



U.S. Department of Justice
Federal Bureau of Prisons

PROGRAM STATEMENT

OPI PRD/PAB
NUMBER 1066.05
DATE April 21, 2015

Pilot Initiatives, Approval and Evaluation

/s/

Approved: Charles E. Samuels, Jr.
Director, Federal Bureau of Prisons

1. PURPOSE AND SCOPE

To provide guidelines and procedures used to approve and evaluate pilot initiatives.

a. Summary of Changes

Policy Rescinded

P1066.04 Evaluation of Pilot Initiatives (11/14/2007)

Additional language was added to the Pilot Proposal Worksheet (Items 4 and 6) and the Pilot Evaluation Summary (Item 5). Additional information to be provided in the Pilot Proposal Worksheet includes how the pilot will be funded and if any baseline data is available for use in the evaluation design.

A recommendation as to whether the program should be implemented at additional sites or Bureauwide is to be provided in the Pilot Evaluation Summary. Comments from the Regional or Assistant Director of any region/division that would be affected by implementation will also be included.

b. Program Objectives. The expected results of this program are:

- Pilot initiatives will be approved and evaluated consistently.
- Pilot programs will be tracked by the Program Review Division.

c. **Institution Supplement.** None required. Should local facilities make any changes outside the required changes in the national policy or establish any additional local procedures to implement the national policy, the local Union may invoke to negotiate procedures or appropriate arrangements.

2. DEFINITIONS

a. **Pilot Initiative.** Any new program, function, or product used in a limited way to determine if it is suitable for use at additional sites or Bureauwide.

b. **Goal.** A statement of the pilot's purpose or intent.

c. **Objectives.** Measurable parts of the goal which, when achieved, accomplish the desired goal.

d. **Performance Measures.** Evidence used to determine progress towards meeting the objectives. These measures can be positive indicators of output, achievements, or beneficial side effects. Measures can also be negative results or adverse side effects.

e. **Concerns/Issues.** Key questions that need to be answered by the evaluation. These questions may relate to concerns raised before or during the pilot. Appropriate questions include: "What major problems surfaced as a result of the pilot?" and "How, if at all, were these problems resolved?"

3. APPROVAL

Proposed pilot projects are reviewed both for the concept and for the implementation and evaluation plan. A member of the Executive Staff must review and endorse the concept of a proposed pilot project. This would most likely be the affected Assistant Director if the initiative involves a particular discipline or the affected Regional Director if the initiative involves a particular institution.

In all cases, each involved discipline and region must be consulted during preparation of the proposal and allowed the opportunity for comment.

The endorsed proposal is forwarded to the Assistant Director (AD), Program Review Division

(PRD), who reviews it to ensure the implementation and evaluation plans are adequate to permit an effective project appraisal.

If the AD, PRD, determines that the proposal warrants further evaluation, he/she contacts the Director or the full Executive Staff for further input and evaluation.

The Pilot Proposal Worksheet (Attachment A) must be completed and approved prior to the initiation of a pilot program.

Because implemented pilot initiatives may affect conditions of employment (which may warrant bargaining over procedures and appropriate arrangements), the President of the Council of Prison Locals will be notified of the pilot initiative (including location) prior to implementation or expansion.

When the decision is made to have a pilot initiative, if the pilot initiative affects conditions of employment as outlined in appropriate case law, regulation, or the Master Agreement, the Union at the appropriate level will be notified and given an opportunity to bargain prior to implementation.

4. GENERAL EVALUATION

Within 60 days after a pilot program reaches completion, the Pilot Evaluation Summary (Attachment B) must be submitted to the sponsoring Executive Staff Member and the AD, PRD, for evaluation and comment. The President of the Council of Prison Locals is notified at the conclusion of the Pilot and made aware of any decision(s). Additional information may be provided in accordance with 5 U.S.C. § 7114.

Attachment B is completed before pilot program findings are presented to the Executive Staff.

5. RESEARCH

If an independent evaluation or pilot program requires staff or inmates to participate in interviews or complete tests, questionnaires, or surveys, the activity may qualify as “research.” If any of these conditions exist, the team leader or person with program oversight consults the referenced Program Statements and contact the BOP Human Subjects Protections Officer (located in the Office of Research and Evaluation) for additional approval and/or evaluation standards.

Questionnaires or surveys given to bargaining unit employees must be handled in accordance with the “Questionnaire” Article of the Master Agreement.

6. AGENCY ACA ACCREDITATION PROVISIONS

- American Correctional Association 4th Edition Standards for Adult Correctional Institutions, 4th Edition: 4-4108.
- American Correctional Association Performance Based Standards for Adult Local Detention Facilities, 4th edition: Not applicable.
- American Correctional Association Standards for the Administration of Correctional Agencies, 2nd Edition: 2-CO-1F-10.

REFERENCES

Program Statements

P1070.07 Research (5/12/99)

P1150.06 Office of Security Technology (4/5/13)

BOP Forms

None.

Records Retention

Requirements and retention guidance for records and information applicable to this program are available in the Records and Information Disposition Schedule (RIDS) on Sallyport.

**PILOT PROPOSAL WORKSHEET
ESTABLISHING EVALUATION CRITERIA**

TITLE OF PILOT PROGRAM:

DATE OF SUBMISSION:

ORIGINATING STAFF/LOCATION:

ANTICIPATED START DATE:

ANTICIPATED COMPLETION DATE:

1. State the goals and list all objectives of this pilot project.
2. List all directives that were reviewed to design this pilot program so that it complies with current policy. Also include a list of subject matter experts and Executive Staff who were consulted during the design of this initiative.
3. Discuss any conflicts that may be encountered between this pilot project and existing policy (including Rules issues, which are resolved through the Office of General Counsel). Describe how these conflicts will be resolved.
4. Describe all costs associated with the pilot. If funding or additional positions are needed, provide cost estimates associated with these; list the number and types of positions that will be needed; and state how the pilot will be funded. Alternatively, if the pilot program will save money or reduce the number of positions, provide estimated cost savings and explain how these will be accomplished.
5. If implemented, required training will involve (indicate type of training, number of personnel, and anticipated cost):
6. Describe your evaluation design. Will comparisons be made (conditions at pilot institutions compared to non-pilot institutions, conditions before pilot compared to conditions after pilot, etc.)? Is any baseline data available to use in the comparison? Who will conduct the evaluation?
7. List the performance measures you will use to assess the success or failure of the project to meet its objectives.

8. List relevant concerns and issues in the form of key questions which need to be answered by the end of the pilot. Consider questions such as:

a. How might the new program positively or adversely affect other program areas, staff and inmate morale, and the orderly running of the institution?

b. What positive/negative side-effects might occur?

c. What obstacles to this program's implementation do you anticipate?

9. Signatures:

Pilot Program Designer

Sponsoring Executive Staff Member

Assistant Director
Program Review Division

Attachment B

PILOT EVALUATION SUMMARY -- PILOT ASSESSMENT

TITLE OF PILOT PROGRAM:

ORIGINATING STAFF/LOCATION:

START DATE:

COMPLETION DATE:

1. Did the goal(s) of this pilot program change from the original intent? If so, please explain.
2. Did any new issues, concerns, or impediments to implementation surface? If so, how were these resolved?
3. Were the objectives of the pilot program accomplished? Cite evidence or data sources that were used to determine whether the objectives were met.
4. Describe all costs associated with the pilot program and note how these compared with initial budget and position requests. Be sure to explain cost overruns or savings that were incurred.
5. Please explain both the advantages and disadvantages related to a broader implementation of this program. Identify areas requiring further evaluation, if applicable. Should the program be implemented at additional sites or Bureauwide? Solicit and include comments from the Regional or Assistant Director of any region/division that would be affected by implementation.
6. Signatures:

Pilot Program Designer

Sponsoring Executive Staff Member

Assistant Director, Program Review Division