

Criminal Justice Planning for Local Governments

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Program Models are a synthesis of research and evaluation findings, operational experience, and expert opinion in a criminal justice topic area. Each report presents a series of programmatic options and analyzes the advantages and disadvantages of each. The intent is to provide criminal justice administrators with the capability to make informed choices in planning, implementing, and improving efforts in a program area. The Models may also serve as the basis of LEAA testing and demonstration efforts.

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Criminal Justice Planning for Local Governments

by

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EXECUTIVE SUMMARY

CRIMINAL JUSTICE PLANNING FOR LOCAL GOVERNMENTS

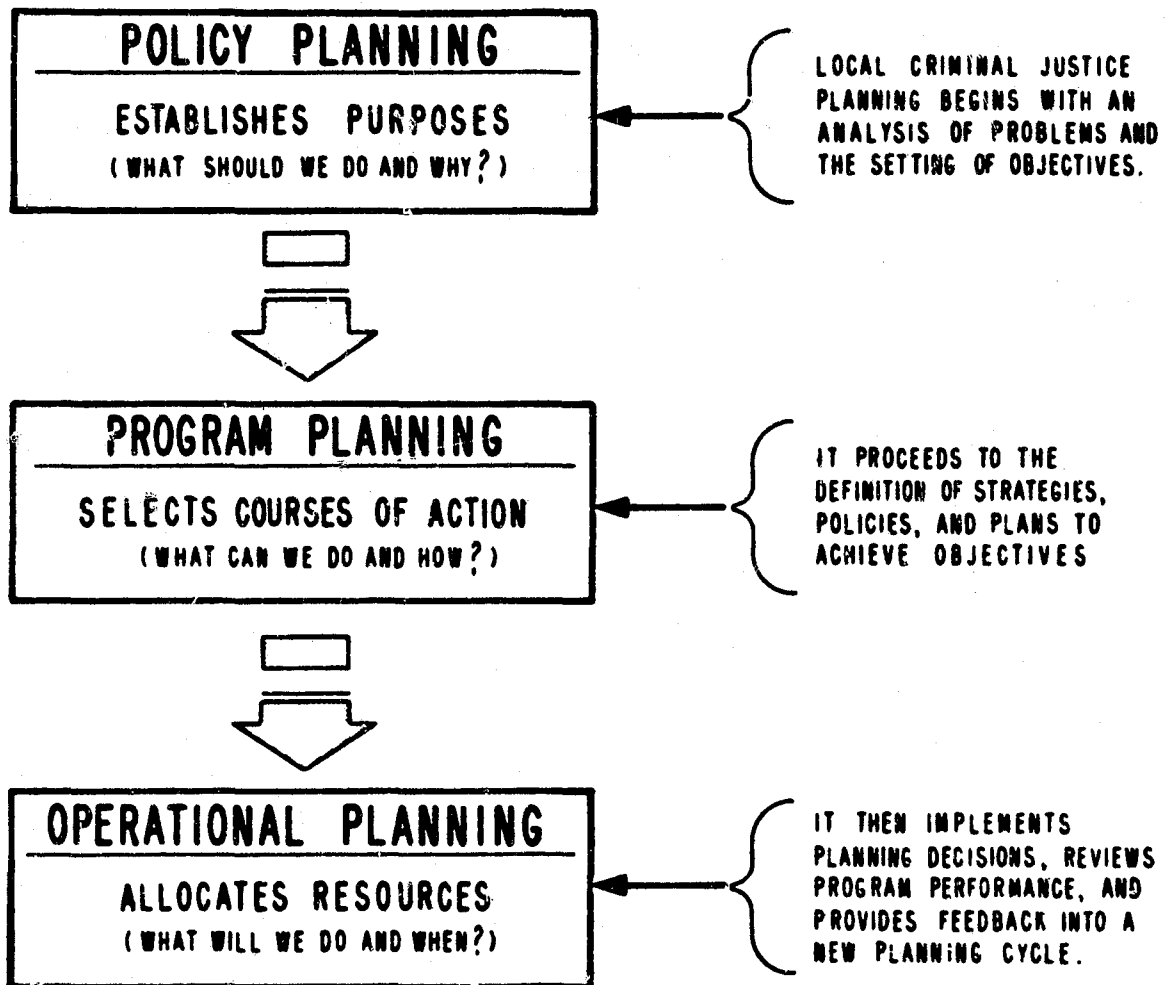
The need for better planning is clear. The administration of the criminal justice system is primarily a responsibility of local governments, and the bulk of the funding to support criminal justice programs and services comes from local tax dollars. In many jurisdictions there is a feeling that the system of criminal justice should, and could, work better. Scarce local resources can be better allocated if city or county law enforcement, courts, and corrections programs are planned and carried out in a coordinated fashion.

Experience has shown that good planning can result in better understanding of crime and criminal justice problems; greater cooperation among agencies and units of local government; clearer objectives and priorities; more effective resource allocation; and better quality criminal justice programs and personnel. Taken together, these results can increase public confidence in and support for criminal justice processes, thus enhancing system performance and, ultimately, the integrity of the law.

Local criminal justice decision-making should be guided by planning efforts at three levels: criminal justice agency planning, city or county level criminal justice planning, and comprehensive interagency and intergovernmental planning for the criminal justice system as a whole. Planning can help individual criminal justice agencies become more efficient, more productive, and more effective. Planning can help officials of general government--the city mayor, the board of supervisors, and county commissioners--evaluate and make decisions about the criminal justice system and its cost and performance. Many local governments also are finding that comprehensive system-wide planning (interagency and cross-jurisdictional) can help to streamline the entire system of criminal justice, eliminate duplication and fill service gaps, and generally improve the quality of service while minimizing costs.

The report describes three types of planning and shows how they can be systematically linked together in a series of planning steps. (See attached diagram.) Policy planning (setting goals and objectives) leads to program planning (selection of specific courses of action), which then leads to operational planning (allocating resources to implement plans). Evaluation of the planning process completes the process and provides needed knowledge to feed into a new planning cycle. Such step-by-step planning can lead to incremental improvement in criminal justice operations. Examples from local jurisdictions with advanced planning practices are provided throughout the text to illustrate how the planning process is being applied in various areas of the United States.

POLICY, PROGRAM, AND OPERATIONAL PLANNING*



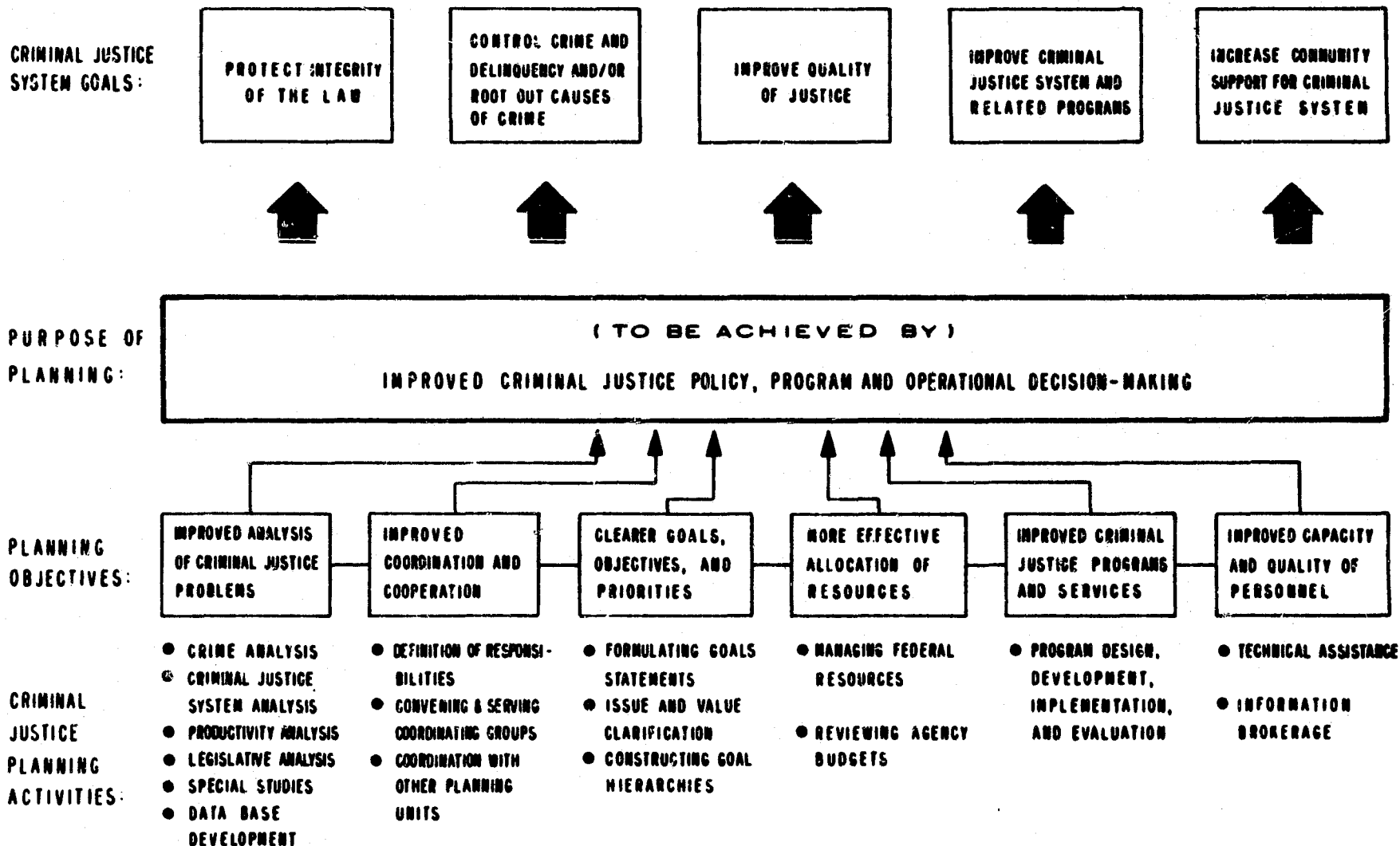
* SOURCE: BERT NANUS, "A GENERAL MODEL FOR CRIMINAL JUSTICE PLANNING," JOURNAL OF CRIMINAL JUSTICE, VOL. 2 (1974), PP. 345 - 356.

The report offers advice about how planning units can be initiated within local governments, provides guidelines about alternative organizational forms for planning entities, describes the range of planning activities that can be undertaken, and suggests what local government can expect to derive from such planning activities. (See chart on following page.)

Regional planning units and criminal justice coordinating councils are particularly well suited for conducting comprehensive system-wide planning. Other organizational options are presented for planning at the city or county level and at the criminal justice agency level. Guidelines for organizing local planning, discussed in detail in the body of the report, are presented here as a check list for a quick self-evaluation of any planning operation:

- Does planning deal with a complete or nearly complete local criminal justice system? (Do all local programs and services for offenders fall within the planning jurisdiction?)
- Does the planning body have sufficient authority to obtain necessary data and to develop plans for the local criminal justice system? (Is the planning entity formally authorized to undertake comprehensive system-wide planning? Does it have adequate access to agency information and do agencies cooperate in implementing plans?)
- Is planning well integrated into the operations of general government? (Does it receive significant local government support, financial and otherwise?)
- Does planning include policy and program planning as well as operational planning?
- Does the planning entity undertake a wide variety of activities in addition to planning for the allocation of federal funds?
- Is the planning body directed by a supervisory board broadly representative of all interested parties in the jurisdiction served?
- Is sufficient attention devoted to planning for planning? (Have policy-makers thought out exactly what they want to accomplish through planning and how their goals will be achieved? Are planning tasks clearly delineated and have staff been recruited with the skills and experience needed to undertake those tasks? Have the duties, responsibilities, and functions of the planning unit been specified and communicated to participating agencies?)

GOALS, PURPOSE, OBJECTIVES, AND ACTIVITIES OF LOCAL CRIMINAL JUSTICE PLANNING



- Is the planning unit characterized by neutrality, credibility, and stability? (Can agency personnel trust the planning director and staff to remain impartial and to act in the interest of the system as a whole? Is staff turnover low enough to permit continuity in planning and facilitate the development of good working relationships with agency personnel and officials of local government?)
- Has the planning process itself been systematically evaluated and do the evaluation results demonstrate its usefulness to local government?

Any local jurisdiction that can answer all of these questions in the affirmative has made a good start toward competent system-wide criminal justice planning. Reported research (of which there has been a great deal in the past decade) and recent site visits to a number of jurisdictions with advanced planning practices confirm the importance of these elements of the program models for local criminal justice planning. Jurisdictions seeking to improve their criminal justice planning capability can do so by implementing many of the suggestions set forth in this report.

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The authors wish to recognize the contributions of local government officials at each of the sites visited in connection with the preparation of this report. The contributions of the planning unit directors and their key staff people were particularly useful. The American Justice Institute also was assisted by an able and conscientious advisory group: Ernie Allen, Planning Director of the Louisville and Jefferson County Criminal Justice Commission; Gary Pence, Planning Director of the Toledo-Lucas County Criminal Justice Regional Planning Unit; the Honorable Donald Clark, Chairman, Board of County Commissioners, Multnomah County (Portland), Oregon; C. Denny Weller, Director of the Denver Anti-Crime Council; and Mal King, Planning Director of the Ventura Regional Criminal Justice Planning Board. They spent many hours reviewing draft chapters, and had many useful ideas for improving the report.

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PREFACE

This report is intended to assist the people planners work for-- the "consumers" of planning products: appointed and elected officials of general government, members of the planning unit's supervisory board, and executives of local criminal justice agencies. The document should be of particular interest to citizens and public officials who sense that local criminal justice planning could become much more than a process of reviewing grant applications; that it could be an action-oriented decision-making process leading to significant reform of the local criminal justice system.

Program Models for Local Criminal Justice Planning

This document synthesizes the findings of considerable research and experience. The concept of local criminal justice planning has attracted much attention and serious study over the last ten years. The lack of coordinated criminal justice planning at the local level was documented in the hearings preceding enactment of the Omnibus Crime Control and Safe Streets Act of 1968 and its 1970 and 1973 amendments. State planning agencies (SPA's), regional planning units (RPU's), and criminal justice coordinating councils (CJCC's) were among the criminal justice planning units created under the Safe Streets Act and its 1970 amendments in particular. They provide much experiential information. Thus, considerable LEAA funding has supported the implementation of criminal justice planning in various forms and in many different sites throughout the country.

Important research has also taken place. The Pilot Cities program, a national LEAA-sponsored demonstration of local criminal justice planning, was launched in 1970. Pilot Cities teams were established in eight test sites to research local criminal justice needs and implement changes suggested by that research, with the goal of improving the quality of justice. The Pilot Cities were intended to serve as models for nationwide replication of the planning team concept and to contribute "new ideas and new knowledge to the theory and practice of law enforcement and criminal justice."¹

Close on the heels of the Pilot Cities program was the High Impact Anti-Crime program, announced by LEAA in 1972. Eight cities were funded by LEAA to implement a model of crime-oriented planning, based in part on preliminary findings of the Pilot Cities experiment. For example, the rational planning process developed for use by the Pilot Cities was applied in the High Impact program to the specific crimes under study. The High Impact program also used crime analysis teams (similar to the Pilot Cities planning teams) to implement plans developed and to contribute to the knowledge base for allocating funds to local criminal justice agencies and programs.

Each of these experiments was evaluated on a national scale by an outside contractor.² The two evaluations independently reached remarkably similar conclusions regarding the factors associated with the success of local criminal justice planning units. These conclusions are supported and supplemented by the findings of other research. The National Association of Counties³ and the Advisory Commission on Intergovernmental Relations⁴ have conducted a number of important studies of criminal justice planning at the local level. The National League of Cities and the U.S. Conference of Mayors have undertaken two surveys, one in 1973⁵ and the other in 1975⁶, and have published articles and monographs describing the local planning process and setting forth models for local planning organizations.⁷ In 1976 the findings of a study of the organization, operation, and activities of urban criminal justice planning units were published by Arthur D. Little, Inc.⁸ And finally, the National Association of Criminal Justice Planning Directors has produced reports of several studies, including the most recent survey in this area.⁹ The combined conclusions of all of these studies and those of the Pilot Cities and High Impact programs provide a sound basis for the program models described in this report.

The program models presented in this report focus most heavily on county/city combinations with a combined population of 250,000 to one million persons. This focus is both limiting and inclusive: limiting in that previous research has focused primarily on local government units of that size; and inclusive in that it recognizes that many such configurations do exist and thus should be accommodated in the design of program models to the extent possible. The recommendations and suggestions offered in this text derive from the cumulative experience of local criminal justice planning units throughout the United States.

Background of the Study

This report is based on a review of reported research and experience in criminal justice planning at the local level and an analysis of data collected during visits to six local planning jurisdictions. Data collected on site supplement information presented in the literature and illustrate the major features of contemporary local criminal justice planning.

Sites were selected in a two-phased process. First, a number of candidate sites were identified by soliciting suggestions from representatives of the National Association of Counties, the National Conference of State Criminal Justice Planning Administrators, the National Association of Local Criminal Justice Planning Directors, the National League of Cities, and the LEAA Task Force Committee on local criminal justice planning. All candidate sites were city and/or county combinations with populations between 250,000 and one million. The second phase, selection of sites from the pool of candidates, involved compiling detailed information about the organization, activities, and budgets of each candidate planning agency through a telephone survey. Criteria for selection involved the general background and current environment of the planning unit and the degree to which the locality had attempted to "institutionalize" the planning function (political

status of the planning unit, coordinative role, scope of responsibility and authority, extent of local funding, etc.) within local government. The sample of planning units was limited to those serving a single county and one or more cities within that county. Since most local law enforcement and criminal justice agencies are operated by counties or cities, with little or no overlap into neighboring jurisdictions, the county generally is the largest geographic jurisdiction for effective local criminal justice planning.

The pool of eighteen candidate sites eventually was pared to eight, from which six sites were selected for in-depth study:

Louisville/Jefferson County Criminal Justice Commission

Mayor's Criminal Justice Coordinating Council, City of New Orleans

Denver Anti-Crime Council

Hennepin County Criminal Justice Coordinating Council

Ventura Regional Criminal Justice Planning Board

Toledo/Lucas County Criminal Justice Regional Planning Unit

These six sites are examples of local criminal justice planning units with advanced planning practices. As such they illustrate key elements of the program models for local criminal justice planning presented in this report. The Louisville/Jefferson County Criminal Justice Commission is one of the oldest and most experienced of the planning agencies surveyed. Established in 1968 (before the creation of the LEAA), this unit enjoys a high degree of local government support. Both the Louisville/Jefferson County Criminal Justice Commission and the Toledo/Lucas County Criminal Justice Regional Planning Unit are independent planning bodies serving a core city and its surrounding county. Both were established by joint resolution of local governments. Both function primarily to monitor, evaluate, and coordinate criminal justice system operations.

The Denver Anti-Crime Council and the Mayor's Criminal Justice Coordinating Council of New Orleans are commissions reporting to mayors of contiguous city/county governments. Both were established by municipal ordinance. Both receive more than 50 percent of their funding from local government and are involved in a broad range of activities beyond the purview of the LEAA mandate. At least 50 percent of staff time in each site is devoted to non-LEAA planning activities--e.g., review of agency plans, formation of policy statements concerning criminal justice issues, coordination of interagency matters and conduct of special studies.

The Ventura Regional Criminal Justice Planning Board and the Hennepin County Criminal Justice Coordinating Council are both independent commissions established by joint resolution of local government and serving a county with numerous small to medium-sized cities. The most striking aspect of the Ventura unit's philosophy is its emphasis on

interagency and interjurisdictional cooperation: the Board makes a consistent effort to reward cooperation by funding only those activities that promote criminal justice system coordination. The Hennepin County unit was the only site surveyed that gives civil service status to planning staff. It is also one of the most progressive in terms of the scope of its planning activities and the degree of authority vested in the planning unit. Like the other sites visited, both Ventura and Hennepin County had achieved a significant degree of institutionalization within the local government structure.

Organization of the Report

Chapter 1 of the report focuses on the question: Why plan? It begins with a discussion of why planning is important and a description of the planning context. This is followed by a short history of the development of planning concepts and the evolution of local criminal justice planning in the United States. The chapter concludes with an outline of directions for the future--the types of activities local planning units will undertake as they move from federal grants management toward an emphasis on total resources planning for the local criminal justice system.

Chapter 2 presents a framework for criminal justice planning. It addresses the question: What is local criminal justice planning? Various organizing principles serve as conceptual frameworks for defining criminal justice planning, the planning process, its goals, objectives, and activities. The relationships among policy planning, program planning, and operational planning are noted. A rational step-by-step planning process is briefly detailed and the remainder of the chapter is devoted to a description of the kinds of activities undertaken by comprehensive system-wide planning bodies.

Chapter 3 focuses on the topic: How to plan. Alternative organizational structures and the strengths and weaknesses of each are identified. The roles of the supervisory board and planning staff and their relationships to each other and to other planning structures and agencies are discussed. Lessons learned and pitfalls to be avoided in setting up and operating a local planning unit are emphasized.

Chapter 4 briefly outlines the essential task of evaluating the planning process and provides sample measures and questions to be used in assessing the extent to which the various goals and objectives of planning have been achieved. Criteria for evaluation are linked to the goals, objectives, and activities identified in Chapter 2.

Chapter 5 offers a summary of the major points contained in previous chapters, making special note of those elements of local criminal justice planning that appear to be most important to the success of the planning effort.

Footnotes: PREFACE

1. American Institute for Research, The National Evaluation of the Pilot Cities Program: a Team Approach to Improving Local Criminal Justice Systems (Washington, D.C.: U.S. Government Printing Office, 1975), p. 129.
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CHAPTER 1

INTRODUCTION

In most jurisdictions of the United States the responsibility for crime prevention and control rests largely with local government. Unfortunately, the local government machinery set up to deal with crime often does not work very well. For example:

- The narcotics detail of a police department postpones arrests until the entire network of a drug ring is identified, then dumps 50 to 100 new cases on the local justice system. Jails and courts, unprepared for the influx, are suddenly overcrowded and backlogged.
- In another locale the city police chief and county sheriff, without communicating their plans, both undertake elaborate studies of drug use and enforcement needs in the county.
- Elsewhere a city police department is provided additional manpower and other resources. Arrests for minor offenses soar, but serious crime is unaffected.

Situations like these are familiar in many localities. Decisions made without adequate information produce unintended or unanticipated effects. Agencies needlessly duplicate one another's efforts, greatly increasing the overall cost of local services. Inter-agency disputes may be settled only when the opposing parties tire of fighting. And the first indication of a major decision made in one part of the criminal justice system often comes in the form of a deluge of new cases which overwhelms another part of the system. According to one observer:

"(These are) times of increasingly scarce resources, where public officials are looking for ways of controlling crime, looking for effective means of measuring productivity, looking for rational means of determining where best to invest limited resources, looking for any rational means of determining which programs should be funded and at what level, and which programs should be terminated altogether. To date, (many) policy-makers have no rational system for making those decisions--that is, making trade-offs between or among criminal justice program efforts. This situation pleases no one, least of all the elected official and his constituency."¹

Unless something is done, many experts foresee even more severe problems for local criminal justice systems. Some believe that, without major reform, rising crime rates and growing workloads will result in a total breakdown of local justice operations.² The fact is, while many needed improvements will require a great deal of money (most of which will come from local sources), more money in itself may not be

the answer. For expenditures to be effective, they must be carefully planned.

1.1 Benefits of Criminal Justice Planning

Local criminal justice planning is directed toward the goal of improved decision-making. Planning is an integral part of informed policy-making and competent agency management. Since planning involves defining problems, clarifying objectives, establishing priorities, and instituting programs, every executive must regard planning as a major responsibility of his or her job. But planning is also a distinct discipline, and a specialized department or unit can provide services essential to effective local government. Good planning at the local level can be expected to result in:

- Improved analysis of problems. Planning produces the data and analyses elected officials and criminal justice administrators need to improve their decision-making.
- Improved cooperation and coordination. Planning provides a mechanism for increasing cooperation and coordination among police, courts, corrections, and private service agencies, as well as between different levels of government.
- Clear goals, objectives, and priorities. Planning permits more precise articulation of purposes and links goals, objectives, tasks, and activities in more meaningful ways.
- More effective allocation of resources. Planning provides a framework for resource allocation decisions. It simplifies the setting of priorities for the use of resources to achieve criminal justice goals and objectives.
- Improved programs and services. Planning produces a clearer understanding of problems and needs. It also makes it easier to formulate goals and objectives and to evaluate and compare alternative programs and procedures.
- Improved capacity and quality of personnel. Planning focuses organizational effort and provides agency personnel with new knowledge and information. A specialized planning staff can help train criminal justice agency personnel in planning processes and techniques.

Competent planning, in short, is a sign of good government.

1.2 The Planning Context

Developing competence in planning and applying it effectively to criminal justice policy-making and operations is no easy task. In large part, the difficulties of criminal justice planning (as well as the need for it) arise from the nature of the system itself. By design, the system is fragmented. It is managed by no central authority. No one branch of government, or level of government, is responsible for the entire process.

"Typically, the police function is a city function, while the courts are state, the prosecutor independent whether he is city, county or state, and corrections divided between the city or county jail function and the state prison. Typically, three levels of government are involved--city, county, and state--as well as two branches of government--executive and judicial--with involvement as well on policy and funding matters by the legislative branch. Throughout the system, many officials are directly elected, and therefore even if they are performing what is normally regarded as an executive function, they are likely to be independent of the chief executive of the jurisdiction."³

The checks and balances with which the local justice system is punctuated are intentional and necessary, but they do result in both inefficiencies and conflicts. There is great dispersion of power among divergent forces.⁴ And the professional orientations, values, and managerial perspectives of key agency participants are markedly different--often diametrically opposed.⁵ This makes conflict and tension among the agencies of criminal justice virtually inevitable as each understandably attempts to turn events to its own advantage. Appointed and elected officials of general purpose government, and citizens concerned with broad policy issues, must rely on criminal justice agency executives for advice on what to do about crime and criminal justice problems. But these executives seldom agree. Although the different agencies must interact (they share the same clients and workloads), they often do so only when absolutely necessary--and then with little apparent concern for the "system" of which they are supposedly a part.

In such a context, comprehensive planning must seek to build linkages among agency decision-makers without attempting to subordinate them to any higher authority. No one is at the helm, but no "master planner" will be allowed to steer. Not fragmentation, but the problems resulting from it, must be the target.⁶ Accommodation and cooperation can be fostered if planning is able to demonstrate mutual rewards for agencies that work together to achieve shared objectives. Often the rewards are economic:

- Ventura County, California, realized a \$300,000 cost savings as a result of a productivity study of officer/witness processing conducted by the County criminal justice planning board.

At other times planning results in reduced workloads, streamlined operations, or new programs and services:

- Also in Ventura County, an innovative "Unified Corrections Project" initiated by the criminal justice planning board minimized duplication among the correctional services provided by state and local agencies by pooling their caseloads and using an interagency screening board to match clients with services.
- A task force on rape convened by the local criminal justice commission in Louisville/Jefferson County, Kentucky, assisted the local hospital in modernizing procedures for preserving evidence; recommended that local government bear the cost of victims' hospital expenses; and created a rape crisis center. These improvements were made largely with local resources.
- The Community Crime Prevention Program in Seattle, Washington, is demonstrating that crime rates can be lowered if local residents are willing to participate in crime prevention. Neighborhoods are organized around four principal tactics--residential security inspection, property marking, block watches, and informative materials. Burglary rates have been reduced significantly.

These are but a few examples of what is being accomplished by communities on the leading edge of a movement to apply modern planning techniques to local criminal justice systems. Local criminal justice planning has now come into its own, but it did not spring full-blown onto the landscape of local government. Its roots are found in the gradual evolution of local planning concepts in general and in the history of criminal justice planning and action at local, state and federal levels.

1.3 Evolution of Planning Concepts

By the early 1960's most cities and counties had planning offices or departments⁷, but these did not deal with criminal justice or other social programs. Preoccupied with general land-use planning (zoning, watershed, and other physical planning functions⁸), local planning units relied on what was referred to as a "blue-printing" or "master planning" model. This was essentially a builders' model, in which a step-by-step and rather fixed plan was developed and implemented in a linear fashion. The planner, who took pride in remaining free of "politics"⁹, worked out technical solutions to clearly defined problems under the protective wing of a single chief executive.

The surge of interest in domestic social programs during the mid-1960's plunged planners into new territory. General function planning units were required to expand their focus to include a range of new social programs, which called for planning approaches quite different from those used for land-use planning. Planners now were presented with problems that changed over time. There was little agreement on goals

and objectives. The systems in which problems arose lacked coherence, and authority for planning and implementing solutions was often unclear. Also, with active federal involvement in social and economic programs, local planners could no longer remain aloof from the process of local government decision-making.

The traditional planning model thus was modified to adapt to the new demands of social planning in a volatile and highly political environment. One result was "advocacy planning." In essence, advocacy planning provided a forum for representatives of all interested parties to present and argue for their respective visions of a workable solution. This formed the basis for planning organizations made up of key decision-makers and members of various publics serving on a board, supported by an expert planning staff (a structure adopted by the first local criminal justice planning organizations).

A second major adaptation of the traditional planning approach was based on the belief that American society could not reasonably be expected to sustain a comprehensive attack on all aspects of the system. For the comprehensive, system-wide approach to planning, planners substituted the notion of "disjointed incrementalism." While keeping the overall consequences of their efforts in mind, they focused on opportunities to make limited improvements in the environment for which they were planning.¹⁰

A third major modification of the conventional planning model found planners embracing the tradition of organization development.¹¹ This tradition views planners as instrumental in introducing change within organizations and helping them to respond appropriately to a changing environment. The planner's role is that of a "facilitator" who seeks to foster the ability to function effectively in a situation characterized by unpredictability and constant change.

Another planning approach, derived from social science research, also has been applied to planning in social problem areas. This model assumes that plans should be developed only after considerable study of the problem. Issues are identified, research is undertaken, results are analyzed, and then (sometimes years later) plans are developed.¹² This approach was characteristic of the early efforts of the Office of Law Enforcement Assistance (OLEA) and the National Institute of Mental Health (NIMH), as well as the Pilot Cities program sponsored by LEAA to research, design, develop, and test new responses to criminal justice problems. At the federal level the research programs of LEAA and NIMH and, in the private sector, the research programs of the Ford Foundation continue to apply a research strategy to many criminal justice subjects. At the local level, however, where the model was found to be insensitive to the need for immediate answers, the clearest remnant of the approach is represented by the strong analytic capabilities of jurisdictions with advanced planning practices.

The upshot of all these developments in planning theory and practice has been that local criminal justice planners today have a hybrid role to play. Most planners use some form of rational step-by-

step planning process as a guide, but they also rely on techniques of brokerage, advocacy, negotiation, and a certain degree of conscious "politicking." Their repertoire has expanded, in many cases to encompass the implementation as well as the development of plans, and sometimes to include monitoring, budgeting, and evaluation functions.¹² Criminal justice planners and planning have also come to be a more integral part of local government operations, more closely attuned to the needs and concerns of local decision-makers.

1.4 Development of Local Criminal Justice Planning

Criminal justice planning at the agency level and at city and county levels has existed for some time. Many police agencies, for example, have long had planning and research bureaus, and most city managers and county executives have assigned some staff to the task of coordinating justice agency planning and helping in the preparation of agency budgets. In this sense, there is nothing new about local criminal justice planning. But planning on an intergovernmental, interagency, and cross-jurisdictional basis first developed in the early 1960's as a specialized form of community organization and development.

Public sentiments about crime and official responses in dealing with it have importantly affected the evolution of local criminal justice planning. Public opinion and government crime strategies passed through noticeable stages during the 1960's and 1970's and at each new stage, as new planning tasks arose, new skills, techniques, and strategies of planning were needed. In the 1960's, official responses were focused on preventing crime by dealing with its causes. The focus on prevention lasted through the terms of Presidents Kennedy and Johnson (roughly 1960 to 1968), coming to an end in early 1969 with the election of President Nixon. The philosophy was consistent with the rationale underlying the social programs of President Johnson's Great Society. Domestic programs launched to ease the problems of teenagers, blacks, the under-educated, and the unskilled were directed primarily toward unemployment and poverty, but they also were expected to reduce crime by alleviating root causes.

In March 1965 President Johnson delivered the first presidential message to Congress ever to deal exclusively with crime. Spelling out his legislative proposals in a message entitled "Crime, its Prevalence and Measures of Prevention," the President called for increased efforts to correct the social conditions that promoted crime. Although crime had already emerged as an important national issue, efforts to prevent and control it now became increasingly politicized.

In July 1965 Johnson established the President's Commission on Law Enforcement and Administration of Justice to undertake a study of contemporary thinking and practice in criminal justice and to make recommendations for upgrading the system. The Challenge of Crime in a Free Society,¹⁴ issued by the Commission in 1967, was the most comprehensive

report on the subject ever compiled. Among hundreds of recommendations on all aspects of the criminal justice system were many that related to criminal justice planning. It was recommended, for example, that every state and city have an agency, or one or more officials, with specific responsibility for planning for and encouraging improvements in criminal justice administration. Increased federal support for state and local planning also was identified as necessary.

In September 1965, President Johnson signed the Law Enforcement Assistance Act, which created the Office of Law Enforcement Assistance and initiated the federal "war on crime." The OLEA administered a small federal grant program, which provided demonstration and training grants directly to private agencies and to state and local units of government. The following year, in his second message to Congress, Johnson urged each of the fifty governors to establish a State Planning Committee to maintain contact with the work of the President's Crime Commission and to assess the needs of their state criminal justice systems. Attorney General Katzenbach notified the governors that OLEA would provide funds to stimulate the establishment of governors' criminal justice planning councils. Nearly \$2.9 million in grants were awarded to thirty states to set up such councils. (Many of these study groups served as forerunners of state criminal justice planning agencies created under the 1968 Omnibus Crime Control and Safe Streets Act.)

The period from March 1966 through August 1968 was one of transition for the war on crime. The civil rights movement, its culmination in the 1964 Civil Rights Act, turmoil over desegregation and voter registration, the one-man/one-vote Supreme Court decision that forced legislative reapportionment--these had paved the way for a shift in thinking about crime and criminal justice planning. Then in July 1967 the Newark riot exploded, followed by disorders in Detroit and a chain reaction in neighboring counties. In all, more than 150 cities experienced riot and urban unrest during the long hot summer of 1967. The mood of the nation had changed and the call was for crime control and safe streets.

August 1968 saw the national Republican convention in Miami Beach and Richard Nixon's selection as the presidential candidate over Barry Goldwater. In his acceptance speech, Nixon accused President Johnson of being "soft on crime," a theme he continued to dwell on throughout his presidential campaign. Johnson's legislative program was almost totally rewritten in congressional committees, emerging with a new "get tough" flavor as the nation turned from prevention to crime control. This year also marked the beginning of an era of massive federal involvement in local criminal justice planning and development. The federal government's entry into the field actually had occurred some years earlier, with the NIMH-funded projects oriented toward "total systems" planning and intergovernmental action. Early planning efforts also had appeared in urban areas where Model Cities programs had begun to take hold.¹⁵ But local criminal justice planning received its greatest stimulus from the federal government under the 1968 Omnibus Crime Control and Safe Streets Act.

The "Safe Streets Act," as it was popularly referred to, created the Law Enforcement Assistance Administration and outlined the means by which state and local units of government would receive federal support for criminal justice planning and action. A grant program was established to assist state and local governments in expanding their planning capabilities. State planning agencies (SPA's), consisting of a supervisory board and supporting staff, were to be designated by the governors within six months of the law's enactment with a mandate to develop comprehensive criminal justice plans before June 30, 1969. The Act stipulated that the SPA supervisory board be representative of law enforcement and criminal justice agencies, units of general local government, and public agencies maintaining programs to deal with crime. It also was stipulated that planning and action funds be distributed to "general units of local government." In response, most states established regional planning units (RPU's) to receive these funds (although the SPA retained responsibility for channeling funds from the federal government).

The period that followed was one of rapid expansion of local criminal justice planning. The dominant strategy at the time consisted of grants management. The emphasis on grantsmanship was justified by the assumption that existing criminal justice approaches were effective, but simply underfunded and undermanned. During this period local planners and policy-makers placed high value on the number of grants and federal dollars that could be brought into city or county coffers. Allocation of grant funds, however, became a matter of "dividing the pie" rather than developing comprehensive criminal justice plans. Also, with the new money and manpower, there were few attempts to create new programs. The focus was on expanding existing operations.

The strategy of simply adding more money and manpower became too expensive as costs rose¹⁶ and it became evident that local governments were having to carry the bulk of the burden.¹⁷ The return on local investments in criminal justice began to appear too small.¹⁸ The next noticeable shift in planning strategies thus recognized that there were shortcomings in the criminal justice system and attempted to do something about them. If more money had to be spent, at least it would be used to improve the system. Stimulated by the displacement of aerospace personnel, planners sought quick answers in mechanical solutions. There was a preoccupation with hardware and with modernizing the criminal justice system to give it technological superiority. Local government projects typical of this period include crime labs, computer-assisted command and control systems, sophisticated police equipment for night vision, communications systems, helicopters, and video equipment.

A gradual transition to another set of planning strategies resulted in a focus on efficiency. The goal was still to improve the justice system, but the emphasis was on processing offenders faster and reducing costs. This involved basic changes in criminal justice processes to clear court dockets, divert minor offenders, reduce jail overcrowding, and so on. But this stage of evolution represented a distinct step forward. In particular, planning incorporated many aerospace techniques

and concepts--budgeting, system analysis, mathematical modeling, and project management methods. Planning became increasingly more sophisticated as these new concepts and practices were adopted.

The era of system improvement was characterized by a major federal initiative, the Pilot Cities program, begun in 1970 in eight metropolitan areas throughout the country.¹⁹ This program served as a test of a local planning model by demonstrating that a planning team could help local officials upgrade their criminal justice system. The experiment suggested how system-wide coordination could be enhanced; it helped to develop and refine a rational planning process; and it demonstrated the importance of research and analysis as a foundation for criminal justice planning. Evaluation of the model revealed the importance of local government support of the planning effort. Where local support was weak, potentially productive planning projects were more likely to fail. Staff capabilities, relationships between planning staff and members of local justice agencies, a local rather than federal orientation, and the continuity of planning teams also were important determinants of success.²⁰

May 1971, with the appointment of Jerris Leonard as LEAA administrator, signalled the beginning of yet another shift in planning emphasis from improving the system to reducing crime. Earlier efforts were dismissed as "system tinkering" and both planning and action were refocused on crime itself. Problem-oriented planning was stressed and objectives were stated in terms of reducing particular types of crime. Another important federal initiative characterized this era: the High Impact Anti-Crime program sponsored by LEAA. Begun in 1972, this program also involved eight test sites.²¹ Guided by a high investment problem-oriented crime reduction strategy, High Impact cities established crime analysis teams to reduce levels of targeted crimes by specified amounts in a given period of time.²² Evaluation showed that the success of crime-oriented planning was affected by the capabilities, interest, and size of the crime analysis team, the cooperation of local criminal justice agencies, and the willingness of local officials to avoid premature action in attempting to control crime.²³ As did the Pilot Cities program, the High Impact program contributed importantly to the evolution of local criminal justice planning. Validated elements of both experiments persist today in jurisdictions with advanced planning practices: the use of crime analysis teams; an emphasis on system-wide coordination and the delivery of technical assistance; reliance on a rational planning process; and close collaboration with local political structures.

In addition to the Pilot Cities and High Impact programs, other federal initiatives served to stimulate local criminal justice planning. The Omnibus Crime Control and Safe Streets Act had fostered the creation of state criminal justice planning agencies and substate regional planning units.²⁴ The 1970 amendments to this act (now entitled the Omnibus Crime Control Act) included authorization to use LEAA action grant funds to establish criminal justice coordinating councils (CJCC's) in any unit of local government or combination of governments with a population of at least 250,000.²⁵ This enabled local governments to

receive funds available under Part C of the act (as well as Part B funds, which RPU's were entitled to receive) to strengthen local planning and coordination activities.

Subsequent decentralization of federal funding through the "mini-block" grant also spurred local criminal justice planning.²⁶ Local units of government or CJCC's submit a plan to the state planning agency outlining the broad functional areas of its programs for a three-year period; the SPA then approves the entire plan rather than each individual program proposed by the local planning unit. Advantages of the mini-block are reported to be increased flexibility in planning programs and allocating funds among programs over the funding period; increased local accountability of line agencies to the planning council; and greater influence over line agencies, which now must plan¹² to 18 months ahead for their portion of the mini-block allocation.²⁷

Federal initiatives also fueled the next shift in criminal justice planning strategies from crime reduction to standards development. In January 1973 the National Advisory Commission on Criminal Justice Standards and Goals held a national conference of state and local delegates in Washington, D.C., to publicize the completion of its work.²⁸ The strategy inaugurated by this event was based on the assumption that if personnel, programs, and practices of the criminal justice system could be brought up to recognized standards crime could be prevented and controlled. During this period the LEAA funded many standards and goals efforts at state and local levels and a second national commission was created in 1975 to develop additional standards in areas not addressed by the first commission.²⁹

1.5 Recent Developments and Directions for the Future

In recent years, criminal justice planning in many local jurisdictions has matured to the point where federal initiatives, although still important, no longer serve as the primary stimulus. These local planning units are increasingly targeting the bulk of their resources on non-LEAA grant matters, including analysis, coordination, technical assistance, and other planning activities undertaken for the benefit of all local justice agencies. Criminal justice planning has become institutionalized where planning units have begun to offer much more comprehensive services to local governments.

This development is partly a result of the most recent in a long series of shifts in criminal justice planning strategies. Crime now is thought of not so much as a problem to be solved as a condition to be managed. --ideally in a cooperative endeavor involving the criminal justice system and the community of which it is a part. Contemporary criminal justice planning strategies thus rely heavily on public administration. Advanced planning practices make use of modern management techniques and focus on such tasks as developing systems to provide more accurate, complete, and timely information; reworking administrative and organizational structures; refining budgeting and reporting systems; and expanding analytic capabilities and ongoing evaluation efforts. Such activities gradually have brought planners

into the mainstream of local government, involving them in functions that go far beyond planning for the use of grant funds.

Local criminal justice planning units in the future (and highly developed planning units today) will undertake certain basic activities and perform a wide range of functions. Key activities include:

- Collection and analysis of relevant information;
- Identification of system-wide problems and needs and setting priorities for meeting them;
- Development and evaluation of alternative solutions in terms of need, available resources, and probable impact;
- Assistance in implementing solutions and monitoring and evaluating their effects;
- Coordination of the activities of local criminal justice agencies;
- Coordination of local efforts with federal programs;
- Comprehensive budget analysis and review;
- Legislative analysis and development at local, state, and federal levels and assessment of legislative impact;
- Analysis³⁰ and development of local criminal justice policy.

Regardless of the administrative form taken by the local planning unit, advanced local planning will be characterized by high credibility with agency personnel within and outside the justice system. It should receive strong support from local government. Emphasizing analytic skills and capabilities, the unit should be grounded on a rational model of planning (i.e., an orderly series of systematic steps; see Chapter 2) and focus on aiding local decision-makers in policy and program development. Familiar with all information sources, local planners should attempt to analyze system-wide problems, regularly assess the needs of both planning and agency operations, and encourage routine agency use of planning outputs.

Criminal justice planning is no longer viewed as a temporary and peripheral function of local government. Planning structures and practices vary from one jurisdiction to another; but enough experience with local planning models has now been gained to permit their development and effective use in almost any American city or county. It is important to note that the current stage of development has not been reached by all local planning units. In many jurisdictions criminal justice planning remains "stuck" at an earlier stage. Some are still focused

on federal grants management; others are preoccupied with systems improvement approaches, or with hardware to achieve technological superiority. And others are working to bring criminal justice practices up to recognized standards. Many jurisdictions have not yet arrived at the point where they have the analysis and coordination capabilities that are the hallmark of a modern systems-oriented planning service. Yet virtually all local planning units established under the LEAA program already possess the beginning capabilities and structure necessary for such development. These jurisdictions can advance to the forefront by incorporating the various elements identified in this and subsequent chapters as characteristic of successful local criminal justice planning.

1.6 Purpose of the Report

This document describes the role of criminal justice planning within local government, highlighting planning techniques and organizational features found to be most effective. Through examples drawn from local units of government throughout the country, it shows how planning can ease problems of duplication, lack of information for decision-making, interagency and intergovernmental conflicts, and well-intentioned but unproductive new programs. Noting the accomplishments of some of the most advanced planning efforts in the nation, the study draws from the experience, operations, and characteristics of a small number of jurisdictions with highly successful and creative local criminal justice planning processes.

Footnotes: CHAPTER 1

1. Lee P. Brown, "The Role of Planners in Providing Crime Data for Decision Making", paper presented to National Association of Criminal Justice Planning Directors, Jackson Hole, Wyoming, February 14, 1977, p. 2.
2. Herbert R. Sigurdson, Robert M. Carter, and A.W. McEachern, "Methodological Impediments to Comprehensive Criminal Justice Planning," Criminology, August-November 1971, pp. 248-67.
3. Blair G. Ewing, "Criminal Justice Planning: an Assessment," Criminal Justice Review, Vol. 2 (Spring), 1967.
4. Council of State Governments, The Future of Criminal Justice Planning (Lexington, Ky.: November 1976), p. 2.
5. Don C. Gibbons, et al., Criminal Justice Planning: an Introduction (Englewood Cliffs, N.J.: Prentice-Hall, 1977), p. 49.
6. Supra note 4, p. 2.
7. Robert L. Lineberry, "Community Structure and Planning Commitment: a Note on the Correlates of Agency Expenditures," in Louis A. Zurcher, Jr., and Charles M. Bonjean, Planned Social Intervention (Scranton, Pa.: Chandler Publishing Co., 1970), p. 164.
8. Mark Hoffman, "Criminal Justice Planning," ASPO Planning Advisory Service report no. 276, January 1972.
9. Supra note 3, p. 130.
10. Letter dated June 7, 1978 from Leonard G. Buckel and Suzanne R. Buckel, associate professors of urban studies and planning at MIT, commenting on draft version of this report.
11. John Friedman and Barclay Hudson, "Knowledge and Action: a Guide to Planning Theory," AIP Journal, January 1974, pp. 2-16.
12. Supra note 3, p. 130.
13. Supra note 10.
14. U.S. President's Commission on Law Enforcement and Administration of Justice, The Challenge of Crime in a Free Society (Washington, D.C.: U.S. Government Printing Office, 1967).
15. Supra note 8, p. 11.
16. In 1969, the fiscal year in which the Omnibus Crime Control and

Safe Streets Act was enacted, state and local government expenditures for criminal justice activities totalled \$6.5 billion and the number of personnel exceeded 660,000 (See U.S. Census Bureau, Expenditure and Employment Data for the Criminal Justice System 1968-1969, Washington, D.C., U.S. Government Printing Office, 1971, Tables I and II). By 1971 expenditures had reached the \$11 billion mark and employment had risen to 862,000. In 1975, these figures were \$17 billion and 1,051,000 (See Expenditure and Employment Data, 1971-1975, published 1977). The average pay of a "full-time equivalent" criminal justice employee rose almost one-third from \$830 a month in October 1971 to \$1,103 a month in October 1975. U.S. Census Bureau, Expenditure and Employment Data for the Criminal Justice System 1971-1975, *ibid.*

17. In each of the five fiscal years from 1971 through 1975, local governments spent more for criminal justice activities than the federal and state governments combined. Municipal governments carried the heaviest burden. By 1975 county governments were spending \$3.9 billion annually, while city governments expended \$6.7 billion. Municipalities were heavily invested in police services (83 percent of municipal expenditures), while county expenditures were more evenly distributed among police (34 percent of county expenditures for criminal justice), courts, and judicial services (between 25 and 30 percent each). U. S. Census Bureau, *ibid.*

18. Federal LEAA dollars have never amounted to more than 5 percent of local criminal justice expenditures. See: U. S. General Accounting Office, Overview of Activities Funded by the Law Enforcement Assistance Administration (Washington, D.C.: U.S. Government Printing Office, 1977).

19. The Pilot Cities included eight city/county jurisdictions with a metropolitan population of between 250,000 and 500,000 which met a number of demographic, geographic, and other criteria (American Institute for Research, The National Evaluation of the Pilot Cities Program: a Team Approach to Improving Local Criminal Justice Systems, Washington, D.C.: U.S. Government Printing Office, 1975). These cities were: San Jose, California; Dayton, Ohio; Charlotte, North Carolina; Albuquerque, New Mexico; Norfolk, Virginia; Omaha, Nebraska; Des Moines, Iowa; and Rochester, New York.

20. American Institute for Research, *ibid.*

21. Atlanta, Georgia; Baltimore, Maryland; Cleveland, Ohio; Dallas, Texas; Denver, Colorado; Newark, New Jersey; Portland, Oregon; and St. Louis, Missouri.

22. The program was targeted on burglary, homicide, rape, robbery, and aggravated assault between strangers. The goal was to reduce targeted crimes by 5 percent in two years and 20 percent in five years. These particular crimes were selected because they were believed to be those most feared by the public and considered more "impactable."

23. Mitre Corporation, High Impact Anti-Crime Program National Level Evaluation, Final Report, Vol. II (Washington, D.C.: U.S. Government Printing Office, 1976).

24. By August 1978 there were 514 local planning units, most of which were RPU's.

25. The first CJCC was established by New York City's Mayor John Lindsay in 1967 and served as a model for other local units. Early CJCC's also were located in Cleveland, Ohio, Boston, Massachusetts, and Hartford, Connecticut, each with a unique organizational structure. By the end of 1971, 33 of the 55 largest city/county areas had established CJCC's; by 1975, 107 cities and 52 counties were served by such planning bodies. See Arthur D. Little, Inc., Local Criminal Justice Planning and Analysis: Activities and Capabilities (Washington, D.C.: LEAA, 1976).

26. National Association of Counties Research Foundation, "Mini-block Procedures: How are they Working?" Criminal Justice Program Fact Sheet, March 1977; and Seattle Law and Justice Planning Office, "Draft Standard Operating Procedure for Mini-block Grant Development and Review," Seattle, Wash., January 1977.

27. By fall 1975, 24 SPA's had established procedures to implement the amendment; however, methods of implementation vary widely from one state to another. The Advisory Committee on Intergovernmental Relations and the National Association of Counties have concluded that the amendment has had little effect on the overall funding process. See: Advisory Committee on Intergovernmental Relations, Safe Streets Reconsidered: the Block Grant Experience 1968-1975, Part B: Case Studies (Washington, D.C.: U.S. Government Printing Office, 1977); and National Association of Counties, supra note 26.

28. The National Advisory Commission on Criminal Justice Standards and Goals published its findings in six volumes: A National Strategy to Reduce Crime; The Criminal Justice System; Community Crime Prevention; Police; Courts; and Corrections. (Washington, D.C.: U.S. Government Printing Office, January 23, 1973).

29. This group was called the National Advisory Committee on Criminal Justice Standards and Goals. It published its findings in several volumes: Juvenile Justice and Delinquency Prevention; Organized Crime; Disorders and Terrorism; Criminal Justice Research and Development; and Private Security. (Washington, D.C.: U.S. Government Printing Office, December 1976).

30. Arthur D. Little, supra note 25, p. 52; supra note 3.

CHAPTER 2

A FRAMEWORK FOR LOCAL CRIMINAL JUSTICE PLANNING

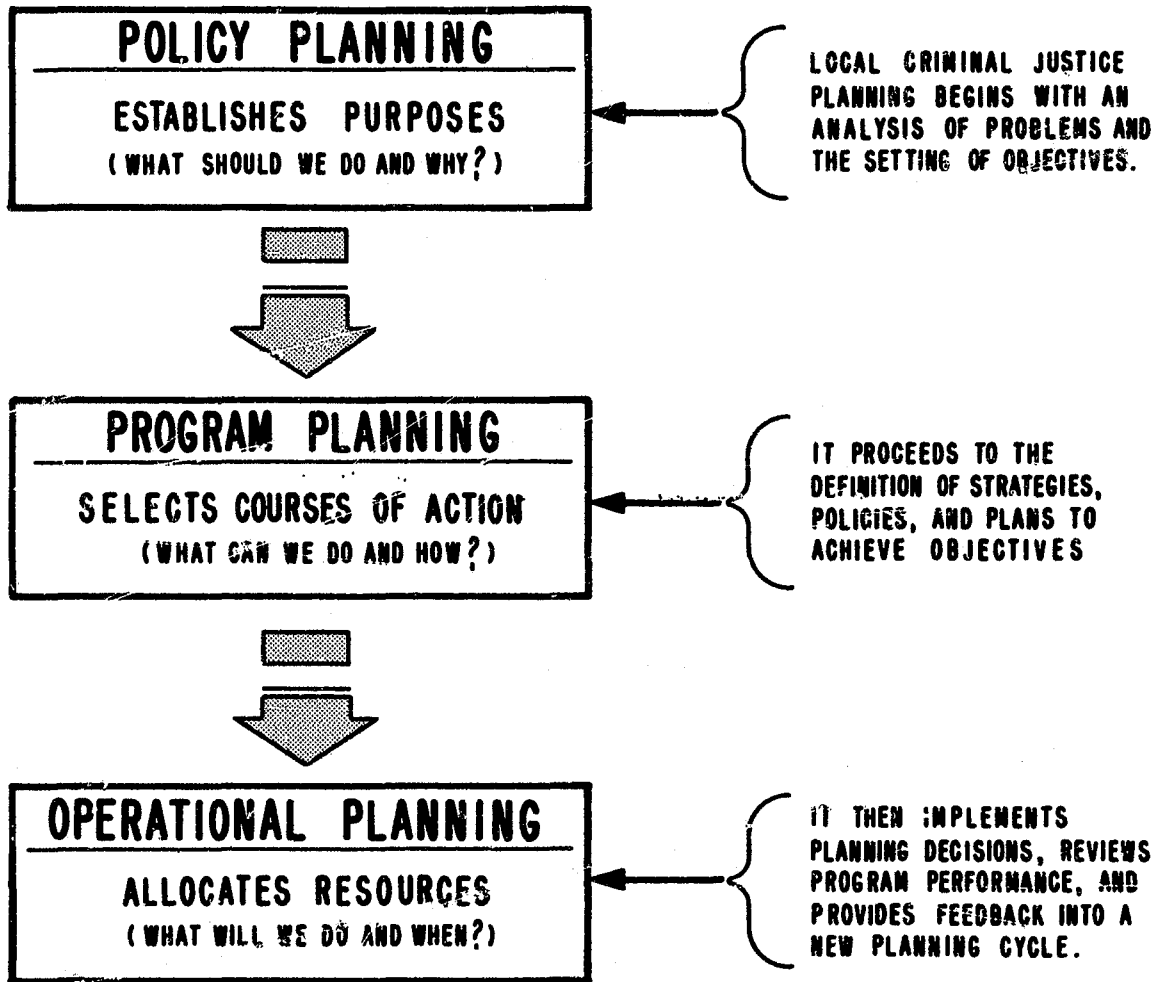
In most agencies and government units a certain amount of "reactive" decision-making takes place; in some it is the primary mode for the day-to-day management of immediate organizational problems. Largely unplanned, crisis-oriented, and requiring prompt mobilization of middle and lower management, such a fire-fighting approach can be disruptive.¹ While it administers organizational first-aid, reactive decision-making is not designed to produce lasting solutions. In fact, the amount of time and energy expended on reactive decision-making is one measure of an organization's inability to anticipate and affect its own future.

Planning can help to reduce the need for such crisis-oriented decision-making.² Local criminal justice planning is concerned with improving decision-making in three broad areas: (1) the identification of long-term goals and objectives; (2) the selection of specific courses of action; and (3) the allocation of resources to accomplish defined purposes. Decisions concerned with determining long-term criminal justice goals and objectives are policy planning decisions. Simply stated, policy planning is focused on answering the question: "What should we do and why?" It produces policy guidelines expressing important values, philosophies, and judgments on which to base long-term plans. Decisions leading to the adoption of specific courses of action are program planning decisions. Program planning is designed to answer the question: "What can we do and how?" It is concerned with assessing the feasibility of alternative courses of action, developing appropriate program and contingency plans, and constructing guidelines for action. Decisions concerned with the allocation of resources to implement plans are operational planning decisions. Operational planning seeks answers to the question: "What will we do and when?" It produces specific plans for the allocation of resources to implement and evaluate criminal justice programs and services. Relationships among these three types of decision-making are illustrated in Figure 2.1.

Many of the concepts used in local criminal justice planning were first developed in the Pilot Cities and High Impact programs and evolved gradually through experience. Today, some sort of planning process is regularly applied by many local governments and criminal justice agencies. Unfortunately, most spend a disproportionate amount of time and effort in operational planning, at the expense of policy and program planning. The need to respond to short-term workload crises, immediate political events, and a one-year budget cycle tends to encourage a focus on operational planning and the allocation of resources.³ Experience has shown that for policy and program planning to take place, they must be deliberately, consciously, and continuously emphasized by top management. Policy-makers must insist on it and staff resources assigned to this function must somehow be protected from being diverted back into operational planning.⁴

FIGURE 2.1

POLICY, PROGRAM, AND OPERATIONAL PLANNING*



* SOURCE: BERT MANUS, "A GENERAL MODEL FOR CRIMINAL JUSTICE PLANNING," JOURNAL OF CRIMINAL JUSTICE, VOL. 2 (1974), PP. 345 - 356.

A more balanced focus on policy, program, and operational planning also can be achieved by reliance on a rational planning model. Some critics have argued that a step-by-step, rational planning model (as illustrated in Figure 2.2) is of little use except under ideal conditions involving broad consensus on goals, plentiful resources, and a controlled organizational environment. In most real-world situations, criminal justice planning must reconcile the interests of many different groups and there are often conflicting interpretations of major criminal justice problems and what should be done about them. Also, a broad attack on the system and all its deficiencies--as envisioned by the classic step-by-step planning model--may have unanticipated and unintended effects. Nonetheless, a rational planning model may be effectively used as a framework for decision-making and a foundation for the systematic analysis of problems and alternate solutions. As the 1978 survey by Arthur D. Little reported:

"The level of sophistication, the particular tools, resources, techniques and scope which emerge in practice will differ widely from one organization to the next. But the basic framework of a rational, systematic process is probably the closest approximation of a 'model' approach to planning and analysis which these organizations might consider."⁵

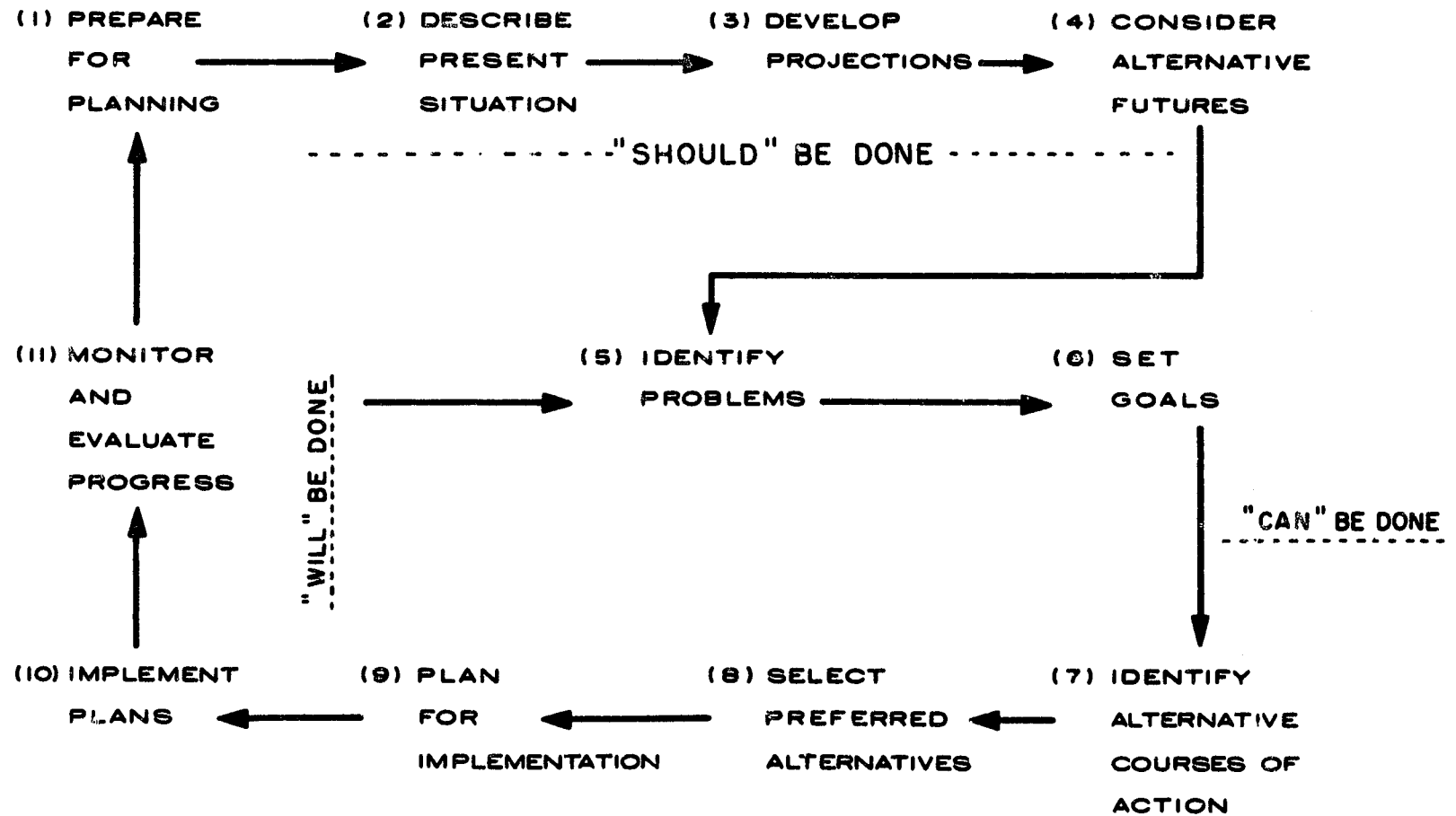
There are many planning models.⁶ Consisting of an orderly series of interdependent steps, most follow a rather predictable path from policy planning through program and operational planning levels. One general planning model, consisting of eleven steps, is depicted in Figure 2.2. This particular model is the central theme of a week-long course for criminal justice planners, developed by the University of Southern California under an LEAA grant. In this model, policy planning begins with preparation for planning, followed by efforts to forecast probable, possible, and desirable future states, to identify problems, and to set goals and objectives. Program planning steps (7 and 8) and operational planning steps (9 through 11) follow in sequence. The final step, evaluation and monitoring, provides the feedback needed to improve decision-making each time the full planning cycle takes place. Some version of this process, described more fully in the chart accompanying Figure 2.2, is used to guide local criminal justice planning in jurisdictions with advanced planning practices.

2.1 Levels of Planning: Agency, Interagency & Comprehensive

More advanced local planning efforts have been able to link local criminal justice planning, and therefore local decision-making, at three levels of government: the criminal justice agency level; the city or county level; and the local criminal justice system level. All three levels of planning are important and each strengthens and receives support from the others. But the purposes and emphases of planning at the three levels are not the same.

FIGURE 2.2

GENERAL PLANNING PROCESS MODEL



2.1.1 A general model of the planning process

(1) Prepare for Planning:

Organize the planning effort; determine purpose (what are we trying to accomplish?); define planning roles and relationships; allocate tasks; identify information needed.

(2, 3, 4) Describe Present Situation, Develop Projections, and Consider Alternative Futures:

Describe current situation; describe crime and criminal justice system functions, activities, and costs; analyze community characteristics associated with crime; project current situation into future to determine possible, probable, and desirable future states; consider social, legislative, and political trends.

(5) Identify and Analyze Problems:

Estimate gap between probable, future, and desired future states; develop detailed understanding of major problems.

(6) Set Goals:

Formulate and articulate goals and priorities.

(7, 8) Identify and Select Alternatives:

Identify alternative courses of action; assess advantages and disadvantages of each; select preferred alternatives.

(9, 10) Plan and Carry Out Implementation:

Execute plan, initiate new procedures, projects, programs;

(11) Monitor and Evaluate Progress:

Obtain feedback concerning results of planning cycle and effectiveness and efficiency of new procedures, projects, and programs.

2.1.2 Agency planning

Each day criminal justice agency personnel make decisions that importantly affect agency operations. Patrolmen are assigned to particular "beats" or districts, while city officials wonder whether police manpower is being distributed as efficiently and effectively as possible. Detectives, faced with an unmanageable number of arrests, use their own best judgment in determining which cases to investigate immediately and which to give lower priority. Judges make disposition decisions on the basis of presentence reports that sometimes are lacking in important information. Executive staff of the probation department meet to decide where cuts ordered by county commissioners will be made in next year's budget.

Agency level planning is not new. Even in agencies that do not have staff specifically assigned to the task of assisting managers with the planning function, top executives typically assign some staff to devote at least part of their time to planning. Many agencies could benefit from the establishment of a special in-house unit with specific responsibility for planning. The National Advisory Commission on Criminal Justice Standards and Goals has recommended that large and medium-sized criminal justice agencies establish separate planning sections. In practice this means that agencies with annual budgets in excess of \$1 million (e.g., police departments with at least 60 officers or prosecutors' offices with 40 to 70 full-time attorneys) should consider the employment of full-time planners.⁸

Planning at this level should be targeted on the needs of the agency and the decisions it must regularly make. Agency planners will develop statistical analyses to support administrative and operational decisions; review, update, and disseminate policies, procedures, rules, and regulations; and assist in the preparation of agency budgets.⁹ Agency planning is aided by the products of planning at city, county, and interagency levels and its products contribute to planning at more comprehensive levels.

2.1.3 City or county planning

Planning within a police department or other local justice agency generally is too narrow in scope to meet the overall criminal justice planning needs of city or county government. At the agency level, planning is designed to assist top management of a department or agency--the police chief, sheriff, or chief judge. At the city or county level these decision-makers are joined by officials of general government--the mayor, the city council, city and county chief administrative officers, county commissioners--and the planning emphasis must shift to meet the decision-making needs of these officials as well.

Coordinated city or county planning requires cooperation to integrate the planning efforts of autonomous criminal justice agencies, each with their own mandates, perspectives, and constituencies. At the county level, for example, local criminal justice planning might mean coordinating the various planning activities of the county sheriff, the probation

department, the prosecutor, the public defender, and the county courts. Experience suggests that the key to planning at this level is to enhance cooperation and coordination among constitutionally separate government agencies. Such interagency planning both contributes to and is furthered by planning by individual agencies and more comprehensive criminal justice system planning.

2.1.4 Comprehensive criminal justice planning

There is also a need for local planning at a third level--that comprehensive set of police, court, corrections, and allied public and private agencies that make up the criminal justice system. Separate planning efforts at either the city or the county level are limited in their ability to deal with the total criminal justice system because neither jurisdiction contains all the components of that system. At a minimum, comprehensive planning must join city and county efforts and deal with the individual responsibilities of police, courts, and corrections agencies. But it may extend even further. Planning at this comprehensive level may require coordination of city, county, regional, state, federal, and private justice agency activities. It may also involve noncriminal justice agencies (e.g., welfare, employment) that provide services to offenders. This type of planning, then, usually transcends jurisdictional as well as agency boundaries.

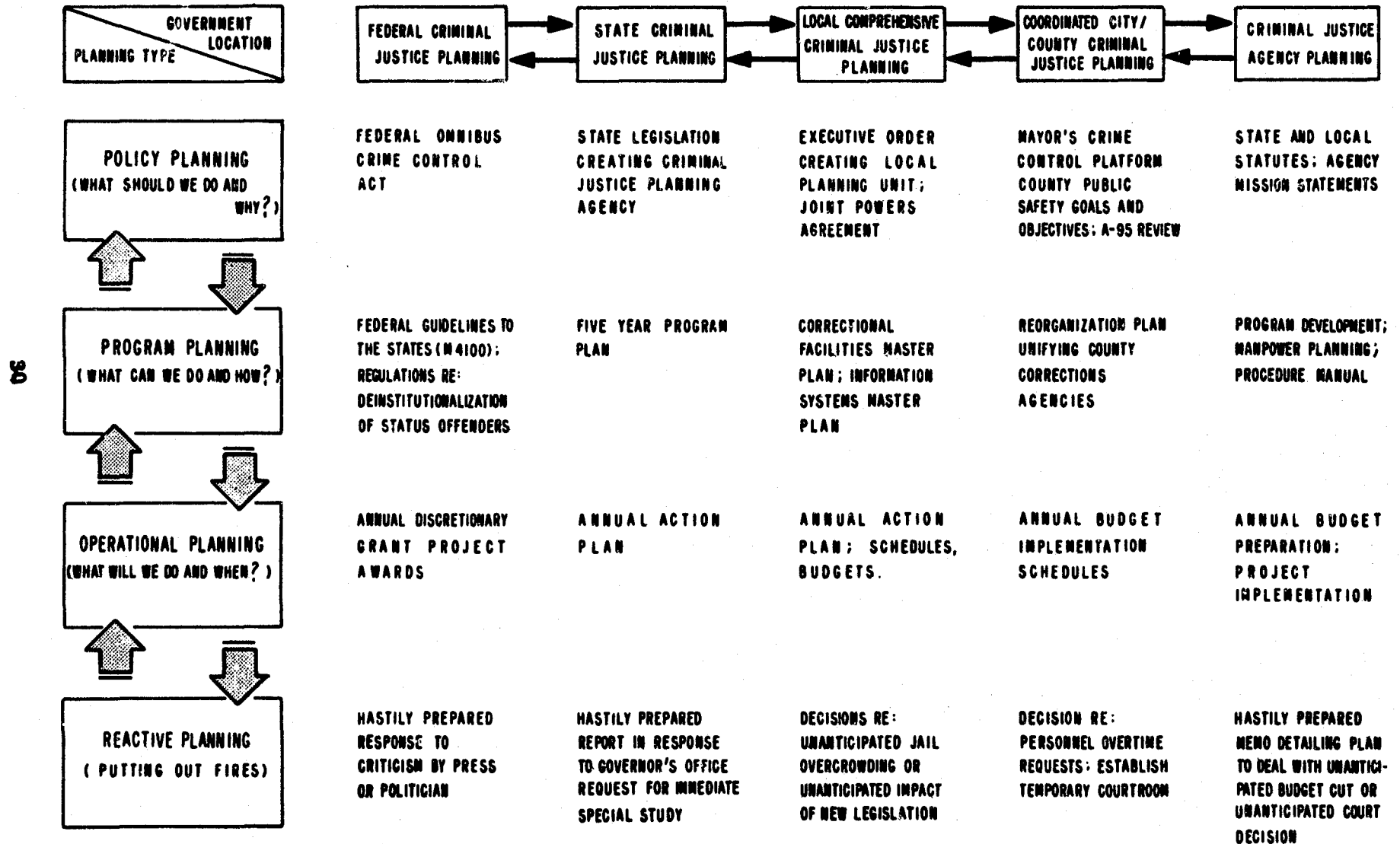
To be really effective, local criminal justice planning must encompass all three levels--criminal justice agency planning, coordinated criminal justice planning on a city-wide and county-wide basis, and comprehensive planning for the local justice system as a whole. The three levels are interdependent building blocks of local planning. Each has its own purposes and distinguishing characteristics, but planning at all three levels of government should interlock.

The various types, locations, and products of criminal justice planning in the context of a federated system of government are shown in Figure 2.3. Note how policy planning products establish and clarify purpose; program planning products spell out major strategies and guidelines; and, in turn, operational planning products reflect relatively short-term implementation, scheduling, and annual budget preparation activities. For purposes of illustration, examples of reactive planning in typical crisis situations are also shown for each planning location.

Policy, program, and operational planning flow together in practice. Each type of planning should take place at each planning location. It would be a mistake to assume, for example, that the federal government does policy planning while the state government does program planning and local governments do operational planning. Each level of government needs to complete its own version of a step-by-step planning process patterned after the eleven-step process outlined in Figure 2.2.

FIGURE 2.3

TYPES, LOCATIONS, AND PRODUCTS OF CRIMINAL JUSTICE PLANNING IN A FEDERATED SYSTEM OF GOVERNMENT



2.2 Planning Objectives and Activities

Many different criminal justice planning activities serve to improve criminal justice policy, program, and operational decision-making at the local level. These activities are directed toward achievement of the six criminal justice planning objectives introduced in Chapter 1:

- Improved analyses of criminal justice problems
- Improved coordination and cooperation
- Clearer goals, objectives, and priorities
- More effective allocation of resources
- Improved criminal justice programs and services
- Improved capacity and quality of personnel

Figure 2.4 illustrates the relationships among planning activities, planning objectives, the overall purpose of criminal justice planning, and the goals of the criminal justice system. Each planning activity contributes to one or more of the six planning objectives, which in turn contribute to improved criminal justice decision-making and, ultimately, to the achievement of criminal justice system goals. The remainder of this chapter is devoted to a discussion of the various planning activities that are undertaken in jurisdictions with advanced planning capabilities. Although most planning activities actually contribute to the achievement of more than one planning objective, each is discussed under the one it most directly serves. It should be noted that the objectives and activities are equally appropriate for planning at the agency, city/county, and criminal justice system levels, but their accomplishment is most impressive at the comprehensive system level.

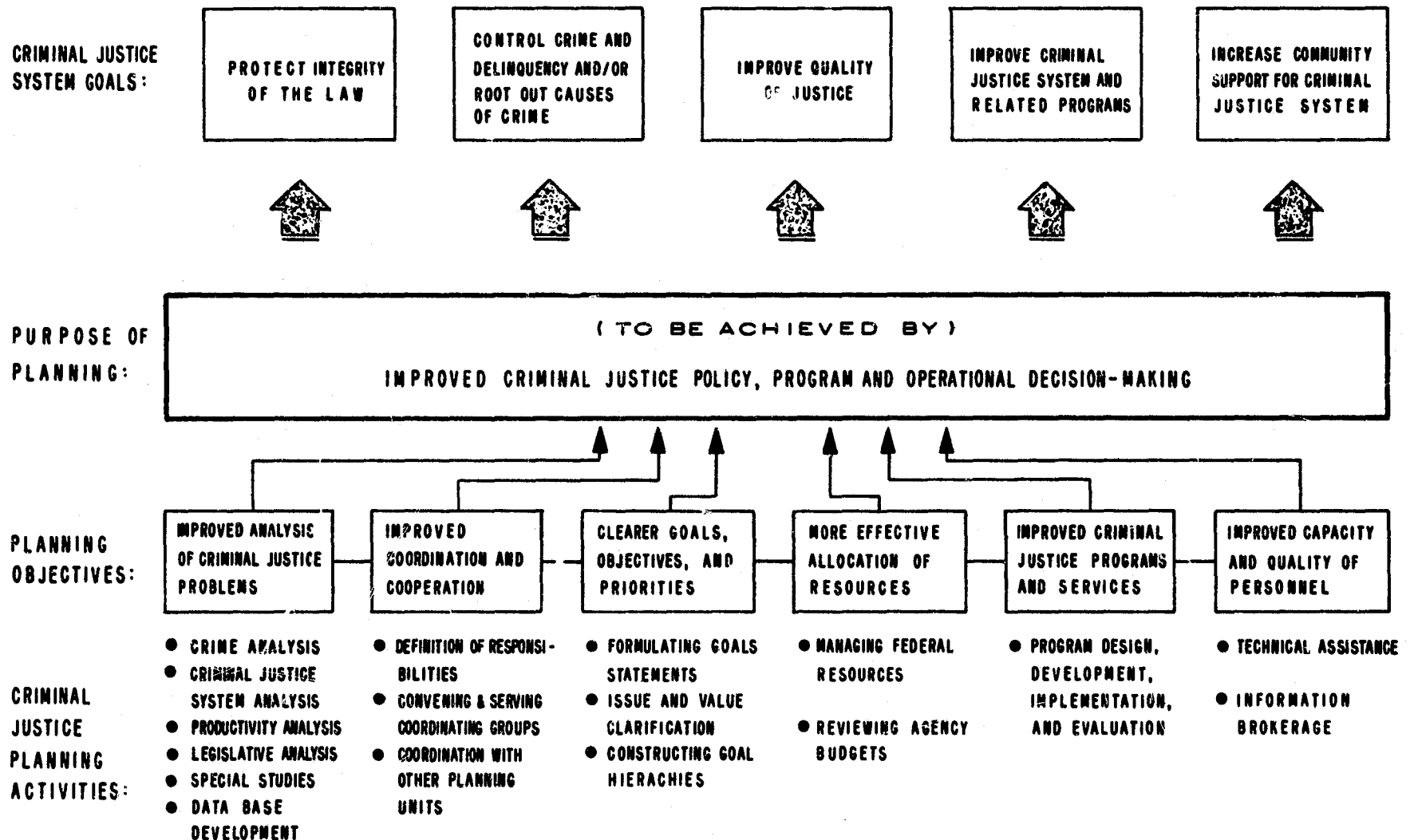
2.2.1 Activities contributing to improved analysis of problems

Competent planning produces the data needed by local officials and agency executives to improve their understanding of criminal justice problems. A constant flow of timely and relevant information helps decision-makers to define criminal justice problems, set goals and priorities, and implement and evaluate strategies for accomplishing goals.¹⁰

Where analysis capability is inadequate or absent, three related handicaps are noticeable. First, there is a lack of reliable and sufficiently detailed statistics to clearly define the crime problem--statistics concerning the offender, the victim, characteristics of the criminal event, and the environment in which the crime occurs. Second, there is a lack of meaningful statistics and information to describe and define problems in the criminal justice process. And third, even when needed information is available, there is a lack of skilled

FIGURE 2.4

GOALS, PURPOSE, OBJECTIVES, AND ACTIVITIES OF LOCAL CRIMINAL JUSTICE PLANNING



personnel and insufficient time to analyze it.¹¹ Without adequate planning, many criminal justice decisions are guided solely by past experience, intuition, and conflicting testimonies.

Experience in many local jurisdictions has shown that these problems can be overcome by providing an adequate information base for use in the analysis of crime and criminal justice problems. This puts local government in a better position to base actions upon knowledge gained. Planning activities that contribute to improved analysis capabilities include: crime analysis; criminal justice system analysis (including workload and system rate analyses); productivity analysis (operations analysis and review, internal inspection, budget analysis, and program evaluation); legislative analysis (review and formulation of legislation); policy and issue analysis (including formulation of problem statements); special studies (surveys, case studies, forecasting, and special projects); and data base development (updating crime, system, and demographic data and recomputing trend lines).

● Crime Analysis

Crime analysis provides detailed information describing criminal events, offenders, and victims. Usually, this can be accomplished by analyzing data that already exists in police offense reports, arrest reports, and dispatch cards. Crime analysis, for example, can pinpoint neighborhoods with a high incidence of burglary or develop a profile of burglaries in terms of likely times of day, types of structure entered, types of property stolen, characteristics of persons arrested, and so on. Using detailed information on location, frequency, crime target, victim/offender relationship, and use of weapons or violence, crime analysis can provide a basis for targeting prevention and control efforts and evaluating their effectiveness.

In some jurisdictions crime analysis has reached a high level of sophistication. The High Impact Anti-Crime program used crime analysis teams to assess and help design responses to specific crimes over a five-year period.¹² These teams produced significantly improved analyses of criminal justice problems and needs, thus helping local criminal justice agencies to focus their resources on more clearly defined crime problems. One form of crime analysis, computer mapping, is being used in many areas (e.g., Santa Clara County, California, Denver, Colorado, and St. Louis, Missouri) to plot crime occurrences on a map. A modern version of the old police department "pin map", this technique allows the police administrator to request a variety of maps showing crimes with any given set of characteristics. Police resources then can be targeted on specific areas and crimes, thus improving overall efficiency.

● Criminal Justice System Analysis

This type of analysis produces detailed and comprehensive statistics about the workings of the criminal justice system. Usually a flow chart is constructed to show the number of persons entering the criminal justice system and track them to final disposition. Creating

such a flow chart in itself aids informed analysis by precisely describing the justice system and its boundaries and illustrating the interdependencies among system components. Different flow charts usually are constructed to follow different types of offenders or cases through the system. The level of detail, of course, depends on the purpose of the analysis, but even the simplest flow chart can provide a useful "snapshot" of the justice system in operation.

By collecting data from existing criminal justice records, many jurisdictions have been constructing such flow charts for some time. Figure 2.5 is an example of a simple flow diagram completed in Santa Clara County, California, in 1971. More sophisticated work is now being undertaken in some jurisdictions where computerized information systems have been developed. These systems provide the capability to extensively examine the criminal justice system, diagnose criminal justice problems, and evaluate the effects of changes in programs and policies.

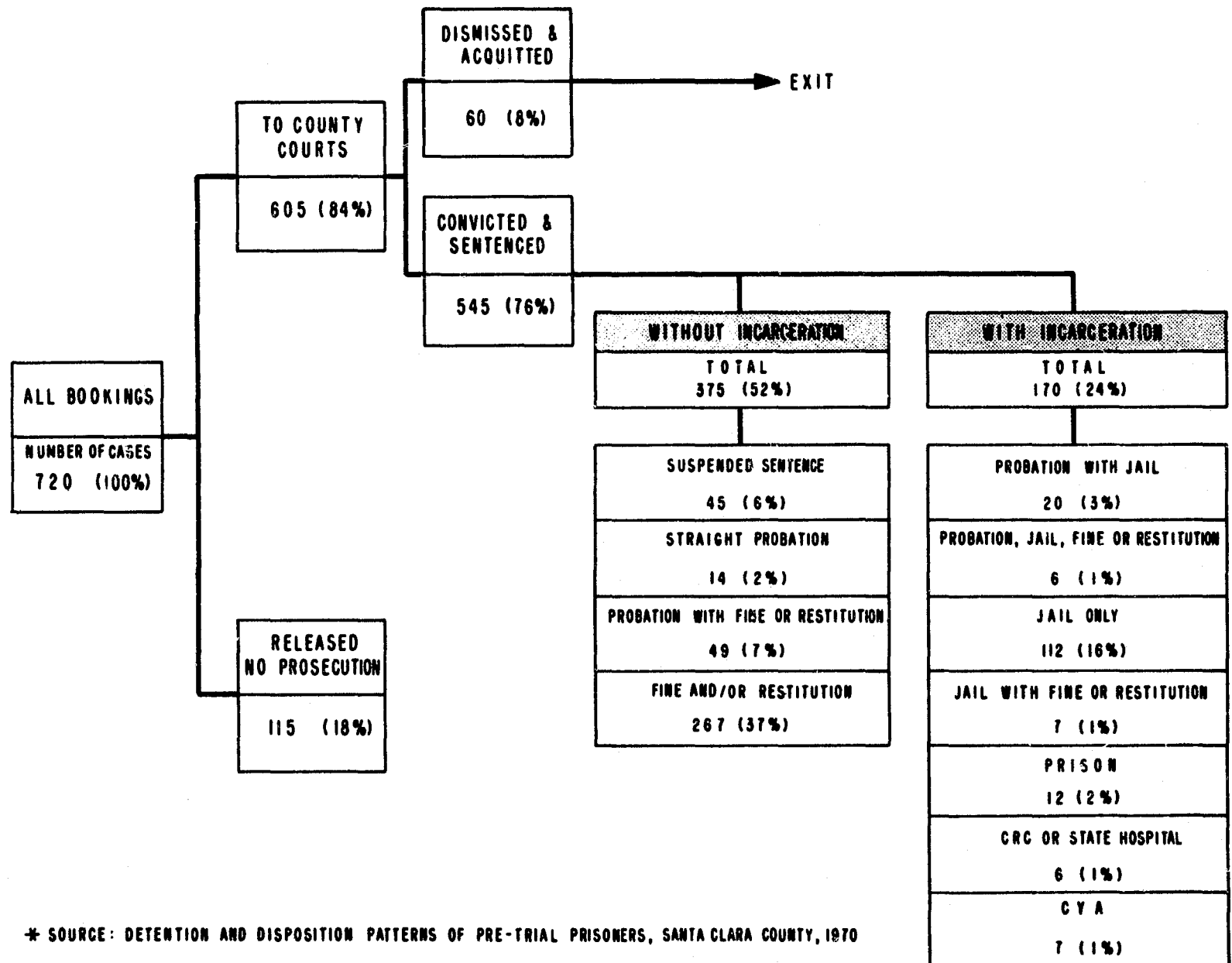
Jurisdictions with advanced planning practices also make use of workload analyses and system rate analyses. Workload analyses enable decision-makers to identify bottlenecks and imbalances in the flow of cases from one agency to another, to take action to correct any problems identified, and then to monitor and evaluate the results of actions taken. System rate analysis involves calculating percentages at each major decision point in the system flow chart and entering client flow data to delineate resource demands on various components of the system.¹³ When used with a computerized offender-based tracking system,¹⁴ system rate analysis offers a very powerful diagnostic, evaluation, and planning tool for local governments.

System rate analysis is being used in several of the sites visited to achieve resource balance among the various law enforcement and criminal justice agencies within the system and to anticipate the effects of changes in one part of the system on others. In Ventura County, California, system rate analysis is used to prepare a system impact statement (similar to an environmental impact statement) for any new project or activity. The system impact statement provides estimates of the probable effect a project will have on other justice agencies and on the system as a whole, thus signalling when a project is likely to produce workload or resource imbalances.

System rate analysis has been used by staff of the Denver Anti-Crime Council to assess the effects of a change in plea bargaining procedures on other components of the system. The evidence indicated that, contrary to expectations, a reduction in plea bargaining reduced rather than increased court caseloads, while at the same time decreasing the number of arrested persons prosecuted. Local policy-makers used this analysis to reassess operating procedures and resource allocation decisions in order to achieve the dual objectives of reducing plea bargaining while maintaining an acceptable prosecution rate.

In another jurisdiction, system rate analysis indicated that a career criminal program was resulting in slower trials due to increased

FIGURE - 3
PRE-TRIAL JAIL BOOKINGS PROCESSED THROUGH SANTA CLARA COUNTY COURTS*



demands on public defender resources. Because more offenders were appealing their convictions under the career criminal program, convicted felons also spent more time in the county jail awaiting transfer to the state prison. Based on this analysis, local agencies were able to plan for expansion of both public defender staff and jail space.

● Productivity and Operations Analysis

Productivity and operations analyses are concerned with auditing operations to assess the quality and cost-effectiveness of criminal justice procedures and to identify new and better ways of conducting business. Some planning units rely on independent consultants to perform this kind of work. Others make use of task forces of citizens and agency personnel or an impartial local expert to conduct such analyses. Whatever approach is used, the process serves to highlight the strengths and weaknesses of agency operations and focus attention on needed improvements.

Many of the decisions criminal justice decision-makers must make involve trade-offs; for example, if money is spent to expand the jail, there may be no funds to establish alternative programs for selected offenders. Productivity and operations analyses produce more precise cost information so that such trade-offs can be rationally considered and policy planning more confidently carried out. In 1978 the Denver Anti-Crime Council undertook productivity and operations analyses for the City of Denver to assess police patrol response to calls for service, police officers' court appearance procedures, police investigative productivity, jail population flows, youth diversion projects, district court case scheduling and workloads, and neighborhood revitalization projects. These studies are expected to help in the evaluation of cost/performance trade-offs and may eventually permit system-wide productivity and resource balance analysis. The Anti-Crime Council is perceived by city government as the appropriate organizational entity to undertake such analytical activities both because of its staff capabilities and because of its credibility with and access to law enforcement and criminal justice agencies in the area.

Planning units also are increasingly involved in the local government budget process, especially in performing budget analyses for criminal justice agencies. In Minnesota, staff of the Hennepin County Criminal Justice Coordinating Council review county criminal justice agency budgets for the county's department of administration and management. In California, staff of Ventura County's Regional Criminal Justice Planning Board do not formally review the budgets of county criminal justice agencies, but they work informally with the county executive, county supervisors, and agency administrators to achieve an efficient distribution of the county's financial resources. Planning staff also help county justice agency administrators in examining the interdependencies among their budgets prior to their annual budget submission. Again, the competency, credibility, and neutrality of local planning units make them the organizational entity best qualified to provide impartial budget review, in the process serving to reduce interagency and intergovernment conflicts.

Program evaluation, another component of productivity and operations analysis, focuses on both efficiency (the cost of performing various criminal justice activities) and on productivity (the cost of achieving a particular level of effectiveness, or impact). Some evaluations are conducted internally by agency personnel; others are performed by city and county administrative analysts; still others are independent studies conducted by universities and research organizations. In general, both the quality and the frequency of program evaluation have dramatically increased where local criminal justice planning competencies have been developed.

Some planning units concentrate on the evaluation of LEAA-funded programs, but many are now expanding their efforts to include evaluation of locally sponsored initiatives. Criminal justice planning units are logical choices to undertake such evaluations because of their system-wide perspective. Evaluation of the reduction in plea bargaining in Denver, for example, found that not only were prosecution rates affected; the change in plea bargaining also had implications for court caseloads, jail populations, police investigatory procedures, and the policies of the district attorney's office. The criminal justice planning unit was the only entity within local government in a position to objectively analyze the system-wide impact of the change in plea bargaining.

● Legislative Analyses

Legislative analyses provide policy-makers with up-to-date information about pending or needed legislation and estimates of the probable impact of legislative change. Legislative review produces concise summaries of the meaning and likely impact of proposed new legislation, thus allowing policy-makers to develop informed opinions early and mount support for their positions. Informed decision-makers and their staffs also play an important role in the formulation of legislation (as opposed to reacting to legislation proposed by others), especially in jurisdictions with advanced planning practices.

● Policy or Issue Analyses

Policy or issue analyses involve planning staff and decision-makers in a disciplined attempt to identify and study important problems facing the local justice system. Planners react to criminal justice issues as they arise and encourage appropriate cooperative criminal justice agency responses.¹⁵ Frequently, these analytical efforts result in official problem analysis statements describing major problems to be solved. This type of analysis seeks answers to questions involving the general nature of the problem and specific aspects that seem most important; its quantitative dimensions (e.g., number of people affected) and distribution by location, class, and client type; apparent causes of the problem; solutions attempted elsewhere (including studies of their effectiveness) and other potential approaches that might be tried. These are the kinds of questions policy-makers need to ask and planning should seek to answer.

● Special Studies

Special studies, or in-depth examinations of specific topics, are designed to produce new knowledge to support decision-making. Surveys are special studies carried out by local planning bodies to learn more about levels of crime, citizens' fear of crime, and citizens' attitudes toward the justice system and its responses to crime. Victimization surveys, for example, may be conducted in order to obtain more accurate data on the incidence of particular crime problems, such as crimes against the elderly.

Case study research can develop important insights into criminal justice agency operations, while forecasting and futures studies permit decisions to be made in the context of an anticipated future. Special research projects undertaken by local planning units generally are highly focused, one-shot studies designed to answer specific questions. What does it cost to divert a juvenile from the system? What are the causes of court delay? Do we need a new jail, and if so, what type and what size?

At sites with more advanced planning practices, planners know how to ask the right questions, conduct timely research, and produce and interpret data to aid decision-making. In California, the Ventura County Regional Justice Planning Board recently completed a study of the use of police officer witnesses by the county court system. Based on this analysis, new court operating procedures were instituted, resulting in a decrease in the amount of time police officers were required to wait prior to giving testimony and an increase in the amount of time spent on other law enforcement activities in the community. It was estimated that, as a result, approximately \$300,000 in police manpower was transferred to more productive uses during the first year. In Ohio, the Toledo-Lucas County Criminal Justice Planning Unit recently was involved in assessing resource needs for the newly opened county jail facility and developing staffing patterns and operating procedures for the sheriff's department. And in Minnesota, the Hennepin County Criminal Justice Coordinating Council is currently involved in a major study to analyze space needs of juvenile, felony, and municipal courts in the county.

● Data Base Development

Data base development involves the routine collection of reliable data about crime, the criminal justice system, and the community that can be converted into useful information to support the planning function. Crime data must be updated periodically. Crime trend lines must be recomputed. Demographic profiles need to be reconstructed. And changes in workload, client flow, and system resources need to be periodically reassessed and documented. Ongoing attention to data base development is a characteristic of advanced local planning.

In summary, the types of analysis activity described here--crime analysis, criminal justice systems analysis, productivity analysis,

legislative analysis, special studies, and data base development--are designed to produce improved understanding of criminal justice problems. A well-developed analysis capability is a principal feature of planning efforts in jurisdictions with advanced criminal justice practices.

Analysis activities, however, are not ends in themselves. They are undertaken to achieve improved coordination and cooperation, clearer goals, objectives, and priorities, better resource allocation, and more effective programs and services. Analysis activities and many of the other planning activities described below, are made to serve these ends through a four-phase implementation process. First, the analysis is planned and conducted. Second, planning staff documents and interprets the findings. Third, findings are presented to decision-makers. And fourth, decision-makers use these findings in their decision-making. A smooth progression from one step to the next, resulting in the effective use of planning products, is central to good local planning.

2.2.2 Activities contributing to improved coordination and cooperation

Competent planning results in improved cooperation and coordination among police, courts, corrections, and private agencies, as well as between different levels of government responsible for criminal justice operations. In less fortunate jurisdictions coordination is much talked about but rarely accomplished. Lip service may be paid to the need to coordinate but, other than informal discussions across agency boundaries, there is little systematic cooperation.

The jurisdictions visited had established coordination mechanisms at policy, program, and operational levels and coordination sometimes led to direct collaboration. At the operational level, for example, there were instances of personnel exchanges, joint operation of facilities or services, and intergovernmental contracting for services. Interestingly, such collaborative efforts need not cost more money--pooling agency manpower and resources to develop special projects, information and communication systems, training programs, and record-keeping systems actually can result in a cost savings for participating agencies.

Key coordination activities can be grouped into three general categories: resolution of conflicts and clarification of responsibilities; convening task forces, meetings, and other coordinating groups; and coordination with other planning bodies.

● Resolving Conflicts and Clarifying Responsibilities

Local decision-makers are not always clear about the person, agency, or level of government that is or should be responsible for a particular function. Coordination, if it is to be effective, must first establish some shared responsibilities and spheres of authority. Planning can help decision-makers to resolve these issues by "modeling" the criminal justice system, indicating the functions included and the individuals and agencies with responsibility for each.¹⁶

Recent experience has shown that such planning efforts can aid in the resolution of conflicts and the clarification of mutual responsibilities. In one case, an analysis of jail costs by planning staff resulted in a renegotiated contract between a city and county with regard to the costs of housing city prisoners in the county facility. In another jurisdiction, planning staff analyzed the costs of implementing changes in jail programs and personnel ordered by the court and their report became the basis for resolving a conflict between the sheriff and county supervisors over the jail's budget. Elsewhere, planning staff helped to settle a dispute between police and the local automotive industry over new regulations aimed at decreasing car thefts.

● Convening Boards, Task Forces, and Other Coordinating Groups

Coordination at the policy level seems to be most commonly achieved through frequent and regular meetings of policy-makers. Two types of meetings stand out: functional and integrated. Formal and informal associations of city managers, county supervisors, and other groups generally are organized along functional lines. Associations of police chiefs, judges, or correctional officials, and even citizens groups have been established in the jurisdictions studied. These groups meet frequently to exchange ideas and information. But it was the integrated meetings that served to pull together participants from each of these functional groups. Jurisdictions with more advanced criminal justice planning practices meet often in groups that integrate policy-makers. The supervisory board, discussed in Chapter 3, seems an ideal forum for this type of coordination.

Special task forces and working groups also serve to coordinate law enforcement and criminal justice activities. A particularly impressive example is the Unified Corrections Project initiated by the Ventura County Coordinating Council. This project has minimized duplication among jurisdictions providing correctional services to the county by adopting a resource brokerage and advocacy approach to service delivery. Caseloads from each of the major correctional agencies are pooled, and county probation officers work with state parole officers to coordinate service delivery. Officers' decisions are based on the recommendations of an interagency screening board representing offender-serving agencies.

● Coordination with Other Planning Bodies

Local planners and their supervisory boards also work with planning units at city, county, regional, state, and federal levels. Often, these other units have been frustrated in past attempts to work with local government because there was no one place to survey opinion or to seek advice. The criminal justice supervisory board, with its own staff, comes to serve as a local government touchstone for such planning bodies. Close collaboration between state and local criminal justice planning units is particularly essential because the policies of the state planning agency significantly affect local planning efforts.¹⁷

Interestingly, in the sites visited, it seemed that increased

cooperation and coordination often are products of the analysis activities discussed earlier. Analysis activities produce data, which is converted to information, which then is communicated to decision-makers. These turn out to be the first in a chain of interdependent links (see Figure 2.6) in a process that, under proper conditions, can lead to increased cooperation and coordination. The production of data, conversion of data into information, and communication of that information to decision-makers produces increased awareness, then understanding--and a feedback system is established. An effective feedback system is likely to produce empathy in participants--a better understanding of what it is like to be in the other person's position. Empathy, in turn, can lead to a healthy kind of altruism, with participants more often willing and able to rise above parochial interests for the common good. Such enlightened self-interest facilitates cooperation, which tends to result in increased coordination. The evidence is that planning can strengthen the interdependent links in this chain without sacrificing mutual respect and the independence and integrity of participants and their agencies. This is the process by which criminal justice achieves and maintains system balance.

2.2.3 Activities contributing to clear goals, objectives and priorities

Decision-makers and planning staff interviewed, and the research literature reviewed in connection with this study, all confirmed that efforts to establish clear goals, objectives, and priorities have a positive effect on local decision-making. Setting clear goals, in fact, is the heart of effective policy-making. Where criminal justice operations do not have well understood and articulated goals, where there is no "game plan" with well thought out strategies and directions to focus organizational effort and guide decision-making, it is difficult to perceive consensus and all but impossible to measure performance.¹⁸ Lacking a strong sense of direction, decision-makers rely on emotional argument and conflicting testimony from agency executives, each of whom feels strongly about problems most directly affecting his own "turf".

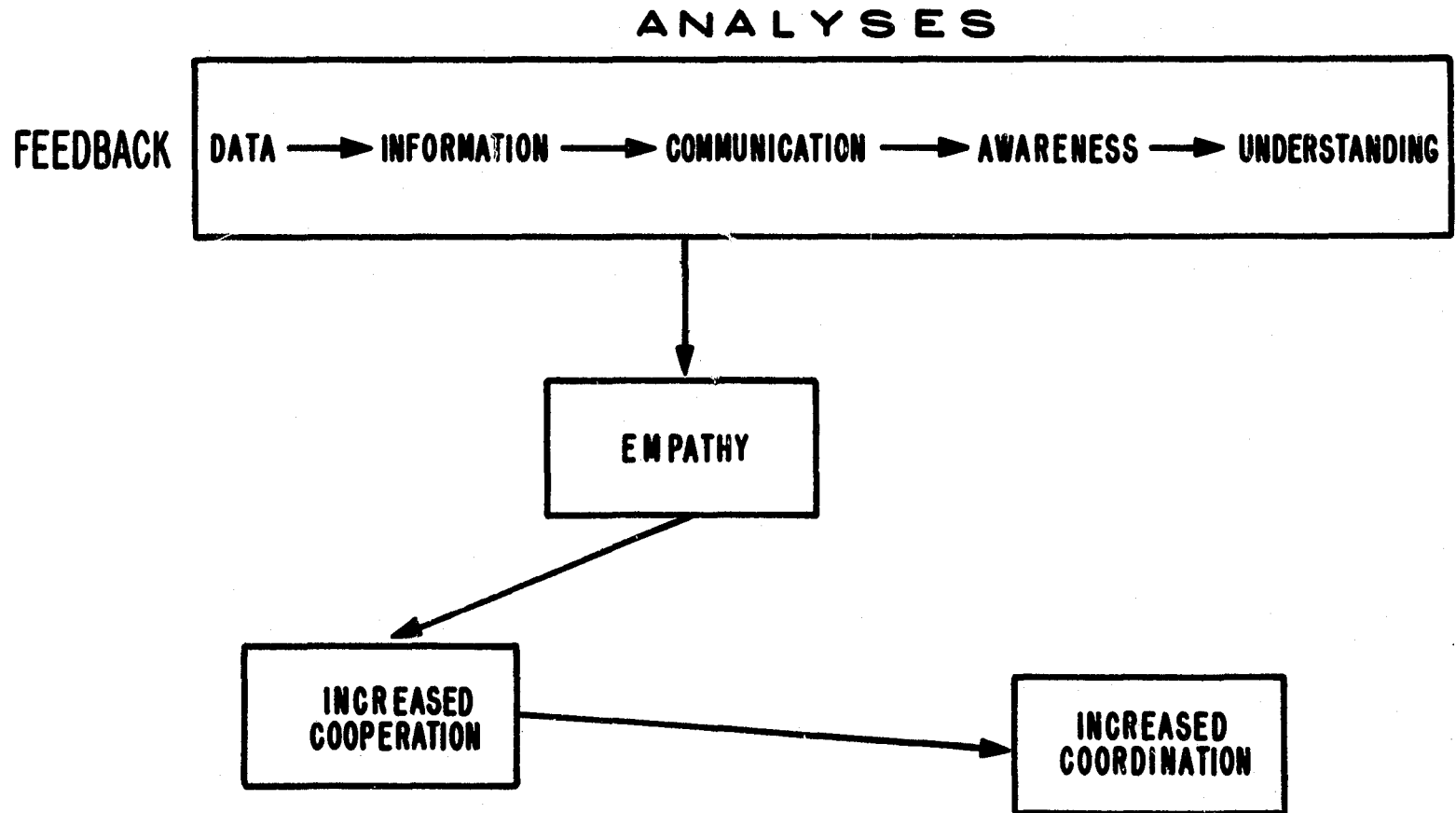
In the jurisdictions visited, planning has done much to overcome these problems. Several planning activities helped local agencies and officials to establish clear goals and set priorities: formulating problem-oriented goal statements; clarifying issues and values; and constructing hierarchies of goals and objectives.

● Formulating Problem-Oriented Goal Statements

A problem-oriented approach to planning, which relies heavily on the problem identification and analysis phase of the planning cycle, can help policy-makers to formulate goals and priorities in terms that are focused on specific problems and solutions.¹⁹ Criminal justice planners have found it easier to galvanize cooperative efforts around problem-oriented goals and priorities rather than more abstract notions. It is easier to mobilize efforts toward the goal of reducing the number of commercial burglaries in the central city than around the more amorphous goal of "reducing crime and delinquency". It is

FIGURE 2.6

COOPERATION AND COORDINATION IN THE CRIMINAL JUSTICE SYSTEM



more meaningful to attack specific problems, such as school truancy or inadequate emergency response times, than to "enhance respect for the law". This is not to say that such abstract goals are unimportant, but only that it is difficult to act on them. The evidence suggests that the goal-setting process must provide concrete direction for planning activities designed to solve specific problems.

In several of the sites visited, the planning process has evolved to a point where problems are viewed from a multi-agency, multi-governmental, and system-wide perspective. A task force of the Toledo Coordinating Council met with education officials to plan and develop a set of county-wide truancy guidelines and procedures. In Minneapolis, an offshoot of the supervisory board representing law enforcement agencies of city, county, and suburban communities, managed planning efforts related to an area-wide communications network and emergency number. Even where planning remains focused on LEAA resources, the trend appears to be toward allocating these resources to system-wide priorities. For example, LEAA funds may be used to develop an integrated information system for the criminal justice system or a regional training academy for criminal justice personnel. The Ventura Coordinating Council adheres to a policy of using LEAA monies only in ways that have a system-wide impact, an approach that reportedly has enhanced overall trust and coordination within the local justice system.

● Clarifying Issues and Values

Some local governments employ sophisticated techniques to help the supervisory board clarify issues and values in the process of setting goals and priorities. Delphi²⁰ and Mason's Dialectic²¹ are two such value clarification tools. The Delphi technique is a procedure for gathering judgments or opinions and working toward consensus among participants. In a goal-setting Delphi exercise, members of the supervisory board, and perhaps others in the community, are invited to respond to a series of questionnaires. The first such questionnaire may list a series of goal statements, ask respondents to judge their importance, and encourage them to add new statements or restatements of their own. Staff then summarize the results and return them to panel members individually. Each member then responds again, usually altering his or her reply on the basis of new knowledge about the opinions and information provided by other panel members. Sources of opinions or information are kept anonymous during the process, which may continue through several rounds until consensus develops. In setting priorities, the Delphi round may ask panelists to establish and comment on criteria for rank ordering priorities, and then to actually rank order a list of problems, goals, or projects.

Mason's Dialectic serves to resolve differences arising from the development of alternative means to achieve goals. It is essentially an open debate, with one proponent advocating one alternative and another adopting an opposing view. The process, which can be carried out in writing or orally, forces the proponents of each alternative to examine the assumptions of their own approach and exposes these assumptions to exploration by their opponents. Often the exercise results in an entirely new alternative.

These are but two of the techniques being used in local jurisdictions with advanced criminal justice planning practices.²² All such approaches are analytical techniques for helping groups to clarify issues and values and set priorities for goals, problems, or alternative solutions. These group processes, which require practice as well as skill, tend to build trust and confidence and thus to reinforce coordination and cooperation among the people and agencies in the criminal justice system.

● Constructing Goal and Objective Hierarchies

In each of the jurisdictions studied, a conceptual framework of some sort was developed to link goals, objectives, and activities. Often this framework was represented by an illustration developed to show these relationships and to make these linkages clear.²³ The evidence is that planning can lead to more precise articulation of basic purposes and help to link subordinate goals, objectives, tasks, and activities in rational and more meaningful ways. The placement of goals and objectives into hierarchies of importance and setting priorities for their achievement is an important part of this process.

In summary, then, when provided with improved analysis, decision-makers found it easier to establish problem-oriented goals and set priorities. Coordination activities, particularly the supervisory board mechanism, provided the environment and atmosphere of mutual trust and confidence in which issues and values could be clarified and consensus on goals, objectives, and priorities achieved. This also served to produce more of a system-wide perspective to address system-wide problems. Decision-makers were often aided by staff to develop hierarchies or analytical frameworks that showed logical connection among activities, objectives, and goals. Thus, those planning activities that led to clearer goals, objectives, and priorities were closely related to, and built upon, analysis and coordination activities.

2.2.4 Activities contributing to more effective allocation of resources

Criminal justice looks least like a system when resources are allocated in an arbitrary manner or on a preferential basis.²⁴ Where this is the case, local officials are forced to run an annual budget gauntlet as agency executives with different purposes and their own constituencies and power bases put forth emotional arguments to secure increases in their budgets. In such jurisdictions statistics used to support the various different positions often are contradictory. Decisions made, and those not made, threaten to throw a delicately balanced system out of service. Adding resources at one point results in shortages at another, while efforts to "even up" resources creates a kind of push-pull inflation of costs.

Competent planning can improve the allocation of resources and the overall efficiency of the justice system. Planning can help local governments get more for less in an environment of scarce and diminishing resources. It can help agencies maintain or increase effectiveness without adding manpower--courts can be helped to reduce backlogs

without increasing the number of judges, and corrections to improve services or meet growing workloads without expanding facilities. When additional money becomes available, it can be directed to those areas where it will do the most good or to which planning has assigned highest priority. Planning provides the framework needed to allocate resources specifically for the achievement of criminal justice goals and objectives.

In jurisdictions with advanced criminal justice planning practices, the focus of planning has expanded to include not only the allocation of federal monies, but the analysis of system costs and the allocation of resources to all local criminal justice programs. Most of the planning units visited were aware of the techniques of resource balance and routinely applied its general principles. An underlying assumption of the recent efforts of Ventura County's Regional Criminal Justice Planning Board to analyze the resource balance of the county justice system is that the process of resource distribution should not be competitive.²⁵ Interdependencies among agencies are recognized--it is understood, for example, that an increase in the number of police officers may have little effect on rates of conviction and sentencing unless the prosecutor, public defender, and court receive comparable additions in resources.

The Arthur D. Little survey showed that half of the planning jurisdictions go beyond administering LEAA grants to include such activities as budget and management studies.²⁶ Those jurisdictions with more comprehensive approaches are not necessarily larger and better financed. Some small criminal justice planning units are committed to more comprehensive planning, while some large jurisdictions still take a narrow approach. But regardless of size or structure, those planning units that have shifted from federal grants administration to more comprehensive local planning are found in jurisdictions where planning has become institutionalized within local government and now receives considerable local support. Even in jurisdictions where planning remains targeted on the management of federal grants, planning can aid in resource allocation; but in the growing number of jurisdictions that are attempting more comprehensive planning, system-wide resource balance is more likely to be achieved.

The various resource allocation activities engaged in by local criminal justice planning bodies can be roughly divided into two groups: those associated with the management of federal resources, and those that involve the review of agency budgets.

● Managing Federal Resources

Local planning efforts include many activities that serve to allocate federal resources--for example, the administration of a federal LEAA mini-block program, preparation of an annual comprehensive criminal justice plan, grant review, approval, and monitoring, and related administrative activities.

● Reviewing and Advising on Agency Budgets

Many jurisdictions engage in planning activities that go far beyond the allocation of federal resources. These planning units review and make recommendations concerning local criminal justice agency budgets, undertake costing

and workload studies, monitor and evaluate programs and projects, and conduct sophisticated assessments of the overall resource balance of the justice system. These activities provide better information about system costs to help decision-makers compare alternatives. And they produce fiscal impact and criminal justice system impact statements to help keep the system, its workload, and its resources in proper balance.

Not surprisingly, those planning units that are funded wholly by federal monies are likely to focus almost exclusively on grants management activities. Those planning units that have been successful in obtaining significant amounts of funding from non-federal sources are more likely to plan for all components of the local justice system. Locally funded planning units generally also enjoy stronger support from local government and receive greater cooperation from local criminal justice agencies. These units are more likely to be involved in reviewing annual budget submissions of law enforcement and criminal justice agencies and in helping to mediate interagency disputes.

In sum, a rational planning process can provide a framework for making decisions related to the allocation of resources or other operational concerns. Even in jurisdictions where the planning effort remains targeted on federal grantsmanship, planning can help avoid serious resource imbalances in the justice system. In the growing number of jurisdictions that are attempting total criminal justice resource planning it can provide many other important benefits.

2.2.5 Activities contributing to improved programs and services

In theory, because planning leads to a better understanding of problems and needs and clearer goals and objectives, it facilitates the design, development, testing, implementation, and evaluation of alternative programs and services and the selection of more effective courses of action. This theory was borne out in practice in the sites visited. Planning does stimulate innovation, experimentation, and program development as outmoded practices gradually give way under a reasonable planning process. Planning also encourages incremental improvements in existing programs. Since it is a cyclical, repetitive process, programmatic improvements can be made and inefficiencies eliminated each time the planning cycle is completed. One author describes this as an "incremental planning process...designed to produce successively better approximations of rational plans over time."²⁷

Program monitoring and evaluation complete the planning cycle. Monitoring of criminal justice programs is an ongoing process that provides constant feedback on program operations. Its focus is on program performance, costs, operational improvements, and achievement of operational milestones. Program evaluation is intended to measure the overall effectiveness of programs in meeting long-range objectives by seeking information on project impacts, benefits, goal achievement, resource utilization, and task accomplishment.²⁸ The Law Enforcement Assistance Administration has sponsored the development of handbooks

to aid local governments in both monitoring and evaluation activities.²⁹

Monitoring and evaluation make a new kind of quality control possible, thus allowing agency executives to better manage the criminal justice system. These planning activities serve to improve criminal justice programs and services in two ways--by resulting in well-designed programmatic proposals and by encouraging systematic improvements in programs over time. The sequence is one in which programs are designed, developed, tested, implemented, and evaluated in a cyclical process. Incremental gains can be made each time this program development cycle is repeated.

2.2.6 Activities contributing to improved quality of personnel

The jurisdictions studied found that certain activities improved the capability and quality of criminal justice personnel and this, in turn, led to improved decision-making. Planning helped to focus organizational effort and infuse personnel with new knowledge and abilities. As a management process, planning helped criminal justice personnel learn how to set objectives, select courses of action to achieve objectives, and make the decisions necessary to implement and evaluate plans. It gave personnel new and more productive perspectives and an increased ability to work cooperatively across agency and governmental boundaries.

In less fortunate jurisdictions there is a vague uneasiness about the management processes that supposedly guide the criminal justice system. Things seem not quite right, but no one knows just what to do about it. Although perceived, problems remain undefined and unstructured. Organizational effort is not focused and objectives are diffuse. Outside consultants sometimes are hired, but agency personnel have not learned how to use their services properly. The result is an atmosphere of stagnation and a lack of progress. Such jurisdictions often do not have access to information on how other agencies in other parts of the nation are solving problems similar to those faced at home. Entrenched provincialism sometimes prevents local governments from learning even from close neighbors. Thus there is a tendency to re-invent the wheel or to duplicate programs that have already been discarded as ineffective in other jurisdictions. Under such circumstances it is difficult for personnel to keep up with the state-of-the-art and any progress made depends on trial and error.

Comprehensive planning can help overcome these problems. But, before comprehensive planning can be undertaken, planning competencies at city, county, and agency levels must first be developed. Individual agencies and units of government must establish their own "orderly, systematic and continuous process of setting objectives and anticipating the future and bring these anticipations to bear on critical present decisions."³⁰ The planning unit can help agencies and units of government to develop their own planning competencies and expand their staff capacities by providing technical assistance and information brokerage services.

● Technical Assistance

Technical assistance activities involve planning staff in sustained working relationships with key decision-makers and their staff aides. Technical assistance normally is designed to help an agency or task force solve a specific problem, but over a longer term specialized planning staff can do much to train agency personnel in planning processes and techniques. Planners can provide problem definition services, helping personnel to more clearly identify and structure problems so that they can be solved. They can encourage improved data collection and analyses. They can help personnel learn to design, implement, and evaluate programs and projects. And they can improve agency management and coordination of the system across agency and governmental boundaries.

In jurisdictions with advanced criminal justice practices, planning staff spend considerable time providing technical assistance to agency personnel at all levels. According to one Pilot Cities project director, "the emphasis...is on sharpening diagnostic abilities, on instilling an interest for feedback of program results. This will guide disciplined progress toward programs that work and encourage abandonment of practices that are ineffective...In developing these capabilities, we are talking more about a 'process' than we are a 'project'." The goal is to improve local planning, management, research, and evaluation capabilities. Technical assistance is expected to result in a planning organization and mechanisms to make the system work better.

● Information Brokerage

Planning staff serves as a storehouse and broker of information, working to connect criminal justice personnel with the sources of knowledge--knowledgeable people, technical information, and published and unpublished reports. In jurisdictions with more advanced planning practices, criminal justice planners develop contacts for obtaining and disseminating information needed by agency personnel. They review the literature and disseminate research findings. They serve as a repository for criminal justice statistics. They organize conferences, workshops, and other forums for discussion that will bring new information to bear on the consideration of key issues. As knowledge is acquired these planners take on a special kind of authority based on knowledge and competence. This increases their credibility with and access to criminal justice agency personnel, which aids the overall planning process.

2.2.7 Summary

Local criminal justice planning is designed to contribute to decision-making at three levels: policy (setting overall goals and objectives); program (selecting specific courses of action); and operations (allocating resources to implement programs). While the need to respond rapidly to short-term needs and problems may discourage planning efforts by local government, use of a rational planning model

as a framework for decision-making can provide for greater consistency and balance in both the short and long run.

To be effective, local criminal justice planning should be undertaken at three levels: the agency, the city or county, and the criminal justice system as a whole. Each type of planning--policy, program, and operational--should take place at each planning level and planning at all three levels should interlock.

The various planning activities detailed in this chapter contribute to the achievement of six major objectives: better understanding of problems and needs; greater coordination and cooperation among system components; clearer goals and objectives; more effective resource allocation; better quality programs and services; and a higher caliber of personnel. Achievement of these objectives enhances the quality of agency decision-making and ultimately facilitates the achievement of criminal justice system goals.

Footnotes: CHAPTER 2

1. American Justice Institute, "Management Planning Strategies and Probation Policy," report prepared by Charles P. Smith for the Los Angeles County Probation Department, December 31, 1977, pp. 11-12.
2. Ibid., p. 11.
3. Bert Nanus, "A General Model for Criminal Justice Planning," Journal of Criminal Justice, Vol. 2 (1974), pp. 345-56.
4. Ibid., p. 352.
5. Arthur D. Little, Inc., Local Criminal Justice Planning and Analysis: Activities and Capabilities (Washington, D.C.: Law Enforcement Assistance Administration, 1976), p. 88.
6. John Friedman and Barclay Hudson review planning theory in: "Knowledge and Action: A Guide to Planning Theory," AJP Journal, January 1974, pp. 2-16. A summary of criminal justice planning appears in Don C. Gibbons, et al., Criminal Justice Planning: An Introduction (Englewood Cliffs, N.J.: Prentice-Hall, 1977). Three types of planning are described in Blair G. Ewing, "Criminal Justice Planning: An Assessment," Criminal Justice Review, Vol. 2 (1976). Other helpful discussions of planning are found in: Bert Nanus, *supra* note 3; Jim L. Munro, "Towards a Theory of Criminal Justice Administration: A General Systems Perspective", Penology, November/December, 1971, pp. 621-31; and James E. Frank and Fredrick L. Faust, "A Conceptual Framework for Criminal Justice Planning," Criminology, Vol. 13, No. 2 (1975), pp. 271-95.
7. This course is now available at five criminal justice training centers strategically located throughout the United States: University of Southern California, Los Angeles; Florida State University, Tallahassee; Northeastern University, Boston, Mass.; University of Wisconsin, Milwaukee; and Washburn University, Topeka, Kansas. Criminal justice planners may enroll in these courses by contacting one of the training centers or the Training Division, Office of Operations Support, LEAA.
8. National Advisory Commission on Criminal Justice Standards and Goals, Criminal Justice System, edited by Joseph Foote (Washington, D.C.: U.S. Government Printing Office, 1973), p. 27.
9. National Association of Counties Research Foundation, Regional Criminal Justice Planning: A Manual for Local Officials, Part II, "Developing a Regional Criminal Justice Plan" (Washington, D.C.: Ernst and Ernst, November 1971).
10. Law Enforcement Assistance Administration, Quantitative Tools for Criminal Justice Planning, edited by Leonard Oberlander, (Washington, D.C.: U.S. Government Printing Office, 1975).
11. Ewing, *supra* note 6, p. 123.

12. Mitre Corporation, High Impact Anti-Crime Program National Level Evaluation Final Report, Vol. 1 (Washington, D.C.: Law Enforcement Assistance Administration, January 1976).
13. Malcolm W. Klein, et al., "System Rates: An Approach to Comprehensive Criminal Justice Planning," Crime and Delinquency, Vol. 17 (October 1971), pp. 355-72.
14. Carl E. Pope, Offender-Based Transaction Statistics: New Directions in Data Collection and Reporting (Washington, D.C.: Law Enforcement Assistance Administration, 1975).
15. Gordon Raley, Criminal Justice Planning: the Coordinating Council (Washington, D.C.: National League of Cities and U.S. Conference of Mayors, 1976), p. 23.
16. Ewing, supra note 6, p. 126.
17. Arthur D. Little, supra note 5, p. 21. Also, evaluation of the High Impact Anti-Crime program showed that difficulties in the state-local relationship reduced the effectiveness of local crime analysis teams, supra note 12.
18. Ewing, op. cit. supra note 6, p. 129.
19. Mark Hoffman, "Criminal Justice Planning," ASPO Planning Advisory Service Report No. 276, January 1972, p. 26.
20. J.P. Martino, Technological Forecasting for Decision Making (New York, N.Y.: American Elsevier Pub. Co., 1972).
21. R.O. Mason, "A Dialectical Approach to Strategic Planning," Management Science, April 1968.
22. Other issue and value clarification techniques include the use of decision trees, morphological modeling, and cross impact matrices. These techniques are part of the training curriculum of the planning course offered at the Criminal Justice Training Center described in note 7. They were also described in Theodore J. Gordon, "The Current Methods of Futures Research," The Futurists, edited by Alvin Toffler (New York, N.Y.: Random House, 1972), pp. 184-184.
23. See, for example, National Advisory Commission, supra note 8, Appendix D, "City of Cleveland Impact Program Master Plan."
24. National Advisory Commission supra note 7, p. 2.
25. Ventura Regional Criminal Justice Planning Board, "Criminal Justice Laboratory County Project: Grant Application", 1978.

26. Supra note 5.
27. Ewing, supra note 6, p. 130.
28. Supra note 16, pp. 24-25.
29. Law Enforcement Assistance Administration, Intensive Evaluation for Criminal Justice Planning Agencies (Washington, D.C.: U.S. Government Printing Office, 1975); and Law Enforcement Assistance Administration, Monitoring for Criminal Justice Planning Agencies (Washington, D.C.: U.S. Government Printing Office, 1975).
30. Supra note 3, p. 346.

CHAPTER 3

LOCAL CRIMINAL JUSTICE PLANNING: ROLES AND STRUCTURES

Criminal justice planning is primarily a local responsibility and it should be lodged within local government. There is much evidence and authoritative support to validate guidelines that express this principle.¹ The Arthur D. Little (ADL) survey found that "credibility with local criminal justice agencies" and "strong support of local government" ranked first and second in importance among seven factors contributing to the success of local criminal justice planning efforts.² The Pilot Cities³ and High Impact program⁴ evaluations support this finding; and even the general literature argues that both authority and responsibility for developing plans should be vested with those with the authority to implement them. The ADL survey summarizes several of the reasons for locating criminal justice planning responsibilities at the local level:

"First, crime is foremost a local problem, and one that demands public action. Secondly, local governments bear a major responsibility for financing the criminal justice system and setting policy. Thirdly, local planning units, to a great degree, derive their authority, both formally and informally, from their relationship to city and county government. If these units are to maximize their potential--to effect change, influence policy, and effect the distribution of all criminal justice resources--then they must be part of, not separate from, the responsible government authority. Fourthly, it appears probable that local planning units are more likely to continue in the absence of federal financial aid to the extent that they have become 'institutionalized'--made part of the normal local government structure, procedure, and budget."⁵

The literature and site visits undertaken for this study served to validate a number of other principles and underscore certain pitfalls to be avoided. For example, to be most effective, local criminal justice planning should be based in the community it serves. It is important to distinguish between planning that is community-located and planning that is truly community-based. Some criminal justice planning entities are located in cities and counties as part of a regional statewide network of substate planning units created by a state criminal justice planning agency. The 1968 Omnibus Crime Control Act, and particularly the 1970 amendments, stipulated the creation of these substate planning units in many states to meet the requirement that local governments participate in planning activities. In the beginning these planning units functioned merely as creatures of the state agencies that established them, and many operated solely to manage the allocation of LEAA grant funds. In some jurisdictions, local planners today remain oriented to state and federal interests

and resources, but in many others the planning process has become a more integral part of local government. Local decision-makers in the latter jurisdictions have made a personal investment in the planning enterprise and planning is an expression of local commitment. These are community-based planning units--they are not only located in the community, but administered, controlled, and increasingly, financed by the community.

Another principle validated by experience is that planning units with geographic boundaries coterminous with the jurisdictional boundaries of a local criminal justice system tend to be more effective planning mechanisms.⁶ Normally this means a geographic area with the same boundaries as a county. Municipalities usually invest heavily in police services, while counties are more involved in court and correctional services. Thus, if a planning office extends to the county boundaries, it usually deals with a complete, or nearly complete, local criminal justice system. Even in jurisdictions with many state-administered criminal justice activities, a county-wide arrangement usually pulls together most locally administered functions. This principle leads to related notions, for example, that joint city/county planning units are generally preferable to either single-city or county-only agencies. Geography is less important than the range of criminal justice functions falling within the jurisdiction of the planning entity. Planning, in short, is enhanced when it encompasses as complete a "system" of criminal justice as possible.

A different set of guidelines appears to govern smaller cities and counties without major population centers. Since a small county may not have the resources to support a local criminal justice planning unit, circumstances will force such jurisdictions to develop multi-county planning structures. There are various methods of grouping small counties together. One approach is to encourage them to fall together into natural groupings based on local preference or traditional inter-county alliances.⁷ Another is to organize around existing multi-county judicial districts. State criminal justice planning agencies have been instrumental in establishing multi-county regional planning units (RPU's) and in some states the state agency provides staff and support services directly to less populated areas.

Where practical, single-county planning units are preferable to multi-county planning structures. Expert opinion places the minimum population for establishing a local planning unit anywhere between 100,000 to 250,000 persons. The National Association of Counties (NACO) believes it is efficient for counties of 100,000 persons and over to form their own local criminal justice planning units, recommending that smaller counties band together in multi-county planning structures. (NACO has produced written documents to help counties set up these planning entities.)⁸ Congress has recognized a somewhat higher minimum threshold, permitting government units or combinations of units of 250,000 or more persons to receive LEAA funds to establish criminal justice coordinating councils (CJCC's).⁹

There are, however, a number of counties with populations of less than 250,000 that have successfully established single-county planning agencies.¹⁰ It seems that the minimum size jurisdiction that can support a local planning unit will depend on the types of planning anticipated and the resources needed to support these planning activities.¹¹ The minimum size jurisdiction that can support a local planning unit thus will be determined once the functions to be performed have been decided (the range of activities is summarized in Chapter 2) and the resulting staffing pattern has been translated into dollars and cents. This will determine, for each locality, whether a city/county or a multi-county planning unit should be formed.

3.1 Planning Structures in Six Jurisdictions with Advanced Practices

The six sites visited for this study show both similarities and differences in type of planning structure, participating units of government, legal authorization, board membership, and sources of funds. Figure 3.1 compares the six planning units, two of which are contiguous city/county; two, core city/county; and two, county with a number of cities.

The Ventura County Regional Criminal Justice Planning Board and the Hennepin County Criminal Justice Coordinating Council are examples of planning units serving a county with many cities. The Ventura planning board, with no major city in its jurisdiction, plans for and coordinates criminal justice activities of the county and nine small to medium-sized cities located within it. Although this is an independent criminal justice planning body whose staff are responsible to their own supervisory board, the staff are affiliated with the county executive's office through the county's matching grant funds and administrative support. The county executive and staff director agree that the planning unit is more effective as an independent agency than it would be as part of county government. As an independent body, the unit is better able to maintain its autonomy and work at collaborative efforts between the county and other local units. The unit was established by joint resolution among participating local governments.

The Hennepin County Criminal Justice Coordinating Council was set up in 1971 as a joint county, city, and suburban effort under the aegis of the county funding conduit. Its initial purpose was to administer LEAA grant monies. In March 1977 the Council became part of county government by joint resolution passed by the county, the major metropolitan city (Minneapolis), and a number of suburban municipalities.¹² The director of the CJCC, who reports to the director of the Hennepin County office of planning and development, is selected through civil service procedures. All but one of the seven full-time and one part-time professional staff positions are also civil service.

The Louisville and Jefferson County Criminal Justice Commission and the Toledo/Lucas County Criminal Justice Regional Planning Unit are examples of city/county planning agencies. Both are established

FIGURE 3.1
COMPARISON OF SIX LOCAL CRIMINAL JUSTICE PLANNING ORGANIZATIONS

		NAME OF ORGANIZATION	AUTHORIZATION	REGIONAL PLANNING UNIT DESIGNATION BY STATE	PLACEMENT IN LOCAL GOVERNMENT	NUMBER OF BOARD MEMBERS	SOURCE OF LOCAL FUNDS
CONTIGUOUS CITY/COUNTY GOVERNMENTS	DENVER	DENVER ANTI-CRIME COUNCIL	MUNICIPAL ORDINANCE	NO	COMMISSION REPORTING TO MAYOR	20	CITY
	NEW ORLEANS	MAYOR'S CRIMINAL JUSTICE COORDINATING COUNCIL	MUNICIPAL ORDINANCE	YES	COMMISSION REPORTING TO MAYOR	20 - 30	CITY
CORE CITY/COUNTY	LOUISVILLE/ JEFFERSON COUNTY	LOUISVILLE AND JEFFERSON COUNTY CRIMINAL JUSTICE COMMISSION	JOINT RESOLUTION OF LOCAL GOVERNMENTS	YES	INDEPENDENT COMMISSION	15	CITY AND COUNTY
	TOLEDO LUCAS COUNTY	TOLEDO/ LUCAS COUNTY CRIMINAL JUSTICE REGIONAL PLANNING UNIT	JOINT RESOLUTION OF LOCAL GOVERNMENTS	YES	INDEPENDENT COMMISSION	30	CITY AND COUNTY
COUNTY WITH MANY CITIES	VENTURA COUNTY	VENTURA REGIONAL CRIMINAL JUSTICE PLANNING BOARD	JOINT RESOLUTION OF LOCAL GOVERNMENTS	YES	INDEPENDENT COMMISSION	21 - 30	COUNTY
	HENNEPIN COUNTY	HENNEPIN COUNTY CRIMINAL JUSTICE COORDINATING COUNCIL	JOINT RESOLUTION OF LOCAL GOVERNMENTS	NO	INDEPENDENT COMMISSION	26	COUNTY

by joint powers agreements. Both serve as regional planning units in their respective states and thus deal directly with the state planning agency on LEAA-related matters. The Louisville CJCC, which plans for county government, a major city area, and 76 small towns and cities, is an independent agency administratively attached to the mayor's public health and safety cabinet, with looser administrative ties to the county department of human resources and the office of the county judge. This CJCC is one of more than 30 jointly funded city/county agencies. The city is the planning unit's funding agent. Recently, this CJCC became nearly 100 percent locally funded, reflecting a very high degree of local support for the planning unit.

The Toledo-Lucas County Criminal Justice Regional Planning Unit is an independent agency established by a joint-powers agreement by the City of Toledo and Lucas County. The staff reports to an eight-member executive committee appointed by the mayor of Toledo and president of the county board, who both serve on the committee. This provides planning staff with direct access to top elected officials in both political jurisdictions, an arrangement the executive director believes is imperative to the success of criminal justice planning in Toledo-Lucas County. A thirty-member supervisory council, appointed by the same persons, is responsible for establishing policy, in conjunction with its standing committee structure of police, courts, corrections, juvenile, and crime prevention. The supervisory council serves to meld the recommendations from these individual areas into balanced policy statements for planning and programming purposes. This RPU, which is also a CJCC, receives about one-third of its budget from local sources; of that one-third, approximately 40 percent comes from the county and 60 percent from the city. The independence of this unit enhances its ability to coordinate criminal justice agency operations, resolve intergovernmental and interagency disputes, and deliver system-wide services to local agencies.¹³

The two remaining planning units visited are in jurisdictions with coterminous city/county governments--Denver, Colorado, and New Orleans, Louisiana. Planning units in both jurisdictions were established by municipal ordinance and report to the mayor. (While a mayor's executive order may be sufficient to establish a local criminal justice planning unit within a city/county, the eventual establishment by city council ordinance creates a more stable base for planning.) The Denver Anti-Crime Council was established by the mayor with the approval of the city council when the city agreed to participate in the High Impact Anti-Crime program. The CJCC staff director has direct access to the mayor and attends his weekly cabinet meetings. Although there is a city-wide multi-purpose planning board with which the CJCC could become affiliated, the planning director and local officials in Denver feel that a criminal justice planning unit would not fare well under such an arrangement. Affiliation with the general planning board, it is believed, would reduce the director's access to policy-makers, reduce the perceived importance of the planning unit to criminal justice administrators, elected officials, and the public, and cause criminal justice planning to take a back seat to planning issues such as land use and economic development. (The planning

units visited also avoid affiliation with multi-county councils of government for similar reasons.)

The Mayor's Criminal Justice Coordinating Council in New Orleans is a commission reporting to the mayor with staff administratively located in the mayor's office. This organizational arrangement brings with it the advantages of the mayor's support and a relatively high level of local funding. The staff director for the New Orleans CJCC has indicated that, given the governmental structure of that city/parish, being located anywhere except in the mayor's office would be very difficult, both politically and financially.

These six planning entities offer real-world examples of the concepts presented and discussed in the remainder of this chapter. There are other approaches to local criminal justice planning, but planners in these sites are on the forefront of developing planning practices. Although organized variously and focused on different planning tasks, these planning units have all moved beyond the management of federal funds to undertake comprehensive criminal justice planning for their jurisdictions. The major alternatives in locating, authorizing, staffing, and funding a local criminal justice planning unit are discussed below.

3.2 Administrative Location: The Alternatives

Should the local criminal justice planning body be a part of city or county government? How should it be structured? Should it be placed within an existing public agency or office and, if so, which one? Or should it be an independent regional planning unit or criminal justice coordinating council? Answers to these questions will define the relationship of the planning body to local decision-makers, particularly elected officials, and will do much to determine its effectiveness.

The many forms taken by criminal justice planning are well described in the literature.¹⁴ A synthesis of these materials, field observations and expert opinion serves to validate the strengths and weaknesses of the major administrative options for locating the planning unit and establishing its relationship to local government. The National League of Cities and the U.S. Conference of Mayors (NLC/USCM) have summarized five such options and pointed out the advantages and disadvantages of each.¹⁵ Six options are offered here. (See Figure 3.2 for comparisons of the six alternative planning structures.)¹⁶ The first four include locating the planning unit within a police agency, a human resources department, or a city or county executive's office, and creating a city or county criminal justice planning council. Each of these alternatives has its valid uses. Planning within a criminal justice agency (such as the police department or municipal court) is effective for agency-level planning, while city or county planning units are important resources in criminal justice planning at the city or county level. Planning at these levels also contributes to the planning process at more comprehensive levels; that is, planning for the local criminal justice system as a whole. Two other options, however, the regional planning unit and the criminal justice coordin-

Figure 3.2 Comparison of Six Alternative Structures for Local Justice Planning

COMMON PLANNING STRUCTURES:	APPROPRIATE PLANNING LEVEL:	SIGNIFICANT FEATURES:	MAJOR STRENGTHS:	MAJOR WEAKNESSES:
Criminal Justice Coordinating Council.	Comprehensive criminal justice system planning.	Legal entity receives LEAA funds; representative board; staff support.	Broad public and private representation on supervisory board allows coordinated and integrated approach to criminal justice problems; links planning to decision-makers; staff support.	Heavy reliance on one individual (usually the mayor) for success.
Regional Planning Unit.	Comprehensive criminal justice system planning single county and multi-county, or council of governments.	Substate planning region; representative board, receives LEAA money; most common planning structure.	Coordinates LEAA fund flow, but also allows comprehensive planning, broad representation on boards; good multi-county mechanism; broad power base.	Multi-county arrangement can be cumbersome; imbalance in board representation can occur.
City or County Planning Council.	City or county level coordinated planning.	Individual police, courts, prosecutor, social service agencies, and other planners with overall coordination by chief executive.	Relies on in-house expertise so new staff needs are minimized.	Possibility of parochial attitude by each department.
City or County Manager's Office.	City or county level coordinated planning.	Coordinates city or county criminal justice budgets; usually prr. of federal grants, intergovernmental relations, or planning research unit.	Improves accountability; emphasizes fiscal considerations; potential for coordinated city or county planning rather than grants management only.	Planning mechanism of one county is not comprehensive; manager distant from line agency operations; planning can become abstract.
City or County Human Resources Department.	City or county level coordinated planning.	Director on executive cabinet; federally funded projects grouped together functionally.	Provides good coordination among federally funded programs; sensitivity to crime as social and environmental problem, wide range of programs possible—juvenile justice, employment, drug abuse, prevention, etc.	City or county planning needed, but not a substitute for comprehensive planning; dependent on availability of federal funds; unable to exercise budget control over federally funded programs; encourages grants planning only; officials may view department as serving federal, not local, interests.
City or County Police Agency.	Agency level planning.	Planning or research unit serves agency head; does crime analysis, grant writing, etc.	Provides extensive crime data; helps upgrade police services, a major item in local budgets.	Agency planning cannot substitute for comprehensive planning; no supervisory board; may over-emphasize police operations.

ating council, are generally viewed as more appropriate for comprehensive, system-wide planning at the local level. These planning bodies are independent planning entities with the authority and capability to plan for all agencies and all units of government involved in the local criminal justice system.

3.2.1 The police department planning unit

Many cities and counties rely heavily on police planning units to undertake criminal justice planning for the jurisdiction. According to a 1975 survey by the Advisory Committee on Intergovernmental Relations, 21 percent of reporting counties and 43 percent of reporting cities assigned to police agencies the primary responsibility for planning and administering LEAA funds.¹⁷ This pattern seems especially common in rural areas.¹⁸ Yet there are disadvantages to the use of a single criminal justice agency for comprehensive planning. While assigning some planning functions to the agency level makes sense (e.g., police departments may be particularly well prepared to conduct crime analyses), comprehensive system-wide planning generally cannot be adequately carried out by a single agency. The police department, for example, may be overly concerned with developing law enforcement projects and this may create system imbalances by overloading local courts and corrections programs (thereby ultimately defeating some law enforcement purposes). Also, there is no broadly representative board involved in the planning process under this arrangement and police agency staff may be unfamiliar with some of the more specialized techniques of comprehensive criminal justice planning.

3.2.2 Planning in the human resources department

A second common organizational option is to assign responsibility for criminal justice planning to a city or county human resources department. Such departments were developed in many cities during the 1960's to manage federal grants and programs related to unemployment, drug abuse, aging, youth, and crime.¹⁹ The scope of their services thus reflects the range of federal initiatives.

Placement of the criminal justice planning unit within such a department may enhance coordination among various federally funded programs and permit the city or county to include social welfare, employment, education, and other services in planning for broad-based prevention as well as enforcement strategies.²⁰ However, the scope of planning may be limited to grants management; local officials may consider the department (and therefore the planning function) to be federally oriented rather than a part of local government; and when federal funds are cut back the planning program may suffer. Also, the arrangement does not allow planners direct access to the chief executive and, while it may permit adequate city or county planning, it is not well suited for achieving comprehensive intergovernmental criminal justice system coordination.

3.2.3 Planning in the city or county executive's office

In a third organizational option responsibility for comprehensive criminal justice planning is placed in the city manager's office or the office of the county executive. There are two major variations of this option: (1) creation of a criminal justice coordinator position; and (2) creation of a staff planning unit. In the first case, a single position of criminal justice coordinator is located on the staff of the city or county executive. The criminal justice coordinator serves as a substantive expert in criminal justice matters, helps to clarify objectives, reviews criminal justice agency budgets, and identifies areas for interagency coordination and problem-solving. This approach is relatively inexpensive and it locates coordination close to the chief executive; but there is some risk that the coordinator will be remote from line agencies; that he will be lost in a flurry of activity, meetings, and detail; or, that his success in bringing in state and federal money may become the sole criterion for evaluating the position's utility and effectiveness.

The other variation, placement of a planning staff unit with the executive's office, can do much to enhance coordination, integration, and accountability of criminal justice agencies and programs. It also makes it more likely that, where needed, the city or county will generate plans for local match monies and that LEAA-funded projects will be incorporated into local government as federal grants are terminated. The potential for integration into the city or county policy-making and budget process gives this option great appeal, for it emphasizes fiscal considerations. Clearly, the approach is more effective in medium-sized cities and counties with a "strong manager" form of government. In the "strong mayor" form of government the planning function may best be placed in the mayor's office. The director of the planning unit is also in a good position to act as liaison with representatives of other city, county, state, and federal criminal justice agencies and planning offices.

As with the police planning unit and planning as a function of a local human resources department, there are disadvantages associated with the placement of a planning coordinator or staff unit within the city or county executive's office. First is the problem created by the distance of the chief executive from line agencies. Second, planners located in a city manager's or county executive's office may be unfamiliar with the day-to-day operations of criminal justice agencies. Third, if other department heads fail to cooperate with planning staff, the planning effort could deteriorate into no more than grants management. And finally, while planning units located in city or county manager's offices can strengthen local coordination, such units are handicapped in their ability to do comprehensive, system-wide planning because they do not encompass all criminal justice functions.

3.2.4 The city or county planning council

A fourth organizational option, seen most frequently at the county level, is a structure that brings together in a planning council

planners or executives from each criminal justice department. Since this model relies on existing staff skills and expertise, it is not as costly as some other alternatives. However, the council may have difficulty relating to agencies and planning structures outside the city or county planning council and thus may become too insular in its planning focus. Also, there is a natural tendency for each departmental representative to support the interests of his own department when these conflict with the larger concerns of the city as a whole.²¹ There is also a tendency to become absorbed in operational and program planning at the expense of policy planning. And, if planners, rather than chief executives of criminal justice agencies, are assigned to the council it may be expected that planners should act as decision-makers, which, of course, they are not.

3.2.5 The regional planning unit

The regional planning unit is the most common organizational apparatus for local planning²² and one of two options presented here as appropriate for comprehensive, system-wide criminal justice planning in an intergovernmental context. RPU's are substate planning bodies encouraged to form (and sometimes directly initiated) by a state criminal justice planning agency. Relationships between RPU's and the state criminal justice planning agency vary widely, as do the types and range of planning activities performed by different RPU's. All such planning bodies receive LEAA planning funds to finance the development of LEAA comprehensive plans and to perform grant-related activities, but some perform much more comprehensive planning activities as well.

Regional planning units may be single-county organizations formed through intergovernmental arrangements among participating units of government, or they may be multi-county planning units (generally they are at least county-wide in scope). Councils of government (COG's) are sometimes designated as regional planning units. Small counties may have to combine their resources in a multi-county planning body to provide services that none could provide alone. But there are advantages to the single-county planning unit. Multi-county RPU's may be seen as more artificial and may generate fears of regional government--a prospect that threatens home rule advocates. Multi-county units are more likely to be perceived as creatures of the state planning agency than as servants of participating counties. Also, the interests of any one participating county can be diluted as the number of counties increases. Multi-county arrangements may result in greater detachment from local decision-makers. Large geographic areas (and the travel time associated with it), disparities among participating communities, and the large board needed to involve many different officials may prove unwieldy. Such weaknesses must be overcome if the multi-county RPU is to serve successfully as a local criminal justice planning body.

The supervisory board (discussed in more detail later in this chapter) is a primary strength of the regional planning unit, especially in single-county planning efforts. Composed of criminal justice

agency executives, elected and appointed officials of general government, and often representatives of related social service agencies and the public, the supervisory board is an important mechanism for bringing key actors together and coordinating agency activities. By serving as a forum for the exchange of ideas and information, this board offers great potential for enhancing interagency cooperation.

A second strength of the RPU is that LEAA funds can be used to hire a specialized planning staff. Under the direction of the supervisory board, this staff can be involved in activities ranging from grants management to much more comprehensive criminal justice system planning. The range of activities that planning staff engage in will be an indication of the degree to which the RPU is regarded as an integral part of city and county government. Planning staff can collect and analyze data; review and analyze criminal justice agency budgets; monitor legislative developments; write or advise on the preparation of policy statements; study particular problems and suggest solutions; bring the latest thinking to the attention of local decision-makers; monitor and evaluate new and continuing programs; help local officials set priorities among competing goals; and help agencies define problem areas, develop programs, prepare grant applications, and negotiate grants.

3.2.6 The criminal justice coordinating council

The criminal justice coordinating council is another organizational option well suited to comprehensive, system-wide criminal justice planning. Usually associated with urban areas, the CJCC is most appropriate in jurisdictions with coterminous city and county governments, or where a population of a large core city is surrounded by a county government with which it shares criminal justice responsibilities and services. In these situations the CJCC provides a very promising organizational alternative.

The term CJCC has both a general and a technical definition. The term came into general use in the 1960's when several large cities established coordinating councils under executive orders of their mayors. Under this general definition, then, a CJCC is a group of local government officials formally or informally established to plan and coordinate local criminal justice programs.²³ The technical definition, which is the one adopted here, views the CJCC as a legal entity that meets the requirements of Section 3701 of the 1970 Omnibus Crime Control Act and is therefore eligible for LEAA action funds (as well as planning funds, which RPU's also are eligible to receive).

CJCC's are similar to RPU's in many respects, but they do have distinguishing characteristics. Creations of local rather than state government, CJCC's almost always embrace only a single county, while RPU's often plan for more than one county. According to the LEAA general counsel, the role of the CJCC also is fundamentally different from that of an RPU. The former coordinates system-wide criminal justice activities within its jurisdiction, while the latter focuses on those planning duties associated with the Omnibus Crime Control Act.

A CJCC, at least as viewed by LEAA, clearly is something more than an RPU.²⁴

CJCC operations also are tied quite closely to local government and to the budgeting process, a distinct advantage over many RPU structures. Because they are eligible for LEAA action funds they are able to engage in a much wider range of planning activities. And CJCC's often seem to be more successful in getting financial support from local government.²⁵ Nevertheless, distinctions between the way CJCC's and some RPU's operate are not always clear-cut. Some single-county and even multi-county RPU's have extensive and sophisticated planning operations (e.g., Ventura County, in California, is served by a single-county regional planning unit; the Willamette Valley Council of Governments in Salem, Oregon, is an example of a multi-county COG with advanced criminal justice planning practices).

The CJCC has much appeal because it facilitates coordinated and integrated local criminal justice planning and ties the planning effort closely to local government decision-making. One disadvantage of many CJCC's is that they are the creation of large-city mayors on whose goodwill and support the entire structure depends; this is a narrow and sometimes vulnerable base from which to operate. Other than this potential weakness, the CJCC has advantages similar to those of the RPU--the supervisory board, a specialized planning staff, and the capability for interagency and intergovernmental system-wide planning.

In sum, any jurisdiction should be able to adapt one of the six administrative alternatives to its own local situation. Selection of the appropriate alternative will be determined by many factors, among which are the political and administrative organization of local government, the planning activities and functions that local government wants to emphasize, and existing planning capabilities. Most important will be the planning objectives that the locality chooses to emphasize. Whatever structural alternative is chosen, however, some form of legal authorization will be needed to bring together key local actors to plan for the criminal justice system.

3.3 Establishing Legal Authority for Planning

While local criminal justice planning agencies can be established informally (for example, at the request of a mayor), planning unit directors at the sites visited unanimously agreed that it is preferable to establish the planning agency by formal public action. Other sources validate this point of view.²⁶ The effectiveness of a local criminal justice planning agency is enhanced by formal measures such as strong enabling legislation.²⁷ Without formal legitimation and authority, it is difficult to overcome the divisiveness characteristic of many local criminal justice systems.

A local criminal justice planning structure may be formally established by a joint resolution of local governments, a joint powers agreement, a municipal ordinance, a resolution of county government, a

statute, or an executive order of a governor. As shown in Figure 3.1, four of the six planning organizations visited in connection with this research were established by joint resolutions of participating city and county governments; the remaining two were established by municipal ordinance.

3.3.1 Provisions of enabling legislation or legal authorization

Regardless of the type of enabling mechanism used, a number of provisions should be included. For example, the joint powers agreement, ordinance, or executive order establishing the planning unit should describe the location of the unit within local government, its internal organization, and its major purposes. It should also define its membership; designate a chairperson; describe agency duties and powers; provide for submission of an annual criminal justice plan; describe staff specifications; and authorize cooperation in data collection from line agencies.²⁸ Agreements authorizing the creation of a local criminal justice planning unit or agency generally also contain provisions designed to assure that it meets LEAA requirements.

One of the most important advantages of strong and clearly worded enabling legislation is that it may encourage increased cooperation from local criminal justice agencies. For example, the enabling legislation may authorize planning staff access to criminal justice agencies for the purpose of collecting data, a task crucial to a planning unit's analysis and coordination activities. An optimal provision regarding data access exists in the by-laws of the planning body in New Orleans: "All City agencies shall furnish the Director with such reports and information as he may deem necessary to carry out the functions and purposes of his office."²⁹ In most sites, however, such complete access to data is not politically feasible, and planning bodies must use what authority they have as imaginatively as possible. In any event most also must cultivate such access informally through good relations and by developing trust among line agencies.

3.3.2 By-laws

By-laws are created by most local criminal justice planning units to govern the day-to-day business of the planning entity and to delineate the powers of the planning staff and board. Surveys³⁰ of existing by-laws show great variation in staffing arrangements provided for, but two commonly used options can be recommended. In some cases the supervisory board itself provides for staffing, and it or its executive committee is responsible for the selection, employment, supervision, and dismissal of employees serving the board. Alternately, one unit of government may serve as fiscal and administrative agency for the planning unit and be responsible for staffing, subject to review or approval by the supervisory board. The former arrangement is used to supervise staff in the two sites with coterminous city/county governments; the latter is used in the other four sites. In the Hennepin County Criminal Justice Coordinating Council, the county provides staffing and support for the CJCC, agreeing to consult with the CJCC's

executive committee on matters relating to the selection and retention of the staff supervisor. The by-laws further state that to assist in providing this service, the county will be the funding agent for CJCC for all private or public, local, state, or federal sources.³¹

In summary, each county must make a number of decisions before a local criminal justice planning body can be effectively established. The following are some of the areas in which decisions must be made.

Planning activities. The activities of the planning body need to be determined. (The range of possibilities is described in Chapter 2.) Form should follow function; thus the administrative location and organization of the planning body should reflect the planning activities to be performed.

Administrative location. Administrative structures within local government need to be worked out for each of three levels of criminal justice planning--agency planning, city and county planning, and comprehensive criminal justice system planning.

Organizational type. The organizational form of the comprehensive criminal justice planning entity must be determined. Should it be a regional planning unit? If so, should it be single-county or multi-county? Should it be a criminal justice coordinating council?

Legal authority. The authority to plan must be legally established for the local criminal justice planning body to have real legitimacy.

By-laws. By-laws must be developed to prescribe the internal structure and the powers of staff and board. Procedures must be developed to guide the day-to-day operations of the planning entity.

Two other aspects of organizational structure also must be considered: the functions, representation, and membership of the supervisory board; and the size and characteristics of the planning staff.

3.4 The Supervisory Board and Planning Staff

The local criminal justice planning body is composed of the supervisory board and the planning staff. The supervisory board provides policy direction to the planning staff, considers and acts on staff recommendations, approves plans and priorities, monitors staff activities, provides a forum for the exchange of ideas and information, and serves as a mechanism for increasing cooperation and coordination among criminal justice agencies and participating units of government. The planning staff carries out the planning activities required by decision-makers on the supervisory board.

The way in which the planning staff and the board approach their responsibilities varies widely. As the Arthur D. Little study found,

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some boards play a passive role, meeting infrequently, essentially only to ratify staff actions.³² Other boards (including those in the six sites studied) take a much more active role--important issues are thrashed out in open debate; meetings are frequent and sometimes quite lengthy. In such jurisdictions board members are the "key actors", while planning staff play a strong supporting role.

Integrating supervisory board and planning staff efforts often takes great skill and patience on the part of the planning unit director and the chairman and executive committee of the supervisory board. A well integrated relationship is not easy to achieve, in part because of significant differences in the orientations of board and staff members. Policy-makers on the supervisory board, illustrated by the top triangle in Figure 3.3, are guided primarily by deductive reasoning; that is, they draw conclusions from general principles, basing decisions on information known or believed to be true. They are guided by a general understanding of major crime and delinquency problems, their causes, potential solutions, and what does and does not work. Asked to apply their judgment, articulate their values, and act according to their beliefs, they deduce what ought to be done.

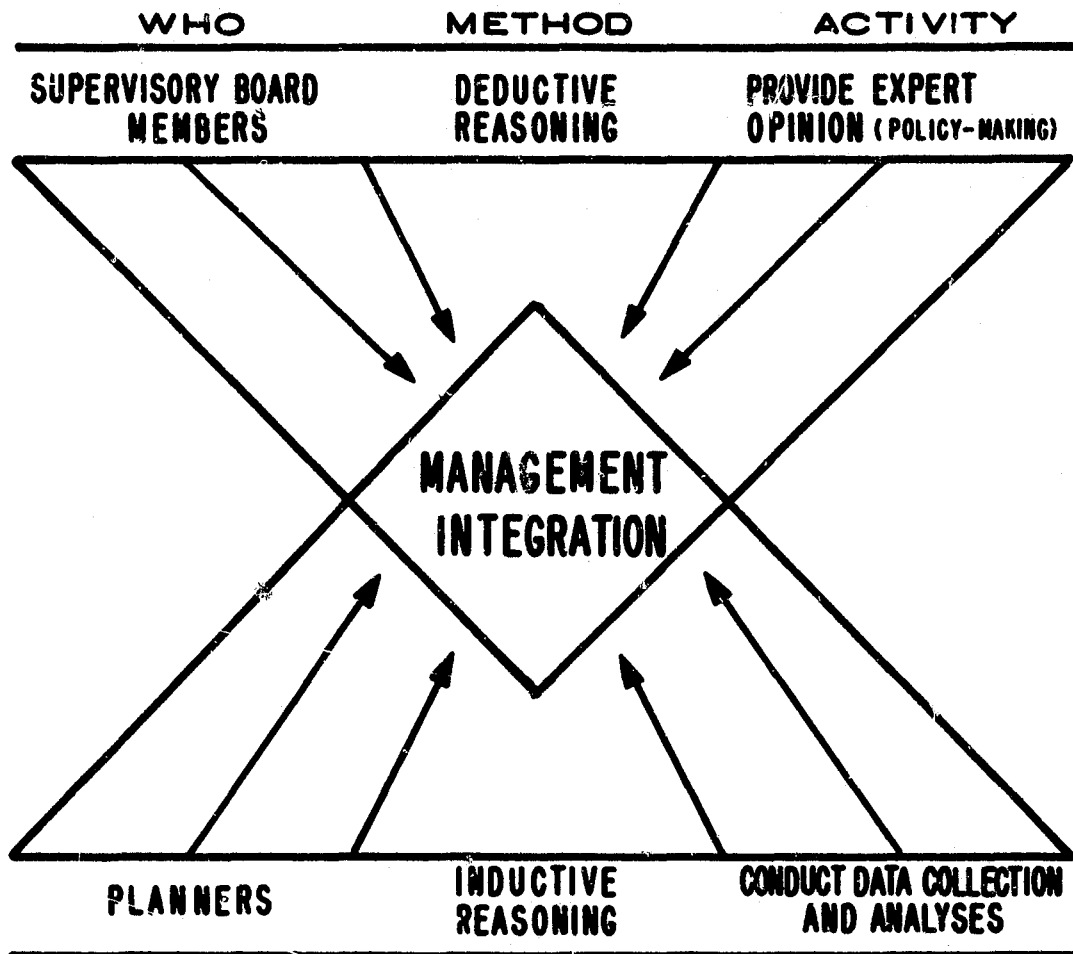
The lower triangle in Figure 3.3 represents the more technically oriented planner whose job it is to provide staff services to policy-makers to improve their decision-making. Planners specialize in gathering, synthesizing, and interpreting information. Their methods are largely inductive; that is, their findings emerge from the complexity of data they analyze. Planners gather specific information and generalize from the specific to the general, a process that is the opposite of the board member's deductive method of reasoning.

Since planners and board members tend to use quite different types of reasoning, it is not surprising that they sometimes have difficulty communicating with each other. Some planners, for example, have a tendency to provide too much detail when making presentations to the board. They alienate policy-makers by "hedging" when definite conclusions are needed; they fail to recommend concrete and specific actions; they do not understand the values of supervisory board members; and they are impatient with "political" compromises and devastated when empirical analysis is seemingly ignored.

A key job of the planning unit director thus is to forge a collaboration between the technical concerns and styles of the planner and the interests and points of view of supervisory board members. Working with the chairman and executive committee of the board, the planning director must serve as translator and interpreter of information about what changes can and should be made in the local criminal justice system. The director must assess the reactions of policy-makers to the technical products of his staff, provide feedback to staff to insure that service is perceived as useful, and develop increased awareness and support of the planning effort. Accomplishment of these tasks is critical to the success of the local planning process.

FIGURE 3.3

MANAGEMENT INTEGRATION OF STAFF AND BOARD EFFORTS



3.4.1 Supervisory board membership

Especially if the planning unit is to have responsibility for comprehensive, system-wide planning, its supervisory board should be broadly representative of local elected officials, criminal justice agency administrators, private citizens, and related non-justice agency personnel. Guidelines developed by the National League of Cities and the U.S. Conference of Mayors³³ recommend that a CJCC board represent a broad cross-section of local government and be strongly supported by the local chief executive. The guidelines also suggest that private citizens should make up approximately one-third of the general board membership and should include women and minority group representatives, private nonprofit agency heads, and educational and business leaders.

The NLC recommended the following local positions be included on a city/county CJCC:

- local chief executive;
- representatives of local city councils or the county board of commissioners;
- city and county police chiefs;
- county sheriff;
- district attorney;
- public defender;
- chief juvenile probation officer;
- administrative or presiding judges;
- representatives of the juvenile court;
- correctional facility officials;
- administrators of other public and private criminal justice related agencies.

Many supervisory boards are characterized by such broad representation.³⁴ The sites visited for this study, for example, included on their supervisory boards all those persons on the recommended list, as well as a number of other appointments specified in their by-laws. Some of the additional positions included: county clerk, state representative, juvenile probation officers, finance directors of the city/county, city managers, and public safety directors. One planning jurisdiction requires the inclusion of at least two private attorneys and one member of the public school system.

Inclusion of private citizens on the supervisory board brings to the planning process a healthy perspective, unbiased by training or experience in criminal justice matters and free of vested interests in the justice system. They serve to keep the planning process honest, open, and credible and to tie it more directly to local community needs and concerns. At times of crisis, the informed citizen can do much to blunt criticism of local officials and to reaffirm confidence in the justice system. The inclusion of non-criminal justice agency representatives broadens the scope of the supervisory board beyond traditional law enforcement solutions to societal problems, while also helping to publicize criminal justice activities beyond the criminal justice system. At one site visited, the chairperson is a private citizen from local industry who has introduced a management oriented point of view; the vice-chairperson is the director of the local commission on community relations. At another site, the vice-chairperson (formerly chairperson) is the dean of the local university's school of police administration. Other community representatives on planning boards include those from the health care professions, legal aid societies, the NAACP, and public agencies concerned with housing, poverty, drug abuse, mental health, and recreation.

Membership on the supervisory board is usually set forth in by-laws or in the documents authorizing the planning body. Some by-laws list every office to be represented on the supervisory board and the exact number of representatives from each. Others specify certain officials who must be included and offer guidelines for selecting the rest. By-law provisions also frequently assure compliance with the LEAA requirement that 51 percent of board members be locally elected officials.

Where by-laws get into the subject of participation, they often specify that if a member misses a certain number of meetings he or she can be dropped from the board. In practice, certain officials--particularly elected officials such as the sheriff, district attorney, or chief judge--are rarely dropped regardless of the number of meetings they miss because their participation is so critical to the planning organization.

The subject of substitute participation also is dealt with frequently in by-laws. While some jurisdictions allow attendance at supervisory board meetings by designees of agency administrators and elected officials, most of the sites visited do not. Even in those sites where designees are permitted, directors emphasize that successful system-wide planning and coordination requires that line agency heads participate on the supervisory board. When agency heads and elected officials do not sit on the board, and thus do not talk directly about issues important to the criminal justice system, law enforcement and criminal justice policy cannot be decided. In the two sites visited that do allow members to send designees, there was less involvement in matters of criminal justice policy and a stronger tendency to limit council activities to LEAA-related grants management. To further encourage direct participation, voting by proxy on financial matters is forbidden in four of the six sites. Most of the councils that do not allow voting by proxy state in their by-laws that any number of members present

constitute a quorum, thereby providing an additional incentive to attend.

3.4.2 Methods of appointment and terms of board members

Persons who appoint board members clearly have some influence over the activities of the organization, but, except for the fact that the majority (79 percent) are appointed by local officials,³⁵ there is no pattern in methods of appointment of board members. Some become members automatically by virtue of their office; others are appointed by the supervisory board, either by the executive committee or upon nomination by a nominating committee (this is the way citizens typically are appointed to the board). While different patterns of appointment were found in the three different types of sites visited (that is, contiguous city/county, core city/county, and county with many cities) no one method of appointment was validated as more widely applicable than others. Appointment methods instead reflect each local political and organizational arrangement.

In the two sites with contiguous city/county governments (Denver and New Orleans) the number and composition of supervisory board positions are delineated in the by-laws with the mayor appointing representatives to fill all positions except those filled by virtue of office (e.g., sheriff, district attorney). In New Orleans, members are appointed by the mayor and confirmed by the city council (which itself is represented in full on the supervisory board). In the other four sites, participating units of local government are allocated representation on the supervisory board. In Hennepin County, where planning involves county, city, and suburban local governments, the county has eight representatives; the city has six; and the suburban governments jointly have eight. In addition, every other year, the supervisory board selects four private sector agencies with a direct relationship to criminal justice services (e.g., the local Urban Coalition, the League of Women Voters) who may each appoint one representative to the board.

In Louisville / Jefferson County, whose Criminal Justice Commission is an example of a "core" city/county planning organization, the mayor and county executive each nominate six members to the council, at least three of whom are elected officials of their respective jurisdictions.³⁶ At another site, 18 of the 30 members are appointed by the mayor, six by the county, and six jointly by the suburbs and towns. Twelve of the 30 members serve by virtue of office.

Terms of appointment of board members in the six sites visited vary from one to three years. Many representatives have the option of succeeding themselves. For one supervisory board appointments are for two years, with approximately one-half of the membership expiring each June 30. While no important reason for recommending an ideal length of appointment was substantiated by the study, there are arguments for overlapping terms of not less than one year. Overlapping allows older members to educate newer ones, providing for continuity and a flow of knowledge that can accumulate over time. Also, since the local

government budget cycle typically is one year, as is the LEAA planning cycle (though these may start in different months for different jurisdictions), it seems reasonable to have supervisory board appointments of a minimum of one year--and probably longer.

The appropriate size of the supervisory board will depend on the number of board members needed to attain a balanced board representative of all interested and affected groups in the particular locale. Over the years, membership has ranged from six to 84 (the latter in New York City), with averages reported between 25 and 30 and a recommended range between 16 and 30 members.³⁷ Board membership in the sites visited range from 15 to 30 members. By-laws at two sites mandated not less than 21 and not more than 30 members.

3.4.3 The executive committee

To compensate for the potential unwieldiness of a supervisory board large enough to assure broad representation, many local jurisdictions have created executive committees. Such a committee, which can be viewed as an informal board of directors, works to maintain efficiency and coordination of planning unit operations. An executive committee itself may have decision-making powers, or it may serve as an advisory group to the supervisory board, which retains final voting authority. Executive committees, with the help of planning staffs, can prioritize problem and resource allocation areas and then present options and plans to be voted on by the full board.

The executive committee may be divided into two separate committees. The Boston CJCC initially had two such committees: one, a coordinating committee, was made up of the various agency heads; the other, an advisory committee, contained primarily citizens and private group representatives appointed by the mayor.³⁸ This arrangement was favored by many of those who saw the citizens advisory committee as a local "watchdog" over crime and criminal justice activities. In several other jurisdictions supervisory boards made the executive committee responsible for hiring planning staff, who, with the planning director, report directly to the committee. Because of their additional responsibilities, executive committees often meet more frequently than the full supervisory board.

Five of the six sites visited make use of executive committees. The sixth, which has a 20-member supervisory board, has elected to avoid such hierarchical organization. Membership on executive committees vary. In its 1976 membership guidelines, the National League of Cities recommends that a CJCC executive committee contain a majority of elected or appointed officials and at least one representative from police, courts, corrections, and the juvenile justice system.³⁹ Some but not all of the sites visited follow these suggestions. In New Orleans all city council members are on the executive committee; other committee members are selected by the mayor (with confirmation of the city council) from the general supervisory board membership. In another location the executive committee consists of the three council officers and two

representatives elected from the council. In yet another, the executive committee was composed of five members of the supervisory board appointed by the mayor; two selected by the county board; and one selected jointly by the member suburbs and towns. One CJCC that closely parallels the NLC guidelines has an eight-member executive committee that includes designees of the mayor and county judge, the heads of the four functional areas of CJCC activity (police, courts, corrections, and juvenile justice), and the chairperson and vice-chairperson of the CJCC.

In the sites visited, the chairperson and vice-chairperson were selected in one of three ways: appointment by the local chief executive (or joint appointment by city and county governments); election by the general membership of the supervisory board; or election by the executive committee.

3.4.4 Task forces

Many supervisory boards make use of task forces or working committees to organize and structure their work. A task force may be made up exclusively of board members or it may involve a mix of board members, citizens, and local officials. Task forces can be a means of involving large segments of the community in the planning process. One advantage of this approach is that it broadens participation, while keeping the supervisory board to a manageable size.

Task forces are organized in various ways. It is common to find them divided along functional lines (such as task forces on courts, corrections, law enforcement, and so forth). This permits concentration on a particular area of the criminal justice system, but it may have the unfortunate effect of perpetuating the system fragmentation that comprehensive planning is designed to overcome. Task forces that cut across functional lines (for example, a task force on narcotics, on information systems, or on juvenile justice) serve to pull the parts of the criminal justice system together and encourage new ways of doing business. Task forces also may be focused on specific problems, such as burglary reduction. While there appears to be no "right" way to organize task forces, the way in which they are organized will structure the supervisory board's general approach to planning and affect the outcome of task force efforts.

Experience shows that the larger the number of task forces, the more staff time is required to service them properly. More than one planning staff has been bogged down because of an excessive number of task forces to be staffed. For this reason the number of standing task forces should be small, and there should be a method of creating and disbanding special-purpose, short-term working groups.

3.4.5 Staffing the planning unit

The literature and site visits have highlighted certain staffing practices that seem to be associated with successful local criminal justice planning. First, there is ample evidence that preliminary

planning of staffing needs is essential to the success of the local planning effort. Just as the organizational location of the planning entity should emerge from an assessment of the duties and functions it is to perform, so staffing requirements should evolve from careful consideration of the activities that the supervisory board wants to accomplish. If decision-makers, and especially the supervisory board, can identify the activities that are most important they will have a much clearer idea of the number and characteristics of staff needed. When local government decision-makers have not come to an understanding of the purposes, functions, and expected benefits of criminal justice planning, it is far too easy to hire staff who lack the necessary qualifications, to organize them improperly, and then to let them fend for themselves in identifying appropriate assignments. This can result in ineffectiveness, loss of credibility, and disillusionment with the planning process.

Serious attempts to develop a topnotch staff team should be preceded by an honest appraisal of two questions:⁴⁰ (1) Does local government really want to be able to measure the effectiveness of its local criminal justice system, recognizing that the data may suggest that the system is ineffective and perhaps mismanaged? (2) Do local government administrators have the management sophistication to implement change if research and planning indicate that certain changes in criminal justice procedures, operations, or resource allocation are needed? There must be a receptive environment for planning. If these two questions are answered negatively, it will be difficult to develop a successful planning process. If answered affirmatively, then staff should be selected carefully, located close to local decision-makers, and given specific direction and political support.

3.4.5 Team organization

The organization, size, and range of services provided by a local criminal justice planning unit will depend, to a great extent, on the size of the jurisdiction and the resources available. A 1975 survey showed that cities with populations greater than one million had, on the average, a professional planning staff of 13; cities with populations of 500,000 to one million had an average staff size of 8.8; while for cities with populations of 250,000 to 500,000 this figure was 5.6.⁴¹ A 1976 survey found that the average number of criminal justice staff in the 92 planning units surveyed was 4.7; actual staff size ranged from one to 16.⁴² The sites visited for the present study average 6.9 full-time staff. It is generally recognized that a staff of five professionals is probably the minimum required to carry out comprehensive local criminal justice planning.⁴³ This number is needed to handle the scope of work, but it is also necessary if staff with a variety of skills are to be recruited for the planning organization.

Several different staff assignment patterns have been suggested in the literature and adopted by local planning units. The most common of these is to divide staff according to major criminal justice functional areas: police, courts, corrections, and juvenile programs.

In the Pilot Cities program, for example, planning teams often consisted of four associates, each having responsibility for one functional area. Most planning units today seem to use this assignment pattern with varying degrees of overlapping responsibility.

As planning units have evolved, the need for additional staff capabilities and for some specialization has been recognized. Such additional staff assignments as data expert, evaluator, budget analyst, and computer programmer have been suggested. Although these may exist as distinct positions in addition to the usual functional specialists, staff more often double up on their areas of responsibility. One individual may handle two criminal justice functional areas, or one individual may combine expertise in a criminal justice area with experience or training in financial analysis, grants management, or computer science. In this way the unit may be able to maintain a high level of collective expertise while minimizing the costs associated with staffing.

Another element of the local criminal justice planning unit team is the use of paraprofessional staff, student interns, or research assistants to complement the work of professional staff without drastically increasing personnel costs. In many planning units, this is being accomplished through the use of positions funded through CETA (Comprehensive Education and Training Act) funds. The sites visited showed creativity in the use of CETA employees and student interns, whose employment enabled them to significantly expand available manpower. Planning unit teams thus are divided into professional staff, who are responsible for the planning, coordinating, and analysis functions and paraprofessional staff, consisting primarily of student interns and CETA-funded employees responsible for data collection activities. These two staff groups are supported by a third group of clerical staff.

3.4.7 Characteristics of the staff team

Different planning purposes will require a different mix of staff resources. What will be the scope of planning activities required of them? What will be the planning emphasis--grants management or technical assistance to decision-makers? What geographic area and which jurisdictional entities will be served? Answers to such questions will begin to reveal a unique character for the planning entity that should be reflected in staffing patterns.

The Pilot Cities and High Impact program evaluations both support the concept of a team approach to staffing the planning unit. Although the mix of skills required on the team will vary with the specific planning activities emphasized, there are some general guidelines for selection of team members. First, both the Pilot Cities and High Impact program evaluations suggest that the team should possess strong analytical skills. The analysis activities described in Chapter 2 will require staff capabilities in such areas as data collection, statistics, computer operations, research, and evaluation. A data expert who also knows the criminal justice system will be an ideal member of the

staff team. This person will be able to lead staff activities in areas of crime analysis, systems analysis, productivity analysis, special studies, and data base development. Other analytical tasks will require staff with training and experience in political science and public administration. This type of background will be particularly important in conducting legislative, budget, and operations analyses and management studies.

Such evolving planning functions as resource allocation within and among agencies, financial review, and the provision of technical assistance to line agencies will require a management analyst with general knowledge of the criminal justice system. If this person also has special familiarity with a particular area of criminal justice he will be an ideal candidate. Such experience will aid in the interpretation of data in a form useful to decision-makers--a task some social scientists with strictly academic backgrounds may find difficult. These staff members also need to possess the ability to formulate problem-oriented goal statements, to convene and serve on task forces, to enhance cooperation and help to resolve conflicts among agencies and jurisdictions, and to maintain working relationships with other planning entities.

The staff team, or consultants hired to augment the staff team, also must have the skills and knowledge that will enable them to help the supervisory board articulate goals and objectives. Experience in organizational development will be especially useful. The ability to deal with groups, especially in meetings, also will be needed. Acting as a buffer between state and local interests, an interpreter of red-tape, and a facilitator of agency relationships, the planner must be a negotiator and translator who works to identify and exploit opportunities to improve communication and coordination among diverse participants in the planning process.

The team must also include a budget expert who not only is thoroughly familiar with federal grant processes, but can contribute to local agency budget preparation, analyze budget problems, and undertake analytical accounting.⁴⁴ This person should be able to provide technical assistance to participating agencies in the areas of work measurement, forecasting, productivity analysis, cost accounting, management by objectives, and other specialized management techniques.

Finally, each staff member must be expert at providing technical assistance and knowledgeable enough for the planning unit to serve as an information clearinghouse. Each staff member must have the intuition to recognize opportunities to be useful to local decision-makers, the skills to convert these opportunities into successful experiences for the agency, and the common sense to avoid political entanglements in the process. They must be skilled in making optimal use of in-house staff resources of line agencies, and augmenting these resources with outside consultants as needed. Members of the planning staff team also must be able to communicate orally and in writing and able to meet deadlines.⁴⁵ To be effective, the team must build a reputation of

competence, objectivity, and political neutrality. Its members must be able to integrate practical and academic worlds and establish close, trusting, professional relationships with criminal justice personnel at many operating levels. In short, the planning team must be perceived as useful--"demonstrating, not asking for, professional recognition of their competence."⁴⁶ There must be a service commitment. Planning is, after all, a "helping profession."⁴⁷

3.4.8 Education and experience of the planning staff

Three questions must be considered in recruiting both the planning unit director and his staff: (1) What level of education is necessary or desirable? (2) What kinds of experience are most useful? And (3) should planners be recruited from within or outside the local jurisdiction? Survey information and experience provide some guidelines in all three areas.

The Arthur D. Little survey revealed that 90 percent of local criminal justice planners have achieved a bachelor's degree and almost 50 percent have a master's or some other advanced degree.⁴⁸ A survey of 66 local planners conducted by the National Association of Criminal Justice Planners (NACJP)⁴⁹ support this finding that, as a group, local planners are well educated, and that their degrees are in subject areas that prepare them for criminal justice planning careers. It is significant, however, that the High Crime Area Survey⁵⁰ found a highly educated staff to be the least significant of seven determinants of success for local criminal justice planning units.

Many persons believe that line experience in a criminal justice agency is important because it enhances credibility with local agencies. Such experience may bring a number of unique advantages: familiarity with the needs of the criminal justice system; established relationships with agency officials; and an ability to "talk shop" with criminal justice system personnel. But the Arthur D. Little survey found that staff highly experienced in criminal justice ranked next to last in importance, and survey information shows that in practice more than one-half of local planners have not had direct line experience.⁵¹

The two primary criteria of education and experience have been applied quite differently in the planning units examined in site visits for this study. At one extreme is the Denver Anti-Crime Council, which emphasizes operational experience that reflects analytical and problem-solving skills as criteria for the selection of staff members. At the other is the Toledo/Lucas County RPU, where the director prefers to hire recent university graduates. The latter approach is justified by the fact that staff can be paid relatively low salaries, are enthusiastic and energetic, bring in new ideas, and after leaving the planning unit they are often employed in state and local criminal justice agencies where they contribute their skills to agency and city/county planning efforts. Several other sites hire the majority of their staffs directly from university degree programs

and feel that highly motivated, intelligent staff with good communication skills can be effective without prior line experience.

This mixture of opinion and practice makes it difficult to validate any specific guidelines concerning education or criminal justice experience. There is a similar lack of consensus on the issue of inside versus outside recruitment. While credibility with local agencies is regarded as the most important factor in the success of local planning units,⁵² familiarity with the local criminal justice system apparently can be gained rather rapidly. The Pilot Cities evaluation suggested that local origins was the least important of the initial criteria used to select staff for planning teams.⁵³

3.4.9 The planning unit director

The concerns for local origins in recruitment have been somewhat greater when selection of the planning unit director is considered. It has been argued that a strong background in the local environment is invaluable for the delicate position of unit leadership.⁵⁴ A local director may bring a number of important contacts to the planning unit, but restricting selection to local candidates may severely limit the available pool of applicants. Also, a candidate's previous contacts may not have been universally favorable and he or she may bring prior conflicts into the planning unit. A director chosen from outside the local environment, in contrast, may have a fresh perspective on local problems and may be more neutral than one from the local area; but an outsider may lack critical knowledge of local operations, may be viewed with hostility by locals, and may require a longer period of time to build up essential contacts.⁵⁵ Although both approaches offer some advantages, site visits showed that in five of the six sites, the Director was from the cities/counties involved. In at least two cases the director was selected following a national recruiting effort.

Other characteristics may be more important than a candidate's origins when selecting a director for the planning unit. The director, more than any other team member, determines the success or failure of the planning process. Management and administrative skills are key ingredients of successful direction of the intergovernmental, inter-agency, and cross-jurisdictional relations so crucial to effective local criminal justice planning. Equally important for capable direction of the planning unit are the less tangible interpersonal, political, and administrative skills needed to maintain a delicate balance among the jurisdictions and agencies the unit serves. Often it is up to the director to act as mediator and arbiter and to use those skills in an impartial and unobtrusive manner. The director must be able to conceptualize and "sell" action, serving as an expeditor in seeing that proposed changes are implemented.⁵⁶

The attitude of the more successful director is low-key, relying not so much on the authority of his position as on the authority deriving from competence and trustworthiness--an authority that comes

with his unique knowledge, skills, and perspective on the criminal justice system. To maintain credibility the director must avoid alliances with any one political party, agency administrator, or unit of government. He must work to achieve an equitable distribution of resources among all parties in the interest of total system needs. There is much evidence to suggest that one of the most certain ways to insure a mediocre planning operation is to hire a director for political reasons and then allow him to act on his political convictions. Line agencies must be convinced that the director and his unit can be trusted to remain impartial if planners are to have access to needed information and obtain the cooperation necessary for planning and plan implementation.

3.4.10 Appointment of the planning director

Guidelines for appointing the planning director are difficult to specify because of the great variation in administrative arrangements that exist. Nevertheless, there are some general principles that may be helpful. First, the planning unit director may be appointed either by the supervisory board or by a chief city or county executive. Each arrangement has its advantages and disadvantages. Appointment by the supervisory board may mean that the director will be closely in tune with its policies and can depend upon the support of those agencies and groups represented on the board. This approach also may insulate staff against rapid turnover due to changes in administration and fluctuating policy changes that can accompany a turnover in the chief executive. Appointment by the supervisory board, however, may limit the power of the director, especially if the board finds itself in a relatively weak position. Appointment by the city or county executive, on the other hand, is likely to bring greater authority for the director, but the planning unit leadership may be more vulnerable to changes in local administration. Also, appointment by the mayor of a large city could alienate the county or surrounding townships, while appointment by a county executive could strain relations with the city.

Appointments in the sites visited generally reflected the local power structure. In contiguous city/county jurisdictions, appointments were made by the mayors. In jurisdictions with many small cities, appointments were heavily influenced by the county executive and county supervisors. In jurisdictions consisting of a county with a major core city, the director was selected by the supervisory board which, of course, is influenced by city and county elected officials. It appears that procedures for selecting the director will reflect the political realities of the jurisdiction.

3.4.11 Promoting stability of the planning unit

Regardless of the source of the power to appoint, appointment procedures should encourage stability in tenure. Discontinuity in unit leadership can have a major impact on the success of the planning process. Much of the work of the director and the planning unit as a whole depends on the development of good working relationships

with government and line agency personnel. Their work is made difficult enough by the turnover in elected officials, the political maneuvering of local governments, and personnel changes within line agencies. The difficulty is compounded if the planning unit director changes frequently. In those localities where directors are frequently replaced, the necessary credibility, trust, and good working relations may never be developed.

Changes in unit leadership also adversely affect the productivity and effectiveness of planning staff efforts as the unit attempts to adjust the new approaches, techniques, and projects brought in by new directors. In the successful sites visited for this study, planning directors had served an average of five years and some had served since the inception of their unit. While a planning unit may not be able to retain the same director throughout, it does seem appropriate to construct appointment procedures so as to allow competent directors to continue in their position despite changes in administration.

The stability of the planning staff team also is important to the successful operation of a local criminal justice planning unit. High staff turnover brings with it a host of problems, including a lack of project continuity, disrupted relations with local government and criminal justice officials, periods of understaffing, and negative impacts on the "accumulated wisdom" of the team.⁵⁷ Team instability was a serious problem in some of the Pilot Cities, where the median length of service for a team associate was only one and one-half years. This high rate of staff turnover frustrated the development of relationships with local officials, impaired the accumulation of team experience and knowledge, and diminished the team quality of the planning staff.⁵⁸ While low turnover may be costly--since many staff members will be at the top of their pay grade--the advantages of staff stability are clear. Lower turnover creates an environment in which the planning unit may develop its expertise, build stable relations with local criminal justice and government officials, and establish itself as a viable force in the local criminal justice system.

3.4.12 Staff training

It may not be possible to hire staff with every skill necessary for all operations of the planning unit. Also, as planning unit functions evolve new skills may be needed. The need to remain abreast of new planning and analysis methods, criminal justice trends, and research efforts is further justification for ongoing staff training efforts.

Respondents to the Arthur D. Little survey indicated that training was most needed in the following skill areas: data analysis (including problem identification and forecasting); program development (including concept design, planning, and implementation); data collection and management; and program monitoring and evaluation. Staff responded that the kinds of training they would find most useful included training in

data analysis, evaluation, research methodology, quantitative methods, and budget analysis.⁵⁹

To meet these kinds of training needs, a number of programs have been developed for criminal justice planners. One of the best known is the training program developed by the Criminal Justice Planning Institute at the University of Southern California, under contract to the Law Enforcement Assistance Administration. This program provides criminal justice planning personnel with instruction in the planning process, the systems approach to planning, forecasting, problem identification and analysis, setting planning goals, plan implementation, and monitoring and evaluation techniques.⁶⁰ This Criminal Justice Planning course is now presented through a national system of five LEAA sponsored Criminal Justice Training Centers located at Northeastern University, University of Wisconsin-Milwaukee, Florida State University, Washburn University and the University of Southern California. These centers also provide related courses in Criminal Justice Analysis, Monitoring and Evaluation.⁶¹ Associated courses in Program Development and Management are now under development and will be available through the centers in 1980.⁶²

3.5 Funding Local Criminal Justice Planning

No planning organization can function without adequate financial support. And the level of resources available to a planning unit largely determines the kinds of planning that it will be able to do. Where is the money to support local criminal justice planning to come from? What guidance can be gleaned from the literature or from experience to suggest validated principles for financing the local planning effort?

Survey information describing the funding patterns of local criminal justice planning bodies⁶³ suggests considerable variety. There are differences in resources available, just as there are differences in the type of jurisdiction served (city, county, city/county, or multi-county), the type of planning body (regional planning unit or criminal justice coordinating council), and the mandate of the planning body (grants administration or broader resources planning). Variations in the size of the planning unit, the number of persons served, and the activities performed make it difficult to generate conclusions about the actual cost of comprehensive local criminal justice system planning. However, various surveys and site visit data allow informed judgment on several points.

The August 1978 survey by the National Association of Criminal Justice Planners (NACJP) produced information about funding levels,⁶⁴ as well as about staffing, which is an indirect measure of the resources available to a jurisdiction. Table 3.1 summarizes the number of professional and clerical staff in 382 local planning offices responding to the NACJP survey and Table 3.2 reports the planning budgets for jurisdictions of varying population. This survey found that nearly half of all local planning offices are staffed by either a part-time or full-time professional and 44 percent have planning budgets of less than \$50,000. Clearly, with such modest resources, these small offices

Table 3.1. Professional Staff Size by Size of Jurisdiction Served, Local Criminal Justice Planning Offices United States: 1978 N = 382

Size of Jurisdiction Served:	Number of Jurisdictions With:					# of Prof. Unknown
	Zero Professionals	One* Professional	2-4 Professionals	5-9 Professionals	10 or More Prof.	
1 million population of more		16	23	3		
750,000 to 1 million	1	7	10	2	1	
500,000 to 749,999		22	18	7	2	1
250,000 to 499,999	6	49	29	9	7	
100,000 to 249,999	8	60	22	13	10	1
Less than 100,000	3	21	13	7		1
No response	—	4	3	1	2	—
Total	18	179	118	42	22	3

* Includes those instances where there is only one part-time professional person.

Table 3.2. Population of Jurisdiction Served by the Local Planning Office by Funding Level: Number of Jurisdictions and Overall Percent* of Jurisdictions

Population	Less Than \$25,000	\$25,000 to 49,999	\$50,000 to 99,999	\$100,000 to 199,000	\$200,000 or more	Amount Unknown	Total
Less than 100,000	17 (5%)	12 (3%)	5 (1%)	-	-	11 (3%)	45 (12%)
100,000 to 249,999	24 (6%)	55 (14%)	12 (3%)	-	-	23 (6%)	114 (30%)
250,000 to 749,999	10 (3%)	45 (12%)	48 (13%)	24 (6%)	4 (1%)	19 (5%)	150 (39%)
750,000 or More	-	2 (0%)	23 (6%)	17 (4%)	16 (4%)	5 (1%)	63 (16%)
Unknown	1 (0%)	2 (0%)	4 (1%)	-	1 (0%)	2 (0%)	10 (3%)
Total	52 (14%)	116 (30%)	92 (24%)	41 (11%)	21 (5%)	60 (16%)	382 (100%)

* May not add due to rounding to nearest overall percent.

are not equipped to do the kind of comprehensive local criminal justice planning recommended here. At the other end of the scale 14 percent of the local planning offices have a professional staff complement of five or more and 16 percent have planning budgets in excess of \$100,000.⁶⁵ These planning units do have the staff and financial resources to undertake comprehensive criminal justice system planning.

The Arthur D. Little survey, which focused on jurisdictions with populations of 250,000 or more, also found a wide range in staffing and funding levels.⁶⁶ The 38 criminal justice coordinating councils responding to the survey had an average 1976 annual planning budget of \$183,000, a figure substantially above the average (\$145,753) for all 89 jurisdictions included in the survey.⁶⁷ These figures suggest that relatively modest amounts of money for planning are available even in jurisdictions with populations of 250,000 or more.

Other survey information shows that the major source of financial support for local criminal justice planning is the LEAA. According to the Arthur D. Little survey, in 1976 the federal government provided \$5 of every \$6 in local criminal justice planning budgets.⁶⁸ LEAA monies provided two-thirds of local planning offices with more than half their funding; 38 percent received 90 percent or more of their monies from this source, and thus were almost totally dependent upon the LEAA for survival.⁶⁹

But local government financial support is an important source of funds in many jurisdictions. It is significant that two-thirds of the respondents to the ADL survey and three-fifths of the respondents to the NACJP survey received some financial support from local governments. Some received money from both city and county sources. In many cases local government support for criminal justice planning is substantial. Of the sites visited for the present study, for example, Louisville receives over 95 percent of its criminal justice planning funding from local sources; in Denver this figure is 66 percent. The NACJP survey found more than one-fourth of the local planning offices received between 11 percent and 49 percent of their funds from local sources.⁷⁰ An additional 8 percent received more than one-half of their support from local sources. Although it might seem that smaller units would receive more support from local government, the NACJP found no relationship between staff size, funding level, or population and the willingness of local government to invest more heavily in local planning.⁷¹

The planning budgets of the six jurisdictions visited were examined to obtain a general estimate of the per capita costs of local criminal justice planning, and to explore the relationship between local financial participation and more comprehensive criminal justice planning. The budget comparison proved difficult for several reasons. Methods of calculating the total local criminal justice planning budget vary from one jurisdiction to another; the budgets of some jurisdictions do not reflect the significant contributions of CETA workers and student interns; and, in calculating per capita costs, populations are often no more than projections from 1970 census data.

Despite such complicating factors, some careful generalizations can be made about planning costs. For example, there clearly is a wide range in per capita expenditures for local criminal justice planning. While these differences might be attributable in part to differences in accounting procedures and in judgments about costs to be included in the planning budget, field observations support the notion that the six sites are quite different from each other. They emphasize different planning activities; they are staffed differently, in terms of staff size, aptitudes, and skills; their supervisory boards have different characteristics; and they are not all organized alike. Thus, the planning costs vary.

How, then, can a general estimate be made of what it will cost a local jurisdiction to undertake high-quality, comprehensive local criminal justice planning? Although salaries vary throughout the nation, and the size of the planning budget will necessarily vary depending upon what planning activities are to be emphasized, there are two general guidelines for estimating planning budgets. To begin, a basic staff complement of five professionals, plus supporting clerical staff, and appropriate operating expenses must be included in the budget. This is a minimum base needed to support the kind of planning described here. A planning budget of \$200,000 is probably a minimum needed to provide this level of staffing.

On a per capita basis, \$.80 per capita will produce a minimum planning budget of \$200,000 in a jurisdiction of 250,000 population. There will be variations stemming from economies of scale, since less populous jurisdictions will need to spend more per capita to finance the minimum \$200,000 needed annually. Another rule of thumb is to allocate at least 1 percent of the total annual criminal justice system expenditures to planning. This is certainly not a large percentage. Nevertheless, it will easily exceed \$200,000 in many jurisdictions.

Thus, to determine what the size of a planning budget might be, a jurisdiction should begin with consideration of a minimum of \$200,000 and modify that figure on the basis of a minimum of 1 percent of local criminal justice system expenditures.

Once an overall budget for the planning unit has been estimated, there is a need to consider sources of funding. Table 3.3, taken from the Arthur D. Little survey, summarizes the sources from which the local planning offices surveyed receive their funds. As already noted, LEAA funds represent the most significant component of the total funding package. But local funds are not only substantial, they are important to the success of the planning effort. State sources account for a very small portion of local planning budgets.⁷²

As the amount of federal assistance diminishes with changes in national priorities, local governments will have to decide whether to increase their investment in criminal justice planning. As discussed in the next chapter, evaluation of the planning effort can help local governments come to a reasoned conclusion about the value of local criminal justice planning--an assessment that not only considers short-term results, but contributes incrementally to longer-term changes in the local criminal justice system.

Table 3.3. 1976 Local Criminal Justice Planning Budget By Percent and Source

	Avg. % of 1976 Budget Supported from this Source	Organizations Receiving Some Support From This Source
1. Safe Streets Part B Planning Funds	62.0%	83 of 92 (90%)
2. Safe Streets Part C Block Funds	17.3	37 of 92 (40%)
3. Other LEAA funds (Impact or Pilot Cities, etc.)	3.3	8 of 92 (9%)
4. Federal non-LEAA Funds (HUD, HEW, etc.)	0.9	8 of 92 (9%)
5. State Funds (incl. buy-in on LEAA funds)	2.4	48 of 92 (52%)
6. City Budget Funds (incl. match for above)	5.3	34 of 92 (37%)
7. County Budget Funds (incl. match for above)	6.8	40 of 92 (43%)
8. Other Sources	1.0	8 of 92 (9%)

The NACJP survey corroborates these as the principal sources of funds.

Footnotes: CHAPTER 3

1. Gordon Raley, Criminal Justice Planning: The Coordinating Council (Washington, D.C.: National League of Cities and U.S. Conference of Mayors, 1976); Nancy Loving and John W. McKay, Criminal Justice Planning: Five Alternative Structures for Cities (Washington, D.C.: National League of Cities and U.S. Conference of Mayors, 1976); National Association of Counties Research Foundation, Regional Criminal Justice Planning: A Manual for Local Officials, Part II, "Developing a Regional Criminal Justice Plan" (Washington, D.C.: Ernst & Ernst, November, 1971); Law Enforcement Assistance Administration, Quantitative Tools for Criminal Justice Planning, edited by Leonard Oberlander, Washington, D.C.: U.S. Government Printing Office, 1975); Arthur D. Little, Inc., Local Criminal Justice Planning and Analysis: Activities and Capabilities (Washington, D.C.: Law Enforcement Assistance Administration, December 1976); National Association of Counties Research Foundation, Organizing and Reorganizing for Local Criminal Justice Planning: Five Examples, by Duane Baltz (Washington, D.C.: NACO, 1975); Robert C. Cushman, "LEAA's Pilot Cities--A Model for Criminal Justice Research and Demonstration" (cited in San Diego Law Review, University of San Diego, Vol. 9, No. 4, June 1972); Mitre Corporation, High Impact Anti-Crime Program National Level Evaluation-Final Report, vol. 1, (Washington, D.C.: Law Enforcement Assistance Administration, January 1976); American Institute for Research, The National Evaluation of the Pilot Cities Program: A Team Approach to Improving Local Criminal Justice Systems (Washington, D.C.: U.S. Government Printing Office, 1975).
2. Arthur D. Little, *supra* note 1, p. 58.
3. American Institute for Research, *supra* note 1.
4. Mitre Corporation, High Impact Anti-Crime Program National Level Evaluation--Final Report, Vol. 2 (Washington, D.C.: Law Enforcement Assistance Administration, January 1976).
5. Arthur D. Little, *supra* note 1, p. 22.
6. Loving and McKay, *supra* note 1, p. 6; and Arthur D. Little, *supra* note 1, p. 14.
7. E.K. Nelson, R.C. Cushman, and N. Harlow, Unification of Community Corrections: Program Models, National Institute of Law Enforcement and Criminal Justice (forthcoming, 1979).
8. National Association of Counties, *supra* note 1.
9. Omnibus Crime Control Act of 1970, Public Law 91-644, section 3701.
10. Advisory Committee on Intergovernmental Relations, Safe Streets Reconsidered: The Block Grant Experience 1968-1975 (Washington, D.C.: U.S. Government Printing Office, January 1977).

11. Denny Weller, an experienced planner from Denver who has written extensively about criminal justice planning, suggests that a professional staff of five is the minimum required for full-fledged criminal justice planning in any locality. See: Law Enforcement Assistance Administration, *supra* note 1, p. 228.

12. Hennepin County Criminal Justice Coordinating Council, Joint Resolution, December 1976, p. 2.

13. This Regional Planning Unit is unusual because, as a criminal justice coordinating council, it also operates two regional projects of a staff nature. These projects are a regional training center for all criminal justice areas, and a regional criminal justice information system. According to the executive director, having these activities as part of a coordinating council has proven to be a real asset. When the costs of operating the training and information system projects is included, the local government share of the planning unit's budget is approximately 80 percent, thus reflecting the strong local support for this approach in Toledo-Lucas County. While the provision of staff services, like training and managing an information system, strengthens linkages between decision makers, the direct operation of line functions should be avoided, as it threatens to subordinate individual agencies to the planner, and to system-wide goals.

14. National Association of Counties Research Foundation, Regional Criminal Justice Planning: A Manual for Local Officials, Parts II, III, IV, and V (Washington, D.C.: NACO, 1975); Loving and McKay, *supra* note 1; Arthur D. Little, *supra* note 1, National Association of Counties, Organizing and Reorganizing, *supra* note 1.

15. Loving and McKay, *supra* note 1.

16. Figure 3.1 draws heavily from information in Loving and McKay, *supra* note 1.

17. *Op. cit.* *supra* note 10, p. 67.

18. Arthur D. Little, *supra* note 1, p. 27.

19. Loving and McKay, *supra* note 1, p. 11.

20. *Id.*, p. 13.

21. *Id.*, p. 18.

22. *Op. cit.* *supra* note 10, Part B: "Case Studies"; Nancy Loving 1975 Survey of Local Criminal Justice Planning (Denver, Co: NLC and USC Criminal Justice Project, 1975); and Arthur D. Little, *supra* note 1.

23. Raley, *supra* note 1, p. 3.

24. Arthur D. Little, *supra* note 1, p. 11. See also, LEAA Office of General Counsel, legal opinion 75-54.

25. Mark Cuniff and Janice Z. Stiers, Survey Analysis of Local Criminal Justice Planning (National Association of Criminal Justice Planners, January 2, 1979), p. 10.
26. Raley, supra note 1; National Association of Counties, supra note 1; and Arthur D. Little, supra note 1.
27. Arthur D. Little, supra note 1, p. 25.
28. Raley, supra note 1, pp. 16-17.
29. City of New Orleans, Mayor's Criminal Justice Coordinating Council, Ordinance No. 4449, December 1970, p. 5.
30. Loving and McKay, supra note 1; National Association of Counties, supra note 1; Arthur D. Little, supra note 1; and Loving, supra note 19.
31. Op. cit. supra note 12, p. 2.
32. Arthur D. Little, supra note 1, p. 18.
33. Raley, supra note 1, pp. 15-16.
34. Arthur D. Little, supra note 1; Loving, supra note 1; Advisory Committee on Intergovernmental Relations, supra note 10. Boards are broadly representative in part to meet LEAA requirements.
35. Arthur D. Little, supra note 1, p. 20.
36. Louisville and Jefferson County Criminal Justice Commission, Joint Resolution, December 1976, p. 3.
37. Raley, supra note 1, p. 32.
38. Id., p. 8.
39. Id., p. 16.
40. LEAA, supra note 1, p. 26.
41. Raley, supra note 1, p. 18.
42. Arthur D. Little, supra note 1, p. 39.
43. LEAA, supra note 1, p. 228.
44. Id., p. 230.
45. Id., p. 231.
46. Id., p. 229.
47. Ibid.

48. Arthur D. Little, *supra* note 1.
49. National Association of Criminal Justice Planners, Responses to Training Needs Questionnaire Administered at Bi-Annual Conference, Reno, Nevada, February 20, 1976.
50. Arthur D. Little, *supra* note 1, p. 42.
51. *Id.*, p. 43.
52. *Id.*, p. 58.
53. American Institute for Research, *supra* note 1.
54. *Id.*, p. 49; Mitre Corp., *supra* note 1, p. 66, and Timothy J. Flanagan, John H. Laub, and Anthony F. Pasciuto, "Local Crime Analysis: Structure and Function", Quantitative Training for Public Policy Analysts, Technical Assistance Monograph #1 (Albany, NY: State University of New York, January 1977).
55. Flanagan, *id.*, pp. 27-29.
56. LEAA, *supra* note 1.
57. Arthur D. Little, *supra* note 1, pp. 44-58; American Institute for Research, *supra* note 1, pp. 58, 69, 173; and Mitre Corp., *supra* note 1, p. 66.
58. American Institute for Research, *supra* note 1, pp. 58-59. The High Impact Program evaluation also found team transience to be a problem.
59. Arthur D. Little, *supra* note 1, pp. 47-48.
60. University of Southern California, Criminal Justice Planning Institute Instructors Manual (Washington, D.C.: Law Enforcement Assistance Administration, revised 1976).
61. American Institutes for Research, Evaluation Training Program Materials: Instructor Guide, Student Guide and Text (Washington, D.C.; Law Enforcement Assistance Administration, 1978) and Washburn University, Criminal Justice Analysis, Instructor Guide, Participant Guide and Text (Washington, D.C.; Law Enforcement Assistance Administration, revised 1979).
62. Law Enforcement Assistance Administration has awarded contracts to American Institutes for Research (Contract J-LEAA-025-78) and American Management Association (Contract J-LEAA-033-78) for the development of the program development and the management courses, respectively.

63. Arthur D. Little, *supra* note 1; Advisory Committee on International Relations, *supra* note 10, and Cunniff, *supra* note 24.
64. Cunniff, *supra*, note 25.
65. *Ibid.*
66. Arthur D. Little, *supra* note 1.
67. *Id.*, p. 36.
68. *Id.*, p. 37.
69. Cunniff, *supra* note 25, p. 6.
70. *Id.*, p. 8.
71. *Ibid.*
72. *Id.*, p. 6; Arthur D. Little, *supra* note 1, p. 37.

CHAPTER 4

EVALUATION OF LOCAL CRIMINAL JUSTICE PLANNING

Evaluation of the planning process is important to criminal justice planners, supervisory board members, and other local decision-makers for several reasons. First, evaluation can determine whether criminal justice planning has accomplished what it set out to accomplish. Did the activities of the planning process implemented by the board and staff result in improved analyses of criminal justice problems, greater coordination, and better quality programs? If so, was local criminal justice decision-making improved? Evaluation can help to answer these questions.

Evaluation can also suggest needed improvements in planning objectives and activities. For example, evaluation can suggest which planning objectives should be refined or deleted, which staff activities should be expanded, dropped, or assigned to other agency personnel, and what additional activities would facilitate greater use of planning products. Answers to these questions are essential if the planning process is to be useful to local decision-makers.

Finally, evaluation can provide information on the relative utility of criminal justice planning as compared with other services provided by local government. Given the scarcity of resources at the local level and the public's growing dissatisfaction with the local tax burden, proof of the value of criminal justice planning to local government may be needed for political reasons. Evaluation results can assist local decision-makers as they consider difficult issues involving program adjustments, cutbacks, and terminations.

In summary, even as criminal justice planners, board members, and other local decision-makers have long been encouraged to evaluate programs and projects for planning purposes, so it is necessary to evaluate the planning process itself. This chapter presents a framework and a set of sample questions and measures to assist local policy-makers and planners in assessing and improving their criminal justice planning process.

4.1 Framework for Evaluating Local Criminal Justice Planning

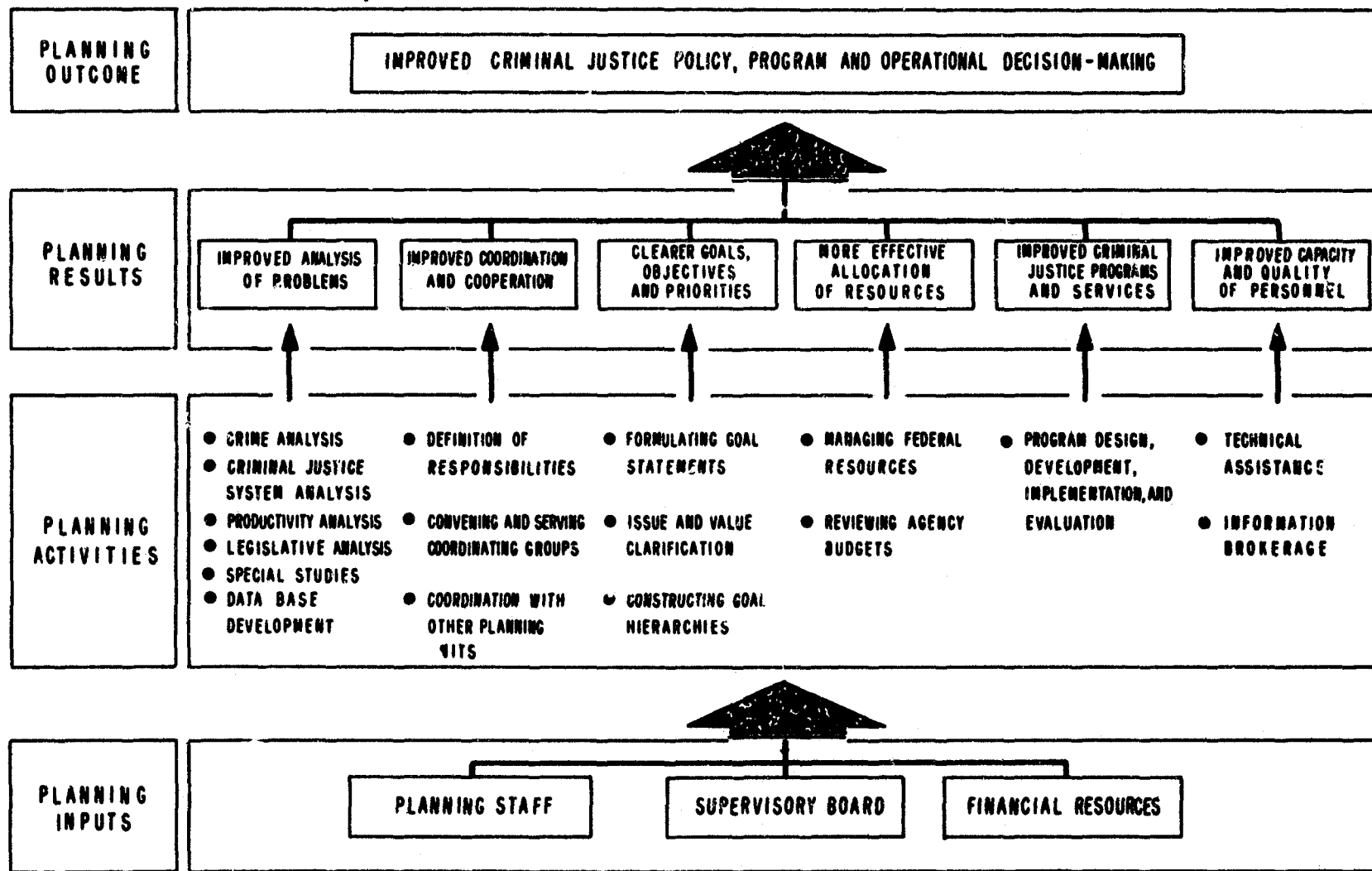
The proposed framework, graphically depicted below, reflects the familiar "systems" approach that has proven useful in evaluating programs and projects of all types.



This approach focuses on a description or assessment of relationships among the inputs, activities, results, and outcomes of any criminal justice planning effort. Figure 4.1 applies this evaluation approach to the hierarchy of planning purposes, objectives, and activities presented in Chapter 2.

Figure 4.1

FRAMEWORK FOR EVALUATING LOCAL CRIMINAL JUSTICE PLANNING



Use of this evaluation framework involves several steps or tasks: (1) definition of inputs, activities, results, and outputs; (2) formulation of agreed-upon evaluation questions useful to planning staff, its board, recipients of planning services, and local decision-makers; and (3) development of agreed-upon sample measures or indicators for determining whether planning inputs led to the activities which, in turn, produced the desired results and outcomes.

Examples of inputs include staff and supervisory board efforts and financial support. Activities include planning for the use of LEAA funds and monitoring grant-funded projects, developing and analyzing city crime profiles, convening task forces for system-wide problem identification, undertaking productivity studies, providing local officials with legislative analyses, and so on through the list of planning activities described in Chapter 2. Results may be short-term or long-term. Short-term results include concrete planning products at policy, program, and operational planning levels (for example, an annual criminal justice plan, a correctional facilities master plan, a revised county budget, innovative school policies for dealing with truants, policy and procedure manuals for criminal justice agencies, and agreements emanating from monthly coordination meetings between major criminal justice agency officials). Long-term results correlate with the achievement of planning objectives detailed in Chapter 2 (for example, improved coordination, clearer goals and objectives, and improved capability and quality of personnel). Both short-term and long-term results are directed at the outcome of improved decision-making in policy, program, and operational areas.

The importance of negotiating the questions to be answered and measures to be utilized with those who will eventually use the evaluation information cannot be overstated. What is perceived as useful to one member of the system (the county administrator, for example) may be seen as meddling or threatening by another (such as the sheriff). Early development of consensus on the questions to be examined is critical if the evaluation is to be successfully implemented. Sample questions and measures that may be useful in evaluating the local planning process are provided in the sections that follow.

4.1.1 Evaluating planning inputs: sample questions and measures

Major questions for evaluating criminal justice planning inputs center around the skills, numbers, and capabilities of planning staff; the characteristics of the supervisory board; and available resources (including money, organizational relationships, and legislative authorization). With respect to staff characteristics, as detailed in Chapter 3, the following appear to be most critical: use of the team approach; a good mix of technical, financial, analytic, and communication skills; and perceived neutrality, credibility, and usefulness. Perceived neutrality and utility can be measured by asking recipients of planning unit services whether staff members provide useful assistance and undertake their activities in a professional, non-political, and neutral manner. Technical or analytic and communication skills can be measured by a review of products, such as a criminal justice plan, for completeness, accuracy, and clarity.

Staff input can be indirectly assessed by using the following kinds of measures:

- Number and quality of special studies undertaken by staff and presented to decision-makers;
- Degree to which special studies' recommendations are implemented by the board or by agencies requesting studies;
- Degree to which the criminal justice plan has been implemented;
- Degree to which requested technical assistance results in policy and operational changes in agencies, particularly when recommendations are not legislatively mandated.

A second major determinant of effective planning is that of supervisory board characteristics, including composition and degree of involvement. The critical importance of broad-based representation (elected officials, criminal justice personnel, and community representatives) has been widely documented.² Without such broad representation, the supervisory board cannot achieve effective agency coordination, comprehensive planning, or the development of a public constituency for criminal justice activities. Measures for broad representation include the following:

- Extent to which individuals, agencies, and groups are represented in board membership;
- Number, function, and level of representation at board meetings;
- Degree to which board meetings involve cooperative planning ventures beyond application for LEAA funding.

Sample questions related to representation include:

- Is the board dominated by one criminal justice system component?
- Are all criminal justice system components represented on the board?
- Are other major planning agencies (such as community board, school board, CETA) represented on the board?
- Does the "public" attend meetings?

Questions and measures related to supervisory board member involvement in the planning process provide an indication of commitment to the

planning process, a key factor in successful implementation. Sample questions include:

- To what degree are planning meetings attended by heads of agencies rather than their deputies or alternates?
- What kind of guidance does the supervisory board give staff in the planning process?
- To what degree does the supervisory board merely react to staff suggestions?
- To what degree is board policy articulated?
- What is the extent of political support given to staff?

Sample measures for evaluating inputs related to resources include:

- Planning budget (total);
- Proportion of budget contributed by local government;
- Existence of final legal authority.

Related questions that might be considered are:

- Is the size of the budget sufficient to support planning objectives decision-makers wish to emphasize?
- Are staff resources being used to support LEAA grants administration or more comprehensive planning?
- Where are planners located organizationally--close to or far from key decision-makers?

As with staff resources, the evaluation questions and measures suggested above reflect the importance of moving beyond specific mandates of LEAA legislation to engage in system-wide criminal justice planning. This emphasis is even more apparent in the sample questions and measures suggested below for evaluating planning activities.

4.1.2 Evaluating planning activities: sample questions and measures

Although previous chapters of this report have emphasized the desirability of expanding the local criminal justice planning process beyond activities associated with federal grants administration, some important evaluation questions are associated with the grants administration aspect of planning. Clearly, the efficiency and effectiveness of a local criminal justice planning unit should be assessed by considering such factors as: perceptions of the degree of "red-tape" in grant processing; extent and quality of technical assistance provided by staff in developing grant applications; and the degree to which planning staff monitor fiscal and programmatic activities in a manner that is useful to both project administrators and supervisory board members.

Tactics for developing and implementing similar measures for grants administration activities should be part of the overall evaluation strategy. Several publications are available to assist in the development of such measures.³ This section, however, emphasizes evaluation questions and measures associated with comprehensive planning activities rather than grants administration.

For purposes of formulating evaluation questions and measures, some of the local planning activities shown in Figure 4.1 can be grouped as follows:

● Analytic Activities:

- crime analysis
- system rate analysis
- productivity analysis
- budget analysis
- program evaluation

● Service Activities:

- grants management
- technical assistance
- issue clarification
- conflict resolution
- coordination
- information brokerage

One general set of evaluation questions relates to both of these groupings and should be considered in any evaluation of planning activities: Did the activities pursued lead to the desired objectives? Why or why not? What short-term and long-term results were produced?

Two sample evaluation measures for determining the relationship between the analytic tasks of the planning process and the desired results are (1) the number and (2) the perceived utility of analyses performed. Utility can be determined on the basis of responses to the following types of questions:

- Is the analysis responsive to questions generated by decision-makers or by other potential users of the analysis?
- Are the approach and the methodology appropriate for meeting

the objectives of the analysis? Is the rationale for selecting these indicated, and is it well supported?

- Are the statistical presentations given in the analysis objective, or do they reflect an implicit or explicit bias?
- Are the quantitative techniques employed (e.g., statistical tests of significance) appropriate for the analysis?
- Are qualitative factors, particularly those relating to constraints on the analysis, clearly delineated?
- Are the recommendations reasonable in light of analytic findings?

In some instances, answers to questions such as these must be provided by individuals with specialized technical expertise. In other cases, however, a careful reading of the documentation is sufficient.

Measures for evaluating service activities are more difficult to formulate, from both conceptual and technical standpoints. These measures must reflect the value of services, such as technical assistance or conflict resolution, as judged by the recipient agency or agencies. Periodic surveys of agency personnel can be conducted to obtain qualitative ratings of the utility and timeliness of services received. Agency staff who benefit from service activities cannot be expected to recall all of the specific instances in which local planning unit services were rendered during a given period. For example, a suggestion originating in a local planning unit that results in improved efficiency in some aspect of an operating agency may easily be overlooked by agency personnel if they are simply asked to recount and rate all services they received during the past year. It is up to the planning agency to document services provided so that when a survey is conducted, specific services can be mentioned in the survey instrument.

Additional measures for evaluating planning activities of both staff and supervisory board members may be categorized as process-oriented or product-oriented.

Examples of process-oriented measures include:

- Proportion of staff time dedicated to planning activities (as opposed to administration);
- Degree to which the supervisory board members recognize that a planning process model is in operation;
- Degree to which a planning process model guides the board decision-making process;
- Degree to which the board functions as a forum

for reviewing all local criminal justice expenditures beyond LEAA dollars;

- Amount of time in supervisory board meetings devoted to discussing goals, problems, forecasts, and issues (as opposed to distribution of funds);
- Degree to which the board requests and uses staff analyses.

Product-oriented measures can be derived from the following:

- How clearly and concisely detailed are problem statements in the plan, or those developed in special studies, and how well are such statements supported by the data?
- Are the goals and objectives articulated in the plan responsive to problems identified?
- On what grounds are strategies formulated for filling the gap between problem statements and goals and objectives?
- Has the full range of available resources been analyzed in generating or selecting alternative methods of implementing strategies through specific projects and programs?
- To what extent are plans implemented? (If 95% of plans remain on the shelf, then the planning activity was probably too far removed from the needs of the criminal justice community.)
- Which projects are evaluated? Have resources dedicated to project evaluation been sensibly allocated? How is information used by staff in redefining the current situation?
- To what extent does the planning process reflect an examination of system-wide problems and alternatives in formulating specific plan recommendations?
- Does the plan include an implementation timetable and estimates of costs of implementation? Are future contingencies and possible barriers to implementation explicitly recognized and discussed?

4.1.3 Evaluating planning results and outcomes: sample questions and measures

The more significant evaluation questions having to do with planning results and outcomes relate to the degree to which the objectives

and overall purpose of the planning process were met and at what costs. Specifically, did the analytic, service, and comprehensive planning tasks described earlier lead to the accomplishment of stated objectives? If so, to what degree did the objectives contribute to the overall purpose of improving policy, program, and operational decision-making?

As implied in the previous section, one indication that activities did result in achievement of objectives is the existence of concrete products--an annual plan, a study, an evaluation report--that were used by decision-makers. Both the quantity and the quality of such products should be assessed by expert evaluators as well as by users of the products.

Evaluation of planning objectives that typically are not documented (such as "improved coordination" or "improved criminal justice programs") may prove more difficult. Sample measures for these and similarly less quantifiable objectives are suggested below.

● Improved Analyses of Criminal Justice Problems. Measures of improved analysis include the degree to which decision-makers utilize projections, evaluations, and other data made available by staff. The ability of information systems to provide data describing offender flow and system performance is another measure of this result.

● Improved Cooperation. Measures of cooperation should focus on the ability of the planning unit to build a "system" from disparate segments of police, courts, corrections, and the community. Documentation of instances in which the planning unit is involved in dispute resolution across departments is an important source of measures of this result.

● Clearer Goals and Objectives. Measures of this objective include the existence of a local criminal justice plan with goals and objectives stated in terms that are measurable, data-based, and system-oriented.

● Improved Allocation of Resources. This is perhaps the most important outcome on which the expanded activities of planning units can be judged, as well as one of the most easily quantifiable. As planning units become more involved in productivity and operating procedure studies, local governments will be able to assess the payoff on investments in a particular project. For example, the analysis leading to new court procedures mentioned in Chapter 2 led to a savings of approximately \$300,000 a year in police manpower. This was a concrete benefit to the community derived from planning activities. Indeed, without the analysis and its outcomes, local governments might have been faced with a significant financial outlay for additional police services.

● Improved Programs and Services. Measures of program quality deal with the quality and capabilities of program staff; coordination among various program elements; use of program design features that have proven

successful elsewhere; and performance in the delivery of program services.

● Improved Capability and Quality of Agency Personnel. This objective can be measured by considering changes in agency use of research and evaluation findings; by the amount and type of training received by personnel; by an increase in delivery of technical assistance; by an increase in provision of information; by the extent to which personnel have acquired and use new techniques and knowledge; and by more indirect indicators of job satisfaction such as number of sick days taken and requests for transfers.

The most significant outcome deriving from achievement of the six planning results (referred to as objectives in Chapter 2) is improved criminal justice decision-making. Thus it is important to determine whether and how such an improvement came about. The major source of information regarding improved decision-making is decision-makers themselves--those persons who are supposed to be assisted by the planning process. The utility of periodic surveys of local decision-makers has already been noted. Such surveys have been conducted by at least three local planning units in the United States.⁴ In these surveys, various decision-makers who should have been affected by the planning program (county commissioners, mayors, judges, district attorneys, sheriffs, probation officers, city managers, health officials, etc.) were polled to assess their awareness of the local criminal justice planning process and their perceptions of its utility. These surveys assessed the performance of the planning units on diverse functions including general research, problem identification, comprehensive plan development, provision of technical assistance, program evaluation, and coordination. Finally, these surveys requested suggestions regarding additional activities the planning process should include. In each case, survey results provided important information for evaluating the effectiveness of the planning process, for improving that process, and for demonstrating its utility as a local government function.

A final measure of the success of local criminal justice planning may be the extent to which the planning process has become institutionalized within the local government structure. The institutionalization of criminal justice planning is important to the continuity of planning over time, to the establishment of credibility (and thus to the effectiveness) of the planning unit, and to the match between local needs and planning unit responses. Measures of institutionalization include:

- Amount of local general fund support
- Location of unit (access to chief executive)
- Ability to generate changes in agency budgets
- Degree to which planning unit analyses receive policy-makers' attention
- Acceptance by police, courts, and correction agency administrators

- Ability to survive local elections
- Prognosis for continued existence without federal funding
- Staff turnover
- Extent to which unit is viewed as source of technical assistance
- Degree to which unit obtains authority by legislation (rather than executive orders and contracts)

4.2 Summary

Evaluation of the local criminal justice planning process is important for feedback regarding effectiveness, for ideas on defining the process, and for political reasons. A framework for evaluation based upon questions and measures regarding inputs, activities, results, and outcomes of local criminal justice planning was introduced. The importance of focusing evaluation on the utility of criminal justice planning has been highlighted. At several points, it has been emphasized that the planning process, its products, its staff capability, and its policy board involvement should be assessed. The experience of planning units that have attempted such assessments supports the utility of planning process evaluation.

In an era of scarce resources and increasing emphasis on "cutback management", local government must provide more for less. Effective criminal justice planning can assist decision-makers in meeting this challenge. Evaluation of criminal justice planning can help decision-makers to work toward increased effectiveness.

Footnotes: CHAPTER 4

1. This framework, used by LEAA-funded Criminal Justice Training Centers, was developed by the American Institute for Research, Washington, D.C., 1978.
2. Raley, Gordon, Criminal Justice Planning: The Coordinating Council (Washington, D.C.: National League of Cities and U.S. Conference of Mayors, 1976), pp. 15-16.
3. The National Institute of Law Enforcement and Criminal Justice of the Law Enforcement Assistance Administration in 1975 sponsored the following: Quantitative Tools for Criminal Justice Planning; Intensive Evaluation for Criminal Justice Planning Agencies; Monitoring for Criminal Justice Planning Agencies. All of the above are available from the U.S. Government Printing Office.
4. Planning units that have conducted evaluations of their activities include:
 - a) Mid-Willamette Valley Council of Governments, Salem, Oregon. Contact person: Steve Cleveland.
 - b) Southern Regional District Allocation Committee, Las Vegas, Nevada. Contact person: Juanita Blakenship
 - c) Hennepin County, Minneapolis, Minnesota. Contact person: John O'Sullivan.

CHAPTER 5

SUMMARY COMMENTS – GUIDELINES FOR LOCAL CRIMINAL JUSTICE PLANNING

Previous chapters have described the gradual evolution of local criminal justice planning from a strategy of grants management to a much broader concept involving planning for all aspects of the local criminal justice system. Early local criminal justice planning typically focused on program and project development, grants administration, and program evaluation for LEAA-sponsored efforts. This role proved valuable for the localities in several ways. First, it spurred the development of planning capabilities in hundreds of locations across the country. Second, it provided for the distribution of federal funds, thereby facilitating experimentation and innovation in local criminal justice programs. And third, it demonstrated the benefits of an inter-agency and interjurisdictional criminal justice planning process.

The focus on LEAA-funded activities, however, severely restricted the range of services that a local planning agency could provide to the jurisdiction it served. Subsequent developments thus have seen the expansion of planning responsibilities to include a wide array of activities. The six sites visited for this study exemplify this broader role for the local planning unit. Capitalizing on their unique position as interagency and interjurisdictional bodies, these planning units have been able to achieve comprehensive system-wide planning. Through system-wide analysis of crime problems, these jurisdictions and others like them have been able to institute more effective crime reduction strategies. By system-wide resource analysis and planning, more effective allocation of funds has been possible. A criminal justice planning body brings together competing interests within the criminal justice system. This enhances coordination and cooperation, both important prerequisites to planning, and promotes system balance by reducing the tendency for one criminal justice agency to act in a way that overloads another agency.

In many jurisdictions criminal justice planning has not yet evolved to this stage of development. Yet many already possess the minimum requirements for a successful planning process--the council/staff structure and general authorization for coordination and analysis activities. Such jurisdictions could move toward more advanced local criminal justice planning by following the guidelines and steps outlined in this report.

5.1 General Guidelines

Local criminal justice decision-making should be guided by planning efforts at three levels: agency planning, planning for city or county government, and comprehensive planning (interagency and intergovernmental) for the criminal justice system as a whole. The program models in this document emphasize comprehensive system-wide planning, but all three types of planning are important. Not only is agency planning essential

to agency operations, it also contributes to and is strengthened by the planning process at more comprehensive levels. Planning for the local criminal justice system as a whole thus utilizes the products of planning at the other two levels.

Planning at each of the three levels should be directed toward improving decision-making in three areas: policy (setting goals and objectives); program (selecting specific courses of action); and operations (allocating resources to implement plans). Too often, the planning emphasis at all levels is on operational decisions, at the expense of policy and program planning. Without sufficient policy and program planning, the allocation of resources cannot help but be somewhat capricious. A rational planning process, in contrast, will move logically from the articulation of objectives to the identification of strategies to achieve them and finally to the more focused operational planning involved in implementing strategies through resource allocation. A simplified version of a rational planning process would include the following steps: (1) policy planning--define planning purposes, describe current situation, identify problems, set objectives and priorities for their achievement; (2) program planning--identify and assess alternatives, select preferred courses of action; and (3) operational planning--plan for implementation, allocate resources, carryout plan. A final step involves evaluation to determine whether objectives have been met and provides the information necessary to improve the planning process in the next planning cycle.

Planning at the agency level may be undertaken by a planning unit within the agency itself. Similarly, city or county planning may be conducted by planning staff within the government unit. However, since it deals with a number of agencies and more than one unit of government, comprehensive criminal justice planning is best assigned to an independent planning body guided by a supervisory board that is broadly representative of all interested parties in the jurisdiction served. Independence and representativeness help to provide the system-wide perspective necessary for comprehensive planning, while policy direction by local persons insures greater responsiveness to local needs. Only in this way can local comprehensive planning be truly community-based --a local function deserving of strong support from both government and the community.

The jurisdiction of the planning unit responsible for comprehensive planning should encompass all local government units involved in the criminal justice process for a given population, thereby permitting planners to deal with a complete or nearly complete criminal justice system. While the unit also should have working relationships with state and federal planning agencies, as a local planning body its jurisdictional boundaries will be substate. As a general rule, a single-county planning unit is preferable where the population warrants such an investment, but small counties can effectively combine their resources to support a comprehensive multi-county planning effort that none could provide alone.

5.2 Setting Up the Planning Unit

A first step in setting up a local planning entity of the kind envisioned here is to obtain legal authorization for cross-agency and cross-jurisdictional planning for criminal justice purposes. While a planning unit may be established informally (for example, at the request of a mayor), the effectiveness of the unit is enhanced by the legitimacy accorded by formal authorization. The planning structure may be formally established by joint resolution of local governments, a joint powers agreement, a municipal ordinance, a resolution of county government, a statute, or an executive order of a state governor. Whatever form of enabling mechanism is used, its provisions should describe the location of the unit within local government, its internal organization, and its major purposes, duties, and powers. The mutual responsibilities of the planning unit and the agencies it serves should be outlined, providing planners with sufficient authority to obtain line agency cooperation in collecting the necessary data and implementing plans. By-laws also should be developed to govern the day-to-day business of the planning entity and to delineate the specific powers and duties of the planning staff and supervisory board.

Any planning unit with responsibility for comprehensive system-wide planning should be governed by a supervisory board that is broadly representative of local elected officials, criminal justice agency administrators, private citizens, and personnel of related non-justice agencies. Board membership should be specified in the by-laws of the planning unit, as should the principles governing methods and terms of appointment of members. While methods of appointment will reflect local political and organizational arrangements, there is evidence that overlapping terms of not less than one year are important for continuity in board composition. The size of the supervisory board and the use of an executive committee and task forces will be locally determined.

Since the number and qualifications of planning staff will be determined on the basis of the types of planning activities they will be asked to undertake, planning for staffing needs should be preceded by a careful thinking through of planning objectives. Different planning purposes will require a different mix of staff resources. What will be the scope of planning activities required of them? What will be the planning emphasis? What planning tasks will be undertaken by other planning staff (e.g., those in local justice agencies or city or county government)? What kinds of information will be needed? Local decision-makers, and especially the supervisory board, should invest some time in preliminary planning, or planning for planning, in order to maximize the effectiveness of their planning unit staff.

The range of services provided by a local planning unit will depend, to a large extent, on the size of the jurisdiction served and the resources available. A small staff must be extremely selective about the types of planning activities they will undertake. In some instances, a small staff can do exemplary work, but it is generally accepted that a staff of five professionals is the minimum required to carry out

comprehensive criminal justice planning as described in this report. This number, of course, may be increased as the range of planning activities expands. Activities that might be undertaken by a local planning unit include: data base development, special studies, and a wide range of analysis activities; coordinating agency efforts and mediating interagency disputes; helping agencies to articulate goals and priorities; planning for resource allocation and reviewing agency budgets; designing, implementing, and evaluating programs; and providing technical assistance and information brokerage services. A full range of planning services will require a staff with varied and complementary skills and experience. Team organization and assigning multiple functions to each staff team member can help to keep the size of the planning staff within affordable limits.

In addition to competency in the areas for which planning responsibilities are assigned, the planning staff should be characterized by credibility, neutrality, and stability. Credibility with line agencies and local government officials comes with demonstrated competence and neutrality on issues in which they are involved, as well as from the legitimacy associated with formal authorization to serve in an inter-agency and interjurisdictional role. Neutrality also can be promoted by insulating the planning unit from local politics (making staff merit system employees rather than political appointees), but it generally must be conscientiously practiced by the planning director and staff as well. Stability of the unit, essential to the continuity of long-range planning, is enhanced by protection from political involvement, by strong enabling legislation, and by efforts to institutionalize planning within the local government structure.

The development of close working relationships with local government officials and line agency personnel is a major responsibility of supervisory board members, the planning unit director, and planning staff. The planning director should be an articulate and competent professional planner with strong analytical skills and a persuasive manner. The substantial salary requirements for a top flight director represents an investment by the local jurisdiction in good criminal justice planning.

Once objectives and priorities have been set, planning activities identified, and staff needs outlined, an overall budget for the planning unit must be estimated and sources of funds considered. Typically the primary source of funding for local criminal justice planning is the federal government, but local government is a significant source in many jurisdictions. Experience suggests that local financial investments in the planning effort help to institutionalize the planning process within the general structure of local government, giving it greater stability and orienting it more directly to local issues. This suggests that federal and state financial assistance should be concentrated on enhancing local planning competencies and preparing planners for more self-sustaining operations. The financial contribution of local government then should be incrementally increased as local officials become convinced that planning does serve important local needs.

5.3 Areas for Initial Planning Emphasis

Because basic information needed for decision-making is lacking in most jurisdictions, most local criminal justice planning units must concentrate first on the development of an adequate data base. Problems in accessing data generated by criminal justice agencies must be overcome and available data examined for accuracy, completeness, and compatibility among different agencies. If access to data is not formally provided for by enabling legislation, planners must work to establish the relationships and informal understandings that will insure such access. Specific programs may be instituted to improve the accuracy and completeness of line agency data collection, to develop compatible data collection and storage systems, or to create an interagency and interjurisdictional information system. Each of these efforts is valuable in its own right, while also contributing to the data base available for planning.

Early emphasis also should be given to the description of system operations and identification of system problems. Constructing clear statements of problems and setting objectives for overcoming them will aid in directing the planning effort toward the solution of specific problems. A problem-solving orientation also will help to galvanize organizational action around visible, concrete, and attainable objectives and give plans greater relevance, credibility, and substance. Only when objectives have been clearly defined can it be determined what activities local planning should emphasize and the level of local funding it should receive. Articulation of measurable objectives also is necessary if the planning process is to be adequately evaluated.

Where possible, planning efforts should start small, build competence gradually, and work "downhill," beginning with tasks in which opportunities for success are the greatest. Planning staff and supervisory board skills can be expected to develop incrementally as both gain in experience and gradually foster the working relationships with agency and government officials necessary for comprehensive local planning. As such relationships develop, the planning unit should focus on stimulating the decision-making capacities of the cities, counties, and criminal justice agencies in its jurisdiction, helping them to better provide the services and programs for which they are responsible. The specifics of this task will need to be tailored to fit each local situation, but included may be: conducting analyses and special studies for agencies and general government; reviewing agency budgets and working to achieve resource balance; helping agencies to design and test new programs; and providing technical assistance in modernizing governmental structures and improving managerial capabilities. Technical assistance also may be directed toward increasing the productivity of agency operations, strengthening coordinative mechanisms, speeding up the transfer of new technologies and new knowledge, and monitoring program performance to improve the process of public policy implementation.

Finally, evaluation of the planning process deserves early attention if the planning unit is to compete successfully with other local

government services. The cost-effectiveness of planning must be judged in terms of both planning for new programs and planning for the improvement of existing operations. Experience has shown that evaluation, of both agency operations and the planning process, is more useful to local governments as a decision-making tool than as a form of "research." Thus evaluation should be designed to provide the information needed to support key policy, program, and operational decision-making, while also enabling incremental improvement of the planning process.

5.4 Benefits of Comprehensive Criminal Justice Planning

Planning is an integral part of informed policy-making and competent agency management. Good planning at the local level can be expected to result in improved analysis of problems; greater cooperation and coordination among agencies and units of government; clearer goals, objectives, and priorities; more effective allocation of resources; better programs and services; and improved capacity and quality of personnel.

Planning serves another important function--helping to increase public confidence in and support for the criminal justice system. Ultimately, the effectiveness of the justice system depends on the willingness of the majority of citizens to obey the law and, in cases of law-breaking, to report the crime, identify suspects, and cooperate with the prosecution. Citizen cooperation also is necessary if ex-offenders are to be successfully reintegrated into the fabric of community life. Anything that can be done to increase public confidence in the criminal justice system and support of criminal justice processes thus contributes to system performance. A coherent plan, produced by a coordinating body that speaks with a responsible voice, can soothe public fears of crime and allay concerns that little can be done about it. Evaluation of the planning process can do much to convince the tax-paying public that their criminal justice agencies are doing their job and that their criminal justice dollars are well spent.

In the aggregate, these benefits are all ways that planning can protect the integrity of the law. Planning can produce a criminal justice system that makes it unnecessary for aggrieved citizens to take the law into their own hands; which does not allow the morale of justice agency personnel to sink to the point where unethical behavior seems justified; which prevents public services from becoming so poor that courts must order closing of facilities and grand juries must expose scandals. As it comes to be recognized that crime is less a problem to be solved than it is a condition to be managed, planning is increasingly viewed as a sign of good management and good government. Planning protects the integrity of the law to the degree that it converts ideals into practice--by administering justice.

Footnotes: CHAPTER 5

1. Bruce D. McDowell, "The Future of Metropolitan and Regional Planning", in Innovation and Action in Regional Planning, prepared by the Metropolitan and Regional Planning Department, American Institute of Planners, pp. 238-242 (Urbana, Ill.: University of Illinois, Bureau of Urban and Regional Planning Research).

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