characteristics Pre- and Post-Random Sampling

	Court Administrators		Community Corrections		Law Enforcement		Prosecutors	
	Pre	Post	Pre	Post	Pre	Post	Pre	Post
N	102	102	373	300	1686	300	942	300
Population	n/a	n/a						
Mean			928,864	916,677	227,384	224,974	286,145	304,943
Median			315,335	306,479	100,000	103,989	133,556	128,276
Region								
Northeast			15%	15%	16%	13%	17%	17%
Midwest			9%	9%	20%	19%	21%	21%
Southeast			33%	33%	24%	24%	24%	24%
South			8%	7%	16%	16%	21%	21%
West			35%	36%	24%	27%	17%	17%

Questionnaire Design

The questionnaire was developed with input from NORC. Based on previous reports, interviews, and other work that the Center has completed to examine trial and error in criminal justice reform, several key domains of interest were identified: prevalence of innovation; responses to failure; data-driven decision-making; factors affecting innovation (factors that help and hinder innovation); and information gathering (how criminal justice leaders find out about cutting-edge developments and research findings in their field). Research staff, practitioners, and legal professionals at the Center collaborated to develop and refine the final questionnaire items. To increase the response rate, we made a concerted effort to minimize the length and complexity of the questionnaire. Survey research experts at NORC reviewed the questionnaire, provided feedback on content, format, and layout, and finalized the instrument. The complete questionnaire can be found in Appendix A.

Survey Administration and Data Collection

NORC utilized a multi-modal strategy, which involved a web survey and a mail component. Telephone prompting was later integrated to enhance response rate.

Web Component: NORC implemented a web-based data collection tool that allowed for an efficient and cost-effective data collection process. Respondents were provided a unique Personal Identification Number (PIN) with which they could access the web questionnaire. Approximately 48% of respondents chose to respond via the web.

Mailing Component: In conjunction with the web component, NORC contacted respondents through a series of timed mailings. This approach to data collection and non-response analysis was based on previous project experience as well as recommendations made by Dillman and colleagues (Dillman et al. 2009). NORC utilized the following contacts:

- *Pre-notification mailing:* On June 6, 2012, NORC mailed a pre-notification letter to each respondent announcing the start of data collection for the *Questionnaire on Criminal Justice Innovation*. The pre-notification letter presented background information on the data collection effort and also contained the web link for the questionnaire, which allowed respondents to respond via the web before receiving the hardcopy questionnaire.
- *Initial questionnaire mailing:* Approximately 10 days after the pre-notification letter mailing, NORC mailed the initial questionnaire packet to any individual who had not yet responded via the web. The initial questionnaire packet contained a cover letter, a copy of the questionnaire, and a pre-paid business reply envelope. The cover letter informed the respondent of the importance of the study and provided instructions for completing the questionnaire over the web or returning the questionnaire via mail, fax, or e-mail.
- *Thank-you/reminder postcard:* NORC mailed a thank-you/reminder postcard to the respondents on June 22, 2012 – approximately one week after the initial questionnaire mailing. This postcard thanked those who had completed the questionnaire already and encouraged non-responders to complete and return the hardcopy questionnaire.
- *Mass fax/e-mail:* A mass fax or e-mail was sent to all non-responders on July 9, 2012. This contact included a personalized cover letter and questionnaire for each non-responder, and served as an alternate outreach method.
- *Priority mail replacement survey:* To further convey the importance of timely data collection, NORC sent a replacement questionnaire to the remaining non-responding agencies on July 24, 2012, via USPS Priority Mail. This ‘fast mail’ questionnaire-mailing packet contained a cover letter, which conveyed the importance of individual responses and communicated the need for a returned questionnaire in a timely manner.
- *“Last Chance” postcard:* During the final weeks of data collection, NORC sent a postcard to non-responders alerting them to the scheduled data collection end date. The purpose of this postcard was to motivate those who had long procrastinated to complete and return the questionnaire.

All mailings included the project e-mail address and toll-free number so that respondents could contact NORC with questions or requests for assistance. Copies of these materials are included within Appendices B through E. Approximately 52% of respondents opted to return a completed hardcopy questionnaire either by mail, fax, or as an e-mail attachment.

Telephone prompting: As a part of the final outreach effort to non-responders, NORC conducted telephone prompting. Telephone prompting began the week of August 13, 2012 and continued through the end of data collection. Three NORC telephone interviewers were assigned to the project and underwent brief project training. The training provided an overview of the project, including the purpose of the study, the sponsors of the study, and the target respondents. Over the course of almost three weeks, the telephone interviewers made calls to over 400 non-respondents. Initially, the interviewers targeted the Court Administrators, Community Corrections, and Prosecutors segments, but they were also able to make outreach to any non-responders in the Law Enforcement segment.

Response Rates: There was a final overall response rate of 62%. The highest response rate was from law enforcement (75%) and the lowest response rate was from prosecutors (53%). The final response rates are presented in Table. 1.2.

Table 1.2.

	Respondents	Response Rate
Court Administrators	69	68%
Community Corrections	173	58%
Law Enforcement	224	75%
Prosecutors	158	53%
Total	624	62%

Analytic Plan

Key Domains and Latent Constructs

To simplify the analysis of survey data, we examined whether combinations of related responses might be combined into a smaller number of overarching measures. Specifically, we used factor analysis to determine if there were sets of survey responses that shared a common factor, termed a “latent construct.” For example, in the same way a smile, looking someone in the eye, and a firm handshake are part of the latent construct of friendliness, clusters of different survey questions sought to measure the broader latent construct of using data and evidence. The attempt to form latent constructs, as with all factor analysis, is based on correlation and does not establish a causal or inherent link amongst the topics referenced in different survey questions. However, on a practical level, the search for latent constructs can be helpful in reducing the number of concepts in survey data and simplifying the analysis.

Based on both theoretical and empirical analysis of the survey data, information was ultimately grouped into four main topical domains: (1) prevalence of innovation, (2) use of data and research, (3) barriers to innovation, and (4) information gathering.

1. Prevalence of Innovation: This domain consisted of ten questions in total. First, the domain included three questions where respondents were asked their respective opinions about the level of innovation within (1) the field of criminal justice, (2) the agency where they work, and (3) their own actions as a leader. Responses were on a five-point Likert-type scale, ranging from not at all innovative to extremely innovative. Second, we created an index (latent construct) from seven additional survey questions asking respondents how much they agreed with a series of specific statements regarding innovation at work (see Appendix A for question wording). For example, this index includes items measuring encouragement of risk taking; creating a climate where failure is discussed; seeking out consultants; and using research to identify priorities. The composite construct had Cronbach’s alpha of .839, indicating that the seven constituent items held together extremely well in forming a single overarching factor (see Appendix F for more details).

2. Use of Data and Research: This domain consisted of a series of questions where respondents were asked if their agencies have used internal or external evaluators to evaluate an initiative. The domain included a second series of questions to ascertain how likely respondents would be to look for research or data when deciding to start a new program or change an existing one. Lastly, a series of questions, again on a five-point scale, measured how often respondents use data and research when making decisions and measuring their opinions regarding whether and how the criminal justice field benefits from research and data. A single index was not created based on these series of questions, because no subset of these items cohered to form a single construct.
3. Barriers to Innovation: This domain consisted of questions that identified various barriers to innovation (on a four-point scale from strongly disagree to strongly agree). An index measuring some of the identified barriers to innovation was created from four variables (i.e., political pressure, bureaucracy, fear of negative media, immediate crisis needed for momentum). A single factor was retained and the composite variable had Cronbach's α of .789 (see Appendix F for more details). Within the text, that index is referred to as "political pressure and bureaucracy."
4. Information Gathering: This domain consisted of a series of questions asking respondents where they look for new ideas on criminal justice initiatives. Possible answers included academic journals, professional associations, state/federal agency publications, colleagues, conferences, news media, internet, etc. An index was not created, because no subset of these items cohered to form a single construct.

Data Analysis

Analyses were organized around the above four domains. In addition, as shown in Chapter Two, we reported simple background characteristics of the sample, such as the sex, age, race, and years working in the field of each survey respondent.

Most of the analyses were descriptive, reporting the percentages of respondents giving various answers to questions about attitudes, perceptions, practices, and challenges to innovation. Some of the analyses revealed convergence and others revealed dissimilarity in the responses given across the four criminal justice leader segments. Therefore, for every descriptive analysis, we separately examined results by segment (law enforcement, prosecution, community corrections, and court administrators). In reporting our findings, whenever we detected differences among the groups, we either noted it in the text or provided a breakdown in our tables and figures. Wherever such a breakdown by segment is neither presented nor discussed, it can be inferred that there were not differences between segments.

Limited bivariate correlation analyses were also conducted to determine if other characteristics of respondents systematically influenced their responses. In most cases, correlation coefficients are not provided. Throughout this report, differences in findings across segments are discussed only if they are both statistically significant and substantively meaningful.

Weighting

Weights and adjustments for non-response were calculated for the final dataset. For categories other than the court administrators, a particular covariate of interest was jurisdiction size. Within each sampling category, the response rates did not significantly differ by jurisdiction size. Therefore, the non-response adjustment to the final weight is made only to entire sampling categories (e.g., prosecutors had a different weight than law enforcement), not to different agencies within a sampling category (e.g., law enforcement agencies of different population sizes did not need to receive different weights, since response rates did not vary by jurisdiction size).

The goal of our weighting strategy was to make the responses of each of the four criminal justice segments equal, thus, we weighted each group to represent 25% of the sample. In essence, the responses from each segment would make up a quarter of the results; hence, the segment with the highest response rate or the largest baseline population would not have more influence on the aggregate results. For example, because only 69 court administrators responded to the survey (out of 102 possible respondents), their responses are given a weight of 1.45 to ensure equality, whereas the other three groups received varying weights falling below 1.00.

Table 1.3 below displays the final weight for each segment. There are multiple weighting strategies that could have been used. A more common approach would be to adjust only for differences in response rates among the four criminal justice segments. Had this been done, for example, the court administrator respondents would each have received a weight below 1.00, since the court administrator response rate was 68%, which exceeds the 62% average response rate across all four segments. We believed that the importance and national influence of the four criminal justice segments might not be proportionate to their total population numbers. For example, because there are more than three times as many law enforcement leaders as court administrators in our initial sampling frame or in the national population does not mean that the views of law enforcement leaders should outweigh the views of the court administrators in general importance or in our empirical analysis. Although any weighting strategy in a survey of this nature can be debated, we believe that according the four criminal justice segments equal weight made the most sense given the purposes of this survey.

Table 1.3.

	Respondents (m)	Representation (N)	Final Weight (N/M)
Court Administrators	69	100	1.45
Community Corrections	173	100	0.58
Law Enforcement	224	100	0.45
Prosecutors	158	100	0.63

Chapter Two

Respondent Characteristics

This section provides a description of the survey sample based on the individual characteristics of the respondents, as well as the characteristics of the regions/jurisdictions where they work.

The background characteristics of respondents are presented in Table 2.1. Respondents were overwhelmingly male (80%), over the age of 45 (83%), and white (86%). The respondents were highly educated, with 60% holding a graduate degree. The respondents had, on average, worked in the criminal justice field for over 25 years. Respondents representing law enforcement had been working in criminal justice the longest, almost 30 years.

In addition to obtaining individual background characteristics, we collected jurisdiction characteristics for each respondent (see Table 2.1, bottom rows). The mean jurisdiction population is 397,667 with 39% of the respondents from a jurisdiction with a population of over 500,000. (The median population is 136,484, which is lower than the mean due to the effect of a small number of highly populated jurisdictions stretching the mean upwards.)

Table 2.1. Background Characteristics

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Male	70%	64%	95%	83%	80%
Age					
Under 35	1%	0%	1%	4%	2%
35-44	4%	23%	10%	17%	15%
45-54	17%	42%	50%	30%	39%
55-64	48%	32%	33%	37%	35%
65 or older	28%	3%	5%	11%	9%
Race					
White	90%	78%	87%	93%	86%
Black or African American	6%	18%	8%	2%	9%
American Indian or Alaska Native	0%	0%	<1%	1%	<1%
Asian	2%	1%	1%	3%	2%
Native Hawaiian or other Pacific Islander	0%	0%	0%	<1%	<1%
Hispanic	1%	8%	5%	1%	4%
Graduate School Degree	96%	41%	37%	98%	60%
Years Worked in Criminal Justice (mean)	27.97 years	25.09 years	29.57 years	24.24 years	26.80 years
Region					
Midwest	25%	15%	24%	26%	22%
Northeast	23%	15%	15%	22%	17%
Southeast	25%	29%	29%	31%	29%
Southwest	12%	13%	11%	10%	12%
West	16%	29%	21%	11%	20%
Jurisdiction					
Urban	n/a	50%	43%	30%	43%
Rural	n/a	54%	39%	54%	46%
Suburban	n/a	32%	36%	37%	35%
Other (Mixed)	n/a	10%	5%	6%	10%
Population of jurisdiction (mean)	n/a	739,890	226,733	267,457	397,667
50,000-99,999	n/a	21%	48%	37%	11%
100,000-499,999	n/a	45%	41%	47%	33%
500,000+	n/a	34%	10%	16%	39%

Chapter Three

Prevalence of Innovation and Failure

This section discusses the respondents' perceptions concerning the prevalence of innovation and failure within the field of criminal justice.

As shown in Table 3.1, there is a gap between respondent's assessment of the field and their assessments of themselves; respondents were more likely to believe that they personally are innovative (this may represent a selection bias in who chose to respond to the survey). Overall, 33% of the respondents believe that the field of criminal justice is innovative. This percentage increases to 58% for the agency in which they work and 72% for themselves personally.

There are not dramatic differences across the four criminal justice segments, although law enforcement leaders appear to be the most likely to classify themselves (79%), their agencies (64%), and their field (43%) as innovative. Though not displayed here, we also found that respondents who rate their agencies as innovative had, on average, worked in the field of criminal justice for more years.

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Field	10%	35%	43%	26%	33%
Agency	58%	49%	64%	53%	56%
Themselves	70%	69%	79%	65%	72%

Innovation at Work

As discussed in Chapter One, we also created an index measuring active innovation at work. Unlike the measures just discussed, this was not a rating of how innovative the respondent was overall, but an index of how much they agreed with each of seven statements regarding specific innovative practices at work (e.g., support for testing new approaches, taking risks, allowing open discussions of failure, and using research to set new priorities). The seven questions in the index were scored on a four-point scale (responses ranged from strongly disagree to strongly agree). Table 3.2 presents the mean score for the index of the seven statements, as well as the mean for each of the statements individually. There are marked differences across criminal justice agencies, with court administrators reporting significantly more innovative specific practices at work than law enforcement and community corrections leaders. Prosecutors were the least likely to report engaging in innovative practices at work. In addition, respondents from urban areas were significantly more likely to practice active innovation at work than respondents from rural or suburban jurisdictions.

Table 3.2. Active Innovation at Work

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Active Innovation (mean)	3.04	2.90	2.95	2.71	2.89
Driving system change is an important part of my job.	3.38	3.26	3.23	2.91	2.77
I encourage my staff to take risks.	2.97	2.97	3.06	2.87	2.79
I work to create an agency climate where failure is openly discussed.	3.03	2.98	3.12	3.07	2.98
I routinely seek out consultants or technical assistance to help plan new initiatives.	2.91	2.67	2.67	2.26	2.22
I rely on research and evidence to make programmatic decisions in my work.	3.27	2.99	2.87	2.79	2.93
I almost always use data when identifying priorities or crafting programs and policies.	3.06	2.85	2.90	2.66	2.84
I regularly share my agency's data with other partner agencies.	3.26	2.81	3.10	2.64	2.92

Experience with Failure

As shown in Table 3.3, two-thirds (67%) of the respondents reported having been involved with a project that did not work. The most often stated reason for failure was the lack of necessary support in terms of financial or human resources. Only 6% of the respondents indicated that they continued with the failed program unchanged. The remaining respondents either made changes and continued (37%), replaced the program (24%) or stopped the program completely (24%). Respondents who scored higher on the innovation at work index more often reported having been involved in a past project that did not work and more often reported responding to failure by either changing or replacing the given program, rather than continuing the program without changes. Such findings point to a nexus between a willingness to try new approaches and a proactive response when failure arises.

Table 3.3. Experience with Innovative Projects

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Involved in Failed Program	65%	75%	63%	65%	67%
Reason Program Failed					
Bad idea	7%	1%	9%	8%	8%
Executed poorly	21%	34%	28%	23%	27%
Unable to attract necessary support	47%	38%	46%	54%	45%
Did not assess midstream	8%	19%	9%	8%	12%
Response to Failed Program					
Continued program unchanged	6%	10%	3%	5%	6%
Made changes and continued	39%	31%	38%	42%	37%
Replaced program	24%	22%	28%	19%	24%
Stopped program	18%	25%	24%	27%	24%

Innovative People and Programs

The questionnaire also included an open-ended question asking the respondent to name the most innovative person in criminal justice over the past decade. The list of responses was extensive. Four names were mentioned most frequently.

- **William Bratton** received 25 votes. Bratton served as Chief of Police in Los Angeles, New York City and Boston.
- **Dr. Edward Latessa** received 15 votes. A professor at the University of Cincinnati, is probably best known for his efforts to publicize the *Risk Principle*, which draws on hundreds of studies to conclude that intensive offender interventions are particularly suitable for high-risk offenders and can have negative effects with low-risk individuals.
- **Joseph Arpaio** received seven votes. Arpaio is the elected sheriff of Maricopa County, Arizona.
- **Governor Jerry Brown** received five votes. Governor Brown is the current Governor of California.

We also included an open-ended question asking respondents what new idea or program in their field they are most excited about. Respondents were able to write more than one idea or program. Five ideas received at least 25 mentions each:

- **Problem-Solving Courts:** Depending on the jurisdiction, different names were given to these courts, so we included “problem-solving courts,” “alternative-to-incarceration courts,” and “accountability courts.” Individual types of problem-solving courts frequently mentioned were drug courts, followed by mental health courts and reentry courts.
- **Evidence-Based Programs:** Respondents were also excited about the use of evidence-based practices and the use of validated risk assessments. They also mentioned evidence-based sentencing reform, pre-trial release, and supervision of probation.
- **Technology:** Many respondents listed technological advancements that allow for enhanced information gathering and management. Examples were CompStat, inmate tracking software, crime mapping, GPS, DNA analysis, and other crime analysis tools.
- **Community Engagement:** Many respondents listed initiatives that involve community engagement, often labeled “community policing,” “community corrections,” or “community prosecution.”
- **Intelligence-Based Policing:** Lastly, many respondents listed intelligence-based policing or policing models based on risk assessment and risk management.

Chapter Four

Data-Driven Decision-Making

This chapter examines data-driven decision-making, focusing on the use of internal and external evaluators in developing new initiatives and identifying priorities.

Use of Data and Research

Table 4.1 reports findings from two questions, one asking how often respondents use research or evaluation findings to guide programmatic decisions, and the second asking how often they use internally collected data to guide these decisions. Table 4.1 shows that nearly all of the respondents (89%) “sometimes” or “always” use research or evaluation findings, with 46% reporting that they “always” use research. The results indicate that court administrators were the most likely (62%) and prosecutors the least likely (25%) to report always using research. Table 4.1 also indicates that a majority of respondents use their agencies’ own data to guide programmatic decisions (63% reported that they “always” and 31% that they “sometimes” use internal data).

We also found that the more innovative respondents rated their agencies and themselves, the more likely they used research and internal data when making programmatic decisions.

Table 4.1. Research and Programmatic Decisions

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Research or evaluation findings guide programmatic decisions					
Always	62%	52%	50%	25%	46%
Sometimes	35%	38%	41%	56%	43%
Rarely/Never	0%	10%	8%	18%	11%
Agency data guide programmatic decisions					
Always	73%	58%	67%	60%	63%
Sometimes	26%	31%	32%	34%	31%
Rarely/Never	0%	11%	2%	7%	5%

As shown in Table 4.2, 39% of agencies reported having internal evaluators on their staff, and 50% reported using independent external evaluators to evaluate a program or initiative. Court administrators and community corrections leaders were more likely to report using internal and external evaluators than law enforcement and prosecutors. We also found that individuals who rated themselves and their agencies as more innovative were more likely to use internal and external evaluators.

Table 4.2. Use of Evaluators

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Have Used Internal Evaluators	58%	65%	32%	10%	39%
Have Used External Evaluators	77%	60%	52%	25%	50%

Importance of Research

Consistent with the relationships reported above, those who more strongly embraced the use of research in their agencies were also more likely to rate themselves as innovative, to indicate that they work in an innovative agency, and to score higher on the index measuring the use of specific innovative practices at work. These results show that innovation is strongly linked to understanding the necessity of research and data in developing and evaluating programs.

Chapter Five Barriers to Innovation

This section concerns the perceptions of criminal justice leaders regarding barriers to innovation.

Table 5.1 displays the mean response to questions that were scored on a four-point scale (ranging from strongly disagree to strongly agree). The questionnaire provided various statements related to barriers to innovation, and respondents were asked to check the extent to which they agreed or disagreed with the statement on a four-point scale. As presented in Table 5.1, the most common barriers were a lack of funding and lack of buy-in from frontline staff.

Table 5.1. Barriers to Innovation (mean)

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Lack of funding	3.14	3.09	3.10	3.35	3.28
Not enough buy-in from front line staff	2.62	3.00	2.82	2.60	3.17
Political pressure and bureaucracy (index)	2.87	2.94	2.64	2.75	2.78
Stakes are too high to test out brand new ideas	1.78	1.90	1.80	2.01	2.59
Initiatives often set unrealistic goals or expectations	2.39	2.51	2.47	2.66	2.52
Not enough agency capacity to analyze and manage data	2.07	2.07	2.17	2.56	2.23
Trying new things could cost me my job if they are unsuccessful	1.63	2.04	1.92	1.97	1.93

Funding Issues

The questionnaire asked a few additional questions regarding funding barriers. Nearly all respondents (90%) indicated that their agency had been affected by recent budget cuts. We also asked those who had faced budget cuts whether or not these budget cuts hindered their ability to test new ideas or initiatives. Overall, three-quarters (75%) of the criminal justice leaders indicated that these cuts had hindered their ability to be innovative, with prosecutors the most likely to report challenges posed by budget cuts (79%).

Further analysis indicated that those who scored higher on the index measuring active innovation at work, and those who believed the agencies in which they work are generally innovative, were significantly *less* likely than others to identify lack of funding as a barrier to innovation. It is impossible, however, to determine the direction of causality: whether a determination to be innovative leads some leaders to overcome lack of funding, or whether facing fewer funding constraints in the first place enables some leaders to be more innovative.

Table 5.2. Funding Issues

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Agency budget cuts	90%	93%	89%	87%	90%
Hindered ability to test new ideas	75%	70%	77%	79%	75%

Chapter Six Sources of New Ideas

This section covers information gathering—where criminal justice leaders look for new ideas on potential programs or reforms.

As shown in Table 6.1, the most frequently reported sources of information were colleagues (85%), conferences (78%), professional associations (77%), and state/federal agency publications (65%). That pattern was generally consistent across all four criminal justice segments. Academic journals (50%) and internet searches (48%) were cited by no more than half of the respondents, with law enforcement using these resources the most and prosecutors the least often. Further analysis (results not shown) indicates that respondents who scored higher on the index of active innovation at work were significantly more likely to report utilizing all of the various outlets for ideas and information than respondents who scored lower on our innovation index. That is, innovation appears to require seeking information or, conversely, those who seek and obtain information appear more likely to innovate.

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Agree that I don't know enough about what works in criminal justice	44%	20%	14%	29%	23%
Sources for new ideas on criminal justice programs					
Colleagues in the field	87%	78%	90%	86%	85%
Conferences	84%	67%	81%	83%	78%
Professional associations	85%	71%	85%	69%	77%
State/Federal agency publications	64%	74%	66%	55%	65%
Academic journals	58%	49%	62%	31%	50%
Internet searches	42%	51%	63%	26%	48%
Mainstream news media	18%	19%	26%	22%	22%

Interest in a Publication Devoted to Innovation

As shown in Table 6.2, results revealed that 94% of the respondents were interested in reading a publication devoted to criminal justice innovation, with a print magazine/newsletter format (61%) favored over a website (46%) or e-mail listserv (39%). In terms of what such a publication might contain, most respondents expressed an interest in updates on new programs (89%), research (78%), funding opportunities (77%), and planning and implementation guides (76%).

Table 6.2. Publication Devoted to Innovation

	Court Administrator n=69	Community Corrections n=173	Law Enforcement n=224	Prosecutors n=158	Total n=624
Would read publication devoted to criminal justice innovation	97%	96%	96%	95%	94%
What format?					
Print magazine/newsletter	54%	59%	64%	61%	61%
Website	44%	49%	50%	35%	46%
E-mail listserv	48%	36%	40%	35%	39%
What should it contain?					
Research	83%	80%	80%	68%	78%
Updates on new programs	93%	88%	91%	86%	89%
Funding Opportunities	65%	68%	89%	75%	77%
Interviews with leaders	49%	58%	57%	51%	55%
Planning and implementation guides	77%	72%	78%	77%	76%

Favorite Criminal Justice Website

Also included in the questionnaire was an open-ended question asking respondents about their favorite criminal justice website. Five websites were named by more than 25 respondents as their favorites. In order of frequency:

- Department of Justice (including Bureau of Justice Assistance, Bureau of Justice Statistics, and National Institute of Justice)
- Police Executive Research Forum (PERF)
- The International Association of Chiefs of Police (IACP)
- National District Attorneys Association (NDAA)
- National Center for State Courts (NCSC)

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Appendix A. Questionnaire



BJA
Bureau of Justice Assistance
U.S. Department of Justice

Questionnaire on Criminal Justice Innovation

The Bureau of Justice Assistance (BJA) invites you to participate in the Questionnaire on Criminal Justice Innovation. This survey, being administered by the Center for Court Innovation and NORC at the University of Chicago, is an effort to better understand how criminal justice leaders in the U.S. conceive of the innovation process.

Please submit your completed form by using the web reporting option at <https://connectcai.norc.org/go/cci/>, using your Personal Identification Number (PIN) below. You can also submit the form by mailing it to NORC in the enclosed postage-paid envelope, or by faxing each page toll-free to NORC at 1-866-309-0608.

If you have any questions or concerns, or if you need assistance completing the survey, please contact NORC via e-mail CJInnovation@norc.org or call 1-866-209-0129.

(Please correct any errors in your information by writing the corrected information below.)

CENTER
FOR
COURT
INNOVATION

NORC
at the UNIVERSITY of CHICAGO

Questionnaire on Criminal Justice Innovation

The first questions are about your work setting.

1. Which of the following best describes the region you currently work in? (Mark only one.)

- 1 Midwest
2 Northeast
3 Southeast
4 Southwest
5 West

2. Which of the following best describes the jurisdiction you currently work in? (Mark all that apply.)

- 1 Urban
2 Rural
3 Suburban
4 Other (Specify): _____

The next questions are about your opinions and experiences in the field of criminal justice. Please answer honestly and remember that no one will see your individual responses.

3. Altogether, about how many years have you worked in criminal justice?

Number of Years

4. Using the scale below, please indicate how innovative you think the field of criminal justice is nationwide?

Not at all Innovative Extremely Innovative

1 2 3 4 5

5. Now think about your own agency where you currently work. Using the scale below, please indicate how innovative you think your agency is?

Not at all Innovative Extremely Innovative

1 2 3 4 5

6. Now think about yourself as a leader. Using the scale below, please indicate how innovative you think you are as a leader?

Not at all Innovative Extremely Innovative

1 2 3 4 5

7. Have you ever been in a professional situation where a criminal justice program or initiative you were involved in did not work or failed to meet its goals?

- 1 Yes
2 No → Skip to Q10

8. In your opinion, what was the reason the initiative did not work? (Mark all that apply.)

- 1 It was a bad idea.
2 It was executed poorly.
3 It was unable to attract the necessary support (money or manpower).
4 We did not assess the program midstream and make necessary changes.
5 Other (Specify): _____

9. How did you respond to that situation? (Mark all that apply.)

- 1 Continued the program unchanged
2 Made changes to the program and continued
3 Replaced the program with a new or different program
4 Stopped the program completely
5 Other (Specify): _____

The next few questions are about data and research.

10. Do you have *internal* evaluators or research professionals on staff at your agency whose job it is to evaluate agency initiatives?

- 1 Yes
2 No
3 Unsure

11. Have you ever utilized *independent, external* evaluators or research consultants to evaluate a criminal justice program or initiative?

- 1 Yes
2 No
3 Unsure

12. When deciding to start a new program or change an existing one, how often do you look for research or evaluation findings to help guide your decisions?

- 1 Always
2 Sometimes
3 Rarely
4 Never → Skip to Q14

13. Where do you look for or find that research? (Mark all that apply.)

- 1 Academic journals
2 Professional associations
3 State/Federal agency publications
4 Colleagues in the field
5 Conferences
6 Mainstream news media
7 Internet searches
8 Other (Specify): _____

14. When deciding to start a new program or change an existing one, how often do you analyze your own agency data to help make your decisions?

- 1 Always
2 Sometimes
3 Rarely
4 Never

The next set of questions is about your opinions of the field of criminal justice.

15. For each statement below, please indicate whether you: *Strongly Disagree, Disagree, Agree, or Strongly Agree*

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. The field of criminal justice is not innovative enough.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
b. Reducing crime won't happen without testing out new approaches.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
c. I don't know enough about what works in criminal justice.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
d. I believe I will see significant criminal justice reform during my career.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
e. Driving system change is an important part of my job.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
f. Often the best ideas fail because there is not enough buy-in from the frontline staff who do the work.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
g. I encourage my staff to take risks.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
h. I work to create an agency climate where failure is openly discussed.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
i. There is tolerance for failure in the public sector.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
j. I routinely seek out consultants or technical assistance to help plan new initiatives.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
k. The stakes are too high in criminal justice to test out brand new ideas.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
l. Lack of funding makes it difficult to test out new ideas.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
m. Political pressure hinders innovation in criminal justice.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
n. Bureaucracy makes it too difficult to test out new ideas.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
o. Fear of negative media coverage hinders innovation in criminal justice.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
p. It is difficult to build momentum for reform without an immediate crisis	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
q. Criminal justice initiatives often set unrealistic goals or expectations.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
r. I worry that trying new things could cost me my job if they are not successful.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
s. Criminal justice initiatives would benefit from involving more researchers in developing solutions.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
t. I rely on research and evidence to make programmatic decisions in my work.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
u. Research findings are often too difficult to translate into practice.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
v. I almost always use data when identifying priorities or crafting programs and policies.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
w. Using data to make decisions is desirable but is not realistic in the real world.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
x. My agency does not have the capacity to manage and analyze data.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>
y. I regularly share my agency's data with other partner agencies.	1 <input type="checkbox"/>	2 <input type="checkbox"/>	3 <input type="checkbox"/>	4 <input type="checkbox"/>

16. Who would you say has been the most innovative person in criminal justice over the past decade?

The next few questions are about your recent experiences and where you access information.

17. Has your agency been affected by recent budget cuts?

- 1 Yes
- 2 No → *Skip to Q19*
- 3 Unsure

18. Have recent budget cuts hindered your ability to test new ideas or initiatives?

- 1 Yes
- 2 No
- 3 Unsure

19. How familiar are you with the concept of *community courts*?

- 1 I am not familiar with community courts.
- 2 I am familiar with the term but am not sure what it means.
- 3 I am familiar with community courts.
- 4 I am actively engaged with one or more community courts.

Appendix B. Pre-Notification Mailing

20. What new idea or program in your field are you most excited about?

21. Where do you look for new ideas on criminal justice programs or reform initiatives? (Mark all that apply.)

- 1 Academic journals
- 2 Professional associations
- 3 State/Federal agency publications
- 4 Colleagues in the field
- 5 Conferences
- 6 Mainstream news media
- 7 Internet searches
- 8 Other (Specify): _____
- 9 I do not look for new ideas on new programs or initiatives

22. What is your favorite criminal justice website to visit?

23. If there were a publication devoted to criminal justice innovation, would you read it?

- 1 I definitely would
- 2 I probably would
- 3 I probably wouldn't
- 4 I definitely wouldn't

24. In what format would you prefer to read such a publication? (Mark all that apply.)

- 1 Print magazine/newsletter
- 2 Website
- 3 E-mail listserv
- 4 Other (Specify): _____
- 5 I would not read any publication on criminal justice innovation.

25. What would a publication about criminal justice innovation need to include in order to be useful to you? (Mark all that apply)

- 1 Research findings
- 2 Updates on new programs
- 3 Current funding opportunities
- 4 Interviews with leading practitioners and scholars
- 5 Planning and implementation guides
- 6 Other (Specify): _____
- 7 I would not read any publication on criminal justice innovation.

26. Before this questionnaire, had you ever heard of the Center for Court Innovation?

- 1 Yes
- 2 No

Now we just have a few questions about you. This information will only be used in aggregate form to report on respondent characteristics.

27. What is your gender?

- 1 Male
- 2 Female

28. What is your age range?

- 1 Under 35
- 2 35-44
- 3 45-54
- 4 55-64
- 5 65 or older

29. Are you of Hispanic or Latino(a) origin or background?

- 1 Yes
- 2 No

30. What is your race? (Mark all that apply.)

- 1 White
- 2 Black or African American
- 3 American Indian or Alaska Native
- 4 Asian
- 5 Native Hawaiian or other Pacific Islander
- 6 Other (Specify): _____

31. What is the highest level of education that you have completed? (Mark only one.)

- 1 High school diploma or GED
- 2 Some college or Associate's degree
- 3 Bachelor's degree
- 4 Graduate school degree (Master's, law school, doctorate, or other professional degree)
- 5 Other (Specify): _____

Thank you for your time. That completes the questionnaire.

We will send you a copy of the overall results of the questionnaire once it is complete.

If you would like more information about the Center for Court Innovation and its research and demonstration programs, please visit www.courtinnovation.org.



June 6, 2012

<<P_SUIDN>>

<<FULLNAME>>

<<P_1ADDR1>>

<<P_1ADDR2>>

<<P_1CITY>>, <<P_1STATE>> <<P_1ZIP>>-<<ZIP4>>

Dear <<FULLNAME>>,

The Bureau of Justice Assistance at the U.S. Department of Justice would like to invite you to participate in a first-of-its-kind questionnaire of criminal justice leaders. You are one of approximately 1,000 criminal justice leaders nationwide randomly selected to participate.

The Questionnaire on Criminal Justice Innovation is an effort to better understand how criminal justice leaders in the U.S.—from police chiefs and probation commissioners to court administrators and prosecutors—conceive of the innovation process. Where do you look for new ideas? What are the obstacles to implementing new programs? What role do evidence and research play in developing new initiatives? Responses to this questionnaire will provide valuable insight into the opportunities and challenges facing today’s criminal justice leaders.

The questionnaire is being administered by the Center for Court Innovation (the Center), a non-profit think tank based in New York City, in conjunction with NORC at the University of Chicago.

Your participation is voluntary and your responses will be kept completely confidential. Your responses and contact information will only be accessible by researchers from the Center and NORC.

Findings from the study will be reported only in the aggregate form and will be published and distributed widely to criminal justice practitioners, policymakers, and funders with the hope of stimulating discussion in the field about the innovation process and informing the development of future initiatives.

Completing the questionnaire should take approximately 10-15 minutes. You can skip any question you do not wish to answer or you can stop the interview at any time. In approximately one week, you will receive the Questionnaire on Criminal Justice Innovation; however, we do offer the option to complete the survey now over the web.

To access the web questionnaire, please use this link: <https://connectcai.norc.org/go/cji/>

For security purposes, please use the Personal Identification Number (PIN) provided here:

PIN: <<PIN>>

The Bureau of Justice Assistance at the U.S. Department of Justice thanks you in advance for your participation in this important study. If you have any questions about this questionnaire, please contact NORC at xxxx@norc.org or toll-free at XXX-XXX-XXXX

Sincerely,

Kim A. Ball, JD
Senior Policy Advisor, Adjudication
Bureau of Justice Assistance, Office of Justice Programs

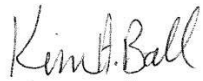
Appendix C. Thank You Postcard

We recently sent you a questionnaire on Criminal Justice Innovation!

The Bureau of Justice Assistance is administering a questionnaire of criminal justice leaders in the United States to better understand the innovation process.

If you have already completed and returned this questionnaire to us, please accept our sincere thanks. If not, please do so today. Your input is valuable to this one-of-its-kind project.

If you did not receive a questionnaire or it is misplaced, please contact NORC toll-free at 1-866-209-0129 or via e-mail at cjinnovation@norc.org.



Kim A. Ball, JD
Senior Policy Advisor, Adjudication
Bureau of Justice Assistance, Office of Justice Programs





Appendix D. Cover Letter

[Date]

[SUID]

(PTITLE) (PNAME)

(PADDR)

(PADDR2)

(PCITY), (PSTATE) (PZIP)

Dear (PTITLE) (PNAME),

The Bureau of Justice Assistance at the U.S. Department of Justice (BJA) would like to invite you to participate in a first-of-its-kind questionnaire of criminal justice leaders. You are one of approximately 1,000 criminal justice leaders nationwide randomly selected to participate.

The Questionnaire on Criminal Justice Innovation is an effort to better understand how criminal justice leaders in the U.S.—from police chiefs and probation commissioners to court administrators and prosecutors—conceive of the innovation process. Where do you look for new ideas? What are the obstacles to implementing new programs? What role do evidence and research play in developing new initiatives? Responses to this questionnaire will provide valuable insight into the opportunities and challenges facing today’s criminal justice leaders.

Your participation is voluntary and your responses will be kept confidential. The study’s findings will be published in aggregate form and distributed widely to criminal justice practitioners, policymakers, and funders with the hope of stimulating discussion in the field about the innovation process and informing the development of future initiatives.

The questionnaire is being administered by the Center for Court Innovation, a non-profit think tank based in New York City, in conjunction with NORC at the University of Chicago.

Completing the questionnaire should take approximately 10-15 minutes. For your convenience, you can respond to the questionnaire in one of two ways:

Web: To access the web questionnaire, please use this link: <https://connectcai.norc.org/go/cci/>

For security purposes, please use the Personal Identification Number (PIN) provided here:

PIN: <<pin>>

Paper: If you prefer to complete a paper version, complete and return the enclosed questionnaire in the postage-paid envelope. You can also return your completed paper copy via the following methods:

Fax: Fax each page toll free to NORC at XXX-XXX-XXXX;

E-mail: Attach a scanned copy of your completed survey and send to xxxx@norc.org.

BJA thanks you in advance for your participation in this important study. If you have any questions about this questionnaire, please contact NORC at xxxx@norc.org or toll-free at XXX-XXX-XXXX.

Sincerely,

Kim A. Ball, JD
Senior Policy Advisor, Adjudication
Bureau of Justice Assistance, Office of Justice Programs

Appendix E. Last Chance Postcard

We have not yet received a response from you!

The Bureau of Justice Assistance is conducting a survey of criminal justice leaders in the United States to better understand the innovation process. Responses to this questionnaire will provide valuable insight into the opportunities and challenges facing today's criminal justice leaders.

Data collection for this questionnaire is scheduled to end August 31, 2012!

If you did not receive a questionnaire, or if it was misplaced, please contact NORC toll-free at 1-866-209-0129 or via e-mail at cjinnovation@norc.org. They will also be happy to answer any questions that you may have.

Thank you for your help with this important survey!



Kim A. Ball, JD
Senior Policy Advisor, Adjudication
Bureau of Justice Assistance, Office of Justice Programs



Appendix F. Factor Loadings and Indices

Active Innovation Index - Alpha .839
Driving system change is an important part of my job.
I encourage my staff to take risks.
I work to create an agency climate where failure is openly discussed.
I routinely seek out consultants or technical assistance to help plan new initiatives.
I rely on research and evidence to make programmatic decisions in my work.
I almost always use data when identifying priorities or crafting programs and policies.
I regularly share my agency's data with other partner agencies.

Political Pressure and Bureaucracy (Index) - Alpha .789
Political pressure hinders innovation in criminal justice.
Bureaucracy makes it too difficult to test out new ideas.
Fear of negative media coverage hinders innovation in criminal justice.
It is difficult to build momentum for reform without an immediate crisis.