

NINTH ANNUAL REPORT

Fiscal Year 1977



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Law Enforcement Assistance Administration
U.S. Department of Justice
Washington, D.C. 20531

NINTH ANNUAL REPORT OF LEAA

Fiscal Year 1977



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U.S. Department of Justice
Washington, D.C. 20531**



UNITED STATES DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D. C. 20530

OFFICE OF THE ADMINISTRATOR

TO THE PRESIDENT AND THE CONGRESS OF THE UNITED STATES:

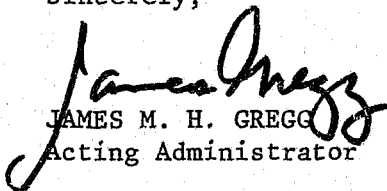
I have the honor to transmit herewith the Law Enforcement Assistance Administration's Ninth Annual Report. It describes LEAA's program and activities during fiscal year 1977.

One of the report's principal components is the information requested by Congress in Section 519 of the Crime Control Act of 1976. The statute (Public Law 94-503) directed LEAA to respond to a series of specific questions to enable Congress to more effectively exercise its oversight authority over the Agency. Since most of the programs supported by LEAA are operated by State or local governments, we asked each State and Territory to provide detailed information about its activities. Their responses, as analyzed by LEAA, constitute the bulk of this report.

The Congress asked LEAA to include in this annual report an analysis of each State's criminal justice system improvement plan, a summary of major innovative policies and programs, an explanation of LEAA's evaluation procedures, and responses to a number of other specific questions.

All of these new and comprehensive requirements are included in this report.

Sincerely,


JAMES M. H. GREGG
Acting Administrator

Washington, D.C.
March 31, 1978

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INTRODUCTION

The Law Enforcement Assistance Administration provides Federal financial, technical, and research support for the improvement of State and local criminal justice administration. Through a grant program to law enforcement, courts, corrections, youth services, and community anticrime agencies, LEAA seeks to stimulate new and better ways to reduce crime, prosecute offenders, help crime victims, and deter juvenile delinquency.

Additions to LEAA's basic legislation, enacted in 1968, have made the Agency responsible for coordinating all Federal juvenile justice and delinquency prevention programs as well as administering the public safety officers' death benefits statute.

LEAA provides both planning and program operation funds to State and local governments, and upon request, makes available various types of specialized training and technical assistance resources. In addition, it supports research into selected law enforcement and criminal justice problems, including both operational and theoretical issues as well as statistical and systems analysis questions.

LEAA funds are also used to give grants and loans to persons serving in or planning criminal justice careers, and to develop new programs of higher education in the improvement of law enforcement, criminal justice, and juvenile delinquency agency administration.

During April 1977 Attorney General Griffin B. Bell created a Department of Justice study group to review the present LEAA program and recommend measures to improve its effectiveness and responsiveness. On June 30 the Attorney General released the study group's report to the public and invited comments, noting, "I have reviewed the report, but I have come to no conclusions on its recommendations. . . . Only after thorough and detailed consultation with Congress will we recommend legislative changes."

The study group proposed that the Administration restructure the LEAA program to "refocus the national research and development role into a coherent strategy of basic and applied research and systematic national program development, testing, demonstration, and evaluation." It also suggested that the current legislation be changed to "replace the present block (formula) portion of the program with a simpler program of direct assistance to State and local governments with an innovative feature that would allow State and local governments to use the direct assistance funds as 'matching funds' to buy into the implementation of national program models which would be developed through the refocused national research and development program."

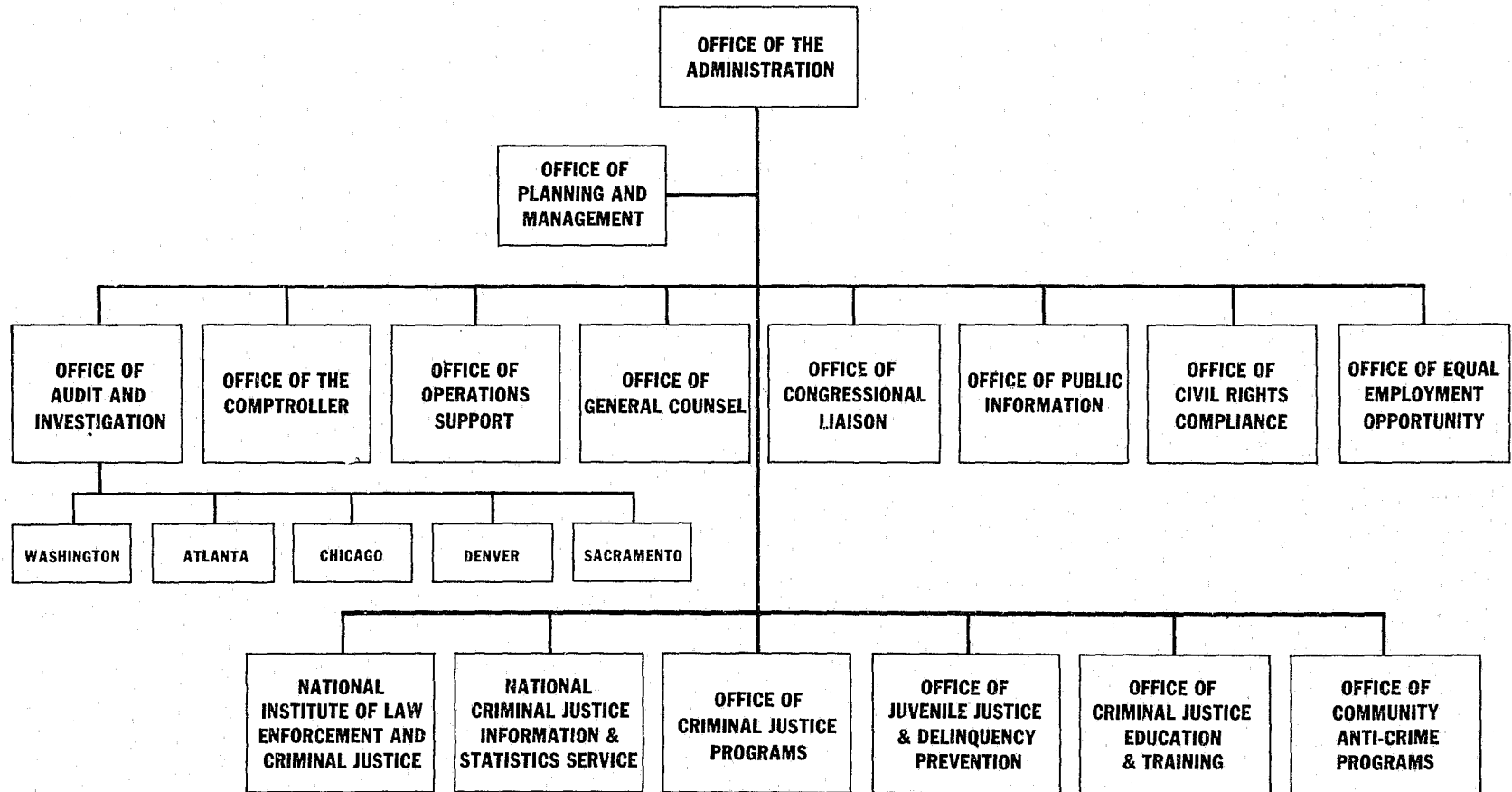
On July 19 the Attorney General directed LEAA to close its 10 Regional Offices by September 30, 1977 to make LEAA services to the States more direct and to achieve cost savings.

On September 20 LEAA established the Office of Community Anti-Crime Programs to finance and provide technical assistance to community-oriented anticrime programs. The Congress has authorized \$15 million annually for the new program's activities.

This report describes the Agency's activities during fiscal year 1977, that is, from October 1, 1976, through September 30, 1977. It is the ninth such report since the passage of the Omnibus Crime Control and Safe Streets Act, which created a new responsibility within the U.S. Department of Justice to "assist State and local governments in strengthening and improving law enforcement at every level by national assistance."

The Ninth Annual Report is the first to contain new information specifically requested by the Congress under Section 519 of the Crime Control Act of 1976. The specific subsection responses are listed in the Table of Contents.

LEAA ORGANIZATION CHART



BUDGET

LEAA's fiscal year 1977 budget was \$753 million, compared to \$809.6 million for fiscal year 1976 and \$895 million for fiscal year 1975.

The bulk of LEAA funding, \$458 million in fiscal year 1977, was distributed through block grants to the States, according to Parts B, C, and E appropriations as well as juvenile justice formula. The amounts are based on State populations. The money is used as each State deems fit under a comprehensive plan LEAA approves in advance.

Some LEAA action funds are distributed through discretionary grants for programs of national scope or those that involve several States or lesser jurisdictions. About \$92 million of the fiscal year 1977 budget came under discretionary grant funding (Parts C and E funds).

The remainder of the funds support educational,

training, evaluation, research, and development. About 3 percent of LEAA's budget goes for administrative costs.

An important LEAA contribution to the Nation's criminal justice system is the many innovative and experimental criminal justice programs that would not exist were it not for LEAA funding. These programs, once their effectiveness has been proven, are implemented in other areas throughout the Nation. More often than not, when LEAA seed money runs out, State or local funding keeps the programs going. At the same time, other jurisdictions support similar programs with their own funds.

It should be noted that LEAA funding represents less than 4 percent of total annual State and local criminal justice expenditures.

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION

The Juvenile Justice and Delinquency Prevention Act of 1974 and its 1977 amendments were enacted by the Congress to form a program to coordinate the efforts of Federal, State, and local governments. It created the Office of Juvenile Justice and Delinquency Prevention and within that Office the National Institute for Juvenile Justice and Delinquency Prevention.

The two groups established by the act to help direct Federal juvenile delinquency programs, the Coordinating Council and the National Advisory Committee on Juvenile Justice and Delinquency Prevention, have been strengthened by the recent amendments. The Advisory Committee reports to the Administrator of the Office and to the President and the Congress. The National Advisory Committee has operated through three subcommittees:

1. The Advisory Committee for the National Institute for Juvenile Justice and Delinquency Prevention is responsible for advising, consulting with, and making recommendations to the Administrator of the Office concerning overall policy and the operations of the Institute.
2. The Advisory Committee to the Administrator of the Office on Standards for the Administration of Juvenile Justice helps the Office review existing reports, data, and standards relating to juvenile justice. The subcommittee is responsible for developing standards on juvenile justice and delinquency prevention and recommending to the Administrator of the Office, the President, and the Congress, Federal, State, and local action required to facilitate the adoption of those standards.
3. The Advisory Committee for the Concentration of Federal Effort makes recommendations for improving the coordination of Federal juvenile delinquency programs and provides advice to the Office on the preparation of the annual report, containing an analysis and evaluation of Federal juvenile delinquency programs and a com-

prehensive plan for implementing Federal policy on the prevention, treatment, and control of juvenile delinquency.

A new subcommittee has been established to advise the Administrator of the Office on particular functions of the work of the Office. During the coming year, the National Advisory Committee will assist in assuring that the States comply with the requirement to deinstitutionalize status offenders and neglected and dependent children by working to strengthen the role and effectiveness of the State advisory groups.

The Coordinating Council is now required to review the programs and practices of Federal agencies and to report on the degree to which Federal agency funds are used for purposes that are consistent or inconsistent with the mandate to deinstitutionalize nonoffenders, including status offenders and dependent and neglected youth, and to insure that youths are segregated from adults in correctional and detention facilities.

In February 1977 the *Second Analysis and Evaluation of Federal Juvenile Delinquency Programs* was prepared and submitted to the President and the Congress. The report provides an overview of the Office, the National Advisory Committee, and the Coordinating Council and comparatively analyzes the planning requirements of several key Federal juvenile justice programs.

Special Emphasis

Grants to public and private nonprofit agencies, organizations, and individuals are made through OJJDP's special emphasis program. These discretionary funds are used to support program initiatives focused on priority areas. Eleven grants have been awarded for two-year demonstration programs in five States and six counties to deinstitutionalize status offenders from jails, detention centers, and correctional institutions by developing emergency shelter facilities, group homes, foster homes, and family counseling services.

A program was developed to divert juveniles through a better coordination of existing youth serv-

ices and the use of community-based programs. This program is for those juveniles who would normally be adjudicated delinquent and who are at the greatest risk of further juvenile justice system involvement. Eleven grants for three-year programs have been awarded.

OJJDP funds supported 10 demonstration Teacher Corps programs in low-income areas to develop teacher skills to help students plan and implement workable programs to reduce crime and improve the school environment. Funds were also made available to HEW's Office of Drug Abuse Prevention to train 210 teams of seven persons each to plan and implement local programs to reduce and control violence in public schools utilizing the drug education training model and training centers.

In addition, 10 discretionary grants were awarded to public and private youth agencies to develop and implement model programs to prevent delinquency and improve the juvenile justice system. Examples included money to Pennsylvania to remove juveniles from Camp Hill, an adult prison facility; to support female offender programs in Massachusetts; to fund arbitration and mediation programs involving juvenile offenders in the District of Columbia; to utilize volunteers to assist female offenders through the National Council of Negro Women's Sisters United Program in Greenville, Miss., Dayton, Ohio, and St. Thomas, Virgin Islands; and to support projects of the American Public Welfare Association's efforts to coordinate local youth programs.

Formula Grants and Technical Assistance

The Juvenile Justice and Delinquency Prevention Act created a system of formula grants for States. To be eligible for these funds, a State must submit a comprehensive plan that will help in the development of an effective coordinated approach to juvenile delinquency prevention, treatment, and the improvement of the juvenile justice system. Funds are allocated annually among the States on the basis of population under 18 years old. The Congress mandated three activities of participating States: that nonoffenders, including status offenders and dependent and neglected children, no longer be held in juvenile detention and correction facilities; that juveniles not be held in institutions in which they have regular contact with convicted adults or adults awaiting trial; and that States monitor these facilities

to insure compliance. Annual reporting of this monitoring is made to LEAA.

During the year, \$43,271 million was awarded to the 46 States and territories that are currently participating. In attempting to achieve compliance with the act, 10 States have enacted laws to effect deinstitutionalization, and 19 States are presently developing data to be included in their monitoring systems and reports.

Technical assistance to State advisory groups and State juvenile justice specialists was also provided.

Technical assistance was provided to public and private agencies, institutions, and individuals for developing and implementing juvenile delinquency programs. Technical assistance was also provided to Federal, State and local governments, courts, public and private agencies, institutions, and individuals.

Technical assistance funds were used to support the major programs of the OJJDP Special Emphasis Division—deinstitutionalization and diversion.

During the year, \$3 million in technical assistance funds were awarded to contractors to support the States' implementation of the juvenile delinquency legislation and their deinstitutionalization of status offenders and diversion programs. Prior to the delivery of technical assistance a needs assessment review was conducted and a six-month technical assistance plan was developed for all States. Technical assistance was provided to 36 States during the year.

The National Institute of Juvenile Justice and Delinquency Prevention

The Institute serves as an information center by collecting, assessing, synthesizing, publishing, and disseminating data about various aspects of delinquency. The work is largely accomplished through the Assessment Centers Program, consisting of three topical assessment centers and a coordinating center. The three topical assessment centers are delinquent behavior and its prevention, the juvenile justice system (police, courts, and corrections), and alternatives to juvenile justice system processing. The fourth center coordinates the work of the three topical centers and will produce an annual volume, *Youth Crime and Delinquency in America*, consisting of a brief synthesis of the current knowledge of the nature of delinquency, the juvenile justice system

handling of youthful offenders, and program effectiveness.

Research and Evaluation

The majority of the Institute's activities in this area are focused on the evaluation of special emphasis programs, which are underway in the deinstitutionalization of status offenders, diversion, prevention through private agencies, and school crime.

A current major research and development project is examining the link between learning disabilities and juvenile delinquency. In addition to measuring the incidence of learning disabilities among delinquent and nondelinquent groups, this project is evaluating the effectiveness of remediation programs.

Standards

The Institute has provided support for the Advisory Committee on Standards for Juvenile Justice and the American Bar Association-Institute of Judicial Administration, Juvenile Justice Standards Project that has developed standards delineating the

functions that Federal, State, and local juvenile service systems should perform, and the resources, programs, and procedures that should be used to fulfill those functions.

It is currently developing programs that will facilitate the adoption of appropriate standards consistent with the mandates of the Juvenile Justice and Delinquency Prevention Act.

Training

The Institute's training program is mainly focused on developing and improving the skills of community youth workers in their roles of helping youth—particularly in program alternatives to juvenile justice system processing. Several of these projects are focused specifically in the delinquency prevention area.

A major component of this program, currently being developed, involves training the members of State juvenile advisory groups in their roles pertaining to implementation of the Juvenile Justice and Delinquency Prevention Act. Other projects are focused on law-related education and the development of educators' skills involved in literacy teaching in community-based programs.

**Table 1. Fiscal year 1977 funding for the Office of Juvenile Justice and Delinquency Prevention
(including the National Institute for Juvenile Justice and Delinquency Prevention) ****

In Millions			
Source	Allocation	Awarded	Balance
JJDP Act	\$93,288	\$59,405	\$33,883
Part E	13.101	4.956	8.145
Part C	5.679	4.481	1.198
NILECJ	1.896	1.605	.291
Technical Assistance	1.394	1.393	.001

Table 2. Allocation of Juvenile Justice and Delinquency Prevention Block Grant Funds **

Alabama	813,000	New Hampshire	200,000
Alaska	200,000	New Jersey	1,571,000
Arizona	425,000	New Mexico	268,000
Arkansas	432,000	New York	3,850,000
California	4,373,000	North Carolina	1,159,000*
Colorado	510,000	North Dakota	200,000*
Connecticut	673,000	Ohio	2,463,000
Delaware	200,000	Oklahoma	551,000*
Florida	1,390,000	Oregon	460,000
Georgia	1,083,000	Pennsylvania	2,536,000
Hawaii	200,000	Rhode Island	200,000
Idaho	200,000	South Carolina	629,000
Illinois	2,501,000	South Dakota	200,000
Indiana	1,213,000	Tennessee	874,000
Iowa	643,000	Texas	2,635,000
Kansas	492,000*	Utah	279,000*
Kentucky	734,000	Vermont	200,000
Louisiana	915,000	Virginia	1,047,000
Maine	227,000	Washington	764,000
Maryland	910,000	West Virginia	382,000*
Massachusetts	1,236,000	Wisconsin	1,044,000
Michigan	2,142,000	Wyoming	200,000*
Minnesota	910,000	American Samoa	50,000
Mississippi	556,000*	Dist. of Col.	200,000
Missouri	1,024,000	Guam	50,000
Montana	200,000	Puerto Rico	776,000
Nebraska	335,000*	Virgin Islands	50,000
Nevada	200,000*	Trust Territory	50,000

* These states did not participate during FY 1977.

** As of September 30, 1977.

NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE

The National Institute of Law Enforcement and Criminal Justice is LEAA's research and evaluation arm. Its purpose is to encourage research and development to improve and strengthen law enforcement and criminal justice, to disseminate the results of such efforts to State and local governments, and to assist in the development and support of programs for the training of law enforcement and criminal justice personnel.

By the close of fiscal year 1977, the National Institute had completed a period of reassessment designed to move the Institute toward a better mix of basic and applied research. New planning and management will permit the Institute to carry out its responsibilities under LEAA's action program development process. This Agencywide effort explicitly recognizes that research and evaluation activities must be routinely linked to the development of action programs. At the same time, however, Agency policy recognizes that not all research leads immediately to practical application and that a legitimate purpose of research is to develop knowledge that furthers an understanding of crime.

A decade ago, the available knowledge about crime and criminal justice was scanty and fragmented. Only a handful of scientists were engaged in criminal justice research. Today that number has grown to include some of the Nation's most prestigious researchers. At the same time, there is within the criminal justice system an unprecedented receptivity to research and a willingness to experiment with new concepts.

During the past fiscal year, the Institute awarded \$21.7 million through three major offices: Research Programs, Evaluation, and Technology Transfer.

Office of Research Programs

This Office translates research priorities into programs by awarding grants and contracts, monitoring their programs to completion, and assessing the research products. It also maintains a limited in-house research capability.

The six general program divisions within the Office of Research Programs and their major accomplishments are as follows:

Police Division

An effort completed last year experimented with *split-force patrol* in Wilmington, Delaware. Sixty percent of the patrol force responded only to calls for service, while the remainder concentrated on directed preventive activities and immediate followup investigation.

According to the evaluators, this approach appears to increase productivity, both in response to calls for service and in arrests. The quantity of arrests by the patrol division increased by more than 100 percent without any apparent decline in quality.

Like any new approach, the split-force experiment was not without problems. However, despite some initial resistance by officers, Wilmington has made the split-force standard operating procedure.

The study concluded that the split-force approach is an economical alternative that other cities could adopt, although research will continue to explore variations on the split-force theme. Perhaps most significantly, however, the Wilmington experiment demonstrated that the demand for police services can be managed much more effectively and efficiently. The majority of calls are nonemergencies. Setting priorities for response and candidly telling citizens when police officers will arrive can mean greater economy for police departments while minimizing the possibility of citizen dissatisfaction.

One of the assumptions guiding the allocation of patrol resources is that police must be deployed for the quickest possible response to calls. Recent research findings challenge that assumption. The emphasis on police response time seems to have obscured an equally important part of the total picture—citizen reporting time. An Institute-sponsored study of *police response time* in Kansas City, Missouri, shows that many citizens who are capable of reporting crimes promptly fail to do so. With each minute the citizen delays the probability of arrest declines.

The study examined a sample of 949 cases of serious crimes that occurred in Kansas City. It analyzed the impact of response time on the outcomes of arrest, witness availability, citizen satisfaction with response time, and injuries to citizens during crimes.

While more research is needed to determine whether the Kansas City experience is borne out elsewhere, the findings offer a much more realistic view of response time. With such objective data, local policymakers are in a better position to make informed decisions. For example, allocating funds for expensive technology designed to reduce police response time may not bring the crime control dividends hoped for unless citizens can be motivated to summon police promptly when crimes occur.

These and other findings from the Kansas City response time study will be published by the Institute in 1978.

An Institute-supported study conducted by the American Justice Institute is developing a *performance measures system* to enable police administrators and others to evaluate the effectiveness of police operations. Existing program evaluation systems that only rely upon reported crime statistics fail to measure the full range of police activities. The new system will be tested in three cities.

Women on police patrol are a relatively new development. The Vera Institute of Justice last year completed a study of the performance of a sample of 41 female and 41 male officers in 11 New York City police precincts. Male and female officers were matched by length of time on the force, patrol experience, and type of precinct.

The conclusions are fairly consistent with those of previous studies, which found few differences between the sexes in terms of policing styles and the effectiveness of performance. The women's style of patrol was almost indistinguishable from the men's. Their choice of techniques to gain and keep control fell into the same pattern as the men's and they were neither more nor less likely than the men to use force, display a weapon, or to rely on a direct order. Civilians rated the female officers more competent, pleasant, and respectful than their male counterparts. The female officers were, however, slightly less active and more likely to hang back from physically strenuous activity. They were away from patrol on sick leave more frequently, less apt to assert themselves in patrol decisionmaking, and less often credited with arrests than their male counterparts. Also, they participated in control-seeking behavior less often and were slightly less successful at achieving the immediate objectives of their attempts to gain and keep control of civilians.

The study points out that some of these disparities disappeared when the women were given female patrol partners or assigned to a precinct where supervisors were particularly receptive to

their presence.

Another sensitive issue facing police administrators is the problem of *corruption*. An Institute-funded study examined the nature of corruption from administrative, sociological, and psychological perspectives to develop basic information for more intensive research. The project surveyed current methods of assessing and controlling corruption and their implications for management. The most promising strategies will undergo indepth examination under a new Institute grant.

Other research findings reported last year had a bearing on certain special problems of police operations. Police *mug files*, for example, may contain hundreds of photos that witnesses or victims must sift through in trying to identify a suspect. This time-consuming task can lead to confusion and fatigue, reducing the likelihood of correct identification.

An Institute-funded laboratory experiment designed a computer system capable of quickly and accurately selecting from the mug shot library a small number of photos closely resembling the description of a suspect and information on personal characteristics such as height, weight, age, sex, race, and the type of crime committed by the suspect.

Another experiment investigated the accuracy of the *polygraph*. Based on their tests, the researchers reported that the polygraph can be more than 90 percent accurate in detecting truth or deception in criminal cases. The policy implications are a matter for further consideration. The project recommended that polygraph tests be considered as another form of expert testimony. Other knowledgeable professionals, however, would limit it to an investigative aid.

As a part of the Institute's National Evaluation Program, strategies and techniques that could be employed to combat *transit system crime* were assessed last year. The magnitude of the impact of patrol on such crime often is unclear, and effects appear to diminish with time. However, there is evidence that devices such as closed-circuit television, silent alarms, and two-way radios have some deterrence value and bolster transit police surveillance and apprehension capabilities. In large multi-jurisdictional systems with serious crime problems special transit police officers can provide uninterrupted patrol coverage, whereas officers from the general police force might give lower priority to transit system crime. Passengers accurately believe that more crimes occur on rapid rail than on bus systems and that within the rapid rail system more crimes occur at the station than on the trains.

Courts Division

Institute research is examining alternatives to conventional adjudication that have operated in other industrialized countries to explore their potential for use in this country. Some 20 methods for handling civil and criminal cases were identified and examined in foreign countries. Four will be studied in depth under a 1977 grant—community mediation, prosecutorial practices, rentalsman (a mechanism for resolving landlord-tenant disputes), and compulsory mediation.

Model sentencing guidelines were successfully implemented on a pilot basis in Denver, Chicago, Newark, and Phoenix. The experience indicated that judges are both interested in the concept and willing to use a model that reflects their jurisdiction's sentencing policy. Although not mandatory, it is anticipated that judges will follow the sentences recommended by the guidelines in 80 to 85 percent of the cases. Philadelphia also has implemented guidelines sentences.

Another Institute research study is exploring data from PROMIS (Prosecutors' Management Information System) as it operates in the District of Columbia. The computerized system, which can prepare court calendars, issue subpoenas, and warn of possible bail jumpers, is operating in 15 other cities and will be in six more by December 1978 with LEAA support. PROMIS provides courts and prosecuting attorneys instant access to arrest and court records that formerly took days to retrieve—if they could be retrieved at all.

Last year, the Institute published the first three of 17 reports to be produced by the *PROMIS research project*. Some of the findings from the studies, which analyzed approximately 100,000 cases entered into the system since 1971, have been startling: almost 70 percent of all 1974 arrests for serious crimes in the District of Columbia did not result in convictions. More than 25 percent of 1974's felony arrests involved defendants on some form of conditional release—bail, probation, parole—stemming from a previous offense. This was true for almost one-third of the robbery and burglary defendants. During a five-year period, 7 percent of the defendants accounted for almost one-quarter of all arrests. One-half of the arrests that did result in conviction were made by 15 percent of the city's police force. When tangible evidence was recovered, the number of convictions per 100 arrests rose 60 percent in robberies, 25 percent in other violent crimes, and 36 percent in nonviolent property offenses. In stranger-to-

stranger robberies 40 percent of all persons arrested within 30 minutes of the offense were convicted. For suspects apprehended between 30 minutes and 24 hours after the occurrence of the offense the conviction rate dropped to 32 percent. For arrests that followed the commission of a stranger-to-stranger crime by at least 24 hours the conviction rate was only 23 percent. Less than 1 percent of the arrests were rejected for prosecution due to improper police conduct, such as an illegal search or a failure to advise a suspect of his or her rights.

A national study developed and tested two model *evaluation designs for public defender offices*. One was a self-evaluation handbook that a public defender could use to pinpoint strengths and weaknesses in client representation and office management. The other was a more detailed evaluation design to be used by an outside evaluation team. The evaluation designs can serve as tools to upgrade the defense function.

Two research projects in Philadelphia demonstrated the advantages of modern technology for criminal justice agencies. The *closed-circuit television case screening project* tested the use of a television link between the prosecutor's office and the nine police division headquarters in the city. The system provides early case screening and legal counseling to police officers by prosecutors before the defendant is booked and transported to central police headquarters. The results suggest that the use of technology in early case screening produces cost savings and better manpower utilization in both the district attorney's office and the police detective division. In addition, the system appears to offer significant opportunities for improving successful case prosecution by the district attorney's office. The early elimination of poor cases helps conserve court and prosecution resources.

The *computer-aided transcription* of stenotype notes greatly speeds the production of court trial records. The National Center for State Courts tested the practicality of this procedure for court reporters in the Philadelphia Court of Common Pleas. The study found that transcript delay could be reduced by half and that computer-aided transcription is competitive economically with traditional transcription methods. The average time of delivery of a transcript was reduced from 37 days to 18. The researchers report that the computer can be programmed to take into account the idiosyncrasies of each reporter's notes, an important factor in insuring accuracy.

In the initial phase of a *plea bargaining* study

completed last year, researchers called for an end to the secrecy surrounding plea bargaining in the Nation's prosecuting attorney's offices. The report urged that plea bargaining, long couched in mystery and suspicion, should be removed from behind closed doors and a record kept of all discussions. The report also stressed the urgency of developing specific guidelines to help prosecutors in plea bargaining. Although the report drew no conclusions about eliminating plea bargaining, it suggested that alternatives to reduce the visible defects of the practice should be considered.

Among the new projects funded during fiscal year 1977 were:

- A continuation grant for an indepth analysis of promising new mechanisms for American State and local court systems, which is a part of a study of alternatives to conventional adjudication in other industrialized countries.
- A national *survey of public opinion* on what Americans think of and expect from adjudication systems.
- A continuation of an analysis of plea bargaining processes.
- A continuation of an analysis of PROMIS data.
- An analysis and evaluation of *State speedy trial provisions*.
- An identification of current *prosecutorial decisionmaking practices* and the development of procedures that enhance the consistent processing of cases by assistant district attorneys in a prosecutor's office.

Corrections Division

A legal issue with significant ramifications for corrections is *fixed sentences*. A few States have shifted from indeterminate sentencing to systems of more definite sentences. The first to abandon the indeterminate sentence was Maine.

The Center for Policy Research in New York City is investigating what changes in sentencing and correctional systems would be required if *parole* were eliminated. The study includes a thorough analysis of the elements of the current parole system, an assessment of the reforms required if parole is to be retained, and a consideration of the changes

needed in other parts of the system if parole were to be eliminated.

An Institute study of prisons found that prison intakes have risen 38.8 percent during the last six years. In 1976, however, intake exceeded that of 1975 by only 1.3 percent. If this abatement continues, *inmate population* will stabilize within the next two or three years, provided that time served does not increase. Nationwide the number of prisoners on June 30, 1977, was 283,433, which exceeded rated capacity by approximately 21,000 inmates. If all currently reported construction, renovation, and acquisition plans are carried out by 1982 and if current rated capacity remains unchanged, rated capacity will rise from its current level of 262,768 to 325,000. This number exceeds the present population by 14 percent.

Population forecasts for 1982 were derived from different projection techniques. Depending on the assumptions made about the continuation of present trends in corrections, the projected 1982 prison population ranges from 284,000 to 384,000. Thus, the anticipated 1982 capacity described above will accommodate either all population growth expected for 1982 or only half the increase that can be projected for that time.

The report includes a number of estimates of the effects of different sentencing and policy practices on prison populations. The information should help administrators and legislators in planning ways to manage overcrowding.

A more detailed analysis of the projections that will include data on local detention facilities as well as prisons is being prepared.

LEAA awarded funds to three States—Connecticut, Illinois, and Minnesota—to reshape their *prison industries* to correct the deficiencies a survey of seven States had uncovered.

An assessment of *employment service programs for offenders* released from institutions revealed that there is a great variation among programs in the types of employment services offered and the ways these services are delivered. However, little is known about the types of services that seem most effective or about the best method for providing any given service. Many programs have analyzed whether or not clients obtain jobs. Most have reported that the majority of clients are successfully placed, but fail to provide information on stability and duration of the job, salary, etc.

Available analyses usually indicate that program clients experience lower rates of recidivism than are commonly thought. Most studies incorpor-

ate limited impact measures, such as placement and rearrest rates, and do not consider such factors as job stability, job quality, or the severity of crimes committed. Few studies compare the outcomes of program clients with those of similar groups of non-clients. Consequently, the extent to which successful client outcomes should be attributed to the programs' intervention or to other causes cannot be determined.

Another study nearing completion attempts to assess the correctional treatment and evaluation literature produced during the last decade. Preliminary findings suggest that recidivism rates for offenders are somewhat less than the high rates (one-half to two-thirds) traditionally alleged.

The Institute also is sponsoring a project to analyze what is known about probation and another to develop a uniform approach for measuring correctional outcomes to better evaluate the efficiency of corrections programs.

Community Crime Prevention Division

Research has demonstrated the crucial role played by the private citizen in preventing and controlling crime. However, research findings suggest that a citizen's willingness and ability to assist in crime control is affected by the physical environment. This concept has been tested in a major Institute project in Hartford, Connecticut, which designed, implemented, and evaluated a comprehensive crime control program for residential neighborhoods. Changes in the physical environment were coupled with changes in police and citizen crime prevention activities in an effort to reduce burglary, robbery, and street larceny. Preliminary results indicate that this coordinated, environmental approach to crime prevention was quite effective in reducing crime and fear in the Hartford neighborhood.

These concepts are also being demonstrated in a second Institute program of *crime prevention through environmental design*, where projects are underway in a school system (Broward County, Florida); a residential neighborhood (Minneapolis, Minnesota); and a business district (Portland, Oregon). Based on the projects' experience, a program manual will be published to assist city officials, city planners, and community groups in applying a comprehensive approach to crime prevention.

A related effort is a recently commissioned *urban design technical manual*. It will explore the proc-

ess of planning and designing safe neighborhoods through a systems analysis approach to urban design. The manual will include an analysis of past models and case studies of the Institute-sponsored Hartford residential neighborhood crime control study and a crime prevention planning approach proposed for Chicago's South Loop area.

The environmental approach is useful not only at the neighborhood level but also for individual housing developments. Another Institute project is currently studying the impact of building design and layout on crime in housing developments with different kinds of residents and variations in management policies.

To help the criminal justice system handle rape cases more effectively, the Institute sponsored a 30-month study that included surveys of police and prosecutors. It confirmed a trend toward a more enlightened *treatment of rape victims*. Many police departments, for example, are assigning female officers to such cases and are providing special training to investigators. Although prosecutors' offices in many large jurisdictions have begun to adopt improved approaches, overall they have been slower than law enforcement agencies to respond to the victims' concerns.

The surveys also identified the most pressing needs and problems police and prosecutors face in handling rape cases. To respond to these needs, the project gathered data from an analysis of rape legislation, from onsite studies of rape programs, from police records in a number of cities, and from interviews with victims, offenders, and criminal justice personnel. For example, victims expressed a need for detailed information that explains in clear language what to expect as their case moves through the criminal justice system and alerts them to the medical, legal, counseling, and other social services available. The project produced an easy-to-read booklet for victims, which the Institute published last year. Responding to the special concerns of police and prosecutors, the project developed operating manuals for criminal justice personnel. Legal issues also were covered in another report dealing with recent developments in this area.

A study of gambling also was completed. It gathered information on the effects of different types of *gambling laws and the nature of gambling* enforcement practices in 17 cities. Among the findings of interest to policymakers is the need for setting and communicating priorities among criminal justice agencies for enforcing gambling laws; for coordination among police, prosecutors, and courts; and for

accountability systems to insure that policies are carried out consistently.

The Institute also completed a nationwide survey of *State and local law enforcement and criminal justice personnel*. Findings include data on the adequacy of current manpower; projections from manpower needs in the future; recruitment, training, and education programs and practices; and special issues, such as the employment of women and minorities and the effects of changing criminal justice functions on manpower requirements.

The survey found that in 1974 almost one million persons were employed in the criminal justice system at the State or local level. Executives of criminal justice agencies believed that a 26 percent increase in personnel was needed for the system to fulfill its responsibilities completely. Probation and parole agencies and sheriffs' offices suffered the greatest manpower shortages.

The survey found that minority group members are still underrepresented in police and corrections agencies and that progress in the hiring of female police officers has been minimal. In 1960, only 2 percent of all police officers were women. By 1974, that figure had risen to 3 percent.

Little relationship was observed between police manpower, as measured by police-population ratios, and crime rates in major cities. It appears that a better use of police resources and greater citizen support may do more to reduce crime than increases in police manpower—a contention that has been reinforced by several other Institute research studies.

The labor force for criminal justice is expected to grow slowly during the next decade. More jobs will open in courts and corrections than in law enforcement. In all sectors of the system more workers will be hired for administrative and technical positions than for other positions.

As for education and training, the survey found a need for in-depth programs to help supervisors build their managerial and technical skills. The survey recommended that LEAA's Law Enforcement Education Program sponsor more advanced education of this sort. LEEP should also increase its assistance to agencies that cannot now provide entry-level training for new employees, it said. Juvenile corrections, parole and probation agencies, and very small agencies of all types have particular difficulties, it noted. New attorneys, judges, and court administrators also need more help in preparing themselves for specialized roles in the criminal justice system, it stated.

Data from the survey are being analyzed by

LEAA. The Institute will publish a six-volume report in 1978, and the findings should be useful to State and local legislators, administrators and planning officers. Eventually, the experience gained in conducting the survey will permit even more accurate projections of manpower and training needs.

Advanced Technology Division

During the year the Advanced Technology Division emphasized the research and development of systems to improve the security of law enforcement personnel and businesses, the testing and improvement of the Nation's crime laboratories, and the development of law enforcement equipment standards.

Among the principal programs completed during the year were:

- A field test of lightweight *protective garments* in 15 cities. The synthetic cloth protects wearers against bullets fired from most handguns. During the field tests 15 police officers escaped serious injury or death because they were wearing the garments.
- The *crime laboratory proficiency testing program*, which measured the analytical accuracy of evidence analysis nationwide. It identified both strengths and weaknesses in the capabilities of crime laboratories to analyze such typical physical evidence as bloodstains, firearms, drugs, paint, glass, soil, metal, hair, and wood. More than 200 laboratories participated in the tests. The results provided a sound basis for devising programs to improve evidence analysis.
- The continuation of a program of certification for forensic science personnel.
- A test of an Institute-developed technique for detecting *gunshot residue* on a suspect's hands. The new method, which promises to be of value in connecting suspects with weapons and in distinguishing between homicides and self-inflicted wounds, was used in more than 100 cases to establish validity and applicability.
- A laboratory-controlled test of a *cargo security system* to prevent truck hijacking. The system will be evaluated in a 400-square-mile area in Los Angeles. A control station operation and 40 trucks will be involved in the test to determine the system's cost-effectiveness.
- Further work on new techniques developed through Institute research for *analyzing blood*

and bloodstain evidence. The project is expected to permit scientists to link evidence more accurately to a specific individual. Similar breakthroughs have been made in analyzing hair and semen.

The Advanced Technology Division published 15 standards, guidelines, and special reports evaluating communications, weapons, security and investigative equipment and systems.

Special Programs Division

The Institute's Special Programs Division divided its budget among three research programs:

National Evaluation Program. This effort assesses the cost, benefits, and limitations of selected criminal justice programs. Each study focuses on a specific category of ongoing programs throughout the country, such as halfway houses or crime analysis units.

Seven Phase I studies were completed during fiscal year 1977, bringing the total number of such completed assessments to 24 during the past two years.

An evaluation of *court information systems* found that approximately 30 jurisdictions are operating comprehensive systems that provide not only day-to-day information processing but also data useful for court management.

The assessment concluded that court information systems are evolving into a useful, integral part of normal operations. However, their potential for aiding court administration and caseload management has not yet been realized. The report, published by the Institute last year, included recommendations for a more rational approach to system implementation, a method for evaluating existing systems, and greater use of system capabilities.

Other assessments completed during the fiscal year include halfway houses for adult offenders, intensive special probation projects, employment service programs for former offenders, street lighting projects, and security programs for urban mass transit systems.

The study of 155 *halfway houses* found that they are as effective in preventing criminal behavior as other forms of community release and that at full capacity halfway houses cost no more, and probably less, than incarceration, although they cost more than parole and outright release. The available capacity of halfway houses is only partially utilized at present, thus driving up actual per diem costs.

A review of 41 *street lighting* projects indicated that there is no statistically significant evidence that the lighting has an impact on the level of street crime, especially if displacement of crime to another location is taken into account. There is a strong indication, however, that increased lighting decreases the fear of crime.

Fiscal year 1977 funding included Phase I assessments of police juvenile units and coeducational corrections institutions, Phase II evaluations of Treatment Alternatives to Street Crime (TASC) and pretrial release programs, and a project to develop a manual for single project evaluation design based upon findings to date.

The Visiting Fellowship Program. This program supports a community of criminal justice scholars at the Institute. Fellowship recipients work on projects of their own design for periods from three months to two years. The emphasis is on creative, independent research into major issues concerning crime prevention and control and the administration of justice.

Visiting fellowship projects during fiscal year 1977 included a study of international terrorism focusing on terrorist-hostage situations, an examination of the private practice of criminal law, the development of sourcebooks in forensic serology, and an analysis of trends of crime and violence in the Nation's public secondary schools from 1950 through 1975.

The Research Agreements Program. The Institute established this program to provide relatively long term support for basic research into major unsolved criminal justice problems. The topics selected are those whose scope and complexity demands long term studies or a rigorous analysis of highly complicated data. Research agreements are signed with universities or research organizations that have established centers or well-designed research programs capable of understanding projects of this magnitude.

Four research agreements were funded in fiscal year 1975 and are expected to continue through fiscal year 1980. The topics are habitual criminal offenders (the Rand Corporation), collective responses to crime at the community level (Northwestern University), econometric analyses of crime problems (Hoover Institution on War, Revolution, and Peace), and white-collar crime (Yale University).

During fiscal year 1977, each of these groups continued to collect and analyze data about their particular topic. For example, the Rand Corporation, which has completed two years of study,

reported the following interim findings:

Former prison inmates account for a relatively small proportion of total crime rates even though the former inmates who repeat (25 to 40 percent) commit more frequent and more serious criminal acts than those offenders who have not been to prison. New sentencing policies should deal with those offenders who have been convicted at least once of a serious offense but never sent to prison.

Within a group of offenders who can be characterized as habitual and dangerous by their prior conviction record at least two different patterns of behavior can be distinguished—the intensive offenders who are most dedicated to crime, commit more frequent offenses and are more likely to avoid arrest, and the intermittent offenders who commit crimes in a more sporadic and reckless fashion and are much more likely to be arrested. Most offenders attributed their continuation in crime to their own personal choice and not to external factors.

A fifth research agreement was begun during the year with the Vera Institute of Justice to study the relationship between employment status and criminal activity.

Office of Technology Transfer

The Office of Technology Transfer transmits LEAA research findings to both researchers and practitioners to increase the understanding and use of research results and advanced criminal justice practices.

Model Program Development Division

One of the Division's most important 1977 priorities was to devise improved mechanisms for resolving citizen disputes—to establish fair, convenient, and economic community alternatives to formal court trials for resolving minor cases. The goals were to reduce delays, costs, and court congestion.

Working with the Institute's Office of Research Programs, the Model Program Development Division reviewed past research and operating experience in the area and developed *Neighborhood Justice Centers: An Analysis of Potential Models*, which analyzed the advantages and disadvantages of each approach. The Division subsequently worked with the Department of Justice to develop a program design appropriate for a national test and evaluation effort. The resulting Neighborhood Justice Center pilot program will be tested during the coming year

in Los Angeles, Kansas City, and Atlanta.

The Institute will assess and analyze the experience of the three sites to develop a national model. The Reference and Dissemination Division is publishing and distributing the original program model to other interested communities. It also will publish and distribute the test experience report and the results of newly initiated Institute research on citizen involvement in dispute resolution and court processing.

In addition to developing program models from research findings and operating experience, the Division identifies the most effective practices and produces handbooks to guide criminal justice officials in using the new techniques. Two of its major efforts are the Exemplary Projects Program and the Prescriptive Packages Program.

Exemplary Projects. This program identifies and publicizes outstanding criminal justice programs. Candidates may come from State, local, or private agencies. LEAA funding is not a prerequisite. To be considered for the exemplary designation a project must have operated for at least one year, must have demonstrated success in reducing a specific crime or improving a criminal justice operation or service, and must be adaptable to other locations.

All exemplary projects are publicized nationally. Brochures and detailed manuals are prepared on each project, covering planning, operation, budget, and staffing. The manuals place a special emphasis on evaluation procedures so communities adopting the program can gauge their own successes or shortcomings. From more than 430 candidate programs submitted to date, 25 have been designated exemplary.

The five named during fiscal year 1977 were the Community Crime Prevention Program of Seattle; Project New Pride in Denver; the One Day/One Trial Jury System in Wayne County, Michigan; the Pre-Release/Work Release Center in Montgomery County, Maryland; and the Mental Health/Mental Retardation Emergency Service in Montgomery County, Pennsylvania.

Monographs. An outgrowth of the Exemplary Projects Program, this publication series consolidates and analyzes information gleaned from the study of a number of related exemplary project candidates or focuses on one particularly worthwhile program that did not quite meet the stringent exemplary criteria. During 1977 monographs were published on *Courts Planning and Research: the Los Angeles Experience* and *Use of Civilians in Police Work*.

Prescriptive Packages. These reports analyze the advantages and disadvantages of various program models, based on available data, research findings, and expert opinion. Twenty-four prescriptive packages have been published, and 21 more are in preparation.

During 1977 four related prescriptive packages were funded on management (case flow management, records management, personnel management, and financial management); two on community corrections (the regionalization and consolidation of correctional programs and community correctional facilities); and manuals on correctional programs for women and the unification of State court systems.

Prescriptive packages published and distributed during 1977 include *Para-Legals: A Resource for Public Defenders and Correctional Services*, *The Prosecutors' Charging Decision*, *Child Abuse Intervention*, *Routine Police Patrol*, *Specialized Police Patrol*, and *Drug Programs in Correctional Institutions*.

Training and Testing Division

The Division conducts regional training workshops, special national workshops, field tests, new program approaches, and a HOST program of onsite training in exemplary practices.

Executive Training Program Workshops offer criminal justice decisionmakers brief, intensive training in new research-based programs and advanced practices.

The following workshops were conducted during 1977:

Juror Usage and Management—Some 450 judges, jury commissioners, and court administrators were trained in efficient and cost-saving juror management techniques developed through Institute-sponsored research.

Managing Criminal Investigations—More than 600 police executives were trained in criminal investigation management and resource allocation techniques based on the findings of three Institute studies.

Prison Grievance Mechanisms—More than 485 prison administrators and corrections officials studied techniques for resolving grievances in institutions based on an exemplary project and a prescriptive package.

Rape and Its Victims—This workshop trained more than 570 participants who came as community teams to study how to effectively integrate community responses to rape victims.

Special National Workshops present significant research findings to selected national audiences to stimulate discussions of critical criminal justice issues. During 1977 these included a seminar to help local elected executives solve criminal justice problems by adopting better approaches identified through research and a seminar on determinate sentencing and its effect on courts and corrections.

Field Tests are conducted as part of the Institute's research and development effort and are an important part of the LEAA program and development process.

Two field tests continued in 1977, both drawn from a series of Institute-sponsored studies. *Managing Criminal Investigations* is being conducted in five locations and *Juror Usage and Management* is being tested in 18 jurisdictions.

The *HOST Program* gives local officials interested in establishing a new project the chance to visit and work with agencies using the program. Participants spend up to two weeks at the host agency and work with the people who initiated the program. During 1977, 60 criminal justice officials visited an exemplary project HOST site.

Reference and Dissemination Division

This Division publishes and distributes Institute research and evaluation findings, develops special information on Institute programs for researchers and practitioners, operates the LEAA library, and disseminates information to the international criminal justice community through the National Criminal Justice Reference Service.

The Reference Service is an international clearinghouse for all aspects of criminal justice research and operations. It acquires indexes and abstracts; stores, retrieves, and distributes reports and information; and offers a wide range of free reference and referral services to users. Its 34,000 registered users have access to a data base of more than 28,000 entries.

To improve dissemination the Institute last year created a Research Utilization Committee that brings together relevant Institute and LEAA program staff to review research reports and suggest appropriate utilization and dissemination approaches.

Brochures or manuals currently available at the Reference Service include the following:

ABA Standards for the Administration of Justice;
Abbreviations Used By NCJRS and *A List of Primary*

Sources of Documents; Abused and Battered Child; Administrative Adjudication Bureau of the N.Y. State Dept. of Motor Vehicles (Brochure); Be on the Safe Side, For Your Personal Protection;

Benefits for Public Safety Officers; Central Police Dispatch (COPS), Muskegon, Michigan (An Exemplary Project); Citizen Dispute Settlement - The Night Prosecutor Program of Columbus, Ohio - An Exemplary Project; Citizens Against Crime; Community Action Brochure; Community-Based Corrections in Des Moines - A Coordinated Approach to the Improved Handling of Adult Offenders.

Community Crime Prevention - Seattle, Washington - Exemplary Project (Brochure); Community Response to Rape - Polk County Rape/Sexual Assault Care Center, Des Moines, Iowa - An Exemplary Project; Community-Based Corrections in Des Moines, An Exemplary Project (Brochure);

Controlled Confrontation - The Ward Grievance Procedure of the California Youth Authority (An Exemplary Project); Dallas Police Legal Liaison Division, An Exemplary Project; Denver (CO) - Project New Pride - An Exemplary Project (Brochure); District of Columbia Public Defender Service (Brochure); Document Loan Program; Document Loan Program List Two.

Does the Job Seem to Big to Handle?; Don't Foul Up; Evaluation Clearinghouse (Brochure); Evaluation Document Loan List No. 2; Evaluative Research in Corrections; Exemplary Programs Brochure NILECJ/OTT - Apr. 75; Family Crisis Counseling Brochure; Focus on Citizen's Initiative; Guide to Microfiche Accessory Equipment; Guide to NCJRS; Handling Traffic Cases: A Better Way (Exemplary Project).

Hazardous Devices Course (Brochure); Health Care in Correctional Institutions; Improving Juvenile Justice; Innovative Research in Criminal Justice Programs Announcements; Internship Program, A Vital Working Experience; Juvenile Diversion Through Family Crisis Counseling (An Exemplary Project); Juvenile Justice and Delinquency Prevention. . . A New Perspective; Juvenile Justice and Delinquency Prevention. . . Federal Research in Action.

Law Enforcement Assistance Administration - A Partnership For Crime Control; Law Enforcement Assistance Administration - A Partnership for Crime Control (Spanish version); LEAA Community Efforts Make News; LEAA Literature on Criminal Justice; LEAA Presents NCJRS; LEAA Public Information; LEEP - A Step Ahead; LEEP - An Opportunity to Move Ahead; Major Offense Bureau, The Bronx County District Attorney's Office - An Exemplary Project;

Managing Criminal Investigations (Prescriptive Package); NCJRS - A Unique Information Service; NCJRS Goes to Microfiche; NCJRS Wants to Know.

New York City Police (Street Crime Unit) (Exemplary Project); NILECJ (National Institute of Law Enforcement and Criminal Justice) Evaluation Program; NILECJ - Research Evaluation Technology Transfer; NILECJ Evaluation Program (Oct. 75); NILECJ/Exemplary Projects; Office of Technology Transfer Brochure; Only Ex-offenders Need Apply - The Ohio Parole Officer Aide Program, An Exemplary Project.

Operation: Demonstration Out of the Ivory Tower: A University's Approach to Delinquency Prevention - The Adolescent Diversion Project; Philadelphia Neighborhood Youth Resources Center - An Exemplary Project; Prescriptive Packages Brochure (2); Privacy and Security of Criminal History Information - A Guide to Dissemination; Providence Educational Center, A Program for Juvenile Delinquents (Exemplary Project) (Brochure).

Prosecution of Economic Crime (Exemplary Project); Publications - NILECJ; Questions and Answers About SNI; Rural Legal Research, Creighton Legal Information Center, Omaha, Nebraska - An Exemplary Project; Search and Retrieval Brochure; Selected Literature and Information Sources (Community Action); Selected Literature on Evaluation; Selective Notification of Information.

Training in Advanced Criminal Justice Practices (A Program of Technology Transfer); User Manual; User's Guide to NCJRS; Victimization: A Different Perspective; Why Improvise? Standardize; X-Ray Systems for Bomb Disarmament - Law Enforcement Standards Program.

Office of Evaluation

The Office of Evaluation's primary functions are to evaluate specific programs and innovations, to develop improved evaluation methodologies, and to assist State agencies in developing their own evaluation capabilities.

During fiscal year 1977 work began on an evaluation of LEAA's Standards and Goals Program. The study is analyzing the experience of the 27 States that had completed the standards and goals process.

The Office also applied funds to LEAA's Office of Criminal Justice Education and Training to begin a study of the Law Enforcement Education Program as it is operating in participating two-year colleges.

Additional funding expanded the evaluation of LEAA's Career Criminal Program to examine the effects on police and corrections of this prosecutor-oriented program.

Grant solicitations were also developed for evaluations of four other LEAA discretionary programs, Community Anticrime, Court Delay, Improved Correctional Field Services, and Neighborhood Justice Centers.

The Office of Evaluation also is responsible for designing and implementing evaluations of test and demonstration programs initiated by the Institute's Office of Technology Transfer. During 1977 this involved the Managing Criminal Investigations Program, which is testing improved methods of managing and using investigative resources in six city police departments. An evaluation of the New York Court Employment Program successfully completed its first phase. Among the methodology studies begun in 1977 was a critical review by a panel of the National Academy of Sciences of the literature on rehabilitation.

Among the studies completed during fiscal year 1977 was one on the effects of reducing the penalties for violating State marijuana laws. The study suggests that although substantial dollar savings can be anticipated when penalties are reduced, it is too soon to say with any confidence whether marijuana use has been affected by the passage of new laws.

Another study examined New York State's early experience in implementing and enforcing its strict new drug abuse laws. The evaluators found that during the first three years the objectives were not

achieved. For example, heroin use was as widespread in New York City during mid-1976 as during 1973, and the pattern of usage over this period was not appreciably different from the pattern in other major East Coast cities. Similarly, patterns of drug-related crimes showed no significant deterrent effects. Finally, although court caseload backlogs and other effects on the criminal justice system tended to decrease over time, the costs imposed by the laws do not appear to have resulted in commensurate benefits.

In addition to evaluating specific programs and sponsoring research into new and more effective evaluation methodologies, the Institute also assists State Planning Agencies in developing or improving their own evaluation capabilities. Representatives of the Institute met quarterly with the National Conference of SPA Directors to exchange views about evaluation needs and proposed LEAA evaluation plans.

The Institute also published several documents to aid State officials in conducting evaluations. These included *Monitoring for Criminal Justice Planning Agencies*, *Intensive Evaluation for Criminal Justice Planning*, *Management-Oriented Corrections Evaluation Guidelines*, and a bibliography on *Techniques for Project Evaluation*. An *LEAA Evaluation Handbook for State and Local Agencies* will be published in 1978.

The Institute also maintains a clearinghouse of evaluation materials at the National Criminal Justice Reference Service.

OFFICE OF REGIONAL OPERATIONS*

The Office of Regional Operations, composed of LEAA's 10 regional offices, five major program divisions, and two staff units, is the largest program office within LEAA and the most frequent contact point with State and local criminal justice agencies.

The Office exercises major authority for the LEAA program through its responsibility to approve, award, monitor, evaluate, and terminate all planning and block action grants and manage a large portion of the Agency's discretionary grants and technical assistance activities. The Office's Enforcement, Adjudication, Rehabilitation, Special Programs, and Indian Affairs Divisions provide national-level policy guidance for the LEAA discretionary grant programs in these areas.

Planning grants (Part B) funds support the operations of the 56 State-level criminal justice planning agencies and a network of regional and local planning units. Planning grants totaling \$60 million were awarded during fiscal year 1977 to the various States.

Action funds are of two basic types—block and discretionary. Block action grants are made available to States on a population basis. They represent 85 percent of the annual LEAA Part C appropriation and 50 percent of the Part E (corrections) appropriation. State Planning Agencies submit annual criminal justice plans based on State agency and local priorities. The plans analyze crime and criminal justice problems, set goals, standards and priorities, and establish an annual action program responsive to State and local needs. The plans are approved and block grants are awarded if they meet guideline requirements, reflect a determined effort to improve the quality of criminal justice throughout the State, and are likely to make a significant and effective contribution to the State's efforts to deal with crime. During fiscal year 1977, \$314,554,000 in Part C block grant funds and \$36,694,000 in Part E block grant funds were awarded to support State and local criminal justice programs.

LEAA's discretionary grants are made for the purpose of developing, testing, implementing, and evaluating innovative programs at the State and local levels. The Office awarded \$65,789,000, or 76 percent, of LEAA's total discretionary grant funds awarded during the fiscal year.

The **Enforcement Division** administered programs in the areas of rural law enforcement, organized crime, drug enforcement, and integrated

criminal apprehension. Organized crime programs include white-collar crime projects, corruption control projects, cargo theft, and antifencing projects.

The **Adjudication Division** administered discretionary grants for court improvement programs and career criminal programs. Court programs are designed to produce fundamental structural or procedural changes in the operation of State court systems. The objective of the career criminal program is to demonstrate that serious crimes can be reduced through special prosecutorial emphasis on cases involving repeat offenders.

The **Rehabilitation Division** directed programs in Treatment Alternatives to Street Crime (TASC), community corrections training, and corrections system management improvement. The TASC programs reduce drug-related crime by providing for community-based drug treatment services for eligible drug abusing criminal offenders. The community corrections program improves and increases the use of community help rather than institutional resources to control selected offenders without endangering citizens. The corrections training program provides demonstration programs for correctional offices in major institutions and jails. The system management improvement program improves the management of corrections systems through the development of research, evaluation, planning, and monitoring capabilities in State adult probation and parole agencies.

The **Special Programs Division** directed the victim/witness and citizen participation programs, which improve the treatment of victims and witnesses and increase citizen cooperation with the criminal justice system, as well as assist in organizing community groups to deal with crime and reduce the vulnerability of the elderly as crime victims.

The **Indian Affairs Staff** directed Indian program funding through allocations to 85 eligible Indian tribes. Projects are designed to improve Indian criminal justice programs for police, courts, corrections, and youth and to assist with crime reduction on reservations.

*On July 19, 1977, Attorney General Griffin B. Bell directed LEAA to close its 10 regional offices as of September 30. Beginning in fiscal year 1978 most of the functions of those offices will be performed by the personnel of the new Office of Criminal Justice Programs in LEAA's Washington, D.C. headquarters.

NATIONAL CRIMINAL JUSTICE INFORMATION AND STATISTICS SERVICE

The National Criminal Justice Information and Statistics Service develops a coordinated and unified approach to the information and communications needs of criminal justice agencies. Its programs emphasize the timeliness and accuracy of information and the uniformity of statistics needed by criminal justice agencies. The information made available is designed to make criminal justice operations, resource allocations, and program planning and evaluation as efficient and effective as possible.

The program consists of three major areas, the Statistics Division, the Systems Development Division, and the Privacy and Security Staff.

Statistics Division

The Division is organized into two branches, one for national efforts to collect, analyze, and disseminate criminal justice statistics and the other for the support of State efforts to derive statistics from operational information systems and to analyze and utilize data to improve the administration of justice. Major programs are:

The National Crime Victim Survey. This nationwide report measures criminal victimization and attitudes concerning crime through a representative probability sampling of households and commercial establishments. It employs sophisticated methodological techniques to provide more reliable and accurate information about levels of criminal events and changes in those levels than is possible with traditional police reporting programs. More importantly, it provides information about the characteristics of victims and criminal events that was unavailable in the past. It is also a ready vehicle for supplemental data collection efforts for a wide range of topics of interest to criminal justice officials. For example, the survey measures public attitudes toward the relative severity of a wide range of criminal offenses. Secondary analyses of the victimization data on subjects of specialized interest are also performed, such as myths and realities about crime; urban, suburban, and rural crime; and minorities and the police. Continuing methodological research into refinements of the victim survey techniques is a part of this program.

The National Prisoner Statistics. This is a series of statistical surveys and censuses in corrections. It provides statistical profiles on the inmates and the institutions to which they are confined. This statistical data includes prisoner population, movement of prisoner trends, methods by which people are released, characteristics of persons admitted and released, characteristics of the correctional facility itself (its programs and administration), data on persons executed under the sentence of death, as well as demographic and socioeconomic characteristics of prisoners.

Capital Punishment 1975 and Capital Punishment 1976: Advance Report were published during 1977 under this program. These reports contain data about persons executed under civil authority as well as those currently under the sentence of death, by sex, race and offense.

Criminal Justice Expenditure and Employment Data. National and State-by-State estimates of expenditure and employment are published for each of the components of the criminal justice system—police, judiciary, prosecution, indigent defense, and corrections. The use of this data in the development of State comprehensive plans is extensive following new LEAA guidelines governing data analysis. During the year special tabulations were run to provide the States with the most current data, and instructions for using the data were prepared and distributed to the States. This program collects the expenditure data in accordance with a statutory requirement and is the only national source of such data.

Trends in Expenditure and Employment Data for the Criminal Justice System, 1971-1975. This is the third in a series presenting detailed multiyear statistics on criminal justice employment and expenditure trends in the United States. The annual survey covers the Federal and State governments, all counties, all municipalities with a 1970 population of 10,000 or more, and a representative sample of the remaining cities and townships. Included in the survey are law enforcement agencies, courts, legal services, prosecution, public defense, corrections, and other criminal justice activities. Some of the significant findings of this report are that police protection, judicial and legal services, and prosecution are

supported mainly by local governments. States continued as the largest supporter of corrections. Police protection accounted for more than one-half of all direct criminal justice expenditures during the five-year period, varying from 59 to 57 percent. More than 80 percent of all municipal criminal justice spending in all five years was for police agencies.

National Survey of Court Organization, 1977 Supplement to State Judicial Systems. This is the second supplement of an original survey made in 1971 by the Bureau of the Census. It is part of LEAA's effort to develop profiles of court systems and their operations, to help judges, court administrators, and their court personnel stay abreast of national developments in court organization. During the year LEAA awarded a grant to the National Center for State Courts to establish a National Court Statistics Project.

Children in Custody: Advance Report on Juvenile Detention and Correctional Facility Census of 1974. This is the third in a series containing data on population, movement, numbers and types of juveniles, length of stay, personnel, and expenditures collected from approximately 900 public and private facilities.

Sourcebook of Criminal Justice Statistics, 1975 and *Sourcebook of Criminal Justice Statistics 1976.* These publications incorporate information from 100 separate criminal justice publications on such data as the nature and distribution of criminal offenses, the characteristics of arrested persons, the court processing of defendants, and a description of correctional system inmates.

LEAA Dictionary of Criminal Justice Agencies. This 10-volume directory lists names and addresses of all criminal justice agencies, including police, prosecution, indigent defense, court, and corrections, by Federal region. The Division also supported a single-time, nationwide survey of the sociodemographic characteristics of 50,000 employees from approximately 5,000 criminal justice agencies. Two reports to be released in the early part of fiscal year 1978 are *State and Local Prosecution and Civil Attorney Systems* and *State and Local Probation and Parole Systems.* They document the prosecution/civil attorney and probation/parole system in each State and report on a 1976 survey of these agencies, showing employment, funding, and jurisdiction. The probation and parole report also presents the numbers and characteristics (adults vs. juvenile, felony vs. misdemeanor) of probation and parole clients.

State Programs Branch. A major LEAA program

is Comprehensive Data Systems. It encourages the States to collect comprehensive criminal justice information for use in planning, implementing, managing, and evaluating criminal justice programs at the local, State, and national levels. Because the administration of criminal justice is largely a State and local function, much of the data needed for national planning must be developed at this level. The program provides the means to systematically gather, organize, and analyze this information. There are three system components, the statistical analysis center, the uniform crime reports, and the offender-based transaction statistics computerized criminal histories. More than 100 grant awards were made to the States for one or more of the three components during 1977. During fiscal year 1977 there were 44 States plus Washington, D.C., and Puerto Rico with approved CDS action plans. The plan describes the State's program to implement the CDS components and is a prerequisite for funding under this program. One additional State plan is expected to be approved. Two other States are known to have plans in preparation.

Thirty-four States have now begun development of their computerized criminal history systems. Eleven States have their criminal history files in the FBI's National Criminal Information Center. At the end of the fiscal year, 40 States had established criminal justice statistical analysis centers. Forty-two States have been assisted in assuming responsibility for uniform crime reporting.

Systems Development Division

The Division develops, tests, evaluates, and transfers information and communication systems which hold potential for improving the efficiency and effectiveness of criminal justice operations.

Communications Systems. One of the major programs within the Division is the improvement of State and local telecommunications. During the year the expansion of the National Law Enforcement Telecommunications System was completed. Four years ago, NLETS was a low-speed, party-line system which was manually interfaced with the States it served. The capacity of the system was totally inadequate for the message load being developed by the States, and as a consequence, backlogs of several hours were not uncommon.

Today NLETS is an efficient, high-speed data system to which all States except Hawaii have access. Messages to 45 States and several Federal agencies

are transmitted on a computer-to-computer basis in less than a second even at peak periods. Four States have access to NLETS via teletype methods.

Under the State Communications Program, a detailed requirements analysis and design of an interstate criminal justice communications network for Ohio and Texas was completed during fiscal year 1977. A comparative cost-benefit analysis of alternative network configurations expected to satisfy the requirements identified in Texas and Ohio was also completed. Many other States have expressed interest in using the network solutions in Texas and Ohio for their own communications problems.

Phase II of the Emergency Command and Control Communications System was initiated during the year. It will integrate all aspects of a command control communications system, thus improving the efficiency and effectiveness of a major city's dispatch and communications system. To date, each major subsystem has been identified and the transmission capacity determined. The master radio plan was developed and has been prepared for implementation.

A major program is now underway to increase the effectiveness of 911 emergency telephone systems through two demonstration projects and to disseminate information on the costs and benefits of these systems to local jurisdictions. These advanced emergency telephone systems are designed to decrease the number of errors in the identification and location of the caller, thereby reducing the response time by the police, ambulance, and fire departments. The 911 emergency telephone system in the quad cities area (South County, Iowa, and Rock Island, Illinois) is a planning study that will evaluate alternative approaches for providing 911 service to a multijurisdictional area that is served by multiple independent telephone common carriers. During the advanced 911 trial in Alameda County, California, an evaluation will be conducted of the cost-effectiveness of a service that will offer three advanced features not currently available in any other community: selective routing, automated number identification, and automated location identification.

A study was conducted on the use of the 900 MHz frequency by law enforcement personnel to expand communications from the sometimes crowded VHF-UHF frequency spectrum to the less crowded 900 MHz frequency spectrum.

Automated Criminal Identification Systems. An evaluation of the ten-print automated fingerprint system in Arizona was completed. The system suc-

cessfully demonstrated the feasibility of automating the reading, classification, storage, and retrieval of arrest fingerprint images for a medium-sized State. The evaluation showed that the use of such automation is faster and more economical than manual and semiautomated procedures in effect elsewhere.

A project to expand an automated latent fingerprint system was initiated in New York State. The system takes prints found at the scene of a crime and searches the State files for a match. The significance of this system is the size of the data base which can be accessed. Most latent fingerprint systems can only access a very limited data base. By expanding this system from 11 to 62 counties, the chances of making a match are greatly increased.

Judicial Information Systems. The third major Division program is the development of State and local information systems. State judicial information systems are under concurrent development in 23 States, and 18 States have begun implementation.

A comprehensive demonstration of automated legal research was sponsored by the Division, which used SEARCH Group, Inc. as the coordinating agency. Thirty terminals were installed for a six-month period in eight States.

During the year, the United States Department of Justice's Criminal Division and the State of Minnesota operated a joint project to develop and test a pilot program to collect and analyze statistics on the disposition of concurrent jurisdiction offenses which had been referred either from Federal to State or State to Federal courts for prosecution. The ultimate goal of this project is to provide prosecutors with more meaningful information to use in caseload assignment. Existing reporting systems in Minnesota were modified, and computer programs were developed that will generate compatible statistics on criminal cases that can be prosecuted at either the Federal or State level.

Police Information Systems. A Crime Analysis Systems Support Project was initiated through a grant to the International Association of Chiefs of Police. It will provide automated support for improved crime analysis capability in police departments. The project directly supports LEAA's Comprehensive Career Criminal Program.

During the year the Geographic Base File (computerized maps) was tested in St. Louis and Tucson, and subsequently distributed to approximately 35 law enforcement agencies. Onsite technical assistance was provided to 10 agencies receiving the software package and telephone assistance was available to all others. The Division also funded the Interstate

Organized Crime Index Project during fiscal year 1977 through a grant to the California Department of Justice. The department is the central coordinating agency for more than 200 law enforcement agencies across the country. The project develops and operates an automated index of persons known to be active in organized crime.

Capitalizing on a police information system that was developed with block funds, the Systems Development Division is sponsoring the conversion and implementation of the Police Operations Support System—Elementary to meet the needs of small and medium-sized law enforcement agencies. The basic system will include such characteristic law enforcement functions as calls for service, offense incident reporting, UCR reporting, arrest reporting, and a microfiche arrest and identification system. These applications will be converted to operate on a wide variety of low-cost computer equipment. A full implementation package is being developed that will enable agencies to implement the system basically for the cost of the computer equipment.

A test of the model standardized crime reporting system developed by SEARCH Group, Inc., was begun. It was developed as a result of a survey that indicated that basic information needs and functional uses of crime report data were fairly standard in agencies regardless of size or jurisdiction. The test phase of the project will coordinate, monitor, and evaluate the demonstration of this model in five sites, a small rural community, a medium-sized city, and a State police department, with input from two small urban communities. The test will show whether the conceptual design can be used by agencies in their own tailor-made event reporting systems, whether there is a valid need and use for standard data elements in crime reporting, and whether this particular system is technically and administratively feasible in a variety of environments on a cost-effective basis.

Corrections Information Systems. The Offender-Based State Corrections Information System is currently operating in 23 States containing more than 64 percent of the total United States prison population. It is anticipated that over 12 new States will join during the next fiscal year.

The Computer Assisted Prisoner Transportation Index Service was initiated during the year to determine the feasibility of establishing a central information system to assist county sheriffs coordinate the transportation of prisoners between States. The implementation of this service is expected to result in cost reductions of approximately \$2.5 million an-

nually.

A Jail Accounting Microcomputer System, which represents LEAA's first major effort to demonstrate microcomputer technology in an operational criminal justice setting, has been developed and was operationally tested in the San Joaquin County Jail in Stockton, California. The purpose of this project is to demonstrate the applicability of low-cost microcomputers to inmate accounting in jails. The system provides the capability for booking prisoners entering the jail and the subsequent logging and retrieving of information concerning their location, status, and characteristics as well as producing operational, management, and statistical reports.

Technical Assistance. Technical assistance was provided by the National Clearinghouse for Criminal Justice Information Systems. The clearinghouse provided onsite expert advice and technical assistance to more than 133 police, courts, and corrections agencies in the transfer of criminal justice information systems. It automated the 1976 LEAA *Directory of Automated Criminal Justice Information Systems*, which is maintained as an up-to-the-minute, online information system.

A grant was awarded to the National Center for State Courts to provide court improvement through technology. Under this program technical assistance will be provided to court managers throughout the Nation in microfilm, business equipment, audio-visual devices, and electronic data processing hardware.

Privacy and Security Staff

During the year the Privacy and Security Staff helped States comply with the LEAA privacy and security of criminal history information regulations and confidentiality of research/statistical information regulations. The original deadline of December 31, 1977 for compliance with the privacy and security regulations was extended until March 1, 1978. States can, however, request a further extension on a case-by-case basis.

In June 1977 a nationwide Privacy Policy Conference was held to discuss access to criminal records by the news media, private employers, and private security agencies as well as other government agencies; and access by criminal justice agencies to other government records. In addition, training seminars on the regulations were held as were a series of informal discussion seminars for State officials. To provide the affected organizations and

individuals with maximum assistance, a series of five publications were prepared and distributed to the public.

OFFICE OF CIVIL RIGHTS COMPLIANCE

The Office of Civil Rights Compliance enforces the civil rights responsibilities of the recipients of LEAA financial assistance. It conducts complaint investigations and compliance reviews and monitors technical assistance contracts.

The Office is also responsible for the preaward review of categorical grant applications in excess of \$500,000 to make sure they contain adequate civil rights components. Thirty of these reviews were performed during fiscal year 1977.

In conformance with regulations of the Office of Federal Contract Compliance in the U.S. Department of Labor concerning equal employment on federally-funded construction projects, 12 onsite reviews were conducted and 32 construction project reporting requirements were issued during the year. Effective October 1, 1977, this responsibility was transferred to the Department of Labor.

Technical assistance and training efforts were enhanced through the participation of OCRC staff as well as contractors and grantees to help assist State Planning Agencies and other State and local agencies develop programs to improve their compliance

with LEAA civil rights requirements. One grantee is developing new employment selection tests for State and local law enforcement agencies. The Office also continuously monitors the nondiscriminatory validity of all locally-developed entrance and promotion examinations.

On February 16, 1977, LEAA adopted regulations that included stringent timetables for civil rights complaint investigations and compliance reviews. The regulations mandate fund suspension and ultimately fund termination in cases of continued noncompliance.

Through improved management techniques the Office closed 481 complaints of discrimination, reducing a large backlog, and was instrumental in prompting the award of \$250,000 in back pay and other benefits to discrimination victims.

In addition, 20 State governments were notified of LEAA's intent to terminate program funding if compliance with applicable regulations was not achieved. In all but one instance compliance was secured without the necessity for fund termination.

OFFICE OF CRIMINAL JUSTICE EDUCATION AND TRAINING

The Office of Criminal Justice Education and Training is responsible for LEAA's manpower planning and program development. The Program Development Division administers the Law Enforcement Education Program (LEEP), the Educational Development Program, the Graduate Research Fellowship Program, and the Internship Program. Annually, these four programs support the improvement of criminal justice and criminology education at more than 1,000 of the Nation's educational institutions.

OCJET's Planning and Analysis Division develops policy for the programs directly administered by OCJET and coordinates policy with the other LEAA offices that administer training programs. It also works closely with other offices in the preparation and delivery of technical assistance in the area of manpower development.

The Office of the Director provides support services for the two Divisions and makes final policy decisions. In addition, it monitors decisions about the eligibility of individuals and institutions to participate in educational assistance programs.

During fiscal year 1977 the Office initiated an extensive effort to coordinate LEAA's four major education programs. The results of the National Manpower Survey, conducted under a contract awarded by LEAA's National Institute of Law Enforcement and Criminal Justice, showed there was a need to upgrade the quality of criminal justice courses in institutions of higher education and to make them more responsive to personnel requirements.

The Educational Development Program

The Crime Control Act of 1976 requires LEAA to provide funds to institutions of higher education to develop criminal justice curricula, to support the education and training of criminal justice faculty, and to encourage research in criminal justice teaching methods. During fiscal year 1977 Educational Development Program funds were concentrated on the improvement of the quality of criminal justice educational programs and the improvement of the

educational response to criminal justice manpower needs. The Educational Minority Emphasis Program, which encompasses both of these areas, included a grant to the State University of New York at Albany to design a program to increase the availability of minority practitioners in education and research. Positive Futures, Inc., a consortium of nine predominantly black institutions, received a grant to develop baccalaureate-level criminal justice programs at minority colleges and universities. East Central Oklahoma State University received an award to develop a baccalaureate-level career education program in corrections.

The Educational Development Program also supports research to establish policy for the other education programs administered by the Office of Criminal Justice Education and Training. For example, the American University was given an award to collect and analyze data concerning the influence of LEEP on other sources of funding for criminal justice degree programs. Michigan State University received educational development funds to study the current state of educational needs assessment and planning. These projects will help LEAA distribute Law Enforcement Education Program and internship funds more responsively to the criminal justice system's manpower needs.

The Academy of Criminal Justice Sciences, in conjunction with the American Society of Criminology, received an award to develop minimum academic standards for criminal justice and criminology programs. The results will not only help upgrade the quality of criminal justice programs but will also assist LEAA in directing LEEP funds to institutions with quality programs.

The Educational Development Program funds being used for a comprehensive evaluation of the Law Enforcement Education Program will also support a Stanford Research Institute assessment of two-year colleges in the LEEP program. This project will collect and analyze data concerning the current quality of education programs at LEEP institutions. The data will help LEAA deliver technical assistance to these institutions to improve the quality of criminal justice programs and to more adequately prepare personnel required by the criminal justice system.

The Law Enforcement Education Program

LEEP is an academic assistance program that provides grants to eligible institutions of higher education for financial assistance to criminal justice students. It is designed to improve and strengthen the system by improving the educational level of criminal justice practitioners. Full-time criminal justice personnel enrolled in a degree program that will enhance professional competence can receive grants of up to \$400 per academic semester or \$250 per academic quarter to defray the cost of tuition, books, and fees. Maximum loans of \$2,200 are available to both inservice criminal justice students and preservice students enrolled full-time in programs leading to degrees directly related to law enforcement and criminal justice.

LEEP awards are directed toward institutions whose programs are responsive to the manpower needs identified by LEAA. Program guidelines pertaining to preferred faculty qualifications and accreditation standards insure that program funds are channeled to high caliber criminal justice degree programs. Participating institutions must meet established criteria to award loans to new preservice students. They are required to offer a degree program headed by a full-time director and supplemented by a placement service for criminal justice students. The degree program must include student work experience in the criminal justice system. During fiscal year 1977 special consideration was given to those institutions whose programs addressed the need for qualified minority personnel in the system.

The Internship Program

The Internship Program provides maximum weekly stipends of \$65 to criminal justice students working for criminal justice agencies during the summer recess or while on leave from an academic degree program. It is designed to enhance a student's academic experience by providing an opportunity to acquire a working knowledge of the practical aspects of the criminal justice system. In addition, the program provides agencies an exposure to qualified personnel who can be recruited to meet manpower needs.

A college or university receiving an LEAA internship grant is responsible for the development of internship positions with criminal justice agencies,

the selection of student interns, and the general supervision of internship funds. Participating institutions of higher education are selected on the basis of the institution's capability to provide an acceptable response to manpower needs. In addition, the institution must be capable of and willing to design a year-round internship program that provides for intern placements, student counseling, and agency guidance necessary for a meaningful work-study experience for the student interns.

During the year, \$341,181 to assist about 600 students was awarded to Armstrong State College, Ball State University, Bismarck Junior College, Boise State University, Central Missouri State University, CUNY-John Jay College of Criminal Justice, George Washington University, LaSalle College, Northeastern University, Oklahoma State University, University of Arkansas at Little Rock, the University of Hawaii at Manoa, the University of South Florida, the University of Wisconsin at Madison, Washburn University of Topeka, and West Virginia State College.

The Graduate Research Fellowship Program

LEAA's Graduate Research Fellowship Program encourages the development of educators and researchers required by the criminal justice system. A maximum fellowship of \$10,000 is awarded for a one-year period and provides funds to support the fellow and dependents, major project costs, and some university fees. Doctoral candidates prepared to write dissertations in a crime-related area submit concept papers describing the project and a proposed budget to the Office of Criminal Justice Education and Training. The papers are reviewed by a panel of qualified criminal justice academicians and a panel of LEAA specialists. Proposals are judged on the basis of the perceived need for the subject matter in the criminal justice body of knowledge, the originality of the research subject, the quality and feasibility of the methodology, the practical applicability of the findings, and the applicant's qualifications to produce an acceptable dissertation. During the year, LEAA especially encouraged proposals that contributed to improved research and evaluation methodologies for innovative criminal justice programs and the improvement of criminal justice services or manpower planning and development. Through the competitive Graduate Research Fellowship Program, 31 doctoral can-

didates at 19 universities received fellowships totaling \$259,073. In addition to the individual competitive fellowships, graduate research fellowships awards totaling \$63,500 were granted to the University of Maryland (six candidates), Portland State University (six candidates), and Michigan State University (eight candidates).

DISTRIBUTION OF LAW ENFORCEMENT EDUCATION PROGRAM FUNDS

Fiscal Year 1977

State	Amount	No. of Institutions	State	Amount	No. of Institutions
Alabama	\$827,200	25	Nebraska	193,052	6
Alaska	27,256	2	Nevada	140,870	5
Arizona	524,530	14	New Hampshire	144,700	2
Arkansas	171,662	14	New Jersey	1,568,789	27
California	4,432,601	57	New Mexico	275,000	5
Colorado	454,457	16	New York	4,543,720	72
Connecticut	437,950	12	North Carolina	704,685	22
Delaware	154,186	5	North Dakota	105,668	4
District of Columbia	595,683	5	Ohio	1,725,979	34
Florida	2,347,021	38	Oklahoma	595,835	23
Georgia	721,700	27	Oregon	549,496	18
Hawaii	199,754	7	Pennsylvania	2,294,328	36
Idaho	50,063	4	Rhode Island	93,250	4
Illinois	2,291,176	53	South Carolina	355,505	10
Indiana	930,062	15	South Dakota	120,705	5
Iowa	459,435	20	Tennessee	463,350	15
Kansas	357,373	18	Texas	2,159,663	80
Kentucky	586,550	12	Utah	259,184	3
Louisiana	614,425	13	Vermont	84,530	6
Maine	130,700	6	Virginia	552,112	29
Maryland	1,107,702	18	Washington	662,051	32
Massachusetts	1,609,908	28	West Virginia	117,327	7
Michigan	2,226,080	44	Wisconsin	744,488	19
Minnesota	411,488	23	Wyoming	33,208	4
Mississippi	239,402	11	Puerto Rico	295,197	4
Missouri	1,049,670	25	Virgin Islands	11,341	1
Montana	47,183	6			
			Total	\$41,799,250	991

OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY

LEAA's Equal Employment Opportunity Program was established in April 1972 to assure equal employment opportunity for all employees and applicants for employment. The Office is responsible for establishing a continuing affirmative program in employment and personnel operations without regard to race, color, religion, sex, national origin or, with certain restrictions, age.

The EEO program is a management program. The overall responsibility for the program rests with the LEAA Administrator. Past experiences of the Federal executive agencies demonstrate that EEO programs attain maximum effectiveness when managers at various levels assume full responsibility for the program.

Since the establishment of the program, the staff has received 22 informal and nine formal EEO complaints. There has been a sharp shift in the emphasis of the EEO function as it relates to LEAA employee-supervisor conflict. Currently the emphasis is on counseling, primarily by the EEO staff. As of September 30, 1977, the EEO Office had accomplished 677 counseling units involving LEAA employees, including 51 during fiscal year 1977. A counseling unit is one employee counseled in any given calendar week.

During the past four years, the Office has participated in a variety of conferences, seminars, etc., including the National Urban League, the National Association for the Advancement of Colored People, the International Mexican-American Citizens, Federally Employed Women, the National Association of Blacks in Criminal Justice, and other civil rights action organizations.

These meetings have proven to be an excellent source of contact with prospective minority and women candidates for employment.

The Office also has a continuing role to inform minority communities of its mission and objectives and the personnel and techniques utilized to meet these objectives.

The Office studies and collects data concerning legal developments in the area of EEO. In addition to this, quarterly statistical reports on female and minority employment in relation to LEAA goals are analyzed.

The percentage of LEAA employees who are members of minority groups has declined from 24.1 percent as of December 31, 1975, to 23.1 percent as of June 30, 1977.

OFFICE OF THE COMPTROLLER

The Comptroller is the principal advisor to the Administrator on the financial management of LEAA. It is responsible for Agency policy in the area of financial management, planning and administering the budget, operating an Agency-wide accounting and reporting system, supervising contract activity, formulating procedures for the financial administration of grants, and providing technical assistance and training to the LEAA program offices, State Planning Agencies and other grantees in the areas of financial management, grant administration, budgeting, accounting, and contracting. It also monitors the execution by LEAA operating components of financial and grants management regulations and directives and maintains an accounting subsystem that controls the processing of approximately 300,000 student notes under the Law Enforcement Education Program which produces approximately 20,000 monthly bills.

The Office is responsible for providing data processing support for LEAA in the development of its information systems. These include internal, functionally-oriented systems, as well as national-level grant management and criminal justice statistical systems that provide information to the 55 States and territories, the United States Congress, the Office of Management and Budget, the Government Accounting Office, and LEAA program managers. It has developed the capability to track grants and contracts from initial application thru final closeout and has developed an inventory of all LEAA grants, subgrants, contracts and interagency agreements. Individual accomplishments in this area are:

- A new program descriptor system for use in program planning, budgeting and project reporting under the Program File (PROFILE) System.
- An expanded analytical capability of the PROFILE system, including project assessments and evaluated material in the PROFILE data base.
- An increased utility of the PROFILE system that gives LEAA users an automated grant data query system.

- An improved Law Enforcement Education Program (LEEP) note processing and program management report system that provides online terminal access to the LEEP data base.
- The provision of LEAA program offices with a timesharing capability to be used for storage and use of fund control and grant application data.
- A new mechanism for the control and accountability of LEAA personal property on loan to grantees and contractors.

The Office implemented a number of training programs to increase the capacity of LEAA and grantee personnel to manage grant and contract programs. Individual accomplishments in this area were:

- A course to acquaint LEAA personnel with methods and procedures employed in processing and implementing Requests for Contract Action.
- A course to improve the quality of Statements of Work supporting contractual actions.
- A course to alert program office personnel to both small business or minority business programs.
- A course to familiarize LEAA and grantee personnel with grant processing procedures.
- A course to acquaint grantee personnel involved in the financial aspects of grant management with basic principles and procedures relating to the Federal requirements of grant administration and financial management.

The Office also administers the Public Safety Officers' Benefits Act, which pays a \$50,000 death benefit to the eligible survivors of a public safety officer who died as the direct and proximate result of personal injury sustained in the line of duty. During the year 106 benefits claims were paid.

OFFICE OF AUDIT AND INVESTIGATION

The Office of Audit and Investigation is independent of other LEAA offices. It performs audits, investigates alleged irregularities and conducts special inquiries, which it coordinates with other Federal and State investigative agencies. It also provides training and technical assistance to State and local audit functions. The Office consists of three headquarters divisions and five field offices.

The Federal agency having the most money in a particular State agency or nongovernmental unit has audit responsibility for the Federal money in that agency or unit. Currently, LEAA has audit responsibility for the audits of 56 State Planning Agencies, 20 State agencies, and 40 nongovernmental entities. Most of the nongovernmental units are nonprofit, private organizations associated with criminal justice.

During each year since fiscal year 1972, the Office has sponsored a series of two-week and one-week courses for State and SPA auditors. The basic two-week course is a prerequisite for attendance at the one-week advanced course. Classroom instruction has been given to 1,047 individuals. During fiscal year 1977 more than 120 State auditors partici-

pated in the training course. In addition, a two-day session was held for the heads of the State audit agencies.

In past years, the audit of SPA's was accomplished primarily by OAI audit teams. During fiscal year 1977, most SPA audits were conducted by the State auditors. To strengthen State audit capabilities and to assure the effectiveness and completeness of audit coverage, OAI is continuing to provide technical assistance and/or the assignment of one or more OAI auditors to the State audit team. These cooperative auditing programs, in addition to the specialized auditor training, are innovative and unique approaches to assuring effective audit performance responsive to the LEAA audit requirements. Each State can now more readily assume its responsibility for auditing its block grant program and eliminate the need for a large staff of OAI auditors.

During fiscal year 1977, the Office issued 399 audit reports. They covered all aspects of the LEAA program and represent audits performed by LEAA and State auditors. In addition, 133 investigations and special projects were closed during 1977.

OFFICE OF PUBLIC INFORMATION

The Public Information Office informs the news media and the general public about LEAA's programs. It responds to specific questions and prepares news announcements and features about all aspects of the Agency's activities. It arranges news conferences or news briefings to explain the details of particularly significant research findings or important new initiatives.

The Office encourages the widest possible dissemination of information about LEAA, and as the Agency's Freedom of Information Act/Privacy Act Office, it is responsible for making all grants and other nonexempt documents available for inspection and reproduction upon request. It is the Office's policy to allow liberal access to all appropriate records. During the past fiscal year the Office handled 224 Freedom of Information Act and Privacy Act requests.

The Office publishes the LEAA Newsletter, which is distributed 10 times a year to about 42,000 criminal justice professionals, research institutions, schools, colleges, and universities as well as interested members of the general public. In addition, the Office published the LEADER, an internal newsletter for LEAA employees.

The Office prepares speeches, briefing materials, and other policy statements for the LEAA Administrator and is responsible for reviewing the content of all information released to the public.

During the current fiscal year it greatly expanded the Agency's publications program, which provides basic information in a short, readable form about particular aspects of general interest. Recent

examples include publications about the Public Safety Officers' Benefits Program (about 35,000 copies in English and 5,000 in Spanish) and a contracting guide to encourage small businesses and minority groups to do work for Agency-funded projects. In addition, the Office began a brochure series for the general public called LEAA/AID. Thus far, it has published 20,000 copies in each of the following subjects: "Improving Corrections," "Improving Juvenile Justice," "Curbing Organized Crime," and "Citizens Against Crime." The Office provides low-cost pamphlets on subjects most commonly referred to by correspondents seeking information.

During the year the Office issued approximately 50 news features about LEAA-supported programs of exceptional general interest. They included stories about cigarette smuggling, legal and illegal gambling, plea bargaining, community rape centers, crime laboratory shortcomings, white-collar crime, juvenile delinquency, wife beating, and so on. These are intended to broaden the public understanding of specific LEAA programs and appear weekly in several hundred newspapers, news magazines, and are regularly aired over network radio and television. The Office also issued 508 news releases of general and regional interest.

The Office has greatly expanded its cooperation with public service organizations and civic groups. For example, it worked throughout the year with Kiwanis International and its regional organizations to support the organization's "Safeguard Against Crime" program.

OFFICE OF CONGRESSIONAL LIAISON

The Office of Congressional Liaison is responsible for promoting effective communications with the Congress and for giving the LEAA Administration general guidance in intergovernmental affairs.

The Office works with the members of Congress, committees, and their staffs on legislative matters affecting LEAA and the criminal justice community. The Office also maintains general contact with State and local governments and their representative associations and organizations to increase their understanding of LEAA programs.

Congressional Liaison prepares the LEAA testimony on legislation before Congress affecting criminal justice activities and the Agency. It also researches legislative issues and develops comprehensive reports on legislation after consulting with other parts of the Department of Justice.

During fiscal year 1977 the Office reported to the Administration on legislative activity. Each bill was screened for pertinence to LEAA's interests. About 500 bills and resolutions were of particular note, approximately 60 of which could be considered high interest measures. Included in this category were such topics as correctional reform, crime victim compensation, public works legislation, zero-based budgeting, repeat offender prosecution, sentencing guidelines, group life insurance for police, police bill of rights, and other bills that might affect the administrative aspects of the LEAA program.

The most significant development of the fiscal year was the passage by both the House and Senate of the Juvenile Justice Amendments of 1977. The bill extended for three years the program authorized by the Juvenile Justice and Delinquency Prevention Act of 1974. Highlights of the new legislation include the following:

- The intent of the Congress that the act, as well as other LEAA juvenile programs, be administered through or subject to the policy direction of the Office of Juvenile Justice and Delinquency Prevention, is reemphasized.
- The minimum annual allocation under the formula grant program is raised to \$225,000 for each State and \$56,250 for territories, an increase from \$200,000 and \$50,000 respectively.

- Each participating jurisdiction is given three years to assure that juveniles who are charged with or who have committed offenses that would not be criminal if committed by an adult, or such nonoffenders as dependent or neglected children, are not placed in juvenile detention or correctional facilities.
- Beginning in fiscal year 1979, the relative percentage of funds under the act which can be used for planning and administration decreases from 15 to 7.5 percent. In addition, fund recipients must themselves contribute as much to planning and administration as is received from the Federal government. For most other aspects of the program, the Federal share will be 100 percent, rather than the former 90 percent.
- Twenty-five percent of the funds appropriated under the act are reserved for the discretionary use of the Office. At least 30 percent of these funds are to go to private nonprofit organizations. Provision is also made to assure that private organizations can receive funds under the formula grant program.
- The role of the Coordinating Council for Juvenile Justice and Delinquency Prevention is expanded to assure that all Federal programs and practices are administered consistent with the mandates of the act.
- The sum of \$150 million is authorized to be appropriated for fiscal year 1978, \$175 million for fiscal year 1979, and \$200 million for fiscal year 1980.

During the year, the Office of Congressional Liaison drafted testimony and prepared background materials for numerous congressional hearings, including the following:

- The condition of the Nation's correctional institutions.
- Elderly crime victimization.
- The fiscal year 1978 budget request.
- The extension of the Juvenile Justice and Delinquency Prevention Act.
- The Community Anti-Crime Program.

- LEAA-supported drug enforcement and treatment programs.
- The role of the National Institute of

Law Enforcement and Criminal Justice.

- Unemployment and crime.

OFFICE OF PLANNING AND MANAGEMENT

During 1977, the Office of Planning and Management developed and implemented the Action Program Development Process, which provides a logical framework for the development of LEAA action programs and will be the primary framework for assuring coordination between the research and action goals of LEAA. The process delineates seven major steps in the development of LEAA programs: policy planning, problem definition, selection of response strategies, program design, testing, demonstration, and marketing.

During the next year, virtually all LEAA action programs will come under the process. Furthermore, the process will require that the research arm of LEAA direct a specific percentage of its research resources toward program priorities in LEAA. Conversely, the program offices of LEAA will be able to impact on research priorities of the National Institute of Law Enforcement and Criminal Justice.

In an effort to reduce redtape and to significantly ease reporting burdens on State and local governments, the Office slashed LEAA's *Guidelines to State Planning Agencies* by 50 percent. The new streamlined guidelines implementing the statutory requirements of the recently enacted Crime Control Act of 1976 were issued in January 1977. This streamlined guideline will be used on a multiyear basis, thus eliminating the prior practice of annual reissuance.

The Office also established a new monitoring policy for grants that includes a new status report form requiring more specific information from grantees.

The Office began conducting "reality monitoring" studies to assess high priority LEAA programs independent of the program office and thus provide an independent assessment to the Administrator of program progress and/or problems. One major study has been completed and two are presently underway.

To support the development and utilization of evaluation capabilities of State and local criminal justice planning agencies, the Office and LEAA's Training Division developed an evaluation training course to present to State supervisory board members, managers, staff evaluators and program monitors, through five university-based area training centers.

The Office prepared and published in December 1976 LEAA's first *Two-Year Evaluation Plan* covering fiscal years 1977 and 1978. It describes in detail the planned evaluation activities of all LEAA offices. It also published a *Program Results Inventory*, which summarized Agency accomplishments during 1975 and 1976.

The Office was responsible for the final publication of all five National Advisory Committee on Criminal Justice Standards and Goals reports.

The data base (PROFILE) for all categorical grants, contracts and interagency agreements awarded during fiscal years 1976 and 1977 was updated.

Consolidated and revised fiscal year 1977 workplans for the Agency were prepared. These documents measure performance vis-a-vis short-range planning efforts.

OFFICE OF GENERAL COUNSEL

The Office of General Counsel's primary mission is to meet LEAA's legal needs. It provides legal opinions, interpretations, and advice as requested on LEAA activities, such as the Agency's authorization, appropriation legislation, compliance branch policy directives, and the resolution of audit findings. It assists other LEAA offices in promulgating regulations and guidelines implementing certain statutory requirements. It drafts and reviews contractual documents for legal sufficiency and provides advice on legal matters concerning grants and contracts.

The Office provides legal counsel to LEAA's Grants and Contracts Review Board, which requires the legal review of all LEAA grants and contracts prior to award.

The Office is the review body for any contract protests involving LEAA grants and contracts. During the course of the year, more than 10 protests concerning contracts were processed, reviewed, and decided. No LEAA contract decisions have been overturned, and the Agency is often requested by other agencies to render informal technical assistance in the emerging legal field of procurement contracts under Federal grants.

Major activities during fiscal year 1977 included:

- The Office published a volume of its formal legal opinions covering the period of July 1, 1976, to December 31, 1976.
- The Office is responsible for Freedom of Information Act and Privacy Act reviews. During the year 115 files were reviewed.
- The Office promulgated three sets of regulations, one implementing the A-95 process, which deals with the evaluation, review, and coordination of Federal and federally-assisted programs and projects, one implementing the civil rights provisions of the Crime Control Act of 1976, and one implementing the Public Safety Officers' Benefits Act

of 1976, for which an appeals procedure was devised.

- Regulations to implement Section 524(a) of the Omnibus Crime Control and Safe Streets Act, as amended, to protect the security and privacy of research and statistical information identifiable to specific persons were written and published and Agencywide training sessions were held.
- In conjunction with LEAA's Office of Regional Operations, the Office published an *Environmental Procedures Handbook* that outlines the steps to be followed by LEAA, grantees, and subgrantees to comply with 11 environmentally-related statutes.
- The Office instituted a procedure for collecting defaulted LEEP notes by recipients who have declared bankruptcy.
- The Office participated in 41 litigation actions, including nine general court cases, two cases involving EEO matters, 18 administrative investigations of appeals of grant denials, four compliance agreements, and eight contract protests.
- It continued monitoring the Model Procurement Code for State and local governments. The development stage was largely completed, and the American Bar Association drafters moved to implement it in at least five States and a number of cities and counties.
- The Office was actively involved in the legislative process leading to the reauthorization of the juvenile justice program. The new law became effective on October 1, 1977.

OFFICE OF OPERATIONS SUPPORT

The Office of Operations Support plans and directs personnel management, administrative services, records management, audiovisual services, and internal as well as State Planning Agency training. The Office is also responsible for all international programs involving skyjacking, terrorism, and narcotics interdiction.

The **Personnel Division's** responsibilities include providing employee services to all components of LEAA. The Classification Branch converted all LEAA position descriptions using the new factor evaluation format in preparation for a Civil Service Agency review.

The **Training Division** is responsible for servicing LEAA employees as well as State, regional, and local planning unit personnel. During the year it developed, tested, and delivered a training program on program development that was presented to central and regional office managers and operating personnel and played a major role in the refinement of the action program development process. More than 150 persons participated in a series of training and workshop sessions conducted by the Training Division. It increased Agencywide participation to more than 1,000 instances of job-related training averaging about 30 hours duration, including the selection and training of individuals to serve as voice recorder-transcribers as part of LEAA's Upward Mobility Program.

The Division also established five university-based training centers to deliver training across the Nation. More than 1,000 persons were trained through these centers during the year.

The Office's **Printing and Publications Branch** programs were adjusted to meet changing requirements. Five additional reports of the National Advisory Committee on Criminal Justice Standards and Goals were published through its technical services.

The **Graphic Services Branch** produced a large volume and variety of charts, graphs, forms, slides, viewgraphs, and other artwork. Highlights included the development of a series of publications for the Public Information Office that emphasized particu-

lar LEAA programs, the production of "A Partnership for Crime Control" in English and Spanish, and the design of books and pamphlets for community anticrime programs.

The **Photography and Exhibits Branch** established a 35-mm color slide and photography resource center. Exhibits were built to help the program offices disseminate information to the criminal justice community and the general public.

The **Television and Motion Picture Branch** produced 17 videotape productions to support grantee programs or to provide specific information or training to State and local criminal justice agencies, and 275 copies were made. The Branch also established a computer data base for information on criminal justice films and published the second edition of the "Criminal Justice Audiovisual Directory."

The Office's **Administrative Services Division** administered the excess property program. The State of Virginia used 96 mobile homes to house more than 1,000 prison inmates and thereby relieve overcrowding. The Los Angeles Sheriff's Department realized a direct cost savings of \$624,592 during the year by utilizing items obtained through the program.

The **International Affairs Staff** coordinated LEAA's international programs to combat skyjacking, terrorism, and narcotics smuggling. During the year, \$880,000 in technical assistance funds were allocated for international activities. The following projects were supported under this program:

- An interagency agreement with the State Department to develop procedures for the apprehension, extradition, and prosecution of international terrorists and narcotics traffickers.
- An interagency agreement with the U.S. Arms Control and Disarmament Agency to support counterterrorism research.
- An interagency agreement with the FBI to apply threat analysis techniques to FBI cases involving terrorism and other forms of criminal activity.

CRIME CONTROL ACT, SECTION 519 RESPONSE

This part of the LEAA Annual Report describes the Agency's work during fiscal year 1977 as required under Section 519 of the Crime Control Act of 1976. It consists of the following:

- An analysis of each State comprehensive plan, including the amounts expended in programs and projects for each component of the criminal justice system, the State monitoring and evaluation procedures, the innovative and replicated projects, and those projects that have and have not met their goals.
- Major innovative policies and programs as well as technical and financial assistance.
- Procedures for reviewing, evaluating, and processing State plans as well as the programs and projects supported with block funds.
- The number of State plans approved without substantial changes.
- The number of State plans approved with substantial changes and their disposition.
- A summary of the expenditure of funds under the State plans during the past three years.
- The number of programs or projects that have been discontinued, suspended, or terminated because of noncompliance with LEAA's administrative regulations or Federal civil rights provisions.
- The number of program and projects that were discontinued after LEAA funding ceased.
- The LEAA Administration's monitoring measures to determine the impact and value of its programs.
- An explanation of fund allocation, expenditures, policies, priorities, and criteria for discretionary funds, block funds, and the National Institute of Law Enforcement and Criminal Justice.
- A description of the criteria used for corrections program applicants and grantees as well as guidelines for drug treatment programs in State and local prisons and their parolees.

The Congress directed LEAA to report about program activities. The Agency is reporting by program components to maintain compatibility with the Administration's budget and management information systems. The five components are preven-

tion, enforcement, adjudication, corrections, and system support.

The Congress also requested detailed information about juvenile justice and delinquency prevention as well as drug abuse programs.

Accordingly, in each section of this annual report, the five program components account for all Agency expenditures and activities, including the separate information about juvenile justice and drug abuse programs, which is a further refinement of all Agency expenditures and activities.

1. *Prevention* includes community or official activities in support of crime and delinquency prevention. Preventive measures include both target-hardening strategies (environmental design and security measures and public education to promote citizen cooperation in reducing criminal opportunities) and human service programs that provide community support to populations vulnerable to future criminal or delinquent activity by virtue of age, special problems, or prior contact with the system.
2. *Enforcement* includes all programs related to the detection, investigation, and control of crime and delinquency by State and local law enforcement agencies and related organizations. All functions in support of police agencies, including crime reporting, information exchange, and police management are also included.
3. *Adjudication* covers all activities in support of the operations of criminal, civil, and juvenile judicial institutions from the highest appellate court to trial courts of least jurisdiction. Included are pretrial, trial, and sentencing procedures and the related functions of the prosecution, defense, and judiciary. Nonjudicial court administrative organizations and programs providing nonlegal services in lieu of

continuing court intervention are included in this category.

4. *Corrections* includes all Federal, State, and local agencies that provide both residential and nonresidential services to probationers, inmates, parolees, and ex-offenders. Also classified as correction efforts are residential programs for delinquent or dependent youth and all court-ordered community and civil sanctions or placements.
5. *System support* includes activities that affect more than one or all components of the criminal or juvenile justice system. These encompass programmatic activities (such as comprehensive data systems or systemwide training efforts), activities that support the development of law and policy (legislative efforts and operations analysis) or the application of systemwide resources to special target groups, such as victims and minority groups. Accordingly, "system support" is not limited to computerized information or ADP systems.

Juvenile justice and delinquency program means any program activity related to juvenile delinquency prevention, control, diversion, treatment,

rehabilitation, planning, education, training, and research, including drug and alcohol abuse programs, the improvement of the juvenile justice system, and any program or activity for neglected, abandoned, or dependent youth and other youths who are in danger of becoming delinquent.

Drug abuse means any project or program whose primary or principal focus or thrust is drug abuse, prevention, treatment, or related activity, including alcohol.

Aggregating the State Planning Agency responses to the statutory requirements presented LEAA with a major organizational task. By intention LEAA permits State Planning Agencies great individual initiative in constructing work plans for their States. Therefore, no two State plans could be easily aggregated.

Moreover, all of the program descriptions in each State plan are different. To convert this diversity into something that might eventually be recognizable, LEAA decided to utilize the program components defined above for data collection, display, and analysis. Because of other congressional oversight interests, it was decided to include separate categories for drug abuse and juvenile justice and delinquency prevention. In every case, the five program components count 100 percent of the enumerated data. The additional categories, drug abuse and juvenile delinquency, are double or triple counted. Juvenile delinquency in this report does not include any Juvenile Justice Act monies.

Section 519(1)

Section 519(1) in its introductory paragraph requires "an analysis of each State's comprehensive plan. . ." The following is that analysis.

ALABAMA

Summary

The 1977 Alabama comprehensive plan was a significant improvement over the plan submitted by the State in 1976. The staff of the Alabama Law Enforcement Planning Agency (ALEPA) had the benefit of a complete crime analysis produced by the Alabama Statistical Analysis Center, as well as an extensive criminal justice system data base. As a result of the availability of this information base, the staff was in a position to develop a more complete problem analysis than in previous years. The data available on State and local agencies' responses to crime and criminal justice problems allowed a more accurate assessment of the relative impact of grant program activity. In the review of the plan, it was determined that the level of funding for judicial programs during the first year of implementation of the Alabama five-year court plan would not be adequate. A special condition was placed on the Part C grant award requiring the transfer of reverted funds to the judicial action programs. Negotiations between ALEPA, the judiciary, and LEAA led to the resolution of the allocation problem through the arrangement of transfers of funds for judicial projects in several plans. Another important special condition required the agency to develop for the 1978 plan a full study of the State's system for the delivery of indigent defense services. ALEPA agreed to this requirement and undertook the development of the study, which was completed in 1977 in coordination with the judicial planning process. In summary, the 1977 Alabama plan was approved with special conditions which were successfully resolved. Multiyear approval was given to a major section of the plan dealing with data on the State's criminal justice system resources and performance, as well as several minor portions of the plan. Single-year approval was given to sections dealing with crime analysis, problem analysis, goals, objectives, standards, and multiyear forecasts.

Overview

Prevention. In the 1977 plan, ALEPA did not

present a specific program designed to prevent specific types of crime. A program in this area was under development for inclusion in the 1978 plan, however. The agency has concentrated its efforts in the development of deterrents to crime through the strengthening of enforcement programs, improvements in prosecutions, and prevention of delinquency. Those sections should be consulted for additional information.

Enforcement. The overriding goals in this area of the 1977 plan were the expansion of law enforcement resources and the improvement in the quality of enforcement through training and educational programs. The highest priority was the support of training programs in the State's three regional training academies, as well as continuance of oversight activities of the Alabama Peace Officers' Standards and Training Commission. The plan called for the basic training of approximately 408 officers, with the provision of advanced and specialized training for approximately 1,200 officers. Both the basic and advanced work were to deal with crime prevention techniques within the community.

Additional personnel were to be furnished for special purpose units in activity areas such as major felony units, crime scene search, and investigations. A number of these projects were to provide staff to serve multicounty jurisdictions.

Adjudication. The improvement of the effectiveness of the State prosecutors, including the State's attorney general's office, was a major goal in this area of the plan. Another key goal was the improvement of the judicial process to permit the efficient handling of an increase in caseloads of approximately 10 percent over filings in 1976, while implementing the State's unified court system beginning in January 1977. The plan analysis indicated that the increased demands which would be placed on prosecutors under the unified system could present serious backlog and delay problems. Additional staff was to be acquired to prevent these system failures.

Additional resources were to be provided to selected district and circuit courts to support the processing of heavier caseloads and improve court efficiency. A major project was implemented in the Birmingham/Jefferson County area where a key project goal was the reduction of case processing time to 90 days.

Corrections. The main goal in corrections programs was the development and maintenance of alternatives to the incarceration of offenders. This was of considerable importance to the State, since

the Alabama Board of Corrections (BOC) was under a Federal court order to reduce institutional populations to design capacity, while improving the facilities' physical conditions and rehabilitation programs. Probation and parole capacity expansion was a major element in this effort. Additional staff was to handle an estimated monthly caseload of 2,800. BOC work release programs were to be supported in four locations, handling an average daily population of 200. The State Board of Pardons and Paroles was to receive funds for the operation of three residential facilities in Mobile, Montgomery, and Birmingham for the intensive supervision of high-risk probationers requiring more extensive guidance and treatment.

System Support. Alabama's two major goals in the 1977 plan in the area of system support were the further development and implementation of the State Criminal Justice Information System and the expansion of the State's crime laboratory delivery system. Both of these goals were major areas of activity in which planning and program implementation began in 1971. CJIS projects were implemented in the State's high crime areas where high volume information needs necessitate a local capability. The Alabama Criminal Justice Information Center was to continue its work in the implementation of the Law Enforcement Data System and the operation of the local terminal network.

A single grant to the Alabama Department of Toxicology and Criminal Investigation was to acquire additional staff and equipment to achieve the 1977 priority activity for increasing agency case processing efficiency by 20 percent over 1976 case processing levels.

Juvenile Justice and Delinquency Prevention. The State's goal in this area of the 1977 plan was the development and maintenance of community-based programs for juveniles as an alternative to placement in State institutions. Community-based residential facilities in 12 locations were to be funded to provide custodial care and treatment for approximately 1,000 juveniles. A major effort was proposed to reduce the number of juvenile adjudications by diversion to community treatment programs. This was expected to affect approximately 2,000 juveniles, particularly status offenders. The savings involved in the reduction of the number of adjudicated cases was expected to be substantial, while at the same time providing a large number of juveniles with more appropriate treatment programs.

Drug Abuse. The State's goal in this area was

to affect drug abuse through the reduction of available illicit drugs by increasing the apprehension of drug dealers. This program was to involve activity in the State's metropolitan areas as well as several multicounty regions, anticipating the apprehension of approximately 2,500 individuals.

ALASKA

Summary

This plan included a good analysis of crime in Alaska and an analysis of the criminal justice system's capability to meet crime problems. The statements of problems which are to be addressed by the goals, objectives, and programs of the plan are clearly stated and are explicitly related to the analysis of data on crime and the criminal justice system. Goals and objectives are established which appropriately address the problems. Goals and objectives are generally stated in measurable terms with specific time frames for achievement. An effective process for developing goals, objectives, standards, and priorities is described. Projected accomplishments for the criminal justice system as a whole are provided, but budget figures are projected for LEAA funds only. Programs are proposed which address the goals and which provide significant improvement in Alaska's criminal justice system. The plan presents a process for monitoring and evaluating, and projects some intensive evaluation. The plan was approved with only one special condition of substance to which the SPA responded adequately.

Overview

Prevention. This plan proposed the highest dollar investment in the area of crime prevention. The need for crime prevention is established by most problem statements. Crime prevention goals receive a fairly high priority. These goals include public information and education; diversion of juveniles and alcoholics from the criminal justice system; and community-based diversion, rehabilitation, and treatment. Two programs for the expenditure of current year LEAA funds are described: juvenile delinquency prevention and diversion, and citizen awareness and public education.

Enforcement. There are three programs in the enforcement area. One addresses the problem of inadequate law enforcement communication. Objectives include upgrading of equipment and services, and 24-hour dispatch capability. The second

program is for legal assistance to police. It addresses a specific goal of increasing police-prosecutor cooperation. The third program in this area has as its object the improvement of police-community relations. The goal to which this program is responsive is not only to inform the public but also to increase the responsiveness of the police agencies to public input.

Adjudication. The only program in the adjudication area is one to design a uniform, statewide juvenile intake process. The problem analysis which serves as a basis for this program is that of juvenile justice. There is a clear thread of continuity running from the problem statement to the program.

Corrections. One program in the corrections area is to develop and implement methods and appropriate programs which will identify services and make them available to offenders with special problems. Goals to which this program responds include the provision of mental health, vocational training, and alcohol rehabilitation services. The second corrections program is to establish alternatives to juvenile confinement.

System Support. Programs in this area include operational planning, research and development, information systems, privacy and security regulations, training, juvenile justice training materials, and technical assistance. In all cases problems are stated in terms of system needs and goals, and objectives are stated in terms of improved performance.

Juvenile Justice and Delinquency Prevention. Programs in this area were covered in the sections above on adjudication, prevention, enforcement, corrections, and system support. There is a separate section on juvenile justice system problems. These problems are reasonably related to the programs.

Drug Abuse. The only problems identified in this area relate to alcohol abuse. The only program in this area is described above in the corrections section. The program is to make available alcoholic rehabilitation services in the prison.

AMERICAN SAMOA

Summary

American Samoa submitted a combined 1975-1976-1977 comprehensive plan and application for LEAA action grants. The 1975 submission was not acceptable to LEAA and the 1976 plan was not submitted prior to the combined submission. The Office of the Governor together with consultant assistance and technical assistance provided by

LEAA submitted a remarkable document accounting for crime and systems analysis, major problems, goals, standards, and priorities that led to the viable plan of action. The plan was approved and awarded for a duration of one year. There were no major special conditions placed against the awards.

Overview

Prevention. Crime prevention was not a major priority for American Samoa. The creation of a viable criminal justice system was, however.

Enforcement. Recruitment, training, records development, and communications planning were major priorities funded.

Adjudication. Provision for adequate prosecution and defense, upgrading court records, staff studies regarding the status of appellate remedies and the status of the right to trial by jury, physical space for the courts, traffic case backlog, and adequate training for court personnel were considered to be major priorities.

Corrections. Training for correctional officers, physical construction of the correctional facility at Tufuna, development of a records system and vocational education programs, separation of adults and juveniles at Tufuna, and provision for noninstitutional supervision were major priorities funded.

System Support. Emphasis was placed on assisting the FONO (American Samoa's legislative body) to construct a juvenile and criminal code as well as rules and procedures for the criminal justice system.

Juvenile Justice and Delinquency Prevention. Development of procedural manuals for operational agencies in the area of juvenile justice, construction of a Samoan youth center, design of juvenile rehabilitation programs, provision of school release, alcohol and drug programs, counseling, and encouragement of recreational and work programs were of major concern to American Samoa.

Drug Abuse. Although the abuse of alcohol is considered a problem on American Samoa, systems needs were considered to be the major priorities to be dealt with during 1977.

ARIZONA

Summary

Arizona's initial 1977 comprehensive plan sub-

mission was in substantial noncompliance with requirements of the Crime Control Act. Additional information submitted by the Arizona State Justice Planning Agency on December 9, 1976 failed to remove the finding of substantial noncompliance. No findings of comprehensiveness, as defined in Paragraph 601m of P.L. 93-83, and required by Section 303(a) and 303(c), were made. Additionally, no finding of determined effort to improve the quality of law enforcement and criminal justice throughout the State could be made as required by Section 303(b) of the act. On January 14, 1977, LEAA received draft revised materials in response to a December 21, 1976 plan disapproval letter. When reviewed in conjunction with the comprehensive plan submission of December 24, 27, and 30, 1976, this material was found to be minimally compliant with the requirements of the act. On February 18, 1977 LEAA staff recommended funding with special conditions to the award. On February 28, 1977, the application was awarded.

Overview

Prevention. Prevention of crime and delinquency did not appear to be a major priority of the plan. Police administrators, however, have developed successful burglary prevention programs. The courts and juvenile justice authorities funded projects specifically designed to prevent juvenile crime.

Enforcement. Major priorities funded through the annual action plan were crime analysis units for major police departments, multijurisdictional narcotic strike forces, development and establishment of statewide basic training standards, and improvements in data and information collection including utilization and burglary prevention.

Adjudication. The major priority funded was training. Less than 21 percent of judges of justice and municipal courts are attorneys. It was estimated that 10 to 15 percent of all judicial positions within the State are vacated each year. The problem is particularly acute in Arizona due to inadequate local training budgets and the large distances which separate major population centers.

Corrections. The reduction of probation officer caseload, the utilization of volunteers within the correctional system, and the increase in rehabilitation capability by improving inmate services and community services were major considerations.

System Support. The acquisition of manpower and equipment, capital improvements, and informa-

tion processing were addressed.

Juvenile Justice and Delinquency Prevention. Developing resources within the system and the community to address juvenile problems was a major program.

Drug Abuse. Narcotic and alcoholism treatment was cited as a major priority. Block funds were available for rehabilitation programs within institutions as well as within the community for probationers and parolees. The city of Tucson further requested LEAA discretionary funds to implement a TASC project.

ARKANSAS

Summary

The 1977 Arkansas Crime Commission comprehensive plan complied with Title 1 of the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The major strength of the plan was the planning and analysis capability reflected and developed through the Comprehensive Data Systems Program which became operational in 1972. The CDS portion of the plan included collection and analysis of criminal justice agency data, and maintenance of the arrest and identification components of computerized criminal histories and other criminal justice system data required for crime analysis.

The plan contained raw crime data, data summaries, and Uniform Crime Reports Parts I and II offense data, for each substate planning region—Little Rock, Pulaski County, and the State as a whole.

The plan also contained a general analysis of reported crime for murder, rape, nonresidential burglary, street robbery, aggravated assault, residential burglary, larceny, property crimes, and motor vehicle theft. In addition, drug and alcohol abuse offense data were tabulated and summarized. This general analysis showed burglary, larceny and auto theft to be the most frequent major crimes in Arkansas.

System performance problems were analyzed on a limited basis. General standards, goals, and priorities, based on the general system and crime analysis, were provided.

The 1977 plan was complete, covered all necessary system components, and reflected priorities. The plan was approved by LEAA for a single year with eight special conditions. The SPA agreed to these special conditions and has taken necessary action to comply with and clear the conditions.

Overview

This section provides a plan overview of the problems, goals, priorities and programs or projects for the criminal justice system components.

Prevention. The State's priority area in crime prevention was the use of public education to enlist the aid of citizens and the community in the active support of law enforcement. The objective was to reduce all major crimes statewide with special emphasis on burglary and larceny. The problem as reflected in the plan was a lack of community and citizen involvement in crime prevention.

Enforcement. The major problem in this area was the lack of well-trained personnel in the patrol force, the criminal investigation branch, and the support service. In addition, police have inadequate facilities and equipment to perform a more efficient police function. The priority was the funding of academic and training programs, and the purchase of needed facilities and equipment. The priority goal was to provide all levels of enforcement with better trained officers.

Adjudication. Major problems in adjudication included the lack of available counsel for indigent defendants, lack of speedy trials, lack of support personnel, a need for improved case flow management, and a need for improved court supervision. Priorities in this area included judicial education, judicial support personnel, and case flow management.

Corrections. Major problems in the correctional area included the need for improved personnel training, the need for a more comprehensive management information system, the need for sentencing alternatives, and the need for improved facilities. Priorities in this area included programs for management information, correctional personnel training, and facilities renovation. The major goal in Arkansas corrections was to create and expand programs designed to provide sentencing alternatives.

System Support. Arkansas' major system support problem was the lack of reporting of comprehensive criminal justice data by police, courts, corrections, and juvenile delinquency agencies. In addition, planning and analysis was needed in all phases of the criminal justice system. The first priority in this area was the support given to the Comprehensive Data System program designed to collect and analyze data, and maintain computerized criminal histories and other data required for crime analysis.

Juvenile Justice and Delinquency Prevention. Juvenile courts in Arkansas need referees, probation officers, intake officers, secretaries, counselors, and social workers in order to provide more professional and effective services for juveniles. Several areas are in critical need including improved service delivery, alternative education, alternatives to incarceration for status offenders, improved facilities, statistical data on juvenile delinquency crime, improved training and education in juvenile court services, improved training in juvenile procedures, and need for diagnostic services at the local level. Programs established in the plan for delinquency prevention and diversion were aimed at improving the first goal of providing for the development of values necessary for youths to avoid juvenile delinquency through diversionary programs.

Drug Abuse. In the drug abuse area, the plan concentrated on the collection and analysis of drug data. Most funding in the drug abuse area was for special narcotic investigative units in the enforcement area. No special drug abuse priorities and goals have been identified.

CALIFORNIA

Summary

The 1977 California plan was a good effort to meet LEAA requirements for comprehensive plan development. The plan format was logical and flowed easily from one section to the next. It was a good initial effort at data analysis and provided the foundation for improved and more sophisticated data analysis in future plans. Problem analysis was adequate in most cases and also set the stage for further improved problem analysis. However, the plan did lack some specifics in problem analysis. Goals and standards needed to be better defined, and the plan needed improvement in developing specific priorities at the State and local levels. The proposed results and accomplishments were somewhat general in nature. The 1977 California plan was approved for a one-year period, and all special conditions attached to the grant award were appropriately addressed by the California Office of Criminal Justice Planning.

Overview

Prevention. The 1977 California plan represented the first real attempt by the current California administration to develop and establish programs

that emphasize the role of citizens and communities in crime prevention and control. The plan set the stage for an increased effort in crime prevention and resistance by drawing upon community and citizen resources for various community anticrime programs, i.e. Operation Identification programs for household and personal belongings, burglary prevention programs for businesses and homes, and neighborhood crime watch programs.

Enforcement. Goals, priorities, and programs in this category generally emphasized the improvement of law enforcement agencies' specific capabilities, improved coordination among law enforcement agencies, and improved coordination with other elements of the criminal justice system. Efforts included specialized burglary teams with intensive investigation and prevention components, improved cooperation and coordination with the community relative to crime problems, multi-jurisdictional burglary and robbery teams, and continued criminal justice automated systems development and coordination.

Adjudication. Efforts in this area are best typified by statewide programs to improve judicial procedure and court management as well as sentencing techniques. These efforts are largely carried out under the auspices and assistance of the California Judicial Council. The efforts include training and administrative staff assistance to local prosecutors' offices.

Corrections. Community-based alternatives and responses to traditional incarceration are still priorities in California corrections. Community-based efforts provide better educational and vocational programs that give some assurance that ex-offenders can function lawfully in society. The training of corrections personnel is an ongoing priority.

System Support. Activities in this area aim largely at continued refinement of automated information system components that have been developed and implemented through previous California plans. Continued improvement in crime information and data transfer among the various criminal justice components is stressed.

Juvenile Justice and Delinquency Prevention. Improved program development and implementation for juveniles and young adults under the jurisdiction of the California Youth Authority has and will continue to be a priority in California. Again, the attempt is to make education and training of juvenile offenders meaningful in relation to those requirements necessary for a lawful and positive existence. Local juvenile probation departments and

juvenile courts are also seeking to develop better alternatives for juvenile offenders, and local agencies are beginning to emphasize delinquency prevention to reduce juveniles' contact with the system.

Drug Abuse. Drug abuse treatment and alternatives for adults and juveniles are generally handled as one part of a comprehensive rehabilitative services program within corrections programs, largely within an institutional setting, although some community-based efforts exist as well.

COLORADO

Summary

Colorado's overall plan was an improvement over the prior year's plan except for the annual action plan allocations to programs for the high crime and high population area of metropolitan Denver. The corrections section was well-done with no deficiencies; the juvenile and manpower sections were in compliance; the police section was good; and the adjudication section was excellent in systems, resources, and statistical analysis (approximately 11 percent of funds were allocated to this latter area).

The plan was approved for a single year with a special condition that required revision of the annual action programs to contain additional funding to the city and county of Denver and its metropolitan area. The State responded to and cleared this condition with an allocation increase of \$220,000 to this area.

Overview

Problems, goals, priorities, and programs are detailed under separate categories below.

Prevention. This category was designated the first priority by the State council. Goals and objectives were to increase the knowledge of causes of delinquency and to direct major resources to reduction of causes, early intervention, limitation of opportunity for delinquency, corrective intervention with delinquent prone individuals or groups, and proactive crime prevention awareness and capability within law enforcement agencies. Juvenile officers, school liaison officials, juvenile outreach workers, and youth work program officers were the types of programmatic activity allocated funds in the annual action plan. Additionally, two projects were sponsored which responded to high crime areas in Denver, and Larimer and Weld counties for prevention of burglary, robbery, rape, aggravated assault, and grand larceny.

Enforcement. Detection and apprehension programs directed toward the reduction of specific crimes (as listed above) received approximately 40 percent of the annual action program Part C allocation. The thrust of the programs funded was to provide adequate police coverage for potential crime areas, quicken response time, and upgrade investigations and the level of successful prosecutions.

Adjudication. The objectives of this component of the plan were to expedite the disposition of court cases consistent with due process and to provide for more public support of the judicial process with regard to management of witness, juror, and victim time. Sentencing alternatives and adequate counsel for the offender were also programmed.

Corrections. Improvement of local jail standards, community-based alternatives, effective classification, community rehabilitation, and reintegration of offenders to reduce recidivism were the priorities in adult corrections.

System Support. Programmatic development and funding were provided in the areas of personnel training, research and evaluation, justice systems planning, and information systems.

Juvenile Justice and Delinquency Prevention. In Colorado, juveniles account for 16 percent of the total population, 52 percent of all major crimes, and 35 percent of total arrests. Coordination of existing social agencies which provide services to youth (e.g., expansion of job opportunities and after school and summer employment, and initiation of prevention programs) were major thrusts. Programs were approved for public education, corrections, modification of learning disabilities, delinquency prevention, diversion, juvenile defense, detention, and community rehabilitation.

Drug Abuse. The plan provides support for coordination of assistance to enforcement task forces and treatment programs diagnosed as needing such support.

CONNECTICUT

Summary

The format used in presenting this comprehensive plan was extremely well-done. The plan responded to the guidelines by paragraph, thus facilitating the review process.

The progress report requirement was described as excellent and was recommended for use as a model for other States.

The SPA requested multiyear approval of the 15 plan requirements. Even though none of the plan components received an unsatisfactory rating, the Regional Office only granted multiyear approval for seven components. The plan was approved with only two special conditions needing SPA action. These conditions have had adequate response.

Overview

Prevention. Needs were identified for the prevention area. Connecticut continues to place the first priority on juvenile delinquency prevention and the utilization of a community-based approach for this activity.

Enforcement. Needs for law enforcement were adequately identified, and appropriate programs such as resource management and operational planning, assessment of investigative operations, training, and the improvement of police response to juvenile delinquency were developed.

Adjudication. Since Connecticut has a unified court system, most of the programs developed pertained to such needs as citizen involvement in the adjudication process, fair and consistent treatment of the accused, judicial planning, management, and administration.

Corrections. Needs were identified for this area. The goals and programs that were established in response to the needs included such activities as improving probation, correctional training, integration and consolidation of community correctional activities, and cooperative programs to address the problems of preadjudicated individuals.

System Support. The major needs for this area for which programs were developed pertained to statewide communications systems, coordination of criminal justice records and information systems, development of agency-specific records and management information systems, and design and implementation of Connecticut's criminal justice information system.

Juvenile Justice and Delinquency Prevention. Connecticut is participating in the juvenile justice and delinquency prevention program. The needs identified in the plan range from prevention to treatment. Connecticut also has an extensive community-based prevention and treatment network.

Drug Abuse. Connecticut has identified needs associated with this component. The major funding, however, is provided by the Connecticut Drug and Alcohol Council (a single State agency). Block funds are being used for special units of the probation department, youth service centers, and at the State

juvenile institution (diagnostic screening and treatment placement).

DELAWARE

Summary

The fiscal year 1977 Delaware plan represented a decided improvement over previous submissions. Crime and problem analyses were strong, as well as program descriptions and the juvenile justice section. There were some weaknesses noted in the treatment of criminal justice system performance, standards and goals, manpower data, evaluation data, past progress, and technical assistance. These were dealt with by special conditions to the award to which the SPA has been responsive. The plan was approved for single-year status.

Overview

The following comments highlight the problems, goals, priorities, programs and projects dealt with in the 1977 Delaware plan.

Prevention. Needs were identified primarily in the area of juvenile delinquency prevention and were given a relatively low priority. A somewhat higher priority was given to increasing public awareness and understanding of the criminal justice system as a crime prevention measure.

Enforcement. Crime analysis identified robbery and burglary as severe problems. Related programs were established with a very high priority. Other enforcement programs include a statewide police communications system, and police-community, police-jurisdictional problem solving schemes.

Adjudication. Needs were identified in speedier processing from arrest to final disposition. Several high priority goals were aimed at special offense prosecution units, case flow study and followup, witness notification, case coordination, and improvement of the capabilities of magistrate courts.

Corrections. Problems were identified in overcrowding, diagnosis, screening, and treatment in the corrections area. High priority programs were established for developing alternatives to adult detention and medical diagnosis, treatment, and screening in correctional institutions.

System Support. System support needs were identified in planning, training, and criminal justice information systems. The highest priority was given to satellite planning, juvenile planning, and program evaluation. Programs of lower priority were

established for the development of an in-state advanced criminal justice training program and for the information system.

Juvenile Justice and Delinquency Prevention. Delaware does participate in the Juvenile Justice and Delinquency Prevention Act program and has dealt with special problems in juvenile planning, juvenile incarceration, intake screening, and alternative community programs. Programs were established for each, and also for delinquency prevention efforts.

Drug Abuse. Although not identified as a serious statewide problem, the plan did note the prevalence of drug and alcohol abusers in prisons, and a program was established to deal with this.

DISTRICT OF COLUMBIA

LEAA rejected the District of Columbia's 1977 comprehensive plan because of the District's substantial failure to comply with the necessary requirements. However, the juvenile justice plan was approved and funds were awarded under the Juvenile Justice and Delinquency Prevention Act.

FLORIDA

Summary

The 1977 Florida plan reflected the continuing efforts of the staff of the Bureau of Criminal Justice Planning and Assistance to improve the planning data base and the quality of analysis and program development. The State presented its most comprehensive analysis of crime and the performance of the criminal justice system, showing considerable improvement over the document developed in 1977. The plan was submitted in two phases. The first portion contained crime analysis, system resources and performance data problem analysis, goals, objectives, and standards. The second submission included priorities, multiyear forecasts, annual action programs, and materials addressing special statutory requirements. The review of the plan went smoothly; several questions were raised which required additional information. The planning agency responded adequately by supplying revisions of the multiyear forecast of results and accomplishments, as well as portions of the problem analysis and annual action program descriptions. The plan was approved with standard conditions. Single-year approval was given as requested by the State Planning Agency. It was anticipated that the 1978 plan would be sufficient

quality to merit full multiyear approval, and that multiyear approval of the 1977 plan would be premature.

Overview

Prevention. Crime prevention was a major goal in Florida's 1977 plan. The commitment of resources in this area was significant and reflected continued high priority activity in this area. The statewide "Help Stop Crime" program was to continue implementation by the State attorney general's office; this effort involved over 300 local units of government. Local projects were included for activities designed to involve citizens groups in 10 localities throughout the State. Grants were to be made to local units of government for the establishment of crime prevention units to work with community groups. Finally, funds were to be provided to five local law enforcement agencies for planning and developing crime prevention programs in their jurisdictions.

Enforcement. The 1977 plan included a major program to deal with the goal of crime reduction. Approximately \$1 million was made available to city and county agencies for use in establishing and operating crime control units designed to deal with specific community crime problems. It was expected that a variety of crimes would be chosen for local agency efforts. In each case, the projects were expected to produce a 5 percent reduction in the crime being addressed after the first year of operation.

Another high priority program addressed the improvement of law enforcement manpower through specialized training throughout the State. Eleven projects were proposed in this area of activity.

Improvement of law enforcement communications was also a significant area of grant activity in the plan. Funds were made available for State and local agencies for communication system improvements consistent with the State's master plan for telecommunications.

Adjudication. One of the main goals in Florida's 1977 plan was the improvement in the quality of justice in the State. Programs which are designed to contribute to the achievement of this goal address all aspects of the judicial system. An extensive statewide training effort was to be carried out by the State supreme court. Participants in various programs were to include county and circuit judges, court administrators, public defenders, State attorneys, and court clerks. An extensive intern program was available for the employment of law

students as legal interns in court, prosecution, and defense agencies. A program to establish four special units for the prosecution of repeat offenders was included in the plan in an effort to remove career criminals from society. Pretrial diversion projects in four locations were expected to improve the quality of justice while contributing to judicial efficiency.

Corrections. In an effort to alleviate overcrowding of detention facilities at State and local levels, the highest priority in the 1977 plan was the development of alternatives to incarceration. The largest single corrections program in the plan was developed to increase diversion from the prisons through diagnostic and classification programs, pretrial services to first offenders, and programs for offenders with recognized special problems (such as drug abuse and mental retardation). The commitment of funds in this area was approximately \$1.5 million. A program to deal with the problem of community rejection of ex-offenders was to be funded in two of the State's metropolitan areas as a test of the effects of citizen involvement on the acceptance of the ex-offender.

In addition to the diversion programs, a program to provide inmates with rehabilitation services was included to improve institutional efforts. Projects were to be carried out in the State's facilities and in seven metropolitan areas.

System Support. The 1977 plan contained a major program for the implementation of existing criminal justice information systems master plans, which is directly related to the State's goal of increasing the efficiency of the criminal justice system. Projects were to be funded in seven major counties for activities such as computer-aided dispatching, basic information system development, mobile digital communications, and automated manpower deployment. A large grant to the State supreme court was to allow the initial implementation of the State judicial information system and automated legal research master plan. Finally, substantial funding was to be provided for the implementation of a State-level juvenile justice information system, as well as two county-level efforts in the areas of research and system monitoring.

Juvenile Justice and Delinquency Prevention. This broad area of activity had the largest commitment of grant funds in the 1977 plan, in conjunction with the goal of reducing crime and recognizing the proportion of crime committed by juveniles. A major program, containing approximately \$2 million, was available to support community-based residential treatment facilities as an

alternative to commitment to State institutions. Another area of activity was to be in service delivery coordination in an effort to improve the utilization of existing community services, as well as to determine where gaps exist for which programs must be developed. Nonresidential services projects were proposed for 10 counties and one State agency for the development of outreach services to help delinquent and disadvantaged youth to utilize their free time constructively and to involve them in community programs. Other areas of activity in the plan were to include police juvenile units, school services projects, volunteer services, runaway services, counseling, and diagnostic services. These varied programs were to be related to the objective of diverting youth from the juvenile justice system.

Drug Abuse. The State had moderate activity in this area of the 1977 plan, related to the goals of reducing crime and diverting certain categories of offenders from State institutions. Programs were included for activities in two localities for intensive substance abuse treatment efforts. In addition, two projects were proposed for the prevention of substance abuse by juveniles, and the early intervention in substance abusing behavior. This approach was also designed to divert individuals from entry into formal judicial processing.

GEORGIA

Summary

Georgia's 1977 comprehensive plan contained all the components necessary to be considered comprehensive in nature, but it lacked the required thread of continuity among components. Because the State was aware of this problem and because its total plan presentation did constitute a good faith effort, no major special conditions were placed on the plan. Instead, specific advisory comments providing direction for the 1978 plan submission were transmitted to the State. The 1977 plan failed to place adequate emphasis on high crime areas in the State. The city of Atlanta was not designated as a high crime area and was not separately treated as such in the plan. In addition, a decrease from 1976 in the allocation of funds to the high crime areas was not explained in the plan. A special condition was placed on the plan requiring additional information and corrective action before it was subsequently cleared.

The State provided an excellent description of the juvenile justice system in Georgia. The analysis

of the effectiveness of the juvenile justice system indicated that Georgia had an excellent start in implementing the Juvenile Justice and Delinquency Prevention Act. As for technical assistance, Georgia's plan served as a model for other States. The major vehicle was a unit within the State Department of Community Development. In summary, Georgia's 1977 plan was approved with a number of advisory comments that delineated specific improvements expected to be reflected in the 1978 submission. The State's adherence to and compliance with these comments was admirable. Multiyear approval was not requested for any of the components in the plan, but it was recognized by LEAA and the SPA that they would consider the 1978 plan as the base for multiyear consideration.

Overview

Prevention. In Georgia the community relations program was designed to decrease the number of criminal opportunities through the development and implementation of target-hardening capabilities for cities in the 5,000 to 30,000 population range and for metropolitan areas of at least 60,000 population. All projects within this program were continuation projects.

Enforcement. The goals and priorities in this area of the plan were to increase the level of cooperation and coordination among criminal justice agencies by establishing communication and work links as well as enhancing internal and external planning efforts among law enforcement agencies in the State. Also, support was provided to improve the quality of criminal investigations through specialized support services at the State level, made available to all Georgia law enforcement agencies.

Adjudication. The major goal in this area of the plan was the improvement of the effectiveness of the trial court system. In an effort to enhance the efficiency of the trial courts and to provide an information base from which enlightened decisions could be made about the judicial system, the State established an administrative structure capable of bringing professional management to the trial courts. Both components of this program were to increase the efficiency of Georgia's courts and minimize court processing time so that by 1980 all persons accused of crimes would be tried within 120 days of indictment.

Corrections. The main goals and priorities were to increase the limited spectrum of adult probation by providing community-based adjustment centers to serve probationers, and to reduce the

overcrowded and rising prison population by providing support for two adjustment centers designed as an alternative to incarceration of misdemeanants and as a work-release facility for county prisoners. Also, support was provided for institutional treatment programs in county correctional institutions in the form of counseling, vocational training, and basic education to approximately 1,800 inmates in 13 county institutions.

System Support. Georgia's two major goals in the area of system support were to provide the criminal justice system with complete, timely, and accurate data needed for effective operational and administrative decisionmaking and provide, by the end of 1982, the capability in each law enforcement agency to communicate effectively and efficiently with other law enforcement units.

Juvenile Justice and Delinquency Prevention. The State's goals and priorities were to increase juvenile crime prevention capabilities in the school system by 1980 by developing and implementing career education, extensive student counseling, and school crime programs in all systems; increasing diversion resources; decreasing the number of children detained through increased diversion; increasing alternatives to juvenile incarceration; and providing effective, comprehensive juvenile justice planning.

Drug Abuse. The State's major goals and priorities were to continue the development and implementation of comprehensive strategies at State and local levels to contain and ultimately reduce illegal drug trafficking. Through the drug enforcement and prevention program, the Georgia Bureau of Investigation was able to continue its contract agent project, initiate operational tactics predominantly in the coastal regions of Georgia to combat illegal drug traffic at the entry (smuggling) level, and to continue three local agency enforcement projects.

GUAM

Summary

Review of the 1977 Guam plan found the plan to be significantly improved over previous years' efforts. While lacking some specific information, particularly in the areas of police and corrections, the plan was quite acceptable as a tool for planning and implementation of LEAA-funded programs. The plan reflected a logically developed format, making for a readily understandable plan of action. Problem analysis was adequate, although the plan

reflected a rather low level of sophistication in data collection. However, improvements were noted in the latter area. The plan's forecasted results and accomplishments occasionally lacked specifics. The 1977 Guam plan was approved for a one-year period, and special conditions attached to the grant award were appropriately addressed by the Guam Territorial Crime Commission.

Overview

Prevention. Involvement of the community in crime prevention has been extremely successful in Guam. Reflective of this is the volunteer citizens' patrol program which functions in cooperation with the Department of Public Safety. The groups perform preventive patrol activities throughout residential, commercial, and school areas during nighttime hours, seven days a week.

Enforcement. The 1977 Guam plan continued to reflect priority efforts to upgrade routine and special functions performed by the Guam Department of Public Safety, including improved communications capabilities, administrative staff assistance, and training programs. A police cadet program continues to function, helping draw young, college eligible students into career police work. Improved police-community relations is another aspect of the Guam plan.

Adjudication. Guam has developed an alternative community service program for the superior court, which provides an alternative to traditional sentencing by allowing selected defendants, primarily first offenders, to perform services to victims and/or the community.

The Guam plan also supported the implementation of a courts management improvement program, to update and/or amend current court procedures and management.

Corrections. The Guam plan has supported the construction of an eight-bed addition to the existing Guam prison for the holding and/or incarceration of female offenders. No facility for females previously existed, sometimes causing probation or release in questionable cases.

System Support. The Guam Territorial Crime Commission is currently developing and implementing an automated criminal justice information system. This system, when operational, will assist Guam criminal justice agencies in the collection and use of crime information for both long range planning purposes and day-to-day agency operations.

Juvenile Justice and Delinquency Prevention. Major funding activities in the area of

juvenile justice have been in programs to improve rehabilitation capabilities, including improved counseling techniques and recreational and tutorial services, and group homes for status offenders, including emphasis on runaways.

Drug Abuse. Most drug rehabilitation programs have been part of institutional program services available to adjudicated adult and juvenile offenders.

HAWAII

Summary

Hawaii adequately analyzed specific crime data by geographical area. Resources, manpower, organizational capabilities, and systems available to meet crime problems were presented in a quality manner which led to an excellent analysis of the State's major crime and systems problems. A thread of continuity was closely adhered to as goals, standards, priorities and the annual action plan for the use of LEAA resources were developed. The lack of time framed, quantified objectives within the programs weakened the State's ability to intensely evaluate certain projects or programs. Hawaii did, however, present a strategy to measure performance and to utilize that information in a positive manner. There were three deficiencies concerning Part E requirements—organized crime, and resolution of narcotic and drug enforcement problems that were corrected by way of response to special conditions placed on the grant awards. The plan was approved for single-year submission; however, multiyear submission approval was given for six major elements.

Overview

Prevention. The Hawaii State Law Enforcement and Juvenile Delinquency Planning Agency supervisory board, together with the criminal justice system, have set a major priority: the prevention of juvenile crime. A large portion of annual LEAA resources was encumbered for programs and projects throughout the system and community dealing with counseling, early diversion, prevention programs for immigrant minorities, parent education, community-based treatment programs, and other services pertaining to the youth problem.

Enforcement. Hawaii has a county police system. Each county or island operates independently from the other. The police had no systematic way to provide interisland communications, enforcement, intelligence gathering, or training. Manpower

development on a statewide basis is a major priority. Funded projects have enabled the police departments to expand training programs and to participate in specialized courses which heretofore were nonexistent or very restricted. An LEAA-funded police training study was undertaken to assist the departments in identifying training needs, to list in priority the types of training needed, and to give overall assistance in developing specific courses.

Adjudication. There has been no significant activity in prosecution and defense other than training. Major priorities funded have been the uniform court standards, rules and procedures, and adoption of a uniform sentencing plan.

Corrections. The correctional master plan funded in part by LEAA discretionary funds and Hawaii block grant funds has been and remains the major priority. Construction and program development are underway.

System Support. Information systems that support Hawaii's criminal justice system are for the most part funded by LEAA discretionary funds but are complemented by block funds in each functional area (courts, corrections, and police) including the State's statistical analysis center. Hawaii regards the completion and coordination of these programs as a major priority.

Juvenile Justice and Delinquency Prevention. Crime prevention through counseling and family oriented treatment is a major priority. Hawaii has established a highly effective response to juvenile problems through the leadership of the family court system.

Drug Abuse. There currently exists a network of private and public treatment and rehabilitation resources aimed at the problem of alcohol and other drug abuse. These programs are considered a major priority in Hawaii and are thus funded from many different sources.

IDAHO

Summary

The analysis of crime and the Idaho criminal justice system presented in this plan is thorough, comprehensive and well-presented. Problem statements, however, vary considerably in quality. Some of the statements are too general, lacking adequate specificity to determine goals and programs to address them. Other problem statements do not show an adequate basis in data on crime and the criminal justice system. There is a thread of continuity run-

ning from the problem statements through goals and priorities to the programs. However it is not clear why the particular programs were selected. The plan was approved subject to eight special conditions of substance. The Idaho Law Enforcement Planning Commission responded to the conditions adequately and all conditions have been retired.

Overview

Prevention. Crime prevention programs include: crime prevention units in police departments, school resource officers, family services counseling, and vocational training. The programs are not related to crime or systems problems in any specific way. Crime prevention goals are very general. Objectives are specific but not explicitly determined by problem statements.

Enforcement. One priority enforcement program is crimes relating to robbery and burglary. The other is simply to support additional police personnel. This program does not show development from crime or systems or problem analysis.

Adjudication. Programs in this area show a clear relationship to problem analysis. Prosecutor screening and major violator projects address identified problems. However, a significant portion of the funding is to go to augment manpower.

Corrections. The problem of repeat offenders is addressed by a work-release program, female offender program and parole/probation manpower. More than half the funding is to support augmentations of existing manpower.

System Support. Programs in this area include improvement in criminal justice agency planning and record keeping capabilities, research programs, facility construction and remodeling, equipment and training. Problem statements directly support these programs. The need for facilities construction and remodeling is related to the need to comply with the Juvenile Justice and Delinquency Prevention Act.

Juvenile Justice and Delinquency Prevention. Idaho participates in the juvenile justice and delinquency prevention program. Programs funded with these funds all address the single problem of status offenders in the criminal justice system. Alternatives to incarceration, family counseling and education referral services are proposed. Crime Control Act-funded projects include programs to increase detection and apprehension, and crime prevention programs. These programs address the problem of increasing juvenile crime.

Drug Abuse. One program to direct drug and alcohol offenders from the criminal justice system is

provided. The problem addressed is the overburdening of the criminal justice system with low risk drug and alcohol offenders.

ILLINOIS

Summary

The Illinois 1977 plan was based on a geographic-demographic concept which produced different criminal justice system characteristics for each geographical area resulting in superior goal setting, problem identification, and program development. However, the overall plan had many deficiencies, particularly in the crime analysis and juvenile justice areas. Accordingly, the plan was approved for one year, and there were 11 nonstandard special conditions placed on the award. The Illinois Law Enforcement Commission has subsequently satisfied these special conditions.

Overview

The Illinois State plan stressed prevention, adjudication, corrections, and juvenile justice. Enforcement is still important but no longer the priority area it has been in previous plans.

Prevention. The plan was strong in crime prevention and included several neighborhood projects. One in particular is the Chicago Cabrini-Green Homes high impact program to combat crime and vandalism by altering the environment and involving the residents in policy formulation concerning the operation of the housing development. Another program is the violent crime prevention program in Peoria, which is oriented to a communitywide effort to reduce the community's fear of crime and each individual's fear of becoming a victim.

Enforcement. The thrust of the enforcement program is to provide better police services in rural areas by contract policing and to install 911 systems in urban areas to reduce response time and increase efficiency in utilizing available resources.

Adjudication. The adjudication programs in the plan were judged to be of the highest quality and most useful in carrying out public defender and prosecution services.

In addition, a 60-day fair trial program was included to achieve a more efficient movement of offenders through the judicial process and to provide adequate facilities for the processing of criminal cases. A court management information system is being implemented in five jurisdictions to provide a

comprehensive record processing storage and retrieval system.

Corrections. The adult correction programs continued in diversion, work-release, education, alcohol/drug detoxification and counseling, community rehabilitation, correctional institution renovation, and correctional officer training. Diversion projects in the plan include deferred prosecution and use of hearing officers as arbitrators to resolve disputes outside the criminal justice system.

System Support. The State has an active comprehensive data system plan and several CDS projects. The recently completed systems master plan is of good quality. The security and privacy plan has been approved. Continued programming was found in multijurisdictional information systems for metropolitan criminal justice agencies and courts management.

Juvenile Justice and Delinquency Prevention. Programs were continued in the following areas: diversion of juveniles to community-based programs, alternatives to detention, deinstitutionalization of status offenders, and separation of juvenile offenders from adult offenders was continued. Prerelease planning, and purchase of vocational counseling and educational services for adjudicated delinquents were continued by the Department of Corrections as a high priority.

Drug Abuse. Programs for identification of the need for narcotic abuse treatment and treatment facilities are provided by the Dangerous Drugs Commission. Treatment within the State corrections department and the Cook County corrections department showed substantial compliance with Part E requirements.

INDIANA

Summary

The 1977 Indiana comprehensive plan is an excellent document that portrays the various problems in the Indiana criminal justice system and the programs that have been designed to alleviate those problems. The plan was formulated with information and input from State, county, and local criminal justice and government officials throughout Indiana. The broad planning base used to develop this plan makes it a particularly valuable document as it reflects the problems and their solutions as viewed by officials and the units of government who must deal with them. The 1977 Indiana comprehensive plan was awarded single-year approval by LEAA

with special conditions covering minor procedural and substantive deficiencies.

Overview

The Indiana comprehensive plan provides an analysis of the various problems in the Indiana criminal justice system. This problem analysis forms the basis for the development of some of the excellent programs and projects that are described in the plan and are currently being supported with LEAA funds in Indiana. The 1977 Indiana comprehensive plan supports activity in the following areas:

Prevention. In recognition of the need for increased citizen awareness and cooperation in crime prevention, Indiana has established goals and provided funding support for several public education programs. These programs will increase public awareness of crime prevention measures and will reduce the likelihood of individual citizens being victimized.

Enforcement. The priority program areas in enforcement are patrol emphasis; specialized enforcement units that target burglary, auto theft and drug violations; enhancement of forensic science capabilities; law enforcement training; and development of an improved radio communications system.

Adjudication. The 1977 Indiana comprehensive plan provides support for several excellent programs that respond to the goals established to improve the Indiana court system.

Funding support is provided for training of courts, prosecutorial, and defender personnel. Excellent programs also provide court administrators and additional support personnel for courts, prosecutors, and defenders. Also supported are victim/witness assistance and night prosecutor projects that are increasing the efficiency of the Indiana court system.

Corrections. This plan includes priority programs that address both the need for community-based corrections services and improved institutional treatment. Indiana has recognized the need to expand the use of community correctional programs to ease prison crowding problems, provide support for probation and other noninstitutional services, and improve treatment programs in the institutions.

System Support. Indiana is continuing development of a data and communications system which provides reliable crime information data for law enforcement agencies throughout the State. An automated probation casework management system is also supported as well as court information systems. These programs address the need for accu-

rate information about the functioning of the Indiana criminal justice system.

Juvenile Justice and Delinquency Prevention. This plan contains excellent programs that serve to reduce the often needless involvement of many juveniles with the criminal justice system. Police-school liaison projects, juvenile counseling services, foster and residential care services, alternative education programs, and court intake centers are all projects designed to reduce juvenile involvement with the justice system and to increase the effectiveness of efforts to deal with delinquency.

Drug Abuse. The 1977 Indiana comprehensive plan provides support for several drug treatment programs for ex-offenders as well as alcohol abuse treatment that focuses on the problem of chemical dependency and its link to crime.

IOWA

Summary

The Iowa 1977 comprehensive plan is the best they have submitted to date.

The SPA has done an excellent job of gathering the required data and presenting it in a manner to facilitate crime analysis. The problem analysis and multiyear sections reflected the additional effort that was undertaken by the SPA and the area crime commissions (regional planning units). The area plans are submitted well in advance of the State plan and are of good quality. Local plans provide the comprehensive base line data which is essential to the SPA in order to properly assess the problems and obtain the direction for program development.

The 1977 plan received multiyear approval in numerous key areas including crime analysis, problem analysis, and criminal justice standards.

One special condition that required the submission of a revised statement of budget allocations for programs and projects described in the State plan, and assurance of juvenile justice maintenance of effort was met.

Overview

Since LEAA guidelines require the annual comprehensive plan to be based upon adopted standards and goals, the State of Iowa has put a great amount of effort into developing standards and goals that will be formally adopted by the State. The standards component of the Iowa plan forms the basis of the plan and dovetails with the stated objectives and goals of each functional component, thereby com-

plying with LEAA guidelines. Since many of the standards will require legislation, the Iowa commission will actively support legislation when it is introduced. The Iowa plan supports activity in the following areas:

Prevention. Since Iowa's crime analysis shows a need for crime prevention programs, one goal is to inform and educate the public concerning methods to be utilized in reducing the vulnerability of the crime target. There will be target-hardening programs at the local level, public education and citizen awareness efforts, and encouragement of other governmental and private agencies to participate.

Enforcement. The problems that exist in law enforcement have been identified, prioritized, and programs developed to address those problems. Multiyear goals and objectives have also been established and approved by the Iowa commission. The number one goal is to assist law enforcement agencies in the efficient and effective delivery of police services through improved managerial operations.

Adjudication. In 1973 Iowa passed a Unified Trial Court Act. The Unified Trial Court, known as the Iowa district court, has general and original jurisdiction of all actions and proceedings, including probate and juvenile matters with the powers usually possessed by trial courts of general jurisdiction. Funding is concentrated on the problems as identified and prioritized, such as the appointment of district court administrators, and establishment of regional prosecutors' offices. These efforts will enhance the management and operations of the State's entire court system.

Corrections. The corrections system data has presented Iowa with a serious concern. Population at both adult male institutions is rising rapidly, and the facilities cannot handle the increase. The 1977 annual action plan and the multiyear plan are directed at this problem. Priority programs will be directed at first offenders and marginal cases being diverted to the community-based corrections program and improved institutional services through remodeling and renovation.

System Support. The plan does a good job of addressing the deficiencies and problems in this area as well as addressing the needs. The new uniform crime reporting program and other planned improvements will help this effort. The State has written a comprehensive data system plan for funding in 1978. The CDS plan addresses data collection in terms of unified long term planning for development

of a shared data base that interfaces all data collection and processing for all criminal justice agencies.

Juvenile Justice and Delinquency Prevention. The information provided shows that Iowa's arrest rate for juveniles is higher than the national average and shows an extensive juvenile involvement in property crimes. The plan reflects a recognition that the problems of the juvenile justice system reflect on other components of the system. Goals have been identified and prioritized and funding has been directed to achieve desired change. Allocations reflect a substantial commitment of Part C funds to community-based corrections and delinquency prevention and diversion.

Drug Abuse. The Iowa 1977 comprehensive plan provides support and coordination of community resources in the delivery of counseling and treatment services to substance abusing offenders. It is anticipated that TASC will be operating on a statewide basis by 1978. All programs are closely coordinated with the Iowa Drug Abuse Authority, the corrections specialist of the SPA, staff of the Department of Social Services, and staff of individual community projects.

KANSAS

Summary

The 1977 Kansas comprehensive plan was received by LEAA in two parts on August 30, 1977. The LEAA review, which was favorable, was completed on September 22, 1977. Although the State had requested multiyear approval of a number of sections of the plan, no multiyear approvals were given. The principal weakness of the plan was in the depth of analysis of criminal justice system problems. To a lesser degree the plan was weak in the relationship of funded programs to documented criminal justice problems. In spite of these weaknesses, most sections of the plan were improvements over the 1976 plan. The area of greatest significant improvement was the crime analysis section. The 1977 comprehensive plan was approved with only four special conditions. Of these, three were standardized special conditions applied to all 1977 comprehensive plans approved by LEAA. The remaining condition required submission of plan sections related to a police communications program. This delayed submission was permitted to accommodate inclusion of the results of a special study, separately funded in Kansas by LEAA, to produce a model

communications system manual. This material was subsequently submitted as required.

Overview

Prevention. While the Kansas plan does not contain analytic or program sections specific to crime prevention, this topic is briefly covered in the crime analysis and law enforcement program sections of the plan. An indepth crime analysis is not included as a basis for determining those methods of target-hardening (residence, neighborhood, vehicle, etc.) which would be the most productive in terms of crime prevention or offender apprehension. However, limited statistics from a national-level study are cited in support of the problem. The priorities and goals relative to crime prevention effectiveness are not stated in measurable terms. A law enforcement program provides funds for several community crime prevention programs. The design and focus of these programs is left to local initiative.

Enforcement. As the Kansas plan does not focus its programming on target crimes, the law enforcement problem statements and funding are quite broad in scope. The crime analysis and law enforcement problem analysis do not contain an analysis of the causes of police deficiencies in either apprehension or evidence gathering and presentation. This lack of data inhibits clear definition of the exact nature of problems in the law enforcement area. Similarly, the relative seriousness of indicated problems and priorities of related programs is not evident. Nevertheless, the plan does list a number of priority, long range program goals unquantified in terms of impact on police effectiveness. These include support for consolidated police radio and records systems, police training, and consolidation of smaller police agencies. The plan contains action programs which fund these activities as well as a number of other activities such as improvement of police laboratory services, provision of police legal advisors, and response time improvement.

Adjudication. While the plan contains extensive data on offender and case flow in the court system, no assessment is provided concerning sentencing adequacy or disparity. The charging process and case presentations by prosecutors are also not analyzed with regard to their adequacy or disparity. However, trial and appeal court backlog are covered. Also, some analysis is provided on the availability of public defense. The goals and priorities contained in the plan are not expressed as quantified levels of effectiveness or capacities of criminal justice agencies. Priority long term

program goals include victim and witness needs, enhancement of a statewide prosecutor system, court unification and training for prosecutors and judges, improvement of judicial caseload, and improvement of defense services. The relative importance of these goals is not described. Funds are provided in programs dealing with all of these activities.

Corrections. The Kansas plan does not document the effectiveness or adequacy of parole decisionmaking or presentence recommendations by probation officers. Also, the effectiveness of corrections programs, in terms of their rehabilitative value, is not analyzed. The plan does give some attention to caseloads, institutional capacity, and institutional conditions. The goals and priority long range program objectives are generally unquantified in terms of capacity or effectiveness of corrections agencies. Program objectives include a broad range of activities to be funded. However, determination of the specific methods utilized in projects is largely left to the initiative of the applicant and/or subsequent SPA review. Some of the projects contemplated are halfway house support, work-release support, improved probation, corrections training, and diagnosis.

System Support. The State of Kansas does not have an identifiable criminal justice information system. The 1977 plan documents the lack of integration of data and information systems among Kansas criminal justice agencies. However, the analysis falls short of providing indepth analyses of those decisions which are in need of substantial improvement by means of improved information systems. More general analyses are provided concerning the needs for information systems in the courts, corrections, and police areas. A variety of subgrants in these areas was contemplated.

Juvenile Justice and Delinquency Prevention. Like the components of the plan dealing with adult offenders, the juvenile justice section of the plan provides no analysis concerning the adequacy of filing decisions (by prosecutors and/or juvenile court intake workers), sentencing decisions, or parole decisions concerning juveniles. However, despite the lack of analysis, data on these various actions is presented in the plan to a much more extensive degree than for adults. Similarly quite a bit of data is presented, distinguishing status and delinquent offenders. However, here again, the data is not utilized in analyses to form conclusions about system effectiveness. Priorities and objectives are generally not quantified. The majority of Kansas' juvenile justice funds are allocated to noninstitutional

rehabilitation. Prevention and diversion receive modest funding.

Drug Abuse. This topic is addressed in several parts of the plan. Like other parts of the plan, the priorities and objectives of those dealing with drug abuse are generally unquantified in terms of operating agency performance. Further, the plan, in its presentation of drug arrests, does not differentiate among the various drugs or levels of supply. The plan offers funding for preventive, enforcement, and rehabilitative activities.

KENTUCKY

Summary

Kentucky's 1977 comprehensive plan was viewed as a better than good faith effort describing the Commonwealth's criminal justice system, its strengths and weaknesses, and proposed solutions. Several areas of the plan indicated significant improvement when compared with the prior year's submission, especially the adjudication area. These improvements and the overall increased quality of the 1977 plan emerged despite extensive staff changes and supervisory board membership revision—indicating the competency of remaining staff and, to some degree, a unified criminal justice system which lends itself to narrative description. However, there were some areas which lacked thorough explanation (i.e. the problem analysis, standards and goals, and communications sections). Special conditions were imposed which required the development and submission of a communications master plan, of information regarding recidivism rates, of a detailed plan and timetable for the development and adoption of standards and goals, of a technical assistance plan, and of more specific program descriptions regarding three innovative programs. The SPA responded and received clearance from LEAA on all items except the communications master plan. The due date on this special condition was extended until March 1978, while funds in this area remained frozen. The entire plan received single-year approval.

Overview

Prevention. Efforts in this area included the establishment of both local and State crime prevention units. Both relied on the techniques of public education, Operation ID, and 911 telephone systems to achieve their goals of a crime decrease through opportunity reduction.

Enforcement. The 1977 priorities centered

around continuation of the Metropolitan Intelligence Unit, establishment of a rape crisis center and organized crime investigation unit, and consolidation of police services and functions. The program category labeled "upgrading local technology" was viewed by LEAA as a communications equipment procurement activity. To insure that compatible equipment was obtained for an integrated communications system, a special condition was imposed requiring the development of the master plan.

Adjudication. The State is preparing to implement a new unified court system effective 1/1/78 whose uniform rules of administration and procedures were developed through block grant funding. The new district courts will replace many lower courts which had overlapping jurisdictions. Complementing programs include the jury pooling and management projects and the supplemental staff of the court of appeals.

Corrections. The 1977 plan projected the funding of a model State minimum security institution for offenders with special programming needs (retarded, geriatric, and/or female). Community-based alternatives, regional jail construction, a detoxification care center, and a jail improvements program comprised the remaining priorities in this category.

System Support. The statistical analysis center and the prosecutors' information system are the major contributors in this area. The establishment of additional forensic labs, continuation of the Criminal Justice Planning Institute, and provision of a broad training program for all criminal justice system components were also priorities.

Juvenile Justice and Delinquency Prevention. Kentucky originally elected to participate in the Juvenile Justice and Delinquency Prevention Act program for 1977. Program outlines for this area extended to alternative learning centers, treatment homes, day care centers, emergency shelter care, etc. The identified priorities were provision of additional staff to the juvenile court and establishment of additional noninstitutional settings for youth, both aimed at meeting the deinstitutionalization of status offenders mandate. The State notified LEAA of its decision to terminate program participation in January 1978 due to the amount of State funds needed and unrealistic deinstitutionalization timetables. At that time, 1978 participation was projected.

Drug Abuse. The State's goals to increase drug arrests by 25 percent and to reduce drug availability

by 10 percent were being sought through the provision of training, special equipment, buy money, and public awareness campaigns under the category of local narcotics unit assistance. The systems and crime analysis sections of the 1977 plan suggested a decrease in drug related activity from the previous year. Funding in this area was therefore reduced accordingly.

LOUISIANA

Summary

The 1977 Louisiana comprehensive plan was improved over previous submissions in respect to crime analysis, system description and response, problem analysis, goals, objectives, and priorities. The same degree of improvement, however, was not noted in the multiyear forecast or multiyear budget sections. The plan's annual action programs were basically the same as previous submissions, with programs related to selected national and statewide standards and goals.

The plan was approved for one year only, with special conditions. The major special condition on both the Part C and Part E awards required the expenditure of funds for Department of Correction programs to be in accordance with a Federal court order and responsive to Part E requirements. The Part E special conditions required compliance with Part E requirements related to drug and alcohol abuse; and monitoring correctional programs. The SPA was responsive to all special conditions and the conditions were cleared.

Overview

Louisiana received \$5,488,000 of Part C and \$646,000 of Part E funds for implementation of the 1977 comprehensive plan. Provided below is an overview of the plan's major functional area problems, goals, priorities, programs, and projects.

Prevention. Priorities in prevention were the development of strategies to address the lack of understanding between law enforcement officials and juveniles, and the lack of public awareness about measures to protect themselves against crime. The plan provided \$560,000 for programming in police-community relations, juvenile delinquency prevention, public education on prevention of crime and drug abuse, and community involvement in the criminal justice system. Juvenile delinquency prevention received the highest priority with \$440,000.

Enforcement. A plan priority was the func-

tional improvement of enforcement to respond to specific crime problems through training and education, special units, and acquisition of additional personnel and equipment. Programs contained in the plan related to training and education, crime labs, special enforcement units, personnel and equipment acquisition, communications, management, and operations improvement. The SPA allocated \$1,853,000 to enforcement, with personnel training and education, and special enforcement units receiving the highest priority with \$1,064,000 allocated for these purposes.

Adjudication. Priority needs identified were to provide sufficient personnel and equipment to deal with increasing caseloads, bail reform, a uniform indigent defense system, and alternative programs. Plan programs related to the identified needs for bail reform; diversion; and prosecutorial, defense, and court support. These programs will assist prosecution and defense in providing additional legal, investigative, and support capabilities as well as opportunities to attend seminars and workshops. The courts will receive assistance for management surveys, development of improved jury selection techniques, computerized court testimony transcripts, renovation of facilities, and improved support capability.

Correction. The plan problems and needs related to improvement and expansion of the quality, condition, effectiveness, and services of adult and juvenile institutions and rehabilitative programs. The plan's programs were directed at these needs. Renovation and construction projects addressed several serious conditions in both State and local correctional institutions. Corrections received \$1,998,000, with equal allocation to institutional and noninstitutional programs. In institutional programs, personnel and equipment acquisition received the highest priority with \$700,000 being allocated. Noninstitutional treatment services were allocated \$855,189 from Parts C and E awards.

System Support. Problems involved the need to improve the availability and accuracy of criminal justice information at the regional and local levels and the need to provide criminal justice agencies and personnel with published information about innovative methodologies.

Juvenile Justice and Delinquency Prevention. Louisiana followed national and State standards and goals in the development of their juvenile programs. Programs addressed delinquency and treatment, juvenile diversion, and deinstitutionalization of status offenders. Approximately 20

percent of the funds were allocated to juvenile programs. Community-based services for status offenders and delinquents received the largest portion. The SPA received \$915,000 of juvenile justice and delinquency prevention funding.

Drug Abuse. Various special police units were funded for the enforcement of drug laws, and \$28,000 of Part C funds was allocated to the Department of Corrections to upgrade its medical laboratory equipment related to testing for drugs.

MAINE

Summary

Maine has done an adequate job in its 1977 comprehensive plan of addressing problems and meeting guideline requirements. The plan indicates that the planning process has been given some thought beyond the mere compilation of fundable projects. It is comprehensive and relates identified problems to appropriate program responses. The plan received single-year approval with six special conditions requiring SPA response. All conditions have been satisfied.

Overview

Prevention. The SPA has devised a well-conceived and well-researched scheme to improve its effectiveness in this area. Initial steps proposed in the 1977 plan include the development of detailed training designs, broad community services and referral capabilities, expanded classification procedures (all geared to revised code), and client focused rehabilitative services. This, coupled with coordination of funded programs and expansion of the community justice project concept, should result in systemwide improvement over the next two years.

Enforcement. In M4100.1E, "Adequate Assistance in High Crime Areas," an analysis of crime in jurisdictions with populations of 250,000 is required. Where such jurisdictions do not exist, the SPA is permitted to substitute the 10 jurisdictions within the State with the highest crime rates. Maine has selected the second alternative and proposes to conduct the analysis in Cumberland County, which has an estimated population of 200,824.

Adjudication. During the last year, Maine has undergone two reorganizations which have had an extensive effect on the adjudicatory process. First, there has been an overall change in the administrative structure of the court system; and, second, there

has been a radical revision of the State's criminal code, especially as it relates to sentencing.

Corrections. Overall, the corrections component of the plan is sound and reflects a concerted effort which is well-coordinated and so phased as to lead to a much improved system.

One area of weakness is still a matter of concern: the Maine State prison is experiencing some crowding and suffers, like most prisons, from the lack of institutional programs.

System Support. The existing systems of the plan include a detailed listing of the existing police functions and responsibilities in Maine. Included are the geographic areas of responsibility for each State police troop, training requirements, and the areas to which personnel are assigned. Also included is extensive data on sheriffs and municipal police including 118 municipal police departments and 16 county sheriffs.

Juvenile Justice and Delinquency Prevention. The Maine comprehensive plan adequately describes the responsibilities and functions of the various juvenile justice agencies in the State. In addition, the plan gives an extensive review of non-juvenile justice system resources and services for youth in the following areas: education, mental health, recreation, and health and welfare.

Drug Abuse. A review of the plan in the substantive areas of drugs and organized crime disclosed two annual action programs in the drug area, and no programs in the area of organized crime. One of the drug programs (5.10 Substantive Abuse Treatment Activities for Criminal Justice Clients) was included in the corrections program category and was funded previously.

MARYLAND

Summary

The plan was complete and of high quality. It received single-year approval. Multiyear approval was not requested.

Multiyear, and needs and problems components were excellent; and the annual action program was well-written and appropriately quantified. The minimal special conditions placed on the plan have been resolved.

Overview

Prevention. A 5 percent reduction in offense rates is sought by upgrading a range of crime prevention projects. Major efforts in this area are juvenile

justice, a law-related education program to convey an understanding of the principles of law and the legal process, a crime prevention project run by the police, and projects to reduce crimes against the elderly in two major metropolitan counties.

Enforcement. Efforts in this area include improving police manpower capabilities, and reducing fragmentation and duplication of police services. Representative projects are continuations of local inservice training programs, police intern programs, management and administrative training, and contractual police services.

Adjudication. Major efforts in this area include educational standards and training for court personnel; expanded prosecutorial services; increased capability of public defenders; and upgrading administration, management and operational techniques of courts and court-related agencies.

Corrections. Major efforts include the establishment of effective recruitment and retention programs in the State Division of Corrections and two urban counties; development of training standards and curricula; and training for correctional custodial staff, correctional counselors, probation and parole agents; and management training.

System Support. Major efforts include continuation funding of the State police uniform crime reporting unit, the development and implementation of agency geographic-based criminal justice information systems, and providing major criminal justice system agencies with the capability to conduct program planning and evaluation.

Juvenile Justice and Delinquency Prevention. Prevention efforts include crisis intervention, counseling and referral services, and police-level and court diversion programs. Other major efforts include the elimination of detention of juveniles in adult facilities in Western Maryland, provision of alternatives to detention in Prince Georges County, and provision of community-based services (counseling, education, vocational training) in four major metropolitan areas.

Drug Abuse. There were no separately targeted programs for drug abuse.

MASSACHUSETTS

Summary

The 1977 submission was strong in its crime analysis, problem analysis, and setting of priorities. Those strengths, however, were offset by an extremely weak response to the standards and goals,

high crime and Part E requirements. Because Massachusetts was found to be in noncompliance with the Part E requirements, those funds were not awarded at the same time that the Part C and juvenile justice awards were made. It took an additional 60 days of negotiations and work with the SPA to bring the Part E segment of the plan to a point which would justify signoff.

The plan was approved for single-year status with four special conditions which required an SPA response. The SPA has responded to all four conditions.

Overview

Prevention. The comprehensive plan emphasizes programs to assist police in crime prevention at the community level. These programs include police-community efforts and more effective deterrent patrol tactics. Corrections and juvenile programs are designed to increase counseling and community services to adjudicated criminals and delinquents with the objective of steering them away from crime.

Enforcement. Emphasis was given to programs designed to assist the professional development of police, to improve police patrol and investigative capabilities, to aid police communications, and to improve relationship between the police and the community. A no-fund, systemwide violent crime program was also included.

Adjudication. A massive reorganization of the Massachusetts judicial system was undertaken during the life of this plan. Although mainly funded through the discretionary program, the thrust of the comprehensive plan is to supplement what has been started by a discretionary grant. The Cox Commission Report, as the restructuring plan is called, will be a major effort within adjudication for several years.

Corrections. A major thrust of the State, at LEAA urging, is to upgrade the quality of personnel employed within the corrections component of the criminal justice system. This effort is being implemented through programs which encompass recruitment, classification, training, and career development for corrections employees.

System Support. The comprehensive plan does not distinguish itself in this area. A major effort of LEAA is to move the State along avenues necessary to produce valid statistics which represent the activities of all components of the criminal justice system. The SPA was specifically required to im-

prove its data gathering and use pertaining to recidivism and rehabilitation.

Juvenile Justice and Delinquency Prevention. A major problem which Massachusetts was advised to address has to do with the deinstitutionalization of status offenders. Some status offenders were still being detained in police lockups. Consequently, the SPA was advised by LEAA to increase its activity in this area. The SPA disagreed with LEAA's assessment as it pertains to status offenders and, consequently, the issue continues to be an area of discussion and negotiation. A major thrust of the plan is aimed at improving community-based services for juveniles.

Drug Abuse. The comprehensive plan revealed that the SPA was lacking in information which would give it a true picture of the drug problem in Massachusetts. The Drug Enforcement Administration representative undertook a program of consensus building with the SPA in an effort to improve this segment of the plan.

MICHIGAN

Summary

The Michigan 1977 comprehensive plan contains an extensive crime analysis. The section of the plan describing the resources, systems and manpower of the State's criminal justice system is also quite complete. However, the utilization of this information in analyses of the criminal justice system's problems was determined to be limited in the LEAA review of the plan. Links between data presentations and problem discussions were found to be weak. Consistent with this, the action programs in the plan contained little quantitative data and were not indicative of detailed analysis of gaps between crime and criminal justice problems and resources. The LEAA Regional Office found a number of programs critically deficient with respect to analysis in support of programs. As a result, additional information was required from the SPA for police courts. Multiyear approval was not requested by the SPA for any component of the plan. On September 30, 1977 the plan was approved with 10 special conditions which were subsequently cleared by the SPA.

Overview

Prevention. The Michigan 1977 plan allocates over \$2.5 million dollars specifically to crime prevention bureaus. Additionally, other crime prevention activities are discussed and allocated funds. The

review of the plan found substantial crime analysis supporting crime prevention programming. The analysis of existing resources and effectiveness related to crime prevention was not included in the plan.

Enforcement. Based on the amount of funding, priority programs in the Michigan 1977 plan are: specialized police units, communication systems, police cadets, specialized training, and evidence technicians. Of these programs, only the program for specialized police units was well supported in terms of crime statistics and problem analysis.

Adjudication. Related to adjudication, only prosecution of career criminals was listed as a statewide priority. Other programs were developed as local priorities. The multiyear objectives were, for the most part, very general and not stated in terms of quantified levels of operational performance or capacity. Based on funds allocated, functional court improvement, special prosecutors, prosecutor management improvement and information systems, and court information systems were the areas of greatest emphasis.

Corrections. The analysis and prioritization of corrections objectives is largely subjective, including frequent reference to national and State standards and recommendations. The focus of justification is primarily on capacity, quality of service and conditions, and costs. Little data or analysis is presented concerning effectiveness. Based on funds awarded, community reintegration and jail inmate rehabilitation are the State's priority interests.

System Support. As noted in the above section, information systems were a priority for courts and prosecutors. However, the primary emphasis in the system support category is police information systems. The review of the 1977 plan noted that most system descriptions were very short and consequently did not allow for a good comprehensive analysis of what the system would actually do, and how.

Juvenile Justice and Delinquency Prevention. The data support for the action programs in the plan was termed minimal by the LEAA juvenile justice specialist who reviewed the plan. Based on funds allocated, youth service bureaus and alternatives to secure detention were the State's priority program areas. Objectives and analysis did not address quantified levels of operational effectiveness.

Drug Abuse. The Michigan comprehensive plan sections dealing with drug abuse concentrate on enforcement activities. The limited funding allo-

cated to drug enforcement is earmarked for support of two narcotic enforcement units.

MINNESOTA

Summary

The 1977 Minnesota comprehensive plan is a well-organized document that contains numerous excellent programs designed to improve the State's criminal justice system. The plan contains an excellent analysis of crime data and of criminal justice system problems. This analysis forms the basis for many of the programs in the plan and provides a logical approach to improving the Minnesota criminal justice system. The 1977 Minnesota comprehensive plan was approved for one year, with special conditions that have subsequently been resolved.

Overview

The 1977 Minnesota comprehensive plan supports activity in the following areas:

Prevention. Minnesota supports several juvenile delinquency prevention projects that have as their goal the prevention of unnecessary juvenile involvement in the criminal justice system. The plan also reflects the notable efforts Minnesota has made to develop a statewide Operation Identification program, increase the crime prevention activities of law enforcement agencies, and improve the crime reporting by citizens through community relations programs.

Enforcement. This plan recognizes the need to select and retain highly qualified personnel in the law enforcement field. Projects are supported that provide inservice training and the use of advanced manpower development methods. Also included are projects that consolidate police operations for maximum efficiency in the delivery of law enforcement services. A high priority is given to several programs that establish criminal investigation and white-collar crime units.

Adjudication. Minnesota has placed emphasis on increasing the efficient operation of the courts system and this plan includes several projects that support that goal. Legal research, caseload studies, juror training and utilization, citizen dispute settlement, and victim/witness services are all projects supported in this plan. Considerable funding support is also provided to improve defense and prosecution functions of the court system.

Corrections. This plan includes priority programs that provide for both community-based

corrections programs and for improvement of institutional treatment. Emphasis is placed not only on State institutional treatment, but on the improvement of treatment services available in local jail facilities.

System Support. Minnesota is one of the leading States in the country in the development of criminal justice information systems. Minnesota is currently operating all components of a comprehensive data system and is designing information systems for the courts and corrections systems.

Juvenile Justice and Delinquency Prevention. As well as placing a priority on programs to divert juveniles from unnecessary involvement with the criminal justice system, this plan provides support for juvenile shelter care and other nonsecure detention facilities. Several postadjudication programs are included that provide treatment services for juveniles in a community setting whenever possible. In addressing the need for inservice training for juvenile justice personnel, a training project is supported through the Minnesota supreme court.

Drug Abuse. The 1977 Minnesota comprehensive plan includes programs for chemical dependency treatment in both State and local correctional institutions. Chemical dependency treatment is also provided as a part of community-based correctional programming.

MISSISSIPPI

Summary

The 1977 Mississippi comprehensive plan, an improvement over past plans, adequately addressed all the requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The Mississippi Criminal Justice Planning Division (SPA) utilizes a rational planning process which demonstrates a determined effort to improve the quality of law enforcement and criminal justice in the State. However, some significant factors prevented the State from submitting a plan which realized the SPA's potential:

- The Mississippi Criminal Justice Planning Division lost key staff members in the middle of the planning process (i.e., planning officer, deputy director, etc.).
- The State does not have an adequate crime reporting mechanism.
- Establishment of the criminal justice information system was delayed

because a Federal court order restricted the hiring of personnel for it.

Overview

The following section provides an overview of goals, priorities, programs, and projects planned by the State of Mississippi in its 1977 comprehensive plan.

Prevention. The State allocated \$248,000 of its block grant to four programs concerning crime prevention. The major emphasis was on crime prevention units in local law enforcement agencies. These units concentrate on specific crimes and plan ways of preventing those crimes. A diversionary program to prevent juvenile crime supplemented the crime prevention units.

Enforcement. The State allocated \$1,124,600 of the block grant to enforcement. These funds are distributed among six programs. The majority of these funds were used to provide basic and advanced training to police officers. In addition, some of the enforcement funds were allocated for special operations within local law enforcement agencies, such as narcotics units.

Adjudication. The State allocated \$854,074 of its block funds to improve adjudication. The funds were used for training courses provided by the University of Mississippi. Among those trained were court reporters, judges, and prosecutors. In addition, funds were allocated to implement a recently completed courts master plan. This plan identifies problems and priorities and demonstrates a strategy for improving the court system in the State.

Corrections. The State allocated \$932,998 of its block funds to improve the corrections system. This included seven programs, one of which provides funds for the administration of the Mississippi Department of Corrections. Prior to July 1, 1976 Mississippi had no State corrections department. LEAA funds supported the creation of the department and have provided continuing support for its operations. Another program provides for training correctional personnel. Other programs are oriented toward alternatives to incarceration.

Juvenile Justice and Delinquency Prevention. The State allocated \$520,980 of its block funds to improving the juvenile justice system within the State through eight programs. The programs vary from funding group homes for status offenders to training Mississippi Department of Youth Services personnel. In addition, Mississippi has placed emphasis on diversionary programs and on the use

of volunteers to prevent delinquent behavior.

System Support. The State allocated \$654,328 of its block grant toward the improvement of its information system. As discussed earlier, the State has lacked a complete information system for criminal justice. Through the block grant (four programs), the State plans to install communication terminals in all of the 82 counties within the State. In addition, the State is producing software for a State uniform crime reporting system.

Drug Abuse. The State allocated \$35,000 of its block funds to the training of staff personnel who work with drug addicts in the State of Mississippi.

MISSOURI

Summary

The 1977 Missouri comprehensive plan reflects progress toward achieving the various requirements of the Crime Control Act of 1976. The 1977 plan is generally much improved over the 1976 plan. However, the link between data analysis, problem definition, and program funding activity is not consistently strong. The plan was awarded single-year approval. Several special conditions were necessary, and the Missouri Council on Criminal Justice has adequately responded to them.

Overview

Prevention. Missouri has recognized citizen education and involvement in the criminal justice system to be effective means of crime prevention. Funding is provided in both of these areas.

Enforcement. Priorities in the law enforcement section of the plan include support of police training, manpower, and communications improvement.

Adjudication. A major goal in the courts program area is to increase the efficiency and fairness of the adjudication process. A related goal is the development of a statewide system of court administration. Emphasis is also placed on preadjudication diversion programs.

Corrections. Priority corrections programs include support for community-based treatment centers and improvement of local and State correctional facilities. Support is given to the development and enforcement of minimum standards for jails.

System Support. Missouri continues to support the development of a statewide criminal justice information system. Support is also provided for the

development of a statewide judicial information system.

Juvenile Justice and Delinquency Prevention. Priority juvenile justice programs include support for community-based residential facilities and innovative treatment programs. Another priority is juvenile delinquency prevention through several educational, employment, and counseling programs. Emphasis is also placed on assisting local jurisdictions in funding specialized juvenile court personnel.

Drug Abuse. Missouri recognizes a need to support community and institutional treatment centers and prevention programs for individuals with alcohol or drug-related problems. The 1977 Missouri comprehensive plan provides funding for one project of this type.

MONTANA

Summary

The 1977 comprehensive plan submission by the Montana Board of Crime Control was a comprehensive effort that adequately met guideline and act requirements. Although improvement could have been realized regarding specific crime analysis for urban areas, where there is a more sophisticated data base, the crime problems of the State were well-defined and logically assessed. The plan reflected a reasonable correlation to State standards and goals. Also, the plan reflected a highly developed and effective delivery system for technical assistance, using person to person contact, meetings, and publications to assist the effort.

Although the SPA did not have all the data originally intended for plan development, crime and system resource data collated from agency data sources and from needs assessments by the five regional advisory councils provided sufficient and necessary information for problem analysis and identification. The annual action programs related to identified problems and needs and adequately provided potential corrective action. The plan was approved with special conditions.

Overview

Prevention. Due to the small size of law enforcement agencies in Montana, they do not readily lend themselves to the formation of special crime prevention units. Therefore, there are no such units in police agencies. The 1977 plan, however, identifies several initiatives which will intensify a

campaign against crime in Montana. Evidence of a trend toward police-community crime prevention programs is the fact that 12 officers from the major police departments in the State attended and graduated from the National Crime Prevention Institute. The impact of this effort will most likely become apparent in future planning.

Enforcement. The SPA, based upon current crime data analysis, selected burglary as the target crime. Continuation funds were provided for selected crime areas. All elements of local criminal justice systems are committed to the development and implementation of the strategy. The projects determined to have positive effects on crime and the criminal justice system will be continued and/or expanded. Those that had minimal or no impact on the criminal justice system will be modified or discontinued.

Adjudication. The SPA will conduct an inventory of courtroom facilities and equipment as a first step in planning for and establishing priorities to remedy defects and provide for special needs. Perhaps the most serious deficiency in the courts area is the inadequacy of facilities for legal research. Several grants were available for Indian reservations, which included such projects as courthouse construction, equipment purchases, public defenders, and administrative and bookkeeping training.

Corrections. Block grant programs have been continued at the State prison. Funds for new construction and renovation have resulted in new educational and vocational facilities as well as new living units. Community corrections funds provided a major impact on the expansion of community-based corrections programs. Montana has utilized block grant funds effectively in the area of corrections. Overall, the goals and objectives section would be improved by quantifying the objectives as required by the guideline manual.

System Support. Funds were provided for criminal justice agencies to increase manpower, for training to maximize efficiency and service, and to increase the level of criminal justice professionalism throughout the State. There are several information systems utilized by criminal justice agencies. They are the arrest register system, the teletype system, and the juvenile court system.

Juvenile Justice and Delinquency Prevention. As previously mentioned, a juvenile management information system was developed for the State. The purpose of the system was to address the problem of inadequate data. The State's major problem was the collection of relevant data which

would be used to identify the needs and problems of juvenile justice. A second problem was the need for legislative action to fully implement the mandates of the Juvenile Justice Act within the time frames set forth in the legislation. At the time of plan submission, the SPA was withholding expenditures of 1977 juvenile justice funds until legislative action had been completed.

Drug Abuse. Even though drug specialization and training is currently at minimum standards for Montana, the multiyear plan calls for enhancing police services, including narcotic and drug investigations, by 1980. One of the multiyear objectives for the State is to assist criminal justice agencies develop the capability to maintain public information programs.

NEBRASKA

Summary

The 1977 Nebraska comprehensive plan is an excellent document that meets the various requirements of the Crime Control Act of 1976. The 1977 plan is much improved over previous plans and contains an excellent presentation of crime analysis and criminal justice system performance data. The 1977 plan also reflects considerable effort in the development of standards and goals to improve the Nebraska criminal justice system. This plan was awarded single-year approval by LEAA without the attachment of special conditions.

Overview

The State of Nebraska has developed a set of standards and goals for improvement of its criminal justice system which guides the use of LEAA funds in the State. These standards and goals are the foundation of the comprehensive plan and are directed at the most pressing problems in the Nebraska criminal justice system. The 1977 Nebraska comprehensive plan supports activity in the following areas:

Prevention. Nebraska has recognized the need for public education and citizen awareness programs in order to reduce the chance of citizens being victimized. Funding support is provided for public education crime prevention programs in the 1977 plan.

Enforcement. Goals in the law enforcement field in Nebraska relate to the development of effective communication systems, improved training resources, and increased cost-effectiveness through consolidation of police services.

Adjudication. Nebraska has concentrated LEAA funding in the courts area to train judicial personnel and enhance the management and operation of the State's court system.

Corrections. Crowding in State institutions is an area of serious concern in Nebraska, and the programs in the 1977 plan are directed at this problem. Priority corrections programs in the plan include increased probation services, expanded community-based corrections programs, improved institutional services, and programs to divert first offenders from the criminal justice system.

System Support. Recognizing the need for information about the functioning of its criminal justice system, Nebraska is continuing support in its plan for development of a statewide, computerized, comprehensive data system. When complete, this system will provide valuable information for use in planning improvements of the Nebraska criminal justice system.

Juvenile Justice and Delinquency Prevention. In the area of juvenile justice, Nebraska has established goals for lowering the juvenile arrest rate, providing community-based alternatives to incarceration, and improving those existing juvenile institutional programs. A high priority is also placed on the prevention of juvenile delinquency through support of programs relating to youth employment, school behavior problems, and police-juvenile relations.

Drug Abuse. The 1977 Nebraska comprehensive plan provides support for a chemical dependency treatment program in State correctional facilities as well as a community-based drug treatment program. All drug abuse program development represents a joint planning effort between the Nebraska Commission on Law Enforcement and Criminal Justice and the Nebraska Commission on Drugs.

NEVADA

Summary

This plan is compliant with statutory and guideline requirements, but does not provide a logical progression from data analysis through problem statements and program goals. Problem statements show only minimal relationship to the data base. This data base, including both crime and systems data, is broad and well-developed and analyzed. Problem statements, however, are extremely broad, being almost problem categories rather than specific

problem statements. One problem statement was developed for each program area. Priorities are established only to the extent that there are statements of what is important, i.e., a priority to accomplish in each program. There is no relative weighing of problems, goals and objectives, programs, or even program elements. Regional plans are included as separate elements of the plan. However, they present only crime and systems analysis. They do not carry the process to the point of developing problems, goals, and programs. This plan was approved without substantial special conditions, but with a letter of transmittal requesting that improvements be made to more adequately respond to guidelines. Nevada responded adequately to all matters brought up in the letter.

Overview

Prevention. This program area is comprised of projects in the schools to encourage student awareness and support of law enforcement, and an anti-shoplifting campaign to enlist community support of efforts to reduce shoplifting. No crime data justification is provided for the selection of shoplifting as a priority problem. The police-school program is justified only by an increasing juvenile crime rate.

Enforcement. Two programs are included in this area: one to improve police operations, the other to augment police manpower in very small departments on an emergency basis. It is unclear from the problem analysis what specific police or crime problems are being addressed. Neither is it clear just how these programs will effect the crime reductions proposed.

Adjudication. Problems and priorities are better defined in this area than elsewhere in the plan. The problem of court congestion is addressed by increased prosecution and defense manpower and a case screening unit. Pretrial release and victim/witness assistance projects are included.

Corrections. The major portion of corrections funds is programmed to employ 10 correctional personnel for the new State prison to speed the opening of that facility.

System Support. The need for correctional facilities improvement is established in a good problem statement. Sensibly, no attempt is made to fund significant facility improvement programs with the limited amount of block funds available. The need for training in addition to police officers' standards and training is stated in a general problem statement. One project to assess the training needs of the parole and probation department is proposed.

Juvenile Justice and Delinquency Prevention. Nevada does not participate in the juvenile justice and delinquency prevention program. In the plan, juvenile crime data is analyzed along with the adult. The juvenile and adult elements of the criminal justice system are analyzed together. Diversion programs and programs to assist probationers and parolees in returning to society are provided.

Drug Abuse. No problem statements are provided to indicate that drug abuse is a problem in Nevada, yet crime data for Las Vegas shows that of those arrested for robbery or burglary in fiscal years 1974 and 1975, over 30 percent had previous narcotics arrests.

NEW HAMPSHIRE

Summary

The New Hampshire 1977 comprehensive plan is not organized as suggested in M4100.1E, Paragraph 51. With LEAA approval, the plan continues a format adopted in 1976—Part I: Audit, Part II: Juvenile Programs, and Part III: Plan Requirements and Compliance.

The plan represents a good faith effort toward internal, external, and paralleled comprehensiveness. It addresses all components of the criminal justice system and reflects a determined effort to improve the quality of the State's criminal justice system. The plan has met all of the comprehensive requirements adequately. It is also felt that all of the requirements in M 4100.1E have been satisfactorily addressed through the issuance of special conditions. The plan was approved for one year with three special conditions requiring SPA response, which have been met.

Overview

Prevention. The State of New Hampshire has developed a commission on children and youth, which is designed to research and identify needs of children and youth and to recommend responses to these needs.

This approach, while not unique, does provide New Hampshire with an efficient management and operation design which can facilitate the improvement of the juvenile justice system.

Enforcement. The reality of crime statistics continues to be questioned in search for quantitative measurement of the impact of crime. The figures that must be relied on are not perfect, as many crimes go undetected and unrecorded.

In June of 1976, without the benefit of a comprehensive data system, a determined effort was made by the SPA to gather crime statistics and data which would quantify the nature and extent of crime in New Hampshire. As a result of this study, it was determined that an individual citizen in a small city has as many crime problems as a citizen in a large city.

Adjudication. Currently trial courts (municipal, district and superior) function, in nearly all respects, as independent courts. Administrative functions, such as filing and docketing systems, are varied among the courts. Decentralization slows and confuses trial court operations. Adoption of uniform practices would promote efficiency by establishing coordinated routines among the several courts.

Short range goals are to provide continuing judicial and legal educational opportunities.

Corrections. The State is making progress toward a more uniform and systematic approach to corrections. These areas, however, are still below the level of acceptability in terms of comprehensiveness internal to corrections. These were addressed in special conditions.

System Support. There are no information or communication systems programs as such included for funding in this 1977 plan. The communication program in New Hampshire is clearly in better shape than most other New England States.

Juvenile Justice and Delinquency Prevention. The gradual progression of youth services in New Hampshire has been on an improving plane. This design projects a cost-effective and truly professional approach to an ever-increasing problem.

Drug Abuse. New Hampshire has furnished no data regarding the drug dependent offender population nor any other information or data, except the number of drug arrests.

NEW JERSEY

Summary

The 1977 New Jersey plan was submitted October 14, 1976. The SPA had omitted important sections of the plan, including the technical assistance plan, the progress report, and funding allocations to program components, all in anticipation of the new legislation. The Regional Office disapproved the October submission and a new version, improved to comply with new provisions in the 1976 act, was sub-

mitted on December 30, 1976. It was the first plan to be submitted to the LEAA certification process which required improvements in the linking of crime analysis, system performance analysis, problem statements, and action program descriptions. Although satisfactory in this respect, the plan was still somewhat deficient in the use of data, organization, implementation details, the technical assistance plan, compliance with requirements, and some Part E requirements. These have been dealt with by special conditions to which the SPA has been responsive.

Overview

The following comments highlight the problems, goals, priorities, programs, and projects dealt with in the 1977 plan.

Prevention. Needs were identified primarily in the juvenile crime prevention area. Priorities and programs were established for community youth services, residential facilities for juveniles in need of supervision, and community treatment facilities for juvenile delinquents.

Enforcement. Needs were identified in detection, deterrence, and apprehension. Priority goals were established, especially in the area of rape, robbery, and burglary. Programs for special sex crimes and major fugitive units, improved police patrol, public housing security, police-community cooperative efforts, narcotics and organized crime, communications, and laboratory services were established.

Adjudication. Problems were identified in court management at all levels. In addition, a need for diversion projects was noted. Goals, priorities, and programs were established to improve municipal and State court management, data use, intake screening, alcoholic diversion, and victim, witness, and juror projects.

Corrections. Needs were highlighted in the management and operation of State and local correctional institutions and noninstitutional correctional services. Programs were established to improve management and service delivery in local correctional institutions, to support State corrections and community-based correctional programs, and to improve parole decisionmaking.

System Support. The plan generally identified widespread need for training in all criminal justice related vocations and for evaluation and monitoring support. Goals, priorities, and programs support six training projects reaching 7,000 criminal justice workers each year.

Juvenile Justice and Delinquency Prevention. New Jersey placed heavy emphasis on juvenile justice in all parts of the planning process. Youth programs and projects are found under every one of the above categories. New Jersey participates in the Juvenile Justice and Delinquency Prevention Act program. Programs stress community youth treatment and services, special court screening and intake, special police juvenile aid bureaus, improved juvenile probation services, and deinstitutionalization of status offenders.

Drug Abuse. The plan recognizes the problems of alcohol and drug abuse. Although not a high priority, there are goals and programs established for regionalized narcotic investigation units and community resource systems for treatment of adult drug and alcohol offenders.

NEW MEXICO

Summary

The major strength of New Mexico's 1977 comprehensive plan was the criminal justice system crime data and analysis sections. These sections reflected the beginning of a comprehensive data system for the collection of criminal justice agency data, identification of criminal histories and arrest information, and other significant criminal justice data. The availability of the computerized data bank permits the storage and retrieval of information for criminal justice system analysis. The plan complies with Title I of the Crime Control Act of 1976.

The plan contained raw crime data, data summaries, and Uniform Crime Reports Parts I and II offense data. Analysis was provided of Part I crime for seven large counties and four small counties with high crime rates. A sampling and review of approximately 5 percent of the total arrests for Part I crimes using a composite of 475 cases from the State's 13 judicial districts showed 55 percent of the 475 arrests were dismissed prior to conviction or acquittal; 15 percent were dismissed by police immediately after arrest; 4 percent were dismissed at first appearance; 25 percent were dismissed by the district attorney rather than file charges; 4 percent were dismissed by a grand jury or magistrate court; and 8 percent were dismissed by a district or magistrate court during trial. The most frequent offenses in New Mexico are burglary, larceny, and auto theft.

The 1977 plan was complete covering all criminal justice system components and contained

priorities. The plan was approved by LEAA for a single year with four special conditions covering minor procedural and substantive deficiencies. The SPA agreed to these conditions and has taken the necessary action to comply with and clear them.

Overview

This section provides a plan overview of the problem, goals, priorities, and programs and projects for the criminal justice system components. Total criminal justice system and subsystem goals were established and prioritized. In addition, broad systemwide goals and priorities were established by criminal justice system area (i.e. law enforcement, courts, juvenile justice, corrections, etc.).

Prevention. New Mexico developed a program for "Crime Prevention Through Public Education." This program intends to resolve problems regarding lack of current public information on crime prevention techniques and methods that can be employed to avoid becoming a victim of crime. This program relates to the law enforcement goal of community crime prevention through better education of the public, and to the problem law enforcement agencies have in getting better reporting of crime and participation by the public.

Enforcement. The major goal established for enforcement is to establish State mandated minimum selection and training standards for police personnel to resolve the problem of insufficient or untrained law enforcement personnel. The plan has a program for adopting new legislation to correct this problem.

Adjudication. Major problems identified in adjudication included needed improvements in and/or development of judicial rules and procedures, specialized legal training and education, reduction in appellate delay, pretrial diversion programs, and case handling. Programs to address these problems include judicial education and training, financial assistance to district courts for pretrial diversion programs, and expansion of disposition alternatives. These programs relate to major goals of improved manpower development and sentencing alternatives for judges.

Corrections. Lack of standardized jail operations, need for additional prerelease counseling, and overcrowding of diagnostic and evaluation centers were some of the major problems identified in New Mexico's correctional system. The development of a corrections master plan and a unified correctional system are major goals identified in the plan.

System Support. New Mexico's major system

support problem was the lack of comprehensive criminal justice data reporting by police, courts, corrections, and juvenile delinquency agencies. In addition, planning analysis was needed in all phases of the criminal justice system. The priority in this area was for a comprehensive data system designed to collect and analyze data, and maintain computerized criminal history and other data required for crime analysis.

Juvenile Justice and Delinquency Prevention. The major priority and program impacting on juvenile delinquency was the "Statewide First Offender Program." The program's purpose was to divert juvenile offenders from the formal judicial system to avoid the stigma associated with judicial proceedings and the subsequent label of delinquent. Programs were also included in the plan for community and State youth services.

Drug Abuse. The plan states "drug-related crime is a major (if not the most serious) problem facing New Mexico." Most data available about drug and alcohol abuse were revealed in the offense statistics from Part II Uniform Crime Reports data. No specific goals and priorities were in the plan for drug or alcohol abuse. A community-based prevention and diversion program was developed for youth, including a drug and solvent abuse program.

NEW YORK

Summary

The New York 1977 comprehensive plan was found to be in compliance with LEAA's requirements, however, it was approved with seven special conditions that required the SPA's action. None of these conditions altered or impacted the funding decisions.

The annual action programs were conscientiously developed in accordance with outlined problem analyses, priorities, goals, objectives, and standards set forth as the result of crime analysis approved by the supervisory board.

The SPA did not request, nor did the Regional Office approve, any plan components for multiyear status.

Overview

Prevention. Needs were identified for this area with emphasis placed on juvenile delinquency and community crime prevention. Programs were developed to impact these needs such as juvenile

court intake, improved juvenile probation, and community-based programs.

Enforcement. Programs that will address the needs in this area are crime specific programming, police-community relations, police training, police management and planning, and improvement in police investigation and forensic capabilities.

Adjudication. Needs for the adjudication area include problems and needs of the prosecution and defense. The major funding thrust in this area is specialized units for prosecution and defense (consumer fraud, homicide, and major offense and early case assessment units). Training of court, prosecution, and defense personnel, and citizen participation in the judiciary process, are also being addressed in this area.

Corrections. Needs for the corrections area are being addressed with such programs as expanding alternatives to secure detention, improving adult detention, improving institutional and parole programs and services, and enhancing training and career development opportunities for correctional personnel.

System Support. Needs are identified for the system support area. The major thrusts for this area are information systems and police communication systems.

Juvenile Justice and Delinquency Prevention. Needs for this area are in prevention, treatment, and control. New York is participating in the juvenile justice program and is receiving a formula grant. Appropriate programming was developed to embrace these needs.

Drug Abuse. The need identified for this area is being addressed in one program area: E-1 "Improving Adult Secure Detention." This program offers counseling and other forms of maintenance and/or treatment for drug abusers and alcoholics while in detention.

NORTH CAROLINA

Summary

The 1977 North Carolina comprehensive plan was initially reviewed by LEAA and a determination was made that, due to the numerous deficiencies contained therein, a major plan revision was required prior to plan approval. Upon LEAA review of the revised 1977 plan, single-year approval with special conditions was granted.

LEAA's review of the revised 1977 plan disclosed that, even though the plan for 1977 falls short

of anticipated results, it does in fact meet the minimum requirements outlined in the act. The plan demonstrated a vast amount of available data; however, it was improperly utilized. In short, there appeared to be no systematic approach to the planning effort.

Overview

Prevention. The State is involved in the area of prevention in that it supports crime prevention units which are attached to law enforcement agencies. The projects are designed to increase public awareness of and community involvement in the crime problem. This is accomplished through utilization of the media, public education, and police-conducted security inspections; and it is directed toward the State goals of reducing crime.

Enforcement. The area of enforcement represents the State's largest investment of funds—approximately 51.12 percent. The primary objective, to increase the clearance rate of all reported Part I offenses, is directed through enforcement programs such as specialized investigation, consolidation of enforcement services via contract, patrol, and miniteam policing. These projects, for both metropolitan and nonmetropolitan areas, are directed toward the State goal of increasing efficiency in the area of enforcement.

Adjudication. The State's involvement of the block grant program in the area of courts represents approximately 9 percent of the award. The projects are directed toward the State's goals of increasing system efficiency and improving the professional skills of individuals within the system. This is to be accomplished via projects such as policy issue research, administrative support, personnel standards, and education and training.

Corrections. The area of corrections receives approximately 12 percent of the block award. The projects contained in the plan are designed to increase efficiency in the delivery of services. The programs and projects included in the plan are assistant probation and parole officers, correctional research, and safety equipment.

System Support. The State is committed to the development of a criminal justice information system. This system, will be achieved via programs and projects such as computer-aided dispatch, mobile digital communications, and local and jail records systems. Additionally, the State is heavily involved in the area of police radio communications and the continued implementation of its LEAA approved master plan for the same. These programs

and projects are directly related to the State goal of crime reduction, increased efficiency, and system improvement.

Juvenile Justice and Delinquency Prevention. The State demonstrated a heavy involvement in this area of the 1977 plan and committed in excess of 25 percent of the block program funds in the area of juvenile justice. In this area, the State is committed to programs and projects in prevention, shelter care and nonsecure detention, group homes, and specialized foster care. The programs and projects are directed toward the State goal of crime reduction and increased efficiency and effectiveness in the delivery of services to young adults and youths.

Drug Abuse. During the implementation of the 1977 plan, the State will be involved in a feasibility study of providing comprehensive drug and alcohol services to inmates. Additionally, the State will support a drug abuse information system related to the criminal justice information system. In the area of drug enforcement, the State is heavily involved in the support of drug investigation and undercover operations. Again, the projects are designed to meet the State goal of crime reduction.

NORTH DAKOTA

Summary

The 1977 comprehensive plan from the North Dakota Combined Law Enforcement Council reflected an improved level of planning. The plan contained shortcomings in crime analysis and data gathering, and the planning process was complicated by a large number of continuation grants. The 1977 plan was approved for one year with special conditions. These conditions were satisfied and cleared, based on supplemental information provided by the council.

Overview

Prevention and Enforcement. These two categories were specifically addressed in the 1977 plan. Funds were awarded in several programs covering rural law enforcement, police training, contractual policing, and law enforcement communications. There was also a section on enforcement and prevention for the State's Indian reservations. Crime and delinquency data for the Indian portion of the plan is thoroughly described. The multiyear section, which was fairly comprehensive, integrated the standards and goals into each of the goal areas. Prevention and enforcement could have

been improved, however, through the increased utilization and analysis of data.

Adjudication. The adjudication component of the plan reflects substantial effort to comply with the guidelines and the act. Statistical data and well-developed program narratives are provided along with descriptions of relationships among the various courts, the attorney general's office, State attorneys, and defense attorneys. A general description of the law school's criminal law curriculum and its legal intern program is provided. Activities of the State Bar Association are also covered. Statements of goals, standards, and priorities are provided in the multiyear plan. However, improvement was needed in the correlation between the statistics presented and the needs outlined in the action plan.

Corrections. The SPA was required to provide considerable additional information and data over its original submission to obtain plan approval. After considerable negotiation and receipt of the additional submission, the corrections component of the plan was adjudged acceptable. North Dakota's prison system is poor, due to the number of jail facilities which are in substandard condition. Since 1967, the North Dakota jail inspector has closed more than 158 jails which were found to be unfit for human habitation.

System Support. Descriptions of support systems in the State were presented but did not cover all activities funded by LEAA discretionary and block grants. The plan contained information on the implementation of a statewide uniform crime reporting system and a judicial information system.

North Dakota does not participate in the comprehensive data system program, but has implemented a statewide uniform crime reporting program that will gradually allow the SPA to discontinue other data collection efforts.

Juvenile Justice and Delinquency Prevention. The State of North Dakota does not participate in the Juvenile Justice and Delinquency Act. The State initially participated under the act and accepted its first formula grant allocation. The State also accepted 1977 formula grant funds. However, the SPA subsequently elected not to expend any of the 1977 funds and formally withdrew from participation. LEAA deobligated the funds involved.

Drug Abuse. There is relatively little drug enforcement specialization throughout the State of North Dakota. The few major city police departments and the Bureau of Criminal Investigation have the only drug specialization units. The plan indicated a growing problem in and concern about

statewide drug trafficking and drug abuse. A need was shown for professional training in the drug enforcement field as well as more active communication among agencies.

OHIO

Summary

The 1977 Ohio comprehensive plan can best be described as a marginal document. All of the guideline requirements in M4100.1E were met; however, the range of compliance was anywhere from excellent to poor.

The most notable weaknesses were in the areas of crime and problem analysis. Rationale for this is twofold. In 1977, LEAA placed an additional emphasis on crime and problem analysis, and the Ohio SPA found itself with limited available data and a lack of substantial computer assistance. These problems have since been corrected.

The plan was awarded with numerous special conditions and has single-year approval. All of the special conditions have since been cleared.

Overview

Prevention. The need to enlist citizen efforts in the reduction of crime has been addressed in the 1977 plan. Funds in the amount of \$3,068,108 were set aside for projects under the citizen involvement in crime prevention program. This program was apparently developed without a documented need. Review of the plan indicates that there is no link between crime analysis, resource analysis, and problem analysis.

Enforcement. Ohio has emphasized training of law enforcement personnel, planning and management, science and law enforcement, communications, multijurisdictional enforcement, and crime specific programs in the enforcement component of the 1977 plan. Most of these programs were developed as a result of crime analysis and problem analysis.

Adjudication. Significant funding for local public defender projects, diversion projects, pretrial release projects, court computer technology, career criminal prosecution units, and judicial training has been provided in Ohio's 1977 plan. Support for program areas outside of these priorities is relatively modest.

Corrections. Ohio targeted 1977 corrections funding at the increasing problems of maximum workload and inmate population in institutional

corrections, as well as community-based corrections. Priority areas addressed by the plan include community treatment for adult offenders, institutional treatment for adult offenders, upgrading correctional personnel, offender diagnosis and classification services and corrections planning and management.

System Support. Ohio did not develop a separate systems program in its 1977 plan. Instead, systems funding has been spread among the other functional categories. Priority funding in the system support area includes law enforcement communications, planning and management systems, juvenile information systems, and a system to improve court information handling.

Juvenile Justice and Delinquency Prevention. Recognizing the need for providing improved juvenile services, Ohio is participating in the Juvenile Justice and Delinquency Prevention Act. Priority areas in the juvenile portion of the plan include juvenile delinquency prevention, juvenile diversion, community treatment for delinquent youth, institutional treatment for delinquent youth, juvenile services planning and management, and upgrading juvenile services personnel.

Drug Abuse. When the 1977 plan was developed, the Ohio SPA did not have a drug enforcement specialist on its staff. This is reflected in the plan through the limited information available on drug abuse. The only drug projects mentioned in the plan refer to the establishment of metropolitan enforcement groups.

OKLAHOMA

Summary

The 1977 Oklahoma Crime Commission comprehensive plan complied with Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The major strength of the comprehensive plan was the planning and analysis capability reflected and developed through the comprehensive data systems program. The CDS portion of the plan included collection and analysis of criminal justice agency data, and maintenance of the arrest and identification components of computerized criminal histories and other criminal justice system data required for crime analysis.

The plan contained raw crime data, data summaries and Uniform Crime Reports Parts I and II offense data for Oklahoma City and Tulsa, 11 sub-state planning districts, and the State as a whole.

The 1977 plan contained a general analysis of reported crime for murder, rape, nonresidential burglary, street robbery, aggravated assault, residential burglary, larceny, property crimes, and motor vehicle theft. In addition, drug and alcohol abuse offense data were tabulated and summarized. This general analysis showed burglary, larceny and auto theft to be the most frequent major crimes in Oklahoma.

The plan was approved for a single-year with three special conditions covering minor substantive and procedural deficiencies. The SPA agreed to the conditions and provided necessary supplemental information to clear them.

Overview

This section provides a plan overview of the problems, goals, priorities, and programs and projects for the criminal justice system components.

Prevention. The 1977 Oklahoma comprehensive plan does not directly address prevention. Instead, programs described for other components of the criminal justice system were related to crime prevention. For example, under the police portion of the plan, a program for crime prevention units was developed to advise the public in crime prevention techniques.

Enforcement. The priority in enforcement, as established by the Oklahoma Crime Commission, was training of law enforcement personnel, particularly in regard to the State's low clearance rates for offenses reported. Only about 16 percent of the offenses reported statewide are cleared by arrest. The specified goal was to increase the clearance rate for burglary and larceny by 6 percent over the next three years.

Adjudication. The goal was to increase the statewide conviction rate by 12 percent in three years. The present statewide conviction rate is about 62 percent of cases tried. Programs for the training of personnel and improvement of judicial management were provided to achieve this goal.

Corrections. Oklahoma's major correctional priority was to provide rehabilitative opportunities in the form of work programs, academic education, vocational training, and community contact programs. This would improve the serious problem of a high rate of recidivism. Priority funding in the correctional area was for community treatment programs and projects. Oklahoma's goal was to provide for the successful reentry of offenders into society and the reduction of recidivism.

System Support. Oklahoma's major system support problem was the lack of reporting of com-

prehensive criminal justice data by police, court, corrections, and juvenile delinquency agencies. In addition, planning and analysis was needed in all phases of the criminal justice system. For example, disposition data of those persons arrested as juvenile delinquents is lacking in the State. The priority given by Oklahoma in this area was for the comprehensive data system program and the SPA statistical analysis center which collects and analyzes data, and maintains computerized criminal histories and other information required for crime analysis.

Juvenile Justice and Delinquency Prevention. A majority of the funding of juvenile delinquency programs was in the area of community-based prevention and diversion for status offenders. This funding was intended to reduce the problems with courts regarding the incarceration of status offenders and to provide better community-based prevention services to juveniles and youth. A serious problem also exists in Oklahoma regarding the availability of data on the processing of juveniles in the criminal justice system (i.e., disposition). The first priority in Oklahoma was to provide community-based programs and services for the prevention and treatment of delinquents. These programs have the goal of reducing juvenile involvement in the criminal justice system.

Drug Abuse. The plan has limited data in the area of drug abuse. However, a limited analysis is made of narcotic drug violations in the two largest counties and statewide. One narcotics unit program was funded in 1977 to increase the apprehension rate of drug offenders.

OREGON

Summary

The 1977 Oregon State plan met in all instances at least minimum compliance with the substance and format of the LEAA legislation and guideline requirements. The plan demonstrates a good faith effort to produce a viable planning and implementation document that will upgrade the criminal justice system throughout the State and will work for the goal of crime reduction.

Oregon has made substantial gains toward changing their planning process from a fund allocation process to a cyclical planning process, with the supervisory board meetings keyed to four major decision points in the process. Past efforts have focused on simply allocating funds without identifying areas of greatest need through a logical planning

methodology. This year's plan indicates a substantial commitment toward performing meaningful crime and problem analysis to identify existing system weaknesses and allocating funds on the basis of needs identified through the planning process. The major comprehensive plan elements are all included in this year's plan. The crime and problem analysis, existing resources, goals and objectives, multiyear action program, and annual action program are all improved and display excellent efforts toward comprehensive planning. There are weaknesses in the plan links that will hopefully be overcome in future planning efforts (i.e., some of the plan components do not relate to other components as well as they should).

Overview

Prevention. No significant issues to report.

Enforcement. Much of the police data that has been collected and analyzed does not relate directly to police programs and projects that were selected for funding, which indicates that fund allocations were sometimes based more on unsubstantiated requests than on an analysis of the available data.

Adjudication. The SPA needs to address more resources to the development of a greater public defender capability in general. This is primarily true in the representation of indigent defendants in rural areas. There is also a need to address further resources to the growing number of court administrators. The adjudication area does indicate, however, that at least minimally adequate assistance is being directed toward the prosecution and defense functions as well as the judiciary.

Corrections. No significant issues to report.

System Support. The plan's discussion of information systems was adequate with respect to guideline requirements. However, the plan was vague in terms of the offender-based transaction statistics requirements. A minimum discussion of existing radio and telecommunications systems was noted, although funding in these areas was included in the plan and appeared satisfactory.

Juvenile Justice and Delinquency Prevention. No significant issues to report.

Drug Abuse. No significant issues to report.

PENNSYLVANIA

Summary

The 1977 comprehensive plan represented a

substantial improvement over the 1976 plan and established new priority areas designed to maximize the impact of LEAA dollars. Funding focus and emphasis is shifted to crime specific and away from the "something for everyone" approach deemed to be of low impact.

The new priorities concentrate mainly on the crimes of robbery, burglary, and rape committed by offenders under 25 years of age; deinstitutionalization of status offenders; and separation of adults and juveniles. An increased emphasis on the importance of planning was also established as part of the new priorities.

The plan was completed with major improvements provided in crime and problem analysis and annual action programs, which had been weak areas in the past.

The plan was given single-year approval. Minimal special conditions were required, and met with full compliance from the SPA.

Overview

Prevention. The thrust of the crime prevention effort is to deal with the problems of citizen apathy, and community and domestic crises which often result in crime.

Programs and projects planned for funding include educational programs to inform citizens about the criminal justice system and crime prevention activities, provision of technical and financial assistance to enable community organizations to actively participate with criminal justice agencies in crime prevention efforts; and efforts to involve citizens in local planning and decisionmaking efforts in crime prevention.

Enforcement. The thrust of police programs is to improve target crime clearance rates and reduce the fragmentation of police services through organizational consolidation where possible, and through the consolidation of support services.

Adjudication. The thrust of programs in this area aims at reducing continuances of proceedings, scheduling of lead time, improving case screening and case scheduling, and increasing prosecution and defense capabilities.

Corrections. The thrust of correctional programs is to train personnel and establish community-based centers, institutional diagnostic and treatment programs, and specialized probation services.

System Support. Major efforts in this area include the establishment of State technical assistance capabilities in all aspects of the criminal justice

system, improvement of planning and evaluation capabilities of operating agencies, and development of information systems.

Juvenile Justice and Delinquency Prevention. In the juvenile delinquency prevention area, programs to deal with the educational and employment needs of high risk youth were planned, as well as the provision of social services. Examples include a youth advocate program, outreach services, and residential care and counseling.

Other juvenile problem areas planned for funding include a program to divert minor offenders from the courts, establishment of diagnostic and screening capabilities, alternative programs for status offenders, and improved probation and institutional programs.

Drug Abuse. There is no clearly defined separate drug abuse program in the plan. Funding of correctional institution and probation drug treatment projects were planned however.

The State has a distinct agency, the Governor's Council on Drug and Alcohol Abuse, responsible for planning and coordinating drug and alcohol abuse programs.

PUERTO RICO

Summary

The objectives of the Puerto Rico 1977 comprehensive plan are to improve the existing personnel of the criminal justice system, prevent and reduce crime by focusing on potential violations and promoting public awareness and cooperation, improve detection and apprehension capabilities, improve the quality of justice and efficiency in dispensing it, reduce the incidence of recidivism and drug addiction, enhance public relations, reduce the incidence of juvenile delinquency, and provide rehabilitation for delinquent youths. There is a very close harmony between the plan's objectives and those outlined in both the Crime Control Act and Juvenile Justice Delinquency Prevention Act, and in LEAA guidelines.

The 1977 comprehensive plan was approved for single year status with nine special conditions, all of which have been properly retired.

Overview

Prevention. Additional statistical information would give a clearer description of the Island's problems. Crime prevention goals are set in order of

priority. Programs and projects are mostly continuations of previous years. Emphasis is on prevention of juvenile drug abuse, public education, and street lighting.

Enforcement. Problems in enforcement are identified and priorities established in the areas of criminalistics, crime analysis, police training, and police planning.

Adjudication. Goals and programs were established in court planning, special prosecutor investigation, and legal assistance to indigents.

Corrections. The goals and priorities established give strength to the plan. The programs and projects flow naturally from the crime and problem analysis. Much emphasis is given to priorities and projects in vocational training and employment services to inmates, services to addicts, classification, improved correctional management, community-based facilities, probation, and parole.

System Support. Data collection and crime analysis capabilities have been substantially improved from previous years. The goals and priorities are realistic, and the programs and projects are third-year continuation fundings for a needed and progressive support system program. Emphasis is on training and information systems.

Juvenile Justice and Delinquency Prevention. Problems were identified and high priorities given to juvenile justice programs in all of the above categories.

Drug Abuse. Problems were not as completely described as was desired. More information was needed with regard to evaluation and technical assistance. Goals and priorities should have been comprehensive. The limited programs and projects were determined to be effective as far as they extended.

RHODE ISLAND

The Rhode Island plan, as submitted, was not structured so that all the parts effectively combined into a total, integrated whole, as required by 601(m) of the act. It has been acknowledged to be a minimum compliance document and offers no new or stimulating programs or approaches to the needs of the criminal justice system.

Because of deficiencies in specific areas of the plan, as well as its lack of internal unity and cohesiveness, award was made only for Part C and Part E funds, based on a single-year approval of the plan.

Attached to the award were 10 special conditions which required SPA action. Those special conditions which required action prior to funding have been complied with. There are four special conditions which remain active and which either restrain funding of certain projects (assumption of cost issues) or which require certain actions by the grantee or subgrantee if certain types of projects are to receive funding (obtaining communications frequency support, obtaining proper local waivers, Part E monitoring).

The approval of the comprehensive plan did not include an award for juvenile justice funds because Rhode Island, at the time the plan was submitted, was undecided whether it would participate in the program. Subsequently, the State decided to participate and made a submission in calendar 1977.

As noted above, the Rhode Island plan met only minimum requirements for approval. It should be viewed as a starting point for negotiation and consensus building aimed at improving the planning process in Rhode Island, and as an instrument through which a relatively new SPA leadership can gain experience and expertise in statewide criminal justice planning.

SOUTH CAROLINA

Summary

The 1977 South Carolina comprehensive plan presented a marked improvement over prior years' submissions. The South Carolina Office of Criminal Justice Programs established and utilized a sound, rational planning process for allocating funds throughout the State. The 1977 comprehensive plan clearly identifies the State's problems and priorities. In addition, a strategy for resolving those problems is demonstrated through its annual action programs. Although the plan was improved, it contains two major weaknesses: it did not contain enough crime data to do a complete crime analysis for the State; and it did not contain enough system performance data to do problem analysis for the State.

The SPA has demonstrated its willingness to improve these deficiencies by supporting a statewide uniform crime reporting system, as well as providing technical assistance to the local units of government on improving their own record keeping system.

Overview

The following sections provide a brief overview

of the State's response to its crime problems.

Prevention. The 1977 comprehensive plan contains four programs to improve prevention activities within South Carolina. The State's major emphasis is directed at the family. One program was to concentrate on improving family relationships within the home and the community. Two other programs were to educate the public on crime and how the community can work together to prevent crime. In addition, a program was planned that would support research on mental illness among criminals.

Enforcement. The State allocated \$2,084,174 of its block funds to enforcement. One area of special interest is the law enforcement diversionary project, which trains law enforcement officers to divert offenders into programs rather than jail. The major emphasis in enforcement deals with specialized units. Programs have been developed to provide local law enforcement agencies with personnel, equipment, and training to establish these units.

Adjudication. The State has allocated \$607,631 of its block funds to improve the court system. Major emphasis has been placed on increasing prosecutor manpower, case screening for prosecution, and providing additional resources to address case backlog.

Corrections. The State has allocated \$573,386 of its block funds to improve the correctional system within the State. Emphasis has been placed on community-based programs, one of which is to provide three regions with a facility for diverting 2,481 inmates from the State penitentiary. Also included are a work-release program affecting 600 inmates, and training programs for correctional personnel relative to the provision of drug and alcohol treatment services to inmates.

System Support. South Carolina supports system development by providing funds and technical assistance to the criminal justice information system within the State. The State is in the process of implementing its master plan.

Juvenile Justice and Delinquency Prevention. The State has allocated \$1,713,809 of its block funds to improve the juvenile justice system. Emphasis has been placed on community-based programs and the separation of juvenile and adult offenders. Group home and diversion programs have been developed to address this priority.

Drug Abuse. The State allocated few funds in this area. The 1977 comprehensive plan did not indicate that this was a problem area in South Carolina.

SOUTH DAKOTA

Summary

The 1977 comprehensive plan submitted to LEAA by the South Dakota Division of Law Enforcement Assistance represented one of the best planning efforts completed by that staff. The plan indicated the SPA's ability to analyze and organize data, notwithstanding the plan's primary weakness of "dated" data (mostly 1974) or missing data. In the future, the SPA will obtain data information from the statistical analysis center at the University of South Dakota for closing the existing data gaps in the plan. The Part E special requirements section was prepared well and rates among the best of those from the Rocky Mountain area.

In previous plans, this State placed heavy emphasis on equipment and construction funding. The 1977 plan, however, allocated only about 10 percent of its funds for these two areas, which was a considerable change in direction for the SPA toward programmatic funding.

The 1977 plan was approved with special conditions which have been satisfied. Single-year approval was given for the submission.

Overview

Prevention and Enforcement. The 1977 plan contains only limited dollars for prevention and enforcement programs, with the exception of a local peace officer training program. In prior years, funds were available for a statewide crime prevention program but no eligible agencies applied for the funds. Therefore, the program was dropped. Although arrest and criminal history data were difficult to obtain, the effectiveness of system components cannot be determined without it. This section met minimum guideline requirements.

Adjudication. One of the primary goals of the adjudication portion of the plan is "to aid in the effective implementation of one unified court system." However, the annual action program contained little in support of this goal. More indepth study is needed to analyze the need for a statewide system of prosecutors. No judicial training funds were provided.

One program which will benefit the court and the judges is the Pennington County Public Safety Facility, because it will result in the construction of a new courtroom with space for the State attorney's office. The SPA has allocated funds to improve prosecution.

Corrections. The SPA committed 30 percent of its Part C funds to correctional programs. The corrections section of the 1977 plan shows excellent integration and relationship with the prior section on resources and capabilities of the system. Overall, the 1977 plan submission was a vast improvement over prior submissions. All of the action programs addressed problems and needs which were identified in the problem analysis section and are directed at achieving the goals, objectives, and priorities established in the planning process. Improvement was needed regarding recidivism data for the Division of Correctional Services and multiyear forecasts which lacked specificity and quantification.

System Support. During 1975, the SPA staff and regional planners gathered system performance data from State and local criminal justice agencies. The plan contained an acceptable analysis of the needs for data and for statistical systems development for planning and management purposes.

Juvenile Justice and Delinquency Prevention. The SPA did not develop an adequate strategy, procedure, or timetable for separation and deinstitutionalization of status offenders. There was also the problem of the SPA failing to collect data on the number of status offenders detained in correctional institutions in the State. Efforts are underway to resolve the deficiencies found in the juvenile justice section.

Drug Abuse. The SPA developed an excellent cooperative arrangement with the single State agency for drug and alcohol abuse. The SPA also funded a drug counselor at the penitentiary and has provided funding in prior years for community alcohol treatment and referral centers.

TENNESSEE

Summary

The 1977 comprehensive plan for the improvement of law enforcement in the State of Tennessee was initially reviewed by LEAA and a determination made that, due to the numerous deficiencies contained therein, a major plan revision was required prior to plan approval. Upon LEAA review of the revised 1977 plan, single-year approval with special conditions was granted.

As a result of the LEAA review of the revised plan, it was determined that evidence existed that little systematic analysis had been done of criminal

justice needs and problems in the State of Tennessee. It appeared that there had been little analytical planning, and the programs were not truly innovative (there appeared to be an orientation toward the purchase of equipment and the hiring of personnel). In short, the 1977 revised plan contained little evidence that the desired effect of an analytical planning process had been institutionalized within Tennessee's criminal justice planning efforts. Even though the document falls short of a perfect product, it does reflect a determined effort on the part of the State to improve the quality of law enforcement and criminal justice throughout Tennessee. This is demonstrated more clearly in the following section.

Overview

Prevention. The comprehensive plan indicates that there exists an environment conducive to the mutual misperception of the relationships between criminal justice personnel and the citizenry they serve in Tennessee. Although not heavily involved in this area, the State attempts to strengthen the relationship between police agencies and the community while geared toward the goals of improved police-community crime prevention and the establishment of a joint police-community crime prevention program in each police agency.

Enforcement. The State demonstrated a heavy involvement in this area of the 1977 plan and committed in excess of 36 percent of the block program funds to the area of enforcement. This involvement included such areas as law enforcement communication systems, contracting and consolidating law enforcement services, improvement of investigative techniques, organized crime control, and law enforcement training. Great strides have been made in the State in the area of communications and training. These programs are geared primarily toward the objective of enabling the metropolitan and non-metropolitan jurisdictions to increase the clearance rate of reported Part I offenses.

Adjudication. It was determined by LEAA that the State provided an adequate share of the Part C funds to the area of courts. That represented approximately 10 percent to the judiciary, 6 percent to prosecution, and 2 percent to indigent defense. This included, for example, support for a district attorneys' general conference at the State level, training for judicial employees, a planning unit within the supreme court, and administrative support throughout the State's court system. These efforts were geared primarily toward obtaining significant reduction of delays in criminal proceedings, to

assure the quality of services, and to improve the overall court administration.

Corrections. The area of corrections (adult and juvenile) received the second largest commitment of funds in the plan—approximately 26 percent. The programs and projects funded ranged from regional corrections centers to an executive conference for corrections. Provided also were diagnostic services and specialized medical services for inmates. These projects were directed at changing the public attitude toward State correctional services, providing better services to the inmates, reduction in prison overcrowding, and system improvement.

System Support. The 1977 plan is designed to follow the statewide comprehensive plan for communications which is approximately 50 percent completed. The objective of this program is to insure that all law enforcement agencies in Tennessee have adequate full-time radio communications capabilities. The statewide criminal justice information system has not enjoyed a great deal of success, and major problems are currently being corrected with anticipated success.

Juvenile Justice and Delinquency Prevention. The State's juvenile justice programs are basically progressive community-based programs that will improve both the system and services to youth. These programs entail a statewide juvenile justice conference dealing with systemwide problems, residential treatment for status offenders, day care and alternative learning situations, diagnostic services, and community resource development. The primary objective of this program is to decrease the institutionalization rate of status offenders and to improve the system.

Drug Abuse. Although moderately involved, the State does support programs and projects dealing with drug abuse. For the most part, this involves enforcement and pretrial diversion projects. The enforcement projects involve the task force style effort in jurisdictions with major problems. The pretrial projects involve treatment and therapy to adult and juvenile offenders in an effort to reduce the rearrest rate in the State.

TEXAS

Summary

The 1977 Texas comprehensive plan was the first in which the State gave full recognition to the necessity for crime analysis as the basis for a plan.

The crime analysis component was much improved over prior efforts. However, the major weakness of the plan related to the continuity or correlation between the crime analysis and the multiyear component.

The plan was approved for a single year with special conditions. One of the special conditions required the submission of a technical assistance plan which the SPA satisfactorily submitted. Another special condition put the State on notice that it might be required to increase its Part C level to juvenile justice. This increase, however, was not required as the overall agency level was attained on a nationwide basis.

A Part E condition required the SPA to receive applicant documentation on their compliance with drug and alcohol abuse identification and treatment Part E program requirements.

Overview

Funds awarded for the 1977 comprehensive plan were \$17,529,000 Part C and \$2,062,000 Part E. Provided below is an overview of the plan's major functional areas, problems, goals, priorities, programs, and projects.

Prevention. Prevention priorities were the development of strategies to address the lack of a linkage between law enforcement and the public, and the lack of public awareness of available means of self-protection. Approximately \$700,000 was provided for the support of a statewide rape prevention information program, local rape crisis centers, and regional and local crime prevention and community relations units.

Enforcement. Reduction of Part I crimes was the State's priority in the enforcement area. Problems identified for which programs were developed were the need for training and education, the consolidation and coordination of law enforcement services, the need for special police units and programs, the need for adapting technological advances, and the improvement of law enforcement communication. Of the \$5,406,000 allocated to enforcement, approximately \$2.6 million was for special police units and programs, and \$1.8 million for police training and education.

Adjudication. One of the goals was to assist in the disposition of criminal cases with greater efficiency and speed. In the defense area, the plan provided for training seminars for attorneys who accept indigent appointments, and also for criminal law clinic programs in seven law schools to attract students to criminal defense careers. For prosecution,

the plan provided for investigators and screening personnel for prosecutors offices, and special crime units to investigate organized and white-collar crime, and consumer fraud. Training for new county, district, and juvenile judges was provided, as well as for experienced trial judges and justices of the peace. The plan also provided support for court administrators and computer services. Prosecution received \$3,388,000 of the \$5,871,000 allocated to adjudication.

Corrections. In its corrections component, the plan addresses the State's efforts to attain various national and State correctional standards in personnel training, education, and development of community-based correctional services. It also provided for local and State facilities and for various rehabilitation and probation programs. Some \$2,789,000 of Part C and \$2,062,000 of Part E funds were allocated to corrections. State correctional programs received the largest allocation.

System Support. The plan provided programs totaling \$900,000 for the improvement of the availability and accuracy of information about crime, offenders, events, and agency operations through use of automated and semiautomated techniques. These programs were related to various national and State systems standards.

Juvenile Justice and Delinquency Prevention. Texas has followed the State's major plan for youth resource development, and national standards and goals in the development of their juvenile programs. The plan's programs relate to delinquency and treatment, juvenile diversion, and deinstitutionalization of status offenders. Delinquency and treatment programs received the largest portion of the \$2,136,000 allocation to juvenile justice and delinquency prevention. The SPA received \$2,635,000 of juvenile justice funds which was all directed to deinstitutionalization of status offenders.

Drug Abuse. Funding allocated for drug abuse programs has risen from \$224,000 in 1975 to \$649,000 in 1977. Some \$200,000 was allocated to the Texas Department of Corrections for a chemical abuser program. The plan provides also for continued funding of five drug treatment programs and for expansion of a pilot court supervised residential alcohol treatment center developed in 1976.

TRUST TERRITORY OF THE PACIFIC ISLANDS

The Trust Territory of the Pacific Islands had no 1977 submission for crime control funds.

However, a submission for juvenile justice and delinquency prevention was reviewed and approved for funding under the Juvenile Justice and Delinquency Prevention Act.

UTAH

Summary

Utah's 1977 plan was basically in compliance as submitted, and was approved for one year. Submission of a technical assistance plan and some additional information on adjudication programs were special conditions which were subsequently satisfied and cleared. Adjudication programs received 20 percent of the Part C funds (courts 10 percent, prosecution 6 percent, and defense 4 percent); the juvenile area was extensive with approximately a 31 percent allocation of Part C funds (20 percent in correctional programs and 11 percent in other); and police services accounted for 23 percent of the funds. Corrections had its major emphasis on juveniles.

Overview

Goals and priority programs are detailed under the following functional areas.

Prevention. Prevention of crime was included under other program areas. However, the basic goals were identified as follows: to increase crime reporting, community participation by volunteers in police social services and the system's capability to prevent crime; reduce crime vulnerable situations and improve commercial security; involve all police agencies in property identification programs; and to involve the insurance industry in crime prevention.

Enforcement. The Utah Council on Criminal Justice adopted the reduction of burglary and robbery as their crime planning objective. Thirty-seven police agencies were programmed to receive assistance. Types of activity to be funded included police-citizen relations, dispatch and communications services, control in the rise of crimes of burglary that are narcotics related, police specialization, and inter-jurisdictional cooperation.

Adjudication. Problems were identified as high caseloads, low judges' salaries, the need for training court support personnel, court planning capabilities, high turnover of prosecutors, the need for training of and communication with police, and inadequate staffing and training of public defense. Programs were included for victim-witness assist-

ance, case preparation, library facilities, scheduling, caseload reductions, recordkeeping, and legal representation for juveniles.

Corrections. The plan included programs for adult institutions, juvenile diversion, and community-based programs for adult and juvenile offenders. Objectives to be addressed included reduction in probation officer caseloads, jail rehabilitation, increasing quantity and quality of community-based diversion programs, and the expansion of women's correctional programs.

System Support. The plan provided for job-related training and the development of information systems for criminal justice agencies; and for timely and accurate information on crimes, offenders, victims and case processing. The development of Utah's criminal justice information system is based on operational data needs for planning and management purposes.

Juvenile Justice and Delinquency Prevention. The plan provided a major emphasis on development of youth specialists in police departments and a decrease in status referrals to courts. A study of the juvenile crime problem in Utah in 1972 revealed that 29 percent of the major crimes were committed by juveniles. Coordination with other agencies in highly relevant programs was extensively detailed.

Drug Abuse. This area is not separated in the Utah plan. However, the primary emphasis, beyond the enforcement effort directed to burglary and the drug offender, was in a TASC (treatment alternatives to street crime) project in Salt Lake County and services to chronic inebriates in Salt Lake County to relieve the court caseload.

VERMONT

Summary

The Vermont plan as originally submitted on October 1, 1976, was unacceptable.

The situation was discussed with the SPA in order to find an avenue which would allow LEAA to give the SPA every consideration and assistance in updating the plan to an acceptable level. This was done so as not to penalize the Vermont criminal justice communities for failings of the SPA. In order not to receive a disapproval within the 90-day time frame of the review period, the SPA asked for and received a waiver of the 90-day period. Negotiations continued until February 10, 1977, when the Regional Office entered into the final round of

negotiations which resulted in a partial approval and a partial disapproval of the plan on February 28, 1977.

The partial approval was for a one-year period. The award had attached to it three special conditions requiring SPA response. Upon the satisfactory response to the special conditions, which has been done, the partial disapproval was removed and the total submission was considered approved for one year.

Overview

Prevention. The major city in the State, Burlington, operates a crime prevention unit that will provide assistance to area law enforcement agencies, communities, and community action groups. Attempts at a statewide crime prevention effort have not been successful to date.

Enforcement. The Chiefs of Police Association has created a technical assistance capability that provides administrative, managerial, and systems guidance to the municipal and county law enforcement agencies. The State is in the final stages of implementing a statewide communication system which will link the State's law enforcement and criminal justice agencies. Political opposition has blocked attempts to create an organized crime enforcement and prosecution unit in the office of the attorney general.

Adjudication. Efforts in this area are centered on training court prosecution and defense personnel, providing planning capabilities, and providing legal support personnel to the courts. There is also an effort to reorganize the court system which is facing considerable resistance in the State.

Corrections. The State has an integrated community-based correctional system that provides institutional and noninstitutional services to all adult and juvenile offenders. The corrections department, in conjunction with the Department of Social and Rehabilitation Services, is attempting to provide a system of community-based detention and structured facilities that keep the children in family and community settings.

System Support. The Criminal Justice Training Council has been expanding its capabilities and is actively supporting a training program that is based on actual performance standards. The State has invested considerable funds to increase and expand the planning capacity of the criminal justice system. Little actual emphasis has been placed on evaluation of programs and projects to test their impact on value.

Juvenile Justice and Delinquency Prevention. Vermont is a participating State. The formula funds go to youth service bureaus and to SPA administration of the juvenile justice program.

Drug Abuse. In order to comply with the Part E requirement, the Department of Correction utilizes funds to support the drug and alcohol treatment needs of their clients and referrals. An attempt at creating a statewide multijurisdictional enforcement and prosecution unit failed.

VIRGINIA

Summary

The Virginia 1977 comprehensive plan submitted September 17, 1976 was very weak and non-compliant in many parts. However, after negotiations between LEAA and the SPA certain deficiencies were corrected and improvements were made. The multiyear budget and financial plan was very well-done. Programmatically, the plan reflected a determined effort to improve the quality of law enforcement and criminal justice throughout the State and was likely to contribute effectively to an improvement of law enforcement and criminal justice in the State.

The 1977 plan was approved for single-year status with five special conditions. The SPA has been responsive to the conditions.

Overview

Prevention. Needs were identified in the area of prevention, primarily of juvenile delinquency. It was given the second highest State priority, and programs were developed for juvenile court intake services and community-based programs for youth.

Enforcement. Needs were identified in the area of enforcement, which was given the highest priority. Goals and programs related to forensic science laboratories, organizations, police communications equipment, police-community relations, and investigation and detection programs were established.

Adjudication. Problems were highlighted in courts, prosecution, and defense. Although not a high priority, the State established extensive programs for prosecution and courts research information services and training. Some funds were allotted to defense services. There are some general program categories for personnel, facilities, and equipment.

Corrections. Problems were described relating

to a large range of corrections needs inside institutions and out. There are many programs established to deal with them, including educational and vocational training in institutions, adult probation services, medical care programs in community correctional centers, work-release, diversion, classification, treatment programs, etc.

System Support. Needs were described relating to training throughout the criminal justice system. The State decided to give this need its highest priority. Goals and programs were developed to provide training to law enforcement and correctional personnel, and management and planning training. Research and evaluation programs were also established. Programs aimed at developing information systems, local coordination councils, and statewide public education were established.

Juvenile Justice and Delinquency Prevention. Virginia is a participating State. Needs across the board were identified and programs dealing with prevention, treatment, and control were developed.

Drug Abuse. The State established needs, responding priorities, and programs for drug and alcohol abuse. Programs include metropolitan drug enforcement programs, community-based drug and alcohol abuse programs, programs in State institutions, and special research efforts.

VIRGIN ISLANDS

Summary

The Virgin Islands 1977 comprehensive plan was an overall improvement from its previous plans in all areas. With limited resources and numerous constraints, the Virgin Islands submitted a complete document. It attempted to establish priority goals and standards for the criminal justice system by working in each component of the system.

The 1977 plan was approved for single-year status with several special conditions. Some of these conditions are still pending final resolution.

Overview

Prevention. Problems are not clearly defined. Two projects were designed in this area to offer basic techniques to correctional staff and to counsel inmates preparing to reenter the community.

Enforcement. The need for basic enforcement techniques has been ongoing in the Virgin Islands. Goals are aimed at improving basic needs of first and second line supervisors, and this area has been given a high priority in the plan. The program aims

to improve the system with a research manpower development project.

Adjudication. The problems indicated showed a need of some very basic improvements. The SPA aimed at diverting selected arrested but not yet adjudicated persons on a voluntary basis for special rehabilitation.

Corrections. The only corrections programs have been considered under prevention, above.

System Support. Due to the various islands that compose the Virgin Islands, an information system has been needed and has been identified as the fourth priority for the police. A project was funded to address this need by implementing a data processing system for storing and collecting crime data.

A police legal unit has received continuation funding to assist the police in preparing cases for court appearances.

Juvenile Justice and Delinquency Prevention. Juveniles account for an estimated 40 percent of Part I crimes and a considerably higher proportion of Part II crimes and misdemeanors. The Virgin Islands government proposed to review all referrals of juveniles from the police department, courts, schools, etc. to determine case disposition. The purpose was to reduce recidivism rates among youths.

A juvenile intake and probation unit was established. In another project, the Juvenile Justice Authority, implements a comprehensive, centralized juvenile justice system to replace the older, fragmented system.

Drug Abuse. This area was not addressed in the 1977 plan.

WASHINGTON

Summary

The 1977 Washington State comprehensive plan met with in all instances at least minimum compliance with the substance and format of the LEAA legislative and guideline requirements. The plan demonstrates a good faith effort toward producing a viable planning and implementation document that will upgrade the criminal justice system throughout the State and work for the goal of crime reduction.

The plan provides a good description of existing resources, crime and problem analysis, annual action plan, and programs. Some weaknesses were noted in the multiyear action plan and the goals and objectives. The weakness in the multiyear action plan stems primarily from the lack of a logical flow

from the crime and problem analysis and existing system descriptions into these sections. Distinct linkages should exist between all of the plan sections. Additionally, there are no statements of long or short range purposes for the plan as a whole, and no reference to anticipated results over two years beyond the current action year.

Overview

Prevention. After several years early in the LEAA program of major hardware and communications equipment purchases, the Washington SPA has for the past several years been devoting more and more of its resources to programming. Much of this effort has been devoted to prevention efforts. The 1977 plan showed the largest funding category to be prevention projects. These projects were not only operated as elements of police operations, but also involved prosecutorial and correctional agencies, as well as a variety of community organizations. Washington has indicated a continuing commitment to funding in the prevention area.

Enforcement. Some of the problem statements provided in the 1977 plan suffered from the weaknesses mentioned above, i.e., weak flow between plan components. Specifically, some of the problem statements apparently were developed apart from the crime and problem analysis. The basis of the problem statements at times was not consistent with the crime data and analysis presented in the plan.

Adjudication. The courts section of the 1977 plan indicates that adequate funding is going into the adjudication area. This funding holds true for public defenders and prosecutors as well as for courts. Although the funding appears adequate, only a minimum amount of funding appears to be going into such areas as addressing court delay and eliminating criminal case backlog. Hopefully, future efforts will focus additional resources into these areas.

Corrections. No significant issues to report.

System Support. No significant issues to report.

Juvenile Justice. The plan indicated several weaknesses in terms of the juvenile justice component. Specifically, there is no description of how funds are distributed equitably, and it does not provide a complete plan for how the State will meet the deinstitutionalization requirement for status offenders. However, it should be noted that recent State legislation will prohibit institutionalization of status offenders, and this area should not cause a problem

in terms of their juvenile justice plan.

Drug Abuse. No significant issues to report.

WEST VIRGINIA

Summary

This plan was given single-year approval with only two special conditions which were responded to by the SPA.

The submitted plan was complete and met guideline requirements. It provided an improved problem analysis component identifying approximately 100 major divergent problems. The problem analysis represents the results of crime analysis, statistical information workload levels, and direct interviews with officials.

Overview

Prevention. The thrust of programs in this area is to help organize the community by developing projects to reduce crime. It was anticipated that two auto theft prevention projects would be established in areas having the highest motor vehicle crime rates.

Enforcement. Efforts in this area include provision of communications, protective, and investigative equipment such as data terminals in county sheriffs' departments and municipal police departments; voice communications equipment; vehicle protective shields and fingerprint, photographic, and drug identification kits.

A police patrol operation program is aimed at improving clearance rates and reducing crime in high crime areas through the continuation of five crime prevention patrol and technical units and one intelligence gathering unit.

Adjudication. Judicial improvement activities include such projects as a research and planning unit in the administrative office of the supreme court of appeals, public education regarding the adjudication system and the employment of administrative assistants or law clerks. Implementation of PROMIS in designated counties and the establishment of victim-witness assistance projects are planned.

Corrections. Efforts in this area include provision of counseling, education, and support staff in institutions; continuation of three community-based work-release centers; establishment of pretrial and postsentencing programs in county jails; and the improvement of the physical facilities in county jails.

System Support. Efforts in this area include funding of three to five research and/or evaluation

efforts which will enhance the SPA's planning capability and the establishment of comprehensive data systems in State agencies.

Juvenile Justice and Delinquency Prevention. One juvenile detention center operated by the State Welfare Department will be continued and approximately 40 field social work positions continued in order to increase availability of court diagnostic services, increase probation supervision services, provide direct service on a voluntary basis, and provide aftercare services.

Drug Abuse. The only drug-related project identified in the plan is the continuation of a Criminal Investigation and Dangerous Drugs Unit in the Department of Public Safety. This unit initiates investigations involving violations of narcotic and dangerous drug laws, and provides assistance to police and prosecutors at the local level.

WISCONSIN

Summary

Wisconsin's 1977 comprehensive plan is definitely an improvement over plans submitted in prior years. Specific areas showing the most improvement include crime analysis, emphasis on high crime areas, compliance with the juvenile justice special requirements of the Crime Control Act, manpower development, and information systems and communications systems. The plan was awarded single-year approval by LEAA with the attachment of several special conditions. All of the special conditions have since been cleared.

Overview

Prevention. Wisconsin's prevention program is directed toward the goal of providing adequate education, recreation, employment, health and social services, and alternatives to meet the needs of the juvenile population while insuring the involvement of youth in those decisions which affect their lives. The problem analysis reflected a major concern with roles played by juveniles and the system within the process of juvenile justice.

Enforcement. Enforcement programs in Wisconsin's 1977 comprehensive plan include community services; juvenile law enforcement services; management and policy studies and development management information systems; criminalistics; specialized training; and control of public corruption. All of the programs were developed through

crime analysis, resource analysis, and a limited amount of problem analysis.

Adjudication. Priority funding in the adjudication section has been given to the courts component. Prosecution and defense are the next priorities with balanced funding. Pretrial services received the lowest priority with the least funding. Programs within the adjudication section include judicial administration and support, judicial education, prosecutorial administration and support, prosecutorial education, defense services, defense education, legal internships, pretrial diversion, and juvenile court services.

Corrections. The major thrust of the State corrections program is toward a reduction of prison populations. The Wisconsin correctional system is suffering under the same population pressure that is apparent nationally. Major program thrusts include reintegration of the offender, alternatives to incarceration, community and support services to local jails, State correctional programs for adults, standards and goals development, detention services and alternatives, dispositional alternatives, and statewide juvenile resources.

System Support. The plan does not contain an overall strategy and plan for development of a criminal justice information system and radio and telecommunications systems. Programs included in the plan are equipment and technology, management and information systems, management policy studies, and judicial administration and support services.

Juvenile Justice and Delinquency Prevention. The juvenile programs in Wisconsin's 1977 comprehensive plan represent a comprehensive approach for improving the juvenile justice system. The programs are supported by an excellent set of juvenile justice standards and goals. Action programs in the plan include prevention, community resources, juvenile law enforcement services, detention services and alternatives, dispositional alternatives, youth service bureaus, juvenile court services, and statewide juvenile services.

Drug Abuse. The drug programs in Wisconsin's 1977 comprehensive plan appear to reflect Wisconsin's philosophy of developing strong ties between institutions and the community. The plan has identified a broad range of drug abuse services which include comprehensive educational treatment programs for problem drinkers, group treatment for La Crosse county jail residents, drug abuse prevention in the community, and alternatives to arrest and incarceration.

WYOMING

Summary

At the time of 1977 plan development and submission, the Wyoming Governor's Planning Committee on Criminal Administration had a serious personnel turnover. This included (but was not limited to) the resignation of the SPA administrator after gubernatorial change and delays in appointing his successor, and reappointments to State and local supervisory boards. This contributed to some gaps in problem analysis, and a tendency toward more general problem statements. As a result, two special conditions were imposed requiring regional planners to submit inputs for crime analysis and problem analysis, and requiring procedures for assuring that supervisory board decisionmaking was based on problem analysis, monitoring, evaluation, and auditing. The special conditions were satisfied as a result of additional data from the SPA. The plan was approved for one year.

Overview

The problems, goals, priorities, and programs of the plan are described under separate headings below.

Prevention. The goal was to achieve specific crime reductions and reduce delinquency. The program objectives were to combine law enforcement task force efforts with education and community involvement to produce maximum target impact, improve methods of processing alcoholic offenders to reduce offenders, and encourage innovative school retention programs.

Programs were included for juvenile diversion, community-based treatment, alcoholic rehabilitation, crime prevention, and an educational program for the training of teachers and distribution of course materials in one-third of the State's schools.

Enforcement. This was not treated as a specific and separate category, but was based on

goals of assistance to areas with energy resources (coal) to be developed and with significant increases in population and crime, facilities consolidation, and improvements in communications, record keeping and training.

Adjudication. An excellent problem analysis of defense services was shown with programs for defense services, court administration, prosecutor training, and court equipment and facilities. Goals were to increase the competency of defense counsels and prosecutors, to strengthen the office of county and prosecuting attorneys, to strengthen statewide control services to prosecutors, and to provide support for and seek legislation on judicial training.

Corrections. The basic goals were to develop nonmaximum security alternatives and to implement standards for local jails and detention facilities. Programs funded were basically in training and corrections equipment and facilities. Wyoming's corrections emphasis was on juvenile programs.

System Support. Goals and objectives were in communications, record keeping, minimizing duplication of equipment and facilities, and development of a comprehensive statewide information system. Funds were programmed for combined criminal justice system facilities, systems manpower, and communications and record keeping.

Juvenile Justice and Delinquency Prevention. Programs included efforts for diversion, community-based treatment, a juvenile justice corrections institute (to emphasize planning and management of juvenile services), and remodeling of juvenile corrections facilities. The stated goals were to develop appropriate local juvenile care procedures, facilities, and programs for delinquents and children in need of supervision, and to encourage local government to provide adequate juvenile facilities.

Drug Abuse. Objectives were to encourage the development of local facilities for the treatment of alcohol and drug abuse and to support legislation to provide State funding for local treatment centers.

CONTINUED

1 OF 3

Section 519(1)(A)

Section 519(1)(A) of the Crime Control Act of 1976 requires LEAA to include in its annual report, "The amount expended for each of the components of the criminal justice system."

The Administration's report of State expenditures in 1977 includes expenditures of funds from three prior fiscal years.

This longer term view more accurately describes the flow of "no-year" funds awarded by State Planning Agencies. Expenditures in 1977 exceed by \$200 million the allocations for 1977 for the following reasons:

- Block grant money is distributed by LEAA to States; States have up to three years to obligate and expend these funds; the three-year period may be extended by LEAA.
- All State Planning Agencies depend on their State legislatures for appropriations necessary to "match" LEAA funds. Legislatures' sessions—and, in many instances, States' fiscal years—do not fit optimally with congressional and Agency program and budget cycles. Some delays are consequences of these differences. Consequently, most States must wait several months into any given fiscal year before obligating LEAA funds.
- State supervisory boards review and approve each grant awarded by State Planning Agencies. Most boards meet quarterly; deliberations on grant applications occasion further delays in expending current year funds.

It should be noted that delays in expending current year money do not hinder State Planning Agency activity.

The following chart displays the amounts expended by the States in 1977 for each component of the criminal justice system (prevention, enforcement, adjudication, corrections, and system support). These are LEAA defined components that were selected because of their compatibility with LEAA's budget and management information system categories. This consolidation covers, for each reporting State and territory, 1977 allocations, and 1977 and prior years' obligations and expenditures. Fifty-five States and territories¹ were requested to report expenditures and fund flow data.

"Expenditures" is defined as funds expended during fiscal year 1977 (October 1, 1976 through September 30, 1977) regardless of the fiscal year (1977, 1976, 1975, or earlier) of the congressional appropriation from which the funds were allocated. Accordingly, if the project period of award is July 1, 1976 through December 31, 1976, the expenditure data reflects only those expenditures made during October 1, 1976 through December 31, 1976. Each item of expenditure data is totaled against the appropriate program component. However, if the expenditure is chargeable to more than one program component, then the data is totaled in the system support column.

The table is divided into two parts presenting: fund flow data for fiscal year 1977 (Part II); and all prior fiscal years (Part I) for those "no-year block grants" funds appropriated by Congress for programs and projects set forth in Sections 301(b) and 453 of LEAA's legislation. The reported monetary data displays all expenditures that occurred in fiscal year 1977 irrespective of the fiscal year allocated and obligated by State agencies and units of local government. Allocations in Part II, D-1 of the table are those monies set aside by State Planning Agencies that are "planned" expenditures in the criminal justice category shown at the top of the reporting format.

Funds from the program categories for juvenile justice and delinquency prevention, and drug abuse are also counted in the totals for the criminal justice system components—prevention, enforcement, adjudication, corrections, and system support. Juvenile justice and delinquency prevention, and drug abuse categories, are displayed separately because of expressed congressional interest.

Allocations for 1977 (row D-1 across) are reported in each criminal justice system component by program. Obligations and expenditures in Part II, however, are reported on a project-by-project basis. Accordingly, there is some built-in dissonance. For example, an enforcement program allocation could contain projects which will appear in the prevention or system support aggregations elsewhere in this annual report. The reason for this is the multifaceted approach many criminal justice programs use to attack a given problem more effectively. Fiscal year 1977 allocations, therefore, should be viewed as budgetary estimates in the primary area of effort, not an exact measure in dollars of that effort.

¹Trust Territories did not have an approved plan in 1977.

STATES' ACCRUED EXPENDITURES BY CRIMINAL JUSTICE SYSTEM COMPONENT

FISCAL YEAR 1977 (in thousands of dollars)

FUND SOURCES: Sections 306(a)(1) and 455(a)(1) of the Act

PART I: Accrued Expenditures in Fiscal Year 1977 by States from Prior Year Funds:

	Prevention	Enforcement	Adjudication	Corrections	System Support	Total	Juvenile Justice and Delinquency Prevention*	Drug Abuse*
A. From Fiscal Years 1974 or Earlier	462	5,515	681	1,822	810	9,290	(604)	(107)
B. From Fiscal Year 1975	17,499	50,482	22,513	45,198	25,780	161,472	(33,299)	(2,571)
C. From Fiscal Year 1976	39,820	70,990	52,816	84,007	35,267	282,900	(54,821)	(8,582)

PART II: Fiscal Year 1977 State Comprehensive Plans:

D-1. Allocations (From State Comprehensive Plans)	51,196	80,415	68,712	99,067	49,233	348,623	(61,427)	(9,761)
D-2. Obligations	32,747	48,111	43,445	60,561	31,156	216,020	(36,290)	(5,626)
D-3. Accrued Expenditures	15,120	16,920	19,193	26,513	13,695	91,441	(16,230)	(2,943)
E. Total Accrued Expenditures by States, Fiscal Year 1977	72,901	143,907	95,203	157,540	75,552	545,103	(104,953)	(14,203)

*Juvenile Justice and Delinquency Prevention, and Drug Abuse figures indicate States' expenditures in these two program areas.

Section 519(1)(B)

Section 519(1)(B) requires the report to include "a brief description of the procedures followed by the State in order to audit, monitor, and evaluate programs and projects."

The following is a State-by-State review.

ALABAMA

Auditing

The Office of Audit of the Alabama Law Enforcement Planning Agency is composed of one chief auditor, four staff auditors, one student assistant, and one secretary. The unit is directly responsible to the director. Audits are performed on all subgrantees and contractors receiving planning, block grant, and discretionary grant funds. All regional planning units are audited on an annual basis. As a result of previous experience in the auditing of subgrants, the SPA has chosen to audit 100 percent of subgrant awards due to the frequency of problems revealed in the reviews. As of the end of June, 1977, all subgrants awarded from 1969 through 1973 had been audited, while 65 percent of the 1974 subgrants have been examined. This approach has resulted in a definite improvement in subgrantees' financial management which is reflected in decreasing refunds in more recent audits.

The order of subgrants audited is generally based on the date of subgrant closeout. However, audit teams are often formed to handle large groups of subgrants to major agencies. This approach has proved to be an effective approach to manpower utilization. The audit clearance process is relatively simple. The completed audit report is delivered to the SPA director, who formally transmits the report to the subgrantee after review. The subgrantee responds to the findings which are formally reviewed and accepted or rejected. Upon notification of rejection, the subgrantee has the option of making a refund or filing an appeal with the grievance committee of the SPA's supervisory board. The subgrantee then appears before the committee, which makes a formal recommendation to the supervisory board for final action. This process has proven to be effective and efficient in carrying out the intent of the audit function.

Monitoring

The responsibility for the management of SPA monitoring activities is located in the evaluation

management unit (EMU). This unit is an adjunct to the SPA's planning section and performs the basic function of providing the planning staff with performance data on plan implementation activities. The EMU has oversight responsibilities for the eight grant monitors located in the State's regional planning units. These monitors receive assignments from the EMU based on planning information needs. Monitoring procedures, reporting requirements, and training programs are established by the SPA in consultation with the planning staff and the monitors. In this manner, it has been possible to achieve steady improvement in the quality of subgrant monitoring as well as increased sophistication in this activity. The monitoring reports are distributed for both internal and external agency use. Copies are provided to subgrantees for their information and corrective action in project execution.

Evaluation

The SPA's evaluation management unit (EMU) is responsible for the management of the intensive evaluation of programs and projects carried out under the State's action grants. The actual evaluation activities are carried out under contract with Auburn University. The SPA's decision to use a contractor for evaluation was based on the desire to have as great a degree of objectivity as possible while minimizing the possibility that political influences would bias the evaluation process. The evaluators receive their assignments from the EMU. Procedures have been established which establish close coordination between evaluators and respective regional planning units so that their efforts are complementary and as effective as possible, minimizing the disruptions of subgrant execution.

The evaluation process consists of the following steps: SPA tentative decisions are made concerning the programs to be intensively evaluated; contacts are made with regional planning unit personnel concerning issues surrounding program operations; the program selections are reviewed in detail with the evaluation contractor; using the results of the intensive discussions with the contractor, the final SPA selection is made; the contractor is notified and the evaluation design is established, reviewed with the SPA, and finalized; the contractor then carries out the field work and data collection required under the evaluation design. This stage involves periodic meetings with the SPA evaluation manager and planning staff members to review progress. A draft report is written and reviewed by the SPA; and a

final report is then issued taking into account comments made in the draft review.

ALASKA

Auditing

The Alaska Division of Legislative Audit conducts audits of the SPA and SPA subgrantees, utilizing an interagency agreement. Definitive audit policies have been promulgated by the SPA. These policies supplement G7140.1A. Criteria for selection of subgrants to be audited are set forth. Reports are submitted to the SPA which instruct subgrantees regarding resolution of audit findings. All final audit findings must be resolved prior to closure of the subgrant.

Monitoring

In the area of monitoring, the SPA has recently developed a new monitoring checklist and written procedures. Full implementation of all the procedures by the entire office has not yet been accomplished. This situation is expected to be transitory; and the SPA is implementing the new procedures selectively, given restrictions in travel funds and manpower.

The full use of monitoring, evaluation, and audit findings has not yet been realized but efforts are being made to make such findings an integral part of the planning process.

Evaluation

Alaska has a well-developed and formalized evaluation methodology for projects which are large, innovative, controversial or which have potential for replication. The SPA staff and the Criminal Justice Center at the University of Alaska conduct the evaluations. Evaluation results are increasingly utilized in project finding decisions.

AMERICAN SAMOA

The following is a brief description of the procedures followed by American Samoa in order to audit, monitor, and evaluate programs and projects.

Auditing

The American Samoan organization responsible for the conduct of audits for the SPA is the Office of Territorial Auditors. The planning agency transac-

tions will be audited during 1978. The minimum audit coverage requirements as promulgated in FMC 74-7 will be met by the Territorial auditor. In addition, the audit will be conducted in accordance with audit standards published by the Government Accounting Office (GAO). It is the policy of the Territorial auditor to provide a draft of the audit to the State Planning Agency. After 30 days, a final report is issued which includes the State Planning Agency comments. A followup of the recommendations made will be done by the Territorial auditors.

Audit coverage of all subgrants will be provided by the Territorial auditor or by a contracted auditor. The planning agency does not employ its own auditors. Audits accomplished by a private agency will be reported to the Territorial auditor and to the Governor's office. Followup of audit findings will be made by the Territorial auditor.

Monitoring

Delegation of monitoring and evaluation responsibilities is not feasible in American Samoa. There are no regional planning units, criminal justice coordinating councils, or units of local government. Therefore, it is the responsibility of the American Samoa Criminal Justice Planning Agency to carry out monitoring and evaluation activities. Monitoring of programs and projects is the responsibility of the appropriate SPA staff specialist in juvenile justice, police, corrections, or courts. When appropriate, monitoring will include participation of members of the supervisory board. Subgrantees are responsible for providing information, or access to information, as required by the SPA to discharge its monitoring responsibility.

Evaluation

Evaluation is the responsibility of the SPA director, who will be assisted in discharging those responsibilities by appropriate SPA staff specialists and contract consultants. Participation in evaluation analysis by members of the supervisory board will be provided when such participation is either required or desired. Many of the projects are being implemented for the first funding year. Therefore, the monitoring effort will continue to be more extensive than the evaluation effort. One or two intensive evaluations will be done through contracted evaluators. It is the preference of the SPA to conduct intensive evaluations of whole program areas on a systemic basis rather than of specific smaller projects.

Although monitoring is a daily staff activity, formal progress reports are prepared on dates which correspond with major milestones set forth in each project file. These reports shall be submitted to the SPA director no less than every three months. A tickler file is kept of all project milestones. This file is the responsibility of the administrative assistant in the Criminal Justice Planning Agency.

Monitoring and evaluation findings will be presented to the supervisory board to be used in future planning and funding decisions.

ARIZONA

The following is a brief description of the procedures followed by the State of Arizona in order to audit, monitor, and evaluate programs and projects.

Auditing

The Auditor General of the State of Arizona is the audit organization which has conducted the past two audits of the Arizona State Justice Planning Agency. The most recent audit was performed for the calendar year that ended December 31, 1976. There is no written contract or agreement between the SPA and the Auditor General providing for future regular audits. The minimum audit coverage has been accomplished consistent with LEAA guidelines and audit standards as published by GAO. It is the responsibility of the Financial Advisory Services, Finance Division of the Arizona State Department of Administration to followup on audit reports conducted by the Auditor General to insure that recommended actions have been taken.

The SPA audit staff has consisted of an audit supervisor and three field auditors from February 1, 1974 to April 15, 1977. As a result of an internal reorganization, the staff presently consists of two auditors who report directly to the executive director of the SPA.

Program, as well as financial audits, have been conducted. Over 50 percent of the dollar amount of grants awarded, and an excess of 25 percent of the actual number of grants have been audited. All audit reports are signed by the auditor who conducted the audit and are then reviewed and approved by the audit supervisor. The reports are then submitted to the executive director for his approval and final recommendation.

Monitoring

The Arizona State Justice Planning Agency

policy for monitoring the implementation, operation, and results of action grant projects consists of periodic onsite interviews with the subgrantee by regional planning unit representatives, as well as an Arizona State Justice Planning Agency program specialist. The SPA conducts the monitoring program predicated on a time and award matrix as follows:

Award	Monitor Schedule
Less than \$10,000	None (Final Audit Only)
\$10,000 - \$25,000	Once per year
\$25,000 - \$100,000	Twice per year
\$100,000 - +	Four times per year

Regional monitoring efforts within the Council of Governments is an ongoing monitoring effort based upon the complexity of the project and upon need.

SPA staff resources allocated for monitoring of the efficiency objectives of the project implementation effort and evaluation activity during 1978 will be approximately four staff persons.

Evaluation

Part B funds are usually not used for evaluation purposes. Parts C and E expenditures are expected to approach 2 to 3 percent of the block grant.

As an example of the 1978 evaluation program, the SPA will conduct an intensive review of the effectiveness of an action project on a policy agency's effort to reduce the incidence of rape, robbery, assault, and theft on a metropolitan college campus. Evaluation activity will be conducted by SPA and statistical analysis center personnel. Additional evaluation activities include two efforts within the comprehensive data system unit. These evaluation activities will be conducted by a private consultant under contract to the SPA.

All requests for funding for continuation projects are accompanied by monitor and progress reports submitted by SPA program specialists, Council of Government representatives, and subgrantees. As with other reports, these monitor and evaluation statements are public record and open to public inspection within the limits prescribed by Federal Freedom of Information Act requirements.

ARKANSAS

The following is a description of the procedures followed by the State of Arkansas in order to audit, monitor, and evaluate programs and projects.

Auditing

The Arkansas Crime Commission employs two staff auditors who work full-time on subgrantee auditing. The audit staff reports directly to the deputy director. A review of completed audits reveals that for the past four years the audit staff has audited 87 percent of the funds expended in the block grant program in Arkansas, and more than 76 percent of the grants.

Each subgrant audited by a staff auditor is subjected to a review panel process, the purpose of which is to enable SPA division managers to become more familiar with the audit program; to insure that all applicable guidelines, rules, and regulations are correctly interpreted and consistently applied by the audit division; and to provide a means for presenting management-level recommendations regarding the resolution of audit exceptions to the director. The audit review panel consists of the deputy director, who is the chairman; the manager of financial management; the manager of grants administration; and the manager of planning and program development. Audits are placed into one of four categories as follows:

- Audits which determined that funds were spent in conformance with all guidelines.
- Audits which determined that due to nonobligation of part of the funds during the subgrant period, the subgrantee owes a refund.
- An audit that finds that within the limits of the originally approved subgrant the SPA owes the subgrantee additional funds.
- An audit where funds are disallowed for various reasons exclusive of the above.

All audits are forwarded to the chairman of the review panel by the audit supervisor who convenes the audit review panel as necessary.

During the review, panel recommendations are recorded on an audit review form. When the review is completed, the chairman and the secretary sign the audit review form and place it in the audit file. After completion of the review, the chairman briefs the director regarding panel recommendations. The director then decides on the appropriate course of action and implements it. The executive director of the SPA, in turn, advises the supervisory board monthly of any problem audits. Thereafter, the board may rule on decisions made by the executive director with regard to these problem audits.

Monitoring

The Arkansas Crime Commission maintains a subgrant monitoring office located in the grants administration division. The subgrant monitoring office consists of one professional onsite monitor who is supervised by the manager of the grants administration division. In addition to the manager and subgrant monitor, there are 13 SPA and regional planning specialists who also monitor. Subgrantees also participate in the monitoring function.

The SPA has developed an excellent procedures manual for monitoring and evaluation. Goals and objectives of monitoring and evaluation are precisely stated in the manual, with a step-by-step indication of the activities to be taken with regard to each function.

Project monitoring focuses on the grant administrative and operations information that has taken place in accordance with the application's planned objectives, implementation, and evaluation plans. Project monitoring is accomplished by quarterly subgrant narrative progress reports by the subgrantee, which describe the expenditures and accomplishments in accordance with the application; by quarterly subgrant financial summary reports; by quarterly subgrant evaluation reports; and by reports of onsite coordination visits to the subgrantee by State or regional planners during the first quarter of the grant period. In addition, reliance is placed on onsite monitoring visits to the subgrantee by SPA monitor personnel during the third quarter of the grant period on selected projects.

Evaluation

The evaluation function in the SPA is accomplished through a separate division in the SPA directed by the evaluation manager, who reports directly to the deputy director. The SPA has decided to intensively evaluate five programs in 1978. This evaluation activity includes assistance from the nine regional planning councils. Programs chosen for 1978 include new and second year continuation projects funded from the following programs: public education for crime prevention; juvenile community-based treatment; specialized law enforcement units; legal support personnel; and additional correctional personnel. The evaluation activity of the SPA is coordinated by the evaluation manager, who has disseminated the rules and regulations through the monitoring and evaluation manual. This manual integrates evaluation throughout the plan-

ning process, including the required statement of objectives and implementation plan. Project evaluation planning is conducted in conjunction with the subgrantee after he has identified and described the problem objective, and has decided upon an implementation plan. The subgrantee evaluation report, a form developed by the SPA, is the means by which the subgrantee describes and reports the evaluation plan for the given project. The subgrantee receives a subgrant evaluation report form at the end of each quarter. The form is then forwarded by the grants administration office along with other narrative progress reports to the evaluation manager.

Two types of evaluation are used—outcome oriented evaluation, which focuses upon the degree of success; and process oriented evaluation, which focuses upon the observation of the intervening variables such as how many clients are involved, how much has been spent, and so on.

The circle is completed when the results of the evaluation are submitted to the regional planners and to the planning staff of the SPA as well as to the subgrantee. These results improve the succeeding submissions of the project applications and hopefully improve the end results of such projects.

CALIFORNIA

The following is a brief description of the procedures followed by the State of California in order to audit, monitor, and evaluate programs and projects.

Auditing

The California Office of Criminal Justice Planning (OCJP) annually contracts with the Department of Finance for audit services. Ten full-time experienced audit staff execute audits on LEAA-funded efforts.

The primary objectives of the audit function are to provide input to OCJP management regarding the fiscal integrity of subgrantee operations. The audits focus on fiscal and compliance regulations established and/or promulgated by LEAA and OCJP, provide fiscal technical assistance to new subgrantees, particularly private agencies, and provide for resolution of audit findings.

In addition to guideline compliance, a major audit focus is the relative success of subgrantee program goals and objectives. This assists OCJP in its ongoing responsibility for review of total program administration.

The audit staff has recently instituted a new audit methodology known as "cluster audits." In effect, the staff audits a subgrantee's overall fiscal and grants management capability and determines the subgrantee's ability to properly administer LEAA-funded efforts. This new methodology is applied to larger subgrantees (large cities, counties, and State agencies) and allows simultaneous audit coverage for several subgrants.

Seven of the 21 regional planning units are audited annually; and five to seven priority audits are conducted annually, primarily on larger or problematic subgrants. The vast majority of audits, about 60 per year, are conducted on projects which have completed their first year, and represent about 40 to 50 percent of new grant awards and 10 percent of all ongoing grant allocations.

Monitoring

A monitoring plan has been jointly developed by OCJP and regional planning unit staff. The plan covers definition and purpose, objectives, responsibilities, preparation for monitoring, process, and monitoring procedures.

The primary objectives of monitoring are to provide the necessary information to OCJP management and the State supervisory board in order to make informed funding decisions on current and proposed projects; monitor subgrantees to insure grant compliance; identify problems and assist in resolution; and identify successful or exemplary projects which could be transferred to other jurisdictions.

Important to the actual monitoring is the preparation for monitoring. Monitoring staff review all components of the grant file, including previous monitoring reports. A list of questions is developed, as well as a list of individuals to be interviewed. The subgrantee is advised of the pending visit so that all appropriate subgrant material can be made ready. The monitoring visit consists of a review with the project staff of the prepared questions and concerns, making a visual inspection of the physical facilities and observing activities, interviewing project clients and/or personnel of the agencies working with the project, identifying and discussing problems with the project staff, and developing corrective measures. Followup with project staff occurs regarding concerns identified during monitoring, and a final report is developed recommending appropriate changes or modifications, including project termination if appropriate. Some 60 projects are intensively monitored on an annual basis, and several more are

less formally monitored.

As part of monitoring, the staff prepares and disseminates information on successful and promising projects to local planning entities and State agencies, and encourages the replication of those projects. As a result of the monitoring function, OCJP has initiated an orientation program for first year subgrantees to assist them in establishing appropriate subgrant controls. Some 60 projects receive this assistance annually.

Evaluation

OCJP has established a program evaluation unit with three full-time staff responsible for overall coordination and execution of evaluation policies and procedures. Policies are developed by an evaluation policy committee and procedures are developed by the program evaluation staff.

In conjunction with the regional planning units, OCJP has developed and is currently implementing an evaluation plan. That plan calls for considerable assistance from regional and local planning groups. The policies and procedures developed by the advisory committee and program evaluation staff will be institutionalized and will be actually carried out by the regional and local groups. Program evaluation staff will also assist State agencies in developing and executing evaluation efforts.

Program evaluation staff will also assist in the development of improved self-assessment components of subgrantees' project implementation plans. Staff will also perform, or contract for in some instances, intensive evaluations on specific programs and/or projects. Staff is also responsible for the collection and dissemination of evaluation results to OCJP management, the State supervisory board, and to State, regional, and local planning organizations in order that these results can be used in similar ongoing projects, or can be considered prior to execution of similar efforts. Program evaluation staff will also be responsible for monitoring the evaluation program itself to insure efficient implementation of the evaluation plan, modify procedures when needed, and recommend changes in evaluation policy to the policy advisory committee.

COLORADO

Auditing

Audits of the Colorado SPA are performed biennially by the State auditor. The last audit covered the two-year period ending June 30, 1975.

It is expected that the next audit, covering the next two succeeding years, will be performed sometime during 1978.

Audit reports of the State auditor are turned over to the legislative audit committee of the Colorado General Assembly. Agencies are required to appear before the committee and explain audit exceptions as well as corrective actions taken on audit exceptions.

The Colorado SPA audits action, planning, and discretionary grants which results in a much larger audit universe than required by LEAA regulations.

Approximately 35 percent (\$5,261,139) of the total universe amounts are discretionary grant awards. The SPA plans to audit 46 grants amounting to more than \$3 million to meet the minimum audit requirement.

The plan calls for an audit of all of the regional planning units. The criteria used for selecting the other agencies to be audited are: volume of grants and dollar magnitude; no previous SPA audit of the agency; and that because of the limited audit resources "agency" audits have been scheduled rather than selected individual grant audits.

The SPA, in its audits, selects a judgmental sample of transactions for each project for review and evaluation.

The SPA has one senior auditor and one junior auditor. The senior auditor reports to the assistant director of operations. Final authority to resolve audit deficiencies rests with the SPA director.

There are no plans to either increase or decrease SPA audit staff at this time.

Monitoring

In Colorado, local project monitoring is the responsibility of regional planning units and criminal justice coordinating councils. Projects are monitored during the fourth and ninth months of project operation, according to a standardized format adopted by regional planners. The Division of Criminal Justice also financially monitors each grant twice annually. Regional planners and Division of Criminal Justice specialists accompany the financial monitor whenever possible. Projects funded by the Division of Criminal Justice are required to collect and furnish data specified for the analysis of project results. These data elements are specified by the evaluation design prior to the approval of project funding.

Monitors collect basic data related to project activity in terms of fiscal or programmatic activity in compliance. Of particular interest to project moni-

tors are programmatic and administrative problems and the need for technical assistance. When monitoring shows a project has fallen short of accomplishing its objectives, technical assistance will be provided. If necessary, modifications in the operation of projects will be made subsequent to monitoring. If improvements in the operation of the project design do not result following the technical assistance, funding will be terminated or continuation funding consideration will be denied.

Monitoring of State agency projects by SPA staff is a function of five criminal justice specialists (programmatic) and one financial monitor (fiscal). Additionally, regional planning staffs perform program monitoring of subgrants to State entities within their respective planning regions.

Program monitoring is supervised by the planning director. The research and statistics section staff assist in monitoring systems projects. Financial monitoring is supervised by the grant administrator and the operations director.

Evaluation

Evaluation of all subgrants is a function of the evaluation unit within the SPA. The unit is staffed by three professionals and one clerk. Regional planning staff occasionally participate in project evaluations as time and expertise permit. In some instances, resources are budgeted within projects for required evaluative services.

The results are coordinated between SPA and regional staffs and communicated to subgrantees through written reports.

Any deficiencies noted are transmitted to appropriate parties in written form for followup action.

The evaluation staff has responsibility for the planning, preparation, and implementation of intensive evaluations of parts of the criminal justice system. To this end, the evaluation unit has proposed to conduct a minimum of seven cluster analysis assignments. This cluster analysis effort constitutes intensive evaluation for seven program areas of the State comprehensive plan. The evaluation unit also supervises selection of and contracting with private research and evaluation contractors who undertake intensive evaluations for various LEAA-funded subgrants. The evaluation unit is responsible for final assessments of these contractual products and reports, and for the agreement to release compensation for approved reports.

With the addition of cluster analysis undertaken during 1978 and 1979, and with the mandatory ob-

jectives which have been established for each project funded under a particular program area, the Division of Criminal Justice should be better able to assess progress or the lack of it, in each program area.

Monitoring and evaluation reports are disseminated to the director of the Division of Criminal Justice, the assistant director of planning, criminal justice specialists assigned to the project, and regional planners if the monitoring and evaluation originates with the Division of Criminal Justice. Depending on the nature of the findings, individual reports may be disseminated to LEAA as well. The reports are written within three days and disseminated within a week.

CONNECTICUT

Auditing

The Connecticut SPA's overall structure is based on the team concept. The teams are organized around the SPA's three major funding areas (adult justice, juvenile justice, and system improvement). They consist of one or more individuals from the planning, monitoring, administrative services, auditing, research, and evaluation units.

Until recently the SPA had an audit staff consisting of five professionals, one being the chief auditor. Currently, two of the auditor positions are vacant. There are no written procedures which encompass the audit function of the SPA. However, the audit division's objective is to audit at least 25 percent of all subgrants and 50 percent of all funds awarded each fiscal year.

The chief auditor prepares audit schedules on a six-month basis. The subgrants selected for audit include a representative sample of subgrantees and program areas, as well as discretionary grants.

Written reports are prepared for all audits performed. Upon completion, reports are reviewed by the SPA's assistant director for project management. When approved in final form, reports are reviewed and signed by the SPA director. The reports are then sent with a cover letter to the grantee's chief official. At the same time a copy is sent to the assistant director for project management, who is responsible for audit clearance. Subsequent audits of the grantee will check and comment on implementation of all recommendations.

Monitoring

The grants management section has immediate

responsibility to monitor the activities of all active Part B, C, E, and JJDP grants awarded from block grant funds, as well as discretionary grants awarded through the SPA. Monitoring personnel and activities are the direct responsibility of the grants and monitoring supervisor.

There is one grant administrator serving on each of the SPA's three program teams. Grant administrators are responsible for monitoring all State share Parts C, E, JJDP, and discretionary grants once every three months. In addition, they act as a screening mechanism and take the lead for their team on monitoring reports submitted by the seven regional planning units. All local share Parts C, E, JJDP, and discretionary grants are monitored by regional planners, who also report on each active project once every three months, using the same monitoring report form used by the SPA grant administrators.

With the introduction of a results oriented application, emphasizing accomplishments over a specific time frame, the SPA can compare actual activities carried out and results achieved, with the activities and results originally specified in the grant application. Once every three months, the grant administrators and regional personnel conduct onsite visits and interviews with financial and programmatic project staff, to ascertain the activities undertaken and the results achieved to date. All monitoring reports become part of the grantees' official project reports on file at the SPA.

An additional component added during the past year is the monitoring of the seven regional planning units (RPUs). It is envisioned that grant administrators will be leading members of their teams on regularly scheduled RPU monitoring visits several times during the life of each planning grant award.

Evaluation

The evaluation unit, within the SPA's division of research and evaluation, is primarily responsible for providing cost and performance information on criminal and juvenile justice programs and projects funded by the SPA, and for assisting justice agencies to recognize and meet their evaluation needs. The unit staff consists of four professionals. Each member is assigned to one of the three program teams. This structure provides each major funding area with an evaluation specialist, and also provides the evaluation unit with evaluators who specialize by funding area.

One of the evaluation unit's objectives for the 1978 planning year is to intensively evaluate eight

program categories. Although the specific categories to be evaluated have not been determined at this time, the process used to select and conduct these evaluations has been developed.

During the time period when the comprehensive plan is being developed, the program categories are screened for their evaluation potential based on certain criteria established by the SPA. The program categories identified as having potential for evaluation are then discussed with the entire evaluation unit, resulting in recommendations to the SPA director. After approval by the director, they are incorporated into the comprehensive plan. During the funding round, all applications in the selected program categories are reviewed to insure that they will operate in a manner that will promote evaluation. Particular attention is paid to the availability of data and control groups.

The evaluator also conducts a review of the available literature. At the completion of both reviews, an evaluation design is developed. The proposed evaluation design is then discussed with the appropriate team and with the grantees. At the completion of this step, the design is finalized and the evaluation is initiated. During the course of the evaluation (usually between 12 and 18 months), the evaluator will regularly brief the other SPA team members and periodically meet with the project staff.

At the completion of the evaluation, a draft report is presented to the other team members and to the grantees for comment. Taking the feedback into account, and taking any other necessary steps, the evaluator prepares the final report.

One of the objectives of the evaluation unit is to disseminate the results of evaluations conducted by both the SPA staff and others. To accomplish this objective, procedures have been developed to identify who will receive copies of evaluation reports written by the SPA's evaluators, executive summaries of evaluations conducted by SPA staff, and results of evaluations performed by non-SPA staff of programs and projects similar to those funded by the SPA. An annual booklet containing abstracts of all SPA-sponsored evaluations will be prepared and distributed to all persons on the SPA's mailing list.

DELAWARE

The Governor's Commission on Criminal Justice (GCCJ) has established comprehensive procedures for auditing, monitoring, and evaluation.

Auditing

The audit of the State Planning Agency is performed by the auditor of accounts. There is a provision for subcontract to a CPA firm if the auditor of accounts cannot perform the audit in a timely manner, and if funds have been set aside for such a contingency.

The Governor's commission has two auditors on staff, one reporting to the comptroller and doing in-house auditing, and the other doing field auditing and reporting to the executive director. An audit schedule is established for audits of subgrantees. All audited subgrantees are provided 40 days to respond to the audit report after an audit.

Monitoring

There are three levels of monitoring and evaluation. Level I comprises projects with no personnel employed from grant funds, project periods of less than one year, grant awards under \$10,000, and which can only be adequately reviewed upon termination. Level II is done when personnel will be employed, continuation of the project is considered, and the grant award is under \$100,000. Level III is for grants that are to be intensively evaluated, with grant awards over \$100,000. Level III project criteria are for projects to be innovative, to continue guidance to the subgrantee, to be of high plan priority, or to be undertaken by other than traditional criminal justice agencies. Technical assistance conferences to review the project workplan and timetable, and periodic onsite reviews by GCCJ staff are part of Level III monitoring and evaluation.

A monitoring level is assigned for each grant immediately following award. Level III grants are monitored monthly. Quarterly monitoring is performed for Level II, and Level I grants are desk monitored. Initial start-up inspection takes place between 45 and 60 days of inception, via a monitoring visit. All grants in Level II and III are visited. All projects failing to achieve substantial implementation within 60 days are provided intensive technical assistance by the monitor. Unresolved start-up problems are referred to the supervisory board.

Evaluation

The division of evaluation was established in September of 1974 by the supervisory board, and has been determined to be a national "promising project." Goals of the division are to develop information on the efficiency and effectiveness of the projects funded, to identify and evaluate 25 percent

of the total number of dollar value of the most relevant projects, to identify projects for evaluation in the National Evaluation Program, to assure use of evaluation results in management and funding decisions, to provide technical assistance to criminal justice agencies within the State to develop and expand their own evaluation capabilities, and to provide inservice evaluation training.

The Delaware plan contains a section in each annual action program description for results of monitoring and evaluation to assure that the information obtained is utilized in the planning process.

Evaluation begins with application review, with the division assuring that there are measurable goals and objectives, the means for data collection, and an evaluation design. The grants management division reviews those applications that will not be evaluated, but will be intensively monitored, for much the same requirements.

Data collection and transmittal of other information is provided by monitoring reports and subgrantee quarterly reports. Quarterly reports include progress toward meeting measurable objectives and project performance. All projects must complete an internal self-assessment form 30 days prior to project termination.

DISTRICT OF COLUMBIA

Auditing

Since the beginning of the LEAA program in the District of Columbia, the Office of Criminal Justice Plans and Analysis has contracted the services of the city's Office of Municipal Audit and Inspection (OMAI) to perform the biennial audit of the SPA and to perform audits of subgrantees. Prior to 1977, OMAI assigned two full-time auditors who had no difficulty in accomplishing the audit of the SPA and audits of subgrants well in excess of the guideline of 25 percent of the total number of subgrants and 50 percent of the total dollar amount. In 1977, with a reduced amount of Part B funds available, OMAI assigned one full-time auditor and one part-time supervisor to LEAA-funded projects. In an effort to further economize in 1978, the SPA will reassign an existing staff person to full-time auditing of subgrantees under the supervision of both the SPA director and OMAI. It is anticipated that the 25 to 50 percent level of effort can be maintained. OMAI will be contracted to perform the biennial audit of the SPA.

Monitoring

The results of a recent management study which was funded with LEAA capacity building monies has provided the new SPA management with a foundation for developing a grants monitoring program which is both systematic and efficient. This study was contracted by the SPA because staff turnover and lack of management continuity had resulted in a breakdown of the monitoring function.

Primary responsibility for both program and fiscal monitoring rests with the director of grants management, a fiscal officer, and three grants monitors. These monitors are assigned to subgrants within the following functional categories: adult services and supervision, and crime prevention/law enforcement; administration of justice (courts); and juvenile justice and in-house grants. The director of grants management establishes an overall unit workplan and operating procedures, and supervises the process of monitoring the 30 to 40 subgrants which OCJPA awards each year.

Within 30 days following the supervisory board's selection of a subgrant application for funding, the appropriate monitor meets with project personnel to develop an official project workplan. This workplan becomes the basis for all subsequent monitoring activity. It establishes the major work tasks and elements to be accomplished, the output measures or measurable results associated with each task, data collection and reporting procedures, and a schedule for task completion. The project director submits monthly fiscal and quarterly progress reports to the monitor, who reviews them against the projections of the workplan to determine project status. Additionally, each monitor conducts at least two onsite visits per project per year. The monitors' analyses of reports and site visits are circulated to the director of planning and the executive director. Recognition and resolution of project problems or needs for technical assistance are the responsibility of the monitor.

Evaluation

To date, the District of Columbia SPA has not established a systematic evaluation program. The new management of the SPA, however, has recently undertaken the creation of an expert advisory committee which will guide the SPA in developing a full range evaluation capability.

FLORIDA

Auditing

The Florida State Planning Agency provides for audit of subgrants through an audit section which is directly answerable to the chief of the SPA. The section consists of six auditors, including the audit supervisor. Audit resolution is provided through the administrative services section, the supervisor of which is also responsible directly to the chief of the SPA.

Prior to 1978, the audit objectives of the Florida SPA involved the audit of 25 percent of the number of subgrants awarded from each fiscal year's funds covered, and within this 25 percent, to audit 50 percent of the LEAA dollars awarded. Specific selection criteria utilized by the SPA include the following: audit of all subgrants where the LEAA dollar amount is \$100,000 or more, including discretionary grants; audit of all continuing local planning subgrants at least annually; and selection from the remaining subgrants, projects to be audited that will give wide geographic coverage within the State, and whose number and LEAA dollar amount will lead to achievement of the 25 to 50 percent objectives noted above.

Reports provided by the State Planning Agency indicated that the achievements of the agency with regard to dollar amounts and numbers audited closely approximate the objectives established for the audit unit.

In 1978, the SPA will amend its objectives to concentrate on currently ended 1975 action subgrants, on the larger discretionary grants from 1973 through 1975 funds, on Part B planning subgrants, and on special audit requests. The impact of this approach is that no audits will be performed on 1974 action subgrants, or earlier year grants, beyond those already concluded.

With regard to audit of the State Planning Agency, this function is provided by the Florida State auditor general through an annual audit of a fiscal year basis of July 1 through June 30. Approximately 50 person days are expended annually by the office for the State Planning Agency audit.

Monitoring

The Florida State Planning Agency provides for the monitoring of all subgrants, with specific objectives of:

\$25,000 or less
\$25,001 - \$50,000
\$50,001 - \$100,000

One site visit
Two site visits
Three site visits
Four site visits

\$100,001 - +

The primary monitoring responsibility in the State Planning Agency is within the planning section and the grants management section. Total staff resources committed to this function include five criminal justice planners, five fiscal specialists, one Federal program specialist, and one overall coordinator, for a total of 12. The amount of time committed to the effort is approximately equal to 1.2 full-time staff. In addition to resources available from the State Planning Agency, the regional planning units and metropolitan units commit an additional equivalent of 1.5 full-time staff to the function.

The State Planning Agency has developed an intensive format for onsite monitoring of all subgrants, which is utilized by both the State Planning Agency and by local planning units. A cooperative arrangement exists between the local planning units and the planning agency at the State level to determine which agency has primary responsibility for monitoring local subgrants. However, the State Planning Agency reviews all reports submitted by the local units for accuracy and comprehensiveness. State agency subgrants are all monitored by the State Planning Agency's planning section.

Evaluation

The Florida State Planning Agency has committed one full-time planner, and seven part-time planners to the evaluation function. This commitment yields an equivalent of 2.75 full-time staff for evaluation of State and local subgrants. Of the 15 local planning units, only four have an evaluation capability. Of those four, seven full-time staff members are devoted exclusively to the evaluation function.

The SPA has required the local planning units to each conduct one intensive evaluation of local subgrants awarded in that area and each State Planning Agency planner to conduct an intensive evaluation of at least one State agency subgrant. These evaluations will occur during 1978.

Information yielded from evaluation and monitoring reports are made available to both planning and grants management staff, and to the State supervisory board, for utilization in the decision-making process. Also, in an effort to make the results

of these evaluation efforts more useful, the State Planning Agency has provided extensive technical assistance to local and State planning units, has developed evaluation procedures for utilization by evaluation teams, and has developed a funding strategy for support of the evaluation function through provision of Part C action funds.

GEORGIA

Auditing

The Georgia State Crime Commission is audited annually by the State audit department as required by State law. This audit is performed in accordance with audit standards promulgated by the Government Accounting Office and consistent with the requirements for minimum coverage set out in LEAA Guideline Manual M4100.1E. Copies of the final audit report are transmitted to the LEAA Office of Audit and Investigation.

The State Planning Agency staff includes a four-member audit division consisting of a director of audits and three full-time auditors. The director of audits prepares an audit plan scheduling grant audits according to the amount of funds involved; problems identified, if any; time lapsed since last audit; and the status of the grant. Audits conducted by SPA staff consist of an examination of grant financial transactions, accounts, and reports, including an evaluation of compliance with applicable Federal and State laws and regulations, and an assessment of the efficiency and effectiveness with which the subgrantee is administering the program in question.

The SPA has promulgated procedures governing the clearance of audit reports in which are established specific time frames for the resolution of audit findings and recommendations. Upon resolution of all audit findings, the audit is formally cleared and the subgrantee and cognizant regional planner so notified by letter from the SPA director.

Monitoring

The routine monitoring of local projects is delegated by the SPA to the regional planning unit (RPU) criminal justice planner while the SPA retains the responsibility for monitoring grants awarded to State agencies.

All local projects receive two onsite visits by the RPU planner during the grant period. These visits occur 70 days and again seven months following ac-

ceptance of the award by the subgrantee. The former visit focuses on initial project implementation and the latter on project operation and performance. The RPU planner is responsible for the preparation and submission to the SPA of the monitoring reports. Each subgrantee is responsible for the submission of two progress reports during the life of each project. These reports are completed seven months after acceptance of the award and at the conclusion of the project.

State agency projects are monitored once during the grant period by SPA planners. In addition, State agencies submit two progress reports for each project on the same schedule as that applicable to local subgrantees. These reports are monitored closely by the cognizant SPA planner in order to identify problems requiring additional onsite visits.

Evaluation

Program evaluation is the responsibility of the SPA evaluation division. That division participates in the review of subgrant applications in order to assure that an adequate evaluation design is included. Evaluation designs to be implemented by the division or by evaluation units funded by the State crime commission include pure experimental designs, quasi-experimental using post hoc stratified comparison and quasi-experimental using pre- and posttesting.

Designs have been drafted for the evaluation of the following annual action program categories: community crime prevention; reduction of Part I crimes; personnel development; rehabilitation of adult offenders; courts; and the juvenile justice program. In addition, evaluation staff will develop and implement an evaluation design for assessing the impact of the regional court administration project. An inner-city juvenile diversion project is to receive an intensive evaluation by the local school system and a private university research group.

The comprehensive evaluation of major State adult correctional treatment programs will be continued during 1978. To date, substantial progress toward establishing an extensive data base which includes postrelease employment and recidivism has been made. This program is in the process of relating life-history variables and psychological data to performance after release.

GUAM

The following is a brief description of the procedures followed by the Territory of Guam in order

to audit, monitor, and evaluate programs and projects.

Auditing

The audit function for the Territorial Crime Commission (TCC) is handled for the most part by the State auditor's office, under the Bureau of Budget and Management Research. Additionally, the TCC financial officer at times conducts audits of selected subgrantees. At the completion of all subgrant audits, an exit conference is held with the auditee, the auditor, and TCC. The final audit report is then submitted to the TCC to begin the clearance and resolution process.

The audits are conducted in accordance with GAO published audit standards and specifically focus on: an examination of financial transactions, accounts, and reports, including an evaluation of compliance with applicable laws and regulations; a review of efficiency and economy in the use of resources; and, a review to determine whether desired results are effectively achieved. The auditor or auditors spend as much time as necessary onsite, and gather information from grant records, TCC records, interviews with project staff, interviews with project users and clients, and records of the Government of Guam Accounting Department.

All audit exceptions must be responded to by the subgrantee in a letter of resolution to the TCC. The TCC then negotiates any disagreements with the auditee and forwards all documentation in this regard to the Office of Audit and Investigation, Washington, D.C., with a copy to the Audit and Investigation Field Office and Office of General Counsel. The Office of Audit and Investigation then reviews the submitted material to insure that all findings and recommendations have been properly addressed.

Monitoring

The Guam monitoring function has been designed to monitor all program and project progress, measure program effects, and increase subgrantee understanding of change processes. Intensive monitoring of subgrantees is conducted by the five program specialists in their various areas of discipline. It includes collecting, reviewing, and analyzing routine and special data pertinent to the monitoring and evaluation program, such as progress reports, statistical comparisons, etc., to document project performance. Monitoring activities are implemented on each project one week

after the project begins. Monitoring is continued periodically, thereafter, on at least a quarterly basis by the specialists, and includes site visits and personal interviews. A monitoring form has been developed for use by the specialists that addresses an examination of objective and subjective results of the project, an assessment of the progress and problems of the project as of the date of the monitoring visit, and an analysis of the project reporting procedures to document project performance. The data generated through these monitoring activities is reviewed by the program evaluator and utilized in planning and funding decisions.

Evaluation

The evaluation activities of the Guam Territorial Crime Commission are designed to operate in two basic stages. The first stage focuses on an analysis of activities during the project development and implementation period. It is a formative step of evaluation and is designed to insure that realistic and quantifiable goals are established, and that the project is implemented according to a predeveloped workplan and timetable. A formative evaluation checklist has been prepared that the cognizant program specialist utilizes to evaluate the project objectives as they are scheduled to conclude.

The second stage of the TCC's evaluation program is designed to examine the product the project was designed to produce. This stage focuses on an analysis of the results and impact of the project, a comparison of the problem as it existed prior to and after project implementation, and suggested modifications for future similar projects based on the operation of the subject project.

The final step in the TCC evaluation process is the development of a written formal evaluation report which applies all the information gathered by monitoring, assessment, and project research to document whether, or to what extent, the project accomplished its objectives in terms of preventing, controlling, or reducing crime and delinquency. This report is prepared by the program evaluator. In order to encourage local criminal justice agencies to build an evaluation capability and use evaluation results to guide their activities, the program evaluator has established a series of ongoing evaluation training workshops for all subgrantees and agencies.

HAWAII

The following is a brief description of the procedures followed by the State of Hawaii in order to

audit, monitor, and evaluate programs and projects.

Auditing

The State Law Enforcement Planning Agency (SLEPA) contracts with the comptroller of the State of Hawaii for its audit services. Audits are conducted in accordance with the audit standards published by GAO (Part III, Chapter I). Specifically, the scope of the subgrantee audits encompasses: an examination of financial transactions, accounts, and reports, including an evaluation of compliance with applicable laws and regulations; and a review of efficiency and economy in the use of resources. Final audit reports are submitted to SLEPA by the comptroller for all grants that are audited.

Upon receipt of a final audit report, the SPA immediately transmits one copy to the auditee and requires the auditee to submit a signed original and one copy of its responses to the audit report. The auditee has a maximum of 40 days from the date of the final report in which to respond to the SPA. The auditee's response is keyed to the applicable recommendation and must: specifically state what action has been or will be taken on each audit recommendation; include, if possible, specific dates on which action was or is to be initiated; and include documentation supporting actions taken or to be taken. Upon receipt of the auditee's response to the audit report, the SPA reviews the auditee's response and determines if there is agreement or disagreement with each audit finding resulting in a recommendation. If disagreement occurs on audit findings and recommendations, the response covers each pertinent fact presented in the audit report with reasons for disagreement specifically stated.

The SPA has a maximum of 20 days from the expiration date of the auditee's 40-day period in which to respond.

The responses from the auditee and the SPA are transmitted to the Office of Audit and Investigation, Washington, D.C., with a copy of both responses to the appropriate Audit and Investigation Field Office and Office of General Counsel. The Office of Audit and Investigation reviews the response to determine that all findings and recommendations have been properly addressed in the responses.

Monitoring

SLEPA has developed, after extensive consultation with the four county coordinators, an overall monitoring process designed to provide for con-

tinuous monitoring of all LEAA-funded projects. The approach utilized relies heavily on both the staff of the SPA and applicant agency personnel.

All applicant agencies are required to constantly monitor the performance under grant supported activities to insure that time schedules are being met, projected work units are accomplished as projected, and other performance goals are being achieved. Additionally, the SPA staff conducts periodic and scheduled onsite monitoring visits to all grants, utilizing developed monitoring checklists. These site visits are for the purpose of reviewing program accomplishments and management control mechanisms, and for providing technical assistance as required. After each such visit, the cognizant planning specialist develops a monitoring report that focuses on: a comparison of actual accomplishments to the goals established for the specified period (where appropriate, quantified program data is compared against cost data); an explanation and recommended resolution for any project timetable slippage in terms of projected goals; and other pertinent information including, when appropriate, an analysis and explanation of cost overruns or substantial savings.

The frequency of the onsite monitoring visits are established at the time of grant award, taking into consideration individual project needs. The SLEPA has established the policy that all grants will be monitored no less than twice during the project period, and that quarterly monitoring will be accomplished where practicable.

If any performance review by the applicant agency or SLEPA indicates a need for either program or fiscal revision to the original grant, it is required that the applicant immediately submit a written request for revision to SLEPA for appropriate action.

Evaluation

The SLEPA evaluation function has been designed to measure the degree of project objective attainment both during and at the conclusion of project activities, and to provide feedback information for management review and decisionmaking to facilitate program development, direction, and coordination.

SLEPA views the goals of evaluation as being the same as those of action programs—to improve the criminal justice system and reduce crime and delinquency. It therefore defines evaluation as the process of delineating, obtaining, and providing useful information for judging decision alternatives, and views evaluation as a decisionmaking process of

which monitoring is an integral part, since monitoring provides current information on project performance. The SLEPA staff assumes the responsibility for the evaluation of its projects and programs as part of its assigned function. The staff member responsible for each of the functional disciplines, as well as the county coordinators, execute the monitoring and evaluation of projects and programs under their jurisdiction.

Evaluation is a key component of the overall grant development and implementation process. During the project development stage, SLEPA staff work with the applicant agencies to insure that project objectives are both attainable and quantifiable, utilizing information gained from past project evaluations. This process continues through application review and grant award. Once the project is implemented, the project is monitored and evaluated throughout its life cycle. SLEPA refers to this as the formative evaluation stage. Upon completion, SLEPA undertakes a summative evaluation, i.e., evaluating the project product. A final evaluation report is prepared by SLEPA staff and made available to all affected agencies and units of government. It is also used in the overall planning cycle and in future project development efforts.

IDAHO

Auditing

Auditing of subgrants is conducted by an auditor on the SPA staff. Auditing of the SPA is conducted by the Idaho legislative auditor. The policy of the SPA is to audit each subgrant as soon as possible after completion of a grant. Size of a grant and the allegation concerning irregularities are the basis for prioritization of grants for audit. Where there are irregularities suspected, interim audits are conducted during the life of the subgrant. Audit reports are submitted to the SPA director for action. An exception to this practice is made for audit exceptions less than \$1,000 where no fraud is indicated. These are handled directly by the appropriate grants manager.

For 1969 through 1974, 72 percent of all Parts C and E subgrants were either audited or fiscally monitored by the audit staff (956 subgrants out of a total of 1,324). The dollar amount represented in these subgrants was \$6,124,989 out of a total of \$10,450,080 awarded, or 58.6 percent. For 1975, the SPA audit staff audited 115 Parts C and E subgrants out of a total of 161 subgrants awarded

(71.4 percent), and a dollar amount of \$1,699,668, out of a total dollar amount awarded of \$2,699,618 (62.9 percent). In addition to the 115 1975 subgrants audited by the SPA staff, an additional 13 1975 subgrants were audited by the legislative audit staff, as part of their audit of the Idaho SPA. The SPA audit staff has audited 22 1976 subgrants out of a total of 140 subgrants awarded (14.7 percent). Subgrants with a dollar amount of \$439,643 out of a total subgrants awarded of \$2,875,423 (15 percent) have already been audited. The audits prepared by the Idaho SPA have been complete and well-done.

Monitoring

Until recently, monitoring of subgrants to local units of government was performed by a monitor in each of the State's three planning regions. No standard form was utilized for monitoring, and grants to State agencies have not been monitored. Monitoring activities have not emphasized an examination of the results of the projects, partly because the results sought were generally not clearly stated.

The LEAA Regional Office provided the Idaho SPA with a suggested monitoring format and criticized the poor monitoring practice in the recent SPA monitoring. The SPA has since terminated the contracts for the local monitors and the new SPA director has indicated his intention to require monitoring of all major projects by program managers. This practice, if followed, together with an appropriate monitoring form, can yield an excellent monitoring program. At this transitional point no more definitive judgment can be made. A reorganization of the SPA currently underway calls for a supervisor of planning. The person holding this position, not now designated, will be responsible for oversight of the monitoring activities.

Evaluation

The evaluation capacity of the Idaho SPA is weak and has been criticized as problematic in two consecutive annual monitorings of the SPA by LEAA. Evaluation training and possibly new (different) personnel in the evaluation section are needed to substantially upgrade this function. To date, the basis for constructing a good evaluation design has been severely hampered by a lack of definition or quantification in project and program objectives. Current planning activities are likely to improve the quality of program and project objectives. Further, the current intention of the SPA is to incorporate data collection and evaluation norms

into action program descriptions. This should raise the overall level of performance measurement in subgrants. This effort, however, cannot be sophisticated without external assistance. Further, intensive evaluation of the more complicated projects can be performed satisfactorily at this time only with contractual assistance.

ILLINOIS

Auditing

The Illinois Law Enforcement Commission (ILEC) is subject to the Illinois Auditing Act, as defined in Chapter 15 of the Illinois Revised Statutes. The act fixes audit responsibility with the Illinois auditor general, who contracts with certified public accounting firms to conduct financial and compliance examinations. These examinations are under the direct supervision of the auditor general's staff, and are in accordance with the "Audit Guide For Performing Compliance Audits of Illinois State Agencies" dated April 30, 1976. The examination of ILEC does not cover subgrantee organizations.

The ILEC's audit unit, which reports to the executive director, is composed of six auditors and a chief of audit.

The major function of the unit is to perform subgrantee examinations which are designed to: insure the fairness and accuracy of financial reports; determine compliance with applicable Federal, State, and ILEC regulations; and, on selected grants, measure whether the goals and objectives have been met effectively, efficiently and economically.

Upon the completion of an examination, a report is prepared by the audit unit. The report and a cover letter are sent to the highest elected official, State department director, or president of a not-for-profit corporation over the signature of the ILEC deputy director or executive director.

Monitoring

The technical assistance unit is responsible for monitoring all active grants. Project fiscal activity and records, as well as progress made toward the program goals, are examined. There are two formal monitoring visits to grants under \$100,000 and three to grants over \$100,000. The first takes place within 60 days for a new subgrantee. The last takes place near the end of the project. Other visits are spaced within the life of the grant, and there are also many ad hoc interviews with most subgrantees.

Subgrantees are required to submit monthly or quarterly performance reports depending upon the nature of the program. These reports cover approximately 30 program areas and were designed by the ILEC evaluation staff. In program areas for which there are no evaluation designs, subgrantees are required to submit bimonthly narrative progress reports supplemented by statistical data. The project monitor insures that these reports are submitted.

There are 10 professional staff in the technical unit of the professional services division plus approximately 10 other individuals in other divisions who have part-time and/or specialized monitoring duties. The same person reviews applications, provides technical assistance, and performs monitoring. The reports filed after a monitoring visit are placed in the master file and are reviewed before refunding any project or including continuing projects in the annual action plan. These reports note objective and subjective results, and assess progress and problems. They are available to subgrantees.

ILEC does not have a procedure for local participation in the development of an administrative policy for monitoring. However, regional planning unit (RPU) directors are invited to participate with ILEC staff in the actual visit. There are no separate funds for monitoring, but are included in the operational budget for technical assistance.

Evaluation

The evaluation unit of the State Planning Agency consists of an administrator, seven professionals, one librarian, and two clerical staff. This unit reports directly to the associate director for planning and development. Policy decisions concerning the activities of the evaluation unit are made at the executive staff level. In addition, evaluators are working in a number of regions under the direction of the RPU directors involved, and are funded by ILEC under the model evaluation program.

Both evaluation and planning functions fall within the planning and development division. This is to insure that evaluation data is used in the plan development process. Evaluation findings, when available, are incorporated into the plan document for each program and project area. Likewise, they are used in the grant review process to assure that funding decisions are based on solid information.

At the State level, intensive evaluations are conducted by the State evaluation staff and by outside contractors. The in-house staff is expected to provide at least three intensive evaluations a year.

Selection of projects for intensive evaluations are made by executive staff. The regional evaluators are not expected to provide intensive evaluations, but restrict their activities to processing evaluations. There are three levels of program evaluation: intensive, minimal and no evaluation. Intensive evaluations may be conducted by third parties or by ILEC evaluation unit staff, and data and information required is detailed and fairly exhaustive. At the minimal level of evaluation, projects and program areas will only be required to submit minimal performance reports which document their activities. Projects and program areas for which no evaluation is planned will only be expected to submit the standard narrative progress report.

An evaluation plan will be devised for the juvenile justice programs funded under the Juvenile Justice Act. This will not occur until it is known what level of Juvenile Justice Act resources can be devoted to evaluation. The most likely plan will include the provision of performance reports for three program areas, with the selection of one program area for intensive evaluation.

All evaluation reports are disseminated to the subgrantees involved, to the RPUs, the State library system, and to LEAA. Executive summaries are sent to commissioners with the full report available upon request. Press releases are also made on evaluation findings to achieve broader dissemination of these results.

INDIANA

In recent years, the Indiana SPA has shown an increased interest in performance measurement plans. In addition, LEAA has dedicated a major effort toward assisting the Indiana SPA and its regional planning units achieve the maximum possible benefit from its auditing, monitoring, and evaluation programs.

Auditing

In Indiana, the auditing of the State Planning Agency and of subgrantees, is performed by the Indiana State Board of Accounts and the State audit office. This agency is required by Indiana State law to audit every unit of local government and every State agency at least biannually. Special audits are conducted upon request of the Indiana SPA executive director.

Monitoring

The LEAA Regional Office recognized a key

opportunity to assist Indiana with regard to monitoring procedures. The Region V SPA monitoring report, dated June 29, 1976, identified monitoring as the most important area of concern. Consequently, the Indiana State Planning Agency and LEAA Region V agreed to address this area of concern by November 1976. With technical assistance from the Region V staff, the Indiana State Planning Agency developed extensively revised monitoring procedures which have been incorporated in the State Planning Agency's operating procedures manual. Key features of these revised procedures are that extensive use is made of quantitative indicators of success wherever possible, that monitoring findings for individual projects are summarized in a fashion that permits programwide analysis and comparison of projects relative to one another, and that results of monitoring are summarized and made available to decision procedures. Indiana has made a substantial improvement in this area.

Evaluation

Virtually 100 percent of all program evaluation efforts in Indiana are conducted by an in-house SPA staff rather than by outside contractors. As a result, LEAA has encouraged the participation of SPA evaluation specialists in the Criminal Justice Planning Institute Regional Training Center's programs for evaluation techniques. Indiana's response has been enthusiastic with results that all SPA evaluation specialists have received LEAA training in evaluation techniques. LEAA Region V monitoring of the Indiana SPA has disclosed that the findings of program evaluation studies are given heavy weight in subsequent program decisions regarding a given project or program.

IOWA

Auditing

The Iowa State auditor annually performs a fiscal audit of the Iowa Crime Commission. In 1976, the Iowa State auditor, in cooperation with the LEAA Denver Field Audit Office, performed its first fiscal and programmatic audit of the ICC. In the future, fiscal audits will be conducted annually and fiscal and programmatic audits biannually. Two full-time auditors are employed by the ICC and report directly to the executive director. The ICC has established standardized audit procedures and these procedures include recommendations from the

Iowa State auditor and the LEAA auditors.

Monitoring

The Iowa Crime Commission has established guidelines and procedures for organizing, implementing, managing, and controlling a system to monitor subgrants. At the time of award, monitoring responsibility is assigned to the proper staff person at the SPA, the area crime commission, or, if a State subgrant, the State agency. The monitoring criteria established are as follows: subgrants of less than \$10,000 of Federal support will not require onsite monitoring unless otherwise stipulated by the SPA, and the monitoring function for these projects will be merged with the final audit; subgrants of more than \$10,000 but less than \$50,000 of Federal support shall require as a minimum one onsite monitoring visit during the grant period; and subgrants of more than \$50,000 of Federal support shall require as a minimum two onsite monitoring visits during the grant period.

Additionally, the SPA will make as a minimum one onsite visit to each area crime commission (regional planning units) and State agency receiving awards to monitor 50 percent of their respective grants meeting criteria above. The SPA will make as a minimum one onsite visit to each area crime commission and State agency receiving awards to monitor their respective grants meeting criteria above.

Evaluation

Guidelines and procedures for evaluation have been established by the Iowa Crime Commission. Criteria for selecting projects for evaluation and priorities for evaluation have been established. Basically, three evaluation stages are established:

Preliminary Evaluations. These will be done on a limited number of subgrants, i.e., those with a totally innovative component or those included on the priority listing. The preliminary evaluation will be accomplished between the 9th and 11th months (or in some cases the 20th and 23rd months) of a subgrant, and will be primarily concerned with progress made toward obtaining the goals and objectives specified and any problems encountered in terms of this progress. These evaluations will be used by the staff and supervisory board to assist in determining continuation funding.

Intermediate Evaluations. These will subsequently be done on those grants which received preliminary evaluations and continuation funding. The evaluations will be accomplished during the

20th and 23rd months, and will be similar in design and content to the preliminary evaluations. These evaluations will also be utilized in the decisionmaking process on continuation funding.

Final Evaluation. Toward the end of the third year of the project (or within 90 days of the termination), a final evaluation will be performed. This evaluation will contain a more comprehensive examination of specific components of the subgrant as compared to the preliminary and intermediate evaluations. It will also determine whether the project was successful or unsuccessful in attaining the specified objectives and goals.

KANSAS

Auditing

The SPA employs two auditors who devote full time to subgrantee audits. In addition to these two auditors, each of the three metropolitan regional offices employs an auditor to perform subgrantee audits on projects within that region. The regional auditors receive their audit assignments from and report to the SPA. They are assigned no other duties or responsibilities; however, they occasionally assist subgrantees through provision of fiscal technical assistance. All auditors report to the SPA director.

There are no plans to change the size of the audit staff within the next year. Upon completion of an audit, findings are reported through the issuance of an audit report. The report is reviewed by the SPA administrative office and executive director for comment and acceptance before being forwarded to the subgrantee. The subgrantee is required to respond within 15 days. Following the subgrantee response, the executive director takes the necessary action to resolve the audit findings and publish the final report.

Monitoring

Monitoring is considered a part of the total SPA evaluation program. The SPA administrative officer schedules all monitoring to be done by the SPA and RPU staffs. All completed monitoring reports are channeled through the administrative officer for his review and are also reviewed by each deputy director and by the executive director. Additionally, the research department reviews the reports to extract statistical information to be used in the planning process. The reviews of the monitoring reports provide the SPA with information to determine whether or not the project is progressing as scheduled or if

technical assistance is needed. Most of the local subgrantee monitoring is performed by RPU staff with the SPA staff performing the monitoring of State agency grants. However, occasionally the SPA staff will provide assistance in the local monitoring effort.

All new projects are monitored within 90 days of implementation, and all projects subject to re-funding are monitored at least twice during the grant period. The second visit must be made during the final quarter of the project. All projects exceeding \$200,000 are monitored at least twice during the grant period.

Evaluation

The Kansas SPA has determined through past experience that the resources, time, and expertise to intensively evaluate projects are not available in the SPA staff. This was discovered after attempting several intensive evaluations and discovering the costs and time involved. As a result, funds are established to provide for contracting with outside individuals or organizations to provide intensive evaluations. During 1978 a minimum of one project in each functional component, i.e., police, courts, corrections, juvenile justice, and systems will receive the necessary amount of funds to contract for outside intensive evaluation.

The results of all monitoring and evaluation activities are made available to the supervisory board subcommittees and full committee for their review prior to making refunding decisions and for future planning purposes.

KENTUCKY

Auditing

The auditor of public accounts for the Commonwealth of Kentucky performs the audit of the Kentucky SPA. The next audit commenced in early fall 1977, and will encompass the period of July 1, 1974 to June 30, 1976. Audit coverage will include a reasonable volume of both dollars and programs of the total planning and action grants. Minimum coverage as outlined in LEAA Guideline Manual M4100.1E will be provided. The scope of audit will contain reference to audit recommendations outlined in previous audits. Copies of the completed written audit report will be provided to the LEAA Office of Audit and Investigation. Internal auditors within the SPA audit, as a minimum, 25 percent of all subgrants and 50 percent of all funds awarded

from each fiscal year's block and discretionary grants. The SPA audit manager prepares an annual audit schedule which contains the following information: audit universe—all programs and operations subject to audit; programs and operations selected for audit, with priorities and specific reasons for selection; an auditor to conduct the audit; audit cycle or frequency, the locations to be audited, and the reasons therefor; and scope of audit coverage to be provided and the reasons therefor. The schedule shall be adjusted as necessary to provide for audit coverage of unforeseen eventualities. A written report, in accordance with GAO reporting standards is prepared as soon as practical after the completion of each audit. The report contains narrative statements, tabulations, schedules, or other pertinent data disclosing the deficiencies found and recommendations needed to correct and/or prevent recurrence of the deficiencies. In addition, the reports identify the officials with whom the contents of the report were discussed and whether or not the officials concurred with the findings. Known or suspected violations of any laws encountered during audits, including fraud, theft, embezzlement, forgery, or other serious irregularities, are communicated to LEAA's Office of Audit and Investigation. Resolution and clearance of audit findings and recommendations are in accordance with detailed procedures established by the SPA. Specific individuals are designated to review and resolve the audit report and, as appropriate, assist the auditor in the resolution of the auditor's findings. Upon clearance of all the audit findings and recommendations, a letter from the SPA administrator is issued to that effect and the audit closed in accordance with LEAA requirements as to the retention of records.

Monitoring

The SPA monitors all block and discretionary federally-funded projects and intensively evaluates selected projects. Authority to conduct monitoring and evaluation studies is provided by the Governor's Executive Order No. 76-103 of February 6, 1976 as enacted by the General Assembly in 1976 and the bylaws of the Kentucky Crime Commission (state supervisory body). Monitoring and evaluation responsibilities are assigned to the evaluation section, which is located in the Kentucky Department of Justice. Authorized staff of the evaluation section consist of four evaluation specialists, a secretary, and supervisor. Entrance level requirements for all professional staff are the master's degree plus a

minimum of two years' experience. Professional disciplines and backgrounds of staff members are sociology, criminal justice, political science, and psychology. Each evaluation specialist has responsibility for the overall monitoring of all projects in a given program area or areas: corrections, courts, juvenile delinquency, manpower, and police. Throughout all phases of monitoring, the specialist has close and frequent liaison with program and fiscal specialists in respective program areas. Monitoring is conducted twice annually for all projects: the first report to cover the first five months of operation, and the second report to cover the first 10 months of operation. Information for monitoring reports is acquired from the following sources: project personnel, project records, data collection instruments, and records of other agencies involved. Evaluation specialists make site visits twice annually to all projects (excepting selected equipment grants) to make observations and collect data. The project interview is structured according to a general monitoring site visit form. The monitoring report is completed for each site visit. These reports are provided to cognizant project agencies, government units, and members of the SPA and KCC. The SPA has detailed written procedures outlining all aspects of the monitoring effort.

Evaluation

The SPA's authority and organizational structure for evaluation is reflected in the preceding section. Selection of projects to be evaluated by the evaluation section is made by the Department of Justice and the KCC following completion of the comprehensive plan. Criteria used as guidelines for determining which projects will be evaluated are as follows: potential for decisionmaking—potential for gaining information to be used in generalized decisionmaking and planning; innovative nature—need for verification of new approaches to the resolution of crime and improvement of the criminal justice system; funding amount—funding large enough to warrant cost of evaluation, i.e., \$100,000; anticipated continuation of project funding—provision for benefit to be realized from feedback and recommendations and, if indicated, for evaluation observations to be made over a two or three-year period of operation; evaluation design requirement—availability of sufficient number of observations of relevant variables and of data sources appropriate to experimental and control conditions; and manpower—availability of personnel. The results of evaluation studies are provided by written reports

covering approximately the first 10 months of project operation. The early cutoff date is necessitated by time requirements for collection and analysis of data and report writing so that the report may be available for decisionmaking and planning needs of project personnel, the Department of Justice, and KCC. The evaluation report issued at the end of a grant period consists of a detailed account of the following: literature survey of related theory and findings; description of project implementation; method of gathering data; analysis of results pertaining to project outcome; discussion of project outcome as related to project implementation and to other findings in the field; and recommendations pertaining to problems, project effectiveness or ineffectiveness, and any suggestions for further study or project modification. Evaluation reports are disseminated to the following: chairman, KCC; KCC committees; authorizing official of subgrantee; project director of implementing agency; cognizant Department of Justice personnel; area development district directors and planners; LEAA Regional Office in Atlanta; National Evaluation Program; Law Enforcement Assistance Administration in Washington, D.C.; and master file.

LOUISIANA

Auditing

The Louisiana Commission on Law Enforcement and Administration of Criminal Justice audit section has published and distributed an audit guide for use by the district program directors and all subgrantees. This audit guide establishes policies and procedures which will be followed when conducting audits. The SPA is responsible for providing adequate audit coverage of a representative volume (programs and dollars) of its grants and subgrants.

The SPA employs one chief field auditor and three field auditors. Schedules for grants and subgrants for audit are selected from grants awarded to each planning district and the State agencies. The schedule is for a one-year period; includes a wide range of programs; is representative of all districts within the State of Louisiana including the State agencies; and contains a reasonable dollar volume of funds allocated. The schedules are adjusted as necessary to provide for audit coverage of unforeseen priorities.

Audits performed by the SPA of the recipients of subgrant awards determine whether the funds allo-

cated were expended in accordance with the rules and regulations of the Federal, State, and local governments. The recipients are required to maintain records that provide the auditors with the information needed to determine whether matching funds were provided; program objectives were met; project funds were expended for the purpose agreed upon; subgrantee has filed complete, accurate, and timely reports. A written report, in accordance with GAO reporting standards and established SPA policies and procedures, is prepared upon completion of each audit. Working papers prepared by the auditors are retained in the SPA audit files.

Monitoring

In 1976, the SPA developed a monitoring and evaluation system. This system is described in a guide identified as the *Fiscal Year 1976 State Evaluation Plan for the Louisiana Commission on Law Enforcement and Administration of Criminal Justice*. The evaluation strategy contained in the plan calls for a grouping of all projects according to specific criteria. Based on the criteria associated with each grouping, appropriate procedures are determined, reporting requirements are specified, and resources are allocated accordingly. For example, the information needs for a demonstration project will be much greater than for a routine, personnel acquisition grant. Since the SPA funds a large number of projects (approximately 350 per year), and has limited staff resources available for monitoring and evaluation, it is important that the SPA identify those projects which have a priority for intensive evaluation. Therefore, through a grouping process, it is possible to separate the demonstration and innovative projects from the routine and tested, and then to determine monitoring and evaluation priorities.

Listed below are the four project groupings:

Group I: Personnel and Equipment Acquisition. Supplemental in nature; to augment or increase the efficiency of an agency through the acquisition of additional personnel and/or equipment. (This classification also includes routine training).

Group II: Special Units. A distinct, clearly identifiable, and self-contained unit. The activity undertaken by the unit is totally or substantially supported by grant funds and is for legally required or mandated agency functions.

Group III: Secondary Projects. A project which provides a service or supports an activity which is not directly related and/or essential to the apprehension, adjudication, or incarceration of an individual.

Group IV: Research and Demonstration. The project has a clear objective that is to be demonstrated or assessed through the collection and analysis of historic records. The project should have a research element to gather more information about a new technique or approach, or an evaluation element (a plan to test the validity or feasibility of a new technique or approach).

Evaluation

The SPA presently utilizes an evaluation priority committee of the supervisory board for establishing and overseeing evaluation and monitoring policy and its implementation. A monitoring and evaluation section is under the general supervision of the deputy director. The district program directors have the primary responsibility for the monitoring of all Group I projects. In the fulfillment of this responsibility, the district planning offices are expected to insure that all Group I projects comply with the established reporting requirements. In the area of evaluation, the districts have been assigned the responsibility for selecting candidates for evaluation from the Group III or IV projects funded in their district.

Procedures for the development of performance measurements in subgrant applications are described in the SPA's applicant and subgrantee handbook. The SPA currently utilizes the evaluation and priority committee of its supervisory board to oversee projects, establish findings, recommend continuation funding based on accomplishments, establish criteria to be utilized to assess projects, and approve evaluation components in individual projects. The committee further establishes overall evaluation policy and direction. In relation to planning, the committee, with the assistance of the SPA planning and evaluation staff, makes recommendations to the supervisory board for overall program direction including needed plan changes after reviewing program and project accomplishments and available evaluation findings.

MAINE

Auditing

Within its executive division the SPA employs one evaluator and two auditors who are responsible for examination of the financial operations and performance of its subgrantees, and for coordination of the monitoring and evaluation of all SPA programs and projects. Financial audits are performed on all

grants in excess of \$12,500 and performance audits on all grants in excess of \$25,000. Other grants are audited on the basis of their distribution among the SPA's fundable criminal justice programs as listed in the annual comprehensive plan, and within the State's seven regional planning units. Such grants are audited primarily to verify costs covered and paid, match compliance, and refunds of residual funds. In the case of equipment grants, procurement procedures and physical presence are also verified. Audit clearances are usually effected within three weeks of a report's release.

Monitoring

The SPA is still developing its monitoring procedures. When fully realized, they will utilize audit techniques and terminology with all subgrants to be placed in one of three audit categories: management, information, and performance. Management subgrants are those of short duration and small budgets with one-time funding and little or no measurable impact. From this group of subgrants are identified project clusters needing additional monitoring efforts at a later date. Management monitoring consists of review of the subgrants at the application/award stage, and of quarterly reports as submitted.

Information subgrants are those which will, at some time in the future, require a decision about replication. Subgrants involving personnel, equipment, and long term training in the \$2,000-\$30,000 range with limited but observable impact are included in this category. Tools used are the *Subgrantee Quarterly Performance Report* and a *Negotiation Guide*.

Performance subgrants are the third monitoring category. Projects therein are of long duration (over one year) with multiyear funding of over \$100,000 and with both immediate and long range impact. In addition to the aforementioned tools, a performance audit (monitoring) guide is also used.

Evaluation

Most formal evaluations are effected via a formal contract mechanism, with contracts being obtained through normal procurement procedures. Projects considered for evaluation are those which are long term with anticipated high impact and multiyear large expenditures. Some formal evaluation, requested by SPA management and/or by the SPA's board of directors, is done by the SPA evaluator himself.

MARYLAND

Auditing

The Maryland SPA has established an internal audit staff which is responsible for performing the audits of subgrantees. It is the policy of the SPA to audit 100 percent of the subgrantees. Therefore, every recipient of LEAA block grant funds in the State of Maryland will be audited to assure that the Federal funds are expended in accordance with Federal and State regulations and the approved application.

The audit of the SPA itself is performed by the Maryland Legislative Auditor. This independent State audit agency is responsible for auditing all State agencies in Maryland. The Legislative Auditor is required by State law to perform an audit of the SPA at least once every two years. These audits have been performed on a regular basis over the life of the program, and there has been close coordination between the auditors and the LEAA Regional Office.

Monitoring

The Maryland SPA has assigned six professional staff members to the monitoring and evaluation section. These individuals are responsible for monitoring the activities of all subgrants and evaluating their accomplishments. All projects receive a site visit by either SPA or RPU staff within 120 days of implementation.

Detailed past progress reports are prepared for all projects by the SPA or RPU staff. These reports are presented to the supervisory board for consideration when the individual subgrantees are seeking refunding after the first year of operation. If the subgrantee receives a second year of funding, another past progress report will be prepared by the monitoring and evaluation staff prior to the subgrantee receiving the third and final year of funding. In most instances, the preparation of a past progress report involves a site visit to the subgrantee, assuring that each subgrantee is actually site monitored at least once a year.

Evaluation

In addition to the monitoring and evaluation work performed by SPA staff, the SPA has utilized consultant services to perform intensive evaluations of its concentrated crime reduction and group home programs. These programs were chosen for intensive evaluation due to the large commitments of funds reserved for them, and their program objectives of

reducing specific types of crimes and juvenile recidivism.

Future intensive evaluations will be performed for the juvenile community arbitration program, the Montgomery County police-student relations project and the Rockville/Montgomery County Concentrated Crime Reduction Program.

MASSACHUSETTS

Auditing

The SPA audit unit consists of a manager, four auditors—three full-time and one part-time, and a secretary. Audits are comprehensive and are for performance, financial integrity and administrative compliance, efficiency and economy, and program results. They include a substantive review, a fiscal review, a review of standard and special conditions, a systems review, and a review of all LEAA supplemental operating requirements.

Desk and field audits are performed throughout the year on selected projects both as a random check and for particular reasons. Generally, desk audits are performed as initial audits on projects which involve awards of less than \$25,000. Field audits may follow desk audits if more information is needed. All audits performed on projects with awards in excess of \$25,000 are field audits. Audits are conducted in all parts of the criminal justice system and are balanced among State and local agencies as well as program areas. Audits are performed within three years of project completion, and in the case of local planning units, are conducted biennially and more frequently where feasible. Normal audit clearance takes five weeks.

Monitoring

The SPA's performance measurement unit consists of a director, five monitors, two evaluation specialists, and two secretaries. The monitors verify information supplied to them by subgrantees in unit-designed quarterly performance reports. They then use that information as a means of identifying potential problems and accomplishments. Site visits are effected based on the results of quarterly report reviews, and are done at least once a year on all SPA-funded projects.

Formal monitoring of selected projects is performed based on results of report reviews and onsite visit findings. It is accomplished through interviews, observations, and file checks. Site visits are also utilized as a means of followup to the formal

monitoring process. Both site visit reports and monitoring reports are prepared for distribution to and use by SPA management, planning and evaluation personnel, and for public information purposes.

Evaluation

The SPA's evaluators identify potential projects suitable for evaluation and assist SPA program planners in defining measurable program objectives and outputs at each project's planning and implementation stage. Since most SPA formal evaluation is accomplished via contractors, the SPA evaluators also design appropriate evaluation methodologies, and review and monitor the work of those contractors. To a limited extent, they also carry out project studies and develop project information intended to assist in formal evaluations.

MICHIGAN

Auditing

In 1976, the Michigan SPA transferred the audit function to the State Department of Management and Budget, Office of Administrative Services. An audit director and six auditors were transferred with this function from the SPA to OAS. The OAS provides the SPA with an audit schedule each year, identifying grants to be audited. The SPA may make adjustments to this schedule or request additional audits as needed. The audit contract calls for coverage of 25 percent of all subgrants and 50 percent of all funds awarded. Charges by OAS for audit services are based on actual costs incurred.

Monitoring

The OAS also provides a fiscal monitoring program for the SPA. At the beginning of each year, a monitoring schedule is forwarded to the SPA for approval. The SPA reviews and adjusts the monitoring lists and may request special monitoring trips at any time. All grants to private agencies are monitored within this first six months of operation to insure the fiscal integrity of the project. Upon completion of monitoring review, a report identifying the fiscal capabilities and deficiencies of the subgrantee is forwarded to the SPA for review and action.

The monitoring and evaluation functions are coordinated by the research and evaluation section of the policy unit. To insure the development of appropriate monitoring and evaluation designs, and to enhance the use of findings, all professional staff of the State Planning Agency have received extensive

training in evaluation to develop a common working vocabulary and basic skills. As an extension of the formal training, small groups were created to work together in developing a standardized instrument for projects within selected program areas. Group participants included appropriate staff with responsibilities in grants management, planning, and budget analysis. Instruments were then field tested with regional and project staff prior to implementation.

Michigan's developmental approach is noteworthy in building staff skills and in designing monitoring evaluation instruments that are pertinent and feasible. SPA and regional staff, as well as project staff, are better prepared to understand evaluation findings and utilize the results.

The extent to which programmatic monitoring can be effectively and efficiently performed is necessarily dependent upon the quality of the project design. Grant applications receive technical assistance from regional and local planning staff initially to develop measurable statements of the problem to be addressed, the project objectives, the impact objectives, and the evaluation methodology. SPA staff review the application with special attention to statements of objectives and evaluation criteria. In many program areas, data collection forms are provided to the applicant and quarterly reporting on evaluation progress is required. Technical assistance in the formulation of evaluation designs is available from the SPA at any time during the application process or funding year.

Monitoring activities are carried out by the SPA to provide a tracking of project progress and to provide management with immediate feedback on the adequacy of project implementation, operation, and results. Subgrantees are required to cooperate in periodic project inspections conducted by SPA staff or personnel designated or subcontracted by the SPA. Each project undergoes a minimum of one on-site inspection during the funding period. State agency projects are inspected directly by SPA personnel, while local projects are inspected by regional and local planning staff under the direction of the SPA. Predetermined inspection factors are used, comprised of standard questions which apply to all similar projects and items unique to the individual project.

Information obtained through monitoring is used to: modify ongoing projects and programs; assist in determining policy on continuation funding or cancellation of projects; and plan future programs and projects.

Evaluation

Building upon its experience in developing standard evaluation packages and providing training and technical assistance, Michigan has developed an overall strategy based on two levels of evaluation—standard and intensive. Program elements are selected for standard evaluation using the following criteria: amount of funds expended; number of projects; representativeness of element to program area; and transferability of findings. Intensive evaluation efforts are directed toward programs with the following characteristics: amount of funds; controversial nature; continuation implications; and potential impact of findings on State and local allocations.

Standard evaluations are characterized by the following: development of design by SPA staff; training of regional staff and subgrantees by SPA; data reporting by subgrantees; analysis of data by SPA; and preparation of reports by SPA for SPA. Intensive evaluations are performed through contractual arrangements and incorporate advanced methodologies of experimental design and comparative analysis. These evaluations focus upon program level analysis, but also analyze individual projects.

MINNESOTA

Auditing

The audit section of the Minnesota SPA annually selects Parts C and E funded action projects for auditing so as to minimally include projects accounting for at least one-half of the total action funds being spent; and at least one-fourth of all action projects. These criteria are applied to each region, to State grants, and to subsystem components, so as to insure equitable coverage of all grants.

The audit director provides cost allowability and other fiscal information to subgrantees after each award meeting by means of regional seminars. The SPA has no arrangements with other audit agencies to audit its subgrantees.

Auditors issue preliminary audit reports to which the subgrantee is given 60 days to respond. During this period the subgrantee is instructed to obtain the necessary approvals of the SPA's grants administration section. Within a month of receipt of the response to the preliminary audit report, the audit staff prepares a memo to the SPA executive director indicating the status of each finding that was

in the preliminary report. This memo will recommend one of the following: that records should be closed on the grant; that the subgrantee should request additional funds; or, that the subgrantee should return funds. The executive director then informs the subgrantee that if it is in disagreement with the final audit report, the grants administrator should be contacted for further negotiation. The responses to the preliminary report and to either the request for additional dollars or the return of dollars are jointly monitored by the audit section and the grants administration section until resolution.

Monitoring

The planning and grants administration staff of the SPA are responsible for monitoring the implementation, operation, and results of all LEAA-funded projects, in conjunction with regional and local staffs.

All applicants for LEAA funding are required to substantiate the problems being addressed with current, verifiable, objective data specific to the target population or focus of the project. All projects must have goals and objectives written in measurable terms. Each applicant is required to specify the data elements that will be used to measure achievement of the specific goals and objectives, and further, to specify a data collection and analysis strategy for the project.

All LEAA-funded projects are monitored at least once a year. All formal monitoring visits are conducted jointly by State, regional and local staff. First-year grants receive monitoring visits once before refunding during the first or second quarter. Second-year grants receive monitoring visits prior to the start of the fourth quarter. Third-year grants receive monitoring visits during the last quarter of the project.

Each applicant is required to submit quarterly progress reports, detailing any modification or potential modifications in program objectives. If program changes occur, major onsite visits are scheduled immediately. Additional formal and informal onsite visits are scheduled at the discretion of the SPA staff. Monitoring reports are included in each grant file.

Each applicant is also required to submit to the SPA a final progress report which details the results and impact of the project on the original goals and objectives. In addition, for client-serving projects, the SPA requires monthly submission of minimum data on all client referrals and dispositions. This data is compiled, and upon project completion, pro-

vides an independent measure of project impact.

Evaluation

The Minnesota SPA intensively evaluates a minimum of 25 percent of LEAA-funded projects annually. Criteria used to select projects for evaluation include relative priority of project or group of projects in light of SPA policies and objectives; relative amounts of Part C funding committed to like groups of projects; relative innovation of project or group of projects; and amenability to scientific evaluation.

Intensive evaluations are planned and implemented by the staff of the evaluation section of the SPA. No outside consultants are used to design or conduct intensive evaluations sponsored by the SPA. Evaluation staff work closely with project staff to insure that the evaluation design is workable and is clearly understood by both parties. Similar studies elsewhere, and the results of individual project assessments, are consulted to compare or corroborate evaluation results.

All evaluation reports are disseminated in draft form to affected projects a minimum of two weeks prior to finalization and release of findings. All monitoring and client data information is maintained in grant files. All publications of evaluations are announced in the SPA's monthly newsletter and are available on request to interested parties.

All new research and evaluation projects are formally screened by a technical review committee of the SPA. This committee reviews the research or evaluation design, reviews the goals and objectives, resolves research and evaluation problems that arise during the life of the project, and finalizes the draft of the final report.

A research committee of the SPA reviews final reports and evaluates the extent to which the conclusions relate to the planning and funding activities of the agency, and recommends who should receive copies of the final report. All written reports generated by the research and evaluation sections are reviewed by the executive director prior to publication or dissemination.

MISSISSIPPI

Auditing

Regarding the audit of the SPA, the State of Mississippi has entered into a contract with the State auditor, an elected State official empowered by State law to fulfill the contractual audit responsibilities in

compliance with LEAA audit policy.

The contract stipulates that a professional, independent audit be performed in accordance with accepted audit standards and with Federal and State guideline requirements.

Annual audits are conducted of subgrants, as specified in the contract. There are two types: desk and field audits (as detailed in the State department audit program). A desk audit is performed utilizing information in the grant file at the Criminal Justice Planning Division's central office in Jackson. The subgrants that are desk audited are usually the smaller, less complicated projects in general areas—such as training programs, seminars, conferences, and basic equipment grants.

The field audits are performed on subgrants of a more complex nature and necessitate onsite visits to conduct physical inspections of the subgrantee operation and to review the project's accounting records.

The contract audit establishes a schedule on a need basis and on an area basis. The need basis schedule is used when there may be reports of problem areas in the subgrant operation and the need for an early review is desirable. The area basis schedule is used for general assignment in an area such as a county, and all cities in that county, which may be scheduled for audit while the auditors are in that particular area.

The SPA has three State auditors under contract to audit the subgrants who answer directly to the executive director. The SPA has five employees in an internal audit and monitoring status who review all current operating grants during the life of the grant thereby alleviating some postaudit exceptions.

There were 473 subgrants awarded from 1975 to 1976 as of January 31, 1977, with 509 audits made (includes audit of 1973 annual action program awards). The total audited dollar value was \$2,111,418. The dollar value of the subgrants awarded for the 1975-1976 period to date was \$7,254,013.

Monitoring

Monitoring is the measurement of the progress of a project. One type of monitoring is the onsite monitoring. The Mississippi Criminal Justice Planning Division has a monitoring unit based within the evaluation division. They are responsible for visiting different projects to determine if the project is on schedule, behind schedule or ahead of schedule; if the project is achieving its goals; and if there are problems. This type of monitoring stems from the

progress reports, i.e., if problems are noted in progress reports or financial reports, etc. Another type is desk monitoring (i.e., progress reports). The progress reports include documentation of project performance (structured surveys and/or data forms), and an ongoing assessment and review of the progress and problems of the project activities.

Evaluation

The Mississippi Criminal Justice Planning Division delineates its evaluation activities into eight activity levels of evaluation, each of which builds upon the previous activity (lower levels of performance assessment). These eight levels of evaluation activity form a circular process requiring a sophisticated cooperative effort of all divisional departments in addition to mobilizing a local, regional, and State-level capability to monitor individual units discretely for contribution toward a statewide profile. This profile will fractionate the criminal justice resources and the problem of crime for comprehensive planning efforts. The process provides the structure for sequential, yet dynamic, accounting and assessment of the various activities, thereby yielding the mechanisms for evaluation of the urgency of problems. The evaluation activity begins with crime analysis, the results of which are basic to statements of system needs. The difference between the urgency of the problem of crime and the availability of resources delineates the constraints and restraints upon response alternatives, and provides the impetus of response with program design. The process continues into program management progress monitoring and project assessment through intensive research review, and culminates with a system impact analysis. The results of impact analysis yield a current needs statement which leads to more precise problem definitions of crime into refined program descriptions, etc.

The eight levels of evaluation and their definitions are as follows:

- Level I—Crime Analysis. Establishment of the baseline phase for determining the urgency and intensity of the problem of crime.
- Level II—Resources Needs Assessment. Definition, delineation, and description of available resources for system response.
- Level III—Program Response. Designing of action for system response.
- Level IV—Program Management. Planning and design developing phase

of system response.

- Level V—Progress Monitoring. Dynamic phase of program auditing.
- Level VI—Project Assessment. Delineation and description of the events which happen within any single project.
- Level VII—Intensive Research Review. Introduction of the measurement of effectiveness, i.e., what would have happened without the program having been implemented?
- Level VIII—System Analysis. Establishment of the program impact upon the crime rate and the capability of the system to respond.

MISSOURI

Auditing

A key function in assuring the accountability of public funds disbursed through the Missouri Council on Criminal Justice is financial auditing. The State Planning Agency now audits approximately 70 percent of all funds subgranted. The selection of subgrants for audit each year is made on a systematic basis to assure uniform coverage across the State. The dollar amount, geographic location, specific program, and other factors are involved in the selection of subgrants for audit.

The SPA employs six auditors who devote full time to subgrantee audits. Audits are conducted on-site utilizing generally accepted auditing procedures. Audit reports are reviewed by the executive director for comment and acceptance before they are forwarded to the subgrantee. The subgrantee is required to respond to the report within 30 days. Following the subgrantee response, the executive director takes the necessary action to resolve the audit findings and publish the final report.

Monitoring

The Missouri SPA has recognized the critical need for monitoring both the progress and performance of State and local criminal justice programs. They have designed their monitoring effort to provide technical assistance to subgrantees, both from a technical and programmatic standpoint. At the same time monitoring is designed to provide feedback information to the decisionmakers for their future planning efforts.

Regional planning units have the responsibility

to monitor the implementation, operation, and results of the projects they support. The State Planning Agency monitors all State projects. Ultimate responsibility for seeing that these responsibilities are carried out remains with the State Planning Agency.

All projects are monitored at least once each year. Projects in excess of \$25,000 are monitored every six months, and any project in excess of \$100,000 is monitored quarterly.

Evaluation

Montana's effort in the area of evaluation has increased significantly over the past couple of years. The evaluation unit currently has five professionals and one secretary. This unit conducts in-house evaluations of MCCJ-funded projects, and also coordinates contract evaluations of specific projects and programs that may be of a highly technical or specialized nature. The evaluation unit also is involved in an educational effort to impart to subgrantees knowledge in the quantifiable objectives and the need for an ongoing evaluation of all projects funded by the State Planning Agency.

Each year, at least 25 percent of the total dollar value of all subgrants funded by the State Planning Agency are to be evaluated. Results of all evaluation activities are made available to planners, supervisory board members, and regional planning units, when applicable, for their review prior to making future funding decisions.

MONTANA

Auditing

The Montana SPA currently employs one auditor, who reports directly to the administrator, and an audit committee composed of four members of the Montana supervisory board. In addition to audits performed by the SPA auditor, the SPA has recently coordinated a number of subgrant audits with the legislative auditor's office and the local government services division. The legislative auditor has audit responsibility of State agencies, and the local government services division has audit responsibility for units of local government. Hiring of additional audit staff in the next fiscal year will depend upon the success of coordinated audit activity with other State audit agencies. Written reports are prepared for all audits connected with the Montana Board of Crime Control. The reports contain narra-

tive statements, tabulations, schedules, and other pertinent data disclosing the deficiencies along with recommendations for corrective action. The auditee receives a copy of the report and is given 30 days to respond in writing to the recommendations. When the audited agency has responded to all recommendations the Montana Board of Crime Control's auditor meets with the supervisory board audit committee for the purpose of reviewing the audit report and the agency's response. The SPA auditor acts in an advisory capacity to the audit committee. The committee is responsible for final decisions regarding clearance of audit findings at the State level. Audit findings requiring clearance by LEAA are forwarded to the LEAA Regional Office. During the past fiscal year the Montana Board of Crime Control auditor has audited 269 subgrants with a Federal dollar amount of \$767,000.

Monitoring and Evaluation

The principal source for funding of evaluation of the Montana Board of Crime Control is from Part C funds in the amount of \$60,000. If the evaluation strategy is followed to its limit, an additional \$10,000 to \$20,000 of Part B funds will be utilized. Part B funds support the entire grant monitoring effort to the extent of \$50,000.

The evaluation program is the responsibility of the Bureau of Planning. Thus, it is planned, administered and implemented by the chief of the Bureau of Planning and six planner/evaluators.

Grant monitoring is the responsibility of the Standards Bureau. The monitoring effort is planned and administered by the chief of the Bureau of Standards; and is implemented by four field representatives which act in a capacity of liaison for the State's regional planning committees.

The typical format for evaluation done by the Montana Board of Crime Control is as follows: chief of the Bureau of Standards assigns projects to a member of the evaluation staff; input to the evaluator is provided by field representatives regarding background status and other information pertinent to initiating evaluation work flow; the planning information is provided by the planning bureau regarding background status and other information necessary to evaluation of work flow; and resource coordinations are undertaken by the evaluation to insure adequate utilization of all resources pertinent to the project or program. Evaluation staffs then review similar projects to extract information beneficial to the evaluation process. The evaluation

NEBRASKA

level for a program area is predetermined in the comprehensive plan, and the evaluation section is committed to evaluating a predetermined number of projects. The selection of projects for evaluation is determined by the planners. An evaluator provides technical assistance to the local agencies through a preapplication conference. The local project is assisted in writing the subgrant narrative as well as determining the measures and methods so the project results can be measured. Thus an evaluation strategy is designed within the application to effectively assess the project results. Also, there is an evaluation review of the required quarterly reports submitted by the subgrantee. If necessary, an onsite visit is made by the evaluator to determine progress and problems encountered, and whether redirection is necessary. Based on these reviews an interim report is prepared to address the progress and/or problems of the specified project. If it is decided that an onsite review is necessary, the onsite interview is carried out with the project director and other personnel involved in the program. Next, the data is analyzed based on the interviews held by the evaluator. These results are analyzed, and a final evaluation report is submitted to the Montana supervisory board. At this point the results of monitoring and evaluation are made available to all affected agencies. Monitoring results are made available during all stages of monitoring since the effort is onsite. At the end of any monitoring period the field representative has a conference with the project director advising him of the results of the monitoring effort. Results of any evaluation are formalized in an evaluation report which is prepared and submitted to the agency affected for review and comment approximately 30 days before presenting the results to the board. Once these results are submitted to the Montana Board of Crime Control, along with recommendations from the staff, the supervisory board has the final authority to authorize either changes to be made in the program or, in extreme cases, termination.

In order to intensively evaluate or monitor selected projects, groups of projects, or programs, the planning bureau has developed a team approach utilizing three planners in each team with one planner designed as team leader. Onsite visits are scheduled for each project or program selected to be evaluated. Projects were selected from each component of the criminal justice system. In addition to the internal evaluations, contract evaluations will be performed by external evaluators in the Missoula, Billings, and Great Falls crime attack teams.

Auditing

The Nebraska State Planning Agency contracts with the Nebraska State auditor's office for all necessary audit services. An audit of the functioning of the State Planning Agency is performed at least biannually, and subgrantee audits are performed on a continuous basis. The audits are performed in accordance with GAO audit standards with the most recent audit of the Nebraska SPA being performed jointly by the Nebraska State auditor's office and the LEAA Office of Audit and Investigation Denver Field Office.

Upon completion of a subgrantee audit, an audit report is provided by the State auditor's office which is reviewed by the appropriate SPA program specialist, grants administrator, and SPA executive director. The report is then forwarded to the subgrantee who is required to respond within 30 days. Following the subgrantee response, the executive director and the appropriate program specialist take the necessary action to resolve the audit findings.

Anticipated reductions in the amount of 1978 Part B planning funds which will be available to Nebraska may result in a reduction in the level of audit activity at the subgrantee level as well as reductions in other SPA functions.

Monitoring

Monitoring is used to provide data regarding the implementation, operation, and results of projects funded by the Nebraska State Planning Agency. Project monitoring involves a comparison of actual results with the results projected in the initial grant application, and includes site visits and interviews with project staff; examination of objective and subjective results of the project; assessment of progress and problems of the project; documentation of project performance; and desk monitoring, when sufficient information is available. All local subgrantee monitoring is performed by regional planning unit staff with State agency subgrant monitoring performed by SPA personnel.

Evaluation

All evaluation activities are coordinated by the State Planning Agency's statistical analysis center with approximately \$35,000 in Part C funds being projected for this purpose in 1978. An increasing amount of evaluation is being performed by the

subgrant project staff which will cause a decrease in the amount of Part C action funds used for evaluation.

Performance measurement data gathered through the auditing, monitoring, and evaluation process are used by project staff to identify strengths and weaknesses and to make informed alterations in project activity. These data are also used in making planning and funding decisions, and negative evaluation results may cause changes in a project or project termination. Other planning agencies, local organizations, and elected officials use monitoring and evaluation results to make effective decisions regarding improvement of the criminal justice system.

NEVADA

Auditing

The SPA employs two auditors who work directly for the SPA director. These auditors operate without a written audit program using procedures agreed on privately within the office. The LEAA assessment of January 1976, and the recently completed audit of the SPA by the Nevada legislative auditors, both found that the reports issued by the SPA auditors were inadequate. In addition, the audit workload for the SPA has grown to the point where 100 percent coverage of subgrants is not feasible. There is no program of selective coverage. Currently the audit staff is being diverted from audit functions and no audits are being performed.

Monitoring

Monitoring, both programmatic and financial, is carried out by the program specialists of the planning and training division. A specified format is followed and completed monitoring forms are filed in the project files. There is not adequate financial staff to provide for financial monitoring. High turnover of program specialists has kept this program from functioning adequately.

Evaluation

No indepth evaluation is conducted of the LEAA program in Nevada. The SPA has procedures whereby intensive evaluations are to be conducted by the planning specialists of the SPA, and guidelines are to be issued to encourage project personnel to establish procedures for evaluation within the project itself. However, the high level of turn-

over of SPA staff has prevented the conduct of evaluation within the SPA and adequate guidelines for self-evaluation were never issued. The pie-cutting planning process of Nevada does not encourage evaluation.

NEW HAMPSHIRE

Auditing

The New Hampshire SPA employs one full-time auditor. The auditor schedules grants to be audited on a random sample basis insuring that a representative sample of all subgrantees is audited. Local planning grants are audited at least once per year. The SPA's objective is to audit 50 percent of funds awarded and 25 percent of the subgrants awarded.

Upon completion of an audit, a draft report is prepared and signed by the auditor. It is then reviewed by the SPA director and signed if acceptable. Any matters dealing with unallowable costs are also cleared with the fiscal officer. Reports are distributed to the chief official of the unit of government or State agency, the project director, the appropriate SPA planner/coordinator, and the LEAA Regional Office.

Monitoring

The evaluation and monitoring units of the New Hampshire SPA are composed of a programs evaluation specialist supervisor, two evaluation specialists, a juvenile monitor, a grants monitor, and a corrections monitor. Also, the four regional planner/coordinators are responsible for monitoring certain projects within their respective regions.

The SPA has established the following criteria for monitoring: all projects shall be monitored at least once during the life of the project; each action project in which an ongoing program is contemplated which involves more than \$10,000 of LEAA funds shall be monitored at least once every six months; and each project of more than \$50,000 shall be monitored at least once every three months, the first time to be no earlier than 30 days nor later than 90 days after approval of the grant.

The SPA's monitoring includes site visits and interviews with project staff and clients as well as other individuals affected by or serviced by the project; verification of submission of progress reports which includes an analysis of the results and impact of the project, description of the implementation and operation of the project over time, and problems en-

NEW JERSEY

countered with the program including any modifications which were necessary to deal with the problems; verification of submission of financial reports which includes a review of a detailed budget for each fund source by category and verification of financial records; and comparison of actual activities and results achieved, with activities and results specified in the grant application.

A monitoring report is submitted to the supervisor for each project monitored. The report contains an overall assessment of the project's progress and results to date, with recommendations for modification of the project, if necessary.

A master monitoring and evaluation schedule based on all approved grants was established in November, 1975, and is maintained for assignment of monitoring and evaluation activities on a timely basis. Monitoring assignments are prepared by the supervisor and relayed to appropriate personnel via a quarterly monitoring schedule. Monitoring reports are reviewed by the appropriate staff planners as well.

The SPA has developed a process which provides for the monitoring of all jail and correctional facilities, both adult and juvenile, to insure compliance with the requirements of Part E and the JJDP Act.

Evaluation

Four program areas have been selected for intensive evaluation by the SPA. These are: police-crime prevention program areas; juvenile-community-based intervention, diversion and treatment program areas; juvenile-female intervention and diversion program areas; and juvenile-adult intake, diagnostic, and treatment program areas.

The intensive evaluation of projects by the SPA includes: data collection and analysis as set forth in the modules developed by the model evaluation program; site visits and interviews with project staff, clients, and other individuals affected by or serviced by the project; and intense scrutiny relative to activities and/or achievements of the projects to determine to what extent the project's activities were attributable to the accomplishment of project objectives.

Evaluation reports on all grants are required prior to the supervisory board's consideration of renewal grants. Findings and recommendations of evaluation and monitoring reports are important considerations in the development of program areas for the SPA's comprehensive plan.

Auditing

The State Law Enforcement Planning Agency (SLEPA) follows prescribed LEAA policies in its audit program. The SPA's goal is to audit subgrants within one year of project completion, and seven auditors are currently on the SLEPA staff. As the size of the audit staff has increased, audit starting time has been decreased from three years to 18 months after project completion. The SPA has also established a referral system whereby a subgrant with financial problems can be audited within the contract period. As the audit backlog is decreased, both the number of interim audits and the scope of regular audits will increase. As of July 1, 1977, the SPA had audited more than 30 percent of its subgrants which represent more than 36 percent of total funds awarded since 1969.

Monitoring

All projects included in SPA intensive evaluation efforts are routinely monitored by evaluation and operations staff. Data submitted for evaluation purposes is screened by evaluation staff to insure its accuracy. Findings and reports relating to individual projects and program areas are made available on a regular basis to agency planning staff for use in the development of program areas in the State plan. Reports are also made available for the purposes of grant management and funding consideration.

Upon completion of an in-house review process and review by participating subgrantees, evaluation reports are presented to the SLEPA governing board.

All evaluation results and findings will be disseminated to local planning units, and affected agencies and units of government. Also, evaluation material may be found in past progress reports which are widely distributed to local agencies. Upon completion of evaluation efforts, results are integrated with program descriptions to reflect modifications in SPA policy. Evaluation results of national interest are disseminated in separate reports, as appropriate.

Evaluation

SLEPA has developed an integrated, systematic process for evaluation and monitoring of programs and projects. At present, the SPA retains responsibility for all monitoring and intensive evaluation

activities, and requires each subgrantee to conduct its own internal assessments of project progress.

SLEPA's subgrantee application process includes a requirement that all applicants submit an evaluation design with each individual funding request and procedures for adequately presenting project goals, objectives, and evaluative design within each application. Every grant application must address itself to an evaluation strategy which provides for an internal project assessment as well as basic performance information for SPA management purposes.

SLEPA's evaluation team selects, along with operations personnel, individual projects or program areas which are considered priority projects or programs warranting more sophisticated analysis. Monitoring activities, including periodic site visits, are the responsibility of the program analysis staff within the SPA's operations division. Evaluation activities, including the development of evaluation models, site visits, and data analysis is the specific responsibility of the evaluation team. All subgrants awarded by the agency are scheduled for formal field monitoring visits at least once during the project period. More frequent field visits are conducted as needed.

As a result of the establishment of the agency evaluation team, the capability for conducting intensive evaluation as well as the development of a management information system has been made possible. At present, eight block grant program areas have been selected for intensive evaluation. Evaluation models have been developed for each of these eight areas with data collection activities and a computerized data analysis process.

Criteria used to select these program areas consist of such factors as the amount of dollars committed to the particular program area, the priority nature of the program area, the innovative character of the program area, and the potential replicability of certain program areas in other jurisdictions.

NEW MEXICO

Auditing

The New Mexico SPA employed its own audit staff until January 1976, at which time the auditors left the SPA to accept positions with other State agencies. The decision was then made to contract for audit services, rather than to fill the auditor vacancies.

In preparation for the contract, the SPA hired

an audit coordinator who is responsible for the development and implementation of the audit program. In March 1977, the SPA entered into a contract with a CPA firm for the provision of audit services. The contract called for the performance of financial, programmatic, and compliance audits of 84, 1973 and 1974 subgrants. All of the audits had been completed by late June 1977.

Upon completion of each audit report by the contractor, the SPA makes a review and forwards the report to the subgrantee for response to the audit findings and recommendations. The subgrantee is given 30 days to respond to the audit report. The SPA then has 15 days to resolve the audit findings. If the audit report recommends refund of a balance of Federal funds and the subgrantee disagrees with the findings, an appeal may be made in accordance with procedures established by the SPA supervisory board.

Monitoring

The New Mexico SPA has developed a project monitoring procedures manual which delineates the purpose and responsibility for monitoring. It contains a master monitoring schedule and a monitoring instrument which is used in the various stages of the monitoring process.

Each monitoring visit is made up of three stages: previsit—monitor reviews the project and the project analysis, in order to determine core questions on implementation, operation, and results that will serve as background information for the visit; onsite visit—interview with project staff, clients, and related agencies whose operations are being impacted by, or have an impact on, those of the monitored project; and postvisit—preparation of report documenting project performance. Copies of the report are available to the SPA supervisory board, to the regional council, to the subgrantee, and to the project director.

The monitoring schedule is established according to the following guidelines: all subgrants of \$100,000 in LEAA funds or more will be monitored at least quarterly; all subgrants between \$25,000 and \$100,000 will be monitored at least semiannually; and all other subgrants will be monitored at least once during the life of the project.

Evaluation

All projects are required to conduct internal project assessment and evaluation, and some projects have voluntarily budgeted project funds for outside evaluation. In addition, the SPA selects several

action programs for intensive evaluation. Projects within these designated programs are required to include evaluation costs as a part of the project budget, with a few exceptions. The annual action program section of the comprehensive plan, which includes the guidelines for evaluation plans and the SPA's monitoring policy, is distributed to potential applicants, as is the subgrant application form. Applicants thus have advance notice of these requirements.

The intensive evaluation requirements for the selected programs are as follows:

- Budgetary provision for independent evaluation must be included in the grant application.
- As a part of the first quarterly progress report, or at the end of 90 days, whichever is later, the following must be accomplished and reported:
 - The evaluator must be selected and the selection process described.
 - The evaluation design must be submitted for approval to the SPA.
- The evaluation must be done by an independent contractor and utilize accepted scientific measurement techniques.
- The SPA reserves the right to monitor the progress of the evaluation.
- Depending on the nature of the evaluation, the contractor must submit to the subgrantee for forwarding to the SPA interim progress reports and the final report.
- Results of intensive evaluation and compliance with evaluation requirements will be considered for continuation funding.

NEW YORK

Auditing

Until September 1976, the New York State Planning Agency did not have an in-house audit capability. In September 1976 the SPA created two field auditor positions and filled them with experienced auditors. The results of the audits performed since then have led to the implementation of several recommendations at the subgrantee level.

During the development of the audit function, the SPA solicited and received the assistance of a major accounting firm to develop an audit pro-

cedures manual and to refine the audit report and workpaper formats. It is currently planned that the procedures will be forwarded to all local planning offices and will be fully implemented during 1978.

The future of the audit function does not look promising from the perspective of increasing the number of auditors on staff to provide for greater audit coverage. This is a direct result of the severe Part B budget reduction experienced by the SPA for 1978. Given the current rate of audit completion experienced by the SPA (five audits per month), a total of 60 audits should be completed during 1978. As a result, the SPA will select projects to be audited based on financial and programmatic considerations. To complement the number of audits to be performed, the SPA trained its monitoring unit in fiscal monitoring procedures. When the unit monitors projects, the monitors will alert the auditors to any potential financial problems.

In addition to the SPA audits of its subgrants, the SPA is also required to have an annual audit of its operations. The New York State Department of Audit and Control was contacted by the SPA in an effort to develop a timetable for the annual audit of SPA operations. The SPA anticipates commencement of the audit in the fall of 1977.

Monitoring

The New York SPA includes a monitoring unit which has primary responsibility for the assessment of projects funded by the SPA. The monitoring is performed consistent with relevant LEAA guidelines and State regulations. The results of monitoring are used by the SPA for the purpose of providing current information of project activities, a documented record for funding decisions and program development, and a scenario of possible trouble spots which should be addressed by the SPA's technical specialists.

The unit is supervised by a chief and includes five professionals and a secretary. Each professional is skilled in a particular segment of the criminal justice system: courts, corrections, police, juvenile/community-based and correction/probation. During its first full year of operation (1976) the unit monitored approximately 200 subgrants.

The monitoring assignment normally follows a course of events as such:

- The monitor reviews the grant file.
- The project is discussed with the appropriate SPA project coordinator or technical specialist.
- The effort is coordinated with the local

criminal justice planner and the project to be monitored.

- The onsite visit is made.
- The monitoring report is completed, reviewed, and released within five days of the end of the monitoring visit.
- The report is disseminated to the SPA director, project coordinator, technical specialist, monitoring team leader, and the local planners.

The above system coupled with the dissemination of reports as shown has afforded the SPA an opportunity to have an immediate and direct impact on SPA funding decisions and project operations.

Evaluation

The SPA includes an evaluation unit of seven professionals and one clerical person. This unit addresses the evaluation responsibilities of the SPA through two separate programs: performance evaluation and intensive evaluation.

The performance evaluation program was developed to enable the SPA to identify projects consistently failing to meet their goals and objectives, to identify successful projects, and to coordinate the evaluation efforts with various levels of LEAA. Although this program measures results, it does not scrutinize the cause and effect relationship of the results as in intensive evaluation. However, analyses compiled within this program are used for planning and program development.

For purposes of the intensive evaluation program, the SPA selects a number of programs to be evaluated during any one year. The programs are selected from priority areas outlined in the State comprehensive plan. The selection of actual projects to be evaluated is done in concert with local planning offices and State agencies. Thereafter, the SPA solicits outside contractors to perform the onsite evaluations. Notwithstanding the use of outside contractors for this effort, the evaluation unit is charged with the responsibility of coordinating the process to insure feedback to the planning and program development process.

NORTH CAROLINA

Auditing

The SPA has five auditors assigned from the Department of Crime Control and Public Safety who perform the audit of subgrantees. The audit program is in accordance with LEAA and GAO audit standards. Activity exceeds the minimum level of 25 per-

cent of subgrants and 50 percent of the money.

Audit of the SPA has been a problem. The State auditor does only a balance sheet of audit of funds and does not perform any programmatic auditing. LEAA is addressing the situation with the secretary of the department, and a solution to the problem is being developed.

Monitoring

Current monitoring activity involves the utilization of eight regional coordinators (grants managers) who perform onsite reviews of all grants. Activity currently only deals with financial and implementation components. The SPA is in the process of revising the monitoring program to provide more program performance measurement activity.

Evaluation

The SPA is in the process of revising the evaluation process. The new administration has reorganized the unit to make it a function of planning. Models are currently being developed to allow for intensive evaluation of programs. Past efforts have dealt with detailed indepth monitoring and not true evaluation (causal effect relationships). The new administration is committed to making this unit an effective function of planning. Two persons are presently assigned.

NORTH DAKOTA

Auditing

One full-time field auditor is employed by the North Dakota Combined Law Enforcement Council. The field auditor reports directly to the director of the law enforcement council. There has been no change in the audit staff size for several years and, as far as what is presently known, no plans to change the audit staff size is contemplated.

All requests for formal financial audits are made in writing by either the monitor, the financial officer, or the SPA director. This request must reveal, in writing, the reasons for requesting the audit before approval is given for the audit.

The field auditor does, however, routinely review all Level II subgrants prior to final grant closing.

Although there is a working relationship between the SPA and the State auditing department, there are no auditing activities coordinated between the two agencies.

No exit conferences are held by the SPA after

the audit is completed. The field auditor makes a full report of her findings and recommendations in writing. The audit report will be reviewed by the SPA director, the financial officer, the project monitor, and the project director for appropriate action. If no action is required, the final report will be forwarded to the project director with a letter requesting a written response to the findings. If the project director does not respond within 30 days, the SPA assumes that the project director has concurred with the report. The audit report is then closed. No request for a refund of a disallowance has ever been ignored or unpaid.

Monitoring

Monitoring activities are coordinated by the staff evaluation specialist with the assistance of all staff specialists, each of whom has the responsibility of his or her own specific area. For at least the past fiscal year, regional planners have assisted the monitoring efforts of the SPA.

Monitoring duties include: reviewing the progress of the grant, determining that the grant is being administered in accordance with the council directives, and providing a point of contact between the project and the SPA.

Monitoring frequency is determined by the size and nature of the project, past experiences with similar projects, and past experiences with projects administered by the subgrantee. Monitoring visits will be mandatory for all Level II subgrants. Regional planners may be assigned monitoring visits in their regions by the SPA director.

The monitor is responsible for providing or obtaining appropriate technical assistance to the subgrantee for project development, evaluation, or financial procedures.

Financial monitoring insures that the grantee is maintaining fiscal responsibility and integrity, and that all records are being kept in accordance with LEAA and Law Enforcement Council guidelines.

Upon completion of a monitoring visit, the monitor prepares a written report which summarizes the progress of the project and enumerates the project's strengths and weaknesses. If deficiencies are noted, the SPA takes appropriate action.

Evaluation

The purpose of evaluation is to provide valid and reliable information to program personnel to assist in planning, operating, modifying, and increasing efficiency and effectiveness of programs; to the SPA staff to assist in planning at the State level;

to program personnel and the council concerning modifications in existing programs, prerequisites for new programs, or approval or denial of grant applications; and to the SPA board, directly or through the evaluations committee, to aid in making planning or funding decisions.

The SPA, by authority of the State legislature, has one staff position designated to be exclusively concerned with matters of research and evaluation regarding the State's grant programs. The evaluations coordinator reports directly to the assistant SPA director.

OHIO

Auditing

The Administration of Justice Division of the Department of Economic and Community Development currently employs seven full-time auditors and two clerical staff members that report to the supervisor of the Office of Audit Review. Each auditor has several years of experience in the auditing field. The Office of Audit Review reports to the chief of the Division of Grants Management who is responsible for acting on behalf of the SPA director.

The supervisor of the Office of Audit Review reviews the monthly reports of the AOJ to determine the projects that have been completed. He assigns these audits on the basis of a regular audit plan. In addition, management may request informal or final audits of specific projects. To avoid duplication of effort, a survey of the in-house files, evaluations, and other audit reports performed by other agencies is conducted prior to performing an audit of a project.

The Office of Audit Review conducts audits on a regular basis and in excess of the minimum coverage required by LEAA. It is the goal of the AOJ to be involved in auditing all subgrantees every two years by using a rotation schedule and including all subgrants over \$25,000. This procedure will assure minimum audit coverage prescribed by LEAA for audits of subgrants. As a result 25 percent of all action grants and 50 percent of all funds awarded in each fiscal year are audited.

The scope of audit coverage provided by the Office of Audit Review, in accordance with GAO standards, is to examine financial transactions, accounts, and reports, including an evaluation of compliance with applicable laws and regulations. The structure of the audit scope is determined by an audit workpaper package. In addition to these basic elements, the scope also includes economy, efficien-

cy, and program results.

Final written audit reports are prepared and distributed to the SPA director, subgrantees, and LEAA in cases of discretionary and special audits. Copies are available to the public in accordance with the Freedom of Information Act.

Monitoring

AOJ's monitoring process includes several reporting formats in order to assure that the actual activities carried out by each project are compared with the results originally specified in the grant application. Monitoring visits are conducted by administrative planning district staff for the nonmetro areas. Regional planning staff perform monitoring with the Ohio regional planning units.

AOJ's policy is to have site visits and interviews conducted every three months for projects over \$100,000, every six months for projects from \$25,000 to \$100,000, and once a year for projects under \$25,000. An assessment of the progress and problems of the project to date occurs during the review of each project's annual report.

The AOJ's monitoring activities and schedules are: monitoring and evaluation reports biannually from all projects; onsite visit reports according to schedule; and audit validation reports within 90 days of report submission.

The AOJ monitoring activities collect the following types of data and information: monitoring/evaluation reports—numerical and narrative records of each project's significant activities on a biannual basis; onsite visit report—an assessment by AOJ/RPU staff of the progress and problems of each project to date; and audit validation reports—the reliability of the data submitted.

Evaluation

The Ohio supervisory board has reserved \$250,000 of the 1978 Part C funds for the development of an intensive evaluation strategy. To this end, the AOJ employs five full-time evaluators.

The purpose of AOJ's intensive evaluations will be to examine the effectiveness of the criminal justice concepts. Projects aimed at similar criminal justice problems will be intensively evaluated as a group. It is expected that this strategy will not only yield answers about the causes of that particular problem, but will also provide useful information about the effectiveness of each individual project's output. While the AOJ monitoring system is designed to provide the information needed to make funding decisions about the relative worth of an in-

dividual project, intensive evaluation should provide decisionmakers with the information needed to determine the relative worth of criminal justice programs. A selection methodology has been developed in order to determine which projects and programs will be intensively evaluated. The methodology employs the standard application of five criteria variables to each project and program area, and classifies them into one of three categories of analysis.

OKLAHOMA

Auditing

The Oklahoma Crime Commission audit section has published and distributed an audit manual for use by substate planning districts and all subgrantees. This audit manual establishes policies and procedures to be followed when conducting audits. The SPA is responsible for providing adequate audit coverage of a representative volume (programs and dollars) of its subgrants. Any subgrantee audited by the SPA has the right to follow the appeals procedures set forth in the audit manual.

The SPA employs four auditors who report directly to the SPA deputy director. Schedules for grants and subgrants for audit are selected from grants awarded to each planning district and to the State agencies. The schedule is for a one-year period, includes a wide range of programs, is representative of all districts within the State of Oklahoma including the State agencies, and contains a reasonable dollar volume of funds allocated. The schedules are adjusted as necessary to provide for audit coverage of unforeseen priorities.

Audits performed by the SPA of the recipients of subgrant awards determine whether the funds allocated were expended in accordance with the rules and regulations of the Federal, State, and local governments. The recipients are required to maintain records that provide the auditors with the information needed to determine whether matching funds were provided; program objectives were met; project funds were expended for the purpose agreed upon; and subgrantee has filed complete, accurate, and timely reports. A written report, in accordance with GAO reporting standards and established SPA policies and procedures, is prepared upon completion of each audit. Working papers prepared by the auditors are retained in the SPA audit files.

Monitoring and Evaluation

The SPA has an evaluation and monitoring divi-

sion responsible to the SPA executive director for monitoring and evaluation of programs and projects funded to implement the comprehensive plan. The SPA has developed an intensive evaluation program for each functional area of police, courts, corrections, and juvenile delinquency.

There is a director and four evaluators in the evaluation and monitoring division. Evaluators are used in the subgrant review process to make subgrant applications more precise and to facilitate the monitoring and evaluation of projects. The evaluation division review focuses on goals and objectives to insure that they are stated in such a manner that progress can be measured, and on data collection and analysis to insure that they are adequate to measure planned achievements.

In an effort to satisfy the LEAA requirements and to determine the effectiveness of the projects which it funds, the SPA has recently redefined the role of evaluation and monitoring. The new procedures permit the systematic monitoring of all projects funded through the SPA. The procedures also provide for systematic data collection on all projects and will permit both more sophisticated monitoring and evaluation efforts, and the development of a data base which can be used in the intensive evaluation of selected projects or programs.

There are basically five levels of evaluation and monitoring, which have been incorporated into the SPA's evaluation strategy. The system is described as follows:

Monthly Management Reports. The SPA formally adopted a group of reporting forms to be used by subgrantees in reporting subgrant activities and progress on a monthly basis.

Monitoring Visits. About 90 days into the subgrant period, a State or regional planner will visit projects to monitor progress. A simple form will be completed and sent to the SPA evaluation division. This visit is designed to determine if reasonable progress has been made toward project objectives and to spot any problems which could be taken care of at that early date in the subgrant period.

Grantee Self-Assessment. Six months into the subgrant period, the subgrantee will submit to the SPA evaluation division a self-assessment form provided by the SPA when the application is funded (at the same time as the subgrantee's monthly management reports).

Performance Audit. Between the eighth and eleventh months of a project's subgrant period, a member of the evaluation division's staff will contact the

project director for an appointment for an onsite visit. A form will be forwarded to the project director for completion prior to the visit. The purpose of the visit is to assess the degree to which the project has attained the goals or objectives specified in the subgrant application as funded or properly revised.

Program Evaluation. Should the program under which any given project is funded be selected by the SPA for intensive evaluation, more onsite visits will be required. Not all of the projects will be intensively evaluated. Only one program within each functional area will be so evaluated. After reviewing the criteria established by LEAA and reviewing the program areas funded by the SPA, the following criteria are applied to programs selected for intensive evaluation: priority projects, innovative character, size of grant, and nature of the project.

The SPA developed an evaluation design for the five program areas to be intensively evaluated. The designs included the following: data to be collected; procedures for collecting and handling the data; analytical procedures for drawing conclusions from the data; and procedures for summarizing, reporting, and using the findings.

OREGON

Auditing

The Oregon SPA contracts with the accounting division at the State executive department for audit services. This method has proven to be the most cost-effective process because the audit staff is shared with the traffic and safety commissions and the Comprehensive Employment Training Act program.

Each quarter, the SPA indicates in writing the audits to be performed. The audits are scheduled by RPU's and all completed projects are reviewed. An audit report is issued to the SPA, and it becomes the SPA's responsibility to resolve all citations.

An audit report transmittal letter is prepared and sent to the RPU with a copy of the report. The transmittal letter outlines the citations and the time frames for a response. The SPA attempts to resolve all citations within 60 days of receipt of the audit report.

Monitoring

The SPA reviews all grants and determines how often and to what extent project performance will be measured. This is done prior to project implementation. The monitor reviews the SPA work schedule and selects dates for completing onsite visits to State

agencies and the 14 regional districts. RPU staff in the proposed full-service districts prepare schedules for monitoring visits within the region, and provide such schedules to the SPA monitor.

The monitoring performed by either the SPA or RPU staff insures that the subgrant application and the subgrant process provide the prerequisites of an internal assessment of each project by the subgrantee as well as more intensive monitoring and evaluation activities as determined by the SPA. These prerequisites include: explicit identification of the problem in measurable terms with supporting data; well-defined goals with explicit objectives that are measurable and, additionally, activities that are related to the accomplishments of the objectives shall be specified with time frames for such activities; specific indicators and measures to be used to assess the progress and results of the project; and means of collecting and analyzing data for information to assess the project performance.

The SPA and RPU require subgrantees to conduct an internal assessment of the project activities and results. The internal assessment includes: an analysis of the results, progress, and impact of the project on a quarterly basis; a comparison of the problem before and after the project; a description of the implementation and operation of the project with timetables; and modification of program activities called for by the assessment findings.

Evaluation

The selection of projects and programs for intensive evaluation is based on a set of specified criteria which include several determinants within the broad factors of planning, methodological, and resource criteria.

Several projects or program cluster evaluations are in progress or will be implemented by the SPA. It is anticipated that six to 12 projects will be involved. The total number will be dependent on projects in the program clusters. The ongoing block evaluations cover adult corrections projects, regional information systems, and crime prevention projects, utilizing victimization survey data. Of primary importance is the ability to provide objective outcome information regarding effectiveness together with cost-effectiveness comparisons for planning and policy decisionmaking.

Technical assistance will be provided to subgrantees through a variety of means and activities. The technical assistance will focus on assistance in grant preparation to improve and insure the quality of grant proposals. This is an attempt to in-

sure well-defined problem statements and analyses, explicit and quantifiable objectives, and definition of the relationships between the project and program activities and objectives.

Additionally, assistance will be provided through the grant review process and onsite assistance to enable the subgrantees to provide an internal management assessment through reporting on their primary objectives and activities. This will provide subgrantee management, the respective district or State planner, the SPA, and LEAA with ongoing information regarding the status, accomplishments and problems.

PENNSYLVANIA

Auditing

The Governor's Justice Commission (GJC) currently has a five man audit division based in its central office. This reflects a 50 percent reduction over past audit activity and is due to a cut in State funds. A planned expansion was not implemented due to a State hiring freeze.

Projects are scheduled for audit approximately three to six months after the grant period with priority given to larger subgrants, i.e, those involving more than \$25,000 in Federal funds. The goal is to have approximately 50 percent of all projects audited within one year following the Federal lapse date of the funds.

The GJC adopted an auditing procedure consistent with standards and procedures as prescribed by the American Institute of Certified Public Accountants. This auditing procedure is designed to cover both fiscal and operational aspects of the project. Financial auditing determines the degree of project budget adherence and ascertains that project expenditures were in accordance with LEAA and GJC regulations. It also establishes that required matching contributions meet project guidelines and GJC policy requirements. Operational auditing ascertains whether the goals of the project were achieved; proper management controls existed and met LEAA regulations; and if a cost-efficiency ratio can be determined.

The following chart shows the number and the total dollar value of Parts B, C, and E subgrants audited by the GJC as of July 1, 1977:

	Total Number of Subgrants Audited	Total Number of Subgrants Awarded	Dollar Value of Subgrants Audited	Dollar Value of Subgrants Awarded
FY 1969	187	187	1,779,885	1,779,885

FY 1970	420	420	10,987,222	10,987,222
FY 1971	535	535	23,008,646	23,008,646
FY 1972	472	525	22,503,597	27,201,499
FY 1973	557	772	24,531,567	31,479,902
FY 1974	362	804	16,098,821	31,748,927
FY 1975	113	773	4,407,314	36,193,503
FY 1976	13	582	742,025	33,699,494

The audit of the SPA is performed by the State auditor general. This audit will be performed in the near future and then will be done on a biennial basis.

Monitoring

A seven man evaluation and monitoring division is based in the central office of GJC and is responsible for establishing policy and procedures in these areas. This effort is further supplemented by the SPA's eight RPU's which conduct 80 percent of the monitoring efforts.

Monitoring of every project consists of two types: review of applicant performance reporting and performance monitoring.

Performance reporting focuses on what is being accomplished in the implementation and operation of a project. In developing an application, every applicant must provide a project assessment plan describing anticipated impacts and relevant performance measures. Regarding information provided in their approved applications, subgrantees are required to maintain adequate data files and report project activities and accomplishments. Subgrantees are required to submit a quarterly program report and a quarterly financial report.

Presently, approximately 1,000 quarterly progress reports are received by the SPA at the end of each quarter. Given this large number of reports, approximately 25 percent are randomly selected each quarter for review by evaluation and monitoring division staff. If reports are incomplete, additional information is requested. If a project is having severe problems, a site visit by an SPA monitor, regional planner, or SPA auditor may be performed. If the progress report is deemed acceptable, it is stamped "official" and filed in the Governor's Justice Commission's master file.

Performance monitoring focuses primarily on the project's progress and accomplishments. Review of the quarterly progress reports and comparison with the subgrant application provide the basis for monitoring. Almost all projects receive at least one site visit, most often prior to consideration of an application for continuation funding. Approximately 25 percent of the projects will receive two or more site visits. Generally less intensive monitoring efforts are required in the areas of proven or stand-

ardized training and standard equipment purchases while, conversely, evidence of insufficient or misdirected project progress may necessitate more intensive monitoring efforts. Monitoring is not generally required where independent evaluations are conducted, although supplemental monitoring may be desired to meet specific needs for additional information.

Evaluation

The GJC's intensive evaluation effort consists of project and program evaluations.

Project evaluation, which focuses on project impact and the effectiveness of specific projects, is generally accomplished by the use of independent evaluators supported by Part C or Part E funds. The independent project evaluators are competitively selected independent professionals with specific expertise in the area to be evaluated. Approximately 20 projects funded with 1977 monies are expected to be evaluated by this method.

Program evaluation provides for the comparison of projects with similar objectives to determine the internal efficiency and relative effectiveness of the alternative strategies for meeting program objectives. This is done by staff of the evaluation and monitoring division with only minimal use of contracted consultants. Program evaluation is supported through the use of Part C funds earmarked for evaluation, and LEAA model evaluation funds.

Presently, the SPA is involved in the implementation of a program evaluation of the projects funded under the Juvenile Justice and Delinquency Prevention Act. It is anticipated that one or two other program evaluations will be selected during the coming year. However, the program areas have not yet been designated. It is anticipated that future efforts will increasingly concentrate on program evaluation.

PUERTO RICO

Auditing

The SPA's audit system and procedures are comprehensive and consistent with generally accepted auditing standards and LEAA's audit guide.

The auditing unit consists of a director, five auditors and a secretary. Staff members are highly qualified. Audit plans are prepared semiannually and are ongoing during the whole year. Financial operations, accountability, compliance with laws

and programs, and management operations are reviewed.

An internal audit manual prepared by the SPA established methods and procedures for auditing subgrantees. After completion of an audit, the auditor meets with the project and finance director to discuss findings. An agreement is reached and a final report is submitted to the project and finance director, agency or organization head, SPA director, and grants administrator who is responsible for followup. A reply is required from the subgrantee within 20 days. Serious irregularities such as fraud, theft, embezzlement or forgery are forwarded to LEAA's Office of Audit and Investigation. Records are kept for five years.

Until 1972, all action and planning projects were audited at least once during or after operations. Since then, due to the volume of projects, a selective method is used based on such factors as date of grant, duration period, dollar volume, type of organization or program, prior experience, etc. From 1974 to 1976 the SPA auditing unit has audited 87 of the 206 subgrants awarded. Of the \$26.2 million of Federal monies and \$6.4 million of State funds awarded to subgrantees, \$14.9 million and \$3.5 million respectively were audited.

The SPA in turn is audited by the Commonwealth's Office of the Comptroller. Due to an overcrowded schedule, the comptroller has been auditing the SPA every two years.

Monitoring and Evaluation

The organization of the evaluation and monitoring functions within the SPA attest to the emphasis the Commonwealth attached to its performance measurement.

The SPA contacts outside evaluators when necessary and financially possible, retains a consultant on an hourly basis, utilizes the 14 program specialists for monitoring, and has employed seven other professionals to plan, administer, and conduct evaluations.

All projects are evaluated. Findings are used as feedback for program improvement and decision-making purposes.

A task force reviews the individual programs and projects, and recommends alternatives of evaluation that are considered appropriate. Criteria are selected upon which to determine the programs and projects to be intensively evaluated. The task force also formulates operating procedures to coordinate all aspects of SPA operations.

A bidding committee within the SPA screens

evaluation proposals submitted by third party evaluators.

Evaluation results are utilized by the planning unit in preparing the comprehensive plan. At all levels of the evaluation process, results are used for program improvement and redirection. Results and findings are also disseminated to local government agencies and other subgrantees.

RHODE ISLAND

Auditing

Audits are performed by the SPA on subgrantees by a staff consisting of a supervisory auditor and two staff auditors. The audits are performed in accordance with generally accepted standards to determine the fiscal integrity of financial transactions and compliance with applicable laws, regulations, and administrative requirements. The Bureau of Audits conducts a thorough financial audit. There is a sufficient review of the underlying or supporting documentation for the receipt and expenditure of planning funds. Because of limited manpower and an extremely demanding workload, the bureau does not perform efficiency and performance audits. The SPA has established guidelines for the clearance of audit reports. It is the intent of the SPA audit policy to satisfactorily review 25 percent of the grants and 50 percent of all the funds awarded yearly. No dollar limitations are established for the audit of grants to be reviewed.

Monitoring

The SPA has developed a State strategy for monitoring the implementation, operation, and results of all the projects it supports; and for intensively evaluating the results and impact of selected activities. The SPA has contracted on a yearly basis with a private, nonprofit research organization to perform project evaluations of selected SPA/LEAA-funded projects. A full-time Part C-funded evaluator works with the assistance of a "blue ribbon" advisory panel. Approximately \$200,000 for onsite monitoring, auditing, management information, research and evaluation has been allocated for 1977.

Evaluation

The SPA has allocated \$20,000 in its 1977 use of Part C funds for the continuation of the evaluation effort. The costs of the administration of the evaluation division approximated \$18,000 for the research and evaluation coordinator and \$80,000 for five field representatives. The evaluation coor-

dinator is responsible for planning and administering the evaluation effort; the director of administration is responsible for the planning and administration of the monitoring activities and will coordinate all evaluation-related monitoring activities with the research and evaluation coordinator.

The evaluation function in the SPA is the responsibility of the research and evaluation section. The section's role in carrying out its responsibility is one of coordination of the efforts of its own staff contract consultants and other sections of the SPA in gathering facts and disseminating information. The research and evaluation section thus acts as an information exchange for ongoing programs and projects, providing the feedback loop for data which become input to the planning process.

The evaluation coordinator performs the following basic steps in the design and implementation phase of project evaluation: establishes agreement with management on which objectives, goals, and activities are to be evaluated and are satisfactorily measurable; establishes agreement with those to be evaluated on which goals, objectives, activities, and results will be evaluated; develops procedures to obtain the type and quality of information required; and assures utilization of the evaluation information produced.

By using the above steps, the evaluation coordinator seeks the opinions, concerns, and knowledge of a variety of interested parties for consideration in the evaluation design and implementation phases. As the preapplication requirements are fulfilled, monitoring will give planners quick feedback on progress and problems of the project. Immediate attention is given and recommendations are to be made for project improvement. Development of success indicators will remind project directors of the goals of the project. These indicators are means by which problem solving is improved and focused. Reporting of monitoring activity is accomplished by means of the monitor site visit form completed for each field monitoring visit, the monthly report of monitoring activity, and informal memos within the SPA concerning conclusions reached upon reviewing progress reports. Upon completion of final evaluation reports, the Council for Community Services submits the reports to the executive director who sets in motion various processes to insure timely feedback concerning the use of the evaluation reports. The reports are submitted three months prior to the end of the project period. The results of the evaluation reports will be forwarded to the appropriate local district council, project director,

highest elected official, or the director of the State agency when appropriate.

SOUTH CAROLINA

Auditing

The Office of Internal Audit, as a part of the Governor's office, is responsible for providing the audit services needed by the Office of Criminal Justice Programs (OCJP). Two full-time auditors under the supervision of the chief of audits, perform subgrantee audits. The current number of auditors utilized on OCJP activities is felt to provide an effective audit service to OCJP which complies with the requirements placed on it. The OCJP and the Office of Internal Audit have established procedures which provide that subgrants be audited on a current basis. The procedure is as follows:

OCJP sends a written request for the audit of Part B, Part E, and discretionary funds, and program reviews, evaluations, and surveys. All district planning grants (Part B) will be audited annually, immediately after the close of the planning grant. Part E and discretionary grants will be audited within 90 days of the request under normal circumstances. Reviews, evaluations, and surveys will be conducted with a priority specified by OCJP in accordance with its needs.

The OCJP, in coordination with the Office of Internal Audit, will insure that the scheduling of audits for subgrants will meet the minimum suggested standards, i.e., 25 percent of action grants and 50 percent of all funds awarded each fiscal year. To accomplish this standard, priority is given to the currently active fiscal years. Therefore, during the current fiscal year, 1976 receives first priority, 1977 second priority, and 1978 third priority, with the years prior to 1976 being considered on an as-needed basis.

A letter audit report to the director of OCJP will be prepared upon completion of the audit. The report will normally cover no more than one applicant agency or contractor since it will be distributed to the claimant. The audit report will not be used to disclose matters that may require investigation. The discovery of possible fraud or irregularities during a survey or audit will be disclosed to the chief of audits and the Governor.

The procedure established to provide increased efficiency and effectiveness in the clearance of audit findings is outlined as follows. At a minimum, an initial response to the report is required within 45

days of the audit issuance date. Upon the receipt of an initial response, the reply is reviewed to determine whether the described resolution is felt to be appropriate. If the resolution is found adequate, the file is closed and the date is entered on the form as "date audit cleared." If the initial response does not resolve all matters, additional information is requested. The date of such a request is entered on the form as "additional response requested." The procedures are continued until all matters have been appropriately resolved. The audit clearance process is expected to be completed within 90 days from the date the audit report is issued.

Monitoring

The evaluation unit of OCJP is responsible for administering the flow of OCJP's monitoring. A monitoring code placed on the funded application by the evaluation unit determines by whom and when a project receives a programmatic or evaluation monitoring. Once a grant is coded, all future routine scheduling decisions as to when, how, and by whom a project will be reviewed are automatic. Fiscal monitoring, while interacting with programmatic and evaluation monitoring, is neither scheduled nor dependent upon these types of monitoring. When the Office of Criminal Justice Programs produces a final evaluation report, a fiscal overview will be part of the feedback report.

The selection of a monitoring code is determined by the following factors: Is the project related to a priority standard or goal? Is it anticipated that there will be statewide impact on the criminal justice system? How much money does the project cost? Could the evaluation of this project produce new knowledge for use in other areas? How controversial is the program?

Using these criteria, a variety of monitoring types have been developed for 1978. This monitoring schedule shows who is to be responsible for conducting the monitoring, whether a unit within OCJP or a regional planning unit; how often a project will be monitored; and what types of monitoring the project will receive (programmatic, intensive evaluation, inspection, or any combination of these).

These types of monitoring schedules are as follows: one programmatic monitoring by OCJP; one monitoring report by an OCJP specialist when the equipment or system has been signed off by a radio consultant contract; and two programmatic monitoring visits by OCJP during the fifth and eleventh months of the project. Subgrantee application will specify that they will submit a final evaluation

report; will receive one monitoring visit by regional or OCJP staff if subgrantee is a State agency during the sixth month of the project, and three visits by OCJP staff for data and programmatic monitoring. OCJP will write the final evaluation based upon monitoring and data collection. Data to be collected will be specified by OCJP project criteria.

Evaluation

South Carolina requires that selected projects be more intensively evaluated than others. These intensive evaluations are conducted by the OCJP evaluation unit or independent third-party evaluators. Consultants are hired to provide specialized services where the evaluation unit has limited staff capabilities or expertise, or has conducted a preliminary report where the findings are of questionable impact. Contracts are awarded for the evaluation of those areas that are so major in scope as to necessitate added personnel who have specialized skills and objectivity. Projects to receive intensive evaluations are selected on the basis of relationship to standards, cost, scope, innovation, and controversial impact. The OCJP evaluation staff spend 80 percent of their time on these projects.

A Request for Proposal is prepared when a third-party evaluation contract is let. The responses to the RFP are reviewed on the following criteria: proposal's understanding of the evaluation task; the technical approach proposed; experience and competence of personnel who will conduct the evaluation; experience and competence of the organization; the adequacy of facilities, equipment, and support capability; and management plan and data collection effort for conducting and controlling the evaluation.

SOUTH DAKOTA

Auditing

The audit of subgrants is performed by a consultant CPA firm under the general direction of the secretary of public safety and the director of the State Planning Agency.

The audits are conducted in accordance with generally accepted audit standards as adopted by the American Institute of Certified Public Accountants and as stated in "Standards for Audit of Government Organization, Programs, Activities, and Functions" published in 1972 by the U.S. General Accounting Office.

Audits review the controls and procedures used

by the subgrantee to determine the adequacy and effectiveness of the controls and procedures; the compliance with applicable laws, regulations and guidelines; economy and efficiency in the use of available resources; and project results examined in accordance with standards. The reliability of the monthly financial reports is also examined. The emphasis of the audits is to improve the system as a whole. The major emphasis of audit findings, responses, and audit actions is the improvement of the system. This does not preclude audit findings on specific points and questioned costs.

Audits will be conducted on a reasonable amount of action grants awarded by the State Planning Agency and, where applicable, are coordinated with the State auditor general's office.

Audit reports are prepared for each agency and/or subgrant audited. Audit reports render an opinion as to the reliability of the financial reports and questioned costs contained in the audit reports based on the generally accepted standards. The report also contains a management letter which recommends corrective action.

All audits are reviewed extensively by the SPA audit manager. The audit manager assists the subgrantee in resolving the audit by offering guidance in the preparation of necessary information and documentation. This documentation is presented to the audit subcommittee. Where, in the opinion of the audit subcommittee, the documentation does not satisfy the questioned costs, those dollar amounts still in question must be refunded to the SPA.

Monitoring and Evaluation

The State Planning Agency's evaluation unit has devised an evaluation strategy and included it in a workplan. The workplan is a direct result of a request from district planners for a voice in the SPA's evaluation strategy.

The workplan is very comprehensive and suggests creating three separate categories for Division of Law Enforcement Assistance grants. Every DLEA grant would belong in one and only one category, and each category would have special requirements. For example, in addition to current programmatic standards, subgrantees with projects falling into category A must agree to submit a final report on the project. Programmatic grant administration for projects in category B, would require onsite monitoring by the district and/or State personnel every six months, receipt of quarterly reports every three months during the life of the

project, and a final report at project close. Grants falling into category C require the most intensive management effort of the three. Grant administrators at the regional and State level would be involved in onsite monitoring every three months of the project period. An evaluation component must be prepared and implemented. The subgrantee is obliged to submit both quarterly reports and a final report.

The Division of Law Enforcement Assistance evaluation unit was expanded to two full-time employees in December of 1976. The evaluation unit is funded from Part C funds, and will request \$50,000 in Part C funds from 1978 Part C block.

The division will intensively evaluate at least one project during the coming year. That project is a juvenile delinquency prevention project entitled Project Identity.

Additionally, the Division of Law Enforcement Assistance staff expects to more intensively evaluate an inschool suspension project and a contract law enforcement project.

TENNESSEE

Auditing

The Tennessee Law Enforcement Planning Agency, under contract with its umbrella agency, has three auditors assigned who perform audits of subgrantees. During the past several years, the audit activity has been below the levels of coverage (25 percent of subgrants and 50 percent of funds) as adopted by the National Conference of State Planning Agency Administrators.

Although the audit activities and capabilities are not in line with the standards promulgated by the U.S. General Accounting Office and the LEAA Office of Audit and Investigation, they are considered generally acceptable.

Monitoring

The monitoring efforts and activities of the Tennessee Law Enforcement Planning Agency involve the utilization of nine field specialists in conjunction with the agency's statistical analysis and evaluation unit. The field specialists perform onsite review of each project every 90 days. The statistical analysis unit employs a monitoring team approach, and in 1978 will visit all subgrants in excess of \$25,000.

The TLEPA requires that project status reports

be submitted quarterly by each subgrantee which indicate the project achievements and problems. This serves as an early warning device for potential problems.

Evaluation

The Tennessee Law Enforcement Planning Agency's efforts and activities in the area of evaluation have improved greatly during the past year. Past efforts represented little more than indepth monitoring; however, current activities will provide reliable measures of project performance. These measures will be used to assess the need for future program areas and will provide models for other projects.

The TLEPA has recently completed a monitoring and evaluation manual. Workshops and seminars were held during 1977 for criminal justice specialists and subgrantees at all levels to improve both the monitoring and evaluation efforts.

TEXAS

Auditing

The Criminal Justice Division (CJD) employs seven auditors who are directly involved in the audit of subgrantees. The director of auditing reports to the CJD's Office of Management Coordination which reports to the executive director. All subgrant audits are performed by CJD's audit staff. CJD has established an internal audit review board to handle any appeals. An audit manual including report preparation and finalization has been developed by CJD. CJD has developed and made available to all auditees appeal procedures.

CJD's audit staff has audited 564 grants as of March 31, 1977, which amounts to \$37 million in Federal funds, which is 17 percent of the total Federal funds received. For the period April 1, 1976 through March 31, 1977 some 135 grants were audited amounting to \$8,533,499.

Monitoring and Evaluation

Evaluation is the responsibility of the system research and planning section of CJD. Specifically, it is assigned to the research and analysis unit of this section.

Monitoring activities are conducted by both the comptroller's section and the system program management section of CJD. The comptroller and

the director of system program management report to the executive director through the Office of Management Coordination as do other section chiefs. Financial monitoring is under the overall administrative and operational supervision of the comptroller and programmatic monitoring under the supervision of the director of system program management. Actual monitoring activities are conducted by program grant managers, financial monitors, and budget analysts. Program grant managers are supervised by the director of system program management, since all grant managers are housed in that section. Financial monitors and budget analysts are housed in the comptroller's section and are subject to the comptroller's supervision. Both the system program management section and the comptroller's section are identifiable sections of CJD, and the monitoring function is an identifiable function of both of those sections.

A total of 13 professional positions are involved in project monitoring, both programmatic and financial. This number includes nine grants managers, one financial monitor, and three budget analysts.

CJD monitoring responsibilities are twofold, including both review of grant applications to insure provisions are made for internal assessment, and review of project progress during the grant's lifetime.

The information derived from monitoring is used in an ongoing manner as program personnel and the comptroller's section conduct grant management activities.

Monitoring information provides the basis for technical assistance in certain instances, and flags gross operational shortcomings in others. Monitoring reports also serve as valuable input to the evaluation process, since monitoring reports and monitoring results address single projects, and evaluation is concerned with the broader spectrum of groups or types of projects constituting a program category of broad scope. As is evident, monitoring results are widely utilized in the conduct of evaluation activities which are in turn valuable in assessing the advisability of continuing, modifying, or abolishing broad programmatic provisions in the State plan.

A majority of CJD evaluation efforts in past years have been directed at development of an adequate criminal justice data base. For the 1978 fiscal year, CJD proposes to intensively evaluate two programs. For the same year, they propose that 200 to 240 grants will be financially monitored and 350 to 400 grants programmatically monitored.

TRUST TERRITORY OF THE PACIFIC ISLANDS

The Trust Territories were not eligible for funds under the LEAA program until the most recent revision, the Crime Control Act of 1976. Since passage of that legislation, the Trust Territories have been gearing up for acceptance and implementation of LEAA funds. To date, however, no Part C, Part E, or Part B funds have been awarded.

The State Planning Agency has recently been established, via an executive order of the High Commissioner, and is currently in the process of hiring staff. The audit, evaluation, and monitoring mechanisms will be developed over the next several months.

UTAH

Auditing

The Utah Council on Criminal Justice Administration currently employs one full-time and one part-time auditor for the purpose of auditing SPA subgrants of action and planning funds. These auditors report directly to the commissioner of the Department of Public Safety.

There are no plans to change the size of the audit staff in the near future. On occasion, the SPA has contracted with private agencies to conduct subgrantee audits, but has no plans to do so during the next fiscal year.

Audits are done in accordance with standards published by the United States General Accounting Office. Each year an audit plan is developed which sets forth a systematic approach for accomplishments of audits. As a minimum goal, audits are conducted on 25 percent of all subgrants, to include 50 percent of the dollars awarded in a given block grant. Where applicable, audits are coordinated with the State auditor's office.

In general, the audits emphasize a review of subgrantee controls and procedures; compliance with applicable laws, regulations and guidelines; economy and efficiency in the use of resources; and the reliability of monthly cost reports.

An exit audit conference is usually held between the subgrantees and the SPA auditor. When circumstances warrant, the grants manager and the appropriate program specialist may also be present at the exit to discuss the proposed findings. The subgrantee is given the opportunity at the conference to respond to the proposed findings. It is then that

the final audit report is prepared and submitted to the commissioner of public safety, UCCJA director, and the subgrantee. If a disallowance is made, it is up to the grants manager on behalf of the agency to resolve the disallowance with the subgrantee. Once all recommendations and disallowances have been either cleared or resolved through the grants manager, the audit report is deemed closed.

Monitoring

The SPA has ultimate responsibility for monitoring of all federally-assisted subgrants within the State. However, regional planning units have been assigned monitoring responsibilities for subgrants funded from their regional allocations of block grant funds.

The purposes of the monitoring effort are to improve subgrantee performance by measuring the extent in which stated goals and objectives for their projects are being attained, and insure compliance with Federal and State statutes and guidelines.

The tools of monitoring are technical assistance, onsite visits, deskside reviews, review of quarterly progress reports, review of monthly fiscal reports, followup on special conditions attached prior to the grant award, and the imposition and/or approval of grant changes during the life of the grant. The monitoring insures that the subgrantee is aware of and is provided with the mechanisms to achieve the stated goals and objectives of the grant.

Evaluation

Evaluations are the responsibility of the planning and evaluation section of the SPA. The section's coordinator is also responsible for the overall development of the State plan and district planning efforts.

Of the four persons in the planning and evaluation section, three are full-time evaluators. This number represents 16 percent of the professional staff in the agency.

In addition, the statistical analysis center provides invaluable assistance in data collection and interpretation, computer program use, and backup help.

Part B planning funds are the sole source for evaluation expenditures. No Part C funds are used for evaluation.

Since 1972 the evaluation process has changed from reports prepared by planners to analyses conducted by a separate evaluation staff. Evaluation content has gone from intensive monitoring to impact evaluation. The status of evaluation has

developed from a sometime luxury to a requirement.

In 1976 the evaluation staff of three and one-half persons evaluated 30 projects and eight programs. Thirty-nine projects and seven programs will be evaluated in 1977. In the past, approximately one out of every four projects has not been continued based on evaluation information. Of those projects that were continued, 94 percent of the recommendations made in the evaluation reports were implemented.

Three types of evaluations are conducted. Project evaluations are performed to determine results, to provide a basis for deciding if continued funding is warranted, and to identify program impact.

Programs are evaluated to assess if projects are having an effect and to provide information for determining plan money allocations. The court program evaluation, including its 12 projects, was made in 1976. This was one of eight programs evaluated last year.

A new aspect of evaluation began on a regular basis in July. Issue evaluations focus on activities and agencies, major issues, etc., which are not funded (or only slightly funded) by UCCJA. An example of this type of evaluation was the statewide study of law enforcement communications. Problems, values, facts, and solutions were identified and analyzed. Issue evaluations are conducted at the request of council members or the administration.

Before the actual evaluation is conducted, an evaluation design is developed, usually at the start of the project. The design is prepared by the evaluator and then reviewed and approved by the district planner, the State planner, and the project director.

Final reports are reviewed by the review and analysis committee (RAAC), local planners, State planners, and the project director. The RAAC utilizes the evaluation report for making net funding decisions. In addition, evaluation summaries are published and distributed every six months to criminal justice administrators throughout the State.

Program evaluations are made as part of the development of the State annual action plan. Each program and all projects in that program area are reviewed. Program evaluations are published in the progress report one month before the State annual action plan is prepared.

Half of Utah's 14 programs are evaluated each year, which means all programs are done every two years. Program evaluations are used by planners to assess program effectiveness and project accomplishments. Program evaluations are distributed

to State and local council members to aid in deciding program allocations for the next year.

VERMONT

Auditing

All financial audits are performed by using generally accepted auditing standards and procedures as recommended by GAO and LEAA. It is the intent of the audit policy of the SPA to satisfactorily complete audits of 25 percent of organizations receiving LEAA funding totaling 50 percent of all funds awarded. Grants selected for audit are picked via a random sampling process unless a special request for audit is received.

Various audit objectives are incorporated into the review to determine if the subgrantee's expenditures are made in accordance with Federal and State government rules and regulations; if expenditures are made within the constraint of the budget specifications; if an adequate accounting system is being maintained; and if internal controls are adequate.

The audit program details areas to be covered during the audit and provides the auditor with steps to follow in order to adequately perform the review. Audit findings are addressed to the executive director. When a final audit report addresses audit exceptions, the executive director assigns the task to an appropriate staff member to resolve the issue. However, the final authority on clearance of audit exceptions remains with the executive director.

Monitoring and Evaluation

The SPA describes in detail how performance measurement, specifically project monitoring and evaluation, are used to develop information which feeds back into plan development. In order to obtain the proper feedback, the project manager prepares progress reports to help in determining if the project should continue. By intensive monitoring and evaluation by the project manager and planner, the SPA is involved in strengthening feedback and thus is able to determine which projects should continue to be funded.

The SPA has developed a State strategy for monitoring and evaluating the results and impact of selected activities for the following areas: Local participation in carrying out project monitoring and evaluation functions extends from development of indicators through sharing of feedback information. The SPA employs one full-time evaluator at a

budgeted annual salary of \$19,072 and seven program monitors at a total annual salary of \$109,220. Part C money is used to support evaluation activities.

In addition to regular reporting of results, some projects will be asked to also use their progress reports to evaluate the success or failure of a project. Some activities could be carried out by attaching external expertise to the project or by dedicating project resources to doing the job directly. Reporting and corroboration of monitoring and evaluation information takes place in the context of the inquiry shared by evaluators, planners, and project managers. The SPA may add provisions for certifying that data and findings fairly represent project performance. The supervisory board receives documentation of this shared inquiry, in staff grant commentaries or evaluation reports, for finding and planning recommendations made by the staff. The results of monitoring and evaluation are available as part of the project records, refunding applications etc. Special distribution efforts are undertaken where appropriate.

VIRGINIA

Auditing

The audit of the Division of Justice and Crime Prevention is conducted by the State auditor of public accounts who has the responsibility of auditing all State agencies. This agency conducts audits on the SPA biennially to determine the fiscal integrity of financial transactions and reports, and compliance with laws, regulations, and administrative requirements governing the LEAA grant program. This audit is conducted in accordance with audit standards published by GAO.

The Virginia SPA currently employs five staff auditors which include an audit supervisor and four staff auditors. There are no plans to increase or decrease the size of the SPA audit staff at present.

The SPA audit staff adheres to the minimum audit standards for SPA's established by the National Conference of State Criminal Justice Planning Administrators. In addition to the audit standards, a general audit criteria has been established to determine the random representative volume (programs and dollars) of its subgrantees to be audited. This representative sampling will include, among other factors, dollar value of grant; location of grant; whether the subgrantee has been previously audited and the results of the audit; program category; and

past known record of a subgrantee's administration of SPA grants.

The SPA auditors are independent of any other SPA activity and report directly to the SPA director. Written reports are presented to the SPA audit review committee for its review and finalization. Procedures have been established for the transmittal of the audit report to the subgrantee, replies to be made and evaluation of replies, and official clearance of audit reports. These instructions are outlined in a document entitled "DJCP Staff Guide for Auditing and Inspection."

Monitoring and Evaluation

Virginia's evaluation unit is presently a distinct component of the planning unit. This evaluation unit consists of four professionals, two interns, and two clerical workers.

Virginia was one of seven States nationally that received discretionary funds from the National Institute under the Model Evaluation Program. With those funds, Virginia developed their Standard Achievement Monitoring System (SAMS). This system provides for intensive preaward review of all subgrant applications. The subgrantee is required to describe the evaluation planning that outlines or provides quantified goals, objectives, and data that will be collected. The evaluation unit reviews all subgrants to insure that the application provides the prerequisites for an internal assessment of each project by the subgrantees, as well as periodic intensive monitoring and evaluation activities as determined by SAMS. The written review document on the suitability of the evaluation component assures the grant administrator that the prerequisites for each subgrant application are adequate.

The SAMS further requires subgrantees to conduct an internal assessment of their own project results. This internal evaluation will include an analysis of the results and impacts of the project; a comparison of the problem; a description of the implementation and operation of the project, and modifications of program activities called for by the assessment findings.

The standard achievement monitoring system provides for monitoring the implementation, operation and results of all projects it supports. Such monitoring compares the activities carried out and the results achieved with those specified in the grant application. Monitoring will be done quarterly on a self-reporting basis in conjunction with submitted financial reports. An examination of the results of the project will be made. If the assessment reflects any

problems, the same will be related to the DJCP coordinator responsible for that particular grant.

The information collected on monitoring report forms will have four major purposes:

- On a quarterly basis, the project director can refer to the projected outputs he established as objectives for his grant, measure the degree to which these objectives have been met, and determine whether he should redesign some of the procedures being used in implementing the project or reassess his objectives to fall into closer alignment with actual outputs.
- On a quarterly basis, the DJCP program coordinators can use exceptional monitoring reports to identify projects needing technical assistance and to aid in establishing reasonable objectives for potential applicants in a given program category.
- Annual summaries of data from monitoring reports will provide the basis for comparative analysis of the projects within a category as measured by cost-effectiveness, ability to achieve stated objectives and relative success where this information (i.e., client followup) is recorded on the monitoring system.
- Finally, examination of quarterly monitoring reports with emphasis on the types of projects experiencing the most difficulty in achieving stated objectives will provide direction in determining where more intensive evaluation might be indicated.

DJCP will intensively evaluate, with its own staff or in cooperation with other agencies, selected projects or groups of projects according to planning needs. Intensive evaluations will incorporate sound methodologies including, as appropriate, experimental designs developed prior to project implementation, control groups, and independent data collection and analysis. The criteria which will be used to select the projects or programs to be intensively evaluated are as follows: dollar value; decision on refunding; priority level in stated goals, and objectives; scope—statewide, regional, and local; transferability or replicability; relative cost of evaluation versus program cost; direction of higher authority; completion of comprehensive study in other fields; number of people involved; consistently

occurring exceptions; innovative character; and controversial nature.

In summary, the DJCP standard achievement monitoring system includes: periodic site visits and interviews with project staff and clients; examination of the results of the project; assessment of the progress and the problems of the project to date; effective reporting procedures documenting project performance, and provision of a foundation for evaluation.

THE VIRGIN ISLANDS

The Law Enforcement Planning Commission's audit, monitoring and evaluation system is located within its project management division, which consists of a director, a project monitor, an auditor, and an evaluator.

Auditing

The SPA developed audit procedures which comply with LEAA requirements. However, these procedures have yet to be implemented. LEAA will be monitoring adherence to the procedures during the next fiscal year.

Under the reorganization, past project performance information will be used by the planning and program development divisions in future comprehensive plans and project planning.

Monitoring

SPA procedures allow for quarterly monitoring of subgrants and corresponding followup corrective action. These procedures have been neglected previously. However, with the appointment of a new administrator in March 1977, and a reorganization of LEPC, monitoring of subgrants has improved according to the 1977 SPA monitoring report.

Evaluation

LEAA waived the 1977 comprehensive plan intensive evaluation requirements since LEPC-funded projects generally cannot generate the quantitative data necessary to measure program impact on crime and the criminal justice system. Experience with a 1975 discretionary grant showed that evaluation results did not justify the cost, time, and effort spent due to the lack of sophistication within the territorial system. Instead, LEAA required that the SPA hire an evaluation specialist to conduct limited impact evaluations for subgrantees. Specifically, the evaluator will develop evaluation designs, specify

data to be collected and methods for collection, analyze results, prepare reports, and train SPA staff. LEPC is currently intensifying recruitment efforts so that a specialist is hired by October 1, 1977. The 1978 comprehensive plan intensive evaluation requirement will most likely be handled in the same manner.

WASHINGTON

Auditing

To assure conformance with M7100 requirements, the SPA contracts with the State auditor's office which, in turn, performs fiscal audits of subgrantee and action grant projects and of the State Planning Agency itself. In addition, the State auditor's office, out of its own budget, performs a financial audit of the SPA as required by State law. The financial audit for this year will be completed by January 1, 1978.

Subgrant audit costs are projected at \$29,191 for 1978 with an additional \$10,000 budgeted for the M7100 compliance requirements audit.

Monitoring

The monitoring functions are the responsibility of the resources management division and are directly supported by \$20,000 in Part B funds. This unit includes four area services consultants who will spend 25 percent of their time in operational monitoring. The schedule for 1978 establishes a goal of three monitored projects per month per staff member for a total of 144 for the year. Additional projects will be monitored as part of an upward mobility training effort and will result in an additional 12 projects monitored in 1978.

Law and Justice Planning Office policy establishes four types of operational monitoring: implementation, program, fiscal, and evaluation. Operational monitoring assesses short term quality control of day-to-day fiscal, programmatic, evaluative, and administrative procedures and probable performance.

Evaluation

The Washington SPA continues in 1978 a strong commitment to evaluation and feedback of the results to local and State decisionmakers. The evaluation effort will be supported with \$325,000 of Part C monies for the State and the largest regional planning units. Regional evaluation will total \$180,000 with \$145,000 for the State. Out of the

State's funds, \$50,000 will be used for independent contracts. There are five regions with full-time evaluators, with two more regions committing funds for evaluation. The State staff consist of two evaluators and a research analyst.

Selection of projects for evaluation is predicated on those projects which appear to represent the highest probability of reducing crime and recidivism and/or are supported with large amounts of grant funds. Within this policy, regional and local committees can direct regional evaluations or allocate funds for local evaluation needs.

Project evaluation designs may be instigated by project personnel, regional planners, or evaluators; or by advance technical assistance by LJPO evaluation staff. All designs are reviewed by LJPO staff or its contractors, and required data elements may be added to the subgrantee's contract as a funding condition. There are standard special conditions regarding evaluation attached to all grants, and for the 1977-1978 year, a computer terminal is available for storage and manipulation of data. Compiled data will be part of the planning process.

Evaluation is conducted on process (a description of a project's activities), outcome (using statistical techniques to determine that change is attributable to the project), and impact (using a method of hypothesis testing within a framework of experimental design). Additionally the State evaluation unit will, in 1978, undertake a study to examine continuation policies, local project cost assumptions, and bases for determination to continue funds.

Utilization of evaluation results include: inclusion of findings in phase II of the planning process; use of baseline information for project justification; and as information for the supervisory boards on a quarterly basis through the LJPO produced "Criminal Justice Evaluation Review."

WEST VIRGINIA

Auditing

The Governor's Committee on Crime, Delinquency, and Correction established an internal Office of Audit in October 1974. Prior to that date, audits of subgrants awarded by the GCCDC were conducted by CPA firms and the West Virginia State Tax Department under contract with the GCCDC. The audit of the State Planning Agency itself, is conducted by the West Virginia Legislative Auditor's Office.

The Office of Audit presently has three auditors,

one of whom is the director. He coordinates administrative activities of the Office of Audit, establishes audit policy and procedure, coordinates the scheduling of audits and the actual audit work, and reviews the final audits before releasing them to the executive director. He reports directly to the executive director of the SPA. The staff auditors conduct audits at both the State and local levels. They report directly to the director of the Office of Audit and perform no other functions than those directly related to this office. No plans have been made at this time to increase the audit staff; however, discussions have been held concerning the possibility of adding one additional auditor to assist in compliance and performance auditing.

Audit policies and procedures are based upon generally accepted GAO audit standards and LEAA audit guides. In addition, the audit office has formulated a policy and procedure manual.

Audits have been conducted of the West Virginia Governor's Committee on Crime, Delinquency, and Correction by the State of West Virginia Legislative Auditor's Office. At the present time, no audit has been scheduled for the coming fiscal year. If an audit is not conducted this year, one will be scheduled for the next fiscal year to meet the LEAA requirement of performing an audit annually or at a minimum biennially.

The West Virginia Legislative Auditor's Office has agreed that the audit of the West Virginia SPA will determine, at a minimum, the fiscal integrity of financial transactions and reports, and the compliance with laws, regulations, and administrative requirements governing the LEAA grant program. The Legislative Auditor's Office is prohibited by West Virginia State law from conducting audits of the county and local levels of government.

The procedures used to conduct audits are governed by the LEAA guideline manual M7100. The resolution and clearance procedures utilized are also those of the LEAA Office of Audit and Investigation. The release of audit reports outside the SPA is in agreement with applicable laws and the Freedom of Information Act; and to the maximum extent possible, provides for the dissemination of such reports in whole or in part to those interested in such information.

At the present time, planning funds are not subgranted by the SPA. Consequently only action funds are audited.

The GCCDC has established a goal of auditing 25 percent of all action grants and 50 percent of the funds awarded (minimum requirements). It is pro-

jected that in future years after minimum requirements are met, the Office of Audit will endeavor to audit all grants awarded (100 percent) or as many as possible until the record retention requirement has lapsed.

Monitoring

The SPA's monitoring system is based on the size of its grants. The smallest grants, (Level I, less than \$10,000 in total funds), are not monitored at all but are audited upon termination; the next larger and more complex grants, (Level II, from \$10,000 to \$25,000), are monitored once at the fourth month; still larger grants, (Level III, \$25,000 to \$100,000), are monitored twice, at the third and ninth months; and the largest, (Level IV over \$100,000), are monitored three times at the third, sixth, and ninth months. All monitoring is performed by a team consisting of an auditor and two planners.

Evaluation

Evaluations are performed by the evaluation section of the program development division. Presently there is a chief of evaluations and two evaluators. The former is responsible for developing the SPA's evaluation plan for each fiscal year. The evaluation section either conducts each project evaluation or coordinates those evaluations which are performed by contractors for the SPA. In addition to the actual evaluation of selected projects and coordination of other evaluations, the evaluation section reviews each subgrant application to be sure that the provisions for evaluation and/or internal assessment are sound. The evaluation section is also responsible for coordinating the evaluation activities of the SPA with those of LEAA.

The evaluation section does not give intensive evaluation priority to continuation projects in their third or fourth year; new projects are emphasized instead. It further encourages funding agencies to attempt to evaluate their own projects. Projects are chosen for evaluation according to the following criteria: size of grant, innovative character, replicability or transferability, controversial nature, priority projects, duration and continuation, nature of project, and cost and difficulty of evaluation.

Given the limited amount of financial resources and evaluation staff, the low budget process and performance evaluation satisfies the agency's needs. Thus, evaluation focuses on the development of information relating to service projects useful for

policy decisions using limited budgetary and staffing resources.

WISCONSIN

Auditing

The audit staff consists of four auditors—a chief auditor and three staff field auditors. It operates independently of all other SPA units and is responsible only to the director. The audit section also investigates allegations of actual or suspected incidents of impropriety in regard to grant awards under control of the SPA.

The Wisconsin Council on Criminal Justice has detailed written procedures defining the WCCJ audit program. The auditors' duties and responsibilities are clearly defined. The SPA audit procedures require that at least 25 percent of all action subgrants and 50 percent of all subgrant funds awarded each fiscal year will be audited. In addition, a master audit program has been developed which clarifies WCCJ policy, audit techniques, and procedures. Audit clearance procedures have also been established which provide for the timely disposition of audit findings.

Auditors issue preliminary audit reports to which the subgrantee is given up to 60 days to respond. During this period the subgrantee is instructed to obtain the necessary approvals of the SPA's grants administration section. Within a month of receipt of the response to the preliminary audit report, the audit staff prepares a memo to the SPA executive director indicating the status of each finding that was in the preliminary report. The executive director then informs the subgrantee that if it is in disagreement with the final audit report, WCCJ should be contacted for further negotiation. The responses to the preliminary report and to either the request for additional dollars or the return of dollars are jointly monitored by the audit section and the grants administration section until resolution.

The WCCJ contracts with the State Legislative Audit Bureau to perform a biennial audit of the SPA.

Monitoring

Project monitoring is performed through a combination of onsite monitoring visits by program and evaluation staff, and reviews of quarterly reports submitted by subgrantees. Quarterly report requirements include a description of progress toward meeting objectives with appropriate documentation,

a discussion of implementation problems or changes in project expectations, and specific data requirements defined by WCCJ. For all client-based projects, specific performance activity measures are required.

Monitoring information is used primarily to make necessary modifications to increase the operational effectiveness of projects. Monitoring information is also seen as a tool for decisionmaking in the planning and funding processes.

Evaluation staff are currently working with program staff in preparing basic monitoring designs for each program description in the plan.

Evaluation

This section combines monitoring with evaluation and plans to monitor all programs and projects not scheduled for partial or intensive evaluation. The section is headed by a section chief who supervises the three teams that make up the section and who reports directly to the WCCJ director. The section has a great deal of responsibility and is succeeding in bringing the WCCJ to an accurate data base on which it can more effectively plan.

This particular unit has been expanded from two to a current level of 11 professionals plus one student intern with anticipation of adding two additional full-time professionals and one part-time clerical person in addition to three student summer interns. The total thrust of this expansion of evaluation capabilities is to reduce the SPA's reliance on contract evaluation.

WCCJ implements three levels of evaluation: monitoring, partial evaluation, and extensive evaluation. The definitions of monitoring and extensive evaluation are based on LEAA definitions and requirements. WCCJ has added an intermediate category called partial evaluation.

Monitoring involves the description of actual project results, operations, and activities; and compares these with planned project results, operations, and activities to determine to what extent project objectives are being met.

Partial evaluation involves description and analysis of program or project operations, implementation, and impact to provide an indication of the effectiveness of program or project operations, level of effort performance, and adequacy of performance. WCCJ will perform independent analyses of data.

Extensive evaluation involves intensive analysis of program and project impact, outcome, and processes designed to determine the extent to which

program or project impact and outcome can be attributed directly to the project or program. This involves the use of sophisticated research design and methodology, and utilizes accurate or conclusive information collected and analyzed by WCCJ.

WCCJ has developed a comprehensive plan which gives the number of projects to be evaluated, the level of evaluation, and what is expected from the subgrantee. The staff will also provide evaluative technical assistance to subgrantees to increase their capability to understand the use and limitation of evaluation.

WYOMING

Auditing

The Governor's Planning Committee on Criminal Administration (GPCCA) employs one auditor who reports directly to the administrator. The auditor is responsible for auditing Part C and E block and discretionary action funds awarded to subgrantees, and Part B planning funds awarded to the regional planning committees.

For action grants the auditor selects and audits a minimum of 25 percent of subgrants awarded each year comprising a minimum of 50 percent of the annual funds awarded. This complies with the audit standards established by the National Conference of State Criminal Justice Planning Administrators. Regional planning committees are audited biannually. The primary thrust of the audit function is directed to insure the integrity of fiscal administration of grant funds with concurrent attention to compliance with LEAA and GPCCA guidelines. The selection of subgrantees for audit is based primarily on the percentage of funds awarded each year within the program areas. The geographic distribution of the subgrants is also considered, to promote statewide coverage. The audit function retains a high degree of flexibility to insure that specific target grants can be added to the audit schedule as the need arises. These targets include subgrants and/or subgrantees experiencing difficulties in grant administration or fiscal accountability. These are identified by recommendations of other GPCCA staff members and previous audits. Each audit, in accordance with generally accepted State auditing procedures, includes an examination and test of financial transactions and evaluation of legal compliance, a review of efficiency and economy in the procure-

ment and the use of resources, and a review to determine whether desired results were effectively achieved. Upon completion of the audit and exit conference, the audit report is written in accordance with GAO reporting standards.

Monitoring and Evaluation

The freeing of adequate resources to perform an acceptable monitoring and evaluation function has been a recurring problem of GPCCA. However, all projects funded by GPCCA are desk monitored by the appropriate program consultant as he reviews the narrative progress reports, correspondence, and general grant-related activities of the project. Based on identified problems or specific requests, program consultants in the various functional areas are available to conduct onsite monitoring and to relay the results of the monitoring to the administrator and to the project director. GPCCA has recently developed a new onsite monitoring form which will decrease the amount of onsite time necessary to perform monitoring.

The 1977 strategy for evaluation consisted of selecting two programs for intensive evaluation by a contract evaluator and an additional four projects for evaluation by the SPA and project staff, and planning to expand monitoring based on availability of staff time and resources.

The SPA does monitor the implementation activities and results of all the projects through the required narrative progress reports for each project. The SPA will evaluate intensively, through contracted evaluators, a selected number (not to exceed two to three) of innovative, high-dollar programs in 1978. The results of monitoring, intensive evaluation, and planning within the SPA are reported to the executive committee and/or the full committee, and are utilized by the SPA in planning for new projects in years ahead. Results are presented to the members of the supervisory board for their consideration when the grants that have been evaluated, or similar types of grants, are proposed for funding.

The SPA makes the results of monitoring and evaluation available to both those agencies who were evaluated and monitored and to other agencies who may find the information of use. Two weeks is allowed for agencies to respond to evaluations before they are released to the public or to other agencies. In brief, the SPA has made significant progress in upgrading its monitoring and evaluation capabilities.

Section 519(1)(C)

Section 519(1)(C) requires the report to include: "the descriptions and number of programs and project areas, and the amounts expended therefore, which are innovative or incorporate advanced techniques and which have demonstrated promise of furthering the purposes of this title."

In collecting data for this section, the following definitions were used:

- *Innovative*—characterizing a program or project funded or undertaken by an SPA in its State which is new or introduced as new. "New" means new to the criminal justice system, to the best of the SPA's knowledge. It does not mean new to the State or new to the SPA.
- *Incorporate advanced techniques*—program or project area that uses new mechanisms to reduce crime or to improve the criminal justice system.
- *AND WHICH HAVE demonstrated promise of furthering the purposes of this title*—projects or program areas which, in addition to being innovative or having incorporated advanced techniques, also have proved measurably successful in reducing crime or in improving criminal justice.

Information was gathered about innovative or advanced programs whose success had been proved in 1977. Such programs may have been initiated in 1976 or 1975, or earlier.

States were required to use their own current knowledge in determining if a project was an innovation. States had to insure, however, that the innovations or advanced techniques incorporated in their States "demonstrated promise for furthering the purposes of this title." A State did not need to survey 55 other SPAs to assure that its innovations were indeed innovations; if an SPA determined that a project or program was innovative, that was sufficient.

Overview and Summary

State Planning Agencies' submissions identified 721 LEAA-funded projects and 23 nongrant projects for fiscal years 1975 through 1977 as innovative. State interpretation of "innovative" varied widely. What most of the projects have in common is satisfactory performance in addressing particularly difficult problems.

Submissions ranged as high as 301 projects in

Michigan. Twenty of the States submitting projects as innovative submitted 5 or fewer; 13 submitted more than 10; and two more than 40.

State dollar figures vary widely. The amount reported as obligated from 1975 through 1977 for innovative projects is \$73 million; the amount expended for the same period, \$50 million. Funds allocated for innovative projects in 1977 approached \$20 million.

Although eight States drew heavily on formal evaluations to explain their selections, most were able to provide a considerable amount of project data. The most common reasons for project selections were as follows:

- Agency utilization and acceptance 26 States
- Management efficiency (primarily staff and system time savings) 25 States
- Extensiveness of project impact 18 States
- Continuation of effort through assumption of cost or legislation 16 States
- System effectiveness (arrest rate, conviction rate, restitutions made, property recovered) 16 States
- Decline in recidivism 15 States
- Cost savings 14 States
- Crime effectiveness (crime rate reduction) 11 States
- Major interagency realignment or joint action 11 States
- Provision of management information not available before 10 States
- Internal agency realignment for greater productivity 9 States
- Provision of services to rural areas 8 States
- Replication potential 8 States

Prevention. Seventy-two of the projects were identified by 28 States as addressing prevention. Fifty-five of these in 1977 were allocated \$3.8 million.

The bulk of innovative prevention projects focused on services and shelter for youth in crisis. Numerous intake, diagnostic, and counseling

programs were developed or enhanced. The main thrust of most of these programs was to establish and fix responsibility for service delivery and to insure easy and continuing access to services.

A number of projects focused on the schools. Alternative and intensive school programs for troubled youth were developed. Youth attitudes were measured and influenced through education programs. Schools served as arenas for communication between youth and the criminal justice system, and as a source of initial recruitment of personnel for future criminal justice needs.

Crime-specific and victim-specific projects attacked burglary, rape, and crimes against the elderly. These projects offered innovative opportunities for the involvement of selected citizen groups that could have an immediate impact on crime.

Enforcement. Four hundred and one projects in 23 States addressed enforcement. Thirty-five in 1977 were allocated \$1.6 million.

Enforcement projects are primarily geared to fine tuning key parts of the enforcement system. The majority of projects upgrade the quality and reliability of police agency communications. Other projects established systems for the reporting, collection, and analysis of crime data and management data.

A number of projects address personnel management. Methods for recruiting, selecting, and evaluating personnel were refined. Methods for providing specialized and general inservice training were developed. The use of civilian personnel in key patrol, evidence analysis, and crisis intervention roles was successfully tested in several jurisdictions.

Information, technology, and personnel were concentrated in a number of crime-specific projects. They were predominately burglary projects, but they also included projects attacking organized crime, robbery, and arson.

Scarce expertise in crime and evidence detection and analysis was made available through the development of State-level and multiple jurisdictional laboratories and investigative task forces which were supported with LEAA funds.

Adjudication. Eighty-six projects in 27 States addressed adjudication. Fifty-five in 1977 were allocated \$3.8 million.

Adjudication projects emphasized the establishment and maintenance of uniformity and consistency in the management of court operations and in the quality of judicial performance. The State-level development and provision of information, training,

legal research, and support account for most of the models.

Numerous projects established statewide court information systems to provide a first time management overview, and therefore, informed management decisions. Many States have created central sources of legal research and judicial training, some drawing on university resources and others building on State court administrator capability.

Defender services were extended to juvenile inmates, the indigent, and the mentally impaired. Appellate defender services have been established and assisted through State assignment and legal research programs.

Prosecutor projects primarily involved the use of management information systems to provide for an early identification of major offenses and to provide for appropriate case assignments.

A number of States developed technical assistance teams and model approaches to assist adjudication agencies with management problems.

Corrections. One hundred projects in 26 States addressed corrections. Forty-two in 1977 were allocated \$2.8 million.

The innovative segment of the corrections process most emphasized was the reintegration of the offender into the community. Numerous projects provided multiple services, or multiple agencies as well as the specific emergency assistance required during the period of reentry.

Generally, the corrections projects reflected a movement toward community-based and noninstitutional treatment settings. Many of these projects were directly spurred by the desire to deinstitutionalize juveniles and insure their separation from adult offenders.

A number of States developed new approaches to the provision of traditional services. Job training programs have been tied quite directly to job placement by many States. Volunteers in probation were used heavily and apparently successfully in a number of States. Some States moved to a purchase-of-service approach to maintain continued flexibility in service design.

Services for female offenders were generally expanded, especially in the areas of job placement and community reintegration.

Several States combined the development of jail standards with the provision of training and technical assistance for local staff.

System Support. Fifty-six projects in 19 States provide system support. Twenty-two in 1977 were allocated \$3.9 million.

Training, information and communications system development, and the establishment of planning and evaluation capability account for most of the system support projects. State-level and multi-county training programs have been established to develop the capability, and to propagate and coordinate the delivery of general and specialized training. State-level information systems used to track people through the courts and corrections systems were put in place. Specific management information systems addressed juvenile probation operations, court calendaring, and tactical police operations. Planning and evaluation efforts transferred capability to county and city staffs.

Juvenile Justice and Delinquency Prevention. One hundred and twenty-five projects in 30 States addressed juvenile justice. Forty-three in 1977 were allocated \$2.8 million.

Juvenile justice projects are the most varied and the second most numerous among the innovative projects. A strong drive toward the establishment of and adherence to uniform policies and procedures is reflected in numerous projects establishing or revising State codes and providing training, handbooks, and manuals on procedures.

Juvenile justice innovations concentrated on diverting juveniles from formal entry into the criminal justice system. Status offenders and first offenders were the primary targets for most of the innovative diversion projects.

Projects designed to deliver the kind of support services required to enable diversion programs to work make up most of the State nominations. Projects reflect the development of a hierarchy of support services: family counseling; crisis intervention; in-home supervision; nonresidential treatment; foster homes; residential intake, diagnosis and treatment; and community-based facilities.

The hierarchy of support services is complemented by numerous projects designed to differenti-

ate among the juveniles who come in contact with the system. Intake and diagnostic units serve to provide basically different service plans and referrals for status offenders, first offenders, and disturbed, disabled, and chronic delinquents.

Other projects encompass a wide range of prevention, treatment, training, and service management efforts. Most of the projects are characterized by the extension of criminal justice agencies into the juvenile environment, primarily the schools, and into joint action with other criminal justice and community service agencies.

Drug Abuse. Eighteen projects in seven States addressed drug abuse. The few drug-related projects that were reported as innovative dealt primarily with institutional treatment and therapy, community-based treatment for nondangerous offenders, and the provision of support services for drug-addicted offenders after release.

Nongrant Innovations. States also reported 23 innovative projects undertaken by State Planning Agency staff, not by grants. Ten projects addressed corrections, five system support, four adjudication, and three each for prevention and juvenile justice.

Corrections efforts included a State-level fund for child care, a multiagency program for runaways, an earned-time system, a prison grievance procedure, and a contract prison health care system. System support projects included juvenile code legislation, jail standards legislation, a victimization survey addressing the elderly, and a bistate regional justice facility.

Adjudication projects included bail reform, drunk driver processing, and taping of court records. Prevention and juvenile justice projects addressed the creation of a crime prevention association, the creation of a juvenile justice task force, and the development of a juvenile justice planning method and diversion program.

Section 519(1)(D)

Section 519(1)(D) required the report to include: "The descriptions and number of program and project areas, and amount expended therefore, which seek to replicate programs and projects which have demonstrated success in furthering the purposes of this title."

Replication was defined as "... an investment, consciously made by a State Planning Agency in its State, in a particularly program or project area, based on a success experienced elsewhere." The States were also asked to report allocations, obligations, and expenditures made in 1977 for such replications. They were asked to include obligations and expenditures occurring in 1977, but using funds from 1976, 1975, or earlier if applicable. Allocations were to be from the 1977 block grants only.

Section 519(1)(D) Responses

This report shows that the interaction between LEAA and the State and local jurisdictions has resulted in the widespread recognition and acceptance of improved criminal justice practices by all of the States, and in the various components of the criminal justice system. The report gives valuable information to use as a base for determining with greater accuracy the nature and extent of replications and, perhaps more importantly, insights into the process that will help to develop improved strategies for encouraging the further adoption of improved criminal justice practices throughout the country.

Altogether, about 5,900 replications were reported by the States. Although the States do not identify all of the replications that have actually been done, they do present a picture that is heartening. It appears that many channels of national leadership for encouraging States to copy successful criminal justice practices have been heeded. Unfortunately, the method of reporting selected by the States results in data which can not be aggregated.

State responses almost uniformly showed substantial reporting efforts. However, when a State such as California reports 50 replications, and Tennessee reports 804, indications of inconsistent

methods of reporting in the data are evident. The States were asked to report replications based on the above definitions and were told that, "... a replication need not be an exact copy ..." Allowances for adaptive modifications widened the range of possible interpretations. Some States reported basic traditional criminal justice practices as replications without identifying a specific or even a general model. Most of these responses were excluded from this analysis. Some States tabulated each continuation grant of a single project as a separate project. These also were excluded. On the other hand, many States did not report the replications of which LEAA is otherwise aware, such as comprehensive data systems and team policing. The remainder showed that large portions of the block grants are being used to implement replications of earlier successes.

The following chart shows the allocations, obligations, and expenditures reported by the States. It also provides a recapitulation of the numbers of replications reported according to the seven program components (prevention, enforcement, adjudication, corrections, system support, juvenile justice, and drug abuse).

It is important to distinguish between the LEAA definition of programs and projects. Programs are major groupings or classification of projects developed to achieve the same objective. A program is either one of the broad functional categories of the State's plan, or is a subcategory of one of those broader categories. Programs precede projects in development in that a project is an activity or set of activities developed to achieve some part of the program objective.

The raw numbers reflect some inconsistencies in State reporting. LEAA has estimated the numbers of models that were replicated by program component. They are as follows: prevention-84, enforcement-120, adjudication-130, correction-110, system support-53, juvenile justice-98, and drug abuse-35.

The origins of many of these models and the reasons for their replication were not specifically reported by the States in 160 cases. The appearance of a project in general practice across the United States added an additional 177 projects to the total. Models developed within the reporting States were cited in 150 cases and from other States in 83 cases.

Program Component	Number of Replications	Dollar Amounts		
		Allocated	Obligated	Expended
Prevention	800	\$20,940,000	\$56,859,000	\$18,689,000
Enforcement	1,752	22,605,000	64,909,000	38,286,000
Adjudication	1,098	22,358,000	55,510,000	23,002,000
Corrections	1,337	39,547,000	68,178,000	36,555,000
System Support	794	15,101,000	33,513,000	16,363,000
TOTAL	5,781	\$120,551,000	\$278,969,000	\$132,895,000
Juvenile Justice and Delinquency Prev. *	(1,281)	(\$25,119,000)	(\$55,329,000)	(\$29,315,000)
Drug Abuse *	(148)	(\$ 4,756,000)	(\$ 5,584,000)	(\$ 4,336,000)

*Included the above five components.

While California, New York, and Ohio led as having originated the most model programs and projects, models from other State projects were cited as the source of replication. Eighty-four models were attributed to LEAA. Of these, specific references were made to LEAA's prescriptive packages and exemplary projects (technology transfer devices of the National Institute of Law Enforcement and Criminal Justice, LEAA's research arm) by 21 States. These devices were utilized to replicate projects in police crime analysis, prosecution management information, pretrial diversion, night prosecution, and fraud and rape programs. LEAA's Pilot Cities and Impact Cities experiences were also cited as models by 10 States.

There were also nine direct references to the reports of the National Advisory Commission on Standards and Goals and seven to the 1967 President's Commission on Law Enforcement and Administration of Justice. Several States cited other LEAA-supported programs in the National Center for State Courts, the National College of the State Judiciary, and the Vera Institute of Justice. Several replications were attributed to professional associations, such as the American Bar Association, the National District Attorneys Association, the National Association of Legal Aide Societies and Public Defenders, and the Association of Public Safety Communications Officers. Federal agencies such as the Federal Bureau of Investigation, the U.S. Secret Service, and the U.S. Bureau of the Census were also cited.

A summary of the replications reported by program component is as follows:

Prevention. The leading category of prevention models was in the general area of criminal justice system agency prevention projects, with 25 States reporting 368 replications. Following closely

were 23 States reporting 257 target-hardening projects, most following the National Crime Prevention Institute concept at Louisville, Kentucky. Next were 72 projects in citizen education in 18 States and 23 citizen project replications in six States.

Enforcement. The leading category was in the area of special purpose crime suppression and investigation units (burglary, robbery, narcotics, and organized crime). There were 30 such models reported as replicated 114 times in 18 States. Equal in importance were improved and consolidated police communications systems in 15 States (over 200 replications), police planning, research and crime analysis units (14 States, 92 replications), and police training and personnel selection projects (13 States, 327 replications). Metropolitan enforcement groups and crime laboratories were replicated in 12 States, police legal advisors in 10, and consolidated or contract police schemes in nine. Crime scene processing projects were cited in six States, and team policing in five. Other programs cited were computer projects, project "Sting," police-community relations, and a few others.

Adjudication. The greatest number of adjudication replications were of projects in the administration, management, and planning of courts, with 123 replications reported. Most of these were cited as court administrator projects. Twenty States reported 93 projects in case screening, diversion, and pretrial release. Programs aimed at the support of 206 prosecutors' offices in 18 States, and 54 judicial education and training projects in 14 States were replications. Nine States reported law student intern, automated judicial record, public defender support, and career criminal programs. Special prosecutors, major offense bureaus, law clerks, and interns, were next in seven States each. The remaining models were taken from the areas of prosecution

management information systems (PROMIS), night courts, criminal law clinics, code revision, sentencing, defense intervention services, court watchers, and elderly case assessment.

Corrections. The leading candidates for replication by far were community-based models that were replicated 397 times in 36 States. Next were adult institutional programs replicated 209 times in 23 States. Eleven States replicated 72 training programs for criminal justice agency personnel, and ten States reported 33 replications of citizen volunteer programs. The remaining programs were in the area of probation, parole, research, planning, and detention programs. By far the majority of the noninstitutional programs were aimed at the juvenile population.

System Support. Criminal justice information systems seemed to be most frequently reported under system support with 17 States identifying 80 replications. Next in frequency were victim-witness projects with 11 States reporting 30 replications, and rape programs with 10 States reporting 24 replications. Eight States identified 83 special planning and

evaluation units, and seven States cited 35 urban high crime planning units modeled after the LEAA Impact Cities Program. In addition, replications were reported in criminal justice system training and student intern programs.

Juvenile Justice and Delinquency Prevention. Community treatment and juvenile diversion programs nearly tied as the most prevalent projects replicated. Twenty-three States reported 62 of the former and 24 States reported 41 of the latter. Next in popularity were group and foster homes with 12 States reporting 101 replications. Nine States replicated 163 training and probation programs. As in the corrections component, the emphasis continues to be on replications in the noninstitutional area.

Drug Abuse. Fifteen States emphasized community drug abuse treatment programs through 64 replications. While special investigation units were used in 59 projects cited by 12 States, the remaining efforts centered on institutional treatment programs, training of criminal justice personnel, and citizen education.

Sections 519(1)(E) and (F)

Sections 519(1)(E) and (F) require LEAA's annual report to include: "the descriptions and number of program and project areas, and the amounts expended therefor, which have achieved . . . and have failed to achieve the purposes for which they were intended and the specific standards, and goals set for them."

In these two subsections of the act, Congress asked for a summary of all State Planning Agency subgrant activity—every subgrant obligated during 1977 from 1977 funds had to be reported as having achieved its purpose or as not having achieved its purpose.

As previously discussed, the nature of LEAA's fund flow virtually preempts such a ranking process for the reporting period 1977. At least two-thirds of each State's subgrants are still in progress.

To fulfill the spirit of the congressional reporting requirement, a constructive report of selected projects from which LEAA learned something—those projects which have taught the Agency how better to control crime or build the capacity of the criminal justice system and those projects that have illustrated pitfalls or practices to avoid—were reported by the States. These data were used to provide a more informative response to these two subsections.

Sections 519(1)(E) and (F) Responses

The States' responses reflected both the programs and projects obligated during 1977 from 1977 funds and the achievement or not of the purposes for which they were intended.

There were no significant commonalities observed among the types of projects achieving their purposes or among those not achieving their purposes. It was noted, however, that similar types of projects were reported as successes and as failures. This was evident in all program areas and would lead to a tentative conclusion that the type of project is not a major factor in determining its success or failure. The most influential factors impacting upon performance were project management, ability to acquire necessary resources, obtaining cooperation from other criminal justice disciplines, and the setting of realistic and measurable objectives.

There were 4,172 projects, accounting for \$144,967,230, that could not be ranked as they were still in progress. This accounted for 80 percent of all projects and 82 percent of funds obligated or expended.

The percentages of projects still in progress, by program area, are as follows: prevention, 82 percent; enforcement, 79 percent; adjudication, 80 percent; corrections, 80 percent; system support, 80 percent; juvenile justice and delinquency prevention, 80 percent; and drug abuse, 88 percent.

The magnitude of this category, which is a result of the LEAA's funding cycle, precludes the formulation of conclusions relative to success-failure ratios within, and among program areas.

There were 1,006 projects, accounting for \$27,378,345, reported as having achieved their purposes. These figures represent 19 percent of the projects reported and 16 percent of funds obligated or expended.

The types of successful projects, their numbers, and total fund allocations are:

Prevention	119	\$4,341,983
Enforcement	373	\$2,870,951
Adjudication	200	\$6,124,408
Corrections	196	\$10,307,690
System Support	118	\$3,733,313
JJDP A *	173 *	\$7,364,115 *
Drug Abuse *	17 *	\$ 947,171 *

*The juvenile justice and delinquency prevention categories are secondary classifications. Thus, a project may be reported both in one of the five primary categories and again in one of the secondary categories.

There were 41 projects, accounting for \$3,549,947, reported as not having achieved their purposes. This represents 1 percent of the projects reported and 2 percent of obligated or expended funds.

The trend established appears to indicate an extremely high success ratio of 9 to 1 applicable to all program areas. It should be noted, however, that this success may be the result of a planning process that allowed project objectives to be stated in general terms, and it should also be noted that these projects have not been evaluated according to their impact on crime or the criminal justice system.

Additional information was provided by the States concerning selected projects which produced results in 1977 though not necessarily being funded in that year.

Section 519(2)

Section 519(2) of the Crime Control Act of 1976 requires: "a summary of the major innovative policies and programs for reducing and preventing crime recommended by the Administration during the preceding fiscal year in the course of providing technical and financial assistance to the State and local governments pursuant to this title."

Section 519(2) Response

LEAA transmits research findings to both researchers and practitioners to increase the understanding and use of research results and advanced criminal justice practices.

Model Program Development. One of LEAA's most important 1977 priorities was to devise improved mechanisms for resolving citizen disputes—to establish fair, convenient, and economical community alternatives to formal court trials for resolving minor cases. The goals were to reduce delays, costs, and court congestion. Working with the Department of Justice, LEAA developed a program design suitable for a national test and evaluation effort. The resulting Neighborhood Justice Centers will be tested during the coming year in Los Angeles, Kansas City, and Atlanta.

Exemplary Projects. This program responds to the congressional mandate that LEAA identify and publicize outstanding criminal justice programs. Candidates may come from State, local, or private agencies. LEAA funding is not a prerequisite. To be considered for the exemplary designation, a project must have operated for at least one year, must have demonstrated—through careful evaluation—success in reducing a specific crime or improving a criminal justice operation or service, and must be adaptable to other locations. To date, 25 projects have been designated exemplary, selected from more than 430 candidates. All exemplary projects are publicized nationally.

Monographs. An outgrowth of the Exemplary Projects Program, this publication series consolidates and analyzes information gleaned from the study of a number of related exemplary project candidates or focuses on one particularly worthwhile program that did not quite meet the stringent exemplary criteria. In 1977 monographs were published on *Courts Planning and Research: the Los Angeles Experience* and *Use of Civilians in Police Work*.

Prescriptive Packages. These reports analyze the advantages and disadvantages of various program models, based on available data, research findings,

and expert opinion. Twenty-four prescriptive packages have been published, and 21 more are in preparation.

During 1977 four related prescriptive packages were funded on management (case flow management, records management, personnel management and financial management); two on community corrections (the regionalization and consolidation of correctional programs and community correctional facilities); and manuals on correctional programs for women and the unification of State court systems.

Training and Testing. One of the LEAA's legislatively-assigned functions is to develop training programs for local criminal justice personnel.

LEAA conducts regional training workshops and special national workshops, field tests, new program approaches, and a HOST program of onsite training in exemplary practices.

Training program workshops offer criminal justice decisionmakers brief, intensive training in new research-based programs and advanced practices.

The following workshops were conducted during 1977:

- *Juror Usage and Management*—Some 450 judges, jury commissioners, and court administrators were trained in efficient and cost-saving juror management techniques developed through LEAA sponsored research.
- *Managing Criminal Investigations*—More than 600 police executives were trained in criminal investigation management and resource allocation techniques based on the findings of three LEAA studies.
- *Prison Grievance Mechanisms*—More than 485 prison administrators and corrections officials studied techniques for resolving grievances in institutions based on an exemplary project and a prescriptive package.
- *Rape and Its Victims*—This workshop trained more than 570 participants, who came as community teams to focus on effectively integrating community response to the rape victim.
- *Special National Workshops* present significant research findings to selected national audiences to stimulate discussions of critical criminal justice issues. During 1977 these included a seminar to help local elected executives solve

criminal justice problems by adopting better approaches identified through research and a seminar on determinate sentencing and its effect on courts and corrections.

- *Field Tests* are conducted as part of the LEAA research and development effort, and are an important part of the LEAA program development process.

Two field tests continued in 1977, both drawn from a series of LEAA-sponsored research studies. *Managing Criminal Investigations* is being conducted in five locations and *Juror Usage and Management* is being tested in 18 jurisdictions.

In the course of providing technical and financial aid to State and local governments, LEAA

Regional Office staff encouraged dozens of innovations and improvements throughout State and local criminal justice systems. Some improvements were initiated or furthered with LEAA funds; many were accomplished without additional expenditures. Many of these innovations were brought to States' attention through documents published by the National Institute of Law Enforcement and Criminal Justice, described above. Many others were solely the result of Regional Office staff effort. Hundreds of these innovations and improvements were described in a "Program Results Inventory," published in June 1977. Copies of the inventory are available through the LEAA Public Information Office, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

Section 519(3)

Section 519(3) requires: "an explanation of the procedures followed by the Administration in reviewing, evaluating, and processing the comprehensive State plans. . ."

Comprehensive Plan Review

In 1977 the State planning guidelines were substantially changed to emphasize data collection and analysis as the basis for planning. These guidelines were also upgraded in a number of other areas to serve as a standard against which to judge the quality of the State comprehensive plans.

The concept of the guidelines being a standard required that plan review be more than determinations of compliance. Judgments as to the extent to which the plan components approached or achieved the standards were required.

These judgments served as the basis for determining multiyear approval for the plan or sections of the plan, a new ingredient in 1977. For the first time State Planning Agencies could request three-year approval for all or part of the plan. Those judged to be of high quality could be approved for three years, requiring only an annual update.

To perform the comprehensive plan reviews LEAA developed a "Comprehensive Plan General Review Checklist." It covered all paragraphs of the planning guidelines for which a response in the State plan was required. It also included a rating system requiring a determination for each requirement as to whether the plan response was "satisfactory," "needs improvement," or "unsatisfactory."

A "satisfactory" rating meant that the plan fully addressed the specific guideline requirement. All candidate plan elements for which multiyear status was sought required a satisfactory rating.

A rating of "needs improvement" meant that the plan generally addressed a specific guideline requirement, although it was not fully responsive. In these instances annual plan approval was acceptable, especially if it met the "good faith effort" requirement or a previously negotiated product goal.

In addition to the above ratings for each guideline requirement, the checklist provided for an overall qualitative rating of the plan's response to a group of related guideline requirements. Plan elements were rated "high quality," "good," "minimum compliance," or "unacceptable." Also, a comparative rating with respect to the previous year's plan of "improved," "unchanged," or "weaker" was also given. For a plan element to be approved for

multiyear status, a "high quality" and an "improved" or "unchanged" rating was required.

The completion of the checklist was the culmination of an intensive process of Regional Office staff review and negotiation with the State Planning Agency. Following the submission of the plan, each technical specialist, fiscal staff, and the State representative performed reviews of appropriate elements of the plan. The State representative's review was generally an overall review.

Once the individual reviews were performed, a Regional Office consensus was arrived at among the reviewers regarding the deficiencies and weaknesses of the plan. The deficiencies identified constituted deficiencies that had to be resolved prior to plan approval; areas of weakness for which changes were suggested but not required; and weaknesses requiring Regional Office assistance prior to submission of the next year's plan.

The regional office consensus was formalized by the State representative through the preparation of a deficiency resolution memorandum. This document included at a minimum the deficiencies that had to be resolved prior to plan approval. Often other areas of weakness were included as feedback to the State Planning Agency and as a basis for Regional Office assistance throughout the year.

Since most, if not all, State plans were deficient in some area requiring resolution prior to plan approval, a negotiation process was then begun between the Regional Office and the State Planning Agency. The key LEAA staff person was the State representative. Other LEAA staff assisted on an as-needed basis.

This process generally focused on those issues related to plan approval. Often the State Planning Agency was required to prepare and submit additional information. In many cases issues were resolved by means of the State Planning Agency providing clarification of what was already contained in the plan. In some cases, where deficiencies could not be resolved through these means within the legislatively mandated 90-day review period, special conditions were applied to the grant award requiring SPA action within a specified period.

Following completion of the negotiations with the State Planning Agency, the checklist and appropriate supplemental documentation were completed, and final processing of the block grant award was performed.

With the enactment of the Crime Control Act of 1976 and with the LEAA goal to reduce redtape, substantial changes were made to the State planning

guidelines for 1978. The act required that before approving a State comprehensive plan, LEAA must make a written finding that the plan "reflects a determined effort to improve the quality of law enforcement and criminal justice throughout the State and that such plan is likely to contribute effectively to an improvement of law enforcement and criminal justice in the State and make a significant and effective contribution to the State's efforts to deal with crime."

This requirement made it necessary for the plan review process to yield a definitive determination about anticipated results. The concept of "good faith effort," i.e. a posture of hope, was no longer sufficient. This resulted in the planning guidelines becoming a statement of basic requirements rather than the concept of a standard which existed in the previous year.

To make the required written findings specified in Section 303(b) of the Crime Control Act of 1976, LEAA established review criteria that had to be met. They required that the State comprehensive plans be in substantial compliance with the act. No longer was minimal compliance sufficient.

The 1978 comprehensive plan represented a three-year plan making multiyear approval the norm. Plans approved for three years require that the State Planning Agency only submit such changes as are required on an annual basis, e.g., the annual action program, and an annual certification that the sections of the plan approved for three-year status have either been amended appropriately through submission of amendments or revisions, or that they remain unchanged. Approval of multiyear status does not, however, represent an obligation of future Federal funding.

Plans or sections of the plan that failed to meet the multiyear requirements were approved on an annual basis. Annual approval requires a full submission by the State Planning Agency in 1979.

In addition to the disposition of multiyear or annual approval, State plans found to have deficiencies were either rejected, disapproved, in whole or in part, or approved with special conditions. The main difference between special conditions and disapproval in part was that the State Planning Agency may receive applications and award funds for program areas which were special conditioned as long as awards were made subject to the special conditions. The State Planning Agency may not make any awards for program areas which were disapproved.

The key consideration as to whether a deficiency

resulted in an approval with special conditions or a disapproval was whether the deficiency resulted in substantial noncompliance with the provisions of the act. The test was derived from Section 509 of the act.

Plans found to be in substantial noncompliance were disapproved pursuant to Section 308 of the Act. In these cases LEAA notified the State Planning Agency of the reasons for disapproval and set a reasonable and timely period for resubmission. Should a State Planning Agency refuse to resubmit, or following resubmission still be in substantial noncompliance, LEAA will reject the State plan and initiate the Section 509 compliance hearing procedure. The rejection of the State plan, together with notice and opportunity for hearing, may result in the reallocation of the State's block grant funds pursuant to Section 305 of the act.

The comprehensive plan review procedures developed by LEAA were designed to yield the necessary documentation to support the findings as well as to insure compliance with the special requirements of the Crime Control Act and the Juvenile Justice and Delinquency Prevention Act of 1974. These procedures were also designed to provide the "substantial evidence" pursuant to Section 511(b) required in approving, disapproving, or rejecting a State plan.

Instead of a checklist, the comprehensive plan review document required a written analysis of the extent to which the plan met the aforementioned criteria. An overall analysis as well as individual analyses for the major components, i.e., police, courts, corrections, and juvenile justice, were prepared.

In addition to insuring substantial compliance with the legislative requirements and providing the necessary documentation to support a disposition with regard to the required findings, the 1978 plan review process yielded information for LEAA's technical assistance and State capacity building planning. In other words, comprehensive plan review became an element of internal LEAA planning as well as an activity to make block grant approval or disapproval decisions.

The review process conducted by the Regional Offices was generally the same as the previous year. Extensive staff reviews followed by negotiations with the State Planning Agencies were performed.

Although this process was fully implemented in the processing of many of the State plans, the decision by the Attorney General to close the Regional Offices on September 30, 1977, 60 days into the 90-day review period, resulted in some modifications.

Those plans for which Regional Office processing, i.e, review and negotiation, was not completed, were transferred to Washington. An interim program unit

was established to complete the processing of these plans. This unit employed the same procedures as were used by the Regional Offices.

Sections 519(4) and (5)

Section 519(4) requires: "the number of Comprehensive State Plans approved by the Administration without recommending substantial changes. . ."

Section 519(5) requires: "the number of Comprehensive State Plans on which the Administration recommended substantial changes, and the disposition of such State plans. . ."

Summary of Findings

Twenty-nine plans were approved with substantial recommended changes, 24 plans approved without substantial recommended changes, and two were disapproved in part.

The two plans disapproved in part were Vermont and the District of Columbia.

Although significant changes were made to the original Vermont 1977 plan prior to this determination, there still remained an undefined, unallocated program called "Results Holding Program" for \$254,826. Because the program was undefined and because there were still compliance gaps the Vermont plan was disapproved in part.

The District of Columbia's Part C and Part E plan was disapproved.

The Washington, D.C. comprehensive plan in 1976 was approved with many substantial special conditions. The State Planning Agency and the mayor's office were informed the 1977 plan would have to be a much improved product. The 1977 plan was worse than the 1976 plan. Despite repeated efforts by the LEAA Philadelphia Regional Office staff, the District of Columbia 1977 plan could not be improved or revised sufficiently to comply with LEAA guidelines for State comprehensive plans. Accordingly, this State plan was not approved in part. Its juvenile justice and delinquency prevention plan was approved with substantial recommended changes.

For purposes of this report, "substantial change" means generally that significant amendments were required for key substantial areas of the comprehensive plan before it could be approved. Changes were made either by revising the plan, submitting additional information about the plan, or by special conditions to the plan which were monitored throughout the year.

State comprehensive plans for 24 States were approved **without** substantial changes for 1977. The 24 States were:

Alaska	Maine
Arkansas	Maryland
American Samoa	Montana
California	Nebraska
Connecticut	Nevada
Florida	New York
Georgia	North Dakota
Guam	South Dakota
Hawaii	Texas
Iowa	Utah
Kansas	West Virginia
Louisiana	Wyoming

State comprehensive plans for 29 States were approved **with** substantial changes for 1977. Changes were either negotiated with State agencies and incorporated into the plan or accommodated by special conditions to individual plans. The 29 States were:

Alabama	New Mexico
Arizona	North Carolina
Colorado	Ohio
Delaware	Oklahoma
Idaho	Oregon
Illinois	Pennsylvania
Indiana	Puerto Rico
Kentucky	Rhode Island
Massachusetts	South Carolina
Michigan	Tennessee
Minnesota	Virginia
Mississippi	Virgin Islands
Missouri	Washington
New Hampshire	Wisconsin
New Jersey	

Summary Table

Plans Disapproved in part	2
Plans Approved with substantial changes	29
Plans Approved without substantial changes	24
TOTAL	55

The Trust Territories did not submit a plan for 1977. This jurisdiction did not become eligible for Crime Control Act funds until late in the year. The 1977 and 1978 comprehensive plans will be submitted and reviewed together.

Section 519(6)

The Congress required LEAA to report on "the number of State comprehensive plans funded under this title during the preceding three fiscal years in which the funds allocated have not be expended in their entirety." The following presentation reports on the unexpended balances for each State for Part C block and Part E block funds for 1975, 1976, and 1977.

Part C Block—Unexpended Balances in Thousands as of September 30, 1977

	Fiscal Year			
	1974	1975	1976	1977
Alabama	18	154	413	277
Alaska	0	45	858	748
American Samoa	0	147	56	N/R
Arizona	20	36	1,371	2,631
Arkansas	156	196	1,380	2,711
California	*1,549	*3,233	17,998	27,498
Colorado	139	835	13,702	13,446
Connecticut	106	84	2,706	4,176
Delaware	N/R	18	112	800
District of Columbia	N/R	14	299	N/R
Florida	11	1,499	6,460	11,305
Georgia	320	181	2,686	6,872
Guam	N/R	147	257	317
Hawaii	463	108	1,220	1,049
Idaho	0	0	474	1,153
Illinois	*1,245	*3,949	12,551	14,908
Indiana	889	1,025	4,098	7,058
Iowa	17	93	2,049	3,904
Kansas	0	268	2,213	3,075
Kentucky	N/R	595	1,679	3,921
Louisiana	160	1,537	1,321	2,635
Maine	0	0	566	848
Maryland	685	905	N/R	N/R
Massachusetts	30	360	1,265	2,933
Michigan	362	611	3,970	7,407
Minnesota	152	1,659	3,349	7,922
Mississippi	0	0	43,120	43,079
Missouri	1	7	638	13,879
Montana	0	22	612	449
Nebraska	10	35	756	358
Nevada	N/R	11	419	844
New Hampshire	100	199	732	868
New Jersey	N/R	140	215,311	10,558
New Mexico	0	26	715	1,469
New York	*1,760	*10,599	19,764	22,970
North Carolina	891	1,947	7,607	6,452
North Dakota	0	0	160	600
Ohio	*290	*778	8,339	12,423
Oklahoma	105	383	1,516	2,597
Oregon	N/R	248	614	2,019
Pennsylvania	N/R	6,459	9,283	10,558
Puerto Rico	110	206	1,502	1,898
Rhode Island	177	332	883	451
South Carolina	3	65	2,929	3,105

South Dakota	N/R	427	1,135	1,045
Tennessee	10	822	5,510	5,882
Texas	14	1,727	19,477	10,693
Utah	0	0	600	1,551
Vermont	N/R	2,265	774	787
Virgin Islands	60	N/R	282	337
Virginia	36	*103	5,519	5,855
Washington	4	0	1,149	3,858
West Virginia	79	345	22,673	N/R
Wisconsin	302	718	5,783	26,513
Wyoming	N/R	51	2,428	721
TOTAL		10,134	41,614	180,283

LESS AMOUNT OF

EXTENSIONS	4,844	18,622
	5,290	22,952

Footnotes

*Grant Extended

N/R no report received

1 unexpended balance as of 6/30/77

2 unexpended balance as of 3/31/77

3 unexpended balance as of 12/31/76

4 unexpended balance as of 12/31/77

Part E Block—Unexpended Balances in Thousands as of September 30, 1977

	Fiscal Year			
	1974	1975	1976	1977
Alabama	0	21	72	64
Alaska	0	0	102	57
American Samoa	0	7	23	N/R
Arizona	*12	0	153	252
Arkansas	81	25	288	355
California	90	729	2,319	2,846
Colorado	37	151	1,759	1,414
Connecticut	0	0	156	448
Delaware	0	0	46	72
District of Columbia	N/R	0	112	N/R
Florida	275	61	880	1,390
Georgia	0	41	414	837
Guam	0	7	105	17
Hawaii	68	49	194	143
Idaho	0	0	111	132
Illinois	*746	*152	285	1,329
Indiana	287	1,025	977	853
Iowa	0	58	319	490
Kansas	0	82	112	355
Kentucky	0	0	95	227
Louisiana	9	232	199	468
Maine	0	0	158	292
Maryland	115	98	1,980	1,702
Massachusetts	0	32	158	291
Michigan	*154	73	1,586	380
Minnesota	30	17	267	1,009
Mississippi	0	0	4,297	4,163
Missouri	0	9	354	321

Montana	0	6	189	90
Nebraska	0	7	0	241
Nevada	30	0	78	96
New Hampshire	30	30	228	138
New Jersey	N/R	2660	21,860	1,237
New Mexico	1,870	7	118	192
New York	1,895	1,870	2	2,254
North Carolina	56	190	509	824
North Dakota	0	0	83	82
Ohio	*32	*6	879	1,506
Oklahoma	8	30	1	10
Oregon	N/R	9	183	116
Pennsylvania	N/R	96	627	1,237
Puerto Rico	51	109	1184	1149
Rhode Island	0	7	1178	1156
South Carolina	2	0	550	351
South Dakota	24	296	100	117
Tennessee	0	444	4657	712
Texas	27	162	2,296	1,749
Utah	0	0	74	202
Vermont	0	0	2150	64
Virgin Islands	2	0	107	14
Virginia	2	56	1,150	760
Washington	0	0	777	436
West Virginia	10	42	2279	N/R
Wisconsin	0	136	854	21,044
Wyoming	0	14	12	62
TOTAL	5,723	6,436	23,646	27,746
LESS AMOUNT OF EXTENSIONS	932	158		
	4,791	6,278		

Footnotes

*Grant Extended

N/R No report received

1 unexpended balance as of 6/30/77

2 unexpended balance as of 3/31/77

3 unexpended balance as of 12/31/76

4 unexpended balance as of 12/31/77

Unexpended funds in this section of the report are based on financial status reports submitted by each State for the quarter ending September 30, 1977. While it would appear funds available to the States are in the pipeline, the following must be considered in understanding the mechanics of block grant fund flow, life of the block grant, special requirements placed on Part E funds, the subgrant continuation funding policy of the States, and the LEAA extension policy which the Congress authorized.

• *Life of the Block Grant.* Block action funds (Parts C and E) are awarded to State Planning Agencies for obligation during the two full fiscal years following the year in which the action grant was awarded, but not beyond. Within this period monies

must be obligated for ultimate program use by the recipient State agency, local unit of government, or private agency. This means that the LEAA grant to the State Planning Agency must be obligated and the subgrant awards must be obligated by recipients within the obligation period. The mere making of a subgrant by the State Planning Agency to a recipient with no expenditure action by the latter will not meet this requirement. Accordingly, subgrants of action funds from a given year should be awarded by State Planning Agencies at least six months prior to the close of the obligation period of the year so that subgrant recipients will have an opportunity to obligate and expend their funds for program purposes before the end of the block action grant obligation period.

Part E Special Requirements. It should be noted that several States experience more difficulty in obligating and expending Part E corrections monies than Part C action funds, perhaps because of the special requirements placed on the former. These include requirements that all correctional facilities constructed with LEAA funds separate juvenile from adult offenders, provide for treatment of drug and alcohol offenders, and consult with the National Clearinghouse for Criminal Justice Planning and Architecture. Also, construction projects are often delayed because of the necessity for conforming with other Federal regulations such as those of the Environmental Protection Agency, the Historic Landmarks Act, and the Uniform Relocation Assistance Act.

Continuation Policy of the States. Many of the subgrants awarded by the States are for a 36-month project period. The first budget period of these subgrants, usually 12 months in duration, is supported by funds, for example, from the 1975 action allocation. The second and third budget periods of these subgrants, also of 12 months duration each, are supported from the 1976 and 1977 action allocations respectively. Once a subgrant is awarded by the State, timely expenditures of funds can be affected by such factors as a slow project start, underspending by the project, and delay resulting from administrative processes at the recipient level. Planned expenditures of action funds is further impacted by lack of applicants for funds, slow development of applications, and the 60-day award process.

Extension Policy. Obligations and expenditures of action allocations are affected by delays in equipment deliveries, unforeseen delays in obtaining FCC clearances for communication projects; delays in construction projects caused by strikes, weather, en-

vironmental impact, and the energy crisis; and delays related to compliance with the Uniform Relocation Assistance Act, Clean Air Act, Historic Sites Act, and Flood Disaster Protection Act. When

the foregoing events are present in a funded project, it is the policy of LEAA to extend the expenditure deadline of the subgrant project.

Section 519(7)

The Crime Control Act of 1976 in Section 519(7) specifies that the Administration must report: "The number of programs and projects with respect to which a discontinuation, suspension, or termination of payments occurred under Section 509, or 518(c), together with the reasons for such discontinuation, suspension, or termination. . ."

Section 519(7) Response

Section 518(c)(1) requires that: "No person in any State shall, on the ground of race, color, religion, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under or denied employment in connection with any program or activity funded in whole or in part with funds made available under this title."

LEAA funds to the South Carolina Highway Patrol were terminated, and grants to the Cleveland, Ohio Police Department and the Iowa Men's Reformatory were suspended for noncompliance with Section 518(c).

On December 30, 1976 LEAA terminated \$93,000 in assistance to the South Carolina Highway Patrol for its refusal to consider women for the position of sworn patrol officer. This action was initiated under Section 518(c) of the Crime Control Act of 1973 and was completed under the amended provision in the Crime Control Act of 1976.

In addition, the Iowa Men's Reformatory was found to be in violation of both Iowa State and Federal laws by failing to consider women as employees for the position of Corrections Officer II. *Iowa Department of Social Services v. Merit Department*, Equity No. CE 4-2285, 13 FEP Cases 1332 (Iowa District Court, Polk County, August 30, 1976).

The grant for \$22,427 was suspended in a letter to Governor Robert D. Ray on March 14, 1977, and lifted on April 29, 1977 as a result of compliance by the State.

Similarly, the funds in a \$1,684,689 grant to the Cleveland Police Department were suspended as a result of a finding that discriminatory practices on the basis of race had been followed in assigning officers and in the methods used to promote officers to sergeant. *Shield Club v. City of Cleveland*, No. 72-1088, 13 EPD Cases 1373, and *Shield Club v. City of Cleveland*, No. 72-1088, 13 EPD Cases 1394.

The letter notifying Governor James A. Rhodes of the suspension was sent March 4, 1977, and compliance with the act was achieved by June 21, 1977.

Additional warning letters were sent in 17 other instances to the Governors of several States. However, compliance was reached within the time frame set out in the act and fund flow was not interrupted.

Section 509 Response

No actions occurred under the authority of this section.

Section 519(8)

Section 519(8) requires the report to include: "The number of programs and projects funded under this title which were subsequently discontinued by the State following the termination of funding under this title. . ."

Section 519(8) Response

The States were asked to report the total number of projects ending during 1977, the number of these projects that were eligible for continuation funding support by units of government with non-LEAA funds, and the number of eligible projects that were continued with non-LEAA funds after the expiration of Federal funding support.

Of the projects that were considered eligible for continuation support with non-LEAA funds during 1977, more than 80 percent were continued with non-LEAA funds by the recipient units of government. Of the eligible projects that were not continued, most were not because of fund shortages rather than the project being deemed unsatisfactory. This continuation data indicates that a large proportion of projects initiated with LEAA funds that are eligible for continuing support with non-Federal funds are continued by State and local units of

government.

It was discovered during the compilation of this section that there are numerous types of LEAA-funded projects that do not lend themselves to continuing funding support by State and local units of government with their own funds after Federal funding support ceases. They include telecommunications and data processing equipment purchases, training, facilities construction and renovation, and experimental projects or studies of a relatively short duration. The major objectives of these projects are accomplished with Federal funds, and with the exception of routine maintenance costs, the bulk of the project cost occurs during the initial Federal funding period. It is these projects that are not eligible for continuation funding.

The data in this report reveals that of the total projects ending in 1977, 36.8 percent were of a type eligible for continuation with non-Federal funds and 63.2 percent were not eligible. Therefore, the majority of projects ending in 1977 were not of a type normally continued with non-LEAA funds but were short duration, one-time projects that did not have personnel costs as a major budget item. This could reflect a concern by units of government for the inflationary aspects of large project personnel costs that must eventually be assumed.

CONTINUATIONS

Projects Supported with LEAA funds

Project Component	Number of Projects continued with non-LEAA funds when LEAA funds were discontinued	*Number of projects not continued with non-LEAA funds when LEAA funds were discontinued	Number of projects eligible for continuation ¹	Number of projects which, by their nature, are not eligible or intended to be continued	Total projects ending in FY 77
Prevention	409	125	534	132	666
Enforcement	863	155	1018	3375	4393
Adjudication	361	73	434	620	1054
Corrections	570	159	729	394	1123
System Support	163	49	212	498	710
TOTALS	2366	561	2927	5019	7946
Juvenile Justice	444	144	588	345	933
Drug Abuse	139	28	167	51	218

¹This column equals the sum of columns one and two.

Section 519(9)

The Congress has directed LEAA to report "a summary of the measures taken by the Administration to monitor criminal justice programs funded under this title in order to determine their impact and value."

Block Grants—State Programs

Measures taken to determine impact and value of State programs are reported in the Administration's response to the requirements imposed by Sections 519(2) and 519(3).

Categorical Grant Programs

LEAA has undertaken two types of activities to better determine the impact and value of programs and projects supported with categorical grant funds: management improvements and special studies.

Management Improvements. Major management improvements in grant administration initiated by LEAA in 1977 include the following:

- *Revised Grant Administration Procedures.* In February 1977, LEAA published a revised "Handbook for Administration of Categorical Grants, HB 4500.2." The handbook codifies Agency procedures for all categorical grants. It replaced nine agency instructions and two other handbooks. These procedures give a new emphasis to the need for close monitoring of grantee performance to assure grantees' attaining project objectives.
- *Revised Program Guidelines.* In the "Guide to Discretionary Grant Programs" published September 29, 1976, LEAA required its grant applicants to include a project implementation plan. Plans were required to include a clear statement of project objectives; the rationale and strategy for achieving them; and interim, operating objectives—milestones—to enable grantees to measure progress toward project objectives. Plans were necessary to assure that both LEAA and its grantees agreed on grantee performance measures and outcomes and to make LEAA monitoring of grantees reasonable and helpful.
- *New Grant Progress Reports.* A simplified one-page quarterly grant

progress report was approved by the Office of Management and Budget in June 1977. The new report form permits grantees to report progress in the applicable quarter only, in consonance with the project plan contained in the original grant application.

- *Certification of Ongoing Grants.* In April 1977 the Administration directed LEAA office directors and regional administrators to review all grants and contracts to determine whether each was achieving its stated objectives. As a result of this initiative, grant termination procedures were undertaken for 18 grants. The Administration has also directed the LEAA Office of Audit and Investigation to validate selected certified grants.
- *Internal Reviews of Grants.* The National Criminal Justice Information and Statistics Service conducted a special study of comprehensive data systems in eight States—Arizona, California, Louisiana, Massachusetts, Minnesota, New York, Ohio, and Rhode Island. They were selected for review because LEAA had invested substantial sums for many years in them. Onsite reviews, one-week long in each case, were conducted to verify whether stated objectives had in fact been attained. Studies were conducted in the summer of 1977, and reports of findings with recommendations about continued support to these States are being analyzed.

Special Studies. LEAA has undertaken short term studies to assess the progress and effectiveness of selected high priority programs. The studies have produced information used for restructuring LEAA programs and for identifying barriers to LEAA policy implementation. Studies have employed a three step methodology:

- First, programs are selected for study. The bases for selection are: programs experiencing problems evidenced in monitoring reports, staff discussions, or agency management reports; programs involving substantial investment or high levels of uncertainty; and programs whose elimination for lack of

relevance or payoff would generate substantial cost savings.

- Second, all official grant records (including monitoring information) are reviewed and analyzed. Strengths and weaknesses of the program are noted, discussed with grant managers, and verified or refuted by grantees. Verification interviews are conducted onsite.
- Third, study findings are drafted and discussed with grant and program managers, then forwarded with recommendations to LEAA decisionmakers.

Studies of this kind undertaken during 1977 include:

- *Review and Analysis of National Clearinghouse Contract.* This study examined the role of a contractor in reviews of grant applications for the construction of correctional facilities and the delivery of technical assistance. Prior to this study no evaluation of the clearinghouse had been conducted. Among the recommendations of the study were that LEAA assume a larger role in managing the review process and that separate contracts for construction review and technical assistance be submitted for competitive bids. Steps to implement these recommendations are now being taken.
- *Review of Programming to Apprehend and Convict the Career Criminal.* The first phase of this study examined the quality of implementation of LEAA guidelines for monitoring categorical grants. The second phase of the study

will gather information about local capabilities to meet guideline standards and will investigate issues affecting the coordination of actions by police and prosecutors to identify, apprehend, prosecute, and convict habitual offenders. LEAA is planning to increase funding in this program area; this study will help to develop ideas for achieving coordination among different sections of the criminal justice system.

- *Review of Office of Juvenile Justice and Delinquency Prevention Diversion of Status Offenders Program.* Some projects in this area have experienced substantial startup difficulties. LEAA is investigating these projects to identify sources of delay. Other projects also are being examined to identify success factors, and all project studies are being assessed for their compatibility with LEAA program guidelines.

Evaluation Activities

During 1977, LEAA allocated more than \$8 million for program evaluations and related activities. Generally the purposes of evaluation are to help determine the impact and related effects of project activities, and, as appropriate, to recommend valuable, effective projects to criminal justice practitioners. Evaluation activities are discussed in detail in LEAA's responses to Sections 519(2) and 519(10). While these responses do not address monitoring as required by Section 519(9), they are important activities undertaken to determine impact and value of LEAA programs. Accordingly, they are cross-referenced here.

Section 519(10)

Congress has directed LEAA to report "an explanation of how funds made available under sections 306(a)(2), 402(b), and 455(a)(2) of this title were expended, together with the policies, priorities, and criteria upon which the Administration based such expenditures. . . ."

Explanation of Authorizations

Section 306(a)(2) allocates to LEAA for expenditure at its discretion 15 percent of the funds authorized by the Congress for law enforcement purposes. Grants for law enforcement purposes are authorized in Part C of the act. States are allocated the balance (85 percent) of Part C funds.

Section 402(b) authorizes the National Institute of Law Enforcement and Criminal Justice (NILECJ) to make grants and contracts for research, evaluation, demonstration, training, and information collection and dissemination. Such grants and contracts are to encourage research and development for improving law enforcement and criminal justice.

Section 455(a)(2) allocates to LEAA for expenditure at its discretion 50 percent of the funds authorized by the Congress for correctional institutions and facilities. Grants for correctional institutions and facilities are authorized in Part E of the act. States are allocated the other half of Part E funds.

Expenditures

Expenditure information from these three accounts is reported by program component, as indicated:

Program Component	1977 Expenditures
Prevention	\$ 25,589,000*
Enforcement	35,631,000
Adjudication	24,381,000
Corrections	31,933,000
System Support	\$104,296,000
Total 1977 Expenditures	\$221,830,000

*Includes \$17.2 million for juvenile justice and delinquency prevention.

These expenditures exceed both congressional authorizations and program allocations for 1977 because they include expenditures of prior year funds occurring in 1977.

Allocation information gives a better understanding of LEAA's program, policies, and

priorities. This information is provided below for Part C, NILECJ, and Part E programs.

Fiscal Year 1977 Allocation Information (thousands of dollars)

Legislative Authorization	Authorized by Congress	LEAA Allocations
Section 306(a)(2), Part C	\$55,256	\$ 55,256
Section 402(b), NILECJ	27,029	36,750 ¹
Section 455(a)(2), Part E	36,838	36,838
TOTAL	\$119,123	\$128,844

¹Includes \$9.7 million carryover from 1976.

Policies, Priorities, and Criteria

The "policies, priorities and criteria upon which the Administration based such" program allocations are described in this section.

Part C (Section 306(a)(2) Funds)

During fiscal year 1977, LEAA allocated \$55,256 million to 24 different law enforcement and criminal justice programs. Programs and allocations for them are listed below:

Programs	1977 Allocations in thousands
1. Integrated Criminal Apprehension Program	\$ 5,400
2. Rural Law Enforcement	1,100
3. Organized Crime Program	6,437
4. Drug Enforcement Program	4,000
5. Court Fundamental Improvement Program	4,350
6. Career Criminal Program	5,000
7. Court Delay Reduction Program	875
8. Victim/Witness Assistance Program	4,625
9. Court Planning Units	1,150
10. National Scope Indian Programs	1,150
11. Indian Criminal Justice Program	500
12. Law Enforcement Management Program	150

13. Police "Elderly" Program	350
14. Joint Federal/State/Local Organized Crime Program	750
15. Organized Crime Control Regional Training Program	250
16. Drug Enforcement Agency Task Force Program	2,019
17. Civil Disorder and Terrorism Control Program	600
18. Standardized Crime Reporting System Program	350
19. Public Interest Group Program	1,000
20. Small State Supplement Program	3,000
21. Information Systems Development	7,200
22. Juvenile Justice Programs	3,000
23. Criminal Justice Standards and Goals	1,500
24. Corrections Program	500
TOTAL	\$55,256

Section 402(b), National Institute of Law Enforcement and Criminal Justice (NILECJ) Funds

During fiscal year 1977, the Congress allocated \$27,029,000 to the National Institute of Law Enforcement and Criminal Justice (NILECJ) for research, demonstration, evaluation, training, and information dissemination purposes. NILECJ had an additional \$9.7 million available from prior years for use during 1977. Programs listed below received allocations as indicated:

Programs	1977 Allocations in thousands
1. Model Program Development	\$ 750
2. Training and Testing	2,468
3. Reference and Information Dissemination	2,805

4. National Evaluation Program	2,551
5. Advanced Technology	6,493
6. Community Crime Prevention	2,734
7. Police-related Research	2,394
8. Courts-related Research	2,498
9. Corrections-related Research	3,228
10. Special Programs	4,586
11. Evaluation Conference	130
12. Evaluative Research	1,770
13. Program Evaluation	4,175
14. Other Projects	528
TOTAL	\$ 37,110

Part E (Section 455(a)(2) Funds)

In 1977, LEAA allocated \$36.8 million to 13 different programs for correctional institutions and facilities as follows:

Programs	1977 Allocations in thousands
1. Treatment Alternatives to Street Crime	\$ 5,433
2. Corrections Training Program	500
3. Improvement of Correctional Field Services (Probation, Parole)	2,600
4. Medical Care and Health Services in Correctional Institutions	1,000
5. Jail Inspection Standards	300
6. Corrections Masterplanning	600
7. Career Criminal Program Support	2,500
8. Juvenile Justice Corrections Programs	8,588
9. Courts-related Programs	500
10. Indian Correction Program	1,000
11. Information Systems Development	5,250
12. Facilities Construction Support	7,567

13. Correctional System	
Standards and Goals	1,000
TOTAL	\$36,838

The criteria for selecting and approving grant applications under Parts C and E are published by LEAA every year in the "Guide for Discretionary Grant Programs." The guide for 1977 was published September 27, 1976. Fifteen thousand copies were distributed nationally to State, regional, and local governments law enforcement agencies, and interested national and State associations.

For each program in the guide the following information is provided:

- Program objective
- Program description
 - problem addressed
 - program strategy
- Dollar range and number of grants planned
- Eligibility to receive grants
- Submission and processing procedures
- Deadline for submitting applications
- Criteria for selecting applications for award
- Evaluation requirements

Policies and priorities for 1977 were established during LEAA's planning cycle, executed in the spring of 1976. Allocations for Part C (law enforcement), National Institute of Law Enforcement and Criminal Justice (research, demonstration, training evaluation), and Part E (corrections) programs were made in the summer of 1976. Program policies and priorities may be inferred from these allocations.

Part C program priorities were:

- The Career Criminal Program
- The Integrated Criminal Apprehension Program (coordinated closely with the Career Criminal Program);
- Court Improvement and Victim/Witness Programs
- Organized Crime Control Programs
- Information Systems Development
- Juvenile Justice Programs

Part E program priorities were:

- Juvenile Justice Corrections Program
- Facilities Construction support
- Drug Treatment Alternatives to Street Crime Program
- Information Systems Development
- Programs for Improving Parole and Probation Services

- Career Criminal Program support

LEAA has instituted decisionmaking mechanisms for reviewing, evaluating, and analyzing each of these and all other LEAA programs. These mechanisms are an integral part of LEAA's planning cycle, budgetary process, and management information systems. Beginning in the spring of 1977, the LEAA Administration modified these systems; they now use uniform categories and formats. Accordingly, policy formulation, program planning, budgeting, and daily operations of LEAA are integrated and more effectively managed.

NILECJ Policies, Programs, and Criteria

Policies. The National Institute of Law Enforcement and Criminal Justice is LEAA's research and evaluation arm. Its purpose is to encourage research and development to improve and strengthen law enforcement and criminal justice, to disseminate the results of such efforts to State and local governments, and to assist in the development and support of programs for the training of law enforcement and criminal justice personnel.

To forge a stronger link between research and action, LEAA last year initiated the action program development process. This agencywide effort explicitly recognizes that research and evaluation activities must be routinely linked to the development of action programs. At the same time, however, Agency policy recognizes that not all research leads immediately to practical application and that a legitimate purpose of research is to develop knowledge that furthers the understanding of crime.

Priorities. The Institute last year developed an agenda of priority issues to be addressed by research during the next five years. In setting priorities for the allocation of funds the Institute is guided by the following:

- The congressional mandate as set forth in the enabling legislation.
- The priorities set by the Attorney General.
- The management-by-objectives process, which takes into account the LEAA Administrator's priorities.
- The judgments of the Institute's professional staff.
- The recommendations of the Institute's advisory committee of knowledgeable criminal justice practitioners and researchers.

As part of the planning process the Institute carefully considered suggestions made by groups

such as the National Academy of Sciences, which reviewed the work of the Institute during the past few years. It also reviewed suggestions contained in State plans for law enforcement and criminal justice research as well as examined the results of past Institute research to discern fruitful areas for further inquiry, methodological problems that must be overcome, and areas where more basic or fundamental questions must be answered before progress can be made.

To obtain reactions to the priorities from a broad and relevant audience the Institute surveyed more than 700 persons, including criminal justice planners and practitioners, and members of the research community. These responses were analyzed and the results fed into the development of a final agenda.

The list of priorities to be the focus of Institute research during the next several years are the correlates and determinants of criminal behavior, deterrence, community crime prevention, performance standards and measures for criminal justice, the career criminal, the utilization of police resources, the pretrial process, sentencing, offender rehabilitation, and violent crime and the violent offender.

The research priorities were published in the "Institute Program Plan," a yearly publication disseminated to interested researchers and practitioners.

Criteria. In addition to the program plan, the Institute last year expanded the use of detailed program solicitations to signal its interests to the research community. The program announcements provide more information on the background and objectives of specific programs, funding, and deadlines for submitting concept papers and proposals. They are designed to reach a wide audience to insure a range of creative responses to research issues. All program announcements are publicized through the "Federal Register." Requests for proposals for contracts are announced in "The Commerce Business Daily."

During 1977, proposal review procedures were the subject of continuing refinement. To insure a fair and knowledgeable evaluation of proposals and concept papers, proposals are screened initially by the appropriate office staff. They are then circulated for review by Institute staff in other areas with relevant expertise. All grant applications are reviewed by at least two—and often three—knowledgeable outside reviewers drawn from the criminal justice and academic communities, research organizations, and private industry.

In making decisions on grant awards the Institute is guided by the peer review process and by the following considerations:

- Compatibility with the Institute's legislative mandate.
- Relationship to the Institute's plan and priorities, and to priorities set by the Attorney General and the LEAA Administration.
- Originality, adequacy, and economy of the research design and methods.
- Experience and competence of the principal investigator and staff.
- Probability of acquiring important new knowledge that advances the understanding of or the ability to solve critical problems relating to crime and the administration of justice.

Additional National Institute of Law Enforcement and Criminal Justice Mandate Responses

National Manpower Survey. The Institute also completed last year a nationwide survey of State and local law enforcement and criminal justice personnel in response to a congressional directive.

Investigators sent questionnaires to about 8,000 executives of State and local agencies, surveyed more than 1,600 State courts and 250 law enforcement academies, and made field visits to hundreds of agencies and schools. Data from the Bureau of the Census' 1975 survey of 50,000 criminal justice professionals were also analyzed.

The findings from the massive survey, which included a summary and six volumes, incorporate data on the adequacy of current manpower; projections for manpower needs in the future; recruitment, training, and education programs and practices; and special issues such as employment of women and minorities and the effects of changing criminal justice functions on manpower requirements. Major occupations in police, courts, and corrections were studied.

State Planning Agency Evaluation Training. In addition to evaluating specific programs and sponsoring research into new and more effective evaluation methodologies, the Institute also assists State Planning Agencies in developing or improving their own evaluation capabilities. The Institute reviewed the State plans to identify significant problems in evaluation faced by the States. Representatives of the Institute met quarterly with the National Conference of SPA Directors to exchange

views about evaluation needs and proposed LEAA evaluation plans.

The Office of Evaluation also sponsored a National Conference on Criminal Justice Evaluation. More than 200 papers on evaluations and evaluation methodologies were presented. More than 1,100 individuals from all branches of government and all parts of the criminal justice research and operating communities attended. The conference not only drew registrants from all parts of the United States but also attracted a small group of attendees from Canada, Western Europe, and Africa.

Corrections Research. Institute-sponsored researchers are now assessing the impact of Maine's "flat" sentencing approach, including the impact of the State's criminal code revisions on changes in sentencing practices, possible shifts in institutional populations and staffing patterns, resentencing policies and procedures, the use of split sentencing, and executive clemency and the use of restitution and community-based corrections as alternative means of handling criminal offenders in lieu of incarceration.

The Center for Policy Research in New York City is investigating what changes in sentencing and correctional systems would be required if parole were eliminated.

In the Crime Control Act of 1976, the Congress directed the Institute to survey existing and future needs in correctional facilities as well as the adequacy of Federal, State, and local programs to meet these needs. Responding to this mandate, the Institute on September 30, 1977, submitted its report, *Prison Population and Policy Choices: A Preliminary Report to Congress*. Among other things, the study found that prison intakes have risen 38.8 percent during the last six years. The report also includes projections for future growth of prison populations.

A five-volume study of "Alternatives to Jail" found that pretrial alternatives generally cost much less than jail; persons released before trial seem to fare better in court than those who are incarcerated; pretrial release alternatives appear to be as effective as jail in preventing recidivism, and certain of them can reduce the size of criminal justice agency workloads; alternative programs can reduce jail populations and eliminate the need for expansion or new construction; and convicted misdemeanor offenders can be sentenced to a variety of conditional

release alternatives (alcohol treatment, supported work, drug treatment, victim restitution, community service separation, etc.).

A survey of prison industries in seven States found short workdays (averaging about three hours, 30 minutes), poor wages (typically no more than \$1 a day), work assignments based on the offender's prison record rather than skills or aptitude for a particular job, and no quality control over products.

Drug Abuse Research and Evaluation. The Congress has given the Institute certain responsibilities in the area of drug abuse research. In conjunction with the National Institute on Drug Abuse, the Institute was directed to conduct research on the relationship between drug abuse and crime, and to evaluate the success of the various types of drug treatment programs in reducing crime.

Through an interagency agreement with the National Institute on Drug Abuse (NIDA), the Institute is now participating in a large analysis of the effectiveness of treatment for drug users, both during and after their release from treatment.

The Institute also will fund a project to develop a research agenda in the area of drugs and crime based on the recommendations of the NIDA Panel on Drug Use and Criminal Behavior.

Other drug-related research funded by the Institute includes a study of the role of the police in controlling the use of illicit substances, especially opiates under the Research Agreements Program. The Hoover Institution will attempt to answer two basic questions: How do increases in drug enforcement affect the consumption of drugs and the crime rate? Does increasing the availability of drug treatment programs reduce the crime rate?

In addition to the interagency agreement with NIDA described above, the Institute also is funding an indepth analysis of the Treatment Alternatives to Street Crime (TASC), a program that identifies and refers drug-dependent defendants from the criminal justice system to treatment programs. This study builds upon the findings of an earlier study, conducted under the Institute's National Evaluation Program, which found a lack of standardized information on project operations. The phase-II study will collect and analyze such data, which is useful for comparing such things as the number of persons processed through various stages of the TASC programs and the costs associated with each.

Section 519(11)

The Congress directed LEAA to report "a description of the implementation of, and compliance with, the regulations, guidelines, and standards required by Section 454 of this Act."

Section 454 is contained in Part E of the act, and authorizes LEAA to make grants for correctional institutions and facilities.

Basic Criteria for Part E Applicants

Section 454 states that "the Administration shall, after consultation with the Federal Bureau of Prisons, by regulation prescribe basic criteria for applicants and grantees under this Part."

These criteria are explained in LEAA's guideline manual "State Planning Agency Grants," M4100.1F, paragraph 53. After consultation with the Bureau of Prisons in 1970, LEAA contracted the National Clearinghouse for Criminal Justice Planning and Architecture to assist in the development of these criteria. The "advanced standards" alluded to in the guideline are explained in greater detail in the "Guidelines for Correctional Architecture," developed by the clearinghouse in June 1971. Additional standards were published in 1977 by the American Correctional Association in "Standards for Long Term Adult Correctional Facilities" and "Standards for Local Adult Detention Facilities." A copy of paragraph 53 as it appears in M4100.1F is reproduced below.

Guidelines for Drug Treatment Programs

Section 454 also requires LEAA to "issue guidelines for drug treatment programs in State and local prisons and for those to which persons on parole are assigned." The Administrator shall coordinate or assure coordination of the development of such guidelines with the Special Action Office for Drug Abuse Prevention.

These guidelines are explained in M4100.1F, paragraph 53c(7), reprinted below. They evolved from guidelines developed in 1974 by a task force, consisting of drug treatment experts from LEAA, the National Institute on Alcohol Abuse and Alcoholism, the Bureau of Prisons, and the Special Action Office for Drug Abuse Prevention, which convened regularly in late 1973 and early 1974. More specific details on these standards may be found in the AMA's "Standards for Medical Care and Health Services" contained in the American Correctional Association standards publication.

Paragraph 53 of the "State Planning Agency

Grants" guideline manual M4100.1F reads as follows:

53. CONDITIONS FOR PARTICIPATION IN FUNDING UNDER THE SPECIAL CORRECTIONS PROGRAM (PART E) OF THE CRIME CONTROL ACT.

a. Purpose. According to Section 451 of Part E of the Crime Control and Safe Streets Act as amended, "it is the purpose of this part to encourage States and units of general local governments to develop and implement programs and projects for the construction, acquisition and renovation of correctional institutions and facilities, and for the improvement of correctional programs and practices."

b. Comprehensive Planning on a Statewide Basis. It is the intent of the Crime Control Act to encourage States to upgrade the programs and practices of institutions and facilities in a comprehensive manner. To succeed in this, the SPA must lock to the total correctional system within the State, assess its problems, needs and resources, and plan accordingly. Funds should not be expended until this process has occurred. The manner in which funds are expended should be pursuant to the results of this planning process. The SPA must address the entire correctional system within the State in order for its plan to be considered comprehensive. Allocation of funds should be based upon an assessment and prioritization of needs.

c. Conditions for Part E Money.

(1) Plan Requirement. The SPA must set forth in detail its comprehensive statewide program for the construction, acquisition and renovation of correctional institutions and facilities in the State including its goals, standards and timetable for the achievement of its goals. The SPA must demonstrate how it will utilize Part E funds to improve correctional programs and practices throughout the State. The allocation of Part E funds must be based upon an assessment and prioritization which reflect compliance with Part E special requirements.

(2) The Crime Control Act requires that the State Planning Agency in order to be eligible for Part E funds pro-

vide satisfactory assurances that correctional programs and projects meet certain advanced standards. These standards are set forth and explained below. Upon acceptance of the Action Grant (Part C and Part E) and the General Conditions Applicable to the Administration of Grants under Part C and Part E of Title I of the Act, as amended (see appendix 5), the State Planning Agency certifies and assures that it will meet the advanced standards enumerated in Section 453 of the Act.

(a) Explanation. In developing the programs for this corrections component of the comprehensive plan, the SPA must insure that all conditions contained in this paragraph are adequately addressed and that there is satisfactory compliance with these requirements throughout the State corrections system.

(b) Definitions.

1 Satisfactory assurances and satisfactory emphasis mean that the appropriate and relevant sections of the comprehensive plans positively reflect both quantitatively by and substantive by what specific activities, steps and standards will be developed or initiated to comply with the requirements of Part E of the Crime Control Act. A mere statement of compliance without demonstrable information (both quantitative and qualitative) is not considered satisfactory emphasis or a satisfactory assurance that the requirements of Part E of the Crime Control Act are being addressed.

2 "Advanced techniques" or "advanced practices", where so used means comparable to the best contemporary methods, standards, or requirements, as recognized by professional agencies or organizations or as suggested by technical assistance planning and design materials issued by LEAA.

3 The conditions for improved correctional programs and practices, and the utilization of advanced standards and practices contained below apply to the entire correctional system throughout the State.

(3) Assurances Not to Reduce Part C Funding for Corrections.

(a) Assurance. Provide satisfactory assurances that the availability of funds under Part E shall not reduce the amount of funds under Part C which a State would, in the absence of Part E, allocate for the purposes of corrections.

(b) Explanation. The required statutory assurances will be presumed to have been provided if the State plan retains a percentage of Part C allocation for correctional (adult and juvenile) programs and projects substantially equal to:

1 the percentage of Part C funds allocated in the State plan for corrections in FY 1971; or

2 the percentage of Part C funds expended for corrections in FY 1971; or

3 either 1 or 2 coupled with the State's multiyear projections contained in the FY 1971 plan reduced to a percentage of anticipated Part C allocations in FY 1972 and subsequent fiscal years;

and if the percentage as determined above and the current plan allocation is at least 20 percent of total Part C funds.

In the event that a State fails to satisfy this presumption, the State is required to furnish satisfactory documentation that the funds proposed to be allocated to corrections under Part C, and the funds available under Part E, coupled with additional State and local funding, are sufficient to substantially comply with the plan requirements set forth in Part E, Section 453 of the Act.

(4) Personnel Upgrading.

(a) Act Requirement. According to Section 453(8) of the Crime Control Act, the State Plan must provide "satisfactory assurances 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.

(b) Plan Requirement. The SPA must include in its comprehensive plan a description of the existing State, local or SPA-funded projects and

programs to improve the recruiting, organization, training and education of personnel employed in correctional activities, including those of probation, parole and rehabilitation.

In the absence of such existing systems the SPA must provide a description of the State, local or SPA activities designed to improve manpower efforts.

1 This specification shall be deemed satisfied in a State where the existing systems section of the Comprehensive Plan or the Annual Action Section provides for projects and programs consistent with advanced practices.

a As a minimum such training should conform with recommend standards as outlined in Standard 14:11 of the National Commission on Criminal Justice Standards and Goals.

b The State Plan should indicate projects and programs to improve the recruitment, organization and education of corrections personnel which address advanced practices as those outlined in Standard 14 in the report, of the National Advisory Commission on Criminal Justice Standards and Goals.

(5) Personnel Standards and Programs of Institutions and Facilities.

(a) Act Requirement. According to Section 453(7) of the Crime Control Act, the State Plan must provide "satisfactory assurances that the personnel standards and programs of the institutions and facilities will reflect advanced practices."

(b) Personnel Standards. The State Plan must provide that States' personnel standards for correctional personnel reflect advanced practices.

(c) Programs of Institutions and Facilities. The State must provide satisfactory assurances that programs of institutions and facilities reflect advanced practices, (including provision of medical, educational, vocational, recreational, and drug/alcohol programs and services).

(6) Community-Based Emphasis.

(a) Plan Requirement. Show

how the Part E programming in compliance with Section 453(4) of the Crime Control Act, provides satisfactory emphasis on the development and operation of community-based correctional facilities and programs including diagnostic services, halfway houses, probation and other supervisory release programs for preadjudication and post adjudication referral of delinquents, youthful offenders, and community-oriented programs for the supervision of parolees.

(b) In describing the emphasis on community-based correctional programs the State should specify the percentage of the State's Part E allocation designated for construction programs and the percentage designated for community-based correctional programs. Also, consistent with statutory emphasis on areas "characterized by both high crime incidence and high law enforcement activity," it is expected that a major portion of Part E support will assist efforts in large cities, large counties, metropolitan areas, and populous urban centers.

(7) Narcotic and Alcoholism Treatment.

(a) Plan Requirement. According to Section 453(9) of the Crime Control Act, Part E programming must describe how the State is conducting a concerted effort to provide voluntary drug and alcoholism detoxification and treatment programs for drug addicts, drug abusers, alcoholics, and alcohol abusers who are either within correctional institutions or facilities, or who are on probation or other supervisory release programs.

(b) Method.

1 States must have initiated programs to identify drug and alcohol abusers in the correctional system. The identification programs should be able to indicate the overall magnitude of the drug and alcohol abuse problems and permit early identification of all offenders voluntarily admitting to such abuse.

(c) Treatment Requirements. States must provide such treatment as is necessary for incarcerated and convicted persons with a drug or alcohol problem. The following must be

established or provided:

1 Criteria for patient admissions and terminations.

2 Adequate facilities, maintained in clean, safe, and attractive conditions.

3 Intake units, providing physical and laboratory examinations as well as a full personal medical and drug history.

4 Educational or job training programs.

5 Regularly scheduled individual or group counseling and medical treatment for all program participants conducted by qualified trained personnel.

6 Program participation on a voluntary basis only.

(8) Monitoring the Correctional System.

(a) Plan Requirement. Show how the State plans in compliance with Section 453(11) of the Crime Control Act, provide for accurate and complete monitoring of the progress and improvement of the correctional system. The monitoring must include the rate of prisoner rehabilitation and rates of recidivism in comparison with previous performance of the State or local correctional systems and current performance of other State and local prison systems not included in this program. The definition of recidivism rate is included as Appendix 1 to this guideline manual.

(9) Development of Corrections Component of the Comprehensive Plan. The process of designing and developing a corrections plan essentially includes three basic phases. The correctional component of the comprehensive plan should contain these phases at a minimum:

(a) Assessment of Problems, Needs and Resources. To deter-

mine the range of program alternatives to protect the community and to provide services to the offender, it is necessary to look at the existing service delivery system and their deficiencies and to look at the nature of the offender population to be served. The utilization of profiling, an existing correctional resources inventory and a community resources inventory, will assist in describing the nature of the existing system and identifying deficiencies (i.e., needs, gaps, and problems).

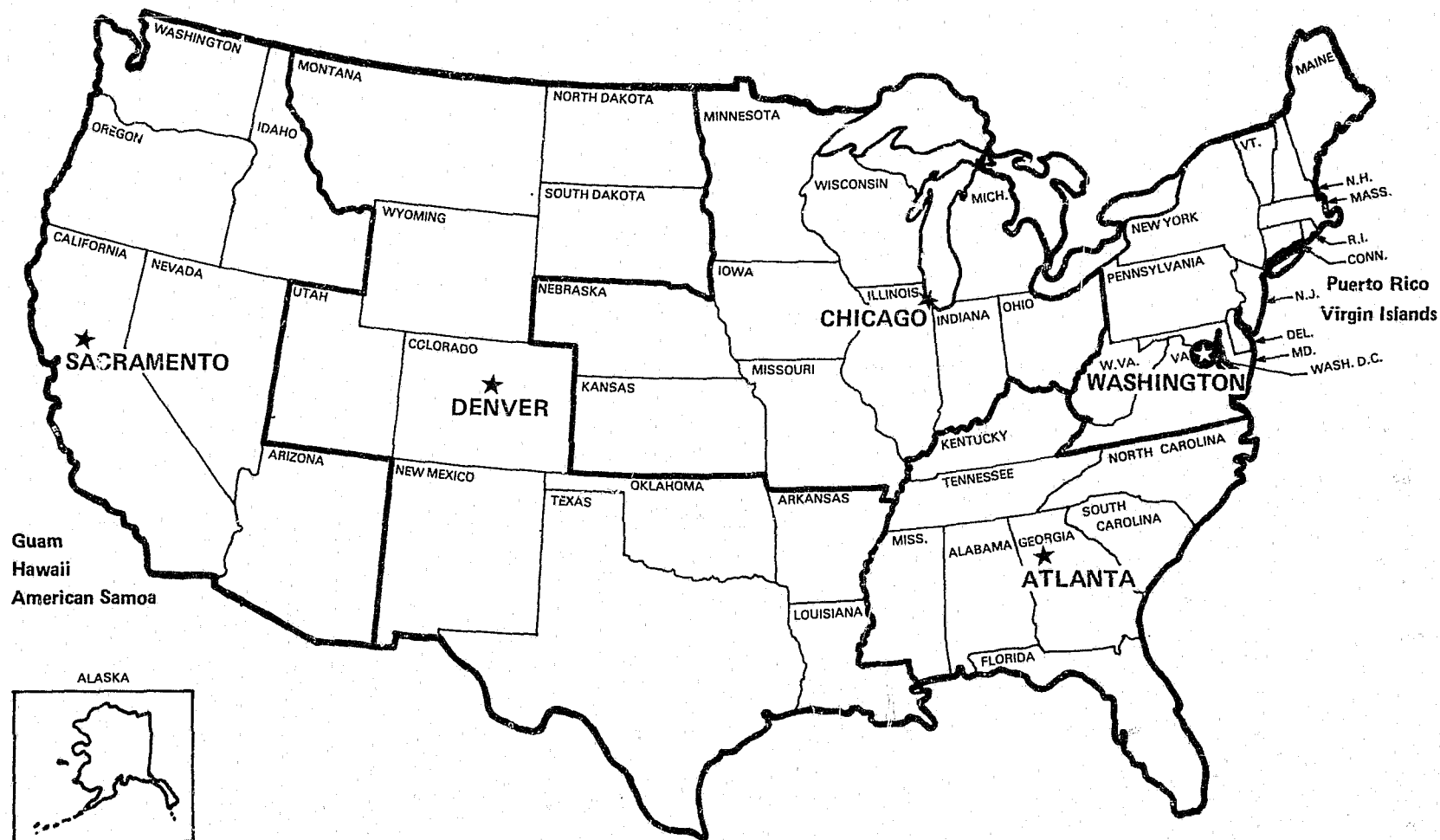
(b) Program Linkage.

The process seeks to estimate, based on the assessment of the characteristics of the offender profiling and existing resources inventory, what range of services are necessary in order to provide the correctional components with an adequate range of meaningful program choices. This program linkage process, based on the previously mentioned assessments, should recommend program creation and expansion to the degree necessary to meet the needs of the offender and to protect the community. The program linkage phase may contain certain assumptions or hypotheses in which the allocation of resources to various levels of supervision may be based (e.g., special offenders placed in programs based on primary needs—alcoholism, drugs, etc.).

(c) Program Development. As indicated in the previous two sections, existing correctional resources are described and tabulated (e.g., prisons, halfway houses, probation services, etc.). These are combined with community resources as surveyed along with the offender characteristics; profiling will indicate the nature of change in existing resources and the need for new services. In this manner, the SPA should plan the development of programs and resources to meet the State's needs in the correctional area.

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

AREA AUDIT PROGRAM REVIEW OFFICES



APPENDIX

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DISTRIBUTION OF LEAA FUNDS

FY 1969-1977
(In Thousands)

	1969	1970	1971	1972	1973	1974	1975	1976	1976-TQ	1977
Comprehensive Plans	\$19,000	\$ 21,000	\$ 26,000	\$ 35,000	\$ 50,000	\$ 50,000	\$ 55,000	\$ 60,000	\$ 12,000	\$ 60,000
Action Grants	24,650	182,750	340,000	413,695	480,250	480,250	480,000	405,412	84,660	313,123
Discretionary Grants	4,350	32,000	70,000	73,005	88,750	88,750	84,000	71,544	14,940	68,856 ^{a/}
Aid for Correctional Institutions and Programs (E Block and E Discretionary)	\$	\$	47,500	97,500	113,000	113,000	113,000	95,478	21,000	73,676
Manpower Development	6,500	18,000	22,500	31,000	45,000	45,000	44,500	43,250	40,600	44,300
National Institute of Law Enforcement and Criminal Justice	3,000	7,500	7,500	21,000	31,598	40,098	42,500	32,400	7,000	27,029
Data Systems and Statistical Assistance	\$	1,000	4,000	9,700	21,200	24,000	26,000	25,622	6,000	21,152
Technical Assistance	\$	1,200	4,000	6,000	10,000	12,000	14,000	13,000	2,500	13,000
Juvenile Assistance	\$	\$	\$	\$	\$	\$	14,500**	39,300	9,700	75,000
Administration	2,500	4,487	7,454	11,823	15,568	17,428	21,500	23,632	6,560	25,864
Public Safety Officers' Benefits Program										16,000
Community Anti-Crime Program										15,000
Total	\$60,000	\$267,937	\$528,954	\$698,723	\$855,366*	\$870,526	\$895,000	\$809,638	\$204,960	\$753,000

* Excludes \$14.2 million that was transferred to the Department of Justice.

** An additional \$10 million was reappropriated from Safe Streets Reversionary funds to Juvenile Justice.

a/ Includes \$13.6 million High Crime Area funds.

LEAA Part B Planning Formula Grant Allocations as of September 30, 1977

(Amount in thousands)

State	FY 1969-72	FY 1973	FY 1974	FY 1975	FY 1976 *	FY 1977
Alabama	\$1,740	\$852	\$852	\$934	\$1,220	\$1,016
Alaska	512	257	257	268	340	323
Arizona	1,069	535	535	609	817	713
Arkansas	1,149	564	564	618	806	693
California	8,001	3,976	3,976	4,452	5,901	4,724
Colorado	1,227	618	618	693	925	789
Connecticut	1,558	774	774	842	1,093	911
Delaware	609	304	304	319	407	374
Florida	2,924	1,485	1,485	1,731	2,370	1,986
Georgia	2,164	1,068	1,068	1,186	1,568	1,295
Hawaii	695	345	345	370	481	433
Idaho	673	335	335	357	463	421
Illinois	4,669	2,303	2,303	2,543	3,309	2,641
Indiana	2,386	1,183	1,183	1,301	1,702	1,389
Iowa	1,483	734	734	801	1,033	862
Kansas	1,274	625	625	672	869	736
Kentucky	1,572	809	809	889	1,161	969
Louisiana	1,812	889	889	979	1,275	1,056
Maine	782	388	388	414	534	475
Maryland	1,884	942	942	1,043	1,365	1,126
Massachusetts	2,563	1,277	1,277	1,407	1,837	1,493
Michigan	3,798	1,879	1,879	2,078	2,730	2,204
Minnesota	1,845	920	920	1,008	1,314	1,087
Mississippi	1,273	620	620	670	884	750
Missouri	2,199	1,085	1,085	1,189	1,554	1,273
Montana	669	331	331	349	450	408
Nebraska	968	481	481	518	670	580
Nevada	584	292	292	311	401	373
New Hampshire	679	340	340	361	468	423
New Jersey	3,154	1,556	1,556	1,731	2,254	1,819
New Mexico	790	392	392	424	551	490
New York	7,441	3,651	3,651	4,027	5,234	4,129
North Carolina	2,360	1,162	1,162	1,288	1,700	1,402
North Dakota	641	317	317	332	424	386
Ohio	4,503	2,216	2,216	2,434	3,190	2,553
Oklahoma	1,379	684	684	748	980	824
Oregon	1,193	596	596	655	857	733
Pennsylvania	4,946	2,432	2,432	2,680	3,495	2,787
Rhode Island	759	379	379	402	515	451
South Carolina	1,404	690	690	760	995	845
South Dakota	658	326	326	342	437	396
Tennessee	1,913	942	942	1,048	1,371	1,139
Texas	4,685	2,319	2,319	2,618	3,487	2,825
Utah	806	400	400	435	565	503
Vermont	569	284	284	296	377	350
Virginia	2,181	1,080	1,080	1,193	1,576	1,302
Washington	1,686	845	845	912	1,189	999
West Virginia	1,082	530	530	574	740	632
Wisconsin	2,078	1,036	1,036	1,143	1,492	1,228
Wyoming	528	263	263	272	346	328
District of Columbia	698	343	343	357	451	404
American Samoa	411	205	205	206	258	256
Guam	436	216	216	217	275	271
Puerto Rico	1,445	713	713	781	1,024	882
Virgin Islands	423	212	212	213	270	268
Trust Territory						275
Total	\$101,000	\$50,000	\$50,000	\$55,000	\$72,000	\$60,000

* Includes transition quarter.

CONTINUED

2 OF 3

LEAA Part C Formula Grant Allocations as of September 30, 1977

(Amount in thousands)

State	FY 1969-72	FY 1973	FY 1974	FY 1975	FY 1976**	FY 1977
Alabama	\$16,169	\$8,026	\$8,026	\$8,003	\$8,163	\$5,215
Alaska	1,449*	700	700	739	759	497
Arizona	8,196	4,127	4,127	4,462	4,772	3,151
Arkansas	9,048	4,482	4,482	4,564	4,685	3,017
California	92,698	46,495	46,495	46,390	47,546	30,451
Colorado	10,184	5,143	5,143	5,373	5,682	3,669
Connecticut	14,118	7,064	7,064	7,000	7,091	4,501
Delaware	2,589*	1,277	1,277	1,298	1,319	842
Florida	31,131	15,821	15,821	16,698	17,831	11,814
Georgia	21,415	10,695	10,695	10,757	11,092	7,114
Hawaii	3,598*	1,791	1,791	1,855	1,936	1,246
Idaho	3,339*	1,660	1,660	1,716	1,787	1,161
Illinois	51,898	25,898	25,898	25,555	25,730	16,279
Indiana	24,216	12,102	12,102	12,014	12,211	7,750
Iowa	13,181	6,581	6,581	6,555	6,592	4,167
Kansas	10,572	5,235	5,235	5,155	5,212	3,305
Kentucky	15,052	7,500	7,500	7,514	7,662	4,892
Louisiana	17,074	8,485	8,485	8,496	8,624	5,488
Maine	4,633	2,312	2,312	2,332	2,392	1,530
Maryland	18,160	9,140	9,140	9,200	9,379	5,965
Massachusetts	26,414	13,257	13,257	13,173	13,350	8,459
Michigan	41,383*	20,681	20,681	20,487	20,861	13,299
Minnesota	17,687	8,866	8,866	8,812	8,956	5,696
Mississippi	10,471	5,166	5,166	5,127	5,335	3,405
Missouri	21,871	10,897	10,897	10,789	10,977	6,961
Montana	3,283*	1,618	1,618	1,627	1,680	1,075
Nebraska	6,922	3,457	3,457	3,473	3,530	2,248
Nevada	2,293*	1,139	1,139	1,211	1,268	837
New Hampshire	3,425*	1,719	1,719	1,759	1,828	1,179
New Jersey	33,490	16,703	16,703	16,703	16,864	10,680
New Mexico	4,730	2,367	2,367	2,446	2,530	1,632
New York	85,258	42,496	42,496	41,744	41,933	26,404
North Carolina	23,752	11,842	11,842	11,866	12,207	7,840
North Dakota	2,924*	1,439	1,439	1,441	1,462	928
Ohio	49,878	24,821	24,821	24,369	24,733	15,674
Oklahoma	11,917	5,964	5,964	5,984	6,144	3,911
Oregon	9,693	4,873	4,873	4,966	5,109	3,289
Pennsylvania	55,229	27,482	27,482	27,058	27,309	17,272
Rhode Island	4,381	2,206	2,206	2,202	2,227	1,368
South Carolina	12,148	6,036	6,036	6,109	6,271	4,048
South Dakota	3,143*	1,551	1,551	1,546	1,570	993
Tennessee	18,343	9,143	9,143	9,225	9,428	6,052
Texas	52,133*	26,091	26,091	26,374	27,231	17,529
Utah	4,957	2,468	2,468	2,561	2,647	1,720
Vermont	2,113	1,035	1,035	1,046	1,073	683
Virginia	21,644	10,832	10,832	10,830	11,153	7,162
Washington	15,808	7,944	7,944	7,768	7,899	5,097
West Virginia	8,212	4,064	4,064	4,080	4,116	2,602
Wisconsin	20,489	10,294	10,294	10,287	10,450	6,660
Wyoming	1,613*	775	775	786	812	528
District of Columbia	3,591*	1,763	1,763	1,709	1,690	1,052
American Samoa	131	63	63	61	69	41
Guam	451*	198	198	191	214	146
Puerto Rico	12,687	6,320	6,320	6,343	6,513	4,305
Virgin Islands	323*	146	146	141	168	121
Trust Territory						173
Total	\$961,507	\$480,250	\$480,250	\$480,000	\$490,072	\$313,123

*Includes Small State Supplements

** Includes transition quarter.

LEAA Part E Formula Grant Allocations as of September 30, 1977

(Amount in thousands)

State	FY 1971-72	FY 1973	FY 1974	FY 1975	FY 1976 *	FY 1977
Alabama	\$1,233	\$944	\$944	\$942	\$970	\$613
Alaska	108	82	82	87	90	58
Arizona	634	486	486	525	567	371
Arkansas	688	527	527	537	556	355
California	7,142	5,470	5,470	5,460	5,651	3,583
Colorado	790	605	605	632	675	432
Connecticut	1,085	831	831	824	843	530
Delaware	197	150	150	153	156	99
Florida	2,430	1,861	1,861	1,966	2,119	1,390
Georgia	1,643	1,258	1,258	1,266	1,319	837
Hawaii	275	211	211	218	231	147
Idaho	256	195	195	202	212	137
Illinois	3,977	3,047	3,047	3,008	3,057	1,915
Indiana	1,859	1,424	1,424	1,414	1,451	912
Iowa	668	774	774	772	783	490
Kansas	805	616	616	607	620	389
Kentucky	1,153	882	882	884	910	576
Louisiana	1,304	998	998	1,000	1,025	646
Maine	356	272	272	274	284	180
Maryland	1,404	1,075	1,075	1,083	1,115	702
Massachusetts	2,036	1,560	1,560	1,551	1,587	995
Michigan	3,177	2,433	2,433	2,411	2,479	1,565
Minnesota	1,362	1,043	1,043	1,037	1,064	670
Mississippi	793	608	608	604	634	400
Missouri	1,672	1,282	1,282	1,270	1,304	819
Montana	248	190	190	192	200	126
Nebraska	531	407	407	409	420	264
Nevada	175	134	134	143	151	99
New Hampshire	265	202	202	207	217	139
New Jersey	2,566	1,965	1,965	1,966	2,004	1,256
New Mexico	363	279	279	288	300	192
New York	6,511	5,000	5,000	4,914	4,983	3,106
North Carolina	1,819	1,393	1,393	1,397	1,451	922
North Dakota	221	169	169	170	173	109
Ohio	3,812	2,920	2,920	2,868	2,939	1,844
Oklahoma	915	702	702	704	731	460
Oregon	749	573	573	585	607	387
Pennsylvania	4,221	3,233	3,233	3,185	3,245	2,032
Rhode Island	340	260	260	259	265	161
South Carolina	927	710	710	719	745	476
South Dakota	158	183	183	182	187	117
Tennessee	1,404	1,076	1,076	1,089	1,120	712
Texas	4,007	3,070	3,070	3,104	3,236	2,062
Utah	251	290	290	302	315	202
Vermont	159	122	122	123	128	80
Virginia	1,664	1,274	1,274	1,275	1,325	843
Washington	1,221	935	935	914	938	600
West Virginia	625	478	478	480	489	306
Wisconsin	1,581	1,211	1,211	1,211	1,242	784
Wyoming	119	91	91	93	96	62
District of Columbia	271	207	207	201	201	124
American Samoa	10	8	8	7	9	5
Guam	32	23	23	22	26	17
Puerto Rico	962	744	744	747	774	506
Virgin Islands	23	17	17	17	20	14
Trust Territory						20
Total	\$73,197	\$56,500	\$56,500	\$56,500	\$58,239	\$36,838

* Includes transition quarter.

Law Enforcement Assistance Administration
Juvenile Justice Allocations as of September 30, 1977

(Amount in thousands)

State	FY 1975	FY 1976	Transition Quarter	FY 1977
Alabama	*	*	*	\$813
Alaska	\$200	\$200	\$50	200
Arizona	200	200	50	425
Arkansas	200	200	50	432
California	680	1,966	484	4,373
Colorado	*	229	57	510
Connecticut	200	303	75	673
Delaware	200	200	50	200
Florida	216	625	154	1,390
Georgia	200	487	120	1,083
Hawaii	*	*	*	200
Idaho	200	200	50	200
Illinois	389	1,125	277	2,501
Indiana	200	545	134	1,213
Iowa	200	289	71	643
Kansas	*	*	*	*
Kentucky	200	*	*	734
Louisiana	200	411	101	915
Maine	200	200	50	227
Maryland	200	409	101	910
Massachusetts	200	556	137	1,236
Michigan	333	963	237	2,142
Minnesota	200	409	101	910
Mississippi	200	*	*	*
Missouri	200	460	113	1,024
Montana	200	200	50	200
Nebraska	200	*	*	*
Nevada	200	*	*	*
New Hampshire	200	200	50	200
New Jersey	245	707	174	1,571
New Mexico	200	200	50	268
New York	599	1,731	426	3,850
North Carolina	200	*	*	*
North Dakota	200	200	50	*
Ohio	383	1,108	272	2,463
Oklahoma	*	*	*	*
Oregon	200	207	51	460
Pennsylvania	395	1,140	280	2,536
Rhode Island	*	200	50	200
South Carolina	200	283	70	629
South Dakota	200	200	50	200
Tennessee	200	*	*	874
Texas	410	1,185	291	2,635
Utah	*	*	*	*
Vermont	200	200	50	200
Virginia	200	471	116	1,047
Washington	200	344	85	764
West Virginia	*	*	*	*
Wisconsin	200	469	115	1,044
Wyoming	*	*	*	*
District of Columbia	200	200	50	200
American Samoa	*	50	12	50
Guam	50	50	12	50
Puerto Rico	200	349	86	776
Virgin Islands	50	50	12	50
Trust Territory	50	50	12	50
Total	\$10,600	\$19,771	\$4,876	\$43,271

*Chose not to participate in the Juvenile Justice Formula Funding Program.

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