

TRAINING MANUAL

COMPREHENSIVE PLANNING
FOR CRIMINAL JUSTICE

U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
REGION IV: ALABAMA
FLORIDA, GEORGIA, KENTUCKY,
MISSISSIPPI, NORTH CAROLINA,
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Training Manual on
Comprehensive Planning
for Criminal Justice

FOREWORD

The publication of this manual is sponsored by the Regional Office of the Law Enforcement Assistance Administration in Region IV. The manual is published to establish better understanding and communications concerning comprehensive planning for criminal justice programs between local and State planning agencies and the Regional Office.

The manual is intended to serve as a guide which may be used both by persons with prior experience in criminal justice planning at various levels of government and in various components of criminal justice, and by those who newly enter into planning of criminal justice programs. It is directed especially towards persons who are responsible for developing, in whole or in part, comprehensive State plans to prevent and reduce crime, to improve criminal justice, and to insure public safety.

The Regional Office encourages such persons to utilize the manual in formulating planning concepts in a systematic process of first selecting a suitable planning approach, and then, consistent with the selected approach, of assembling and analyzing data, determining priority-based measures to meet program needs, and evaluating program results as a feedback to the updating of criminal justice plans. Personnel training has a major role throughout criminal justice systems. From that perspective, the Regional Office recognizes the importance of training activities for criminal justice program planners who are a key resource needed to reach program goals.

Accordingly, the Regional Office has supported the preparation and distribution of this manual, which is designed to accommodate convenient updating by addition of supplemental or replacement pages, and deletion of superseded pages.

The manual reflects the viewpoint and position that new methods are required to strengthen planning personnel involved in criminal justice programs at all levels of government, whether such personnel serve within specific disciplines, or in an interdisciplinary capacity, coordinating planning inputs from all sources.

CHARLES F. RINKEVICH
Regional Administrator

INTRODUCTION

1. PURPOSE. This Training Manual is a guidance document intended to assist State, regional, and local planners in the preparation and implementation of comprehensive plans.
2. AUTHORITY. Public Law 93-83, the Crime Control Act of 1973, enacted August 6, 1973, in section 303.(a) provides that:

"The Administration shall make grants under this title to a State planning agency if such agency has on file with the Administration an approved comprehensive State plan (not more than one year in age) which conforms with the purposes and requirements of this title. No State plan shall be approved as comprehensive unless the Administration finds that the plan provides for the allocation of adequate assistance to deal with law enforcement and criminal justice problems in areas characterized by both high crime incidence and high law enforcement and criminal justice activity. No State plan shall be approved as comprehensive, unless it includes a comprehensive program, whether or not funded under this title, for the improvement of juvenile justice."

The approval for State comprehensive plans developed under PL 93-83 by State Planning Agencies (SPA's) in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee is vested in the Law Enforcement Assistance Administration (LEAA) Region IV Office. LEAA's Washington, D.C., Office has issued Guideline Manual M4100.1C on State Planning Agency Grants. In accord with chapter 3 of M4100.1C, which presents a "Comprehensive Law Enforcement Plan Outline," LEAA Region IV Office has prepared this manual which provides recommended practices to guide planners in formulating criminal justice plans that are responsive to requirements in chapter 3 of M4100.1C.

3. BACKGROUND. An evolutionary process has occurred in understanding how to plan State crime and juvenile programs since the enactment of the Omnibus Crime Control and Safe Streets Act of 1968 (PL 90-351), the Omnibus Crime Control Act of 1970 (PL 91-644), and the Crime Control Act of 1973 (PL 93-83). In Region IV, this has been characterized by the organization and staffing of 8 SPA's and the

Regional Office (RO) of LEAA, together with the formulation of State comprehensive plans which embody various planning approaches and concepts for coordinating, intensifying, and increasing effectiveness of criminal justice programs. The RO, acting in cooperation with the SPA's, during the second half of Fiscal Year 1974, reviewed the State planning process, considered ways to simplify and to adjust planning procedures in light of current knowledge, and documented desirable approaches to preparing and updating comprehensive plans for State programs. This manual represents the product of such cooperative efforts.

4. GENERAL REQUIREMENTS OF TITLE I. Title I imposes certain requirements which must be met as a prerequisite to program approval. Consequently, both a multiyear plan and an annual action program to prevent and reduce crime must be developed consistent with certain sections of PL 93-83 listed below:

	<u>Subject</u>
Section 203(b)	Functions of State Planning Agencies (SPA's).
Section 302	States to Establish SPA's and Submit Plans.
Section 303(a)	General Requirements for Comprehensive Plans.
Section 303(c)	Other Selected Requirements for Comprehensive Plans.

The provisions listed above relevant to program approval are presented verbatim in appendix 2A, and also within the full text of PL 93-83 contained in appendix 2B.

5. APPLICATION OF TRAINING MANUAL. This manual is directed toward maintaining effective communications by the SPA's and the RO, and between planners involved in criminal justice programs within a State, concerning:
- recommended practices in formulating comprehensive plans,
 - concepts for systematically analyzing problems and programming solutions, and
 - modifications or new directions which may be desirable in a continuing process of plan formulation and program evaluation.

The manual is intended to be a user-oriented guide. It will be helpful to persons in SPA's, and in cooperating agencies, who have responsibilities for developing and reviewing comprehensive plans,

in whole or in part. The manual may be characterized as a tool that gives suggested approaches to plan preparation.

6. PROCESS FOR UPDATING TRAINING MANUAL. Recognizing that the planning process should be continually reviewed and assessed for adequacy in view of current needs, the RO has designed the manual as an instrument which may be updated as the need for improvement occurs. Therefore, procedures listed below describe the manner in which subsequent planning recommendations are to be accommodated through pages that are replaced, added, or deleted, as a means of updating the manual.
 - a. Requests for official consideration of changes in the manual which originate in a State should be transmitted in writing by the SPA Director to the RO's State representative.
 - b. The RO's Operations Division will consult the Program Development and Technical Assistance Division concerning any proposed change in the manual requested by SPA's or initiated by RO staff.
 - c. The RO's Program Development and Technical Assistance Division will review and recommend action on requested changes, and will consult with the SPA's concerning any proposed change in the manual.
 - d. The Regional Administrator will issue memoranda to SPA's which transmit officially any change in the manual, attaching new or replacement pages as may be appropriate.

Generally, changes of a type that would not affect ongoing program activities will be issued by the Regional Administrator quarterly. However, any change that may cause an immediate impact on planning activities will be the subject of a memorandum to SPA's at the time that the change is approved.

7. OPTIONS FOR BASIC PLANNING PROCESS. The development and updating of comprehensive plans for criminal justice programs constitute a major thrust of SPA's and serve as a fundamental avenue for accomplishing planning continuity within the States. Accordingly, the identification of alternative planning approaches and the selection of an approach that best fits the planning process of a State are

important first steps for an SPA to insure that planning resources are utilized efficiently. Likewise, it is desirable that an SPA request concurrence of the RO with respect to a specific planning approach that it proposes to follow in advance of the preparation of a comprehensive plan; again, to seek efficient utilization of planning resources by avoiding expenditure of time and effort in a direction which may not produce mutually satisfactory results.

Several options exist with reference to approaches that may be used to formulate comprehensive plans for criminal justice programs. These planning approaches include:

- component,
- functional, and
- delivery systems.

It is recognized that this manual refers to only 3 planning approaches; namely, component, functional, and delivery systems. This is not meant to imply that other planning approaches would not be appropriate to the needs of a State. Rather, it is recommended simply that a State may find it desirable to first select and document a planning approach before conducting a full-scale program to develop a comprehensive State plan for criminal justice. This is considered to be a logical, timely, and cost-effective way to initiate statewide planning activities just as it is important to produce and document study designs for research or evaluation projects before commencing with the work. Also it follows that obtaining early approval by the RO for a planning approach used by an SPA requires no more than a reasonable amount of added time and effort.

Figure i gives an overview of how the planning process may be organized into phases and tasks. These are considered in more depth throughout subsequent chapters. Figure ii and table i give typical examples which illustrate the meanings of selected terms used in criminal justice planning. These terms also are defined in appendix A.

Consistent with the component approach to criminal justice planning, the phases and tasks, and their interactions, involved in developing comprehensive State plans to prevent and to reduce crime are discussed below. Three major phases in developing criminal justice plans and in evaluating the planning process are:

PHASE A: Analysis of
Criminal Justice System
Characteristics

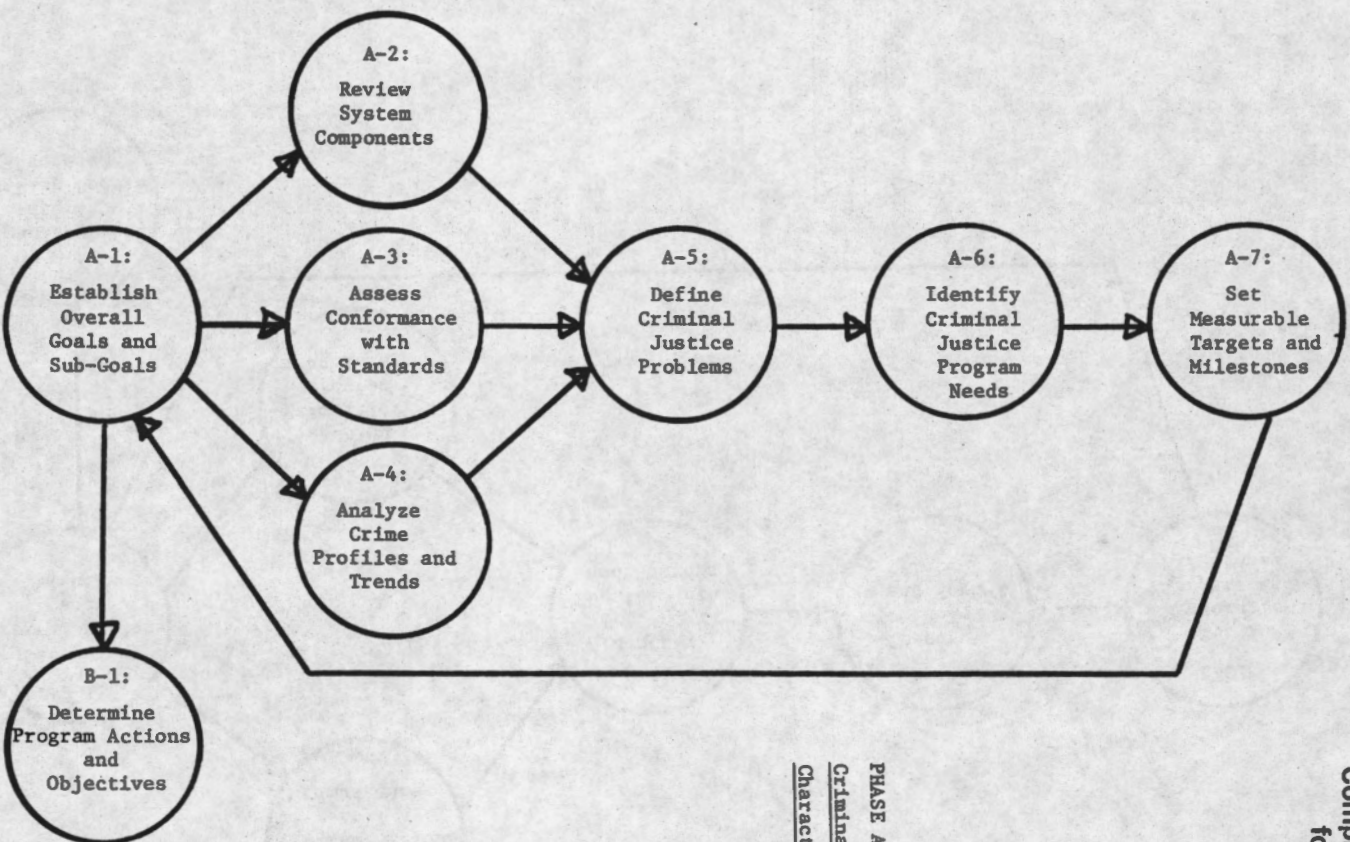
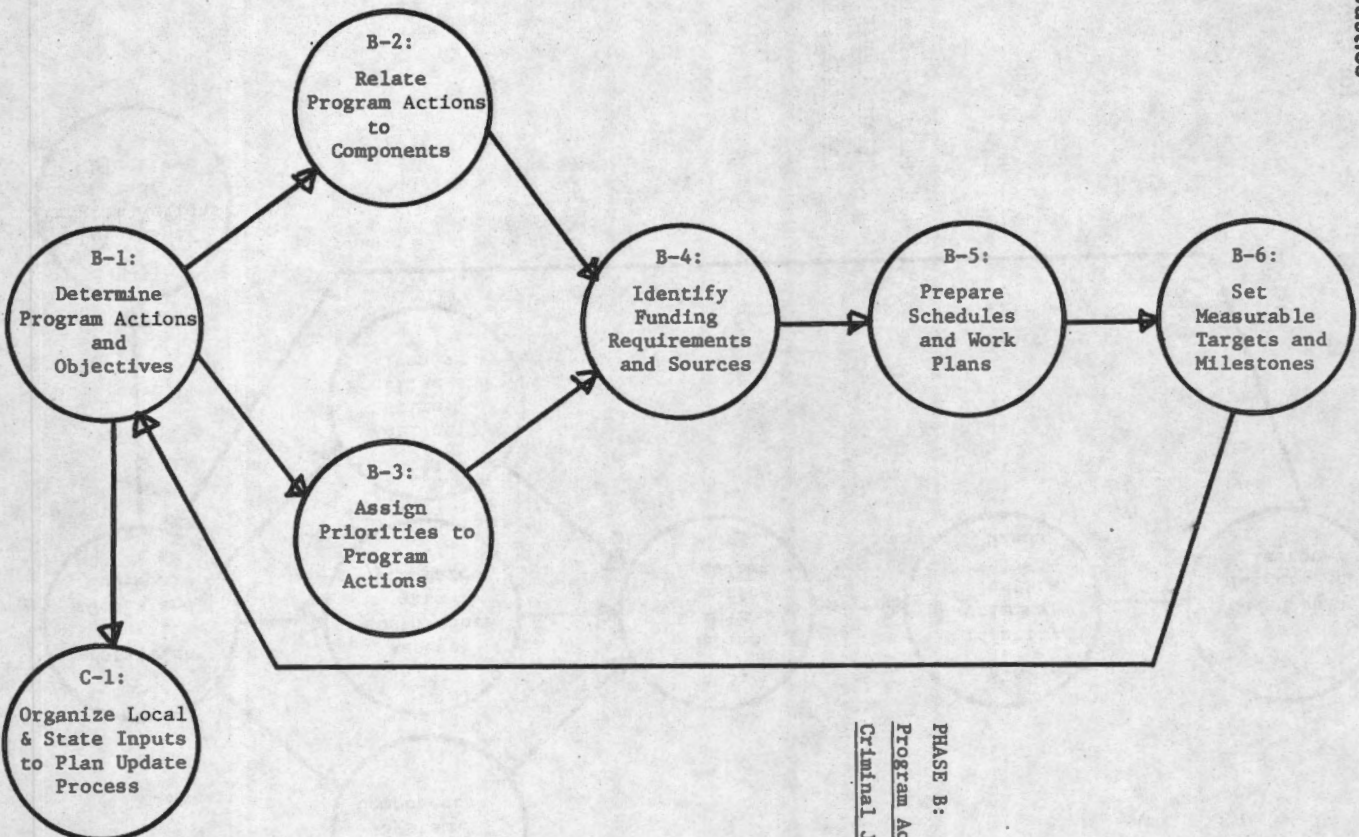
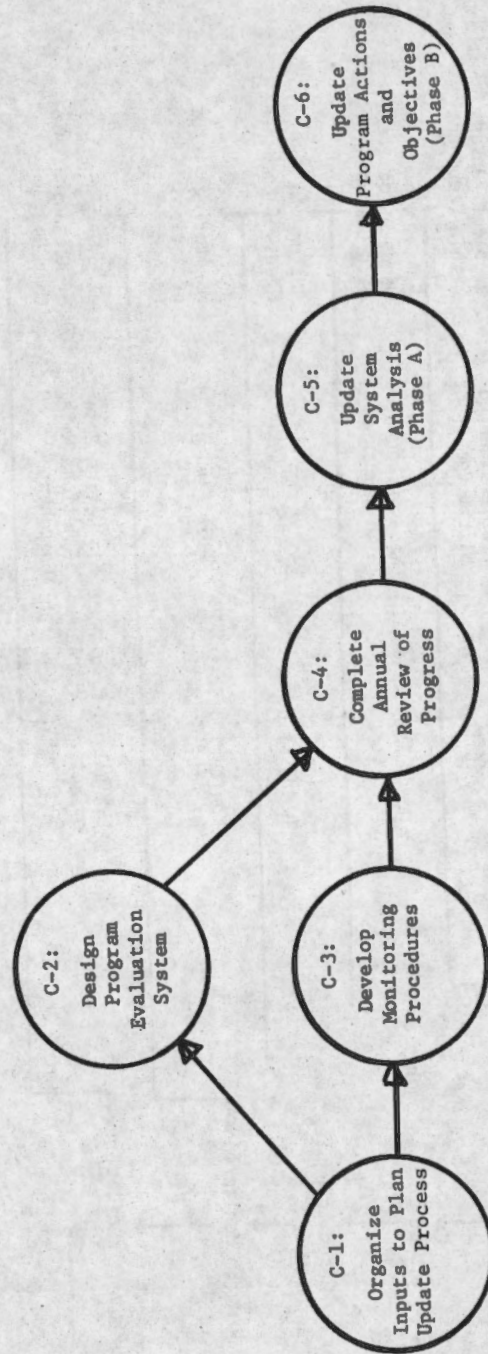


Figure 1: Overview of planning process for the development of comprehensive plans to address criminal justice system problems and needs.



PHASE B: Development of
Program Actions to Meet
Criminal Justice Needs

Figure 1: Overview of planning process for the development of comprehensive plans to address criminal justice system problems and needs (continued).



PHASE C: Continuation
of the Planning Process
to Meet Current Needs

Figure i: Overview of planning process for the development of comprehensive plans to address criminal justice system problems and needs (continued).

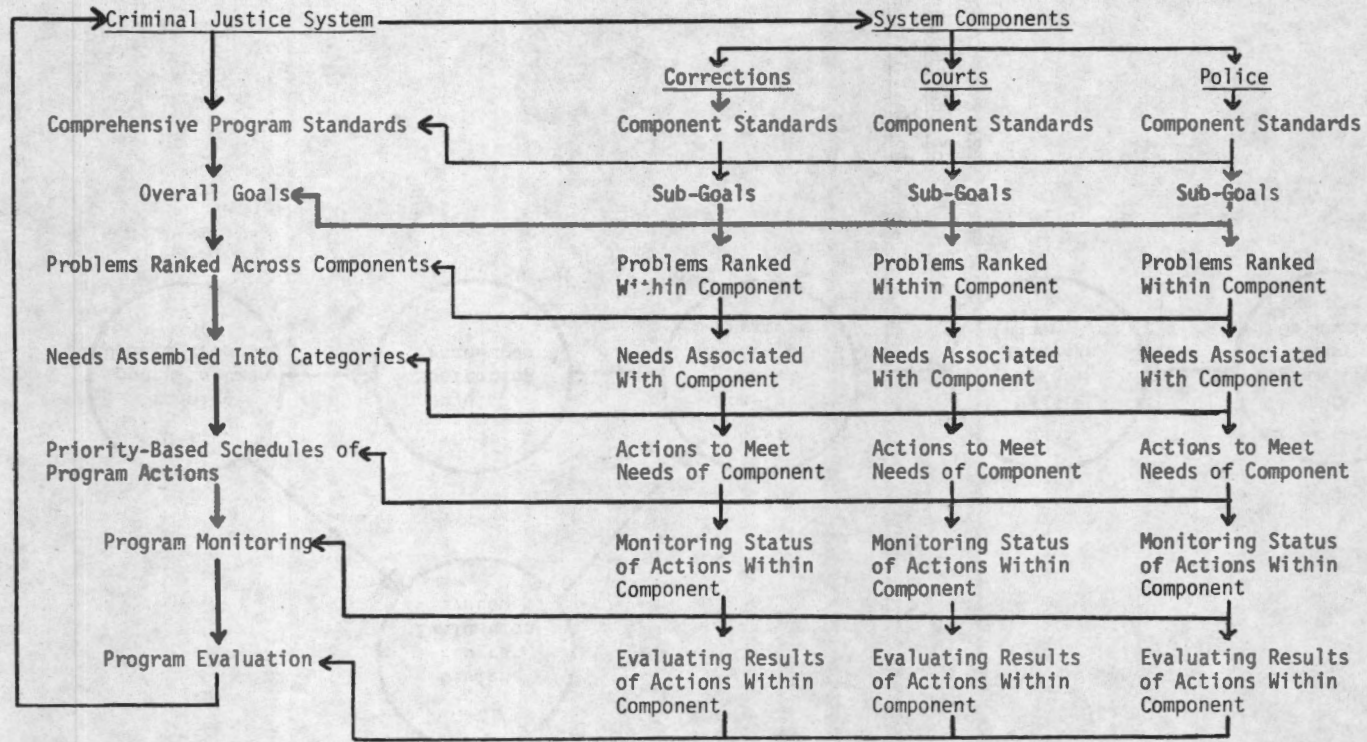


Figure ii: Component approach to criminal justice program planning process.

Table i - Examples to illustrate meanings and usage of terminology in planning criminal justice programs

(A) Overall Goal (relates to total program)	(B) Subgoal (relates to program standards)	(C) Objective (relates to program actions)	(D) Target (quantifies A or B or C)	(E) Milestone (establishes time to reach D)
To prevent and reduce crime	---	---	To reduce major crime rate by <u>25%</u>	To reach target by December 31, 1977
(same as above)	To establish an automated criminal justice information system	---	To provide all law enforcement agencies on-line access to central data files in State	To reach <u>75%</u> of target by June 30, 1977 and <u>100%</u> by June 30, 1978
(same as above)	(same as above)	To reduce response time for access so that rapid retrieval is always possible	To produce criminal history information in not more than <u>120 seconds</u>	To reach target by December 31, 1978
To prevent and reduce juvenile delinquency	---	---	To reduce juvenile crime rate by <u>25%</u>	To reach target by December 31, 1976
(same as above)	To institute intensive measures for rehabilitation of juvenile offenders	---	To provide all courts and corrections agencies with feasibility and design studies for separate facilities to house juvenile offenders in detention	To reach target by December 31, 1975
(same as above)	(same as above)	To reduce exposure of juvenile offenders apprehended and detained for a first offense to others detained who have multiple convictions for criminal acts	To construct juvenile detention facilities to separate juvenile offenders in at least <u>90%</u> of the instances in which detention is required	To reach <u>50%</u> or target by December 31, 1976, <u>75%</u> by December 31, 1977 and <u>100%</u> by December 31, 1978

Table i - Examples to illustrate meanings and usage of terminology in planning criminal justice programs (continued)

(A) <u>Overall Goal</u>	(B) <u>Subgoal</u>	(C) <u>Objective</u>	(D) <u>Target</u>	(E) <u>Milestone</u>
To enhance personal safety in all jurisdictions and communities	---	---	To reduce crimes of violence by <u>40%</u>	To reach target by December 31, 1977
(same as above)	To organize selective law enforcement strategies to deal with prevention of specific crime problems which result in bodily harm	---	To develop local crime prevention plans and programs which focus on crimes of violence in <u>all</u> communities which experience ratios of crimes of violence to all major crimes that are higher than 1 to 3	To reach target by December 31, 1976
(same as above)	(same as above)	To implement special police units which are equipped and trained to counteract potentially high opportunities for assault and robbery	To establish special patrol units in <u>30</u> cities	To reach target by December 31, 1977

- A. Analysis of Criminal Justice System Characteristics and Standards.
- B. Development of Program Actions to Meet Criminal Justice Needs.
- C. Implementation and Continuation of the Planning Process to Meet Current Needs.

A-1: Establish Overall Goals, Standards, and Subgoals

Identify overall goals for criminal justice systems and subgoals for areas related to specific standards, including the interrelationships of overall goals and subgoals.

A-2: Review System Components

Determine the operational status of corrections, courts, and police organizations, define their individual and joint functions in the system, and measure their capacities to meet current and projected workloads.

A-3: Assess Conformance with Standards

Quantify the extent to which criminal justice systems and components have progressed towards realization of expected norms.

A-4: Analyze Crime Profiles and Trends

Design survey methodology, establish sampling techniques, and conduct surveys to enable accurate analyses of crime rates and trends.

A-5: Define Criminal Justice Problems

Considering that a problem may be thought of as the differences in time and degree between existing crime conditions and expected norms, and considering results of Tasks A-2, -3, and -4, document the nature and magnitude of current criminal justice problems.

A-6: Identify Criminal Justice Program Needs

Looking at the nature and magnitude of problems documented in Task A-5, evaluate alternative approaches for preventing and reducing crime and arrange selected actions in order of priority.

A-7: Set Measurable Targets and Milestones^{1/}

Practicing principles of management by objectives, determine quantifiable values for overall goals and subgoals, identify milestones for reaching target values, and identify procedures for measuring impact of actions with respect to targets and milestones.

Feedback and Application for Phase A

On a cyclical basis, reevaluate overall goals and subgoals and utilize the outputs of Phase A in determining program actions and directions.

B-1: Determine Program Actions and Objectives

Identify program actions having reasonably high opportunity for success in relation to program needs and establish performance objectives for recommended actions.

B-2: Relate Program Actions to Components

Demonstrate the singular and/or interdisciplinary responsibilities of system components in the implementation of program actions.

B-3: Assign Priorities to Program Actions

Develop techniques for arranging program actions in order of priority through cost-benefit, cost-effectiveness, optimization, and simulation methods and/or modeling procedures.

^{1/}Task A-7 is the point at which Phase A cycle begins a new iteration.

B-4: Identify Funding Requirements and Sources

Recommend measures to coordinate program planning and budgeting cycles between levels of government as they interface in the implementation of program actions.

B-5: Prepare Schedules and Work Plans

Assist in developing priority-based schedules for implementing program actions and in supplementing schedules with work plans designed to organize steps toward program implementation through a critical time/function system. The work plans should incorporate systematic designs to provide for both substantive monitoring of program actions and subsequent evaluation of their results.

B-6: Set Measurable Targets and Milestones

Determine quantifiable values for program objectives and identify milestones for reaching target values.

Feedback and Application for Phase B

The outputs of Phase B will be utilized in accomplishing inputs to a plan update process undertaken in Phase C.

C-1: Organize Inputs to Plan Update Process

Develop a methodology for designating agency responsibilities for reporting on coverage, volume, and effectiveness measures to institute the updating of program plans.

C-2: Implement Program Evaluation System

Prepare study designs for program evaluation both with respect to secondary indicators of impact such as increased volume of activities and in relation to primary indicators of impact, such as reduced crime rates.

C-3: Implement Monitoring Procedures

Formulate methods for maintaining surveillance of progress and adequacy in implementing program actions.

C-4: Complete Annual Review of Progress

Assemble new information and data, perform analyses of the current status of needs in the criminal justice system, and document revisions required in updating program plans.

C-5: Update System Analysis (Phase A)

C-6: Update Program Actions and Objectives (Phase B)

Utilize the outputs of Phase C as instruments for initiating the next full cycle of planning for criminal justice programs in Phases A and B.

8. STATE/FEDERAL CONCURRENCE IN SELECTING A PLANNING APPROACH. The adoption of a planning approach for developing and updating a comprehensive State plan for criminal justice under provisions of Title I is a strategic decision which lays the foundation for establishing acceptability of the plan upon subsequent application for approval. To insure that a comprehensive State plan is developed and updated utilizing planning concepts which are considered to be appropriate at State and Federal levels, an SPA may wish to submit the planning approach which it intends to adopt to the RO for concurrence prior to formulation of the plan. This is a desirable step taken to avoid losses of time and funds that might be experienced if an SPA proceeds in developing a plan in a manner which later may be judged as inadequate, and therefore substantial efforts would be required to overcome deficiencies brought about through lack of early agreement on a planning approach.

CHAPTER 1. CRIMINAL JUSTICE PLANNING

Certain aspects of the planning process are fundamental to the development of adequate comprehensive State plans. This chapter addresses these matters. To insure that the language of the planning process is commonly understood, key words used in preparing comprehensive State plans are defined in appendix 1 of this manual.

PL 90-351 as amended by PL 91-644 and PL 93-83 constitutes the current status of national legislation concerning these programs and is set out in appendix 2. Because examples are useful in giving information regarding the applications of planning procedures, appendix 3A deals with typical research methodology. A case study in appendix 3B, involving the hypothetical State of Arcadia, provides an exercise to relate the planning techniques contained in this manual to Arcadia's program. Appendix 4 provides a bibliography of several major documents available for reference in gaining more detailed insight into specific subjects. Since questionnaires are fundamental for gathering information, appendix 5 presents a style for designing such instruments.

SECTION 1. PLANNING FOR LAW ENFORCEMENT AND CRIMINAL JUSTICE PROGRAMS

A first step in the fulfillment of the policy expressed in the Crime Control Act of 1973 is for State and local governments to develop and adopt comprehensive plans based upon their evaluation of State and local problems and needs.

Public Law 93-83 stipulates that the SPA and any regional planning units within the State dedicated to planning State programs must be representative of State agencies, units of local government, and other agencies maintaining programs to reduce crime. Citizen, professional, and community organizations may also be included. The SPA is to be created or designated by the Governor of a State and is to be subject to his jurisdiction.

1. SYSTEMATIC ANALYSIS. The SPA is encouraged to utilize systematic analysis of State problems and needs, leading to the establishment of priority-ranked countermeasures. A systematic analysis should involve the activities listed below:

- a. Determination of a target, to be expressed in time and in estimated impact, relative to the overall goals of preventing and reducing crime, improving criminal justice, and insuring public safety;
- b. Selection of a planning approach;
- c. Establishment of State standards and subgoals for such standards;
- d. Identification of problems representative of differences between values in the subgoals set for standards and in existing conditions, together with the ranking of problems in relation to estimated impact on the overall goal;
- e. Definition of groupings in which to subdivide program activities;
- f. Analysis of program needs stemming from problem identification within the context of the functional categories for program activities;
- g. Formulation of priority-ranked program areas for activities to be aggregated under groupings;
- h. Programming of projects to be implemented under each program area; and
- i. Assessment of progress, coupled with the evaluation of results of completed activities, as inputs to future decisions concerning program directions.

The SPA may, in an executive summary of the comprehensive State plan, describe briefly how the planning process has been organized to reflect the above nine elements in a systematic analysis of State problems and needs, leading to a priority-based plan for program activities.

2. INTERGOVERNMENTAL PLANNING. The SPA is responsible for developing a coordinated priority improvement program for statewide application. This responsibility, in turn, necessitates inputs to program planning and implementation by local governments. With regard to

preparation of a comprehensive State plan, PL 93-83 provides that funds be made available to SPA's for this purpose; however, it stipulates that at least 40 percent of these Federal funds for any fiscal year be available to units of local government or combinations of such units to enable them to participate in the formulation of the comprehensive State plan. PL 93-83 specifically states that the SPA must assure that major cities and counties receive planning funds to develop comprehensive State plans and to coordinate functions at the local level. However, the requirement for local participation may be waived by the RO, in whole or in part, if it decides that the requirement is not appropriate for the system planning responsibilities exercised by a particular State.

Additionally, LEAA is authorized to provide funds through SPA's for the establishment of a Criminal Justice Coordinating Council for any unit of local government or combination thereof, having a population of 250,000 or more, to assure improved planning and coordination of all State activities.

LEAA is further authorized to provide funds through SPA's for the establishment of interstate metropolitan regional planning units to prepare and coordinate plans of State and local governments and agencies concerned with regional planning for metropolitan areas.

3. PLANNING REQUIREMENTS. PL 93-83 section 601 (M) defines the term "comprehensive" as meaning that the plan must: 1) constitute an integrated analysis of the problems regarding the system within the State and 2) establish goals, priorities, standards, and resources necessary to accomplish crime prevention, suspect identification, detection, and apprehension, together with adjudication, custodial treatment, and institutional and noninstitutional rehabilitative measures.

PL 93-83 particularly outlines the following requirements for a comprehensive State plan:

- a. The plan must provide for the allocation of adequate assistance to deal with problems in areas characterized by both high crime incidence and high law enforcement and criminal justice activity.
- b. It must include a comprehensive program, whether funded under this title or not, for the improvement of juvenile justice.

- c. It must provide for the administration of LEAA grants by the SPA.
- d. It must provide that at least the percentage of Federal assistance granted to the SPA which corresponds to the State and local expenditures funded and spent during the preceding fiscal year by units of general local government will be made available to such units in the fiscal year immediately following. This funding will be used for the development and implementation of programs and projects for the improvement of law enforcement and criminal justice. With respect to these programs/projects, the State must provide in aggregate not less than one-half of the non-Federal funding.
- e. It must take into account the needs and requests of the units of general local government and encourage local initiative in the development of programs and projects for improvements in law enforcement and criminal justice. It must also provide for an appropriately balanced allocation of funds both between the State and units of general local government and among the local units.
- f. It must provide procedures under which plans to use funds received to carry out a comprehensive plan consistent with the State comprehensive plan may be submitted to the SPA for approval or disapproval, in whole or in part, annually from local governments or combinations thereof having a population of at least 250,000.
- g. It must incorporate innovations and advanced techniques and contain a comprehensive outline of priorities for the improvement and coordination of all aspects of law enforcement and criminal justice dealt with in the plan, including descriptions of:
 - general needs and problems
 - existing systems and standards
 - available resources
 - organizational systems and administrative machinery for implementing the plan
 - the direction, scope, and general types of improvements to be made in the future
 - to the extent appropriate, the relationship of the plan to other relevant State or local law enforcement or criminal justice plans and systems.

- h. It must use existing facilities effectively and must permit and encourage local units of government to combine or cooperate in using services, facilities, and equipment.
- i. It must provide for research and development.
- j. It must provide for review of SPA actions in disapproving an application for which funds are available or terminating or refusing to continue financial assistance to units of local government or combinations thereof.
- k. In the plan, both the State and units of local government must demonstrate willingness to assume the costs of improvements funded under this part after a reasonable period of Federal assistance.
- l. The State must show willingness to give technical assistance or services for programs and projects contemplated by the statewide comprehensive plan and those contemplated by units of local government or combinations of such units.
- m. The plan must outline policies and procedures which will assure that these funds will not replace State or local funds, but rather will increase the amounts of funds available for law enforcement and criminal justice.
- n. The plan must provide for accounting, auditing, monitoring, and evaluating procedures to assure proper management, etc., of these funds.
- o. The plan must provide for the maintenance of such data and information and for the submission of such reports as reasonably required by the National Institute for Law Enforcement and Criminal Justice.
- p. It must provide funding incentives to units of local government that coordinate or combine law enforcement and criminal justice functions or activities with other such units for the purpose of improving law enforcement and criminal justice.
- q. It must provide procedures that will insure that:
 - All applications by units of local government or combinations to any SPA will be approved or disapproved,

in whole or in part, within 90 days of receipt by SPA. If disapproved, an application must be returned with reasons for disapproval, including the reasons for disapproval of each fairly severable part of the application.

- If any part is not disapproved (and returned, etc.) within 90 days, that part shall be considered approved and the funds shall be disbursed by the SPA.
- To be effective, the reasons for disapproval must contain a detailed explanation of why the application or parts of the application were disapproved, or an explanation of what supporting material is necessary for the SPA to evaluate the application.
- Disapproval of any application or part of an application shall not preclude its resubmission at a later date.

PL 93-83 provides further that:

- a. No funds allocated to the States on the basis of population can be awarded to a program or project which is not contained in an approved plan.
- b. No plan shall be approved as comprehensive unless it establishes statewide priorities for the improvement and coordination of all aspects of law enforcement and criminal justice; and to be comprehensive it must also consider the relationships of system activities to related activities being carried out under other Federal programs.
- c. A comprehensive plan must consider the general types of improvements to be made in the future including the following: the effective utilization of existing facilities, the encouragement of cooperative arrangements between units of local government, innovations and advanced techniques in the design of institutions and facilities, and advanced practices in the recruitment, organization, training, and education of system personnel.
- d. The plan must thoroughly address improved court and correctional programs and practices throughout the State, if a State wishes Part E funds.

- e. In order to receive a grant for correctional institutions and facilities, the comprehensive State plan must:
- Set forth a comprehensive statewide program for the construction, acquisition, or renovation of correctional institutions and facilities in the State and for the improvement of correctional programs throughout the State;
 - Assure that the control of the funds and title to property will be in a public agency and that a public agency will administer the funds and property;
 - Assure that the availability of funds for construction, etc., does not reduce the amount of funds that a State would otherwise have allocated for developing correctional institutions and facilities;
 - Provide emphasis on the development and operation of community-based correctional facilities and programs, including diagnostic services, halfway houses, etc.;
 - Provide for advanced techniques in the design of institutions and facilities;
 - Provide, where feasible and desirable, for sharing correctional institutions and facilities on a regional basis;
 - Assure that personnel standards and programs of the institutions and facilities will reflect advanced practices;
 - Assure that the State is engaging in projects and programs to improve the recruiting, organization, training, and education of personnel employed in correctional activities, including those of probation, parole, and rehabilitation;
 - Arrange for the development and operation of narcotic and alcoholism treatment programs in correctional institutions and facilities and in connection with probation or other supervisory release programs for all persons;
 - Comply with all other requirements for the comprehensive State plan;

- Provide for accurate and complete monitoring of the progress and improvement of the correctional system, to include rate of prisoner rehabilitation and rates of recidivism in comparison with previous performance of the State or local correctional system and current performance of other State and local prison systems not included in this program.
 - Provide that State and local governments shall submit such annual reports as LEAA may require.
4. SELECTION OF PLANNING APPROACH. In preparing the comprehensive State plan, the SPA may utilize one of the following alternative approaches to planning or a combination of these approaches:
- component,
 - functional, and
 - delivery systems.

A fourth approach, crime-specific planning, has received substantial acceptance when selected major crimes, e.g., burglary, occur to a high degree in certain locales, and specially directed activities are warranted to focus on these crimes exclusively. Crime-specific planning may be an ingredient of a comprehensive State plan to address unique needs of a State or of its local governments. However, it is suggested that the use of crime-specific planning be adapted to supplement or to augment a plan conceived in either a component, functional, or delivery systems approach. The SPA may select one of these basic planning approaches in preparing its State plan and may elect to incorporate crime-specific treatment as an added technique to bring segments of the plan to bear on certain crimes. The overriding variance in the component, functional, and delivery systems approaches lies in the first order distribution of the total comprehensive State plan into planning elements. Figure 1-1 illustrates the basic alternative planning approaches model and major elements of each approach. They are:

Component Approach

- police
- courts
- corrections

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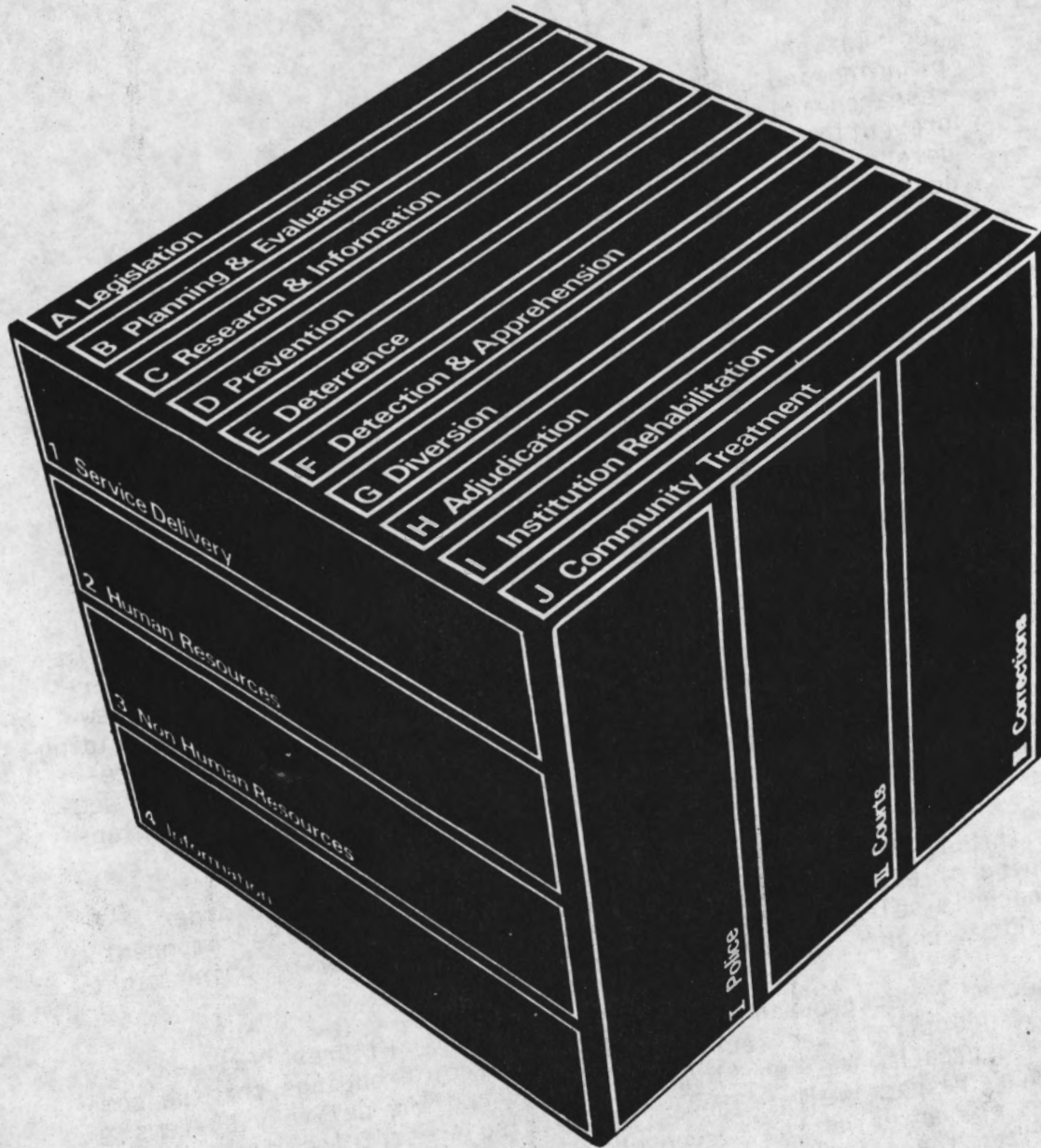


Figure 1-1: Alternative planning approaches model.

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Functional Approach

- legislation
- planning and evaluation
- research and information
- prevention
- deterrence
- detection and apprehension
- diversion
- adjudication
- institutional rehabilitation
- community treatment

Delivery Systems Approach

- service delivery
- human resources
- nonhuman resources
- management information

A State may also opt to create its own hybrid approach from a combination of these suggested approaches in order to best address its particular needs. In addition, a State is free to adopt a totally new planning approach other than those discussed in this manual, providing this approach will result in a plan which meets all of the requirements of PL 93-83 and Guideline Manual M4100.1C. However, it is suggested that a State consult with the RO before adopting such a planning process.

Once the SPA has selected its primary approach, the first order grouping of elements is established. For example, if the component approach is selected, the elements of the first order grouping might be police, courts, and corrections.

The second order groupings are then addressed. Figures 1-2, 1-3, and 1-4 illustrate the second and higher order groupings for the component approach, the functional approach, and the delivery systems approach, respectively. These figures also present the two primary avenues for entering the second order plan segments. The table below summarized the structure of first order groupings, second order segments, and the parameters for determining plan content in each of the three approaches.

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Figure 1-2: Component approach.

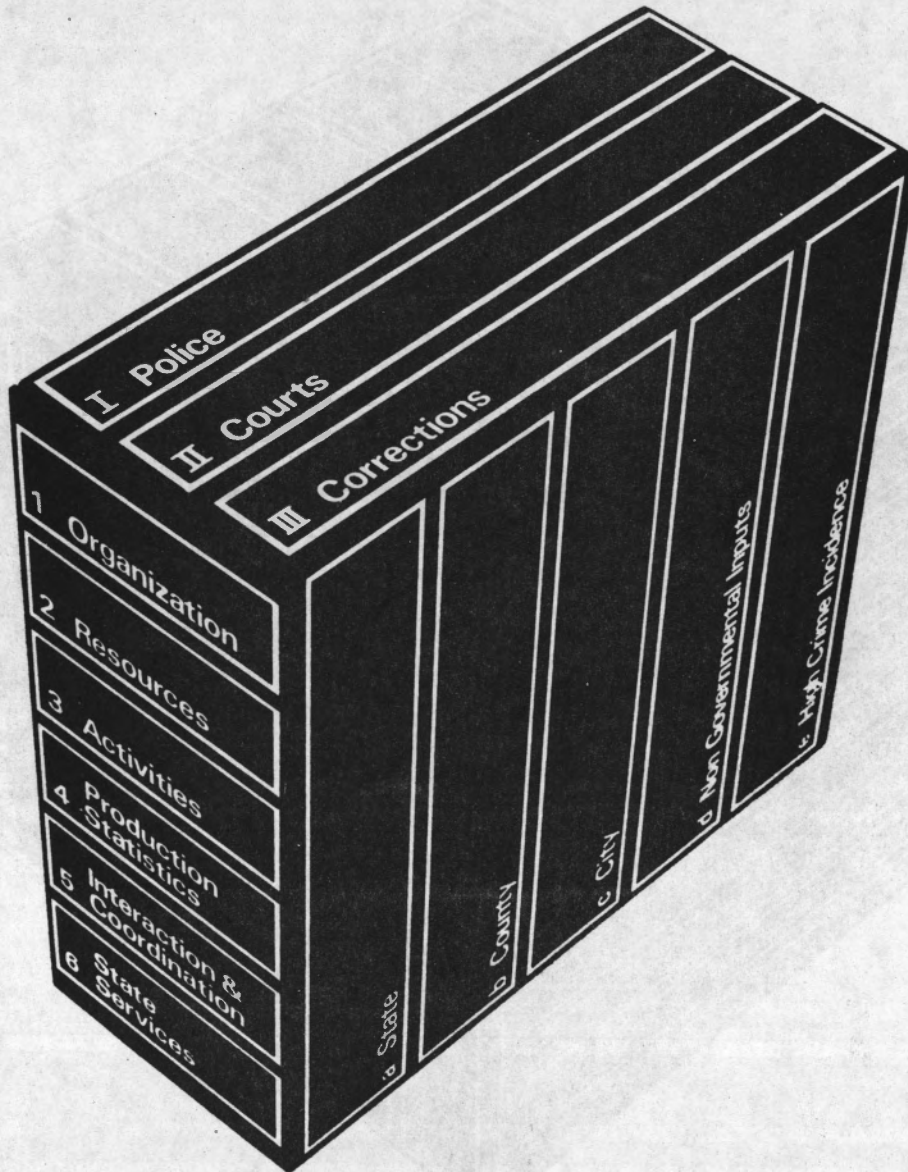


Figure 1-3: Functional approach.

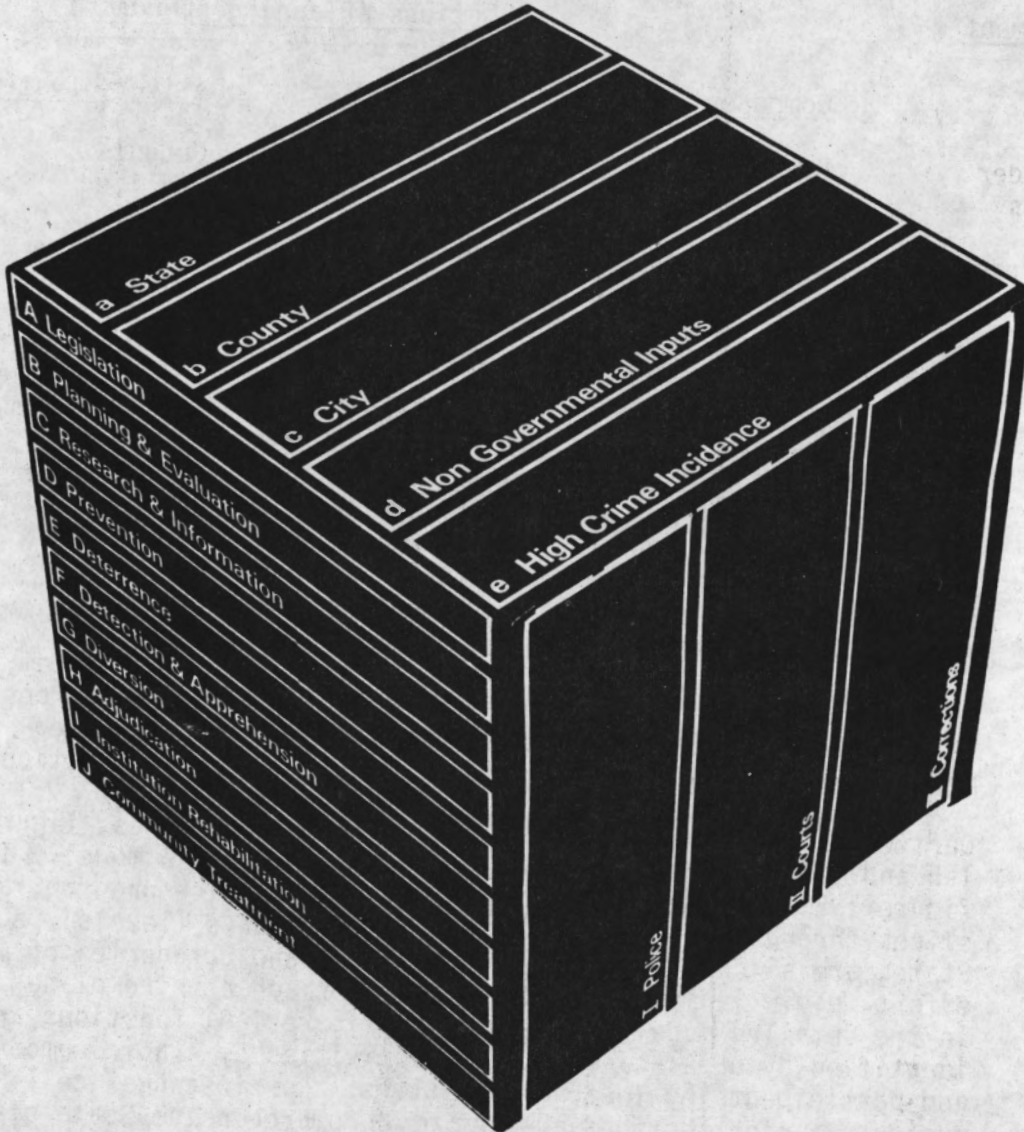


Figure 1-4: Delivery systems approach.

Comparison of Planning Approaches

<u>Plan Element</u>	<u>Options (Planning Approach)</u>		
	<u>Component</u>	<u>Functional</u>	<u>Delivery Systems</u>
First Order Groupings	Disciplines Involved	Categories of Efforts	Outputs Realized
Second Order Segments	Categories of Efforts	Disciplines Involved	Disciplines Involved
Parameters for Activities	Coverage and Levels of Attention	Coverage and Levels of Attention	Categories of Efforts, Levels of Attention, and Coverage

- a. Indexing. The SPA may opt to outline the planning approach utilized in plan formulation in an executive summary of its comprehensive State plan and may provide a cross-reference guide to trace major elements of the plan through pages of chapters and sections dealing with the same major element. A convenient, simple way for an SPA to apply an index system to major plan elements for cross reference and summary purposes is to use a three-dimensional model which characterizes segments of the planning process and shows points of interaction.

Derived as extensions of the basic planning approaches, figures 1-5 and 1-6 illustrate a typical concept for such a model. In figure 1-5, components of the system, e.g., police program, are slices through one plane of a cube; participants (levels), e.g., State, are slices through a second plane; and categories of effort, e.g., legislation, are slices through a third plane. In the detailed model represented by figure 1-6, functions are identified by upper-case letters, activities by arabic numbers, and participants by lower-case letters. For instance, cell number A3a might be the segment of a comprehensive State plan that groups all drafting of legislation at the State level. An example of a law to be enacted under this plan segment might be to establish statewide the rights of arrest for police pursuing suspects into adjoining jurisdictions.

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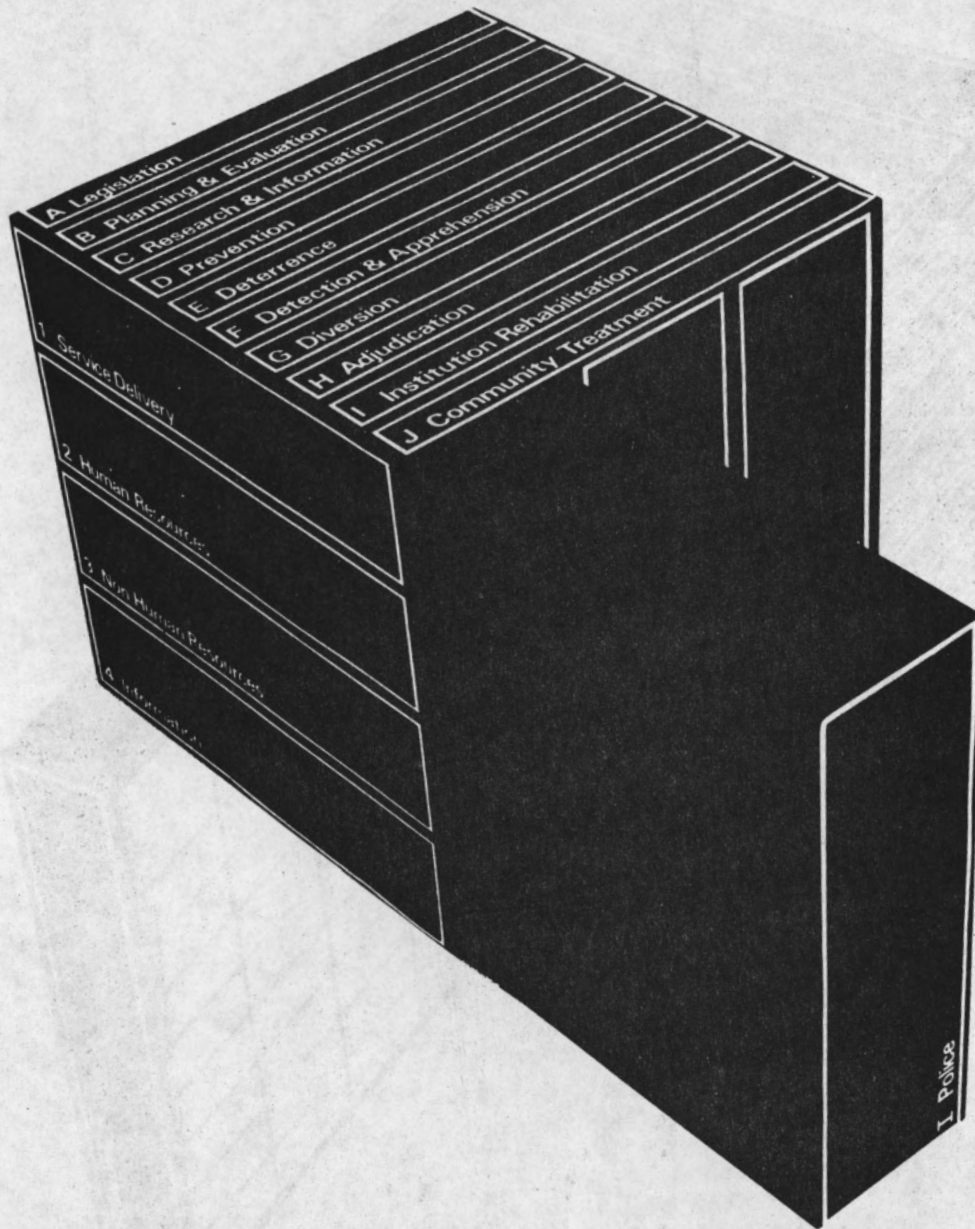


Figure 1-5: Interaction of police component with functional categories and delivery systems.

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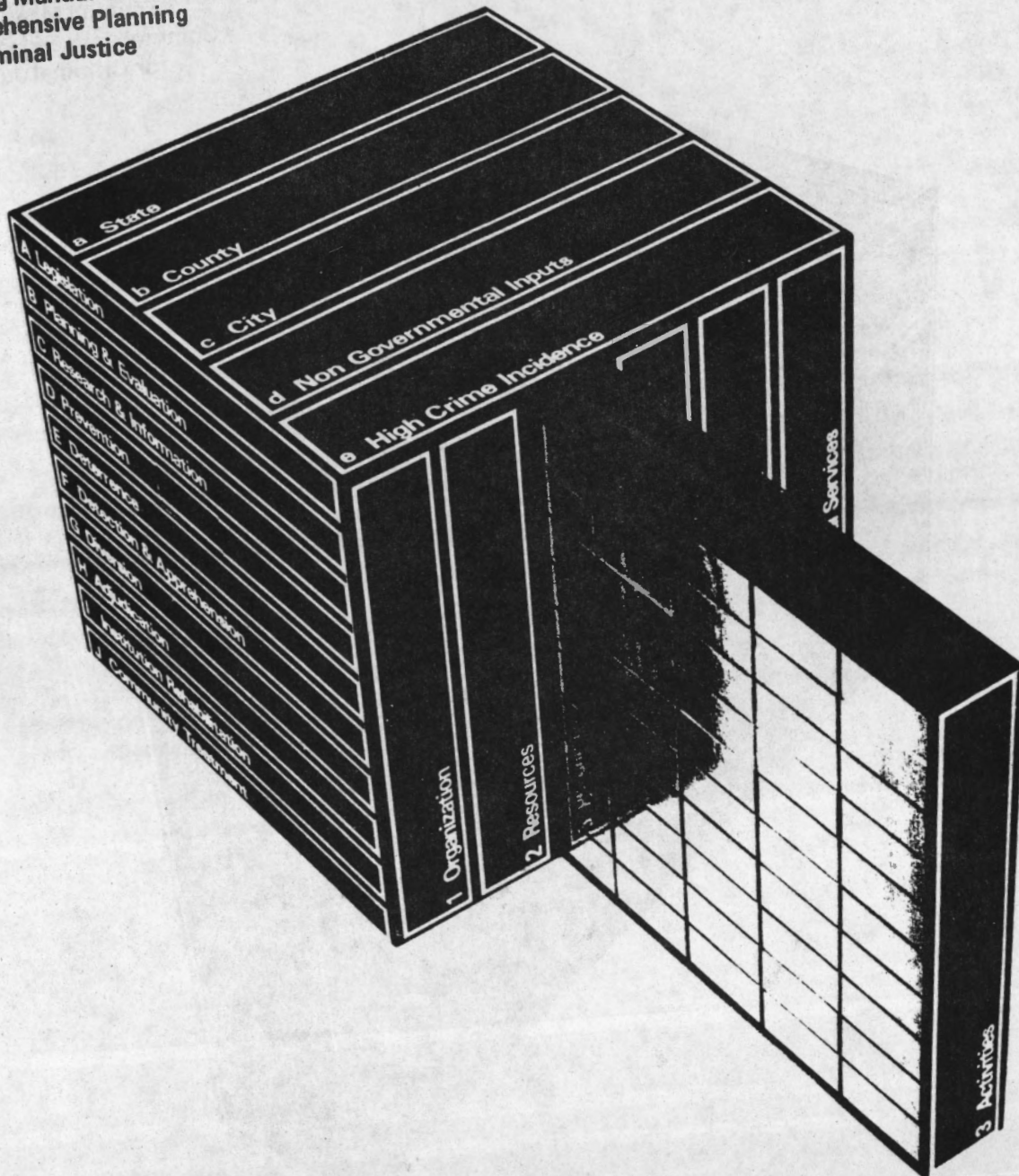


Figure 1-6: Interaction of coverage with levels of attention and functional categories.

A complete indexing system could include five elements, for example: IA1.a(1), where

- I indicates the component
- A indicates the functional category
- 1 indicates the delivery system
- a indicates the level of attention
- (1) indicates the coverage element

- b. Content. The classifications within the alternative planning approaches previously discussed are not all inclusive. The SPA may find that other elements are necessary or that the classification scheme may be better structured to meet the State's need.

Figures 1-7 and 1-8 illustrate the sequence of detail to insure full coverage of an element in the comprehensive plan. Figures 1-9 and 1-10 provide more insight into the types of program activities contemplated in functional categories under each planning strategy. The SPA, after selecting a planning strategy which will be utilized in its comprehensive State plan, may wish to document in an executive summary how its planning process for State programs is designed to fit the steps called for in the respective approach followed. Figure 1-11 illustrates the types of activities in various functional categories of the plan. Figures 1-12, 1-13, and 1-14 show the steps and typical outputs of component, functional, and delivery systems approaches.

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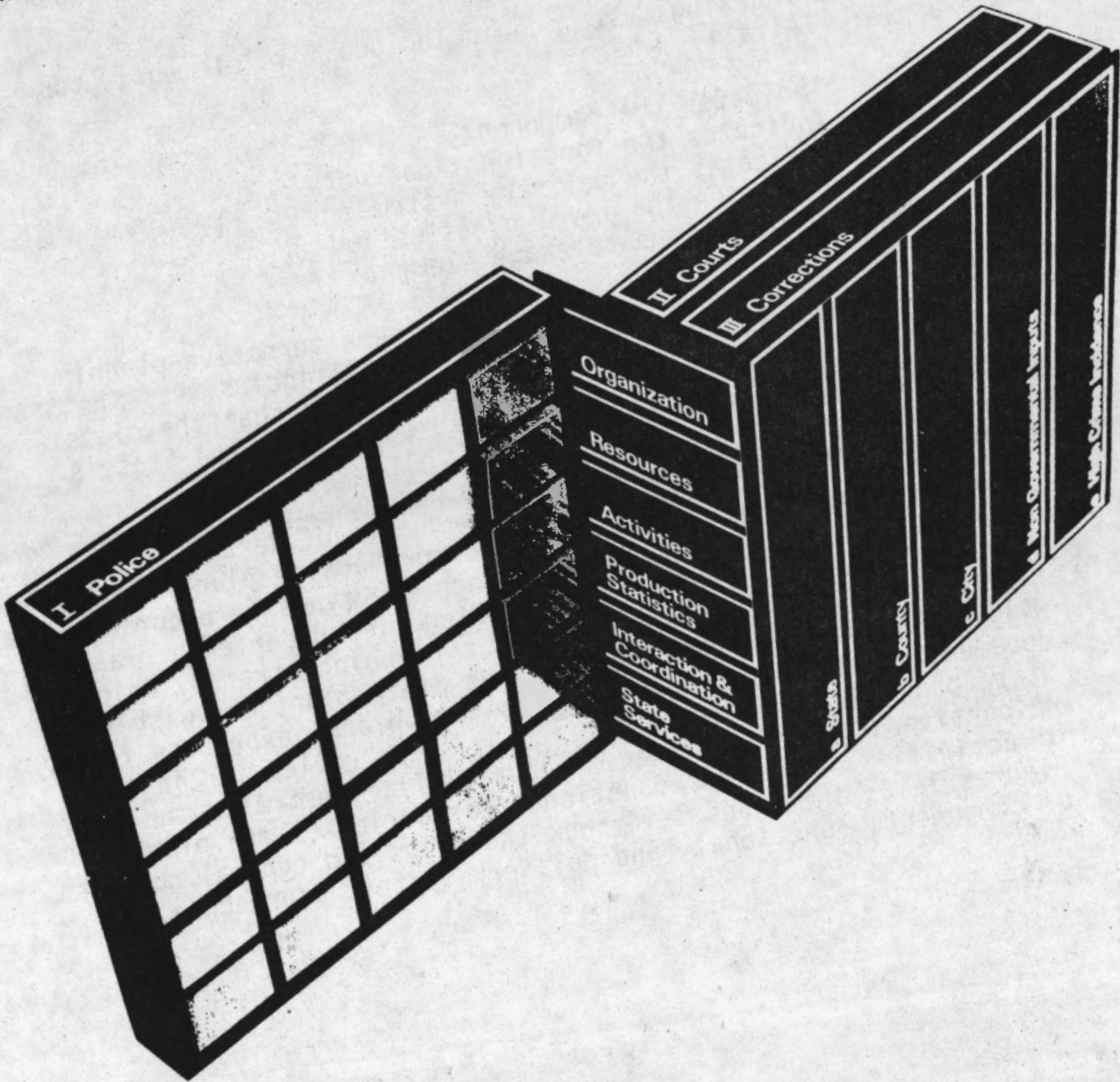


Figure 1-7: Interaction of police component
with coverage and levels of attention.

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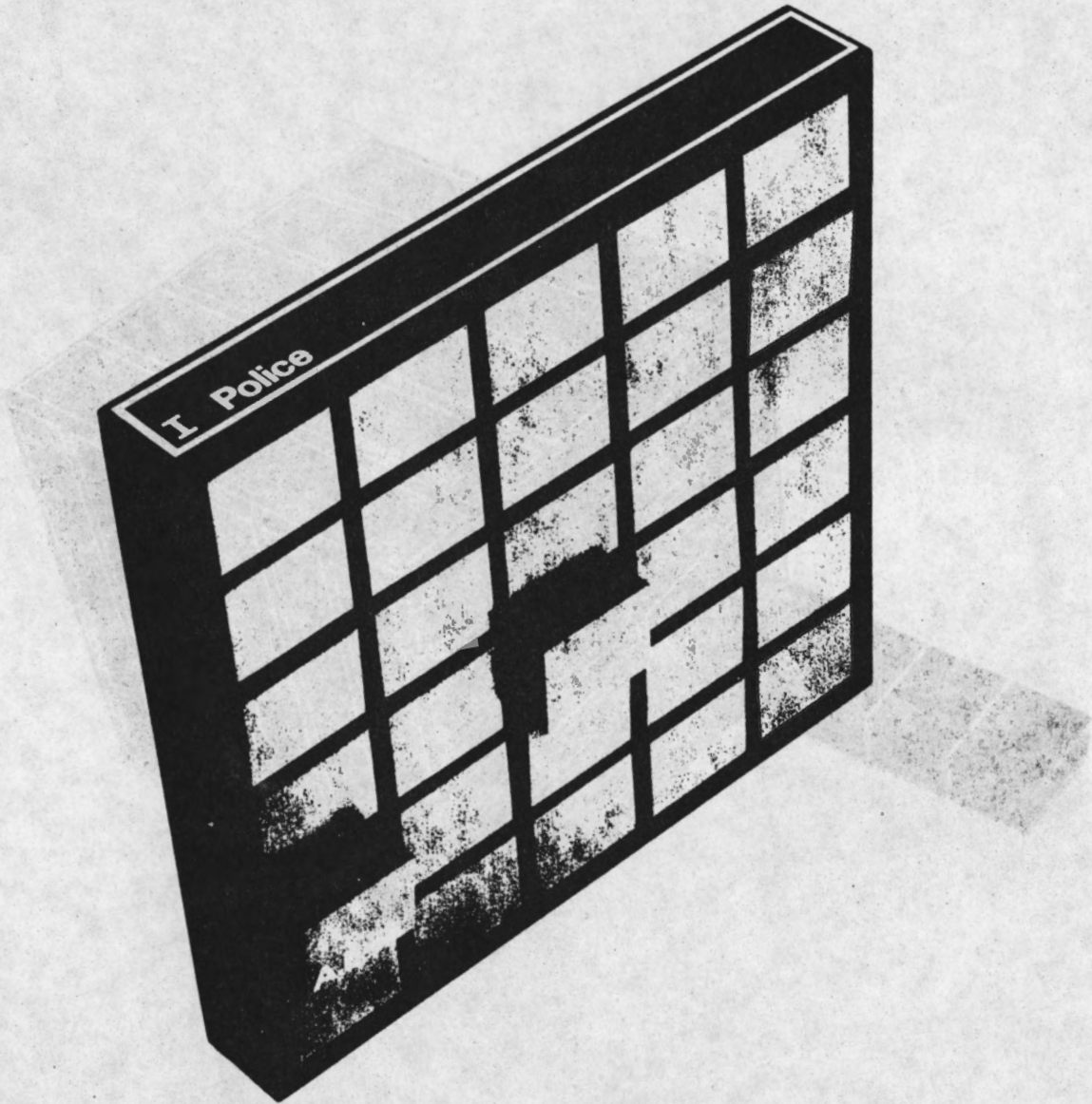


Figure 1-8: Police component related to
selected coverage and levels of attention.

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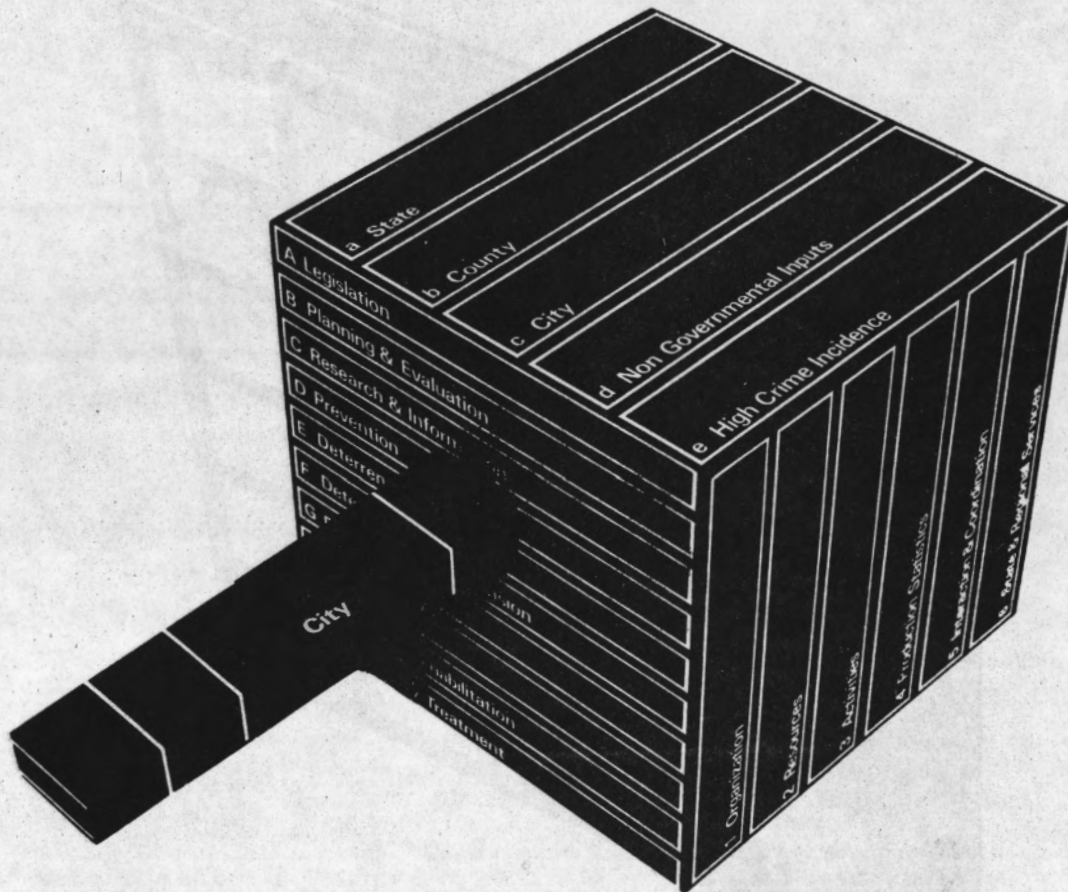


Figure 1-9: Functional category of prevention
related to levels of attention coverage.

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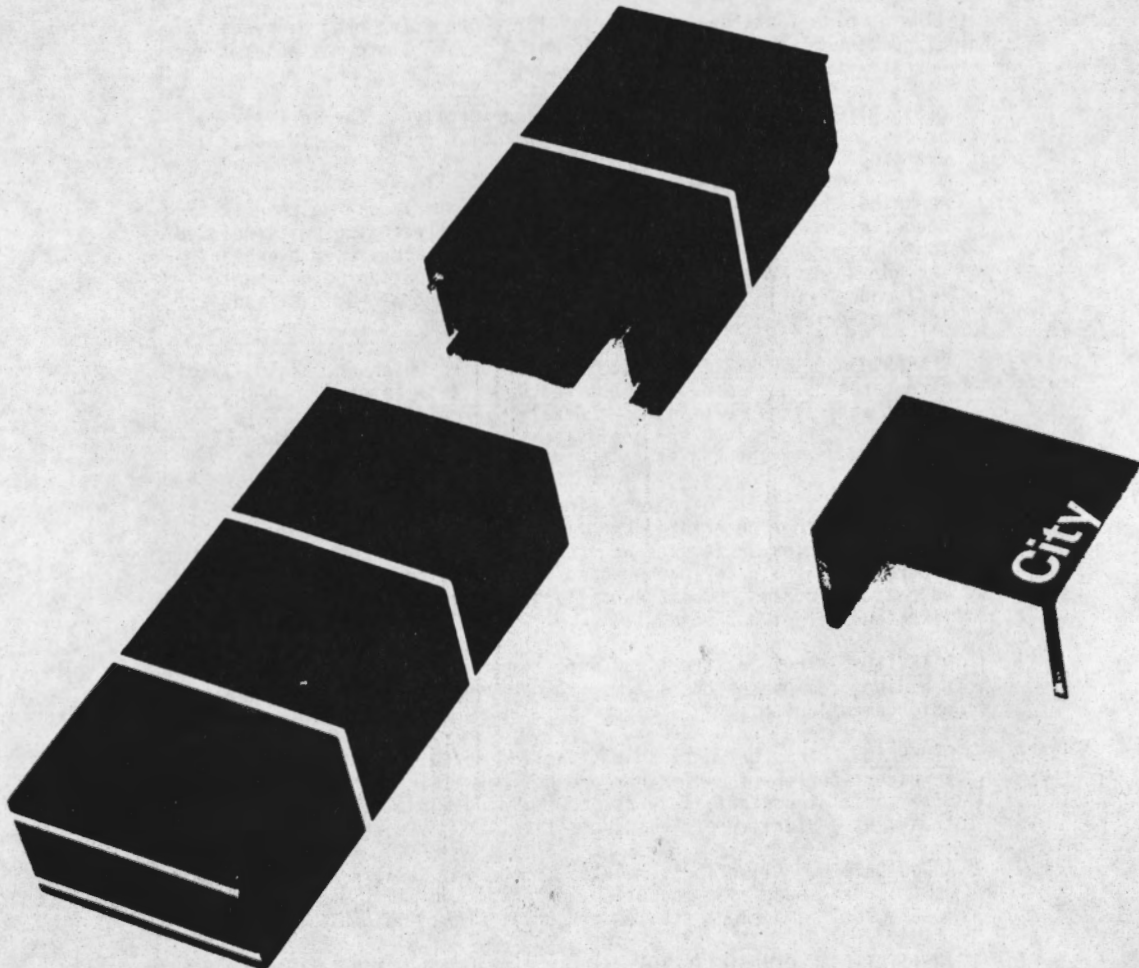


Figure 1-10: Interaction of city element with specific functional category and coverage elements.

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Figure 1-11: Functional categories.

The following nine functional categories for aggregating program needs in criminal justice plans are suggested in M4100.1C. A State may adopt these or may create its own functional categories.

1. LEGISLATION. Activities which relate primarily to the legislative process. Include such things as legislative research, liaison, drafting, and code revision.
2. PLANNING AND EVALUATION. Activities of Criminal Justice Coordinating Councils and interstate metropolitan regional planning units related to the general process of program development and system overhead. Include grant administration, monitoring, evaluation, management assistance, guidelines development, and support of regional and local planning.
3. RESEARCH AND INFORMATION SYSTEMS. Activities which are basically of a research nature should be reported under this category. Also, report activities relating to general information systems, data collection, reporting, and analysis as performed by other than an operating agency of the State system.
4. PREVENTION. Efforts aimed at crime prevention used in its broad context, whether undertaken by criminal justice or noncriminal justice agencies. Examples would include: police-community relations programs, juvenile delinquency and youth services bureaus, drug education programs, public education, counseling services or the like, and target hardening.
5. DETECTION. Include direct law enforcement functions such as police training, communications systems, command and control, and special enforcement units.
6. DIVERSION. This category should include activities designed primarily to divert persons from further processing within the State system after initial contact, such as job training and placement, drug treatment centers, pretrial disposition.
7. ADJUDICATION. All efforts related to the adjudicative process should be included, such as prosecution, defense, and court operations and management (management studies of docket flow, judicial training).
8. INSTITUTIONAL REHABILITATION. Include programs which take place within an institutional setting. In addition to construction or renovation, include education, counseling, staff or inmate training.
9. NONINSTITUTIONAL REHABILITATION. Include those rehabilitative efforts which take place outside the conventional institutional setting, for example, parole and probation activities, work release, halfway houses, and job training and placement.

Figure 1-11: Functional categories.

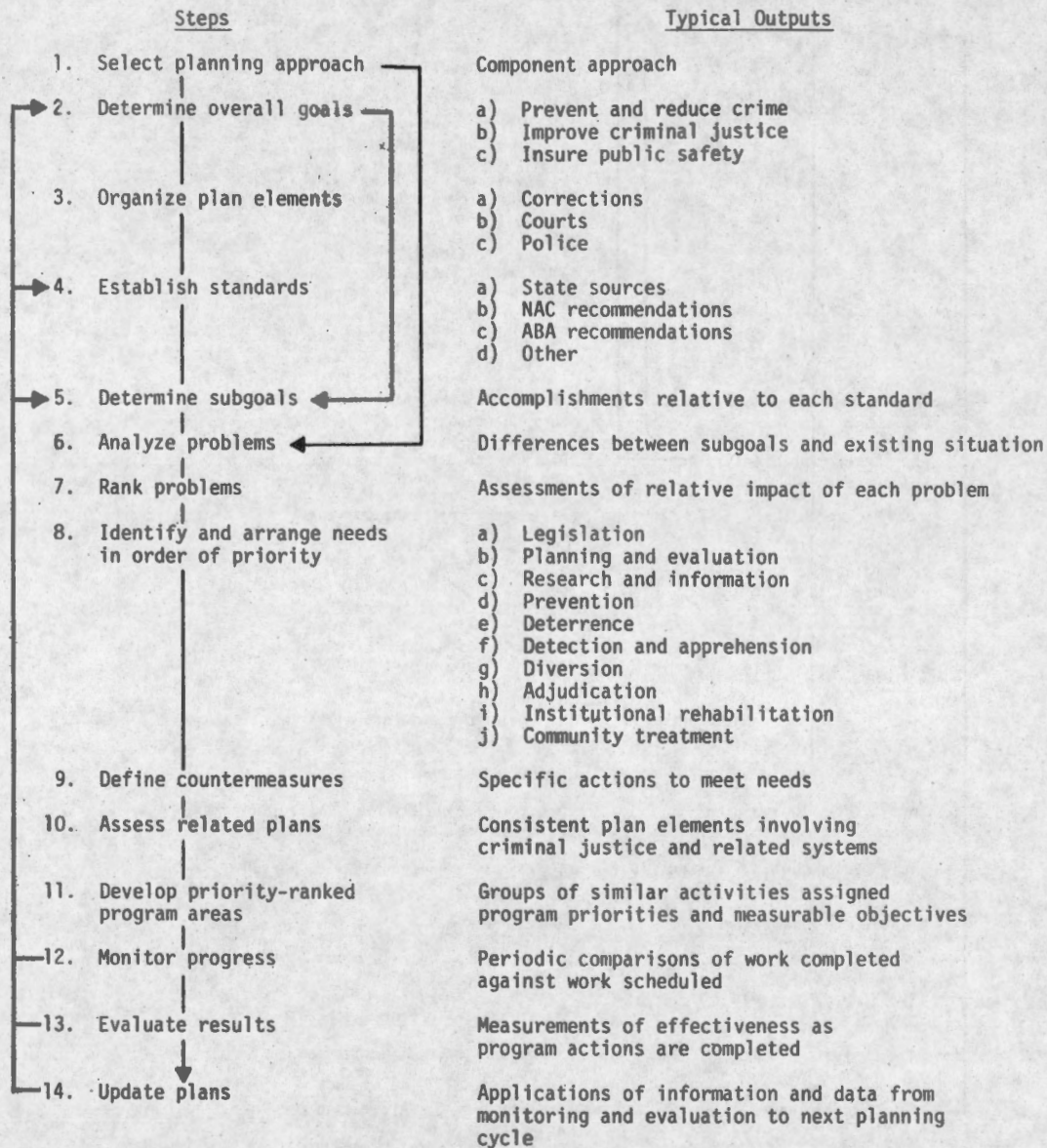


Figure 1-12: Steps in component approach to criminal justice planning.

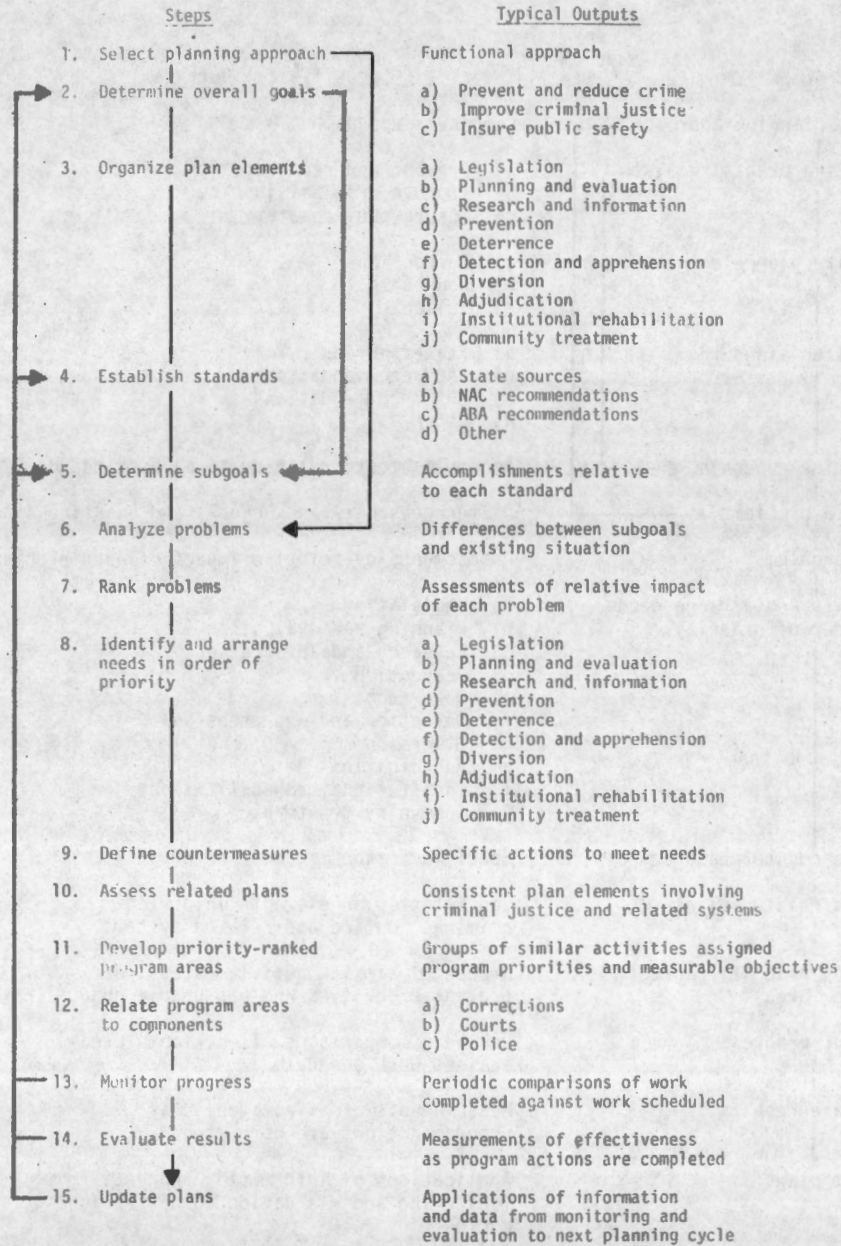


Figure 1-13: Steps in functional approach to criminal justice planning.

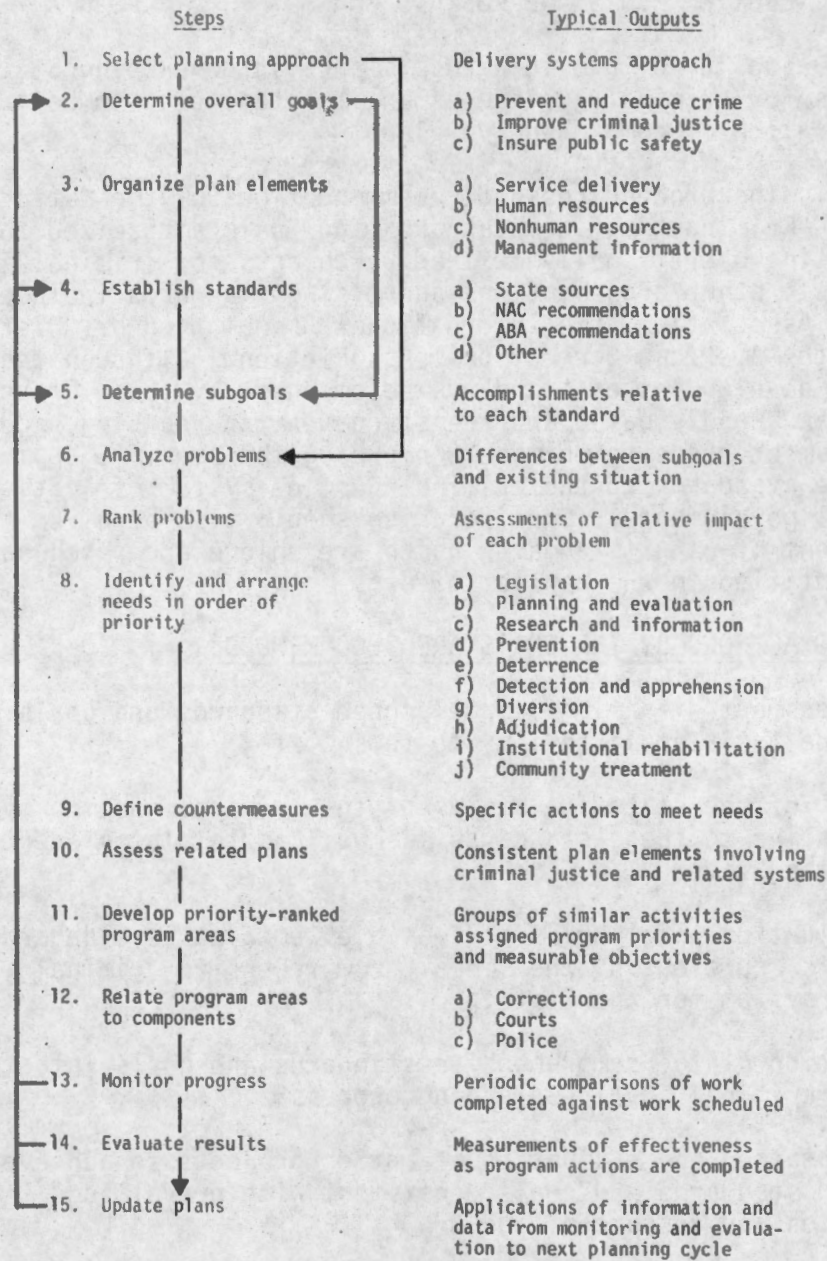


Figure 1-14: Steps in delivery systems approach to criminal justice planning.

SECTION 2. STANDARDS AND GOALS

The RO has adopted a policy of providing assistance in developing State standards and goals for criminal justice as an important step to be taken early in the preparation of comprehensive plans.

1. CONTRIBUTORS. The proceedings and recommendations of the National Commission on Criminal Justice Standards and Goals emphasized the need for setting operationally defined benchmarks for criminal justice agencies. Other organizations addressing standards include the American Bar Association, the International Association of Chiefs of Police, and the American Correctional Association. Although the input into the development of standards recommended by these groups and others was broadly based and the standards far-reaching, additional assessment needs to be made concerning the specific applicability of the standards to the criminal justice system of a State and its local governments. Consideration should also be given to the development of other standards which are unique and which have not been identified in the earlier efforts.
2. THE FOLLOWING ACTIONS BY THE SPA'S ARE RECOMMENDED:
 - a. The assessment of nationally developed standards and goals to determine their applicability to this State;
 - b. Analysis of the statewide status of the criminal justice system relative to these standards, as well as to others identified within the State;
 - c. Identification of a series of feasible, obtainable standards and goals representing the "ideal" comprehensive criminal justice system for the State;
 - d. Integration of the comprehensive standards and goals into the State's criminal justice planning process;
 - e. Implementation and evaluation of action projects to achieve selected standards and goals consistent with prevailing priorities and resources; and,
 - f. Continuous reassessment and updating of "ideal" system and standards and goals.

In this regard, the National Advisory Commission has proposed that SPA's consider a two-level attack on five crimes. First, the rate of "high-fear" (stranger-related) crimes should be cut in half by 1983. Second, regardless of whether the crime is committed by a relative or acquaintance or by a stranger, the crime rates should be cut by 1983 by the following proportions:

- a. Forcible rape - at least 25 percent;
- b. Aggravated assault - at least 25 percent;
- c. Robbery - at least 50 percent; and
- d. Burglary - at least 50 percent.

3. CRITERIA AND PURPOSE. A common flaw in many plans stems from the failure to address an initial task in the planning process--the specification and development of standards and goals. With the specification of clear standards and goals, precise direction is given to the program/project, frustration is reduced, and the likelihood of a project's success is increased.

Planning is the process in which members of complex organizations, working in conjunction with one another, identify common goals and coordinate their efforts toward achieving them. Emphasis is on the future and change, since a goal is a state or condition to be achieved at some future time. In coordinating their activities to achieve the overall goal of crime reduction, it is recommended that members of the SPA or its advisory board focus upon the goals they would assign to the functional categories. Emphasis is on where the organization is going--the what and the how of its intended accomplishments.

A goal is the end toward which effort is directed. It is the purpose of planned actions. At its highest level in a complex organization, a goal is a general statement of purpose and direction. However, when coupled with a target or set of targets, the desired accomplishments which provide direction to the organization become specific.

For example, the overall goals of the criminal justice system are to prevent and reduce crime, to improve criminal justice programs, and to insure public safety. These overall goals may be further specified by setting targets for realization by certain milestone points in time of performance, as suggested below.

<u>Overall Goal</u>	<u>Target</u>	<u>Milestone</u>
To prevent and reduce crime	Twenty percent decrease in crime rate	By 1976
To improve criminal justice programs	Separate facilities for juvenile detention	By 1977
To insure public safety	Special patrols in high crime areas	By 1975

The overall goal is a broad statement of purpose which must be operationalized. One begins to operationalize the overall goal by establishing a target; a specific level and time period for goal attainment. However, to make the overall goal more workable, sub-goals must be assigned to each program standard. This defines the specific end to be sought in each standard.

Goals are not substitutes for plans; instead, they provide a basis for developing them. Stating goals accomplishes the following: ^{1/}

- a. The desired level of attainment during the period covered by the goal is clearly specified and expectations are documented.
- b. Planning agency members at each level in the planning structure are provided with a firmer base for developing and integrating plans and agency activity.
- c. A basis is provided for feedback and evaluation of the programs responsive to each standard.
- d. Coordination and timing of projects and programs are improved.
- e. Attention is drawn to the need for control in the exercise of resources.
- f. A completion point for specific projects and programs is identified and understood.

^{1/}Stephen J. Carroll, Jr. and Henry L. Tosi, Jr., Management by Objectives: Applications and Research, New York: Macmillan, 1973.

- g. Improvement, change, and growth are emphasized for the planning agency.

Goals must have certain characteristics to produce the desired results enumerated above. They must be:

- a. Clear, concise, and unambiguous;
- b. Accurate in terms of the true condition sought;
- c. Consistent with policies, plans, and procedures as they apply to the program standard; and
- d. Within the competence of the agency or organization, or represent a reasonable development experience for it.

Examples of specific goals include:

- a. To reduce residential burglaries by 25 percent by 1978;
- b. A 15 percent reduction in first offender recidivism within 2 years;
- c. Completion of a supplementary training program by every member of the force within the year.

A standard is a formal expression of a norm, accompanied by a precisely defined methodology of measurement to verify that the norm is achieved. It may be a norm to establish measurement; it may be a restriction, an activity, or an expectation.

As criteria of planned goals, it is recommended that standards be expressed in terms which allow accurate performance measurement. Thus, to measure success, each criterion should be:

- a. Reliable and valid;
- b. Realistic and representative;
- c. Related to other criteria;
- d. Acceptable to management; and

Standard 17.3 Personnel Evaluation for Promotion and Advancement

Every police agency should immediately begin a periodic evaluation of all personnel in terms of their potential to fill positions of greater responsibility. The selection of personnel for promotion and advancement should be based on criteria that relate specifically to the responsibilities and duties of the higher position.

- a. Every agency periodically should evaluate the potential of every employee to perform at the next higher level of responsibility.
 - This evaluation should comprise a part of the regular performance evaluation that should be completed at least semiannually.
 - Specific data concerning every employee's job performance, training, education, and experience should support the periodic evaluation for promotion and advancement.
- b. Every police agency should use job analysis in the development of job related tests and other criteria for the selection of personnel for promotion and advancement. Selection devices should consist of one or more of the following:
 - Management assessment of past job performance, performance in the individualized development program, and demonstrated initiative in the pursuit of self-development;
 - Oral interviews; and
 - Job-related mental aptitude tests.
- c. Every police agency should disallow the arbitrary awarding of bonus points for experience and achievement not related to the duties of the position for which the individual is being considered. Arbitrary awards include:
 - Bonus points for seniority;
 - Bonus points for military service;
 - Bonus points for heroism.
- d. No agency should use any psychological test as a screening device or evaluation tool in the promotion and advancement process until specific research confirms a reliable relationship between personality and actual performance.
- e. Every agency should require that personnel demonstrate the ability to assume greater responsibility prior to promotion or advancement and should continue to observe employee performance closely during a probationary period of at least one year from the date of promotion or advancement.

Figure 1-15: Example standard.

- e. Predictable.

In addition, to be effective a standard should:

- a. Reflect what can be accomplished rather than what should be done;
- b. Be subject to revision when it no longer defines the present state of knowledge;
- c. Help coordinate efforts of separate groups involved in different phases of the same problem;
- d. Provide consistency in the handling of repeated functions.

Standards vary in complexity. The minimum standard is a single measurement level which establishes the benchmark level of performance.

Standards will likely be much more comprehensive, however. The requirement on the part of an organization may be specified, along with the minimum set of activities or resources which must be performed or committed to satisfy the requirement. Figure 1-15, standard 17.3 prescribed by the National Advisory Commission on Criminal Justice Standards and Goals, is an example of such a standard.

SECTION 3. DATA COLLECTION PROCEDURES

1. INTRODUCTION. Adequate and accurate information will always be the key ingredient in the decisionmaking and planning process. It is essential to the understanding that leads to proper conclusions about actions to take in solving a problem. Lack of sufficient information has been a major difficulty in attempts to improve the criminal justice system under the mandate of the Omnibus Crime Control Act. (With respect to data collection, see appendixes 3 and 5.)
 - a. In this section the term "data" will be used to mean the raw measurements and other statistics that are used to produce information. For example, detailed data about crimes categorized by type in a community can be processed to produce a community crime profile that informs us about the crime problem of the locality.

b. Specifically, "information" can be defined as knowledge that answers a question or fills in a gap in our understanding. Naturally, we prefer that the information we receive answer our questions directly; however, the data we gather may require combining, sorting, or other processing before questions can be clearly answered.

2. IDENTIFYING THE TYPES OF DATA NEEDED. Data requirements are dependent upon the nature of the questions which must be answered. The first step in data collection is the identification of data needs. This step is a difficult one and entails a precise linkage of the questions addressed to the data available or potentially available. Obviously, the more the planner knows about the subject of investigation, the faster he can identify specific data needs. However, the less knowledgeable planner can use a variety of techniques to facilitate the task. Some examples are discussed below.

a. In certain types of juvenile misbehavior, the cause appears to be the lack of opportunity for other activity that is interesting. A youth program planner would seek data to answer some general questions initially and then move to more specific facts. The questions the youth program planner might ask are listed below in the appropriate sequence:

- Who are the young people involved?
- What are their common personality characteristics?
- What are the characteristics of their home life?
- What are the characteristics of their neighborhoods and schools?
- How do these common characteristics differ from those of other juveniles of similar age and background?

b. The level of detail with which these questions are answered is determined by the time and funds available and by the efficiency of data collection procedures. When there is adequate time for conducting surveys, efficiency can be maximized by conducting data collection in stages. The initial survey would be very general and subsequent surveys would be more specific. Each

survey stage is refined on the basis of information obtained at previous stages. This process helps to insure that appropriate and complete information is obtained for the purposes of planning. In the case of information on characteristics of juvenile offenders, three levels of detail (or specificity) could be used. The first level of data could be collected in interviews with criminal justice personnel of the localities involved; this would enable the planner to obtain a general knowledge of the personnel surveyed. A second level of detail could be obtained in interviews with juvenile offenders; a third level of detail could be obtained in psychological evaluations by appropriately qualified personnel.

3. DESCRIBING THE DATA NEEDED

- a. When data needs have been identified, the planner should describe the data as precisely as possible. There are three important reasons for being exact at this stage. Precise descriptions help insure that the right data will be sought. They force the planner to review his process of identifying data needs.
- b. Secondly, such descriptions will clearly identify what is needed for those people who will be collecting the data. Data specifications are an essential part of the instructions to the collectors. If the wrong data are collected, time and money have been wasted. Furthermore, if the data collection mistakes are not recognized, wrong conclusions and ineffectual plans are made.
- c. The descriptions or specification of data needed should cover such aspects as time span, scope of terms of population and places covered, and word definitions. Most important, the specifications must include a precise question whose answer is the data sought or a precise definition of the data. No room for guessing on the part of field people should be allowed. Examples of data specifications are:

Question to be answered: How many burglary occurrences were reported in each month during the years 1972 and 1973 in Wake County?

Note that in the above data specification, the scope in terms of time and place are included. It is essential that the data

collection form be designed to help specify the data requested. For example, the following tabular form facilitates the collection of data relevant to the above question:

Number of Reported Burglary Occurrences
in Wake County by Month

	<u>Year 1972</u>	<u>Year 1973</u>
January	-----	-----
February	-----	-----
March	-----	-----
April	-----	-----
May	-----	-----
June	-----	-----
July	-----	-----
August	-----	-----
September	-----	-----
October	-----	-----
November	-----	-----
December	-----	-----

4. IMPORTANCE OF DEFINITIONS. Precise terminology is important to data specifications. The use of vague terms may confuse the researcher and lead to the collection of insufficient or inappropriate data. Additionally, the source of data should be included; for example, the names and locations of the records or documents from which data are to be taken may be listed.
5. DATA SOURCES. Data should be taken from reliable existing records or statistics. Existing records are especially important for estimating trends. Obtaining data from existing records is the most economical means of data collection. When existing records do not fulfill data needs, it should be recognized that many records and all statistics are compilations of data taken from more basic documents such as individual reports. The original documents will contain the most detail; and the planner may find it useful to seek out the original reports. Other sources of data are:
 - a. Interviews with persons having the desired data, e.g., law enforcement personnel or offenders.
 - b. Ratings by professionals.

- c. Experiences in other States and other nations as reported in written documents.
 - d. Special or one-time sources, such as special records kept by agencies.
 - e. Recorded observations of activities or facilities by the planner's personnel.
6. MEANS OF COLLECTION. Various means of collecting data are discussed below:

- a. Abstracting Data. One type of data collection is data abstracting--that is, taking data from a document and recording it on a specially designed form. When the data are precisely identified, there should be little problem in the accuracy of abstracting. The process is facilitated by the use of well-designed forms for recording. An example was given previously. Often in collecting data from existing records, the time and cost can be kept reasonable by selecting only part of the available data. This means that the data can be "sampled." The concept of sampling will be discussed later.
- b. Interviewing. An interview is the questioning of a person for the purpose of obtaining data. Interviews are generally conducted by telephone or in person. Interviews usually require the use of a questionnaire; questionnaires are especially important when more than one person is conducting the interview or when many people are to be interviewed to guide the continuity of the interview sessions and to provide adequate records of interview results. Questionnaire design is discussed later in this section. One common problem in the interview process is that of the interviewer gradually changing his questions to each respondent. This is called "drift" and results when the interviewer learns that certain wordings get better results, or because he understands the problem more as proceeds and changes his questions to get more precise answers.

Drift in data collection can be avoided by thoroughly testing the interview procedure that will be used. If later an interviewer sees that additional questions are needed, the survey should be reexamined and replanned.

- c. Obtaining Professional Opinion. Another means of data collection is the obtaining of professional opinions. Data at all levels of detail can be obtained in this manner, but usually only general information is sought. For example, professional researchers in juvenile behavior might be asked to list and rank the five major causes of juvenile misbehavior. Careful selection of professional opinion to be used is important. Each person has biases or personal philosophies that influence his responses. Two suggestions for avoiding biased opinions are:
- (1) Select those professionals who have a reputation of being objective and accurate in the subject; and
 - (2) Conduct the interview or survey of professionals systematically.
- d. Collecting Information about Experience in Other States. All researchers and planners rely upon reports from people doing similar work for information. SPA should be constantly alert to new developments in relevant fields. LEAA has established the National Criminal Justice Reference Service for this purpose. The Service publishes a document retrieval index for SPA's and others to use in identifying and securing useful documents.
- e. Using Special Reports. Data can be recorded on special or one-time report forms for use in planning. For example, police dispatchers could record the occurrence of specific events or conditions and provided the recorded data to the planner. Another example is the complete tape recording of calls on a law enforcement network when the tape recording will be analyzed later.
- f. Observing Activities. The oldest form of data collection is direct observation. For instance, time studies may be made in courts to ascertain the amount of time required for certain actions. Direct observations provide great detail and may be the only means of obtaining certain types of data. Also direct observations may be used to verify data collected by indirect means. Direct inspection of high-crime neighborhoods may be useful in detecting causes. Direct observation is especially important in evaluating physical facilities where quality and other subjective measures are involved.

- g. Questionnaires. Good questionnaires are essential for obtaining reliable data. Furthermore, a good questionnaire can help the processing of data proceed smoothly. An example of a good questionnaire is given in appendix 5. To prepare a good questionnaire, the following guidelines are suggested:
- (1) Include only questions that relate to the planning problem.
 - (2) Word the questions to obtain the desired type of information. Use close-ended questions where possible. A close-ended question is usually multiple, but limited, choice. On the other hand, an open-ended question may result in wordy responses. An example of an open-ended question is: "What are the major causes of crime in your neighborhood?"
 - (3) Word the questions clearly in simple words. Limit each question to one idea, avoid vague expressions, keep the questions short, and choose words that have only one meaning. When asking about specific events, always specify the time and place.
 - (4) Insure that the question is not "loaded." A loaded question suggests an answer. An example of a question likely to get an unrealistic percentage of "no's" is: "Do you know of any unreported crimes in your neighborhood?" Some loaded questions may not be this obvious.
 - (5) Ask only for information that the person being interviewed possesses. Where the interviewee may not know the answer, but can guess, have another question to verify the first answer.
 - (6) When opinions are being sought, give the interviewee sufficient information to make a judgment.
 - (7) Avoid questions that a person may answer in a way to enhance his self-image.
 - (8) Arrange the questions in logical order, putting general questions first and specific questions later.

- (9) Put personal questions near the end, after rapport has been established between the interviewer and the interviewee.
 - (10) Questions that may arouse antagonism should be put at the end.
- h. Sampling. The concept of sampling is simply to take only part of the available data and use the partial data to represent the entire situation. For instance, one household in 50 might be interviewed to obtain data on the public attitude toward police. National opinion polls interview about a thousand people to represent the total population.

Almost all data sources can be sampled instead of being used in their entirety. The advantage of sampling is that it is cheaper; the disadvantage of sampling is that the results may not accurately represent the entire file or population or all the cases involved. However, statisticians have proven that sampling is accurate enough for most purposes. This assumes that the survey is well planned. The factors that must be taken into account in designing a survey are:

- (1) Scope. The entire geographical area, time span, or population involved must be covered. For example, if court records were being examined for certain data, each case during the months or years of interest should have an equal chance of being selected as a sample. Another example is in interviewing households in a community. In this case, each household, regardless of location, should have an equal chance of being selected. In both examples, biased results are to be avoided by insuring equal coverage. In the second case, if a higher percentage of people living in high crime neighborhoods are selected than are selected in other neighborhoods in a survey of police relations, the results certainly would be biased.
- (2) Accuracy. The accuracy of the results of a sample depends upon the laws of chance. In general, the larger a sample, the greater the expected accuracy. But the cost goes up

with the size. Larger samples are needed when the responses vary a lot, for example, when the number of robberies per day varies substantially. The number of daily records taken as samples would be larger than for a type of crime that occurs in about the same number each day.

The determination of how many samples to select requires involved statistical processes. It is suggested that an SPA consult with a statistician each time a sampling interview or survey is being planned.

SECTION 4. DATA ANALYSIS

1. INTRODUCTION. The purpose of this section is to present various analytical methods which translate collected data into information relevant to the planning process. Collecting and compiling data on the law enforcement and criminal justice system is a meaningless exercise unless the data are translated into useable information. Furthermore, the value of the information generated is no greater than the quality of the data and the quality of the analysis.
2. CREDIBILITY OF ANALYSIS. If the data are inaccurate, meaningless, or biased, analysis will not improve the quality, and the product of analysis will be compromised. Likewise, the value of quality data is diminished by inappropriate or faulty analysis. Data collection requirements and procedures are addressed elsewhere in the manual. The following discussion of analysis is based on the premise that the data are accurate and unbiased, although possibly incomplete.
3. PURPOSE OF ANALYSIS
 - a. Problem Analysis. Data analysis provides a means to clearly identify problems and needs of the law enforcement and criminal justice system.
 - b. Cause and Effect. Data analysis can pinpoint cause and effect relationships which must be understood in order to effectively combat crime and/or improve the effectiveness of the criminal justice system.
 - c. Evaluation. Analysis also provides a systematic means to evaluate the performance or success of law enforcement and criminal justice programs and projects.

- d. Forecasts and Projections. In addition, analysis provides the basis for forecasting future needs and projecting ways to meet the identified needs. Reliable forecasts and projections are essential to the principle of long-range comprehensive planning.
4. STATISTICAL METHODS. Statistical methods provide the basis for the study and description of data--its relationships, differences, and distribution--by reducing it into manageable forms. Statistical methods of analysis can help answer the questions: Does a problem exist? Is it severe? How much confidence can be taken in the information inherent in the data?
 - a. Descriptive Statistical Analysis. Descriptive statistical methods compile and organize data into tables, graphs, and other visual arrangements which delineate characteristics and relationships. Descriptive methods are amenable to identification of problems and needs and provide a means of projecting values of a characteristic or variable to signal future needs and problems. Descriptive methods of statistical analysis provide a basis for comparison: city vs. city, crime rate vs. crime rate, expenditures vs. expenditures. Thus, the first important consideration in using a descriptive method is to decide exactly what it is that you want to compare. What characteristics are important in identifying specific problems? How can they be measured?

(1) Types of descriptive statistics

- (a) Mean, median, and mode. These statistical figures convey information about measures of central tendency. Median means that point in a distribution above and below which exactly one-half of the population falls. The mean is a number which represents the average among a set of numbers. In a normal distribution, mean (average) and median (midpoint) are the same. Means and medians are different from each other when the distribution is skewed or abnormal. Mode is the value or item occurring most frequently in a series of observations or data.
- (b) Variance, standard deviation. Variance is the average of the squares of the differences between members of a set of numbers and their mean. A standard method of

expressing variance is the standard deviation. Standard deviation is used to indicate how variable a population or set of results is. It is the measure of the dispersion of a set of numbers, defined as the square root of the variance.

(c) Measures of correlation or association. The statistical measure which indicates the degree of association between two variables is the correlation coefficient. A value of plus or minus one signifies a perfect or absolute correlation between two variables, and a value of zero indicates that any changes in the value of zero indicates that any changes in the value of Y are not related to changes in X. Values between zero and plus or minus one indicate a less than perfect association between the variables.

(2) Dependent and independent variables. In the primary stage of problem analysis, those variables which are symptoms or measurable characteristics of problems and needs must be identified. These might include: crime rates, caseloads, conviction rates, release rates, recidivism rates, and utilization of resources (e.g., percent capacity, percent overtime, workload). These data should be matched to appropriate demographic characteristics such as: population, population density, family size, income, and employment. These data establish a basis for comparative analysis using descriptive statistics.

(a) Adjusted data. The raw data available may require adjustments before meaningful comparisons can be made. Consider the data in tables 1 and 2. Property crimes in Oakdale have risen from 1,100 in 1968 to 1,900 in 1973, a 73 percent increase. Does this mean that property crimes are a problem in Oakdale? This question cannot be answered without posing another question--a problem with respect to what? Which of the following variables is the important measure of the incidence of property crimes?

- Number of property crimes;
- Number of property crimes per 100,000 population;
- Number of property crimes per \$1,000 of income;

Table 1-1: Selected data - Oakdale, 1968-1973

Year	Number of Property Crimes	Population	Total Income
1968	1100	88,000	320,000,000
1969	1300	92,000	325,000,000
1970	1400	98,000	335,000,000
1971	1600	100,000	350,000,000
1972	1800	104,000	360,000,000
1973	1900	105,000	365,000,000

Source: Hypothetical Data

Table 1-2: Selected data - Oakdale, 1968 - 1973

Year	Number of Property Crimes per 100,000 Population	Number of Property Crimes Per \$1,000,000 of Per Capita Income	Per Capita Income
1968	1,250	3.4	3,636
1969	1,413	4.0	3,533
1970	1,429	4.2	3,418
1971	1,600	4.6	3,500
1972	1,731	5.0	3,462
1973	1,810	5.2	3,476

- Some other measure;
- Some combination of all of the above.

In fact, several variables may be important in describing and analyzing crime incidence. If a variable Y, crime incidence for example, is being analyzed, a variable X may be important in the following ways:

Y consistently moves in the same direction as X, that is, if X increases, Y increases; if X decreases, Y decreases. Y consistently moves in the opposite direction from X. An increase in X is associated with a decrease in Y. A causal relationship exists, if X, then Y. A change in the value of Y is consistently associated with a change in X at an earlier time.

(3) Approaches to comparative data analysis

(a) Cross section. Cross-sectional analysis is latitudinal and involves an evaluation of the same characteristics or variables for comparable entities. Examples include comparison of the number of homicides committed in major cities, the budget size among departments, and the caseloads in different courts. Figure 1-16 illustrates a cross-sectional comparison.

1 Comparisons with similar entities. If cross-sectional data are adjusted for demographic differences, a basis for comparison is provided. Useful characteristics to evaluate would include:

Is the value of any variable "out of line" with the others?

Are some variables "significantly" worse off or better off than most of the others?

Are any values "unacceptably" high or low?

The degree of precision of the descriptions which are unacceptable and significantly out of line is

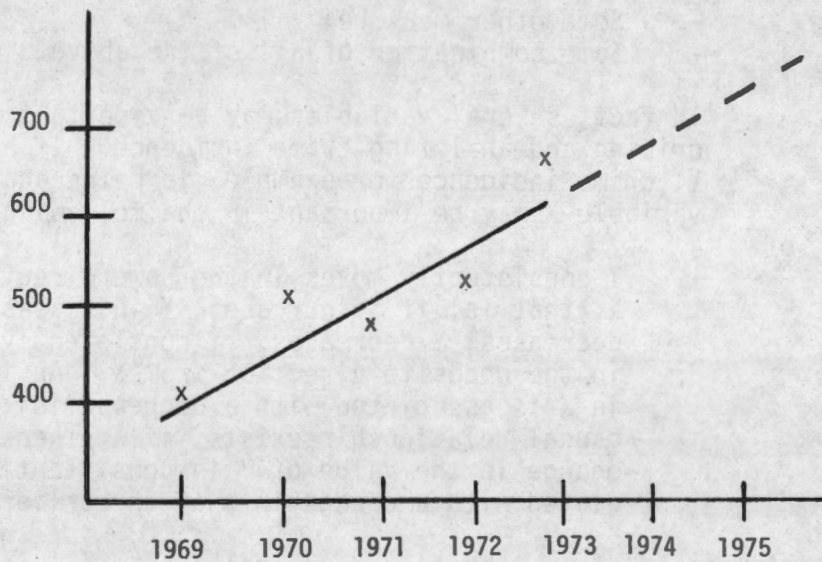


Figure 1-16: Burglary rate per 100,000 persons.

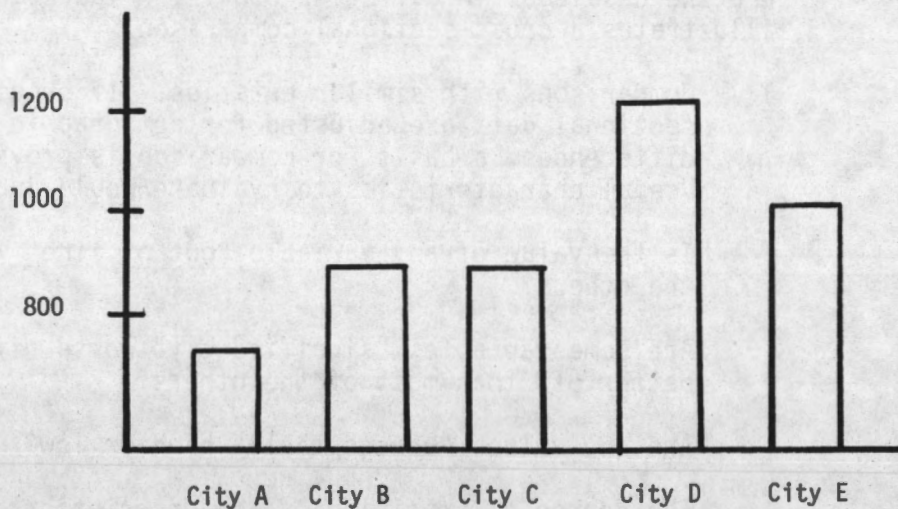


Figure 1-17: 1973 robberies per capita.

dictated by the accuracy of the data and the standards by which they are measured. Consider the information in figure 1-17.

The number of robberies in City D appears to be out of line compared with the numbers in the other cities which are clustered at a lower level. Does a problem exist? The mean and standard deviation statistics provide measures of central tendency and dispersion. If a symptom of a problem is defined in measurable terms, i.e., three standard deviations above the mean, the statistics will signal whether a problem exists.

2 Comparison with established standards. An alternative means to identify a problem is to compare the descriptive data against a standard of acceptable performance established elsewhere. If the standard has been established as 1,000 robberies per 100,000 population, a problem is identified as existing only in City D. City D should then analyze their procedures, resources, and environment and compare them with cities maintaining low robbery rates to determine needs. If the standard was established as 800 per 100,000 persons, robbery would be identified as a problem in general, according to data presented in figure 1-16, and should be approached on that basis.

(b) Time series. Time series analysis entails a longitudinal evaluation analysis of values for the same factor at different points in time. The number of robberies in each of the last 5 years is an example of a time series.

1 Trends. Time series analysis is a valuable method for identifying both trends and the direction and rate of change over time. Figure 1-18 depicts the trend in burglary for the State and for City A. The trends may be compared with each other as well as against a standard. Problems may be identified through such comparisons.

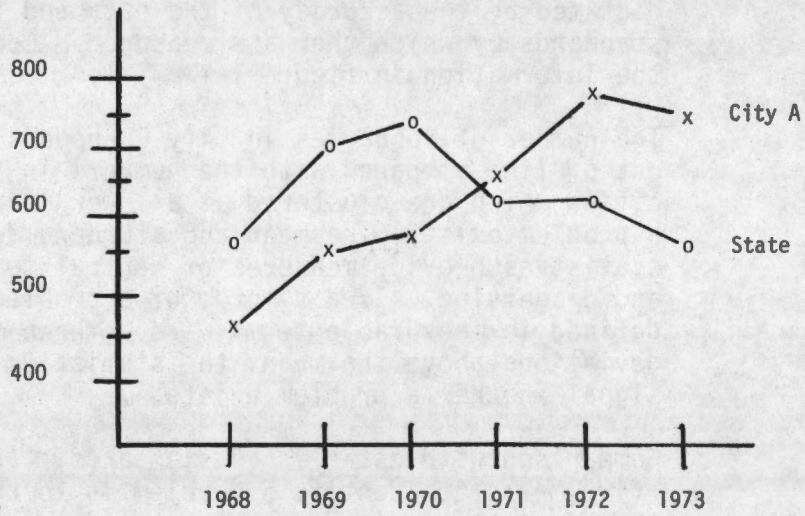
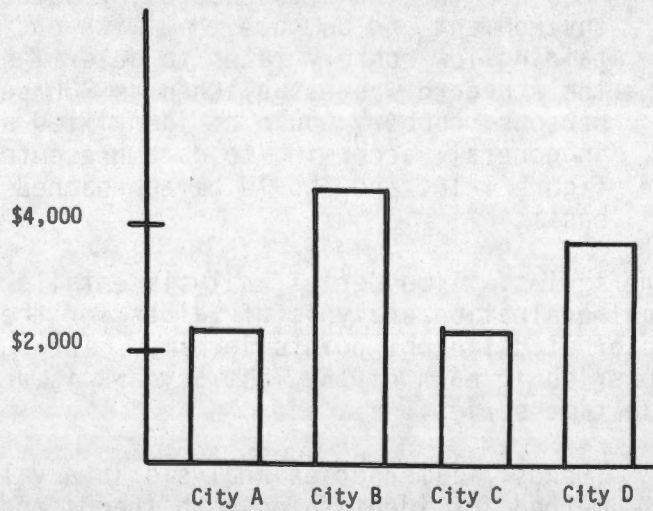


Figure 1-18: Burglary rate per 100,000 persons.



Source: Hypothetical Data

Figure 1-19: Per capita income 1972.

If problems do exist, other variables or characteristics associated with each problem should be analyzed to determine possible cause-effect relationships.

- 2 Projections. Time series analysis also provides a means to project future values. Using data from 1973, one must sometimes plan in 1974 for programs and projects to be implemented in 1975-1977. An element which was not a problem in 1973 may become one in 1975 if corrective action is not planned. For example, the burglary rate may have been within the acceptable range in 1973. The trend may be projected by formal regression analysis or by simply drawing a line which follows established data patterns or seems to "fit" the data, as illustrated in figure 1-16. Extending this line through 1975 indicates the burglary rate which may be expected if present conditions persist and no corrective action is taken. If a problem is indicated for 1975, corrective action should be planned now and initiated to prevent the problem's occurrence.

(c) Inductive statistical analysis. Inductive statistical analysis directs induced inferences for problem solving and hypothesis testing. Thus, the primary value of the method is in the evaluation of existing and terminated programs.

5. EXPERIMENTAL DESIGNS.^{1/} Experimental designs should be used to evaluate the strength of cause-effect relationships and the effectiveness of State CJ programs and projects. Appropriately designed experiments allow the administrator to state whether an impact is statistically significant with a predetermined degree of confidence.

^{1/}This section draws heavily from Los Angeles County Sheriff's Department, "Appendix C, Program Measurement and Evaluation," Criminal Justice System, of National Advisory Commission on Criminal Justice Standards and Goals, 1973.

- a. Strength of the Design. The strength or power of a design depends on the degree to which it eliminates threats to valid inferences from the data.

The "strongest" are the true experiments that include the essential basis for valid inferences: random selection of subjects. This automatically rules out extraneous "explanations" of the effects of a given treatment.

Weak designs include nonexperiments that are vulnerable to problems attending absence of control groups and randomization. Quasi-designs or compromise designs are stronger, but without random selection, equivalence between experimental and control groups cannot be assured.

- b. Measurement of Variables. Conducting an experiment of scientific standing demands more than staff and economic resources, important as they are. An equal consideration addresses the possibility of manipulating and measuring the central variables that affect the program being evaluated. Some variables are susceptible to measurement, others are not. Variables like reinforcement, training and educational methods, disciplinary practices, and working environment usually pose few problems. Measuring others like leadership, motivation, and values spotlights a continuing research dilemma that is often dodged by packaging the whole affective domain in one catchall category entitled "fog-factors" or "imponderables."

- c. True Experimental Design. Under ideal, optimum, or favorable conditions, the true experimental design should be applied. Conditions should include these controls: (a) pretest/post-test measurement of dependent variable; (b) experimental group and control group; (c) randomized assignment of subjects; and (d) random assignment of treatment to the experimental and control groups.

- (1) The true experiment as pictured in figure 1-20 achieves the most strenuous approach for evaluating program accomplishments. Conducted under carefully controlled conditions, this experiment manifests the ideal of

		Before: Pretest	Program Treatment	After: Posttest	After -- Before
Randomly assigned subjects (Ss)	Exper. group	YES	YES	YES S_{1A}	$D_1 = S_{1A} - S_1$
	Control group	YES	NO	YES S_{2A}	$D_2 = S_{2A} - S_2$

Figure 1-20: True experiment--experimental group/control group with randomized assignments.

science because it conveys the greatest confidence about observed relations.

- (2) The test of whether the different (D's) between groups is attributable to the program treatment rests on whether D_1 is significantly larger than D_2 when examined by tests of statistical analysis with the level of significance decided during the planning state. A variation on the true experiment matches subjects on important personal traits and then randomly assigns them to the two groups, with the treatment also randomly decided between groups.

- d. Quasi-Research Designs. Quasi-research designs result when the subjects are not randomized but all other requirements of the true experiment are met.

- (1) To partially offset the limitations of no randomization, investigators should randomize assignment of treatments and plug in other checks to upgrade equivalence. Examples: (a) select samples from the same population or use samples as similar as possible; (b) confirm similar distribution in personal traits by matching of such things as age, race, education, marital status; and (c) compare means and standard deviations on pretest measurements.

e. Nonexperimental Designs. Under most circumstances, nonexperimental designs, like the one-shot case study or the one-group pretest-posttest, should not be used to evaluate programs.

- (1) With the absence of scientific standards like randomization, experimental and control groups, and pretesting of responses, nonexperiments reflect no credibility and their results should be viewed with restraint and corroborated by additional sources of information.

Organizational conditions and shortcomings that require use of nonexperiments should be corrected and more scientific experiments should be employed for program evaluation (e.g., the true experiment of the quasi-experiment).

- (2) If there is no pretesting or there is no control group when a project is implemented, the impact of the project cannot be evaluated statistically.

6. INDUCTIVE STATISTICS. Inductive statistics provide a basis to infer conclusions derived from data. Although its greatest value lies in developing theories of human behavior, inference offers sound procedures for program evaluation. In short, it opens the door to the last task of the evaluator: deciding whether to accept or reject the experimental hypotheses.

The following outline defines the sequence leading to statistical inference and also epitomizes the milestones in the research-evaluation methodology.

- a. Define a population: the group meeting the criteria of the research design.

- b. Draw a sample from the population upon which to focus the research.
- c. Measure the sample. This step begins the actual experiment. Depending on the universe of interest, measurement may involve only questionnaires. Or it may be more complex, exposing the experimental groups to varying treatments with measurement of responses to the alternative conditions.
- d. Compute and summarize the data into descriptive statistics.
- e. Use these statistics to make inferences about the population. Through the power of random sampling coupled with the power of statistical analysis, inferences can profile group processes within a known degree of error. The end product is increased certainty about program decisions.

SECTION 5. OUTLINE OF COMPREHENSIVE STATE PLAN

- A. Executive Summary. The SPA may elect to summarize items listed below:
 - (1) Planning Structure
 - (2) Planning Approach
 - (3) Plan Update Process
 - (4) Overview of Plan Content
- B. Section 1 - Existing Law Enforcement Systems and Available Resources
 - (1) Coverage of Law Enforcement and Criminal Justice System Elements
 - (2) Treatment of Areas of High Crime/Law Enforcement Activity
 - (3) Correctional Area Coverage
- C. Section 2 - The Multiyear Plan
 - (1) Needs and Problems
 - (2) General Statement of State Standards, Priorities, and Goals
 - (3) Multiyear Budget and Financial Plan
 - (4) Multiyear Forecast of Results and Accomplishments
- D. Section 3 - The Annual Action Program
 - (1) Program Descriptions

- (2) Compliance with Funding Limitations
- (3) Assistance to High Crime/Law Enforcement Activity Areas
- (4) Local Participation and Fund Balance
- (5) Allocations to Substantive Areas of Law Enforcement
- (6) Part E Special Requirements
- (7) Provision for Evaluation

E. Section 4 - Related Plans, Programs, and Systems

F. Section 5 - Progress Report

CHAPTER 2. EXISTING SYSTEMS AND AVAILABLE RESOURCES

The initial task in the development of the comprehensive State plan is the description of the existing criminal justice system and available resources within the State. This information provides the foundation for the planning process. A thorough knowledge of present conditions is necessary in order to make an accurate assessment of problems and needs that will determine the direction of future plans. Information on the current status of the system should be presented with sufficient detail in order that it may be related to the establishment of State standards and goals as discussed in chapter 3. Figure 2-1 depicts the process whereby the description of the existing criminal justice system is derived according to the specifications outlined in Guideline Manual M4100.1C.

In compliance with M4100.1C, attention is to be given to: organization, activities, resources, statistics, powers of and relationships between agencies, current State services to local government, cooperative arrangements, and extra system resources. Particular emphasis is to be placed on these elements for areas of high crime incidence/law enforcement activity, as well as to juvenile justice programs.

The description of existing systems must incorporate any newly available data so as to relate to the multiyear plan and to the annual action plans. (See appendix 5 for an example of an information questionnaire.)

In order to eliminate unnecessary narrative, a comprehensive plan should make optimum use of graphs to clearly depict pertinent data for major items involved in the existing system. Alternative formats for displaying these data are discussed in chapter 1, section 3.

1. CRIME PROFILE. A concise overview is useful in showing the nature and extent of the crime problem in the State. Elements to be considered are: overall crime rate, violent crime rate, property crime rate, percentage breakdown of violent and property crimes, and incidence of juvenile arrests.
 - a. Crime Rates. A family of graphs may be used to depict crime rate trends in the State. Crimes of violence as well as property crime may be presented individually and in aggregate in the same display. See figure 2-2.

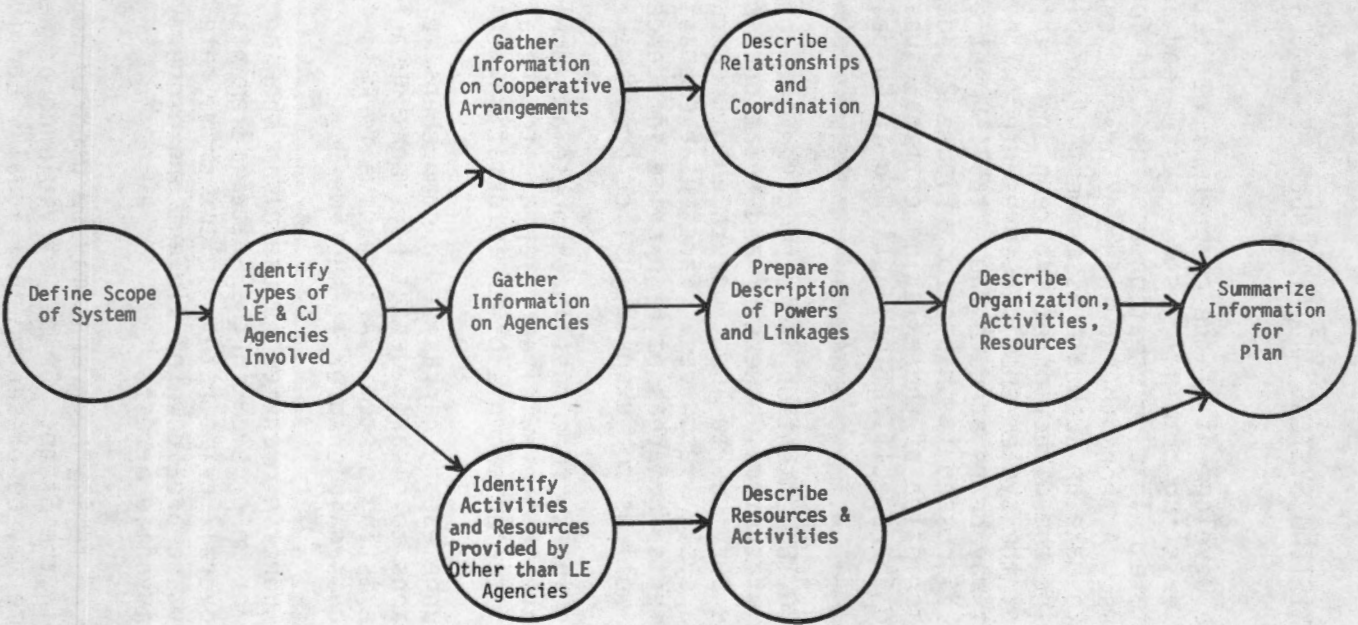


Figure 2-1: Describe existing criminal justice system.

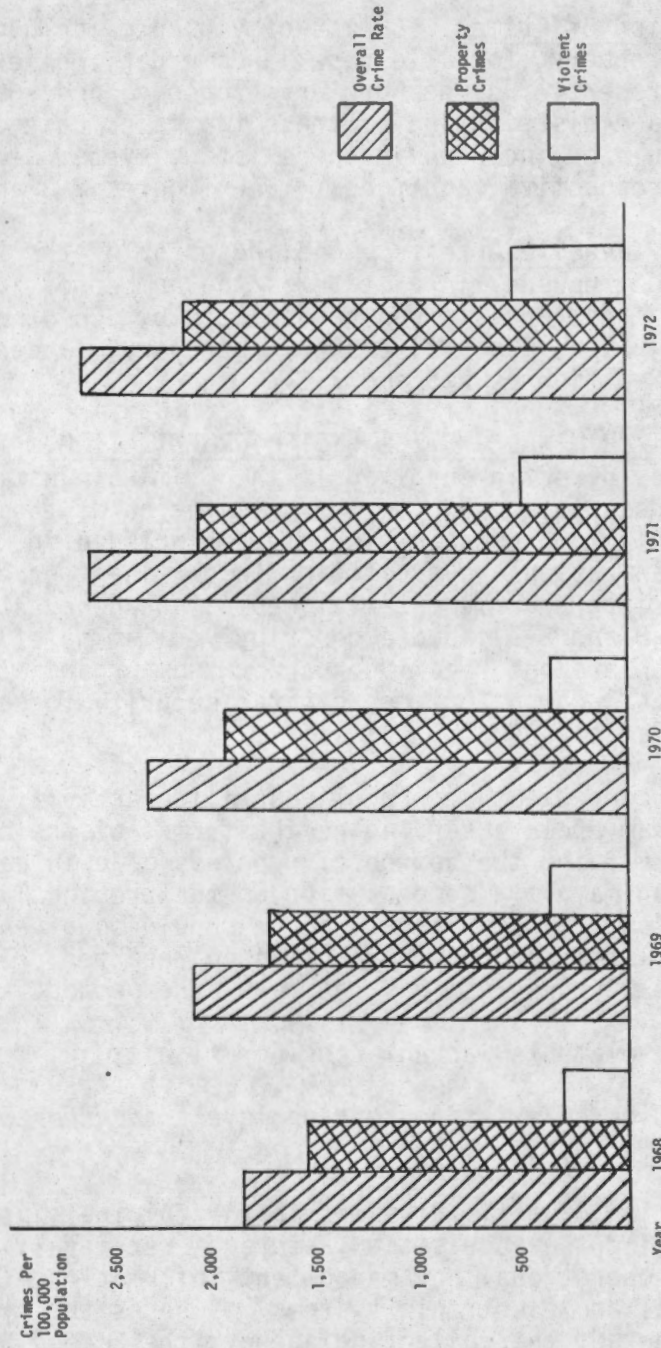
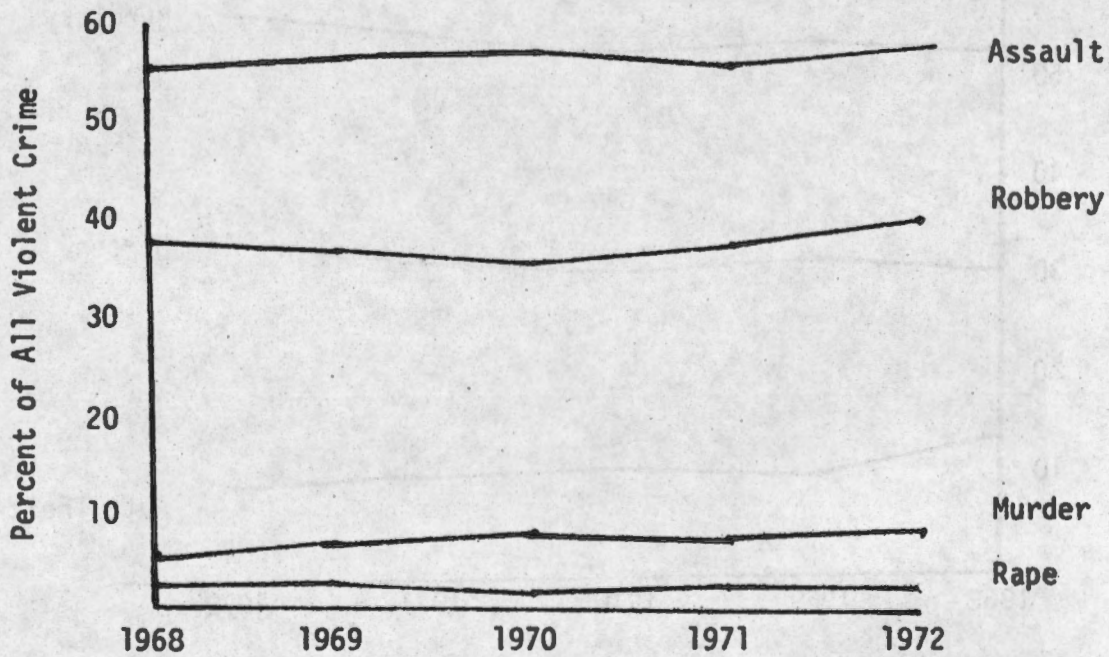


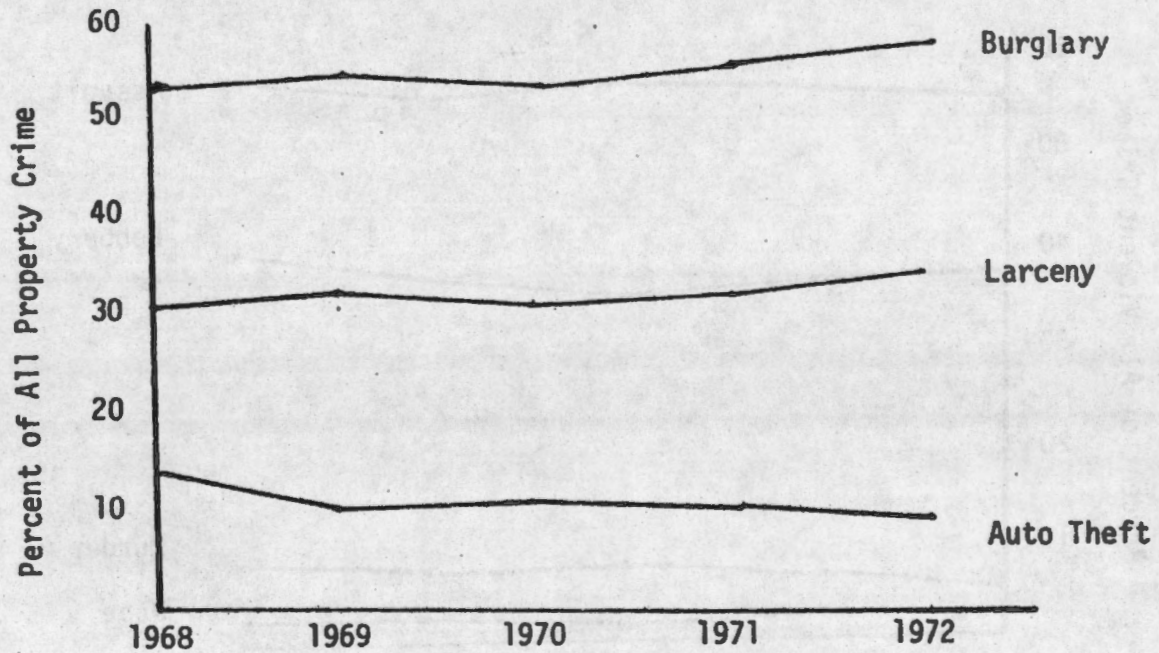
Figure 2-2: Crime rate trends in Arcadia, 1968-1972.

- b. Distribution of Crimes. Crimes of violence include aggravated assault, robbery, forcible rape, and murder, while crimes against property include burglary, larceny, and auto theft. A percentage distribution of these two major categories of crime should be included in the existing system section to indicate respective magnitudes. See figures 2-3 and 2-4.
 - c. Number of Juvenile Arrests. One indicator of the severity of juvenile delinquency in a State is the number of juvenile arrests. These arrests can be depicted by UCR offenses (homicide, rape, assault, robbery, burglary, larceny, auto theft). See figures 2-5 and 2-7.
2. LAW ENFORCEMENT/CRIMINAL JUSTICE SYSTEM ORGANIZATION. The organization of agencies directly involved in the Criminal Justice System should be discussed according to the orientation of the State's comprehensive plan. Elements which may be included in the discussion of organization are a citation to pertinent enabling legislation, appropriate graphic material depicting agency structure (see figures 2-8 and 2-9), and a descriptive listing of unique activities which are not readily apparent from organizational charts (examples: campus police, capital security force, courts of limited jurisdiction).
3. ACTIVITIES. A convenient method of describing activities is to summarize program areas according to the format of the comprehensive plan. Specifying the degree of progress made in each program, this information may be a condensation of the previously filed multiyear section. Particular attention should be given to programs in which little or no progress can be reported. In these areas, indicate why progress has not been as expected.
4. RESOURCES. Two elements warrant consideration:
 - a. A description of existing funding levels and sources (see figure 2-10); and
 - b. A description of activities within the criminal justice system involving the acquisition, storage, retrieval, and exchange of operational and management information, including both manual and electronic systems. Discuss the types of data collected, the collecting agency, the accessibility of data to other concerned agencies, hardware available, and provisions to insure confidentiality.



	1968	1969	1970	1971	1972
Murder	4.9%	5.4%	5.2%	5.2%	5.5%
Robbery	36.8	35.4	36.3	35.5	38.0
Assault	55.2	56.1	56.4	56.1	56.5
Rape	3.1	3.4	2.9	3.2	3.0
Total	100%	100%	100%	100%	100%

Figure 2-3: Percentage distribution of violent crime, 1968 - 1972.



	1968	1969	1970	1971	1972
Burglary	54.1%	56.2%	55.4%	56.1%	56.5%
Larceny	31.4	32.3	32.1	32.4	32.8
Auto Theft	14.5	11.5	12.5	11.5	10.7
Total	100%	100%	100%	100%	100%

Figure 2-4: Percentage distribution of property crime, 1968 - 1972.

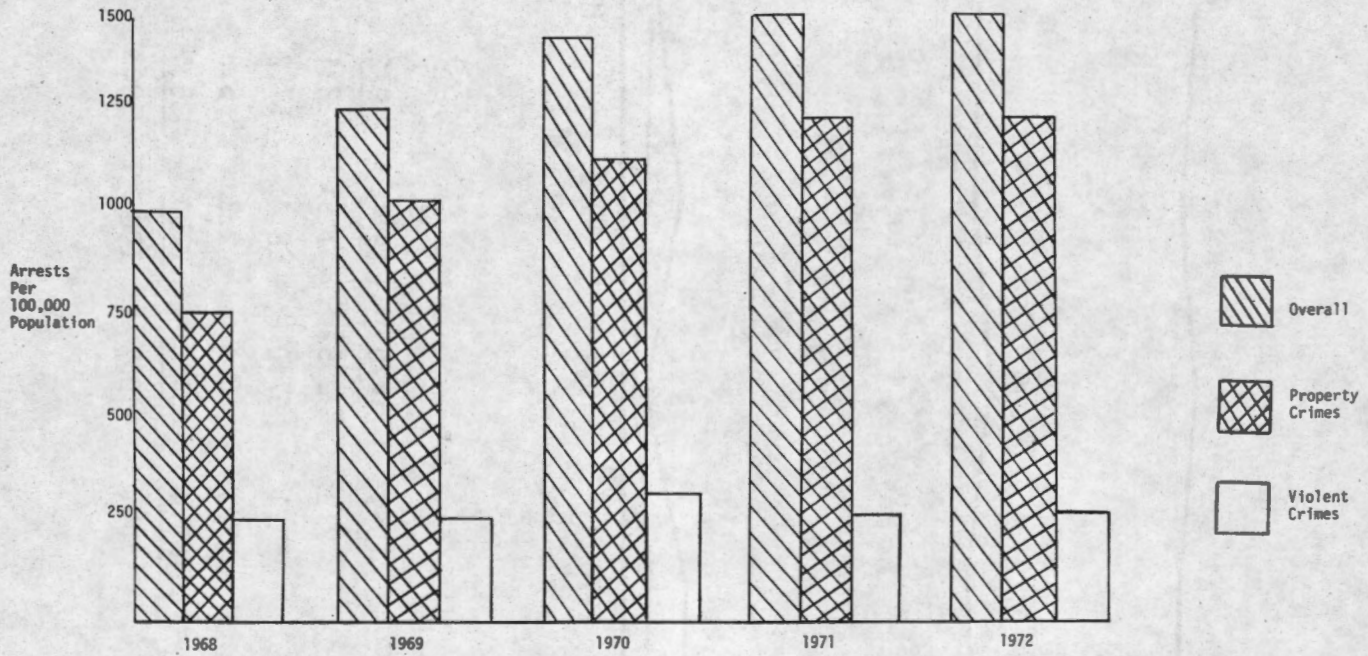
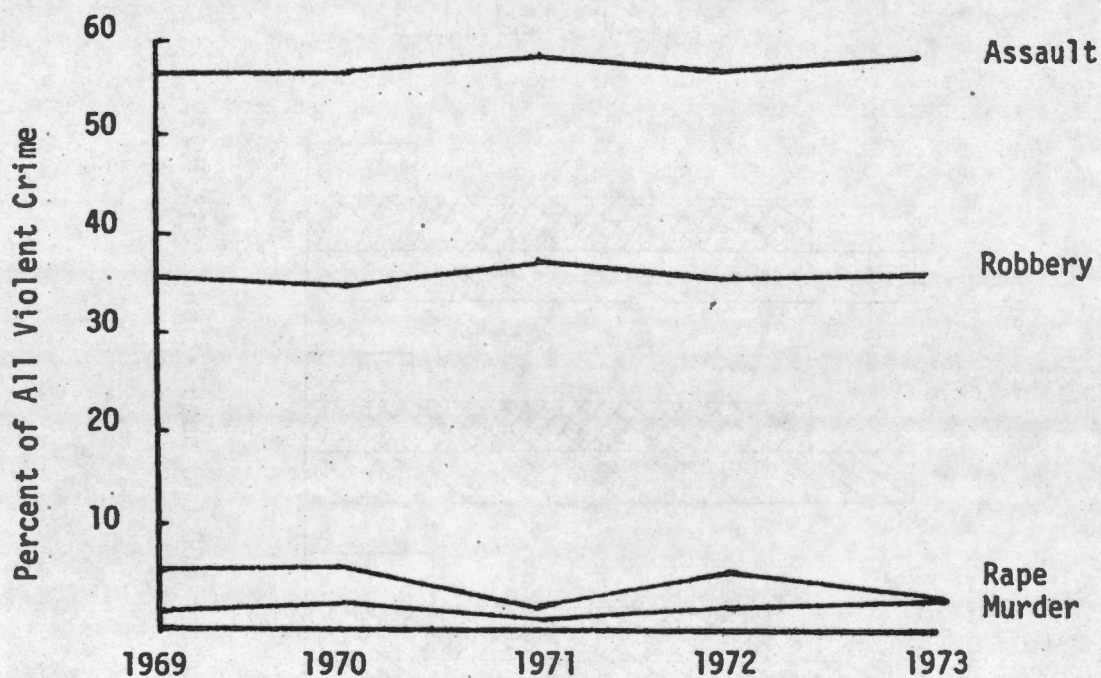
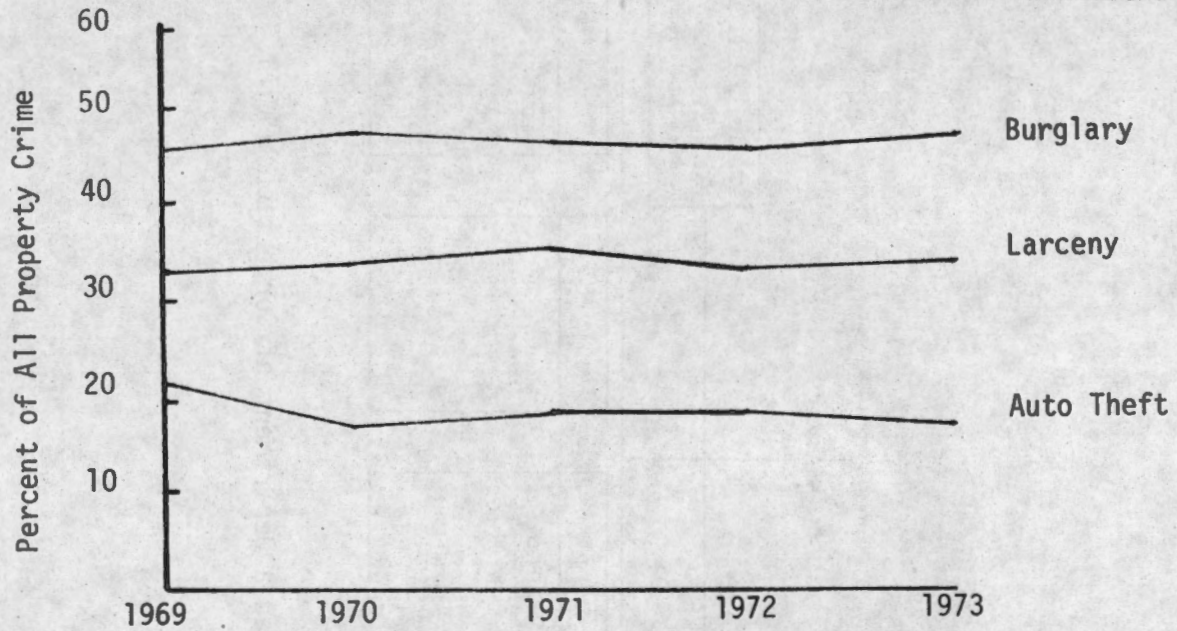


Figure 2-5: Juvenile arrests per 100,000 population, 1968-1972.



	<u>1969</u>	<u>1970</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>
Murder	2.2%	2.5%	1.9%	2.1%	2.4%
Assault	57.1	57.0	58.4	57.2	57.9
Rape	5.3	5.7	2.3	5.6	4.5
Robbery	<u>35.4</u>	<u>34.8</u>	<u>37.4</u>	<u>35.1</u>	<u>35.2</u>
TOTAL	100%	100%	100%	100%	100%

Figure 2-6: Juvenile arrests for violent crime.



	<u>1969</u>	<u>1970</u>	<u>1971</u>	<u>1972</u>	<u>1973</u>
Burglary	45.1%	47.2%	46.2%	45.9%	46.1%
Larceny	34.2	34.9	35.1	34.7	34.8
Auto Theft	<u>20.7</u>	<u>17.9</u>	<u>18.7</u>	<u>19.4</u>	<u>19.1</u>
TOTAL	100%	100%	100%	100%	100%

Figure 2-7: Juvenile arrests for property crime.

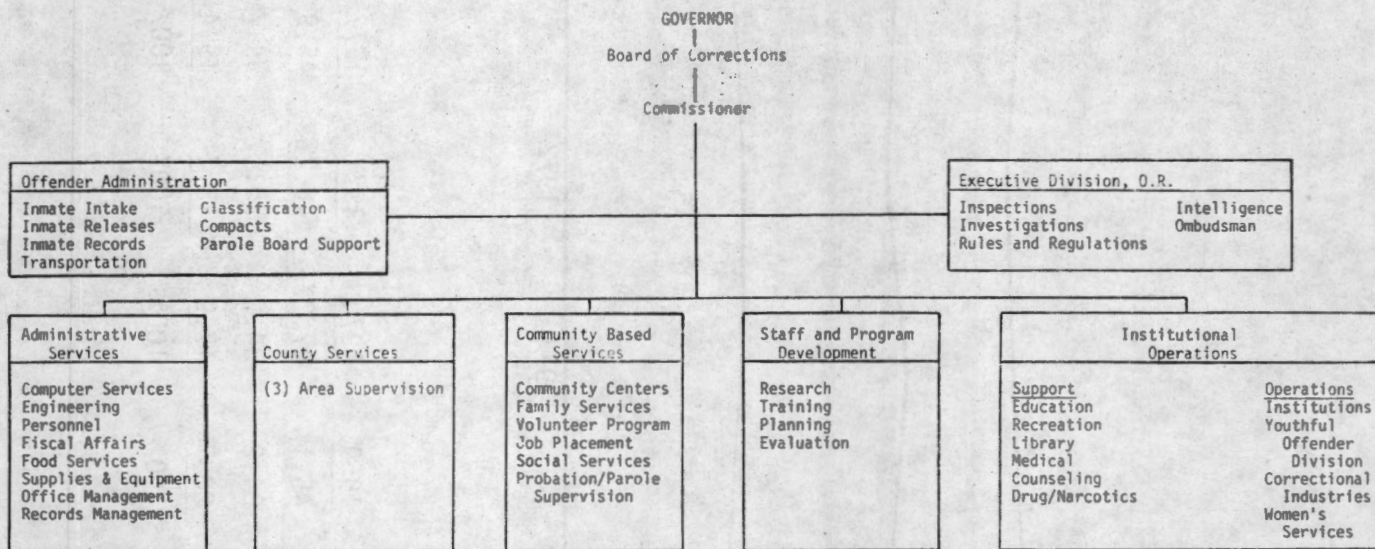


Figure 2-8: Arcadia Department of Corrections, 1973.

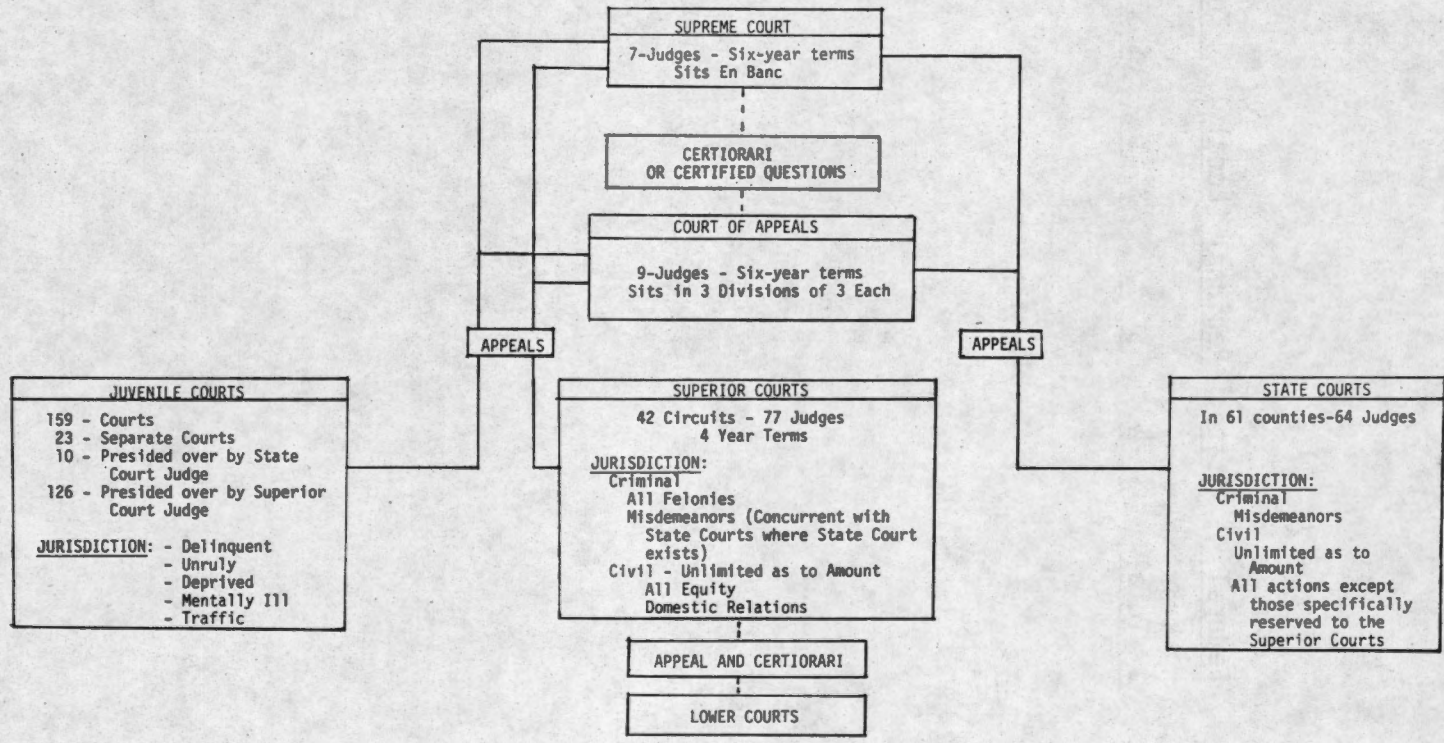


Figure 2-9: Arcadia courts.

5. STATISTICS. In this section the SPA may find it useful to:
- a. Outline staffing levels in agencies consistent with the comprehensive plan format. Include the following basic data elements (see figures 2-11 and 2-12):
 - (1) Number of persons employed by type of position and agency;
 - (2) Minimum entry level in terms of education, experience, or training, by type of position and agency;
 - (3) Current workload--
 - ratio of practitioners to total population served (where applicable);
 - ratio of practitioners to offender population served (where applicable);
 - (4) Mean salary by type of position and agency;
 - (5) Turnover rates by type of position and agency;
 - (6) Education/training level by type of position and agency;
 - (7) Race composition by type of position and agency;
 - (8) Sex composition by type of position and agency;
 - (9) Age composition by type of position and agency.
 - b. Describe facilities currently in use in the State Criminal Justice System, giving particular attention to present and optimal capacities as well as current actual use. Where applicable, discuss unique design features (example, prison security levels). See figure 2-13.
6. POWERS AND RELATIONSHIPS. Outline powers of, relationships between, and extent of coordination among criminal justice agencies and between general government agencies and criminal justice agencies. The following may be considered:
- a. Relevant constitutional provisions and pertinent enabling

Position Title	Number of Positions	Entry Level Requirements	Ratio to Offender Population	Mean Salary	Number Positions Vacant/Year
Probation Sup. I	150	Bachelor's Degree or 4 Years Experience	1/130	8,100	20

Figure 2-11: Staffing levels and characteristics (A)
Arcadia Probation Department.

Position	Education/Training					Race			Sex		Age
	Mean (yrs)	High School (%)	College (%)	Graduate (%)	Other (%)	White (%)	Black (%)	Other (%)	Male (%)	Female (%)	Mean (Yrs)
Probation Sup I	16.5	10	70	15	5	90	5	5	85	15	28.5

Figure 2-12: Staffing levels and characteristics (B)
Arcadia Probation Department.

Unit	Security Classification	Present Capacity	Optimal Capacity	Average Daily Population 1974
Arcadia State Prison	Maximum	2,500	2,000	2,700
South Correctional Institute	Minimum	1,500	1,000	1,500
Arcadia Advancement Center	Minimum	150	75	140

Figure 2-13: Capacity, population, and security levels
Arcadia prison facilities, 1974.

1. Interstate Parole and Probation Compacts	1. Department of Corrections	1. Facilitate Interstate Movement of Parolees and Probationers
2. Metropol	2. Police and Sheriff's Departments in the Oxford SMSA	2. Voluntary, Cooperative Effort to Standardize Law Enforcement Procedures at Interfaces

Figure 2-14: Inter/intrastate cooperative agreements.

legislation granting powers and authority to particular State criminal justice agencies.

- b. Situations in the existing system where responsibilities held by various agencies conflict or overlap. For example, where county-funded and county-administered correctional facilities are subject to regulation by the State correctional agency.
 - c. Program areas involving linkages between State CJ agencies and between these agencies and other government agencies. For example, a State vocational rehabilitation agency providing services to inmates for the correctional agency.
7. SERVICES CURRENTLY PROVIDED. List those services presently provided by the State local law enforcement agencies.
 8. COOPERATIVE ARRANGEMENTS. List any multistate, State, regional, or local cooperative arrangements and briefly discuss the extent of agency participation. For example, participation in Interstate Parole-Probation Compacts (see figure 2-14).
 9. EXTRA-SYSTEM ACTIVITIES AND RESOURCES. Describe activities or resources available from outside the State Criminal Justice System. For example, discuss resources available from government agencies not primarily engaged in law enforcement and criminal justice activities, criminal justice curricula, or research programs conducted by universities and colleges, private citizen groups interested in criminal justice, and attorneys available for offender representation.

One of the most important areas of extra-system activities and resources is education and training. With respect to this area the following information is of value in the existing system section.

- a. System identification
- b. Location of crime-related programs
- c. Enrollment and completion rates:
 - (1) Related overall to LEEP participants;

- (2) In-service by CJ system component;
- (3) Preservice;
- d. Curricular description (courses and degrees offered);
- e. Career training;
- f. Articulation agreements and status:
 - (1) Training - education
 - (2) Training and education - agencies;
- h. Faculty - resources;
- i. Financial commitment to crime-related programs;
- j. Education models:
 - (1) Educational philosophy
 - (2) Work-study position.

10. AREAS OF HIGH CRIME (OR POTENTIALLY HIGH CRIME) INCIDENCE/LAW ENFORCEMENT ACTIVITY. High crime incidence/law enforcement activity areas should be treated separately from the general discussion used for the State as a whole, but should be organized as outlined in sections 1 through 8 above. This description should include an analysis of high crime incidence areas and should focus on crime rate trends within the areas (see figure 2-15). Specific crime problems should be analyzed in terms of the characteristics of the event, victim or target, and the offender (see figure 2-16).

States are encouraged to supplant narrative with comparative charts where possible.

HCI/LEAA	Murder		Rape		Robbery		Assault		Burglary		Larceny		Auto Theft		1972 Overall Rate	1973 Overall Rate	Percent Change
	1972	1973	1972	1973	1972	1973	1972	1973	1972	1973	1972	1973	1972	1973			
Oxford	320	330	320	320	1280	1320	960	990	1920	1980	960	990	640	660	6400	6600	3
Midtown	225	237	225	237	900	950	675	713	1350	1425	675	713	450	475	4500	4750	6
Gotham	240	250	240	250	960	1000	720	750	1440	1500	750	750	480	500	4800	5000	4
Pineville	195	200	195	200	780	800	585	600	1170	1200	565	600	390	400	3700	4000	3
Eastborough	138	150	138	150	550	600	413	450	825	900	413	450	275	300	2750	3000	9
Hilltown	130	138	130	138	520	550	390	413	780	825	390	413	260	275	2600	2750	6

Figure 2-15: Serious crime rates per 100,000 population in high-crime-incidence areas.

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Figure 2-16-A: Oxford rape characteristics
(based on 100 randomly selected incidents from
first 9 months of 1973).

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Significant Characteristics - Offender	Number of Reports	Percentage
White Offenders	40	40
Black Offenders	60	60
Age Ranges:		
Under 17	15	15
17 - 19	15	15
20 - 22	20	20
23 - 30	35	35
Over 30	15	15
Alcohol Related	15	15
Drug Related	7	7
Single Rape/More Than One Offender	17	17
Other Crime Related: Abduction	2	2
Burglary	3	3
Robbery	6	6
Offender/Victim Relationship	Number of Reports	Percentage
Known-Familiarity	28	28
Unknown	50	50
Relative	2	2
Friend	20	20
Black/White	4	4
White/Black	1	1
Black/Black	56	56
White/White	39	39

Figure 2-16-B: Oxford rape characteristics
(based on 100 randomly selected incidents from
first 9 months of 1973).

Geographic Location	Number of Reports	Percentage
Zone 1	89	27
Zone 2	50	17
Zone 3	105	38
Zone 4	52	18

Time Period	Number of Reports	Percentage
6:00 a.m. - 11:59 a.m.	23	8
12:00 p.m. - 5:59 p.m.	53	18
6:00 p.m. - 11:59 p.m.	111	37
12:00 a.m. - 5:59 a.m.	110	37

Day	Number of Reports	Percentage
Monday	36	12
Tuesday	40	14
Wednesday	45	15
Thursday	46	15
Friday	48	17
Saturday	46	15
Sunday	36	12

Figure 2-16-C: Oxford rape occurrence.

CHAPTER 3. MULTIYEAR PLAN

The multiyear plan to prevent and reduce crime is the heart of the document that expresses a State's response to the national program engendered by PL93-83, reflecting the SPA's understanding of statewide problems and needs and reporting how these are to be redressed through an organized strategy of standards, goals, and priority-ranked program activities. Section 2 of Guideline Manual M4100.1C specifies that the SPA is to develop and present a multiyear plan for a period of not less than 3 years, including the current year and 2 subsequent years; and also, it is to incorporate program elements of at least 1 or 2 immediately preceding years for the purpose of showing how the plan is governed by recent experience, and proceeds through current efforts to projected program directions.

It is recommended that the same planning approach, i.e., component, functional, or delivery systems, be utilized by the SPA in the plan document(s) which describe existing systems for a given year and report multiyear plans and annual action programs. Consistency of planning approach facilitates the review of specific program activities as they evolve through the planning report.

SECTION 1. SUMMARY OF PLANNING APPROACH

It is recommended that the SPA, at the outset of the discussion relating to its multiyear plan, identify the planning approach utilized and list the planning elements which characterize the technique selected. This description would include the components, functional categories, delivery systems, levels (by type), coverage parameters, and other indicators of planning steps that organize the plan into first order groupings and second order segments of the plan, and then lead into specific projects and activities.

1. PLANNING STRUCTURE. At this point in the plan report, a chart such as figure 3-1 might be provided to give an overview of the State planning structure which, under the leadership of the SPA, represents the mechanism for applying the selected planning approach to the preparation of a multiyear plan.
2. EFFECTIVENESS. The test of the value of a multiyear plan is how well the identified needs can be translated into effective actions

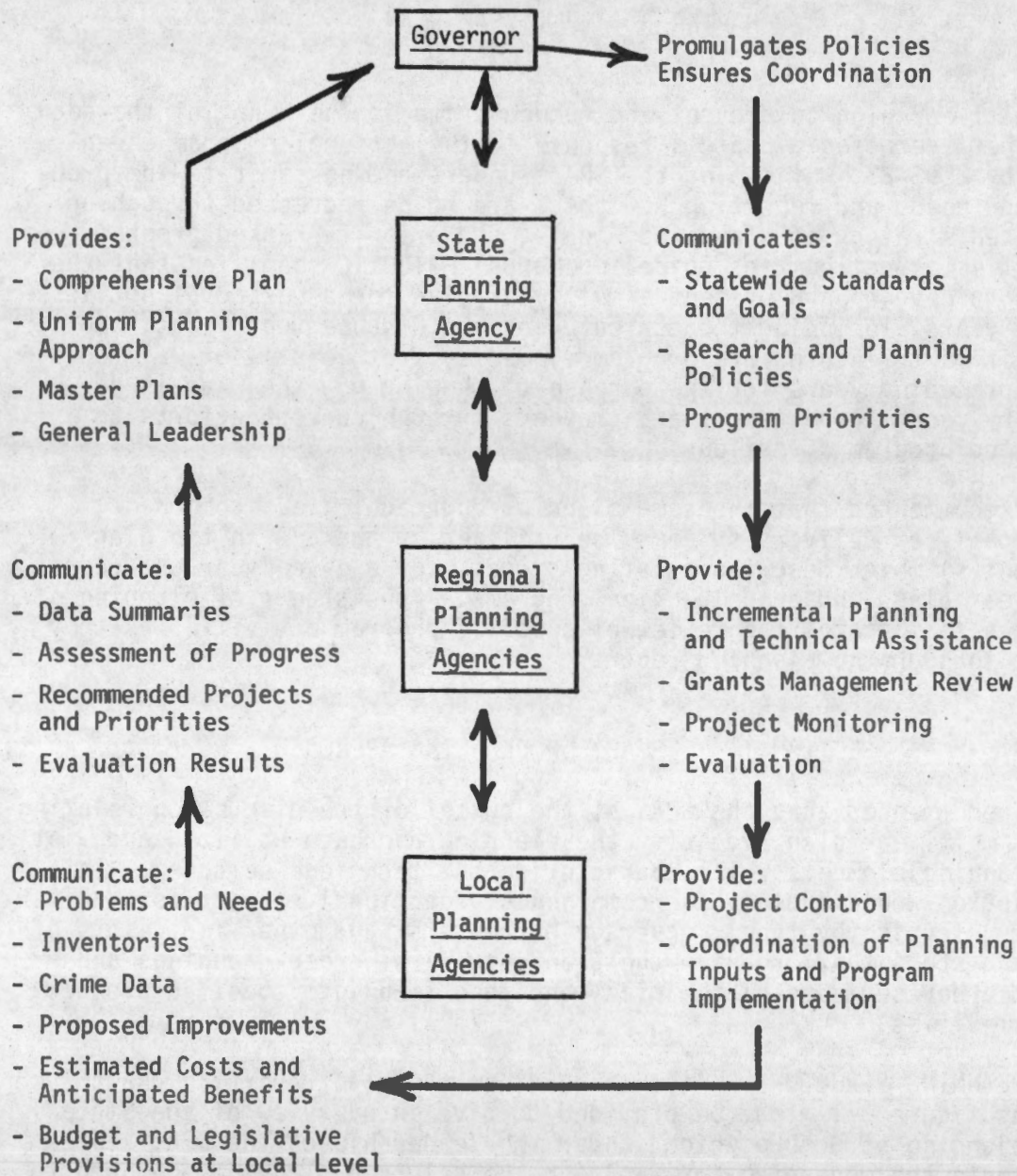


Figure 3-1: Arcadia planning structure.

and beneficial results. The potential benefits to society of reduced crime are substantial. Planning actions to be accomplished by an SPA with the aid of LEAA are an important step towards realizing these benefits. Many excellent long range plans are never implemented, however, because of the difficulties in bridging the gap between planning and change within the criminal justice system.

3. DIFFICULTIES. A variety of real difficulties stand between planning and action; these must be overcome if the actions to be taken are to achieve the goals the plan has addressed. Such difficulties may range from an unrealistic multiyear plan to a perfect plan that is not understood by implementing agencies.

Multiyear plans may be unrealistic in terms of what can be accomplished, what is really needed, and other features. Difficulties in understanding may be the result of several factors; however, almost all of the possible gaps can be avoided or eliminated by thorough communication. Communication must be carried out on a continuous basis among:

- the people involved in planning,
- the people involved in implementing,
- the people concerned with or affected by the changes to be made.

4. PURPOSE OF A PLAN. The purpose of a plan is to communicate to participants what is to be done. When the communication channel is downward, the plan is, in actuality, the set of instructions needed for action by the lower level organization. Although it may be assumed that the desire to act cooperatively exists, successful cooperative action is dependent upon good communication.
5. PARTICIPATION IN PLANNING. While the importance of participation in planning and decisionmaking has been established as a fairly commonplace idea, several preconceptions stand in the way of translating the idea into acceptable action. Participation in planning appears to be costly in time and energy. In addition, allowing others to participate in the planning process may set the stage for emotional upsets. The reality is that lack of communication and participation is more costly in time, energy, and emotions. Plans which will ultimately be ignored because they do not reflect a cooperative planning effort offer no cost-

PARTICIPATION IN PLANNING

<u>Planning Step</u>	<u>Type of Participation</u>	<u>Participants</u>
Standard Setting	Selecting Initial Standards	Representatives of Agencies Affected
Standard Setting	Approval	Supervisory Board
Goal & Priority Setting	Direction & Approval	Representatives of All Citizens
Describing Present System	Input of Data and Review of Description	Agencies Involved
Defining Problems & Needs	Input of Data and Review of Description	Agencies Involved
Estimating Costs of Actions	Input of Data and Agreement on Costs	Agencies Involved & Implementing Units
Forecasting Results	Input of Data and Agreement on Forecasts	Agencies Involved & Implementing Units
Outlining Program Objectives	Input & Agreement	Agencies to Be Affected
Outlining Program Objectives	Review & Approval	Supervisory Board
Identifying Projects	Input of Data & Review	Agencies Involved
Listing Annual Actions	Input of Data & Agreement	Agencies Affected & Implementing Units
Evaluating Projects	Input of Data & Review	Implementing Units
Evaluating Projects	Input of Data & Agreement	Agencies & Others Affected

benefit. It is far better to face the challenges of cooperative planning and benefit from the rewards of cooperative implementation.

6. TYPES OF PARTICIPATION. Participation should take place continuously throughout the planning, and evaluating cycles. Participation must include thorough involvement of people in the criminal justice system and beyond. The involvement of local elected officials and other public agencies, representatives of professional associations, business groups, and citizen groups is important. A tabular display of types of participation is given on the following page.

Meaningful participation requires substantial thought and effort. Participants must be fully informed about the concepts that are to be addressed in the planning process. This requirement may demand specific training sessions and the dissemination of considerable information. However, as noted, the rewards of adequate participation far outweigh the time and trouble.

SECTION 2. STATE STANDARDS, GOALS, AND PRIORITIES

Figures 3-2, 3-3, and 3-4, respectively, illustrate the planning process for component, functional, and delivery systems approaches to developing a comprehensive State plan. Each of these approaches, after the first order grouping of planning elements, has common steps which consist of establishing standards, setting goals, determining problems, and ranking the problems in relationship to impact on the overall goal of reducing crime.

1. STANDARDS AND GOALS. The Guideline Manual requires that the multi-year plan include "a general statement concerning the existing and proposed State goals, priorities, and standards" (section 2, paragraph 62, page 92). Standards are formal expressions of a norm, or a shared moral expectation, determined to be appropriate for the State.

Subgoals are to be set for each standard in order to provide a quantified target to be met in a stated time with respect to each standard. The difference between a subgoal and the existing condition

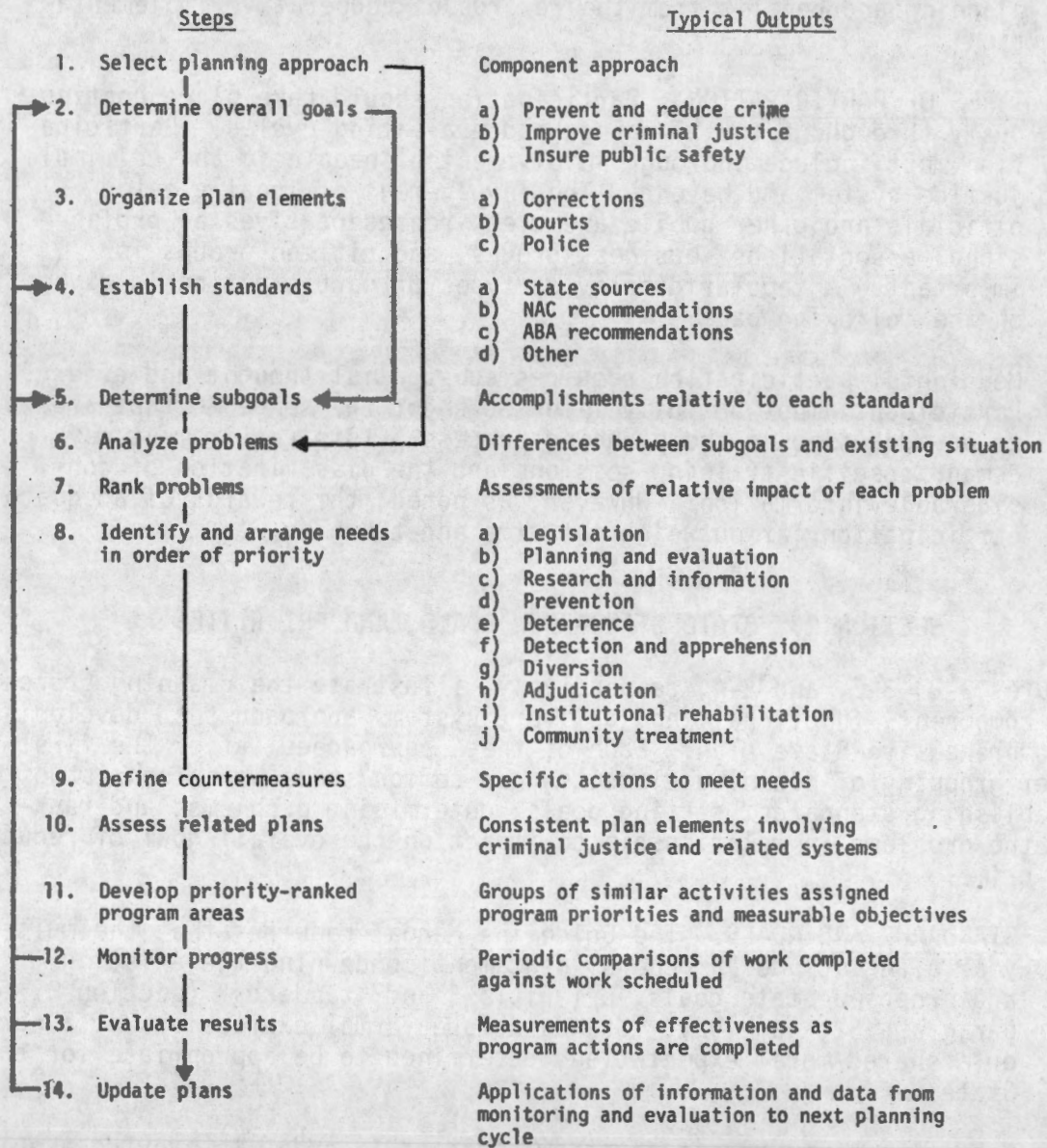


Figure 3-2: Steps in component approach
to criminal justice planning.

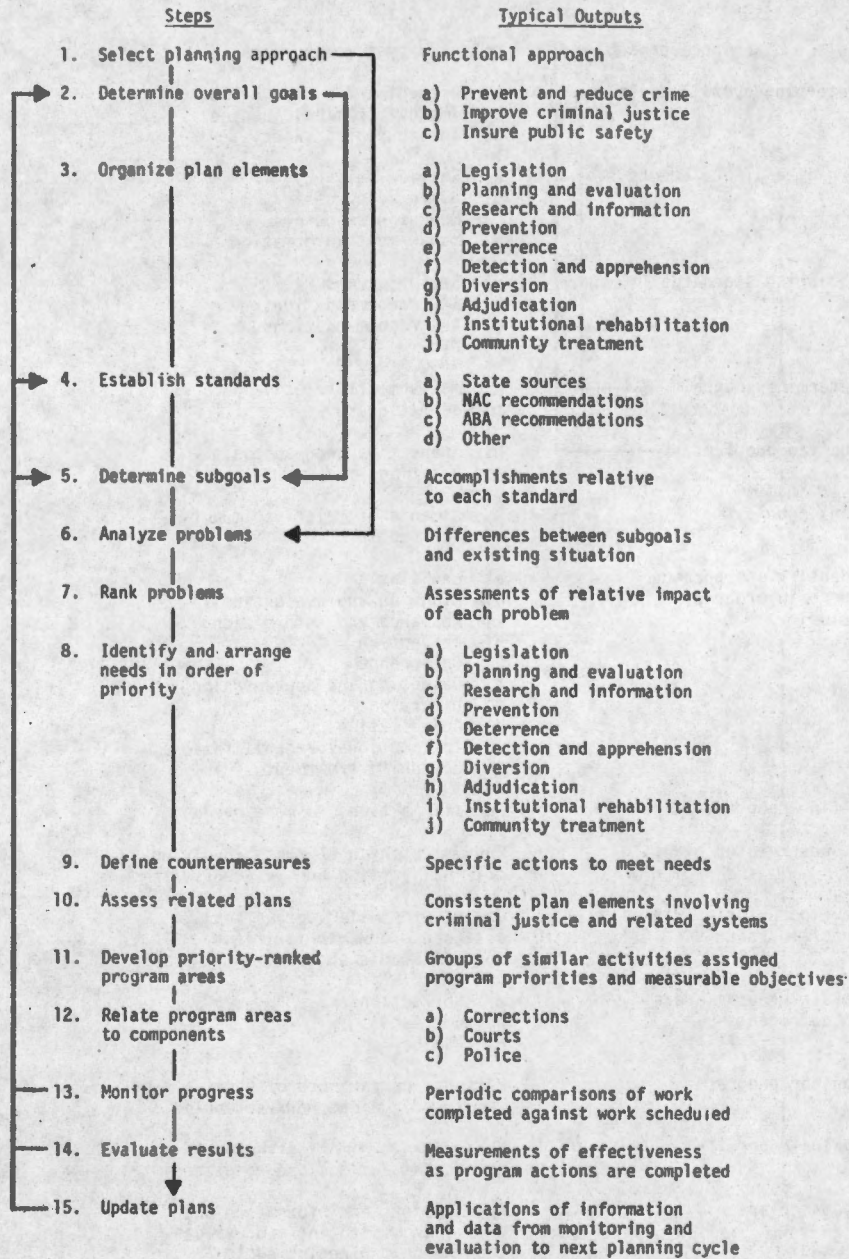


Figure 3-3: Steps in functional approach to criminal justice planning.

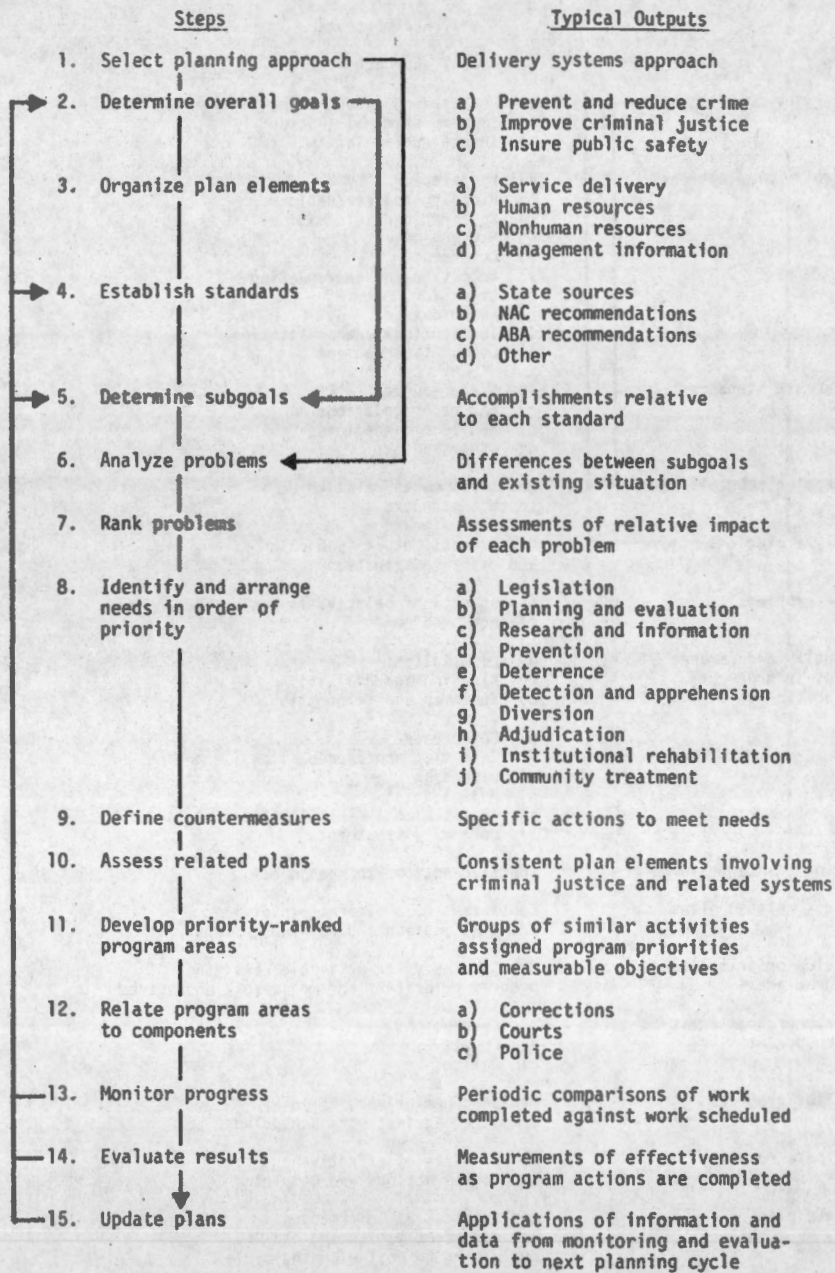


Figure 3-4: Steps in delivery systems approach to criminal justice planning.

related to the standard and its subgoal, then, is a "problem." Problems and, subsequently, program areas and projects, may be ranked in importance by methods discussed in paragraphs below.

Figure 3-5 presents an overview of a recommended sequence of steps involved in identifying problems and needs for the multi-year plan within the standards and goals established by the SPA for statewide application.

2. PRIORITY SETTING. As noted, the multiyear component of a State comprehensive plan is to include a general statement concerning existing and proposed goals, standards and priorities. It is imperative that priorities are established at the State level not only within each functional category (i.e., among program areas) but also among functional categories themselves. Priorities in social science areas such as the criminal justice system often are very difficult to set because their value cannot be quantified easily. As a result, an agency often employs informal procedures, such as group meetings, to set its priorities. In such cases, it is very easy for one outspoken individual to persuade the entire group to follow his particular biases.

This section outlines three alternative methods an SPA may employ to set its priorities: the Delphi Technique, Cost-Benefit analysis, and an Evaluation Matrix. Each of these three approaches attempts to provide a rational procedure which minimizes the influence of dominant personalities and which establishes a value for each item to be ranked.

3. DELPHI TECHNIQUE. The Delphi Technique was originally developed by the RAND Corporation as a method for obtaining consensus among experts about urgent defense without face-to-face discussion. RAND recognized that, while group discussion is a common technique for gaining consensus, there are several problems inherent in such a procedures.^{1/}

^{1/} Uhl, Norman L., Identifying Institutional Goals: Encouraging Convergence of Opinion Through the Delphi Technique, NLHE Research Monograph Number Two, National Laboratory for Higher Education, Durham, North Carolina, 1971.

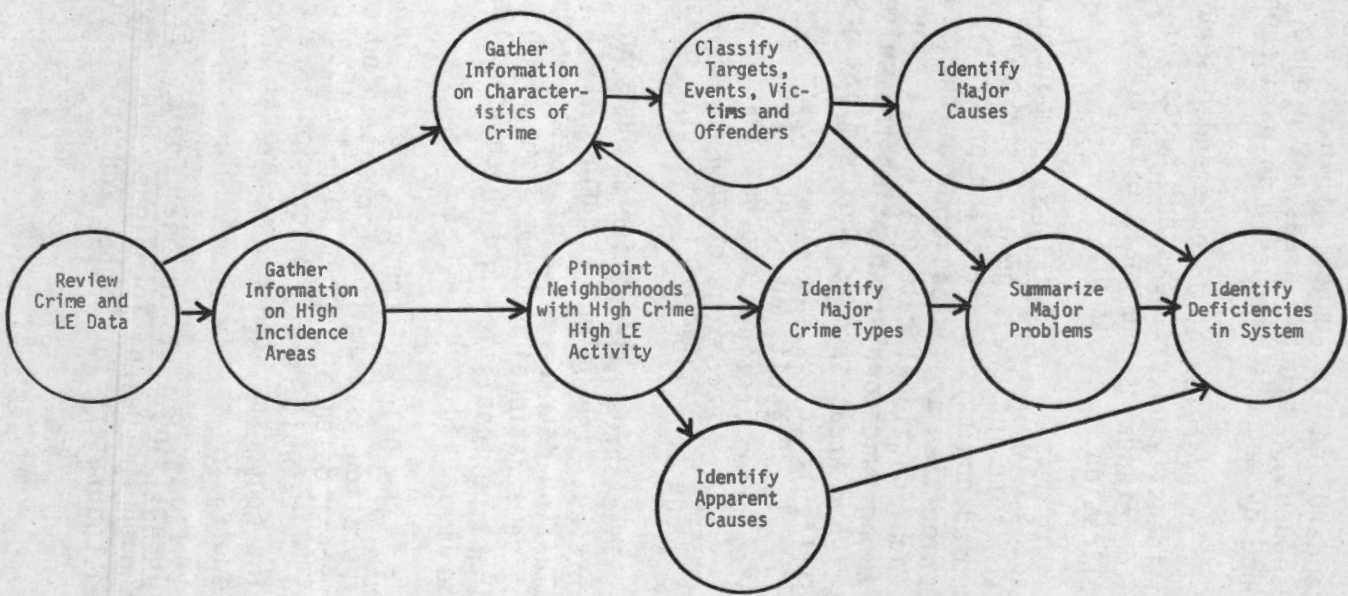


Figure 3-5: Identifying problems and needs for multiyear plan.

- (1) Group opinion is highly influenced by dominant individuals who usually talk the most; yet there is very little correlation between pressure of speech and knowledge.
- (2) Much discussion in group situations, while appearing to be problem-oriented, is irrelevant or biased because it is often more concerned with individual and group interests rather than with problem solving.
- (3) Group pressure to conform can distort individual judgment. In contrast to group discussions, the Delphi Technique achieves consensus without bringing individuals together. Participants complete a series of questionnaires interspersed with controlled opinion feedback. This procedure permits individual thought and aids in the gradual formation of a considered opinion.

The general procedure for the Delphi is as follows:

- (1) Participants are asked to list their opinions on a specific topic, such as the goals for the criminal justice system in the State of Arcadia;
- (2) Participants are then asked to evaluate the total list by a criterion, such as importance, chance of success, etc.;
- (3) Each participant receives the list and a summary of responses to the items and, if in the minority, is asked to revise his opinion or indicate his reason for remaining in the minority;
- (4) Each participant receives the list a final time, including an updated summary, minority opinions; he is given a final chance to revise his opinions.

Since its inception, Delphi has been used in innumerable studies ranging from defense problems to forecasting business indices; however, its most common application in recent years has been in the area of goal setting. This procedure could be particularly useful for the State Supervisory Council in setting and ranking goals for the State as a whole and for ranking various programs within functional areas. While Delphi does not attempt to place a quantifiable value on each item, it does attempt to rank items in relation to each other according to perceived needs.

"The Change Process in Criminal Justice," a monograph published by the National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration, presents a methodology for the quantitative assessment of criminal justice priorities which represents an application of the Delphi Technique. The method applies a systematic method of soliciting and correlating a broad range of opinion on criminal justice needs. It places important emphasis on the public's role in the criminal justice system. Results are not means to represent absolute definitions but may be used as indicators of high-priority needs. The process is summarized below.

With the aid of qualified professionals, the criminal justice program staff of the National Institute of Law Enforcement and Criminal Justice compiled a list of 13 fundamental objectives of a criminal justice system. One hundred persons, representing the community and criminal justice agencies, were then asked to assess the importance of these objectives by ranking them from one to thirteen in the order which reflected their opinion of relative importance. Because relative importance of objectives cannot be assumed to correlate with need for improvement, the participants were asked to assess the need for improvement in the achievement of system objectives. This ranking was accomplished by the respondent's distribution of 100 points among the 13 objectives.

The next step in the process involved the identification of methods of improvement which translate objectives into effective action. This step entailed the definition of functional system activities and their relationship to system objectives, and the assessment of their contribution to the achievement of objectives. To accomplish this task, a list of 43 basic criminal justice activities was developed. Next, the relationship of these activities to each of the 13 objectives was determined. Criminal justice agency professionals were then asked to assess the relative contribution of the activities by assigning 100 points among the listed activities associated with each objective.

The final step in the process in the development of an overall index of the importance of functional activity to program improvement. A "weighted matrix" procedure, described below, is used to compile this index.

Weights adding to 100 were used in discussions with the participants in this assessment, since experience has shown that the general public

finds it easier to work with the percentage concept. Computation requires decimal fractions adding to 1.

- a. Each of the 13 system-wide objectives was subjectively weighted as to its importance relative to the other objectives in such a way that the total of the weights of all of the objectives add up to 1.

Example: If two objectives are assessed, and the second is felt to be somewhat more important than the first, these might be reasonable weights:

	<u>Objective Weight</u>
Objective 1	.40
Objective 2	.60
Total	<u>1.00</u>

- b. Each of the 43 major system activities was rated subjectively as to its relative contribution to the accomplishment of each of the objectives. Again the rule was used that the total of the ratings of all the activities in supporting any one objective must equal 1.

Example: This example uses the objectives and objective weights of the previous example and assumes that three activities are necessary to achieve the objectives. All three activities contribute about equally to objective 1, but activity C is slightly less important to achieving objective 1 than are A or B. Activity B is much more important in the achievement of objective 2 than either A or C.

	<u>Objectives</u>	
	I	II
Objective Weights--	.40	.60
A	.35	.15
B	.35	.70
C	.30	.15
Totals	1.00	1.00

- c. A relative weight for each activity can then be calculated by summing up, for each activity, the products of the activity contribution to each objective multiplied by the weight of the objective.

Example: Using the sample weights of paragraph 2 above, the weights of Activities A, B, and C can be computed as follows:

	Objective 1	Objective 2	Resulting Activity Weight
Activity A weight =	$.35 \times .40$	$+ .15 \times .60 =$	$\frac{\quad}{.23}$
Activity B weight =	$.35 \times .40$	$+ .70 \times .60 =$	$\frac{\quad}{.56}$
Activity C weight =	$.35 \times .40$	$+ .15 \times .60 =$	$\frac{\quad}{.21}$
Total (this provides a check for computation errors) =			$\frac{\quad}{1.00}$

4. COST-BENEFIT ANALYSIS. A cost-benefit ratio is anticipated expenditures in dollars divided by expected savings, also expressed in dollars. A common use of the ratio is to compare dollars saved per dollars spent for alternative program elements with comparable objectives. Benefits, in the methodology herein described, are measured as dollars saved by reduction of crime. A low cost-benefit ratio would indicate an efficient program element; a high ratio implies a less efficient program element. When a valid estimate of potential reduction cannot be directly related to a proposed program element, cost-benefit comparisons are not applicable, since there is no basis for determining benefits expressed in dollars saved. Program priorities should be selected based upon a set of criteria which includes more than the results of a cost-benefit analysis. Thus, the plan also will account for program elements that are needed but which cannot be related directly to total impact on reduction of crime, and also can focus on tangential restraints such as a need to establish new agencies or units to effect program activities.

It is assumed that current trends in crime rates in relation to population, established through projections of experience in past years, would not decrease if the countermeasures in a proposed plan were not implemented. Program elements are formulated to accomplish goals for trends in decreases in crime rates. The alternative of regressing to lower levels of program activities would be likely to result in an increase in crime rates, which would be contrary to the overall goal of reducing crime. Individ-

ual objectives and targets are established for specific program elements in light of estimated reductions in crime rates within the overall goal for the comprehensive State plan.

5. EVALUATION MATRIX. Another approach to priority setting is represented in the following example in which priorities are established for selected program area. The approach is based on determination of the relative importance of program elements according to a priority matrix incorporating predetermined evaluation criteria and point values. The procedure is discussed in detail below.

Figure 3-6 presents the evaluation matrix that was used in the determination of the priorities for 10 program areas. The first of the seven evaluation criteria utilized to develop a priority ranking is direct impact on crime reduction. The value in points, which is assigned to weight the importance of direct betterment, is given to this criterion at twice the value in points as that given to the other six criteria. This value assignment was determined by past experience. The other criteria utilized have self-explanatory names shown in the column headings for figure 3-6. Higher point values are assigned to a criterion on the following basis: in consideration of constraints characterized by a specific criterion for evaluating program priorities, it is reasonable to assume that the objective of a selected program element is attainable to a substantial degree early in the multiyear period of the plan. Priority evaluation criteria are defined below:

- Direct Impact on Crime Reduction. Program element would directly prevent or reduce crime. (This criterion receives double weighting of points.)
- Conformance with Standards. Program element is needed for substantial conformance with standards. When lack of conformance is a bottleneck in the development of effective counter-measure programs, the criterion receives an exceptional value rating.
- Availability of Funds. Program element funding can be expected to be derived readily through resource commitments by agencies already funded in the program activities.

Program Areas	Evaluation Criteria								
<p>Points assigned to criteria are:</p> <p>4 - exceptional value 3 - high value 2 - moderate value 1 - low value 0 - no rating</p> <p>Range 32 (high) to 0</p>	Direct Impact on Crime Reduction (Weighted x 2)	Conformance with Standards	Availability of Funds	Time Required for Significant Progress Toward Objectives	Viability Relative to Administrative Acceptability	Practicality in Relation to Public Support	Simplicity of Initiation and Continuation to Goals	TOTAL POINTS ASSIGNED	PRIORITY
Program Areas	Pts	Pts	Pts	Pts	Pts	Pts	Pts	Pts	Pts
Crime Prevention Units	8	4	3	3	4	4	3	29	1
Community Service Units	6	3	2	2	3	4	4	24	3
Juvenile Units	8	4	4	2	3	4	2	27	2
Public Education	4	3	2	2	2	4	4	21	5
Special Investigative Units	6	2	3	2	2	4	4	23	4
Communications Systems	4	3	2	3	3	2	2	19	6
Mobile Crime Labs	2	1	2	1	2	1	2	11	10
Organized Crime Control Teams	6	3	1	1	2	3	1	17	7
Patrol Vehicles and Equipment	4	2	2	2	2	2	1	15	8
Civil Disturbance Training	2	1	1	2	2	3	2	13	9

Figure 3-6: Evaluation of priorities for selected program areas.

- Time Required for Significant Progress Toward Objective. Program element can become operational quickly for reducing crime and solving management and evaluation problems, and thus be of higher value than delayed programs. This criterion represents a time discounting of other criteria.
- Viability Relative to Administrative Acceptance. Program element can fit into the organizational structure of an established agency program.
- Practicality in Relation to Public Support. Program element can be expected to receive public support and has needed legislation already enacted, or adoption of enabling legislation is likely.
- Simplicity of Initiation and Continuation to Goal. Program element is simple to implement and continue from the viewpoint of obtaining management coordination with responsible agencies.

SECTION 3. PROBLEMS AND NEEDS

1. GENERAL. Guideline Manual M4100.1C specifies that a section of the multiyear plan provide an overview of major problems and needs existing within the State CJ system. It shall also indicate how specific programs in each system component ultimately will meet these needs (section 2, paragraph 61, page 92).
2. PROBLEM DEFINITION. Using the selected planning approach, the SPA's initial step is to define the problems confronting the State CJ system. This task is accomplished by quantifying, to the extent feasible, differences between goals set for established standards and existing conditions within the State CJ system. In short, problems are those discrepancies evident when the existing system is compared with the goals set pursuant to appropriate standards.

Once problems have been identified, they should be ranked in terms of their significance to the overall goal (e.g., crime reduction).
3. NEEDS DEFINITION. Needs identification flows from the problem definition process and may be defined as the allocation of resources or the course of action required to correct a given problem or prob-

lems. The multiyear plan should express and define problems in terms of functional categories previously adopted by the State.

4. PROGRAM AREAS. Having so defined needs within functional categories, the plan must then identify program areas or major groupings of similar projects directed toward meeting needs. These broad program areas should be ranked according to properly established priorities.
5. PROJECTS. Within each program area, specific projects should be identified and assigned to the appropriate plan component. Further, an implementation schedule covering the 3 planning years should be included and should indicate the amount of progress to be realized by projects within program areas during each of the planning years.

SECTION 4. MULTIYEAR BUDGET AND FINANCIAL PLAN AND FORECAST OF RESULTS AND ACCOMPLISHMENTS

1. INTRODUCTION. Future results and accomplishments attributable to program areas are integrally linked to the funding of programs over their period of existence. Financial planning and results forecasting for the multiyear plan may thus be considered together.
 - a. Forecast. A forecast is a prediction of likely conditions in the future and an estimate of the likelihood that these conditions will occur. Frequently, the sets of conditions believed most likely to occur are presented as the forecast, rather than as a range of conditions. If the time horizon is relatively short, or the range of outcomes relatively narrow, this is a reasonable approach to forecasting. If the time frame is relatively long, e.g., 5 years for a program, or the predictability of results is very uncertain, the forecast should reflect this uncertainty about the future.
 - b. Financial Plan. The financial plan is a statement about the expected sources, uses, and timing of funding requirements necessary to meet the objectives of a program area. The multi-year time frame inherent in many programs should be considered in the financial plan.

- c. Interaction. Program areas are developed to accomplish goals and objectives associated with functional categories and ultimately linked to the overall goal of the State CJ system. For each program, a forecast of accomplishments is required to predict conditions at annual intervals as well as results and accomplishments of the total program. Ideally, these forecasts should be consistent with and reflect the goals established for the program. The financial plan describes the funds necessary to implement the program. Thus, the forecast is contingent upon the budget, which in turn is established to provide financial means to accomplish the program objectives.
2. MULTISTAGE PROCESS. The planning process to develop program areas requires a multistage approach to satisfy the multiyear requirement. This approach coordinates a sequence of actual and potential annual action plans into a multiyear plan. Thus, the stages are annual time periods.
 - a. Justification. The results and accomplishments of past projects and programs create a foundation or environment for the current annual action plan. If program requirements and goals are projected for a single year only, a sequence of programs may evolve which is inefficient and ineffective relative to the program which would have been planned over a multiyear period.

Consider, for example, two alternative approaches to planning for a management information system program. A single stage process would plan for each year independently and exclusively. If the goal each year is to maintain the capability of processing that year's management data, the plans might evolve as follows.

- Year 1: To meet a 20 percent increase in processing requirements, hire three additional clerks, and process manually.
- Year 2: To meet a 15 percent increase in processing requirements, hire two additional clerks and one supervisor, and rent additional space elsewhere.

Year 3: To meet a 20 percent increase in processing requirements, hire one additional clerk, purchase additional filing and sorting equipment, and increase overtime to 10 percent of total hours.

A multistage planning process might have treated the programs differently.

Over the next 3 years, management information data is forecast to increase at an annual rate of 20 percent. To provide necessary management information effectively, the following sequence of plans should be implemented.

Year 1: Contract for automated equipment to be in operation at the end of year 2. Hire additional interim clerical help.

Year 2: Hire additional interim clerical help. Begin cross-training to automated system.

Year 3: Final conversion to automated system. Complete cross-training and personnel adjustments.

Budget requirements:

<u>Year</u>	<u>State</u>	<u>Local</u>	<u>LEAA</u>	<u>Total</u>
1975	\$ 8,000	\$1,000	\$ 78,000	\$ 87,000
1976	15,000	-	110,000	125,000
1977	<u>11,000</u>	<u>2,000</u>	<u>80,000</u>	<u>93,000</u>
Total	\$34,000	\$3,000	\$268,000	\$305,000

- b. Updating. Program planning over a multiyear period does not create a binding commitment to programs several years hence. If expectations concerning the results of more immediate plans are fulfilled, the present plan for programs several years hence should be implemented. If results and accomplishments are different from expectations, the plans for several years hence should be modified to reflect these changes. Each year a multiyear plan should be formulated for a 3-year period.

3. COMPONENTS. The multiyear section of the plan should include the following information.

- a. Subgoals. The subgoal for each standard should be specified. Quantitative measures of performance should be specified to identify an endpoint in the program and to provide milestones during the program.
 - (1) Measurable targets should be specified for each year of the program life, or for identifiable milestones in the programs.
 - b. Budget Projections. Fund requirements for each year of the program life, up to 3 years, should be included in the multi-year section.
 - (1) A breakdown of the sources of funds should be furnished for each program by years. The breakdown should distinguish among LEAA funds; type C and type E funds, State, local, private, and Model City funds.
 - (2) Report on Level of Continuation Funding.
 - c. Impact. For each program area an impact statement should be provided specifying the type and degree of impact the program area will have on accomplishing the goals associated with the functional category or the overall State CJ system goal.
4. PRESENTATION. Subgoals, targets and milestones, budget data, and impact statements should be provided for each program standard. Program areas which should be included in the summary are:
- Existing program areas which were started in earlier years;
 - Programs to be initiated in the first year of the multiyear period;
 - Programs to be initiated before the end of the multiyear period.
- a. To the extent possible, summaries of the necessary information should be presented in charts and tabular form. This format

1. To implement a Crime Specific Program which will accomplish the following: the identification, prevention, control and suppression of specific crimes, e.g., organized crime, narcotics violations, robbery and burglary.

Completion of identification phase and implementation of prevention phase.

Completion and implementation of control phase.

<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>	<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>	<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>
\$426,000	\$25,000/\$25,000	\$476,000	426,000	25,000/25,000	476,000	426,000	25,000/25,000	476,000

2. Metropolis and the other six major central cities will offer specialized training in various law enforcement subjects, and Metropolis will implement a word processing resource to effect a 10 percent reduction in demonstration groups time spent in report writing, increase infield time, offense detection, increase report productivity, quality and automation.

To continue training and to proceed to expand implementation of system for total field force.

To continue training and expand processing system to field force, improve detection, increase arrest and clearance.

<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>	<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>	<u>LEAA</u>	<u>State/Local</u>	<u>Total</u>
\$225,000	\$23,000/\$23,000	\$251,000	225,000	23,000/23,000	251,000	225,000	23,000/23,000	251,000

Figure 3-7: Multiyear program summary.

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Functional Category A

Program	<u>1974</u>	<u>1975</u>	<u>1976</u>	<u>Total Program Area</u>
A-1	22,300	22,300	22,300	66,900
A-2	426,580	510,500	620,300	1,567,380
A-3	625,000	625,000	625,000	1,875,000
Total	1,073,880	1,157,800	1,267,600	3,499,280

Functional Category B

Program				
B-1				
B-2				
B-3	672,500	672,500	672,500	2,017,500
Total	672,500	672,500	672,500	2,017,500

Functional Category C

Program				
C-1	1,332,266	1,332,266	1,332,266	3,996,798
C-2	2,550,000	2,550,000	2,550,000	7,650,000
C-3	1,125,000	1,125,000	1,125,000	3,375,000
Total	5,007,266	5,007,266	5,007,266	15,021,798

Figure 3-8: Multiyear budget summary, 1974-1976.

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Figure 3-9: Program schedule chart.

facilitates comparisons among programs and over time to verify that continuity is maintained. Figure 3-7 and 3-8 illustrate appropriate formats for presentation.

- b. Schedule Charts. Various methods are available to chart the status of several programs simultaneously, and to illustrate any necessary sequencing of programs. These charts will aid the planner in coordinating programs in the multiyear plan. An example is the Gantt-type schedule chart illustrated in figure 3-9.

A schedule chart which illustrates the collection of projects and programs, the activities necessary to manage them, and the necessary sequencing is the PERT or CPM (critical path method). The CPM allows one to determine the earliest and latest time that an activity may be begun in order to complete the program on time. Those activities for which the early and late start times are identical are critical in that any delay within the activity will delay the program's completion. Thus, the activities and projects requiring the closest attention are identified.^{1/}

5. CLASSIFICATION. If the State has adopted a set of functional categories different from the LEAA categories, a summary chart of the programs which tie into the LEAA categories is required. This crosswalk must identify amounts planned for each LEAA category.^{2/}

^{1/} For a more detailed discussion of CPM, see Jerome D. Weist and F. K. Levy, A Management Guide to PERT/CPM, Prentice-Hall, Englewood Cliffs, N. J., 1969.

^{2/} LEAA Guideline Manual M4100.1C, paragraph 65, page 95.

