

REGIONAL CRIMINAL JUSTICE PLANNING

A Manual for Local Officials

Part II

Developing a Regional Criminal Justice Plan

1731
Dup

PART I: Regional Criminal Justice Planning and Local Officials

PART II: Developing A Regional Criminal Justice Plan

PART III: Organization and Support for Regional Criminal Justice Planning

PART IV: Relationships Between Regional Criminal Justice Planning and Other Regional and Local Planning Functions

PART V: Implementing Regional Criminal Justice Planning

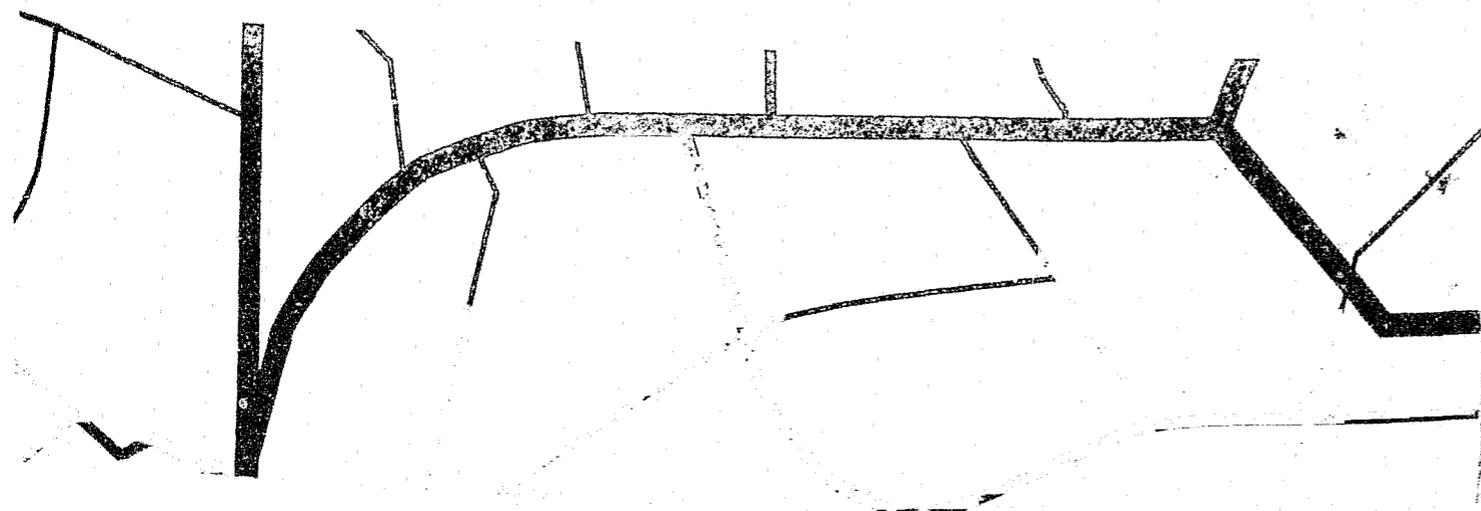
REGIONAL CRIMINAL JUSTICE PLANNING: A Manual for Local Officials

Part II
Prepared For
the National Association of Counties Research Foundation
By
Ernst & Ernst

Part II: Developing a Regional Criminal Justice Plan

Washington, D.C.

November 1971



The research for this publication
was performed under Discretionary
Grant No. 71-DF-624 of the U. S.
Department of Justice, Law Enforcement
Assistance Administration

© by the National Association of Counties Research Foundation, 1971

Library of Congress Catalog Card Number: 70-611337

foreword

In order to be responsive to the needs of their constituency and to more effectively allocate limited local resources, elected officials have come to recognize the potential benefits of regional planning in the field of criminal justice. While there are some who fear the movement toward regional planning, most have come to see regional cooperation as a means for strengthening their leadership position within the community through a maximization of existing resources, and through increased effectiveness. Regional planning, in other words, attempts to secure coordinated effort among political jurisdictions by fostering the establishment of regional goals and action programs.

A number of factors have induced local governments to look beyond their borders for realistic solutions to local criminal justice problems. Among the more compelling of these conditions is the sheer complexity of today's concerns, the increasingly mobile character of our society, the chronic fragmentation of services and the dissipation of resources within, between and among layers of government.

In 1968, Congress passed the *Omnibus Crime Control and Safe Streets Act* which authorized planning grants for the improvement of local criminal justice services. Grants may be made for 90 percent of the eligible planning costs of units of local government, or combinations thereof. In some states, virtually any governmental unit or combination is eligible for funding while in other instances the state has utilized its substate regions as the basic unit for planning. Existing multi-county planning organizations (e.g., Councils of Government, Economic Development Districts, Local Development Districts, etc.) are recipients in many cases, but elsewhere wholly new agencies have been created to receive funds. As a voluntary association, regional criminal justice planning councils do not have the power to levy taxes or pass laws or even to bind members to their decisions. But they provide an organizational capability for bringing local governments together to explore and solve mutual problems.

The National Association of Counties Research Foundation, recognizing the important role of counties and other local governing units in the regional criminal justice planning process, undertook to develop this manual under a grant from the Law Enforcement Assistance Administration, U. S. Department of Justice.

I am confident the manual will be of help to local officials in effectively participating in the regional criminal justice planning process.

Bernard F. Hillenbrand
Executive Director
NACORF

preface

The rising crime rate and general dissatisfaction with the operations of the criminal justice system in many communities are matters of considerable concern to local elected officials of general purpose governments (mayors, councilmen, county commissioners, etc.). Regional criminal justice planning offers an excellent opportunity for funding and setting into motion solutions to many crime prevention and control problems that cannot be accomplished alone by a single community or agency.

Local elected officials of general purpose governments should play an important role in the regional criminal justice planning process. Their participation and understanding of the process helps:

- Assure that the regional plans reflect the policy inputs of local elected officials who are accountable for the overall performance of the criminal justice system in their communities
- Bring together in a unified system the various governmental and agency jurisdictions that affect the criminal justice system in a particular region
- Bridge the efforts of the regional criminal justice planning councils with the implementation activities of individual communities

This guide is intended to help increase local officials' appreciation and understanding of the regional planning process. With a better understanding of the considerations involved in developing regional criminal justice plans, more effective responses to the prevention and control of crime can be developed and implemented.

Washington, D.C.
November, 1971

Michael K. Gemmell
Director of Contract Research, NACORF

The National Association of Counties Research Foundation (NACORF) was founded in 1957 for the purpose of applying social science research techniques to issues that concern local government.

NACORF was conceived as an intellectual yet pragmatic laboratory capable of approaching contemporary problems from an interdisciplinary perspective.

The NACORF research process attempts to solve problems through the development of innovative projects sensitive to the needs and nuances of local government. This is accomplished through a broadly organized and overlapping network of project staff teams. These staff teams combine and weigh theoretical and empirical data and develop practical program alternatives for community action. Roles and functions are adapted to ensure project continuity, to suit individual work preferences, and to maximize full utilization of staff talent.

NACORF also enjoys the benefits of its parent organization, the National Association of Counties (NACO). A membership organization created in 1935, NACO services approximately 20,000 elected and appointed policy-making officials from approximately 800 counties (representing some 130 million of the nation's population).

The expansive resources of NACO provide NACORF with a variety of excellent opportunities for cooperation from local government personnel in the implementation of research projects. In addition to supplying advice and insight to the process of problem-solving, local government personnel assist project staff teams in identifying communities with the necessary mix of experience and programs for on-site examination. As a result, NACORF has developed sound working relationships with local officials and gained considerable experience in problem-solving activities at the local level.

NACORF BOARD OF DIRECTORS

OFFICERS

President
William Conner, County Executive
New Castle County, Delaware
Gladys Spellman, Councilwoman
Prince George's County, Maryland

Stanley Smoot, Commissioner
Davis County, Utah
Gil Barrett, Commissioner
Dougherty County, Georgia

Vance Webb, Supervisor
Kern County, California
Albert W. Gault, Director of Finance
Prince George's County, Maryland

DIRECTORS

William O. Beach, Judge
Montgomery County, Tennessee

Robert Allen, County Attorney
Oakland County, Michigan

Lawrence Roos, Supervisor
St. Louis County, Missouri

Delos Hamlin, Supervisor
Oakland County, Michigan

Robert Jordan, Jr., Commissioner
Montgomery County, North Carolina

Russell Newman, Commissioner
Rockingham County, North Carolina

Peter Perrecone, Supervisor
Winnebago County, Illinois

John Mulroy, County Executive
Onondaga County, New York

Eldon Hout, Commissioner
Washington County, Oregon

George Ricca, Supervisor
Mohave County, Arizona

William Dunn, Commissioner
Salt Lake County, Utah

W. L. Sterrett, Judge
Dallas County, Texas

Arch Lamb, Commissioner
Lubbock County, Texas

Richard Lugar, Mayor
County of Marion, Indiana

Arthur Hinsel, Commissioner
Hendricks County, Indiana

Harold Landolt, Supervisor
Madison County, Illinois

Dale Anderson, County Executive
Baltimore County, Maryland

Roger Wolfe, Commissioner
LeSueur County, Minnesota

John Asplund, Chairman
Greater Anchorage Area Borough, Alaska

George Stahl, Commissioner
Lehigh County, Pennsylvania

Bernard Reynolds, Chairman of
the Board of Revenue
Dallas County, Alabama

Frank Pokorny, Commissioner
Cuyahoga County, Ohio

Joseph Early, Supervisor
Augusta County, Virginia

Elmer Peters, Commissioner
Sedgwick County, Kansas

Jack W. Moody, Recreation Director
Somerset County, New Jersey

Cordell Meeks, Chairman of the Board
Wyandotte County, Kansas

Curtis Ezelle, Tax Collector
Hardee County, Florida

Frank Lynch, Chairman of the Board
Oklahoma County, Oklahoma

Lamar Hancock, Commissioner
Suwannee County, Florida

James Glover, Director of Social Services
Nash County, North Carolina

Don Adams, Commissioner
Kootenai County, Idaho

George Makin, Freeholder
Ocean County, New Jersey

Frederick Dewberry, Federal Aid
Coordinator
Baltimore County, Maryland

Daniel Lynch, Commissioner
Douglas County, Nebraska

Charles Lawrimore, Treasurer
Georgetown County, South Carolina

Eugene Hollister, Supervisor
Walworth County, Wisconsin

Betty June Hayes, Register of Deeds
Orange County, North Carolina

Jack Trezise, Commissioner
Jefferson County, Colorado

Conrad M. Fowler, Judge
Shelby County, Alabama

Ed Munro, Councilman
King County, Washington
W. W. Dumas, Mayor-President
East Baton Rouge Parish, Louisiana
J. Harland Patterson, Secretary,
Board of Auditors
St. Claire County, Michigan

Edwin G. Michacian, County Executive
Westchester County, New York

M. James Gleason, Chairman of the Board
Multnomah County, Oregon

Ellis White, Judge
Malheur County, Oregon

C. Beverly Briley, Mayor
Nashville-Davidson County, Tennessee

Dan W. Gray, Commissioner
Calhoun County, Alabama

John Brewer, Commissioner
Kent County, Michigan

Ed Crawford, County Executive
Broome County, New York

L. J. Hollenbach, III, Judge
Jefferson County, Kentucky

Donald E. Drake, Public Information Officer
San Joaquin County, California

C. Arthur Elliott, Engineer
Greene County, Iowa

P. Jerry Orrick, Executive Director,
Association of Oregon Counties
Salem, Oregon

Dr. J. Howard Beard, County Health Officer
Anne Arundel County, Maryland

William Koniarski, Commissioner
Scott County, Minnesota

Angus McDonald, Commissioner
Yakima County, Washington

Hugh Logan, Commissioner
Clarke County, Georgia

Fred Tonnemacher, Commissioner
Richland County, Ohio

Clarence Prevatt, Commissioner
Hillsborough County, Florida

Ken Rustad, Commissioner
Fallon County, Montana

George Otowski, Freeholder
Middlesex County, New Jersey

Lloyd Owens, Chairman
Waukesha County, Wisconsin

George Buziannis, Commissioner
Tooele County, Utah

Thomas H. Haga, Planning Director
Genesee County, Michigan

Sig Sanchez, Supervisor
Santa Clara County, California

Buck Sorenson, Supervisor
Pottawottamie County, Iowa

Glen Stutzman, Commissioner
Park County, Wyoming

Ralph Thiel, Supervisor
Tuolumne County, California

Lloyd Wood, Supervisor
Albemarle County, Virginia

acknowledgements

A special note of gratitude is due Dr. Mel Powell, formerly Director of Contract Research for the National Association of Counties Research Foundation. His extensive knowledge, background and insight into the nature and field of regional criminal justice planning and local governments was invaluable.

Our greatest debt belongs to the many local elected officials and program specialists who provided the basic information without which this project could not have been completed.

The opinions, findings and conclusions expressed in this publication are not necessarily those of the Law Enforcement Assistance Administration or any other public or private agency, organization, or association. Naturally the writers alone assume complete responsibility for any errors of fact contained in this document.

This section of the manual was prepared for NACORF by Ernst and Ernst of Cleveland, Ohio. The NACORF project staff is composed of Michael K. Gemmell, Project Director; Donald Murray, Assistant Project Director; Warren Howe, Research Associate; William Bodwitch, Research Associate; and Alesanne Butzin, Editorial Assistant.

Photo Credits: Black Star Publishing Co., New York

PART II: DEVELOPING A REGIONAL CRIMINAL JUSTICE PLAN

TABLE OF CONTENTS

INTRODUCTION

IMPORTANCE OF REGIONAL CRIMINAL JUSTICE PLANNING

Benefits of Regional Approach

Problems of Coordination

ORGANIZATION OF REGIONAL CRIMINAL JUSTICE PLANNING COUNCILS

OVERVIEW OF THE PLANNING PROCESS

DEVELOPING A CRIMINAL JUSTICE PLAN

Defining Major Criminal Justice Problems

Data Collection

Data Analysis

Establishing Goals

Initial Goals

Refining Goals

Identifying and Evaluating Programs/Projects

Establishing Priorities

Establishing Implementation Requirements

Documenting the Plan

Multi-Year Plan

Annual Action Plan

Board and Agency Approval and Acceptance

Public Acceptance

State Review

Evaluating and Monitoring the Plan

Evaluating

Monitoring

Updating the Plan

SUMMARY

APPENDIX A: CRIMINAL JUSTICE OBJECTIVES, GOALS AND SUB-GOALS FOR A TYPICAL REGION

APPENDIX B: MULTI-YEAR FORECAST OF ACTIVITIES, COSTS AND MILESTONES

APPENDIX C: EXAMPLE OF PROJECT PLAN

INTRODUCTION

This guide is Part II of the manual entitled: *Regional Criminal Justice Planning: A Manual for Local Officials*. The purpose of the guide is to acquaint local elected officials* of general-purpose governments with the steps involved in preparing a regional** criminal justice plan. A second purpose is to help local officials define more precisely their roles in the regional criminal justice planning process.

The guide has been divided into three sections. The first section highlights the benefits as well as some of the difficulties of regional criminal justice planning.

The second reviews the organizational arrangements underlying the operations of most regional criminal justice planning councils. A knowledge of these factors is helpful to an understanding of the steps involved in regional planning.

The third section discusses the principal steps involved in developing a regional criminal justice plan. This section of the guide is not a comprehensive text on how to do criminal justice planning, but rather an overview of the key considerations and decision points in the planning process.

IMPORTANCE OF REGIONAL CRIMINAL JUSTICE PLANNING

Experienced local officials do not need to be reminded about the importance of planning, especially when large commitments of public funds and a number of complex inter-agency and governmental considerations are involved. They recognize that, whether health, transportation, pollution, sewage or economic development problems are involved, successful action projects cannot be implemented without an on-going and well-developed planning program that:

*Unless otherwise indicated, the use of the term "local officials" throughout this guide will refer to those elected officials (e.g., mayors, councilmen, county commissioners, etc.) and their appointees, such as county and city managers, who are mandated with broad policy-making responsibilities. Thus, elected sheriffs, prosecutors, and judges are excluded from this definition.

**Regional refers to multi-community or multi-county groupings of general purpose governments.

- Facilitates problem identification
- Provides a framework for determining priorities
- Encourages the consideration of alternative action projects
- Permits agencies to anticipate problems and be goal-oriented rather than reactive

The same need for planning holds true for the complex problem of crime and its control. Formalized planning sections in individual criminal justice agencies, such as police department planning and research units, are not new. This type of planning generally involves such matters as:

- Budget preparation
- Statistical analysis to support administrative and operational decisions
- Review, updating and dissemination of policies, procedures, rules and regulations

However, a relatively recent innovation is the type of criminal justice planning that covers a number of communities and involves law enforcement, judicial and correctional agencies, as well as such other local agencies as health departments and schools, whose programs have an important impact on the criminal justice process. Because of its broader scope, regional planning is concerned more with problems that cut across functional and community lines, such as regional training and criminal justice information systems, than with the operational problems of a particular department or community.

Benefits of Regional Approach

The regional approach to criminal justice planning generally will not meet the more immediate planning needs of individual departments or communities. However, the regional approach does offer a number of benefits to individual communities. Some of these are:

Inter-Community Cooperation. Regional criminal justice planning provides the opportunity to bring together a number of communities to discuss and plan how they can better coordinate their efforts to reduce crime. It is self-evident that crime neither respects political boundaries nor is a matter of concern only to inner city residents. Widespread narcotics usage in many an inner city ghetto has overlapped into the cities' affluent suburbs. An organized crime syndicate operating primarily on the residents of the inner city has a way of spreading its tentacles to neighboring communities and even to neighboring states. As Part I of this manual pointed out, the mobile nature of our society has created new demands for local governments to cooperate and work together in developing joint programs for the protection of their citizens.

Inter-Agency Coordination. Regional criminal justice planning also offers the opportunity to bring the police, courts, correctional agencies and other related agencies together to discuss and attempt to resolve problems that cut across agency lines. Difficulties in curbing the crime rate in many cities result, in part, from police, courts and correctional agencies working in relative isolation from each other and often at cross-purposes. The mere opportunity for sharing views and learning about the problems of other agencies can do much to improve the general effectiveness of the criminal justice system.

Comprehensive Planning. Regional criminal justice planning offers a method for bringing local agencies together with those agencies which operate at the county or district level, thereby permitting a more comprehensive approach to resolving criminal justice problems. As Part I of this manual showed, courts with jurisdiction over felonies often are established on a county or district basis. Probation in a number of states is a function of a county or state department operating on a county or a district basis. Correctional programs and institutions also are normally county and state functions.

Removing Inefficiencies and Duplication of Services. By bringing agencies and communities together, the regional approach provides an opportunity to determine how to reduce the present duplication and inefficiencies of the criminal justice system. Part I of this manual has described the inefficient ways in which the nation delivers criminal justice services with its many separate police agencies, diffusion of correctional responsibilities, and many separate courts.

Pooling of Planning Resources. Regional planning

offers the opportunity for a number of communities to pool scarce dollars to obtain effective planning as well as to combine efforts in securing financial and technical assistance from federal and state governments.



Planning and research functions in criminal justice agencies are not new, but regional criminal justice planning is a recent innovation.

Problems of Coordination

While regional criminal justice planning has a number of advantages, local officials also should be aware of the difficulties inherent in coordinated planning. Some of these difficulties and means for minimizing them are:

Underfunding. A number of regional criminal justice planning councils do not have sufficient budgets to support adequate staff and planning efforts. As will

be discussed later, most regional criminal justice planning councils have been established pursuant to the *Omnibus Crime Control and Safe Streets Act of 1968* and rely almost totally on federal funds for their financial support. Where federal support is insufficient, arrangements should be considered for securing supplementary financial or staff support from the participating communities. To overcome problems of insufficient funding, a number of regional criminal justice planning councils operate as parts of a general purpose planning council and, thus, are able to share some planning costs with other multi-jurisdictional planning programs.

Unrealistic Grouping of Governments. The grouping of governments on the regional criminal justice planning council might not be responsive to actual needs. Proper regional boundaries and representation should be established to avoid:

- Exclusion of principal agencies, such as district courts, which affect crime prevention and reduction programs within the region
- Loss of effective ties with some of the governments involved because the council encompasses too large or diverse an area
- Disharmony among the council members. The demographic mix might be incompatible, or interests and problems of the participating communities might be dissimilar
- A population base not sufficiently broad to permit effective planning

Lack of Accountability to the People. Regional criminal justice planning councils must account for their actions to the people, as well as reflect their interests and concerns. Greater participation and interest by local officials in the regional planning effort can provide this accountability and assure that the council, especially at the policy-making level, is not overly controlled by the professional staff or a few communities or agencies.

Inability to Influence Positive Actions. Regional planning councils are voluntary associations which do not have the ability to levy taxes, make laws or even bind their own members to decisions made by the councils. The planning and coordination efforts of the councils can only be as effective as the member communities are willing to make them. There are, however, some steps which can be taken to increase the influence and effectiveness of regional criminal justice planning councils. These include:

Appointment of a Criminal Justice Coordinator within Individual Communities. A number of communities have appointed criminal justice coordinators to coordinate the planning efforts and grant requests affecting agencies within their communities, and to serve as bridges between the regional planning councils and the communities. Such a coordinator not only can help assure that the regional plan reflects the needs of the community, but also can help expedite implementation of the plan.

Approval of Grant Requests. The regional council should have authority to recommend approval or disapproval of grant requests for *Omnibus Crime Control and Safe Streets Act of 1968* funds. Review authority over other types of federal grant requests (pursuant to current federal regulations) will further strengthen the council's ability to influence positive actions.

Participation by Local Officials. Sincere interest and involvement in the planning process by local officials, as well as by the judiciary and elected prosecutors and sheriffs, is extremely important to the success of any regional criminal justice planning council.

ORGANIZATION OF REGIONAL CRIMINAL JUSTICE PLANNING COUNCILS

There are over 400 criminal justice planning councils in the country. Most of them are regional and cover the principal criminal justice functions of police, prosecution, courts and corrections. The councils generally have been established in response to the *Omnibus Crime Control and Safe Streets Act of 1968*.

The Act requires that before action funds can be made available to state and local units of government a state comprehensive law enforcement plan must be prepared, reflecting state and local criminal justice needs as well as programs for meeting those needs. To facilitate this annual planning effort, the Act provides for the formation of state law enforcement planning agencies (SPAs) and the encouragement of local planning capabilities. Planning funds (on a 90-10 match basis) are made available to each of the states on the basis of

population. In turn, the states are to make at least 40 percent of the federal planning funds available to local units of government or combinations thereof. Most of the SPAs have made the planning funds available to groupings of local governments, in order not to diffuse limited planning funds, and to facilitate the administration of the Safe Streets program.

In some states, such as Virginia and South Carolina, the SPAs encouraged existing general purpose regional planning councils, which already exercise planning and programming responsibilities for other federal-state local programs, to assume the law enforcement planning responsibilities for the governmental units within their regions. In other states, such as Indiana, special-purpose councils for criminal justice planning were established. Some SPAs, such as in Montana, received waivers from local governments, to perform the local planning at the state level. The Ohio SPA, after two years of experience with fifteen planning districts, has scrapped the arrangement and now proposes to make planning funds available directly to the state's six largest metropolitan areas, and to establish four regional offices run by the state to provide planning to communities outside the large urban centers.

Although there are significant variances among the states as to activities which the SPAs require of the regional planning councils, most regional planning councils are required to:

- Prepare an annual criminal justice plan consisting of an identification of the region's major criminal justice needs and problems, a five-year plan for meeting the priority needs, and an annual action program stating the kinds of projects which governmental units within the region want funded. Under the Safe Streets Act, these regional plans are to provide inputs for the state comprehensive plans
- Receive grant requests for Safe Streets Act funds from governmental units and recommend approval or disapproval of them to the SPAs
- Work with the local governmental units in developing grant requests
- Provide for the evaluation and monitoring of Safe Streets Act grants within the region

Even though most are controlled locally, many regional criminal justice planning councils, as a practical

matter, primarily serve as administrative and planning arms of the SPAs in connection with the SPAs' responsibilities under the Act. Accordingly, many regional planning councils' scopes of activity do not extend beyond the planning and programming of Safe Streets Act funds. The contents and format of their plans are largely based on the requirements of the SPAs and the Law Enforcement Assistance Administration (LEAA), the federal agency which administers the Act. For this reason, this guide's discussion of the steps involved in developing a criminal justice plan includes a number of the considerations reflected in the planning guidelines issued by LEAA and many SPAs.

There has been considerable interest in county or metropolitan-wide criminal justice coordinating councils to supplement the activities of regional criminal justice planning councils. These coordinating councils, such as the Administration of Justice Committee for Cuyahoga County, Ohio (Cleveland), provide opportunities for more intensive planning and program development within concentrated areas. The 1970 amendments to the Safe Streets Act provide funds for the establishment of these metropolitan coordinating councils.

Several of the 1970 amendments to the Safe Streets Act have direct bearing on the organization and operations of regional criminal justice planning councils. One first amendment requires that the governing boards of regional councils represent the principal types of criminal justice agencies found within the region, as well as general elected or appointive officials from all large governmental units within the region.

Another change calls for a portion of the 40 percent "pass-through" planning funds to go directly to major cities and counties. Approximately 172 cities and counties will qualify as eligible units of government for these pass-through funds. The amount of planning funds that each of these eligible counties and cities will receive, as well as the procedures for coordinating the planning efforts of individual communities with those of the region, will vary from state to state.

A third change permits the SPAs in states with less than one million population to seek waivers for passing-through to local governments 40 percent of the planning funds. This change arises because the planning fund allocations to small states are often so modest that extensive division of planning funds among local units will be less efficient than more centralized planning at the SPA level.

OVERVIEW OF THE PLANNING PROCESS

The planning process outlined in this guide is intended to provide local officials with a systematic approach to criminal justice planning. The ultimate goal of the planning process is to allocate among competing programs scarce resources (i.e., money, personnel and materials) to provide the most effective services at the least cost.

Regional criminal justice planning poses problems of definition and terminology. Two publications, *Guide for Comprehensive Law Enforcement Planning and Action Grants*,* and *Long Range Planning for the Criminal Justice System*,** issued by LEAA, address these problems. Planning terminology in this part of the manual generally conforms to these two publications. Key definitions and terms are:

The Planning Process. This is the process through which the council establishes its criminal justice goals and objectives; defines specific programs necessary to attain these goals and objectives; analyzes alternative programs; identifies resources necessary to carry out the programs; establishes realistic priorities among programs; and, finally, evaluates whether programs have accomplished stated goals and objectives.

Goals and Objectives. These terms, used somewhat interchangeably in the literature, refer to desired levels of achievement which range from broad and long-range achievements to the more precise accomplishment of specific tasks. They can be categorized as follows:

Objectives. These define the boundaries within which goals can be established and programs and projects developed. The overall objective of the criminal justice process, for example, can be defined: *to reduce the total social costs of crime and the costs associated with its control.* Such an overall objective can be extremely difficult to measure on a quantitative basis, except in relation to its components.

**Guide for Comprehensive Law Enforcement Planning and Action Grants*, Office of Law Enforcement Programs, Law Enforcement Assistance Administration, U. S. Department of Justice, Washington, D. C., January, 1970.

Overall Goals. These are desired levels of achievement for each major grouping of activities required to achieve the objectives. For example, an overall goal might be the prevention of crime. Because this overall goal is broad and might be nonmeasurable in quantitative terms, it is necessary to subdivide it into goals and sub-goals which can be more directly related to accomplishments.

Goals. These are desired achievement levels established for each action program.

Sub-Goals. Sub-goals are desired levels of achievement for individual projects.

Programs and Projects. Programs are the actions developed to meet identified goals; while projects are sub-programs directed to the attainment of stated sub-goals. Both programs and projects should be "output-oriented," wherever possible (e.g., capable of being defined and evaluated in quantitative terms). For example, a specific goal would be to reduce the criminal recidivism rate by x percent during y time, at a cost of z.

Criminal justice programs and projects directed to specific problems are usually developed at the *goal* and *subgoal* level, as it is difficult to establish meaningful measures of performance on a higher level.

The planning process is, or should be, dynamic, not static. Goals and objectives should be reevaluated and reestablished where changing conditions or experience warrant. The planning process is—or should become—a systematic one through which a council can:

- Analyze and evaluate the major criminal justice problems in its geographical area
- Establish meaningful objectives and goals for coping with these problems
- Determine the potential programs which can be developed to attain these objectives and goals
- Identify the resources required to develop and carry out these programs

***Long Range Planning for the Criminal Justice System*, Law Enforcement Assistance Administration, U. S. Department of Justice, Washington, D. C., by Booz, Allen Applied Research, Inc., September, 1970.

- Analyze and evaluate alternative programs in relation to the costs versus the benefits to be achieved on a multi-year basis
- Establish the specific programs and projects to be included in the overall criminal justice plan
- Establish priorities in and among programs and projects
- Prepare a comprehensive criminal justice plan, setting forth objectives and goals and recommended programs, priorities and costs

- Develop procedures for monitoring and evaluating program or project progress and accomplishment
- Implement the criminal justice plan
- Update the plan periodically to reflect accomplishments as well as changing conditions which dictate changes to the plan

These steps in the planning process need not follow sequentially as outlined above, because it might be necessary to perform certain steps simultaneously or in a different order.

Criminal justice planning can be viewed from a strategic and a tactical viewpoint. In the strategic phase, the council is concerned primarily with planning, problem identification, establishment of objectives and goals, and identification of programs required to meet these objectives and goals.

The tactical phase is more action-oriented and directed toward the actual accomplishment and evaluation of the programs and projects included in the plan. Information and experience gained during implementation of the plan (the tactical phase) should be fed back into the basic planning process (strategic phase).

The next section sets forth the major steps involved in developing a criminal justice plan.

DEVELOPING A CRIMINAL JUSTICE PLAN

This section of the guide organizes important considerations in the planning process into the following topical areas:

- Defining major criminal justice problems
- Establishing goals
- Identifying and evaluating programs/projects
- Establishing priorities
- Establishing implementation requirements
- Documenting the plan
- Evaluating and monitoring the plan
- Updating the plan

Defining Major Criminal Justice Problems

Defining major problems and establishing initial objectives and goals will largely be concurrent processes. To define major problems, it will be necessary to:

- Collect data about crime and the operations of criminal justice agencies in the region.
- Analyze these data to determine the seriousness and magnitude of the major problems, and to identify current programs as well as the resources required to eliminate, or control these problems.

Data Collection

Collecting reliable and complete data is an important activity in defining major criminal justice problems. This is one of the most difficult tasks in criminal justice planning, especially at the regional level. Three factors account for this difficulty—factors which local officials should recognize in evaluating regional criminal justice plans:

Reliability of Statistics. Serious voids exist in information and statistics about the nature, extent, causes, and effects of crime as well as in information about the operations and workloads of criminal justice agencies. Compounding these are the lack of comparability among agencies' statistics because of non-standardized terminology, differing conditions of data collections, and varied reasons for data collection. Thus, there often will be a need early in the planning cycle to develop data systems to provide the information needed in subsequent planning efforts.

Changes Occurring in the Criminal Justice Process. Over-reliance on historical data to plan for anticipated future criminal justice needs can be misleading and dangerous because of constant changes in procedures and policies of criminal justice agencies. For example, increased police efficiency can substantially increase the caseload of courts and prosecution. Increased reliance by the courts on alternatives to incarceration can, for example, affect projections of the demand for correctional facilities.

Problems in Gaining Access to Data. Many agencies are reluctant to provide information and statistics, or are unwilling to take time from normal activities to supply data for a planning project which they might view as having little relevance to their operations. Local officials can help by encouraging individual agencies to supply needed data, and by assuring that only necessary data are compiled to minimize disruptions of the agencies involved.

It is important that the council determine the types of data it needs for planning, analysis, and evaluation, and identify the primary data sources. Once the council has considered these factors, it can determine the most practical methods for collecting data.

Determine Data Needs. Data collection can be very time-consuming and expensive if excess or incorrect data are collected. It is important that the council question the use and value of data proposed for collection before designing data collection procedures and questionnaires and committing resources to this activity.

Wherever possible, data and information should be obtained or compiled in a planning framework consistent with the identified major problem areas and should focus on such considerations as:

- The amount, types, causes and changes in the various classifications of crime
- How the crime rate compares with other neighboring areas, the state, and the nation
- How the various federal, state, county and city agencies are currently providing criminal justice services within the region
- The major administrative organizational, financial, personnel, and information resources and needs of these criminal justice agencies

Identify Primary Data Sources. Before attempting data collection, the council should identify the sources which will most readily meet its data requirements. Some sources are:

Uniform Crime Reports. These are published annually by the FBI and give information by geographical area on the amount and type of reported offenses, number of police, and certain national and regional statistics on arrest rates, characteristics of offenders, and dispositions of cases.



Individual agency reports can be an important source of data.

Governmental Agency Reports and Statistics. The annual reports of state and local criminal justice agencies give information about the agencies' operations and workloads. In using these sources consideration must be given to how much restructuring of an individual agency's data will be required to provide information that will be compatible and useful for planning purposes. In some instances it will be necessary for the council staff to visit the major agencies to discuss with them how information needs relate to major problems, and to interpret their reports and statistics.

Data Compiled by Private Organizations. A number of resources might be available which can provide pertinent information about the causes of crime, effectiveness of anti-crime programs, and community views including those of chambers of commerce, bar associations, churches, groups working with inner-city and minority group issues and the like.

Periodicals and Published Studies. While these sources of information might not provide specific data about the needs of a particular geographical area, they can be valuable for drawing on the experience of others in assessing the seriousness of particular problems, developing goals and supporting programs, and identifying data needs. The reports of the various presidential commissions on crime, disorder and violence are excellent compendia of information on crime and its control. The National Council on Crime and Delinquency maintains a large library relating to crime. State law enforcement plans contain statistics and analyses valuable to regional planning efforts.

Informed Opinions. The opinions of criminal justice professionals, and of citizens involved with one or more aspects of the criminal justice process, are important sources of background information. These opinions can be elicited through public hearings and the formation of advisory groups.

Data Analysis

Proper analysis of data is a critical step in helping to define and pinpoint the region's major criminal justice problems. This analysis should focus on the magnitude and seriousness of the major problems, and define the need for specific programs to overcome them.

Proper analysis helps determine which problems should be accorded priority in developing programs and projects responsive to the particular goals involved. Further, it is necessary to establish which problems can be viewed on a quantitative basis. For example, if drug abuse among teen-agers is identified as a major problem, it is important to know how many teen-agers are using drugs; the type of use (experimental or habitual); whether use is widespread or concentrated in a few geographical areas; and roadblocks to effective enforcement, education, and rehabilitation which exist in present legislation, policies and programs.

In making this analysis, it should be recognized that the seriousness and magnitude of certain crime problems can vary significantly within the region. This is particularly true where the region contains distinct inner-city, suburban, and rural areas.

Establishing Goals

Initial Goals

Concurrently with identifying major problem areas and analyzing pertinent information concerning these problems, the council should develop an initial statement of goals. This statement should be based on a preliminary determination of what action must be taken to cope with the region's known major crime problems. With an initial framework of assumed goals, the alternative programs which might be needed to attain these goals can be discussed and evaluated.

It is important that initial goals, where possible, be in quantitative terms. They also should be in terms of functions to be performed rather than in terms of the agencies required to perform the functions. Such an approach helps to avoid reinforcing the current segregation of criminal justice agencies. This approach also helps the council establish priorities among programs on the basis of regional needs rather than on the bargaining power of the governmental jurisdictions.

A well structured initial statement of goals will provide:

- A framework necessary for placing the planning process in an understandable perspective
- "Benchmarks" against which to judge the effectiveness of the criminal justice system thus facilitating problem and program definition

- Assurances that all significant criminal justice problems are considered in the planning process
- A means for evaluating specific programs and projects



Regional planning provides an opportunity for developing intercommunity projects such as regional crime labs.

Refining Goals

After major criminal justice problems have been identified and analyzed, the initial statement of goals should be expanded and more precisely defined in relation to the problems.

A summary of the goals adopted from a typical planning structure is shown in Appendix A. For purposes of illustration, the goals in Appendix A which relate to reducing the felony rate are shown below:

OVERALL GOAL 1: REDUCE THE FELONY RATE BY 25 PERCENT IN FIVE YEARS.

GOAL 1-1: Reduce juvenile felonies by 25 percent in five years.

GOAL 1-2: Reduce the incidence of narcotics and dangerous drug addiction in juveniles to 10 percent of the juvenile population between the ages of 15 and 18 years within five years.

GOAL 1-3: Reduce the recidivism rate of criminal offenders by 25 percent within five years.

GOAL 1-4: Establish direct crime prevention programs in the region within two years.

GOAL 1-5: Reduce the social causes of crime.

To place these goals in a useful perspective realistic sub-goals need to be established. For example, the goal and sub-goals for reducing the incidence of narcotics and dangerous drug addiction in juveniles (see **GOAL 1-2** above) is shown below:

GOAL: Reduce the incidence of narcotics and dangerous drug addiction in juveniles to 10 percent of the juvenile population between the ages of 15 and 18 years in five years.

SUB-GOALS:

- Increase arrests of purveyors by 30 percent within five years, through the formulation of a metro narcotics squad.
- Establish four drug rehabilitation centers to handle 400 cases annually within three years.
- Provide 30 hours of training within five years to 350 teachers in identifying and counseling potential and actual narcotics and drug users.

Identifying and Evaluating Programs/Projects

Concurrently with establishing goals, the regional criminal justice council should consider all the alternative means available to achieve the desired goals. This will require the identification and analysis of a broad range of solutions to each problem, many of which could require interaction among numerous agencies, substantial resources and a number of years to resolve.

The following hypothetical case study, which relates to Appendix A, describes this concurrent process by which goals are established and programs and projects are identified.

The regional planning council, in this hypothetical case study, became aware early in its planning efforts that a teen-age drug problem existed in the "Central City" area. Informed estimates were that 35 percent of

the teen-agers between ages 15 and 18 years are users or are addicted to narcotics or dangerous drugs.

Following an analysis of the problem, it was determined that to reduce the addiction level will require coordinated programs of: (1) increased enforcement against purveyors; (2) rehabilitation of the addicted; and (3) training of teachers in the identification of drugs and narcotics and counseling of students in these matters.

Currently, the enforcement efforts are fragmented among municipal, county and state police agencies with inadequate support from the state crime laboratory. There is one drop-in rehabilitation center that can handle a caseload of about 50 youths. The center has an M.D. associated with it on a part-time basis and two former addicts who provide counseling. The faculty at the four high schools serving the Central City area have not received formal training in drugs and narcotics, but are nevertheless called upon to identify and counsel actual and potential users.

The following gives the goals, sub-goals, and resources required to reduce the addiction level of teenagers between the ages of 15 and 18 years in Central City:

GOAL: Reduce the incidence of narcotics and dangerous drug addiction in juveniles to 10 percent of the juvenile population between the ages of 15 and 18 years within five years.

SUB-GOAL: Increase arrests of purveyors by 30 percent in five years through the formation of a metro narcotics squad.

Resources Required: 12 policemen, two prosecutors, one forensic scientist, seven unmarked cars, equipment for rapid drug identification.

Agencies Involved: three city police departments, county prosecutor and state crime laboratory.

Estimated Cost: \$175,000 first year.

SUB-GOAL: Establish four drug rehabilitation centers to handle 400 cases annually within three years.

Resources Required: For two centers to be operated in the first year: two full-time M.D.'s, four counselors, four psychologists, four office helpers, clinic facilities, equipment, drugs, etc. In the second years two additional centers will be established requiring the same amount of resources.

Agencies Involved: County prosecutor, city hospitals.

Estimated Costs: \$120,000 first year.

SUB-GOAL: Provide 30 hours of training to 350 teachers within five years in identifying and counseling potential and actual narcotics and drug users.

Resources Required: Two part-time instructors, guest lecturers, space, training aids, curriculum, etc.

Agencies Involved: Board of Education, Police, County Medical Association, Federal Bureau of Narcotics

Estimated Costs: \$120,000 first year.



Analysis of criminal justice problems should consider the type of crime by areas within the region. Crime location maps are useful for this purpose.

Implementing these three projects will require almost three million dollars over a five year period. If adequate funding cannot be provided for the level of services necessary to attain the desired goal of reducing the juvenile addiction rate from 35 percent to 10 percent within five years, it will be necessary to consider alternatives to the above projects through which maximum results can be obtained within the resources available. This might result in elimination of one project based on comparative priorities, full funding of the other two, or even a whole new approach to the problem.

It is important that the council attempt to establish for each identified problem area and defined goal:

- The practical, not theoretical, alternatives available to cope with the problem
- The actual costs which will be involved
- The sources of funding and assistance which might be available to help solve the problem
- Where responsibility will be assigned for the program
- The probability of securing necessary cooperation from the agencies involved

Establishing Priorities

It is important for the council to establish early in the planning process general priorities among competing programs and projects, so that time and effort is not spent developing projects that will not be funded.

However, final priorities can only be established after the planning process is well along and it is possible to evaluate all proposed major programs/projects on a compatible basis. This evaluation should result in challenging specific goals, eliminating unfeasible or low-priority projects, introducing and discussing new or alternative solutions to problems, or developing alternatives in the event high-priority projects cannot be implemented.

This is not a process which should be delegated to the council's staff. Council members should actively participate in evaluating and in setting priorities, and should rely on the staff to provide necessary information, guidance, and assistance.

In making these evaluations, the council should be able to quantify its conclusions, wherever possible. In theory, high priority programs/projects will be those which offer the greatest opportunities for reducing the total social costs of crime. Some of these programs/projects can be equated and ranked in relation to their comparative impact on the costs of crime prevention and control per dollar of program/project funds expended. However, criteria other than costs, or the ability to finance projects, must also be considered in establishing priorities. It should be determined whether the proposed program or project will:

- Provide an opportunity to obtain rapid results
- Result in the development of new knowledge, techniques, and procedures important to other

agencies, e.g., a "model" case monitoring system, which can be adopted by the various trial courts in the region

- Result in improved inter-governmental and inter-agency cooperation and relations
- Improve criminal justice-community relations
- Improve community involvement and understanding, help resolve existing problems in governmental/community relations, or improve relationships with interested or affected community groups
- Have minimal chance of failure
- Be capable of implementation with relative ease and without substantial organizational or personnel changes in the agencies involved
- Utilize and rely on accepted criminological theory and techniques, or involve research and experimentation
- Be capable of implementation and evaluation on a "pilot test" basis, or in parallel with present programs, to facilitate determination of which program offers the best means for meeting desired goals
- Be considered a high-priority program or project in relation to community or state-wide priorities

The council should be aware that setting priorities among programs and projects is largely a subjective process, even where accurate information on costs versus the benefits to be attained per program dollar expended is available.

Conflicts might exist among evaluation criteria. Attaining one goal might create another problem. For example, innovative programs, while offering opportunities for important break-throughs in criminal justice technology or procedures, run the risk of not being successfully implemented. The council should consider developing some kind of evaluation process to weigh the relative importance of these evaluation criteria.

One method for assigning priorities to programs and projects is the Rand Delphi technique. Variations of this technique have been used by such organizations as the Minnesota Governor's Commission on Crime and Delinquency. This technique involves the council's providing to a panel from its supervisory board and advisory groups a list of possible programs and projects. Background information and the extent of each of the problems is explained to the panel, each member of

which is then given a hypothetical amount of money to allocate among the programs and projects. The allocations are next tabulated and reported to each panel member. Those whose proposed allocations for particular programs or projects are the largest and the smallest, respectively, are asked to explain and justify their allocations. A second allocation is then made and the projects are again ranked. Through this process, a set of priorities is developed. In allocating funds, the panel members presumably weigh such factors as costs, risks, benefits, feasibility, and political and community factors.



The courts are an important part of the criminal justice system and should be reflected in the planning process.

Establishing Implementation Requirements

The plan must contain a specific course of action for implementing all recommended programs and projects. It also should spell out in sufficient detail all the steps necessary to attain desired goals, from the initial funding of the program or project through evaluating actual accomplishments compared to stated goals.

It is not practical in many instances for the council to explore the feasibility of a program or project until an implementation plan has been developed that shows:

- Specific tasks to be accomplished and the time necessary to do so
- How these tasks will be managed and monitored
- Manpower, facility, equipment, and other related resource needs for each task for the life of the program or project
- Where these resources will be obtained
- Financial requirements and funding sources for each program task. Sources of matching funds for Safe Streets Act grants are an important consideration, because beginning with FY 1973 a portion of the match has to be in cash
- Extent of participation and respective responsibilities of the governmental agencies involved in each task
- Required legislation, and policy changes to implement the program or project
- Relationships with other governmental programs. These include federal programs such as Model Cities, the *Juvenile Delinquency Prevention and Control Act of 1968*, the *Highway Safety Act of 1966*, educational programs, OEO programs, the *Manpower Development and Training Act*, and health, educational and welfare programs of the state, counties, and cities involved
- Methods for achieving public, governmental and neighborhood cooperation and acceptance

Documenting The Plan

Information developed in the preceding planning steps should be incorporated into the region's criminal justice plan. This should be a written plan, containing all information necessary to meet state and federal planning requirements, and be responsive to the planning and information needs of the local governments concerned. A plan customarily will contain but not necessarily be limited to:

- Description of present criminal justice services, resources, programs and systems in the region
- Discussion and identification of major criminal justice problems
- Definitions of criminal justice goals for the region

- Identification of the major programs/projects required to meet the goals
- Multi-year plan
- Annual action plan

The multi-year and the annual action sections are the key parts of the written plan, because they contain the long-term and short-term program/project proposals. These sections are briefly discussed below.

Multi-Year Plan

LEAA requires the SPA's to develop multi-year plans. Many SPA's also require regional councils to submit a five-year plan which contains:

- Program goals
- Projects and timing necessary to achieve program goals
- Amounts and timing of projected expenditures
- Major milestones for comparing actual with projected results

An example of a multi-year plan to reduce teen-age drug addiction is shown in Appendix B. This example involves only one program goal while, in actual practice, a region's multi-year plan will contain a substantial number of programs and projects.

The multi-year plan provides a five-year overview of criminal justice problems and needs and how the regional council suggests meeting them. As such, the multi-year plan is intended to provide a workable planning framework within which annual action plans can be developed.

Annual Action Plan

The annual action plan should include:

- A statement of the specific goals to be accomplished in relation to each identified program/project. These should relate to the multi-year plan and be expressed in quantitative terms, if possible

- A description of both the problem and the program/project proposed for solving the problem
- Principal tasks involved in accomplishing each program/project
- Personnel, facilities, equipment, and other resources required for each program/project
- Amount, type, and sources of the funding for each program/project. If Safe Streets Act funds are to be used, there should be some indication about when the local government will assume the total project costs
- Organizational and administrative plans for the program/project
- Milestones or measures of accomplishment proposed for each program/project

Appendix C shows the annual action plan for a specific project, teacher training in narcotics and dangerous drugs. This is one of the three projects proposed for combating and controlling juvenile narcotics addiction and use discussed in a preceding section. The multi-year plan, which includes this program, is shown in Appendix B.

Board and Agency Approval and Acceptance

The council should present a final written draft of the proposed comprehensive criminal justice plan to its governing board for approval. As previously discussed, close involvement of the governing board at critical checkpoints in the planning process, such as establishing goals and determining program/project priorities will facilitate approval of the plan.

Although the governing board might readily approve the proposed plan, securing the willingness of individual governmental agencies to implement the programs/projects in the plan might be more difficult. A number of regional and state plans have encountered serious problems in this respect. It is important that the council identify and be prepared to cope with such potential problems.

The principal difficulty in implementing many state and regional plans has been the lack of involvement of key local officials—mayors, councilmen, and county commissioners—in the planning process. A number of

state and regional councils have discovered to their dismay that programs/projects calling for using Safe Streets Act funds could not be implemented because local matching funds could not be secured. Greater participation by local officials in the planning process could have better alerted and motivated local governments to provide the financial participation required to implement the plans. In this regard, a 1970 survey by one SPA indicated that many county commissioners and municipal mayors and councilmen within the state were unaware of the funding provisions of the Safe Streets Act. An even greater number of local governments had not budgeted funds to match Safe Streets Act funds.

TEN OBSTACLES TO EFFECTIVE CRIMINAL JUSTICE PLANNING

- (1) Disinterest in the planning process by elected officials and affected agencies
- (2) Inability to accommodate diverse views and changing circumstances
- (3) Neglecting inter-agency and inter-community coordination
- (4) Failure to communicate to the public the need for, and accomplishments of, the regional planning effort
- (5) Programs too narrow in scope, too short in duration or too broad and futuristic
- (6) Vagueness about plans, costs, and financing for proposed programs
- (7) Ignoring alternative ways to solve a problem
- (8) Belief that, once plans are prepared, implementation will follow
- (9) Failure to feed back project progress data
- (10) Assumption that planning is a one-time effort

A second difficulty involves the relationship of the regional plan to the state plan. To qualify for Safe Streets Act funds, programs and projects (except discretionary grants made directly by LEAA) should be reflected in the state plan. If a region cannot assure that its major programs and projects, and related financial needs, are incorporated in the state plan, it might be

difficult, if not impossible, to satisfactorily implement the regional plan. Therefore, a council developing its plan should be very sensitive to the kinds of programs and projects given high priorities by the SPA's, and to the level of funding which agencies within the region might reasonably expect.

Failure to acquaint individual agencies with the content of the plan and the programs/projects available for funding also has been a problem. This problem can be partly overcome by widely distributing the plan, by directly involving the agencies in the planning process, by conducting appropriate public hearings, by establishing advisory committees, and by the council staff periodically visiting the various agencies in the region.

Another difficulty which must be recognized is the belief held by some agencies that the plans do not provide funding for their needs. Whether or not this allegation is valid, it is important that the council make every effort to understand and translate into action programs all major needs and problems of the region's agencies. Experience with regional planning under the Safe Streets Act has shown that agencies are more eager to participate in the planning process and to undertake more innovative and broad-sweeping programs when they can see direct and immediate benefits to them (e.g., federal funds, resolution of a pressing problem, identifiable services, etc.).

Public Acceptance

Lack of participation in the planning process by the public, as well as by business and professional groups, might be a deserved criticism. While these groups might not bring to plan development the same technical knowledge as professionals in criminal justice, they often can accurately reflect community needs and help gain acceptance for needed programs and projects. This was overwhelmingly demonstrated in one large community with passage, by a large majority, of a \$62.5 million bond issue to finance a criminal justice center, while voters rejected less ambitious and smaller levy requests on the same ballot. In addition to efforts to obtain direct public participation in the planning process, the council should attempt to disseminate summaries of the plan's important features.

State Review

A number of SPA's require that copies of the regional plan be sent to them for evaluation and for

incorporation into the state plan. It is suggested that each council approach plan development on the assumption that the regional plan is, or will be, a key element in the state-wide plan, even though the particular SPA might not impose such requirements.

On this basis, following the procedures outlined in this guide, the regional council can be better assured that its plan will be compatible with SPA goals and objectives, and will meet LEAA requirements. This is particularly important where the regional council has initial review authority over grant requests from local governments for Safe Streets Acts funds.

Evaluating And Monitoring The Plan

Evaluating

Evaluation of the plan's program/projects is an important but difficult step in the planning process. Evaluation can be considered in two frames of reference.

Overall Evaluation of the Plan. The first and most difficult type of valuation is to measure the overall effectiveness of the plan's program/projects in meeting long range and broad objectives such as reducing the total social costs of crime and the costs associated with its control. The many and complex variables involved in such an effort makes it extremely difficult to do this type of evaluation on a quantitative basis. However, there should be some effort to relate the impact of specific program/projects on the overall criminal justice system. It has been suggested* that criminal justice programs/projects can be evaluated in terms of the degree to which they reduce the total social costs of crime and the costs associated with its control. These costs have two components: the costs of criminal activities, and the costs of combating these activities. The examples of the costs of criminal activities are:

- Victimization
- Fear of victimization
- Corruption of social institutions
- Welfare for offenders and families
- Invasion of privacy

- Penalties imposed through erroneous decisions of the criminal justice process
- Alienation from social norms by enforcement of unaccepted laws

Examples of the costs involved in combating crime are:

- Costs to individuals for protecting themselves against crime
- Costs of operation of the criminal justice system

While many of these costs are difficult to measure, they collectively provide a means through which a procedure can be developed to evaluate the entire criminal justice system in the region.



Determining the amount and sources of funding for projects is an important part of developing a criminal justice plan.

Evaluation of Specific Programs/Projects. Evaluation of specific programs/projects included in the action plan is a less difficult matter, at least with respect to those for which specific measures of accomplishment can be created. This type of evaluation has two dimensions.

* See "Outline of Future Research and Development Program in Criminal Justice," by Alfred Blumstein, delivered at a joint Council of State Governments and LEAA Conference in July, 1968.

Accomplishments. Has the program/project actually accomplished the specific goal for which it was funded? For example, did the juvenile drug control program actually reduce the number of juvenile users by the desired amount during the time period allowed?

Resources Applied. Were the necessary resources actually made available for the program/project and were the tasks set forth in the work plan accomplished? Were, for example, the enforcement activities actually augmented by 12 policemen?

Both of these are program performance criteria, but of a widely divergent nature. In the first instance, the actual performance of the program was measured against stated goals, while, in the second case, all that was measured was whether planned resources were expended in accordance with the plan, not whether the program was actually successful in reducing juvenile drug addiction.

A council will encounter many programs/projects which cannot readily or economically be evaluated in terms of actual accomplishments related to goals. For example, will doubling police manpower on beats and in patrol cars have a corollary effect on the incidence of crime?

In such instances, criteria which measure the resources applied or level of services provided should be used. Any measure of performance is far preferable to no quantitative analysis at all. It might be necessary to also draw on informed opinions of independent criminal justice professionals in making evaluations.

Monitoring

As a corollary to the evaluation of program/project accomplishments, the council should make sure that procedures are developed to monitor the programs/projects during that period before any assessments of results can be made. These procedures should focus on such questions as:

- Has a work plan actually been developed and used?
- Are projects meeting work schedules and milestones set forth in the annual action plan?

- Are accurate cost records being maintained? Do the actual project costs incurred agree with the projected costs for the program task and time period?
- Have unanticipated problems arisen, particularly in relation to community or intergovernmental relations?
- Does the progress to date indicate that the project will meet completion deadlines?
- Are changes in the technical approach or scope of the project indicated, even though the project is on schedule?



Meetings with local government officials by the planning staff facilitates acceptance and implementation of the regional criminal justice plan.

This monitoring should be on-going and permit a council to determine whether the particular program/project should be rescheduled, allocated more resources, reoriented, cut back, restructured or terminated.

While a council is not normally responsible for conducting programs/projects, it generally has an obligation, especially where it is the official regional planning group for Safe Streets Act funds, to assure that the programs/projects funded pursuant to the plan are

effectively managed. The council should, therefore, assure that the governmental units conducting the programs/projects are effectively managing the undertakings, and that procedures and staff exist within the council to monitor the progress of programs/projects.

Updating The Plan

Annual updating of the plan is a vital step in the planning process, as well as one required by some SPA's. Planning is, or should be, a dynamic, not a static process, and plans must be kept up-to-date or they will not be responsive to the actual needs of the region.

While updating of the plan should not require the same amount of resources as were required to prepare the initial plan, the on-going planning efforts should be of sufficient magnitude to:

- Identify deficiencies in the initial plan and undertake the fact-finding and analysis necessary to properly define goals and establish programs
- Evaluate programs which have potentials which were not considered or included in the initial plan
- Redefine goals and objectives as required to meet changing needs, or to enable more responsive programs to be developed considering such factors as:
 - Legislative changes
 - Availability of new technology
 - Social, demographic, and neighborhood changes
 - Experience with related programs

From these on-going analyses and evaluations, the council should prepare an up-dated action program for the forthcoming years and revise and update the five-year forecast.

SUMMARY

Reduction of crime in the nations' cities and counties will require major operational and organizational im-

provements and changes, many of which will involve large sums of money. However, the mere infusion of vast amounts of federal and local funds will not guarantee that the crime rate will be reduced. For these expenditures to be effective, they must be the product of well developed plans that address such complex questions as:

- What are the region's principal crime problems and causes?
- Why have the established agencies been unsuccessful in curbing the crime rate?
- What organizational and operational changes and improvements are required to strengthen the effectiveness of the criminal justice agencies in coping with the major crime problems?
- How much will these changes cost?
- How will these changes be financed and what agencies will implement them?

Many of these questions cannot be answered and, more importantly, their solutions cannot be implemented effectively by a single agency or a single community acting alone. The inter-community and inter-agency implications of crime mean that a multi-jurisdictional approach must be taken to analyzing crime prevention and control problems and to planning an effective response to these problems. For these reasons, a dynamic regional criminal justice planning process should be established so that counties and cities can begin to make inroads into the crime rate and improve the quality of the administration of justice.

The regional criminal justice planning process should not be the sole purview of criminal justice professionals. Policy making officials of general purpose governments (e.g., mayors, councilmen, and county commissioners as well as city and county managers) should understand the mechanics of criminal justice planning and should also be involved in this process. This involvement and understanding is necessary to assure that the proposals of the regional councils reflect individual community values, needs and problems and, conversely, to assure a bridge between planning at the regional level and implementation at the community level. This guide has been developed to improve the appreciation and understanding of the planning process and the considerations which must enter into developing an effective regional criminal justice plan.

APPENDIX A

**CRIMINAL JUSTICE OBJECTIVES,
GOALS AND SUB-GOALS
FOR A TYPICAL REGION**

This appendix gives a unified set of objectives, goals and sub-goals for meeting the major criminal justice problems in a typical region. The appendix shows how long range desired accomplishments (objectives and goals) can relate to each other and to desired achievements of a more short range and specific nature. While the goals in this appendix might not be applicable to a number of regions, the format is one that regional criminal justice planning councils might consider in preparing their statement of objectives, goals and sub-goals.

- OBJECTIVE:** *Reduce the total social costs associated with crime and its control*
- OVERALL GOAL I:** *Reduce the felony rate by 25 percent within five years*
- GOAL I—1:** *Reduce juvenile felonies by 25 percent in five years*
- SUB-GOALS:**
 - I—1 (a):** *Establish four youth service bureaus to serve 3,000 youths within three years*
 - I—1 (b):** *Establish juvenile sections in the five largest police departments within three years*
 - I—1 (c):** *Establish five juvenile recreational centers to serve 3,000 juveniles within four years*
 - I—1 (d):** *Conduct criminal justice/youth involvement campaigns directed at 15,000 youths*
- GOAL I—2:** *Reduce the incidence of narcotic and dangerous drug addiction in juveniles to 10 percent of the juvenile population*

- SUB-GOALS:**
 - I—2 (a):** *Increase arrests of purveyors by 30 percent within five years, through the formation of a metro narcotics squad*
 - I—2 (b):** *Establish four drug rehabilitation centers to handle 400 cases annually within three years*
 - I—2 (c):** *Provide 30 hours of training within five years to 350 teachers in identifying and counseling potential and actual narcotics and drug users*
- GOAL I—3:** *Reduce the recidivism rate of criminal offenders by 25 percent within five years*
- SUB-GOALS:**
 - I—3 (a):** *Increase the number of probation officers 50 percent within five years*
 - I—3 (b):** *Add five psychiatrists to serve the region's courts and correctional facilities within two years*
 - I—3 (c):** *Develop standards and procedures, within two years, to insure fairness to offenders in decisions affecting them*
 - I—3 (d):** *Develop, within five years, work release and job placement programs to accommodate 500 offenders annually*
 - I—3 (e):** *Complete study of alternatives to incarceration within one year*
 - I—3 (f):** *Construct a regional juvenile detention center within five years and develop five shelter care centers within three years*
 - I—3 (g):** *Provide 80 hours of in-service training annually to all custodial and probation workers within five years*

between the ages of 15 and 18 within five years

- I—3 (h):** *Establish four alcoholic centers within three years*
- GOAL I—4:** *Establish direct crime prevention programs in the region within two years*
- SUB-GOALS:**
 - I—4 (a):** *Establish crime prevention bureaus in the five largest police departments within three years*
 - I—4 (b):** *Enact stronger ordinances in all communities for record keeping and sale of drugs and narcotics, gun control, and anti-auto theft control within three years*
 - I—4 (c):** *Conduct within the first year intensive media campaigns about lighting, "locking your car"*
 - I—4 (d):** *Increase preventative patrol 30 percent in the five largest cities within four years*
- GOAL I—5:** *Reduce the social causes of crime (non-quantifiable)*
- OVERALL GOAL II** *Increase the clearance and conviction rate of felonies by 25 percent in five years*
- GOAL II—1:** *Reduce the response time to crime reports by 50 percent within five years*
- SUB-GOALS:**
 - II—1 (a):** *Improve command and control systems in five largest police departments within two years*
 - II—1 (b):** *Have a region-wide police radio network operational within four years*
 - II—1 (c):** *Install a 911 system within the region within five years*
- GOAL II—2:** *Increase the clearance rate of Part I crimes by 25 percent within five years*

- SUB-GOALS:**
 - II—2 (a):** *Add 15 investigators to the Sheriff's department within three years to assist smaller departments*
 - II—2 (b):** *Establish a forensic science lab to serve the region with three years*
 - II—2 (c):** *Fund studies in five departments within three years to analyze crime patterns and develop means for effective assignment of patrol resources*
 - II—2 (d):** *Create a region-wide organized crime intelligence unit within five years*
 - II—2 (e):** *Improve police records keeping procedures in all region departments within three years*
 - II—2 (f):** *Explore pooling of police activities*
- GOAL II—3:** *Reduce the amount of unreported and erroneously reported crime (non-quantifiable)*
- SUB-GOALS:**
 - II—3 (a):** *Standardize terminology in all police departments within three years*
 - II—3 (b):** *Conduct within first year region-wide campaigns to overcome citizen reticence to report crime*
- GOAL II—4:** *Increase the conviction rate by 25 percent*
- SUB-GOALS:**
 - II—4 (a):** *Add five additional prosecutors within four years*
 - II—4 (b):** *Provide 80 hours of in-service training annually to prosecutive employees within five years*
- OVERALL GOAL III:** *Improve the management of the criminal justice system in the region*

GOAL III-1: Reduce the case processing time for all felonies to five elapsed months from arrest to sentencing while assuring due process of law and fairness

SUB-GOALS:

III-1 (a): Install improved court scheduling and case monitoring systems in 15 felony courts within five years

III-1 (b): Add five judges to felony courts within three years

III-1 (c): Add five court attaches (psychiatrists and administrators) to the felony courts within two years

III-1 (d): Establish station house release and summons procedures in the five largest cities within two years

III-1 (e): Insure fair and visible negotiated guilty pleas in all the felony courts within two years

III-1 (f): Add ten additional counsels for indigents within two years

GOAL III-2: Improve relations between the criminal justice system and the region's citizens (non-quantifiable goal)

SUB-GOALS:

III-2 (a): Establish community relations units in the five largest police departments within three years

III-2 (b):

III-2 (c)

III-2 (d)

GOAL III-3:

SUB-GOALS:

III-3 (a):

III-3 (b):

III-3 (c):

III-3 (d):

Recruit 100 minority group officers in the three largest cities

Establish neighborhood law offices in 10 ghetto areas within three years

Develop policy guidelines for the exercise of law enforcement discretion in the five largest cities within two years

Have all criminal justice employees meet within five years the minimum personnel and training standards suggested in the state law enforcement plan

Conduct 80 hours in-service training programs annually within five years for defense counsels, prosecutors (See II-4 (b)), police personnel, correctional employees (see I-3 (g)) and trial judges

Develop regional criminal justice training centers within two years to provide basic police training and criminal justice agency training called for under sub-goal III-3 (a)

Provide central psychiatric and physical screening facilities for all police applicants within two years

Achieve lateral entry among the region's police departments within five years

**APPENDIX B
MULTI-YEAR FORECAST OF ACTIVITIES, COSTS AND MILESTONES**

The chart below shows the multi-year forecast for three projects.

PROJECT	1972	1973	1974	1975	1976	MULTI-YEAR COSTS
Title: Metro Narcotics Squad	<p><i>Activities:</i> Recruit and train 12 officers from 3 municipal departments, assisted by 2 prosecutors and a forensic scientist. Acquire 7 unmarked cars and surveillance and identification equipment.</p> <p><i>Costs:</i> \$175,000</p> <p><i>Milestones:</i> Unit becomes operational by the 11th month</p>	<p><i>Activities:</i> Unit is operational</p> <p><i>Costs:</i> \$170,000</p> <p><i>Milestones:</i> Arrests and convictions of purveyors up 15% over 1972</p>	<p><i>Activities:</i> Arrests and convictions up 20% over 1972</p> <p><i>Costs:</i> \$200,000</p>	<p><i>Activities:</i> Arrests and convictions up 25% over 1972</p> <p><i>Costs:</i> \$175,000</p>	<p><i>Activities:</i> Arrests and convictions up 30% over 1972</p> <p><i>Costs:</i> \$205,000</p>	<p><i>Activities:</i> See 1973</p> <p><i>Costs:</i> \$925,000</p>
Title: Drug Rehabilitation Centers	<p><i>Activities:</i> Form 2 centers under direction of hospital. Secure 2 M.D.s, 4 psychologists, 4 counsellors and 4 office helpers, clinic facilities, equipment, drugs, etc.</p> <p><i>Costs:</i> \$120,000</p> <p><i>Milestones:</i> 2 centers capable of handling 200 cases are operational at 12th month</p>	<p><i>Activities:</i> Form 2 additional centers along format of initial 2 units</p> <p><i>Costs:</i> \$305,000</p> <p><i>Milestones:</i> 200 cases handled</p>	<p><i>Activities:</i> 4 centers are handling 400 cases</p> <p><i>Costs:</i> \$420,000</p> <p><i>Milestones:</i> 400 cases handled</p>	<p><i>Activities:</i> See 1974</p> <p><i>Costs:</i> \$420,000</p>	<p><i>Activities:</i> See 1974</p> <p><i>Costs:</i> \$440,000</p>	<p><i>Activities:</i> See 1974</p> <p><i>Costs:</i> \$1,705,000</p>
Title: Teacher Training in Narcotics	<p><i>Activities:</i> Develop curriculum for 30-hour training course for teachers and train 100 teachers</p> <p><i>Costs:</i> \$120,000</p> <p><i>Milestones:</i> 150 juveniles referred to counselling or medical services</p>	<p><i>Activities:</i> Train 100 teachers (30 hours)</p> <p><i>Costs:</i> \$30,000</p> <p><i>Milestones:</i> 300 juveniles referred to counselling or medical services</p>	<p><i>Activities:</i> Train 50 replacement teachers (30 hours)</p> <p><i>Costs:</i> \$15,000</p>	<p><i>Activities:</i> Train 50 replacement teachers (30 hours)</p> <p><i>Costs:</i> \$15,000</p>	<p><i>Activities:</i> Train 50 replacement teacher (30 hours)</p> <p><i>Costs:</i> \$15,000</p>	<p><i>Activities:</i> See 1973</p> <p><i>Costs:</i> \$195,000</p>
Annual costs and source of funds	<p>Total Costs \$415,000</p> <p>Federal 311,250</p> <p>Local 103,750</p>	<p>Total Costs \$505,000</p> <p>Federal 378,750</p> <p>Local 126,250</p>	<p>Total Costs \$635,000</p> <p>Federal 476,250</p> <p>Local 158,750</p>	<p>Total Costs \$610,000</p> <p>Federal 457,500</p> <p>Local 152,500</p>	<p>Total Costs \$660,000</p> <p>Federal 495,000</p> <p>Local 165,000</p>	<p>TOTAL: \$2,825,000</p> <p>Federal 2,118,750</p> <p>Local 706,250</p>

APPENDIX C

EXAMPLES OF PROJECT PLAN

This example illustrates the type of project plan which might be included in the annual action plan section of a typical regional criminal justice plan. This example covers just one project whereas a region's annual criminal justice plan will include a number of similar project descriptions.

PROJECT TITLE. Teacher training in narcotics and dangerous drugs

DESIRED ACCOMPLISHMENTS. To meet the regional criminal justice plan's subgoal I—2(c) (See Appendix A) which is to provide 30 hours of training to all Central City area high school teachers in identifying and providing initial counselling to potential and actual teenage users of narcotics and dangerous drugs. Desired accomplishments by years are:

Year	Number of teachers receiving 30 hour course
1972	100
1973	100
1974	50
1975	50
1976	50

NEED FOR PROJECT. This project is part of a three-pronged approach to reduce teen-age narcotic and drug addiction in the Central City area. Analysis of the narcotics and drug problem indicated that virtually none of the teachers in the area had formal training in identifying and dealing with the potential or actual drug user. Such training is expected to help the region meet the regional goal of reducing teen-age drug addiction to 10 percent of the 15 to 18 year population bracket.

IMPLEMENTATION. The following describes (1) the organizational and administrative responsibility for the project, (2) the principal steps in implementing the project, (3) where the project will take place and (4) required personnel, equipment and facilities.

Organizational and Administrative Responsibility. The Superintendent of Schools in Central City will have overall responsibility for administering the project, accounting for funds and preparing the curriculum. Special consultants from the Central City Medical School, the Federal Bureau of Narcotics and the Central City Health Department will participate in the curriculum development. Evaluation will be provided Regional Criminal Justice Planning Staff.

Principal Steps in Implementing the Project

Step	Begin	End
Develop curriculum	Month 1	Month 4
Select and purchase texts	" 3	" 4
Conduct pilot course	" 4	" 4
Conduct 5 courses	" 4	" 10
Project evaluation	" 4	" 10

Where the Project will take place. The courses will be conducted at the George Washington High School.

Required personnel, equipment and facilities. To implement the project, two instructors, drawn from the Board of Education's psychological counselling services need to receive training as instructors for the course. These individuals will be assisted by guest lecturers from the Central City Medical School, the Police Department, the Prosecutor's office, the Judge of the Juvenile Court, the State crime lab, and the Federal Bureau of Narcotics. Facilities and training aids are available except for text material.

BUDGET. The following presents the proposed budget for FY 1972, as indicated in the multi-year plan, funding will be requested for subsequent years.

Personnel		
Instructors	\$ 30,000	
Teachers @ \$8.00/hour	24,000	
Outside Instructors	10,000	\$ 64,000
<hr/>		
Texts	10,000	10,000
Curriculum Development	36,000	36,000
<hr/>		
Heat, light and miscellaneous administrative expenses	10,000	10,000
Total Budget		<u>\$120,000</u>

Sources of Funding

Federal	\$ 90,000	
Local	30,000	In kind personnel services
Total	<u>\$120,000</u>	and contribution of heat, light and miscellaneous ad- ministrative expenses.

The National Association of Counties Research Foundation has contracted with or received grants from a number of organizations, both public and private, to conduct research resulting in the following publications:

Description and Analysis of 18 Proven Ambulance Services, prepared for the U.S. Department of Transportation, National Highway Safety Bureau, 1968.

County Development Coordination, prepared for the U.S. Department of Housing and Urban Development, 1968.

Community Action Program for Air Pollution Control, prepared for the U.S. Department of Health, Education and Welfare, 1966.

Community Action Program for Water Pollution Control, prepared for the U.S. Department of the Interior, Federal Water Quality Administration, 1964, revised 1967.

Community Action for the Support of Economic Development Districts, prepared for the U.S. Department of Commerce, Economic Development Administration, 1970.

Community Action Program for Outdoor Recreation, prepared for the U.S. Department of the Interior, Bureau of Outdoor Recreation, 1967.

Community Action Guidebook for Soil Erosion and Sediment Control, prepared for the U.S. Department of the Interior, Federal Water Quality Administration, 1970.

Digest of Existing Municipal, County, and Regional Solid Wastes Management Ordinances and a Model Solid Waste Management Ordinance, prepared for the U.S. Department of Health, Education and Welfare, Solid Waste Bureau, 1970.

Safety Manpower Survey of Local Governments in the United States, prepared for the U.S. Department of Transportation, National Highway Safety Bureau, 1970.

Community Action Program for Solid Waste Management, prepared for the U.S. Department of Health, Education and Welfare, Solid Waste Bureau, 1968.

Community Action Program for Traffic Safety, prepared for the U.S. Department of Transportation, National Highway Safety Bureau, 1970.

Regional Approaches to Rural Planning and Development, prepared for the U.S. Department of Agriculture, Farmers Home Administration, 1971.

Comprehensive Health Planning: A Manual for Local Officials, prepared for the U.S. Department of Health, Education and Welfare, Community Health Service, 1971.

END