INTRODUCTORY COURSE IN CRIMINAL JUSTICE PLANNING

Southeastern
Criminal Justice
Training Center

THE FLORIDA STATE UNIVERSITY

INTRODUCTORY COURSE IN CRIMINAL JUSTICE PLANNING

INSTRUCTOR'S GUIDE

Southeastern Criminal Justice Training Center

THE FLORIDA STATE UNIVERSITY

INTRODUCTORY COURSE IN

CRIMINAL JUSTICE PLANNING

Southeastern
Criminal Justice Training Center

Florida State University

ACKNOWLEDGEMENTS

This program is supported by a Law Enforcement Assistance Administration grant (#77-TA-04-0002) to Florida State University for the purposes of providing in-service training to criminal justice planning personnel in the eight state Southeastern Region.

The program is offered through the Southeastern Criminal Justice Training Center-- Henry G. Weisman, Director; Richard L. Wilhelmy, Administrative Officer. The Center is a jointly sponsored activity of the Florida State University School of Criminology and Department of Urban and Regional Planning. The Principal Investigator of the project is Eugene H. Czajkoski, Dean, School of Criminology.

The materials contained in this program were prepared by Frederic L. Faust, Associate Professor, School of Criminology and Richard A. Smith, Department of Urban and Regional Planning, and represent both the original contributions of these individuals and adaptations of materials made available by others, including: the Criminal Justice Planning Institute, University of Southern California; the Criminal Justice Training Center, University of Wisconsin - Milwaukee; and Patricia Brantingham, Paul Brantingham, Richard Klosterman, Patricia Martin, and Steve Whitaker, Florida State University.

INTRODUCTORY COURSE IN CRIMINAL JUSTICE PLANNING

COURSE OUTLINE

MODULE NUMBER	SUBJECT
	Orientation
1	The Planning Process: An Introduction and Overview (with Individual Exercise)
2	Preparing for Planning: Strategy Alternatives
3	Analyzing the Present Situation: A Systems Approach (with Individual Exercise)
3-A	Forecasting as a Planning Tool (with Individual Exercise and Optional Session on Least Square Regression)
4	Problem Identification and Analysis (with Individual Exercise)
5	Determining Planning Goals
5-A	Group Planning Exercise
6	Developing a Plan: Programs and Projects (with Group Exercise)
7	Plan Implementation (with Individual Exercise)
8	Monitoring and Evaluation Techniques (with Group Exercise)
	Summary
	Course Evaluation
	Presentation of Course Certificates

MODULE 1

Instructor's Guide

MODULE 1

THE PLANNING PROCESS:
AN INTRODUCTION AND OVERVIEW

Southeastern
Criminal Justice Training Center

Florida State University

PLANNING PROCESS:
INTRODUCTION AND OVERVIEW

PLANNING PROCESS:
INTRODUCTION AND OVERVIEW

PART I. Introductory Information

Abstract

The purpose of this module is to introduce and familiarize participants to the planning process. A generalized model of the planning process will be presented and discussed, and this model will be utilized as an outline for the organization and content of the entire course. Since succeeding modules will make reference to this model and will be discussing the components of it in greater depth, it is important that participants grasp the rationale for the model, perceive it in overview and understand its use in different planning/problem-solving situations.

Lesson Objectives

Upon completion of this module, participants should be able to:

1. Define "planning." VA I-1
2. Identify and understand the planning process model.
3. Understand the relationship between the planning process model and LEAA planning guidelines.
4. Understand alternative uses of the planning process model for different types of planning problems and situations.
5. Modify the planning process according to the two strategies of synoptic and incremental planning.

Required Reading

Nanus, Burt. "A General Model for Criminal Justice Planning." Journal of Criminal Justice, 2 (1974), 345-356.

Cartwright, Timothy J. "Problems, Solutions and Strategies: A Contribution to the Theory and Practice of Planning." Journal of the American Institute of Planners, 39 (May, 1973), 179-187.

Recommended Reading

Hoffman, Mark. Criminal Justice Planning. American Society of Planning Officials, Planning Advisory Service Report No. 276, January, 1972.

O'Neil, Michael E., Ronald F. Bykowski and Robert S. Blair. Criminal Justice Planning. San Jose, Calif.: Justice Systems Development, 1976. Chapter 1.

National Association of Counties Research Foundation. Regional Criminal Justice Planning, 1971. Parts I and II.

PLANNING PROCESS: INTRODUCTION AND OVERVIEW*

PART II. Text

1.0 INTRODUCTION

The purpose of this module is to introduce, familiarize or review with you the process of planning. Please review the objectives for this module; these suggest the topics that we will be covering. In brief, we will attempt to arrive at a common definition of planning, identify a general process model by which planning may be undertaken, and discuss some of the alternative uses and applications of this process model that may be called for under different planning conditions and for different planning problems. The discussion of these topics will take place in the order given in the outline contained in the module notes.

VA 1-1

VA 1-2

2.0 DEFINITIONS OF PLANNING

2.1 Group Definitions

This is a short exercise for participants, to be accomplished at table groups. The instructor should ask each group to discuss

* Portions of this module have been adapted from Richard A. Smith and Richard B. Klosterman, "Planning Theory in Criminal Justice Planning" (publication pending).

among themselves and arrive at a definition of planning. About 5 minutes should be allowed for discussion. Each group should then report its definition, with discussion by instructor and other participants, as appropriate. The instructor should attempt to point out common elements in the definitions reported by participants, point out unnecessary components of the definitions (e.g., reference to specific planning techniques that may be used in conjunction with a particular problem but which are not necessarily a part of the definition), and should relate group definitions to that used in training program.

2.2 Definition Utilized in Module/Training Program

Reference to page 1-3 of participants manual for definition. What do some of the important phrases of this definition mean?

2.2.1 "planning as a continuous process"--distinguish planning as a continuous process, involving successive revisits to a problem in light of changing problem definitions and conditions affecting the problem from planning as a "one shot" effort. The latter implies that our initial interventions are completely successful and that conditions affecting the problem do not change over time so as to warrant periodic review of the problem. Discuss the likelihood of these latter conditions. VA 1-3

2.2.2 "planning as future directed"--discuss the necessity of anticipating future states that are likely with intervention (e.g., size of the criminal population) as a basis for taking present actions. If future states are undesirable (i.e., a problem),

present action may be directed toward attempting to change future states (e.g., attempts to reduce size of criminal populations) or prepare for future states (e.g., plan for more prisons, court capacities, etc.). First type of planning involves making current choices for social change; second involves current choices for the accommodation of the inevitable.

Discuss the relationship between the two parts of the definition. The more difficult it is to project events into the future and anticipate future states, the more necessary it becomes for planning to be a continuous process wherein future anticipations are revised in light of changing conditions and new information for the adjustment of present actions.

3.0 THE PLANNING PROCESS MODEL

3.1 Overview

The definition of planning implies a process model that allows for continuity, future orientation and present action. This model is presented on page 1-4 of participants manual. Instructor should review the model, "walking" through each step as it leads to each successive one (e.g., planning begins with an analysis of the present situation and attempts to project the present situation into some future time period in order to assess what conditions will be like should no action be taken. From this conceptualization of future states, potential future problems can be identified--a problem being defined as a disparity between what will be and what is desired, etc. . .). VA 1-4

The planning process model represents a logical and intuitively reasonable approach to planning and problem solving. In essence, it directs us to ask about the type and nature of problems that may arise, what we wish to do about them, what actions toward solutions are possible, which are preferable, how do we undertake these actions, and how did they work out. The appeal of the model rests on this straightforward logic and simplicity and because of this the model tends to be used by most of us on a daily basis in an intuitive manner. (Here the instructor may wish to use a simple, non-criminal justice example, to show its common use. E.g., one can think of the problem of getting up in the morning and deciding what to wear based upon weather projections and the relative ability of different types of clothing to help achieve goals of protection and comfort. While the example is trivial, it helps to reinforce the participants' perceptions of the model and the flow of reasoning.)

Each of the succeeding modules is concerned with one or more of the steps of the planning process model, exploring the relevant analytical questions and methodologies appropriate for accomplishing that step. Some of the important concerns at each step and their relationship to successive steps may be outlined as follows:

Step 1: Preparing for planning--Here the planner is concerned with developing an understanding of what is to be accomplished by planning, the clarification of a planning model and establishing procedures for planning. Relevant questions concern "Why plan?", "How do we organize for planning?", "How do we plan?", "What are

we planning for ?". These are the central organizing questions of this Module (1) and Module 2.

Step 2: Analysis of the present situation--In this step the planner is concerned with the analysis of current conditions related to crime, the criminal justice system and the environment within which these occur. Relevant questions include "What types of data and information should be gathered and analyzed in order to assess current conditions?", "What are the sources for these data?", "How are the data to be analyzed and reported?". These questions,as they relate to analysis of the criminal justice system, will be addressed in Module 3. Other data collection and analysis questions will be covered in Module 4.

Steps 3 & 4: Determining Projections and Considering System Futures--These steps of the planning process utilize the data generated in Step 2 for projecting likely future conditions. Here the planner is concerned with what future conditions will be like if "things continue as they have been," i.e., without public policy interventions. Relevant considerations include techniques for projections and the accuracy of these projections. These concerns will also be addressed in Module 3.

Step 5: Problem Identification--In this step the plan is concerned with understanding the characteristics, causes, manifestations and distributions of problems. He/she seeks to answer the questions of where particular crimes are occurring, when, how, to whom, by whom, and why, as a condition for constructing alternatives for

dealing with the problem. The framing of these questions and analytical techniques for addressing them is also the concern of Module 4.

Step 6: Setting Goals--Since alternatives are meant to be means for accomplishing particular ends, it is important that some clarification of goals, i.e., what do we wish to accomplish, is specified. The subject of goals includes goals, objectives, priorities and standards, and the logical relationship between them. Methods of goal clarification, the derivation of objectives, standards, and priorities will be covered in Module 5.

Step 7: Identification and Analysis of Alternative Courses of Action--In this step the planner is concerned with the construction of potential means for achieving goals and the analysis of their potential effects. Important questions relate to "How are alternatives devised so as to be responsive to goals and characteristics of the problem?", "What conditions must also be present in order for means to have their desired impact?", and, "What types of criteria may be employed in order to judge the relative attractiveness of means?". These questions will be addressed in Module 6.

Steps 8 & 9: Implementation--At least two types of implementation are of concern to the planner: plan implementation and program implementation. The difference between the two, the different strategies available to the planner for implementation and the questions that must be addressed in developing an implementation plan are the subject of Module 7.

Step 10: Evaluation--Here the planner's concerns focus on the purposes of monitoring and evaluation, the conditions under which different types of evaluation are apt to be productive, what to expect out of evaluation,the problems in undertaking evaluation, and the use of information generated in evaluation for further planning. These concerns will be addressed in Module 8.

3.2 Relationship to LEAA Guidelines

The planning process model should be relatively familiar, at least in outline form to most participants since it represents a process similar to that outlined in the LEAA guidelines. The correspondence between the two should be noted.

VA
I-5

The instructor should briefly review and summarize M4100:1F, paragraphs 34-42, 61. The correspondence between the content of the comprehensive and action plans and the planning process model should be emphasized as follows:

Guidelines	Planning Process Model
paragraph 34--Crime analysis analysis of crime, including trend analysis and projections	steps 2-4--Analyze present situation, undertake projections, consider alternative futures
paragraph 36 and 35--C.J. System. Analysis of organization, capacities and response	"
paragraph 36--Problem analysis. A set of problem statements reflecting data analysis and expert judgment	step 5--Identifying problems
paragraph 37-39--Establish goals and objectives, standards and priorities	step 6--Setting goals

Guidelines	Planning Process Model
paragraph 40--Multi-year action plan. A forecast of expected results and activities designed to achieve these results, including other relevant activities related to (the accomplishment) of the results, specific implementation plans and budget.	step 7--Identifying and analyzing alternative courses of action. step 8--Selection of preferred alternatives. steps 9 & 10--Planning for and implementation of plans.
paragraph 61--Evaluation. Indicate programs or projects to be evaluated and process of evaluation.	step 11--Monitoring and evaluating programs.

3.3 Appraisal and Use

Both the process model and the guidelines should be viewed as very general, abstract guides to planning. They depict the ideal stages as a continuous flow, with each step or activity naturally leading to the next and the information generated in each step providing the basis for analysis and decisions in the next. Each step then builds on previous ones in a logical and consistent manner. In this way the model is said to be one of rationality: decisions are based upon information and data properly used. This rationality is emphasized in the guidelines by the insistence that programs and projects be related to problem analysis and goals.

VA 1-6

Realistically, however, there are times when the strict interpretation and application of the model is difficult. Steps cannot be undertaken in strictly the order presented, and the activities indicated in each step cannot be fully accomplished for the full

development of succeeding steps. Consider the following examples:

1. The mayor of a city has been severely criticized by the press and the public at large as the result of a rash of rapes that have recently occurred in the city. People are concerned about the safety of the streets and are putting pressure on the mayor and police chief to do something about this problem. A number of rape-oriented programs are thus put into effect.

In this case, the decision to address the rape problem has not been made after a careful study and analysis of the crime problems of the community; rather, goal selection is made prior to analysis and projections. Analysis of the crime problems of this community might show that rape was not a particularly severe problem relative to other crimes within the city. The example is meant to illustrate problems of a strict ordering of the steps of the process model. In this instance the process began with a selection of goals, stimulated through public pressure.

2. Another example of re-ordering of the process: Officials of the state department of corrections are unable to agree on their policy directions. One group argues that the corrections system is costing too much money and that all efforts must be taken to cut back on costs. This will involve elimination of a number of programs. On the other side of the issue are those that feel that the corrections system is not doing a sufficiently good job at rehabilitation, and that an expansion of programs is necessary. According to the

planning process model, the resolution of these goal conflicts must occur before a consideration of means takes place. However, the planner may find that he can suggest means that satisfy both sets of arguments, e.g., a community based treatment system that is both less costly than standard correctional facilities and attempts meaningful rehabilitation. In this instance the planner has considered means in conjunction with ends, and is able to use means as a way of resolving goal conflicts.

3. After analyzing the crime problems of the state, the policy board of an SPA decides that the number one priority of the crime prevention efforts of the state should be in the area of juvenile delinquency, and that delinquency should be prevented before it occurs. The planning staff of the SPA thus attempts to gather information related to the causes of delinquency as a way of constructing alternative projects and programs. It finds, however, that there are no firm answers as to why and how juveniles may become delinquent. Competing theories exist, each of which may suggest different approaches to the problem. Thus, while the staff may be able to suggest a number of different projects, they are at a loss to analyze the potential effectiveness of these projects in order to make a selection.

The problem is meant to illustrate the inadequacies of current levels of knowledge for attacking some problems. How does the planner address this situation?

Generally two types of problems can be identified which may require modification in the use of the planning process model.

These are knowledge problems and process problems.

3.3.1 Knowledge problems--Knowledge problems refer to the inadequacies in our level of understanding about particular events. In general the planning process model assumes that the planner is able to adequately study the present situation and make projections of likely future states as a means of identifying future problem conditions. The difficulty in making these projections will vary according to the time period over which projections are to be made, the particular events being projected and the historical patterns that these events have followed. The hazardous nature of projections means that the identification of likely future states may be problematical. The planner cannot be certain that the events will be identified as future problem conditions will, in fact, occur to the degree or magnitude that are represented in his projections. One obvious implication of these difficulties is that problems may be far greater or fewer than is suggested and current planning decisions will thus be made on the basis of faulty or inaccurate information.

VA
1-7

The planning process model also assumes that problems can be studied and analyzed to a degree that is sufficient to understand their occurrence, distribution and causes. This type of information is necessary for us to be able to think intelligently about alternatives that are addressed to the problem. In reality, however, many problems are very poorly understood, both as to the factors causing and maintaining them, and to their magnitude and distribution.

While our knowledge of some problems may be increased by further data collection and analysis, this may not always be the case. Similarly, the time and effort involved in further analysis may be impractical, given the demands for action and the time and resource constraints placed on the agency. Thus, the planner is faced with the necessity of having to construct alternatives with little understanding of the problem and little ability to anticipate the potential effects of his alternatives on the problem and other social conditions. Better alternatives may exist that he is not able to formulate clearly.

The analysis of alternative courses of action is an attempt to predict the effect that alternatives will have on a problem. Given that some problems may be very poorly understood, however, the attempt to hypothesize relative effects will be fairly incomplete and potentially inaccurate. In the ideal, planners may wish to have an accurate simulation model that describes the problem situation and the factors affecting it so that changes in these factors can be tested for their impact. Without these models the planner is dependent on intuition, expert opinion, or reference to similar alternatives attempted in other locations. While each may provide him with some information, the impact of any given alternative may still be relatively unknown. As a result, the planner may reject potentially effective programs and suggest those whose effects on the problem and other social conditions may actually be negative.

The extent to which these types of knowledge problems occur is dependent upon the types of crime problems with which we are dealing. Some problems are more complex, less routine, have been studied less than others. While we all recognize this, the important question is: "What do we do about it in terms of planning?" The planning process model, as stated, gives us little guidance other than to suggest that we gather information. When do we stop gathering and analyzing information and what steps do we take to ensure that planning with limited knowledge and information will not be a disaster? These questions are related to process problems.

3.3.2 Process problems--Process problems are meant to refer to problems created by the strict interpretation of the flows in the planning model. A literal interpretation of the model suggests each step taken in turn. However, reality suggests that this is not always possible and that planners should be able to reformulate the general model, as necessary, to respond to particular circumstances.

VA
I-8

Some changes in the process are common-sensical and can be indicated by providing a few feedback loops in the model. For example, it is difficult to think of the selection of preferred alternatives without also thinking about problems of implementation. The difficulties of implementation may make otherwise effective alternatives practically useless. Similarly, evaluation is not an activity that takes place solely after a program has been

implemented. Evaluation must be planned so as to ensure that appropriate data are collected and experimental conditions met. These activities are part of planning for implementation and also can be indicated by a feedback loop on the model.

Other process problems derive from political considerations that may be unique to particular circumstances. Thus, the process may begin with a consideration of goals rather than analysis of the present situation. We have already noted that means and ends may not always be considered in isolation. Political situations may cause planners to seek means that can satisfy diverse and conflicting ends. Similarly, planners may suggest that the consideration of goals is a fruitless exercise. Why address problems for which we can do nothing?

Other process problems are created by knowledge problems. For example, the difficulty in making projections of future events may be aided by information gathered in the problem identification and analysis step. (Knowledge of criminals or victims associated with a particular crime may help in refining projections by allowing reference to the population being affected in the projection.) The amount of time and energy devoted to any particular step is also a process problem created by knowledge problems. When and under what conditions do we opt for less problem analysis and more evaluation or vice versa? For particular types of crime problems, it can be argued that many of the analytical steps of the model can be cut relatively short, with greater emphasis placed on the evaluation of programs.

The implications of what is being stated is that planning is not a simple rote exercise that can be thoroughly guided by one particular set of rules. The planning process model represents a beginning point for planning, setting out some of the general types of activities that should be addressed. The ways in which they are addressed are adaptable.

3.4 Synoptic versus Incremental Planning

Two styles for utilizing the planning process model in ways that are responsive to the knowledge and process problems indicated above are represented in the synoptic and incremental approaches. VA I-9

The synoptic approach to planning is based upon a reasonably thorough understanding of a problem and/or the ability to understand the problem through further data gathering and analysis. When problems are well understood the generation of alternative means for dealing with the problem can be readily accomplished and the impacts of these alternatives can be readily analyzed. Under these conditions the planner is able to formulate programs that are, in fact, appropriate responses to the problem. Since problems are likely to have multiple causes, the planner is able to construct programs aimed at these different causes, and implement them in an integrated and well coordinated manner so as to have maximum impact on the problem. In the extreme, sufficient knowledge of a problem allows the planner to undertake long-range planning involving large scale social change. In effect, the synoptic approach states that if problems and the conditions surrounding them are knowable

and predictable, there is no reason for not doing whatever may be necessary for solving the problem.

The incremental style for planning involves an altogether different approach. This strategy rests upon the assumption that many problems are not understood very well, and that as a result, both the formulation of alternatives and the analysis of their impacts is extremely difficult. To meet these conditions, the planner adopts a strategy that allows him to take actions within a highly uncertain environment. Thus, rather than attempting to solve problems in their entirety, he may focus only on small aspects of a problem that he can more readily perceive. Rather than looking for solutions, the planner attempts to make small improvements in the existing situation, through incremental change. Thus, programs are designed to respond to parts of a problem, and the problem is successively attacked over time in a series of program adjustments and evaluations.

The incrementalist's approach is based upon addressing the question of "What does work?" rather than the synoptic question of "What will work?" Since problems are poorly understood, and the conditions surrounding these problems may change over time in unknown ways, the incrementalist planner is unable to assess accurately the positive and negative effects of alternatives prior to implementation. In order to minimize negative effects and the costs of resources for programs that may not be effective, programs are implemented in an experimental fashion. A heavy

emphasis is placed on evaluation, and small scale changes are made to programs as a result of evaluative information. Thus, incrementalist plans are not likely to be long-range solutions to problems, but rather short-range and continuous efforts at modifying existing conditions.

In addition to being responsive to knowledge problems, the incremental strategy is responsive to political problems. The synoptic strategy is more likely to rest upon consensus over goals and means since political conflict is likely to operate against the commitment of large amounts of resources over extended periods of time. Where political conflicts exist and diverse demands are made for resource commitments, the incremental strategy may be more effective, involving only small scale changes, fewer resource commitments and fewer threats to partisan interests.

The choice of approaches depends heavily on the nature of the problems being addressed and the political environment with which planning takes place. Where problems are routine or are relatively non-complex so that they are well understood, where experience in dealing successfully with similar problems has occurred, and where the political environment is characterized by a relative consensus on goals and means, the synoptic approach appears appropriate. In terms of the planning process model, this approach leads to a greater emphasis on the analytical stages of the model, concerned with problem analysis and the explication and testing of alternatives, i.e., finding out what will work. The model may

be used in a relatively linear fashion. The evaluation stage of the model is less important, and less emphasis is placed in this stage since the characteristics of the problem are known and the planner is more likely to produce the "correct" solution.

Where problems are not well understood and are not readily susceptible to further analysis and understanding, where the potential outcomes of alternatives are not fully perceived and understood, and where diverse demands for different program efforts exist, the incremental approach may be more appropriate. In terms of the planning process model, this implies relatively less emphasis on problem analysis stages and a less linear interpretation of the model. Problem analysis is not forsaken. Rather, excessive time and energy is not devoted to gather new data and analysis of these data when this is beyond the capacity and time constraints of the agency. Alternatives are formulated that may be poorly understood, and best judgments are used to select preferred alternatives. Since the outcome of program efforts is unknown, large scale programs are not attempted, and relatively more emphasis is placed on the evaluation stage of the planning process model. The process is frequently iterated as new information is generated to modify programs.

Two examples, utilizing each of the different approaches, may be given.

1. The synoptic approach: Analysis of the present situation suggests that a problem exists in the capacity of the police

department to respond to calls and otherwise communicate with police headquarters. Analysis of this problem, as to why it occurs, is relatively straightforward, since the technical information involving communications systems is well developed. Hence, the problem is found to be in the size of the patrol area and the distance capabilities of existing radio equipment, as well as the impediments placed on the effectiveness of this equipment resulting from land and building forms. Again, the technical knowledge for overcoming these problems is well established and the potential effectiveness of different communication systems can be readily discerned. In choosing a particular alternative the police department is relatively well assured that the alternative will work, and prior testing of some of the alternatives is also possible. Thus, the process of planning proceeds without significant problems, as suggested by the planning process model. The communications problem may be "solved."

2. The incremental approach: Analysis of the present situation suggests that significant problems exist in the area of recidivism, and the state is determined to reduce rapidly increasing rates. An attempt to understand why these rates increase, however, only meets with different opinions. Police suggest that it is because the courts are too lenient; the courts suggest that the corrections system is not doing a good enough job at rehabilitation; the corrections system suggests that probation and parole are too lax, etc. Each potential explanation of the problem suggests a different

set of alternatives, the potential impact of any of them being relatively unknown. Moreover, each of the agencies involved in the problem, having their own interpretations of the causes of the problem and organizational interests, also have different preferred means. Under this situation, the choice of means and the willingness of decision makers to commit a major amount of resources to a particular alternative is unlikely. In this case, the incremental strategy, involving small scale efforts on an experimental basis, is more likely to be adopted.

3.5 Exercise

A short discussion exercise is suggested in order to give participants an opportunity to discuss the concepts of planning strategies and apply these concepts to different planning problems. Each table should be asked to discuss planning problems that have arisen in their agencies and that appear to have been handled through one of the two strategies for planning. Allow about 15 minutes for discussion. Each table should then report to the group as a whole the two examples selected to illustrate each approach. The instructor should explore with each group the appropriateness of the adopted strategy given the characteristics of the problem and the political environment surrounding it.

4.0 SUMMARY

The strongest argument for planning derives from our recognition that public affairs ought to be handled in as rational a manner as

is possible. Planning is a rational problem-solving technique that attempts to generate information about the nature of a problem and utilize this information to construct public policy responses to problems. Rationality, however, can be exercised in a number of different ways. While in one context it may be rational to expend time and money resources in studying a problem before deciding what to do about it, in another context it may be more rational to limit analysis but build in other safe-guards against inappropriate and potentially harmful actions. Thus, different strategies for planning have been developed that are responsive to different planning situations. The important question facing us is not whether to plan or not to plan, but rather how to plan.

VA
1-10

We have indicated a generalized approach to planning that is a valuable, if abstract guide. Adaptations to this generalized approach must be made according to the particular conditions surrounding planning efforts. In addition to these adaptations, planning involves the use of particular techniques for generating information and ensuring that this information is utilized in the formulation of policies and programs. Each of the succeeding modules will address these considerations within the context of the general planning process model.

PLANNING PROCESS:
INTRODUCTION AND OVERVIEW

PART III. Supplementary Information

QUESTIONS FOR CLASS DISCUSSION AND REVIEW

1. Our definition of planning characterizes it as "future directed." Is this always true? Under what conditions may planning not be future-directed?

2. Why is it necessary to view planning as a "continuous process"? Under what circumstances may it be more of a continuous process? How does iteration differ from repetition?

3. Provide an example of a "feed-back" linkage that may be indicated on the general planning process model. Under what circumstances may this feed-back be necessary, warranted?

4. Provide an example of a problem for which there may be severe knowledge problems and contrast it with one for which knowledge problems are minimal.

5. Why may the synoptic strategy be best for inducing large scale change?

6. Under what conditions may we be unwilling to induce large scale change?

7. How does the incremental strategy guard against large unintended consequences?

8. What is the definition of "rational"?

Teaching Suggestions

The instructor should be ready to handle several possible conditions when presenting this module.

1. Some class members may still have questions left over from the orientation session, or have thought of new questions in the meantime. Resolution of these questions will clear the way for issues and problems that will be discussed in this module.

2. The levels of education, training and planning experience represented in the class may be quite different, as well as their agency's approach to planning. The instructor should emphasize that both the material in the manual and the efforts of the teaching staff have sufficient flexibility to assure everyone a productive learning experience regardless of their current level of proficiency.

3. There will be variations in the amount of advance preparation done by the planners. The instructor may want to encourage the class to keep up with the assignments and to make his own recommendations regarding the relative importance of the required and recommended readings based on his knowledge of the level of proficiency of the group.

4. The instructor should be prepared to conduct the two exercises provided in the module effectively by timing

them appropriately, and stimulating class participation. The purpose of each exercise in the module context should be kept firmly in mind.

5. If the decision has been made to offer the module entitled Introduction to Futures Research Techniques, it should be mentioned in the presentation, during Section 2.1. A brief description of its purpose and content and the time and place of the session should be mentioned. If used, this module should follow Module 3, Analyzing the Present Situation: A Systems Approach.

6. The instructor may find it useful to have the planners follow the course schedule during the presentation of Section 2.1 to give a clearer notion of each module's place in the week's activities.

7. The instructor may find it useful to reproduce the general planning process model on a large piece of cardboard, covered with an acetate overlay. When discussing the necessity of feed-back loops for the model, these can be drawn on the overlay with a grease pencil.

Instructor's Guide

MODULE 2

PREPARING FOR PLANNING:

STRATEGY ALTERNATIVES

Southeastern
Criminal Justice Training Center

Florida State University

PREPARING FOR PLANNING:
STRATEGY ALTERNATIVES

PART I. Introductory Information

PART II. Text

PREPARING FOR PLANNING: STRATEGY ALTERNATIVES

PART I. Introductory Information

Abstract

Having developed concepts and approaches to planning and related them to the General Planning Model in Module 1, this module begins by addressing the problem of clearly identifying the field within which such planning is to be done--namely, the criminal justice field--and describing the characteristics of the environment within which this field exists. Based upon these concepts of the field and its environment, the function of planning in relation to the field of criminal justice is examined and generalized aims of criminal justice planning activity are identified. Against this background, the process of adapting the General Planning Model (ref. Module 1) to the needs of the criminal justice field is addressed, by identifying the implications of different planning goals for criminal justice planning strategy formulation. In presenting this adaptation the Module examines the system improvement goal which once predominated criminal justice planning, explaining some deficiencies if this goal is used by itself. Next, the crime-oriented planning goal is reviewed, explaining the kinds of data and information necessary when crime is seen as the problem and crime reduction the goal. Then, the question of how the standards and goals planning approach can be used is addressed. Finally, the importance of role and task allocation early in the planning process is considered.

Lesson Objectives

Upon completion of this lesson the student should be able to:

1. Describe the "field" of criminal justice and its "relevant" environment.

2. Identify seven component "perspectives" of the criminal justice field and the various "elements" that characterize these perspectives.

3. Clarify (by diagram) the relationships among perspectives and elements of the criminal justice field and its relevant environment, with respect to particular policy issues (e.g., gun control).

4. Understand the function of planning in relation to the field of criminal justice and identify four generalized objectives of criminal justice planning activity.

5. Understand how different criminal justice planning strategies and goals have resulted in different planning models.

6. Explain in detail the strategies of system-oriented and crime-oriented planning.

7. Describe the integration of the crime-oriented strategy and the general planning process model.

8. Appreciate the distinction of roles and tasks in comprehensive planning appropriate to federal, state and local units.

Suggested Preparation for this Module

Review the previous module and introductory readings, with particular attention to the General Planning Process Model, glossary and definitions of planning.

Required Reading

National Conference of State Criminal Justice Planning Administrators. State of the States on Crime and Justice. Washington, D. C. (May, 1976), 15-24.

National Conference of State Criminal Justice Planning Administrators. State of the States on Crime and Justice. Washington, D. C. (July, 1974), 24-25.

Recommended Reading

National Institute of Criminal Justice Planners. Strategy Formulation. Prepared for Ventura Region Criminal Justice Planning Board.

Berkowitz, Francine. "The Community Assessment Approach to Criminal Justice Planning: An Alternative Model." California Council on Criminal Justice, 1973. (Draft paper.)

PART II. Text

1.0 INTRODUCTION

Thus far, you have been introduced to various approaches to planning and a general model for the planning process. What next needs to be done is to translate that general planning model into one specifically designed for ciminal justice. First, we will consider the "field" of criminal justice and the social, economic, and political environment within which this field exists. Then we will address the general planning model at two key points in the process. We will define the problems which criminal justice planning might address, and we will identify the strategies that guide problem analysis and program development--those steps or events in the planning process that have been referred to as developing alternatives and selecting a plan. Once the program strategies are understood, operational choices are developed that become the action plan for criminal justice.

VA 2-1

VA 2-2

2.0 UNDERSTANDING THE "FIELD" OF CRIMINAL JUSTICE*

Given that we have an understanding of planning, the question arises, "What are we planning for?" The obvious answer, of course, is that we are planning criminal justice policies and activities. But, from an operational point of view, exactly what does this mean? Considering the broad scope and complexity of criminal justice

* Sections 2.0 through 2.5 are adapted from Brantingham, Brantingham, and Faust, Criminal Justice Planning: Theory and Application, Ch. 1 (Publication pending).

activities, how can we identify the legitimate domain (field) of the criminal justice planner as compared with that of the mental health planner, the education planner, the urban and regional development planner, etc.? Further, if such identification is possible, then how can we meaningfully understand the manner in which these "fields" relate to one another? (Solicit and briefly discuss examples of overlapping and conflicting efforts of criminal justice planners and planners in other fields.)

It would appear that some understanding of the boundaries of the criminal justice field and the environment within which it exists would be helpful.

2.1 The Nature of the Criminal Justice Field

2.2 The Environment within which the Field Exists

VA 2-3 2-4

(Briefly review handouts 2-3 and 2-4.)

2.3 Distinguishing between Components of the Field in Terms of Perspectives and Elements

It is clear that the criminal justice field does not have rigidly fixed boundaries containing the people, objects and events, and the relationships among them, that we are trying to understand. Rather than being conceptualized as a 50 gallon drum filled with marbles, the field is more like a large hard-used beanbag chair, filled with different colored jumping beans, and floating in a pool with a lot of other equally hard-used beanbags. The bag is constantly changing shape from forces both inside and out, and a

VA 2-5

number of beans are getting out while others from other bags are getting in through the worn and parted seams. Of course, the other bags are the mental health field, the welfare field, the education field, etc., and the pool is the "sea of politics" on which there are always waves with underlying currents.

Clearly, this is a very complex combination of "elements" (people, objects, and events) and relationships among them that we are trying to understand. So, how do we begin to make some sense and order of all this chaos? Perhaps the easiest approach is to look at different "perspectives"... like using different filter lenses that will sift out the various colors of beans.

VA 2-6

(Review handout 2-6.)

It may be noted that in the fiscal perspective "direct funding" refers to governmental budgetary appropriation of public funds, and "indirect funding" refers to grants, contributions, endowments, etc. Also, with regard to grants, funding for a broad program may be direct at one level and indirect at another--e.g., direct at the LEAA national level, and indirect at the state SPA, regional, or local level.

Despite the graphic limitations suggesting rigid boundaries for the field, the perspectives and elements may be meaningfully conceived as depicted in Handout 2-7. This facilitates an analysis of relationships among components of the field and its relevant environment, for purposes of problem identification.

VA 2-7

2.5 Relationships among Components of the Field and its Relevant Environment with Respect to Particular Policy Issues

(Briefly review handout 2-8.)

VA 2-8

In this example, concerning the issue of gun control, we find that sportsmen throughout the country, who are in the distant environment of the criminal justice field, exert a strong influence on the National Rifle Association in opposition to gun control. In turn, the NRA, in the field's proximate environment, is a major opposing influence on gun control legislation at the federal jurisdictional level. At the same time, police organizations in the structural perspective are a strong supporting influence on Congressional action in this area. Correctional workers' organizations (CWOs), in the field's proximate environment, are the objects of medium influence by the police who are encouraging them to join more vigorously in the effort to obtain federal gun control legislation.

(If time permits, other examples may be solicited and diagrammed.)

There are, of course, numerous other ways of conceptualizing the people, objects and events in the field of criminal justice and its environment, and the relationships among them. This approach, however, is useful in helping us to understand the general function of criminal justice planning. Also, as we will see later (in Module 7), the exercise of diagramming relationships concerning particular policy issues can be a most valuable preparatory step in the design of political strategies.

2.5 The General Function and Objectives of Planning in Relation to the Field of Criminal Justice

(Review Handout 2-9, and solicit examples of activities "a" through "d".)

VA 2-9

For purposes of discussion, examples of activities would be:

(a) A planning alternative advocating the centralization of law enforcement information systems within a state would result in expansion of the state element and contraction of the local element in the jurisdictional perspective of the field.

(b) The "structural" reorganization of the court system in the State of Florida, making juvenile courts a part of the Circuit Courts rather than continuing their operation as separate county courts.

(c) An LEAA grant for establishment of a pre-trial diversion program would reorder the relationships and linkages among at least the fiscal, legal, and behavioral perspectives of the field.

(d) A planning alternative advocating the removal of "status offenses" from the jurisdiction of the juvenile court would alter the relationships between the field and its environment, as the plan would necessarily place responsibility for services previously offered by the court upon agencies in the field's proximate environment.

With this general understanding of the function of planning in the field of criminal justice, let's consider the different strategy alternatives that have been employed to accomplish these aims.

3.0 THE FIRST PLANNING START: "SYSTEM IMPROVEMENT"

At the inception of the program pursuant to the Omnibus Crime Control and Safe Streets Act of 1968, LEAA undertook to establish guidelines to steer the SPAs in the appropriate direction. To LEAA, "appropriate" meant the direction that would lead to funding. What must be in "the plan" in order for LEAA reviewers and grantsmen to approve it and start the flow of money? The agency's first guidelines directed the SPAs to "improve the criminal justice system." The states were asked to inventory their system and indicate how they were going to "improve" it with the grants for which they applied. How was the determination of "improvement" to be made? The process was rather straightforward.

3.1 The Nature of System Resources

No matter what kind of system or operating agency one describes, it uses three basic resources: manpower, facilities and equipment, and operations. The nature of the first two resources are easily identified: criminal justice manpower is police officers, judges, prosecutors, etc.; facilities and equipment includes police stations and vehicles, courtrooms, jails and halfway houses. The operations resources may be regarded as the management and administration that utilize manpower and facilities for the delivery of whatever goods or services are supplied by the system or agency.

Accordingly, if the objective selected is to "improve the system," then the strategy involves improving those kinds of system resources.

What tactical alternatives are available to implement the strategy? In dealing with facilities and equipment, quantitative improvement is getting more of what we have; qualitative improvement usually means buying the newest mode.

3.2 Methodology for System Resource Improvement

Thus, to improve police equipment is to get more police cars that are capable of higher speeds with more stability, for instance. The same line of analysis applies to the other criminal justice "subsystems," courts and corrections. Each took a look at its facilities and equipment and asked for more of the latest model.

In the area of manpower, everyone has the same options: recruit better people (hire those with more education, usually), give them better pay and fringe benefits (more money to the same people for the same job), and better training (usually translated into more hours of in-service training, not necessarily however with any job performance analysis!)

Improved operations (generally "command and control" for the police, and "management" for the others) frequently means a management study or a new information system. Management studies often are input-oriented, providing suggestions for ways to do whatever one is now doing, but with less cost or time. A new information system often substitutes computers for quill pens, but uses the same "information."

When a system improvement strategy cycle is completed, what sorts of tactical alternatives are reportable? Another inventory

is presented: the number of people trained; computers purchased; and half-way houses constructed. The increments can update the system inventory and the "planners" can report to the Governors and to Congress how the money was spent.

For several years the planning objective of system improvement seemed to work because Congress kept providing more money for LEAA. Annual appropriations grew from $69 million in 1968 to almost $1 billion by 1973.

When examining and evaluating the inventory, however, the tough question is, "So what?" What did you get for your cars and computers and training programs? When Congress began to ask "So what?" LEAA realized that the criminal justice system was not an end in itself but rather the means to an end. The system is not the initial or only problem - crime is a problem.

LEAA began to emphasize that the reduction of crime and delinquency is the objective of planning and program development and that strategies must be devised that will achieve that objective. The ultimate question that Governors and Congressmen and the people ask is, "Have you been more effective in dealing with crime?" Let's examine strategy development when a crime-oriented planning objective is articulated.

3.3 Distinguishing between LEAA Organizational Goal and Criminal Justice Planning Objectives

Before moving to that topic, however, let's take a moment to distinguish between LEAA's own goals as an agency and criminal justice planning objectives. For some time there has been debate

in and around LEAA with respect to whether that agency's goal was crime reduction or system improvement. At the outset, it should be clearly understood that LEAA cannot, itself, reduce crime. It is not an operating agency. All it can do is to provide money and assistance to state and local government.

LEAA's goal, then, properly can be described as system improvement in terms of making the criminal justice system better able to do its job. But what is that job? Certainly, it is because of crime that we have police to apprehend suspected offenders, courts to determine whether a crime was indeed committed, and penal or correctional institutions to deal with one who has been determined to be an offender. In short, crime is the main business of the criminal justice system, and crime reduction is the major planning objective to guide the formulation of program strategies. This is the focus of the planning process and will help us know what to do to improve the system in ways that will make it more effective in handling its business. Let's examine such a problem-oriented planning process.

4.0 THE SECOND PLANNING START: REDUCE CRIME AND DELINQUENCY

After disenchantment with the initial strategy implemented, LEAA chose to start again with a second strategy--crime-oriented planning. Prior to discussing the crime-oriented planning model in detail, it is important to appreciate the relation between this crime-specific model and the general planning process model addressed in the last module. The crime-oriented planning model begins at

VA 2-11

the problem identification step of the general planning process model. As shown in Slide 2-11, starting at the "fact" or problem identification, the model shifts down to the "goal" level and then to the "means" level for program/project development. Once you have looked at your alternatives and run them through the "constraint sieve," implementation of chosen strategies can begin with an eventual evaluative feedback into the "fact" level.

Whatever problem-reduction objective may be established, be it in highway safety or health care, there are basically two objectives that will help achieve the goal: (1) control the manifestations of the problem, and (2) eliminate the causes of the problem. Consider health care. Suppose one goes to his doctor with a fever, aches and indigestion. The physician tries to control the symptoms--the manifestations of the problem--with aspirin and bicarbonate of soda. He also conducts some tests to identify the problem itself. Finding a virus infection, the doctor may administer an antibiotic to eliminate that cause.

VA 2-12

In translating this control/cause methodology to crime reduction, we can identify two missions for ciminal justice: (1) control criminal conduct, and (2) reduce the causes of crime. By the analysis and application of strategies and sub-strategies within these two mission areas, tactical alternatives will be developed that can contribute to the planning objective of crime reduction. Let's examine this analytic process further.

VA 2-13

Before proceeding further, it is important to emphasize that strategies are crime-oriented and most tactics are crime-specific. The crime-oriented methodology being discussed here is universal no matter what specific crime is being considered. The target hardening strategy applies to burglary or to forgery although the tactic will vary with the specific crime. To make negotiable instruments more difficult to alter is to harden the target. In forgery, the target environment is the stream of commerce. In burglary, it is the neighborhood.

We can't effectively plan to reduce or control crime generally, but we can implement programs (tactics) to deal with specific kinds of crime. Some tactics may be effective in dealing with more than one kind of crime. For example, the same tactics used to secure the target environment against residential burglary probably will also be effective against street assaults or robbery. The tactical options become apparent as the result of analysis of specific offenses.

4.1 Improve Controls on Crime

Related to the strategy of control of crime, two basic strategies are available: (1) reduce the opportunity for crime to occur, and (2) increase the risks of committing crime.

VA 2-14

VA 2-15

In reducing opportunity, the goal is to adjust conditions so that it is less likely that a crime can in fact be perpetrated. Two sub-strategies are available: (a) harden or remove the target, and (b) secure the target environment. The tactics are the specific actions we take to implement a strategy or sub-strategy. To

illustrate, if we are dealing with auto theft, to harden the target is to make the car less vulnerable to being stolen--install ignition and transmission locks so the car can't be moved easily. Tactics to secure the target environment are to lock the garage or patrol the parking area. If burglary is the crime, window and door locks can harden the target, while street lighting and surveillance are tactical options to make the neighborhood more secure.

Although we may reduce the opportunity for crime to be committed (target hardening is one type of crime prevention) we also want to deter crime by increasing the risk to the potential offender. This can be done by two sub-strategies: (a) improving detection and apprehension of offenders, and (b) assuring proper disposition of cases.

If crime can be deterred, it is because of potential offender believes that if he commits an offense it is likely that he will be caught and will incur disagreeable consequences. It is all too common knowledge that the clearance rate on crime is extremely low. Accordingly, it is essential that the criminal justice system greatly improve its ability to identify and apprehend suspected offenders. Even though a suspect is apprehended, the chances of his conviction for the charged offense are even more slight. If court delay interrupts the judicial process, cases may be lost because witnesses forget or become unavailable. Clogged dockets encourage plea bargaining for lesser offense to avoid trial on the

charges. When this happens, offenders perceive that they "beat the rap," and deterrence is minimized.

4.2 Reduce Causes of Crime

There are two basic strategies in the reduction of causes of crime; one is short-term and action-oriented, the other requires long-term research. The first involves the application of intervention techniques to high risk groups, the second is to alleviate the underlying conditions that cause crime.

VA
2-16
2-17

Intervention, aimed at potential or convicted offenders, involves two sub-strategies: (a) encourage behavioral change, and (b) provide useful alternatives. If the offender is discouraged from committing the same or similar offenses, the intervention has succeeded and recidivism declines. For this to happen, however, the offender must be motivated not to commit crime and he must perceive that there are useful alternatives available to him other than to commit crime. For example, if the offender burgled because he was unskilled, unemployable and in need of money, if he is motivated to acquire job skills and is assisted in finding useful employment then perhaps he will accept this as a better alternative than repeated crimes. Teaching an inmate to make license plates, something one cannot do on the outside, is useless. Likewise, teaching printing with outmoded equipment or techniques does not provide useful employment skills.

Although we see a variety of correlations between crime and other factors such as poverty or inadequate education, we have not

established causal relations. Although many criminals are school drop-outs or unemployed, most of the drop-outs or jobless are not criminals. What is needed is long-range (longitudinal) research to identify actual causal relationships. This ought not be pursued by the states individually, but instead with their cooperation pursuant to a national scheme of behavioral and demographic research in which the states are the "laboratories" for study. LEAA's leadership could establish national research priorities that might, in time, provide the answers to crime causation. The main responsibility for state and local government, however, is in intervention, because they are now faced with the need to cope with actual offenders.

It must be brought out at this point that by design the criminal justice system was meant to deal with the problem of crime directly. In other words, the actual manifestations of crime such as criminal incidents, offenders, etc. It was not designed to deal with causes. If one looks at those factors which have been identified as the classic causes of crime--poverty, poor education, prejudice, unemployment, social environment--very few if any fall within the realm of the criminal system such that it could impact upon them. If reducing the causes of crime is a viable strategy, there must be a realization of the fact that there exists a shared responsibility among all the social service agencies to implement these strategies. The causes of crime fall in the realm of multiple governmental and private agencies; and it is an unrealistic expectation that the criminal justice system be able to implement this strategy by itself and expect any worthwhile results.

4.3 Section Summary

It can not be stressed enough that the alternative programs and projects available to the planner flow directly from identified goals which are results of the facts found during problem identification. Some important points must be brought out. First, as previously stated, the strategies are applicable to all crimes; only the tactics change. Second, the various strategies and tactics available are not contradictory, therefore allowing more than one strategy to be implemented to address the same problem. Third, applying multiple strategies implies possible conflicts for available resources. These will be discussed in the module dealing with program/project development. And fourth, while none of the strategies and tactics may be implemented solely by one component of the criminal justice system, many of them either require or would best be implemented by a joint effort of the system's components. This will also be discussed in the module on program and project development. It is important to realize that all strategy decisions made in the preparing for planning stage have significant impact on subsequent steps in the planning process.

5.0 RELATIONSHIP OF STRATEGY ALTERNATIVES TO THE GENERAL PLANNING PROCESS MODEL

In Module 1 a general planning process model was presented and different applications of this model under varying conditions and circumstances were examined. At the start of this module, we raised the question "Planning for what?", and we have now examined the

field of criminal justice and considered two alternative strategies for altering the relationships among the people, objects and events in this field and its environment. The system-improvement strategy was, of course, system specific and did not effectively address such matters as particular forms of criminal behavior and environmental opportunity for crime. The crime-oriented strategy, as we have seen, can be generalized sufficiently in application to address environmental opportunity and system structure and function, but for the most part this was not done. Clearly, not all problems confronting criminal justice planners are crime-specific.

5.1 Strategy Alternative Summary

It may be helpful, then, to make a distinction between the crime-oriented strategy and its crime-specific application. Just as the general planning process model may be used differently in different circumstances, so may the crime-oriented strategy be employed to address a broad range of problems relating to crime and the administration of criminal justice.

5.2 Integration of the Crime-Oriented Strategy and the General Planning Process Model

From Module 1 you will recall that the planning model describes a general process that is directly applicable or adaptable to a wide range of conditions and circumstances in which planning is called for. (Refer to General Planning Process Model handout.) The model depicts a process without substance or content--that is, the process is equally useful in a great variety of substantive fields, of which criminal justice is only one. Thus, our discussion

VA
1-4

of the criminal justice "field" defined the substantive area in which the process is to be applied. In turn, the particular "strategy alternative" we use identifies for us those elements of the field and its relevant environment (people, objects, and events) and the relationships among them to which we will apply the process. The system improvement strategy focused the process upon systemic elements, per se. The crime-oriented strategy focuses the process on all elements related to improving crime control and reducing causes of criminal behavior.

5.3 Data and Data Analysis

While we now have a process and a strategy which provides substantive direction and focus for its use, we still do not have the actual content upon which the process will operate. It is "data" that provides this content--that is, the planning process operates on data. These data are facts and feelings (quantitative and qualitative) about elements of the criminal justice field and its relevant environment (people, objects, and events), in terms of individual, environmental and systemic characteristics related to crime prevention, law enforcement, the administration of justice, and corrections. This, of course, is why such great emphasis is placed upon the planner's skill and ability to identify, collect, and meaningfully analyze data at every step of the planning process model. And, while Module 4 will deal with data and data analysis in some detail, you will be addressing problems and issues relating to data and its uses in each lesson from this point on.

5.4 Standards and Goals--How do They Fit in?

LEAA's National Advisory Commission on Standards and Goals (S & G) has produced a laudable analysis of virtually every aspect of the criminal justice operating subsystems and has published recommendations for standards and goals for system operation. It is important to understand how these recommendations can be used in the criminal justice planning process.

First, note carefully that the initial recommendation of the Commission is that crime-oriented and crime-specific planning should be the modus operandi for criminal justice planning. The Commission's reports and recommendations are based on the notion that appropriate units of state and local government will first do the crime analysis from which action programs can be deduced. To use their recommendations initially as a cookbook from which to select action programs would be a grievous error and would have the same effect as the unplanned tinkering resulting from the early "system improvement" approach.

Once problem analysis has been conducted and goals are set as shown in the Criminal Justice Planning Institute planning process model, S & G can be a very useful tool in helping to design and implement the selected chosen alternative. The Commission's recommendations then become a helpful checklist and benchmark against which specific program development can be compared. Used in the sense of a how-to-do-it guide, rather than a what-to-do answer list, S & G can make a valuable contribution to the planning

process. Their place in the process is between the goal and the development of program alternatives.

6.0 IMPLEMENTING THE PLANNING MODEL: ROLE DEFINITION AND TASK ALLOCATION

The foregoing overview has given some hint of the various tasks that need to be performed in implementing a planning process. In later modules, exercises in the various steps of the planning process will provide additional insight into the kinds of work that must be done for planning to proceed. An appropriate question at this point, however, is "Who does what?" Truly "comprehensive" criminal justice planning across the system and among different levels of government requires extraordinary coordination and careful understanding of what each participant is to do.

A constant problem in Federal-state-local regulations in criminal justice planning and program development revolves around failures to adequately define roles and allocate tasks. Frequently, at state meetings the regional and state planners argue over whether regional contributions were included in the state plan, the adequacy of what was submitted by regions, etc. The same types of arguments are heard between local and regional planners, and some of the same complaints have characterized LEAA and SPA relations. For the planning process to proceed smoothly, everyone must understand his role, and the tasks he ought to perform in order for the total exercise to be successful. There are activities appropriate generally to each level in government. However, the various units at any given level may have roles that vary from one another. Some sub-state

regions have a staff of a dozen or more; others have one "planner" and a part time secretary. It would be folly to expect both of those variant regions to perform the same tasks to the same degree of competence, for clearly role definition and task allocation sometimes must be tailored on a case-by-case basis. However, general principles for the sharing of responsibilities can be identified as shown in Handout 2-18, in which eight functions are considered: planning, evaluation, budgeting, management information, technical assistance, training, demonstration, and research. VA 2-18

A helpful guide for such tailoring is the development of a simple matrix (shown in Slide 2-19) with rows labeled for each step in the process, including specific subtasks, and columns labeled for each agency level that participates in the planning process. By putting the entries noted below into each cell, the matrix can facilitate the process of role clarification and negotiation which must occur in each state: VA 2-19

I = Implementation responsibility;
TA = Technical assistance responsibility;
D = Decisionmaking or policy responsibility.

Once general roles are clarified between the different agency levels, the planner may consider the option of designing a very specific matrix for agency personnel indicating, for example, by name the person responsible for subactivities related to problem identification such as data collection from design, actual data collection, data analysis, etc.

In summary, however, regardless of the technique used, the planner should remember that a basic factor determining the success of a criminal justice planning effort is that of clearly delineating not only what must be done (task) but who will do it (role).

7.0 SUMMARY

We have now completed an overview of the crime-oriented criminal justice planning process. In summation, points to be emphasized are:

1. Though the planning process model applies universally, its application to the field of criminal justice is given direction and focus by the crime-oriented strategy, and the content upon which it operates is provided by the data which this strategy identifies.

2. Problem analysis begins with crime-oriented objectives, and leads us through strategies to the formulation of tactics that will inform the system components what they must do to be more effective in their work.

3. Crime-oriented targets must be adopted and pursued in common by all components of the criminal justice system within a given geographic area.

4. Standards and Goals recommendations should be utilized only after problem analysis has been completed as a basis in determining what operational alternatives should be implemented.

5. Comprehensive planning is not done by everyone, though all criminal justice system participants have a contribution to make to the planning process. Role and task analysis to allocate appropriate responsibilities, which is itself a primary responsibility of the SPA, should precede extensive planning activity.

PART III. Supplementary Information

QUESTIONS FOR CLASS DISCUSSION AND REVIEW

1.0 INTRODUCTION

None

2.0 UNDERSTANDING THE "FIELD" OF CRIMINAL JUSTICE

1. Considering the broad scope and complexity of criminal justice activities, how can we identify the legitimate domain (field) of the criminal justice planner as compared with that of the mental health planner, the education planner, etc.? How do these different fields relate to the field of criminal justice?

2. How can we meaningfully understand or make sense out of the very complex combination of elements (people, objects, and events) in the criminal justice field and its environment, for purposes of problem identification and analysis?

3. Describe the general function and objectives of planning in relation to the field of criminal justice.

3.0 THE FIRST PLANNING START: "SYSTEM IMPROVEMENT"

1. At its inception, how did LEAA define its mission? What was considered an "appropriate" direction for the agency to take?

2. What are the criminal justice system's resources? What were the accepted methodologies for improving their resources?

3. Distinguish between LEAA organizational goals, and criminal justice planning objectives.

4.0 THE SECOND PLANNING START: REDUCE CRIME AND DELINQUENCY

1. In a problem-reduction situation, what are the two basic strategies available?

2. What are the available strategies for "improving controls on crime?" Has your agency funded any programs/projects that utilize these strategies? What is your assessment of their impact?

3. What are the available strategies to "reduce causes of crime?" Has your agency funded any programs/projects that utilize these strategies? What is your assessment of their impact?

4. In attempts to reduce crime, has your agency sponsored any joint programs with non-criminal justice agencies? Did the programs impact on the problem? Were there any coordination problems?

5.0 RELATIONSHIP OF STRATEGY ALTERNATIVES TO THE GENERAL PLANNING PROCESS MODEL

1. How does the crime-oriented planning model interface with the general planning process model?

2. What is the function of data in the criminal justice planning process?

3. Where do standards and goals fit in the general planning process model?

4. What do you feel is the appropriate use of standards and goals? Has your agency developed any programs in regard to standards and goals? Have they been successful?

6.0 IMPLEMENTING THE PLANNING MODEL: ROLE DEFINITION AND TASK ALLOCATION

1. What problems have been caused by the lack of definition in the criminal justice planning system? What are the solutions?

2. Has your agency done any role negotiation with the other levels of the planning system? What strategies have been employed? Have they been successful?

3. What do you see as your agency's roles in terms of implementation, technical assistance, and policy formulation? Does your perception conflict with reality? How do you feel you could personally impact on your agency's present role definitions?

Teaching Suggestions

1.0 INTRODUCTION

1. Prior to beginning this lecture, the instructor should display the lesson objectives (Handout 2.1--Slide 2.1) and review them with the participants.

2. It should be noted that the primary strategy discussed in this module begins at the problem identification step in the general planning process model. This should be pointed out to the participants.

3. The instructor should emphasize that a major purpose of the lesson is to expose the planner to the notion that different criminal justice planning strategies exist with different objectives, different benefits, and different deficiencies. Early in the module the instructor should reference the strategy approaches discussed in the required reading: Strategy Form. The fact that this module covers only two--i.e., system improvement and crime-oriented planning--must be noted.

2.0 UNDERSTANDING THE "FIELD" OF CRIMINAL JUSTICE

1. The instructor should understand, and may wish to emphasize, that the purpose of this section is to clarify the hazy notion of the criminal justice field and provide participants with a "working" concept that will enable them to distinguish their appropriate sphere of operation from that of planners in other

fields. This section should answer the question, "Planning for what?"

2. The ideas presented in this section are designed to facilitate participants' understanding of subjects discussed in later sections of the module. Thus, while there are a number of handouts (slides) in this section, it is neither necessary nor desirable that a great deal of time be devoted to the presentation and/or discussion of these materials.

3.0 THE FIRST PLANNING START: "SYSTEM IMPROVEMENT"

1. The instructor may wish to note that this description of system improvement is historically accurate. How, however, more sophisticated system improvement strategies are available; e.g., Jussim, for example, provides a framework for approaching systems improvement comprehensively rather than piecemeal. The point should be made that it is the piecemeal systems improvement approach, not systems improvement in general, which must be avoided.

2. In Section 3.2, the instructor may wish to embark on a more detailed discussion of LEAA's capabilities to impact on and reduce crime. Can an agency which controls only 5% of the criminal justice monies spent have crime reduction as a legitimate and achievable goal? Further, the instructor may wish to emphasize that the focus upon crime reduction as a major

goal of criminal justice planning does not deny the existence and necessity of intermediate goals related to organizational efficiency as well as effectiveness and fairness.

4.0 THE SECOND PLANNING START: REDUCE CRIME AND DELINQUENCY

1. The primary set of slides for this section (2-11, 2-13, 2-14, and 2-16) provides a sequential highlighting of different aspects of the crime-oriented planning model. The instructor should work with these slides prior to presenting the module in order to coordinate the discussion of the basic strategies, slides 2-11 and 2-13, with the discussion of sub-strategies, 2-14 and 2-16.

2. While crime-oriented planning is the primary strategy discussed in this module, the instructor should be cautioned that this strategy is only one alternative among several. It is important that there be no discussion as to the "right" way or the "only" way. Depending on the instructor's expertise, he may wish to comment on other strategies besides the two presented in this module.

3. In Section 4.2, while discussing intervention as a sub-strategy, the instructor may choose to interject the concepts of individual and societal responsibility. Much of this discussion will depend on the individual instructor's orientation to the subject. The information in the following paragraphs may be used as a guide for this discussion.

A NOTE ON THE RESPONSIBILITY FOR INTERVENTION STRATEGY

During the past decade or two, the "correctional model" has caused the criminal justice system to assume a responsibility for rehabilitation. In other words, public policy and the law have said that while the offender is under the jurisdiction of the criminal justice system he must be encouraged or coerced into rehabilitative programs and that such services must be available to him within the criminal justice system.

Of late, there is evidence of a shift in public policy that would remove rehabilitation service responsibility from the criminal justice system. Examples are mandatory or flat-time sentencing proposals that would design the criminal justice system in a "penal" mode. The responsibility for rehabilitation mainly would be upon the offender, on the basis that social and vocational programs are already in existence and available to him after the criminal justice system deals with him, if he chooses to participate in those programs.

From the standpoint of governmental services, with respect to penalties and rehabilitation, the role of the criminal justice system would be to deter the offender, while other rehabilitative social and welfare programs would be available to him on a voluntary basis.

The point is that although behavioral intervention may or may not be the specific responsibility of the criminal justice system, nevertheless it is part of the total strategy to reduce crime and delinquency. We do know that recidivists account for a substantial portion of today's crime and delinquency and reduction in recidivism can bring about a reduction in crime if we also can deter others from entering the system.

5.0 RELATIONSHIP OF STRATEGY ALTERNATIVES TO THE GENERAL PLANNING PROCESS MODEL

1. The major purpose of this section is to clarify the interface of the general planning process model (Module 1) with the crime-oriented strategy discussed in this module. The ideas are fairly simple and there may be a tendency for the instructor to treat this section lightly. It is suggested that sufficient time be taken here to assure that participants fully understand the relationships being presented.

2. The instructor may wish to insert local examples of the points being made, or solicit illustrations and examples from the participants.

6.0 IMPLEMENTING THE PLANNING MODEL: ROLE DEFINITION AND TASK ALLOCATION

1. The instructor may wish to note here that the issues are both intergovernmental (Federal-state-local, i.e., federation questions) and also inter-agency or separation-of-powers questions (police-courts-corrections). Implications of these two concepts for role and task negotiations should be explored through discussion with program participants.

2. In addition to the referenced exercise which the instructor has time only to describe, he may consider providing Handout 2-18 which broadly delineates guidelines for role/task allocation with respect to the following functions: planning, evaluation, management information, technical assistance, training, demonstration and research.

MODULE 3

· Instructor's Guide

MODULE 3

ANALYZING THE PRESENT SITUATION

A SYSTEMS APPROACH

Southeastern
Criminal Justice Training Center

Florida State University

ANALYZING THE PRESENT SITUATION:
A SYSTEMS APPROACH

ANALYZING THE PRESENT SITUATION:
A SYSTEMS APPROACH

PART I. Introductory Information

Abstract

In this lesson, we describe a "model" or flow chart of the criminal justice system. It provides a simple, overall view of what can happen to a person who enters the system, the component of the system that would be involved, and the way one component influences another.

We show how simplified flow charts can be developed and used to focus attention and planning on certain stages in the process. Starting with the total system, we can move to levels where our own agency is involved, where we have data we can use, and where we can use the data to design and implement action programs.

The "systems" approach is viewed against the total social system with its underlying trends and conditions which influence the criminal justice system on both a broad and local basis.

The module emphasizes that plans are never made in isolation, that they should focus on the specific variables that influence crime rates, and that both plans and programs need to be constantly assessed and improved as indicated.

Lesson Objectives

Upon completion of this lesson, the planner should be able to:

1. Recognize the implications of the "systems" approach for criminal justice planning. VA

2. Describe the interrelationships and interdependence of the components of the criminal justice system.

3. Construct a model or system flow chart of a criminal justice system or part of it using hypothetical or actual data.

Suggested Preparation for this Module

1. Look over the entire module to get an idea of the content before you study it in detail.

2. Study the terms and definitions in the glossary.

3. Study the required readings and check the supplementary readings for additional valuable information.

Required Reading

Malcolm W. Klein, Solomon Kobrin, A. W. McEachern, and Herbert R. Sigurdson, "System Rates: An Approach to Comprehensive Criminal Justice Planning." Crime and Delinquency 17 (October, 1971), 355-372.

Recommended Reading

Alfred Blumstein and Richard Larson. "Models of a Criminal Justice System." Operations Research, 17 (March-April, 1969), 199-232.

National Advisory Commission on Criminal Justice Standards and Goals. "Criminal Justice System Planning." Criminal Justice System, 1973, 5-30.

Carter, Robert M., et al. "The System Rate Approach to Description and Evaluation of Criminal Justice Systems: An Illustration." Criminology (February, 1974)

President's Commission on Law Enforcement and Administration of Justice. "Analysis of Crime and the Overall Criminal Justice System." Task Force Report: Science and Technology, 1967, 53-67.

ANALYZING THE PRESENT SITUATION: A SYSTEMS APPROACH

PART II. Text

1.0 INTRODUCTION

In this module we are concerned with the criminal justice system as a system (Refer to Lesson Objectives and Lesson Outline). VA 3-1 3-2 Our concern with the criminal justice system as a system places us somewhere between reality and fantasy. The reality is that the community, the police, the courts, and the correctional agencies do combine to attack the problem of crime and process the criminal offender. The fantasy lies in the speculation that the various agencies approach these processes in a coordinated and rational fashion.

"To make the fantasy a reality requires planning comprehensively for the goals, the procedures and the assessment of the impact of the various components of the criminal justice system. A comprehensive plan for the criminal justice system requires, ipso facto, some form of 'systems analysis' the newest popular application of behavioral science thinking to complex social problems." (Klein, et al., p. 357, Required Reading.)

2.0 BACKGROUND

Although there is considerable discussion and writing by academicians, administrators, practitioners and researchers about the

"system" of criminal and/or juvenile justice, the United States does not have a single system of justice. Each level of government, indeed each jurisdiction, has its own unique way of doing things. These many "systems"--all established to enforce the standards of conduct believed necessary for the protection of individuals and preservation of the community--are a collectivity of thousands of law enforcement agencies and a multiplicity of courts, prosecution and defense agencies, probation and parole departments, correctional institutions and related community-based organizations. It is clear that the "system" of criminal and juvenile justice sacrifices much in the way of efficiency and effectiveness in order to protect the individual and to preserve local autonomy.

The many systems of justice now in existence in the United States are not the same as those which emerged following the American Revolution. Although American legal arrangements have traditionally tried to insure justice for all citizens, the systems have not developed or evolved uniformly or consistently or, for that matter, always in the same direction. Parts of our system, such as trial by jury and the principle of bail, are relatively old and date back to our European heritage in general and the English Common Law in particular. Probation and parole began in the nineteenth century and the juvenile court is a twentieth century innovation. Some of the innovations and changes in our systems have been generated by judicial decisions and legislative enactments. Many have evolved more by chance than by design.

Coupled with the numerous criminal and juvenile justice systems in the United States and their uneven development is the separation of functions within the systems. There are similar components in all systems starting with police at input, through prosecution and courts, to corrections at outgo. Although these major components and sub-components are interwoven and interdependent one with the other, they typically function independently and autonomously. This separateness of function, which on one hand prevents the possibility of a "police state," on the other hand leads to some extraordinarily complex problems. Not the least of these is that the systems of justice are not really systems--integrated, coordinated, and effective entities--but rather are collections of agencies tied together by the processing of an increasing number of adult and juvenile offenders. These non-systems are marked by an unequal quality of justice, inadequate funding, and lack of relevant research and evaluation to provide some measure of effectiveness. And, until recently, they were regarded with a general indifference and apathy on the part of the public which the systems were designed to serve.

That set of institutional arrangements, activities and processes referred to as the criminal justice system are also referred to as the "non-system" of criminal justice. But the "non" aspect must be related to such notions as efficiency, agreement as to goals and objectives, and the like. The "system" does exist, even if all of its activities are not systematic, orderly and smooth-flowing.

The dictionary definition of a "system"--a set or arrangement of things so related or connected as to form a unity or organic whole --is an appropriate target for all of us, but it is not now a reality.

3.0 MODELS OF THE CRIMINAL JUSTICE SYSTEM

3.1 The Total System

Perhaps the best known model of the criminal justice system is that prepared by the Institute for Defense Analysis for the President's Commission on Law Enforcement and Administration of Justice as shown in Chart 1.

Refer to Chart 1

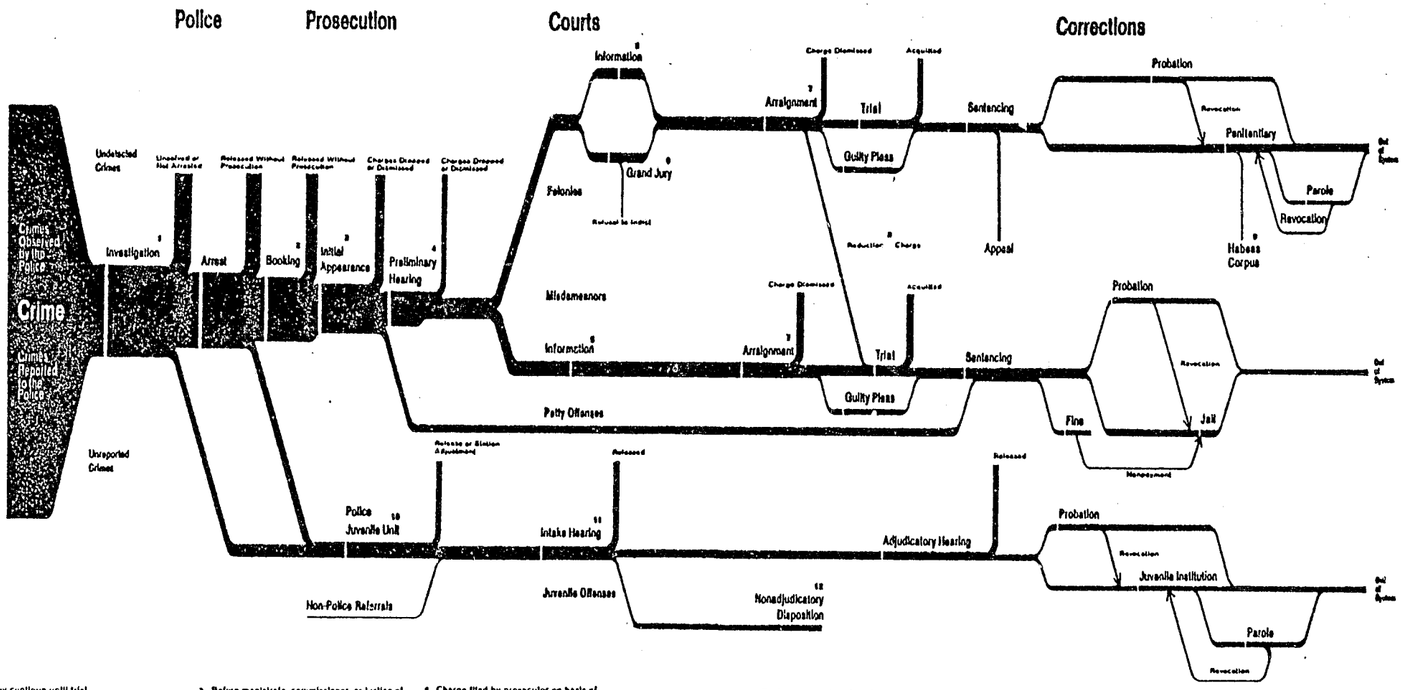
This model or flow chart shows the movement of cases--felony, misdemeanor, petty and juvenile--through the justice system. With some modification, the basic approach represented by the system chart may help in comprehensive criminal justice planning. The modifications are relatively straightforward and require:

* Construction of an explicit flow chart showing the decision points in the system.
* Insertion of criminal justice data which are usually available.
* Calculation of two sets of percentages (referred to elsewhere by Klein, et al. as "system rates," see readings). These are:
  1. Input percentages
  2. Decision-point percentages

These three steps will assist you to determine at particular points in time:

A general view of The Criminal Justice System

This chart seeks to present a simple yet comprehensive view of the movement of cases through the criminal justice system. Procedures in individual jurisdictions may vary from the pattern shown here. The differing weights of line indicate the relative volumes of cases disposed of at various points in the system, but this is only suggestive since no nationwide data of this sort exists.



1 May continue until trial.

2 Administrative record of arrest. First step at which temporary release on bail may be available.

3 Before magistrate, commissioner, or justice of peace. Formal notice of charge, advice of rights. Bail set. Summary trials for petty offenses usually conducted here without further processing.

4 Preliminary testing of evidence against defendant. Charge may be reduced. No separate preliminary hearing for misdemeanors in some systems.

5 Charge filed by prosecutor on basis of information submitted by police or citizens. Alternative to grand jury indictment; often used in felonies, almost always in misdemeanors.

6 Reviews whether Government evidence sufficient to justify trial. Some States have no grand jury system; others seldom use it.

7 Appearance for plea; defendant elects trial by judge or jury (if available); counsel for indigent usually appointed here in felonies. Often not at all in other cases.

8 Charge may be reduced at any time prior to trial in return for plea of guilty or for other reasons.

9 Challenge on constitutional grounds to legality of detention. May be sought at any point in process.

10 Police often hold informal hearings, dismiss or adjust many cases without further processing.

11 Probation officer decides desirability of further court action.

12 Welfare agency, social services, counselling, medical care, etc., for cases where adjudicatory handling not needed.

CHART 1

* The number of cases involved in the various parts of the system. This is particularly useful for projecting future numbers of cases.

* The identity or location of decision makers and the impact of their decisions. This is useful for designing action programs--programmatic interventions.

3.2 A Simplified Flow Chart of the System

Visual Aid 3-3 shows a flow chart of the system, greatly simplified for illustrative purposes. Note that "crime" is shown as an irregular shape, amoeba-like because no one really knows how much crime there is. Also, the shape of crime changes as definitions of crime change over time and place with different legislative bodies and particularly with criminal justice agencies in the exercise of their discretion.

VA 3-3

Also amoeba-shaped are crimes "not observed, not reported" and crimes "observed, not reported." Again, no one knows how much crime falls into these two categories.

After this level in the VA, the amoebas become rectangles because data are available, although they are subject to some controversy as to their accuracy and completeness.

Criminal justice system flow charts may be misleading in that they suggest that offenders flow through it in an orderly fashion. VA 3-3 shows some of the ways in which the flow becomes disrupted as various events take place. The lack of smooth flow comes from various sources. Some offenders leave the system for reasons such as insanity or certification as to addict status, others enter the

system at a mid-point such as the juvenile offender certified to adult court and other offenders, after winning an appeal, may backtrack in the system to a new trial or new sentencing.

The vertical lines in the simplified flow chart represent decision points in the system at which someone or some agency must choose a course of action from several alternatives. A word of caution is in order, however, for there are informal processes in the system which may not be known or be reflected on such charts. Some of these "irregularities" may be identified as data that are "plugged into" the charts.

3.3 Putting Data into the Charts

VA 3-4 is identical to VA 3-3 except that a hypothetical set of numbers has been inserted into the rectangles. These numbers are usually available from individual justice system agencies, each of which keeps its own data. On occasion, they are available from a centralized source in a state capitol. Note that the chart shows both numbers of offenses (reported crimes) and the number of offenders.

VA 3-4

When you are using actual numbers, it is important to remember that the parts should equal the whole; that is, "Arrests" plus "No Arrest" should equal "Reported Crimes," and so on down the chart. "Prosecution" plus "No Prosecution" should equal "Arrests." In the event there is a marked difference, the discrepancy must be examined carefully for there is the distinct possibility that "unofficial" dispositions are operating, e.g., selection of alternative

actions which are not explicitly authorized by statute.

3.4 Converting the Numbers into Percentages (System Rates)

Converting the numbers to percentages is useful for several reasons:

Percentages enable you to compare different-sized agencies with each other.

Agency personnel are familiar with rates--the clearance rate, success rate, the conviction rate, are usually expressed in percentages.

Percentages eliminate the problem of determining whether a figure is large or small, e.g., while it is difficult to determine if 83,179 is a large number of small (it obviously depends), there is consensus that 97% is large, 4% is small.

The real world of numbers does not have easy-to-use numbers such as those in our charts; instead of 40,000, you may have 42,683.

3.5 Computing Input Percentages (System Rates)

Input percentages are calculated using the total input into the system. In our examples there are 100,000 reported crimes. Thus, 20,000 arrests represent 20% of the reported crimes, 10,000 convictions represent 10% of the reported crimes, etc. Input percentages are shown in VA 3-5.

VA 3-5

3.6 Computing Decision-Point Percentages (System Rates)

Decision-point percentages are computed using the total number of cases available at any decision point as the base for 100%. VA 3-6 shows these percentages for our example. Using the number of convictions (10,000) as the base, we see that 6,000 persons were given probation (60%), 3,000 were given jail sentences (30%), and 1,000 or 10% were sent to prison.

VA 3-6

In summary, your flow chart should include:

The basic decision points in the system.

The numbers of persons or events at each point.

Input percentages (system rates) based on the total entering the system.

Decision-point percentages (system rates) based on the total number at each point.

Inasmuch as some of the "boxes" in the charts represent specific events such as arrest or conviction, while others represent status and location of offenders such as jail or probation, it may be appropriate to put in other kinds of data. These additional data may include the average (or other statistic) length of stay in a "box" or between "boxes" and the number of offenders moving into, through, and out of different "boxes for given periods of time.

VA 3-7, for example, adds these additional data for a given year, as of a specific date, at the prosecution, conviction, and disposition phases of the process.

VA 3-7

4.0 USING FLOW CHARTS FOR OTHER TYPES OF ANALYSES

The purpose of all this is to provide a portrait of the criminal justice system at some point in time, past or present. Although the illustration has been for the system as a whole, the process has application for a detailed examination of a part of the system, such as corrections or law enforcement. The method may be crime-specific, e.g., tracking the robber or rapist through the system. Or, the approach may track specific types of offenders

through the system: the old, the young, black, white, etc. In short, by using identical system formats, it is possible to contrast this year with last, or March with July, or specific kinds of offenders, e.g., auto thieves and forgers.

Up to this point, we have focused on the systematic arrangement of data to give us a clearer picture of the criminal justice process. But past and present are only the beginning. The system approach has applications to the future in terms of both projections and programmatic interventions and their evaluation.

4.1 Projecting Input Percentages (System Rates)

Projecting the future based on the past is a common technique. At short range and without major events impacting upon the criminal justice system, these projections are both useful and generally accurate. By combining projections of crime in general, or a specific crime in particular, with input percentages, it is possible to acquire estimates of the impact of changing crime data and a straight line projection based on data acquired between 1960 and 1970. (VA 3-8)

VA 3-8

The dotted line beyond 1970 is the projection for reported crime. It is a relatively simple task to estimate the number of crimes which will be reported in 1972 (220,000) and, by using the input percentages which reflect the current level of usage of parts of the system, the probable number of offenders to be processed by a specific part of the system.

If, for example, probation continues at 6 percent of the input into the justice system (as it did in our earlier examples), there

will be an increase in the number of probationers from 12,000 in 1970 to 13,200 in 1972. Similarly, if the prison system continues to receive one percent of the input, there will be an increase in inmates from 2000 to 2200 during the same two years.

These numbers may be translated generally into requirements for the justice agencies. An increase of 1,200 probationers, if standards such as one probation officer for each 50 probationers, one supervisor per five probation officers, and one secretary per three probation officers are applied, equates to a need for an additional 24 officers, five supervisors and eight secretaries. For planning purposes, such data are invaluable.

It is important for you to be aware of at least one of many hazards in making such projections. There is an assumption that all parts of the justice system change at the same rate and in the same direction. Such is not the case. Real data from Los Angeles County reflect the fact that each component of the justice system has its own rate of change and that the various parts of the system are not only different in terms of the rate of change, but also in the direction of change.

Some aspects of the system may be expanding rapidly (plea bargaining for example) while others are diminishing (trial by jury for example). This suggests that an important second step in the projection process is to determine the rates of change for each of the components and processes of the justice system. These determinations, coupled with the input percentages, can make projection

considerably more accurate.

4.2 Projecting Decision-Point Percentages (System Rates)

A system flow chart which identifies the major decision points in the justice system and the percentage selection of each of the alternatives by decision-makers has real significance for planners. Here is an example.

Several years ago, the Chief Justice of the United States declared that "justice delayed is justice denied." He emphasized the need for the judicial segments of the justice system to develop procedures which would speed up the judicial process. Many court systems have responded by seeking techniques to improve the handling of offenders. These responses have ranged from the calendaring of cases by computer instead of quill pen to the addition of more judges, district attorneys, courtrooms, bailiffs, clerks and the like. But these responses by the judiciary have not always considered the impact on other parts of the system.

Let's illustrate this with some hypothetical data. Assume that County A has determined that it has a backlog of 5,000 criminal cases which have been in a "holding pattern" for three or more months. Last year, the conviction rate was 90%. The disposition of convicted offenders last year was the pattern previously described--60% to probation, 30% to jail, and 10% to state prison. And finally, the "backlogged" cases will be moved forward into the justice system within one year due to the innovations that have been designed, additional personnel, etc.

Let's put this information into a justice system model with some hypothetical figures. Starting with 5,000 cases, 90% or 4500 will be found guilty or will enter a plea of guilty. These 4,500 are in addition to the normal findings of guilt of offenders moving through the courts. Of the 4,500, if sentencing patterns remain the same, 60% or 2,700 will be placed on probation, 30% or 1,350 will be ordered to the county jail, and 10% or 450 will be ordered to state prison. At the end of the year, the court log jam will be broken but the correctional system will be on the verge of collapse.

Let's see what could happen. If the county jail facility has an average daily population of 5,000 inmates, where does the sheriff house the 1,350 new prisoners? What impact will the addition of these new prisoners have on the program activities in the jail system?

What will be the impact on the probation department? Assuming a case load organization of one probation officer for each 50 probationers, can the probation department, in fact, secure an additional 54 officers within that year and provide appropriate logistic and personnel support?

Situations like these indicate one basic rule for you as a criminal justice planner--

> Significant changes in one part of the criminal justice system will have impact, sooner or later, on other parts of the system.

The situation described above has been put into flow chart form in Visual Aid 3-9. It can be readily seen how the chart form makes the essential information easier to grasp and understand.

VA 3-9

4.3 Comparing Interagency Performance

Another illustration of the use of decision-point percentages will be useful. Assume two police precincts with similar civilian populations and an identical reported crime rate. Precinct A has a clearance rate of 40%. Precinct B clears 15%. Decisions about the police personnel in these two precincts--promotions, transfers, etc.--may be based on these rates and what they apparently signify. On the surface, Precinct A has a much better performance record.

However, if we view arrest statistics as but one set of justice data, it would be appropriate to examine the decisions at other points in the system, such as the prosecution and conviction rates. Would our judgment as to superior performance in Precinct A change if the prosecution rate for cases which originated there was 50% while Precinct B had a prosecution rate of 70%?

Prosecution rates are an outcome of district attorney decisions, which include considerations as to the advisability of taking cases to court based on the overall quality of the investigation, the evidence available, the chances of success and so on. Further, what if the rates for cases from Precinct A are 40%, and cases from Precinct B are 60%? Conviction rates represent decisions by judges and juries. Again, which precinct has the better overall justice system performance, A or B? Using the system flow chart approach to analyzing and understanding problems, we have entered this information in Visual Aid 3-10.

VA
3-10

5.0 USING THE SYSTEM FLOW CHART ANALYSIS TO PLAN ACTION PROGRAMS FOR THE CRIMINAL JUSTICE SYSTEM

We have described a three-step process which produces a portrait of the criminal justice system. The steps are:

1. Construction of a system flow chart
2. Insertion of criminal justice data
3. Calculation of two sets of percentages, or system rates
   A. Input percentages
   B. Decision-point percentages

Although the resulting portrait may suggest appropriate interventions to bring about desired changes, it is not a plan. If we are going to plan changes that will improve the system, we need to know what to change. We need to know what factors influence the rates we are plugging into our charts. These are called "rate determinants."

5.1 Rate Determinants

As we review the performance of the criminal justice system and/or its components by examining the system charts and the data in them, it is likely that there will be some misgivings about efficiency and effectiveness. For example, can we be satisfied with a clearance rate of 20% or a parole success rate of 50%?

If we are dissatisfied with some of these rates, it is appropriate to intervene in the system to bring about change. Needless to say, the interventions are not always well thought out, relevant, or rational.

But there may be a more appropriate method of intervention, starting off with identification of what Klein, et al. (see readings) have called "rate determinants." Rate determinants are basically those factors or variables which have impact upon or seemingly influence the various rates which have heretofore been calculated--the clearance rate, the conviction rate, the success rate, etc. These determinants are not to be equated with "causes," for the notion of cause leads to an effect, and there is some certainty that such one-to-one relationships do not generally exist in the justice system.

Here is a helpful example. Assume a burglary clearance rate of 25% and ask what factors would most likely influence that rate to be what it is. Or from a different tack, what are the variables which make the clearance rate 25% instead of 50% or 80%? These variables or factors are rate determinants. Some of them can be readily identified, some can be assumed, some are the result of a "gut level" or intuitive feeling.

It would seem that among the determinants of the clearance rate are such things as the number of officers assigned to the burglary detail, their level of training, and the priority given by the police department and others to burglary clearance. Simply put, if only five officers are assigned to investigate burglaries in Gotham County, it seems likely that the clearance rate will be low. Further, if these officers investigate burglaries in a manner like that of Gunther Toody and Francis Muldoon in "Car 54 - Where Are You?", it is likely that the clearance rate will be low. And if burglary is

priority #19 in the scheme of things with overtime parking enforcement being #1, it is likely that the clearance rate will be low although city revenues will be high.

The identification of rate determinants is not a simple thing. The identification may come from several sources--expert opinion on one hand, research data on the other--and in between, all other inputs including the now famous "SWAG"--the "Sophisticated Wild Ass Guess." But the point is that there should be an attempt to separate out from all of the variables which may impact on crime and its processing those which are most likely to impact on the rates, and further, to make these determinants as explicit as possible. Once this is accomplished, a reasoned intervention is possible.

We have to realize that there are variables or rate determinants over which the criminal justice system has no control and little impact. These include such factors associated with crime and delinquency as minority group status, prejudice and discrimination, poverty, unemployment, inadequate housing and education, the broken home syndrome and the welfare cycle, and so on. Although these and similar factors may influence the various rates in the justice system, there is little likelihood of a meaningful justice system impact upon them. Accordingly, "poverty" as a determinant of the overall property crime rate is not particularly useful. The system may, in some cases, be required to deal with "effects," not "causes."

5.2 Interventions

Interventions in the justice system designed to bring about desired changes in the various rates about which there is concern should not be general but explicit and directed toward the identified rate determinants. Programs and projects flow from goals which, in turn, are developed in the problem identification process.

Building on the previous example of burglary, programmatic interventions should focus on numbers of officers, levels of training, and issues of priority. Appropriate interventions might include the addition of more personnel to the burglary detail, training programs which increase the competence of the investigators, and giving burglary a higher priority.

In short, the requirement is to match the programs with the perceived determinants rather than to generate generalized burglary programs.

A collection of planned interventions to deal with the determinants can comprise a total planned program.

5.3 Evaluations

There are numerous specific methods available to evaluate programs. There is, however, a relatively simple method for generally assessing programs based on the total processes described above. Following specific program interventions into the system based upon identified rate determinants, the various percentages or rates may be calculated again--three months, six months, a year later.

Again building on the previous example, a desire to increase the clearance rate from 20%, the rate may be recalculated at fixed

or irregular intervals. To the extent that it goes up, there may have been a successful intervention, although it may not be instantly certain which one of the three suggested interventions, if any, was more significant.

But, in any event, the new percentage or system rate allows some decisions to be made as to whether it is or is not now satisfactory. The system regenerates itself.

But a word of caution--if the statement made earlier that change in one part of the system will result in change to other parts of the system is correct, it will be necessary to recalculate all of the system rates. It is unlikely that only the clearance rate will be changed.

What if the clearance rate does not change after the three suggested interventions? Several possible explanations exist--and the planner should always have more than one available! The most likely explanation is that the correct rate determinants were not identified in the first place. This would result in inappropriate interventions being used. But in any case, we have the data and can go "back to the drawing board" better equipped than we were before.

Another possible explanation as to why the rates did not change might be related to the warning issued earlier--changes in other parts of the system might be impacting on this part of the system. This suggests that system flow charts must be regularly updated and reviewed.

6.0 SUMMARY

We have described an approach to criminal justice planning that builds on a "system model." It requires the construction of detailed models or flow charts of the justice system, the insertion of data into the charts, and the calculation of system rates both in terms of inputs into the system and at decision points in the system.

This approach emphasizes that those system rates which are of concern to the justice planner should be addressed by first identifying the rate determinants, e.g., the factors or variables which impact upon the rates and, second, by intervening in the system with programs and activities directed specifically to the rate determinants.

Evaluation of impact, at least in part, may be assessed by recalculating the system rates at points in time after the interventions.

New system rates produced by the interventions provide the starting point for another cycle of reasoned entry through planning into the deficiencies of the system.

We have emphasized one point several times: changes in one part of the system will produce changes in other parts of the system. It is impossible to rock only one end of the boat. If this approach is applied system-wide or even to major segments of the justice system separately, there must be constant updating and regular review to insure that the system flow is either unchanged or that all changes have been portrayed and that all cases are accounted for--the entire system must be consistently scanned.

ANALYZING THE PRESENT SITUATION: A SYSTEMS APPROACH

PART III. Supplementary Information

QUESTIONS FOR CLASS DISCUSSION AND REVIEW

1.0 INTRODUCTION

1. We have taken the desirability of systematizing the entire criminal justice system somewhat for granted. Being able to look at both sides of an issue is an important ability for any criminal justice planner. What might be some of the possible negative aspects of complete systematization of the system?

2.0 BACKGROUND

1. The text states that "...the 'system' of criminal and juvenile justice sacrifices much in the way of efficiency and effectiveness in order to protect the individual and to preserve local autonomy." Does this imply that making the system more efficient could endanger civil rights? What are some other implications of this statement?

2. Would a fully "systematized" criminal justice system be more or less adaptable to changes in society in general, criminal activity, and other social problems which have impact on the system? Develop arguments for both sides of the question.

3. Is unequal justice due more to system deficiences, differences among jurisdictions, or both?

4. Has the emphasis of "system" that has developed in criminal justice in recent years distracted us from working toward crime prevention or not? In other words, have we been improving the hospital instead of eliminating the disease?

3.0 MODELS OF THE CRIMINAL JUSTICE SYSTEM

1. Does the fact that offenders "drop out" of the system at various points along the way necessarily mean that the "flow is not smooth"? What are some other factors that make for a "non-smooth" flow?

2. Someone complained that the law's processes take too long. He was told that the process is the law. How does this answer, correct or not, relate to our efforts to improve the system?

3. What are some of the problems a criminal justice planner may meet in getting data from agencies to put into flow charts? What are some ways of overcoming these problems?

4.0 USING FLOW CHARTS FOR OTHER TYPES OF ANALYSES

1. Projections of crime trends, case outcomes, etc., assume certain impacts on one or more criminal justice agencies or facilities. What are some of the ways these agencies adjust to these impacts short of major overhauls in facilities and

personnel? How would knowledge of these ways of adjusting be valuable to the criminal justice planner and program administrator?

2. How can excessive attention paid to percentages distract you from the significance of the raw numbers? How often does this happen in professional publications and the general media? Give some examples?

3. The flow charts in this module start with data representing events (crimes) and then switch at certain points to persons (probationers). What kinds of distortions (if any) are inherent in the charts because of this change? If there are distortions, how could they be corrected?

5.0 USING THE SYSTEM FLOW CHART ANALYSIS TO PLAN ACTION PROGRAMS FOR THE CRIMINAL JUSTICE SYSTEM

1. What kinds of data can a criminal justice planner use to support a statement that a particular decision point rate (e.g., a 50% clearance on burglaries) is too high?

2. Have the data from crime victimization research made studies based on reported crimes less valuable, more valuable, or have they had no influence on their value? Has the victimization research invalidated any of the major conclusions that have been developed from studies on reported crime? Give some examples.

Teaching Suggestions

The instructor should take a few minutes to give the class an overview of the content that will be covered in this lesson and explain how it is related to the general planning process model. Information presented in the preceding lesson which has a bearing on this module should be discussed as needed to give the class a sense of continuity of content.

VA 3-1 3-2

The instructor should be aware that some of the slides prepared for this module, such as those illustrating the flow charts, are designed to be shown in a fixed sequence for maximum effectiveness. Each slide in the sequence adds more information to the previous slide until the final one shows the complete illustration. Printed copies of the final slide can then be passed out to the students for inclusion in their notebooks. The "incremental" slides are marked with dashed-line boxes. It is hoped that by the time this module is presented, the instructor will have gauged the level of competence of the class and will adjust the presentation and discussion accordingly. The instructor is urged, of course, to make the best use of his own experience and that of the students to enliven the session.

1.0 INTRODUCTION

The instructor may be able to get the class involved quickly by polling them on where they feel the U. S. is now between the "reality" and the "fantasy" mentioned in the statement by Klein in the Introduction.

If he is familiar with the history of the entry of the "system approach" into criminal justice, a brief summary of this topic may be appropriate.

2.0 BACKGROUND

Comparisons of different degrees of systematization in the various components of the criminal justice system, or between comparable elements among or between States, for example, may be of value as part of the background. This would be particularly so if the level of systematization has been related to measures of efficiency, crime reduction, rehabilitation, etc.

Many students may be able to offer interesting commentary on how the non-systematic aspects of criminal justice are used to advantage by persons intent on thwarting the justice process.

Comparison of the current state of systematization in British criminal justice with that in the U. S. could provide some interesting historical perspective.

Explain how changes in the criminal justice process can "evolve more by chance than design."

3.0 MODELS OF THE CRIMINAL JUSTICE SYSTEM

The instructor should be careful not to give the impression that the lesson is equating "smooth flow" with maximum justice. The assurances of constitutional guarantees and due process should never be compromised for the sake of making the "system" work better.

The "informal processes" mentioned in this section may need some "real-life" examples from the experience of the instructor or the students.

Depending on the level of mathematical ability in the class, the instructor may wish to pass out blank copies of the final forms of the flow charts which are developed step by step in the slides. They could then enter figures typical of their agencies or jurisdictions and go through some of the arithmetic to make sure they understand the basic steps.

The instructor should make clear the meaning of "unofficial" dispositions, give some examples, and clarify how they influence the data which are used and the resulting interpretations.

The hazards of using percentages computed on small base numbers should be stressed. This is particularly true in using the decision-point percentages.

4.0 USING FLOW CHARTS FOR OTHER TYPES OF ANALYSES

The instructor may want to discuss some of the problems the students may meet in using flow chart data for making comparisons between jurisdictions, time periods, types of crimes, etc. Such cautions would refer more to problems of comparability of data than use of the form but they are important nonetheless, especially in making interagency comparisons.

It may be informative for some students for the instructor to work through the arithmetic in the figures given in the text of Section 4.1 on projecting input percentages.

The instructor should ask students for examples from their own experience which illustrate how changes in one part of the system influenced other parts. These would be especially valuable if details on how the other parts of the system actually adjusted to the new situation--or perhaps failed to do so.

5.0 USING THE SYSTEM FLOW CHART ANALYSIS TO PLAN ACTION PROGRAMS FOR THE CRIMINAL JUSTICE SYSTEM

The terms "rate determinants," "cause," and "effect" may require additional clarification both in terms of designing programs and in their subsequent evaluation (which will be covered in a later module).

At this point, the instructor may want to refer back to the general planning process module to "position" the rate determination process within it.

Some illustrations from the instructor's experience (or published studies, etc.) of interventions which did not produce rate changes because of compensating changes in other parts of the system would help clarify this important point.

6.0 SUMMARY

Highlights of the module should be reviewed with particular stress on points which may have been more difficult to get across. Questions still unanswered in students' minds should be cleared up. The instructor may want to use a selection of the questions provided for review and discussion to enliven the wind-up phase of the module.

Instructor's Guide

MODULE 3-A

FORECASTING AS A PLANNING TOOL

Southeastern
Criminal Justice Training Center

Florida State University

FORECASTING AS A PLANNING TOOL

PART I. Introductory Information

Abstract
Lesson Objectives
Readings

PART II. Text

FORECASTING AS A PLANNING TOOL

PART I. Introductory Information

Abstract

This lesson presents forecasting techniques as rational, repeatable processes. Quantitative, rather than qualitative, forecasting approaches are stressed. It is assumed, however, that the great majority of students receiving the instruction have little or no mathematical aptitude. Thus, despite a quantitative emphasis, the required mathematics have been reduced to their simplest levels. Further, standard statistical symbols, in the form of Greek letters, are nowhere employed.

The primary objective of this lesson is to familiarize students with the basic concepts and techniques of forecasting. The secondary objective is to teach those students, with the necessary interest and aptitude, the specific mechanics of applying several techniques. Finally, some students, after receiving the instruction, may become motivated to the extent that they continue to develop knowledge and expertise by self-study.

Lesson Objectives

Upon completion of this lesson, the student should be able to:

1. Define and describe the basic concepts of forecasting.
2. Define and describe the factors which affect numeric forecasts.

3. Devise a simple branching chart showing future outcomes.
4. Visually approximate a trend line based on a scatter diagram and create a visual confidence interval.
5. Smooth raw data, using a weighted average, to more clearly define a trend line.
6. Understand the principles of least squares regression.

Suggested Preparation

None

Required Reading

None

Recommended Reading

1. Quantitative Tools for Criminal Justice Planning, U. S. Department of Justice, LEAA, U. S. Government Printing Office: 1975, 211-063/535, pp. 1-3.

   A compilation of readings designed to familiarize the planner with data collection and analysis tools. Articles within this text which are particularly relevant to forecasting include:

   Thomas A. Giacinti, "Predicting Crime Incidence and Determining Change," pp. 49-63.

   Brian Forst, "Statistical Techniques and their Limitations in the Analysis of Criminal Justice Data," pp. 113-121.

   Alfred Blumstein, "A Model to Aid in Planning for the Total Criminal Justice System," pp. 129-145.

2. Francis X. O'Leary, Jr., Basic Statistical Approaches for Use by Criminal Justice Agencies, Blackstone Institute, October, 1975. (Available from Blackstone Institute, 2309 Calvert Street NW, Washington, D. C. 20008.)

   This text explains the elements of both descriptive and inductive statistics within a criminal justice context. It assumes that the reader has no prior knowledge of statistical theory and no more than a high school background in mathematics. The material presented provides a basis for applying quantitative forecasting techniques.

3. J. Freund, Modern Elementary Statistics, Englewood Cliffs, N. J., Prentice-Hall, 1967.

   This college level text is a logical successor to Recommended Reading No. 2 (above). While technically more complex, its contents should be comprehensible to the average reader.

4. Samuel B. Richmond, Statistical Analysis. New York: The Ronald Press Company, 1964.

   This graduate level text further develops and adds to the concepts and techniques presented in Recommended Reading No. 3 (above).

5. The following readings provide a general framework and stimulating ideas with respect to the subject of futures research.

   Robert U. Ayers, Technology, Forecasting and Long Range Planning. Englewood Cliffs, N. J., McGraw-Hill, 1969.

   Theodore J. Gordon, "The Current Methods of Futures Research," The Futurists, edited by Alvin Toffler, New York, Random House, 1972, pp. 164-184.

   Kahn et al., The Next Two Hundred Years. New York, Morrow, 1972.

FORECASTING AS A PLANNING TOOL

PART II. Text

1.0 SIGNIFICANCE OF FORECASTING FOR PLANNING

A. In a.m. we dealt with LEAA's past

B. In p.m. concentrated on analyzing the present

C. Emphasis now on forecasting future - directly relevant to problem analysis (tomorrow a.m.) and evaluation (Thursday) - in evaluation three futures ("will be," "might be," and "actually is") - did program action significantly alter future? VA 3A-1 3A-2

1.1 Forecasting Objectives

A. 100% - aware of basic techniques - learn basic concepts to improve communication and ability to question

B. 20% - to use techniques

C. 5% - to learn more on own

1.2 Prophecy versus Forecasting - Nostradamus - Emphasis on Rational, Repeatable, Transferable Techniques

1.3 Qualitative versus Quantitative - Covering only Quantitative - Delphi a Qualitative Technique to be Covered on Wednesday

1.4 Key Concepts - Variable/Change/Uncertainty - Assume Future to be a Logical Continuation of Past and Present

2.0 FACTORS AFFECTING FORECASTS OF VARIABLES

2.1 Trend - the long range tendency of a variable to steadily increase or decrease VA 3A-3

2.2 Seasonal factors - relatively predictable changes in a variable over the course of a year 3A-4

2.3 Cyclical factors - relatively predictable change in a variable over the course of several years 3A-5

2.4 Residual or unpredictable factors - act of God - changes in: laws - reporting definitions - the reporter - reporting capability - and, finally, junk in data 3A-6

2.5 Changing patterns 3A-7

3.0 PROBABILITY

Because of numerous factors affecting forecasts, must fact "uncertainties" by determining "probable" range of futures - what is probability? - coin tosses at board VA 3A-8

4.0 SYSTEM FLOWS

A. Number of persons VA 3A-9

B. Input rates - probability 3A-10

C. Next year's estimates - how confident? - back to coins

5.0 CALCULATING CONFIDENCE INTERVALS

A. R (100-R) (50) (100-50) = 2,500

B. Divide by # coins 2500/1,000 = 2.5

C. Take square root to get standard deviation $\sqrt{2.5} = 1.58$

D. Multiply by 2 (1.58)(2) = 3.16 = 3.2

E. On first toss % heads - 50% $\pm$ 3.2 = 46.8 - 53.2%

5.1 Application to System

		VA
A.	Standard deviation	3A-11
B.	95% confidence	3A-12
C.	1977 estimates	3A-13
D.	System flow forecast	3A-14
5.1.1	Practical exercise	3A-15
5.1.2	Handout	3A-16

5.2 Qualifications:

A. Works best when arrests high - poor results if arrests equal 100 as compared to 1,000

B. Works poorly for extremely small or large rates (e.g., 1% or 99%)

C. Assumes no trend - given trend will be inaccurate - question of "significant" change

D. Results improve with more years of data - see handout - use up to three years of data then replace with method to be covered shortly

6.0 LINEAR TECHNIQUES

6.1 Eyeball method

		VA
6.1.1	Reported crimes	3A-17
6.1.2	Scatter diagram - are factors at work?	3A-18
6.1.3	Eyeball method - equal areas	3A-19
6.1.4	Visual confidence interval	3A-20
6.1.5	Exercise 1 - tabulate results for 1981 (<5850, 5850 - 5949, 5950 - 6049, 6050 - 6149, 6150 +) Handout	3A-21

6.2 Moving Average

		VA
6.2.1	3 year moving average - for 1968 = (1967 + 1968 + 1969)/3 - lose first and last year - data much smoother - now an eyeball estimate for 1968	3A-22 3A-23 3A-24
6.2.2	Why 3 years - odd better than even - if 5 years lose 2 years of data at extremes	
6.2.3	Exercise 2 - tabulate results	

7.0 SUMMARY

End of mandatory session - complexity of forecasting CJ system in year 2000 - importance of qualitative approach

6.3 Least Squares Regression (OPTIONAL)

		VA
6.3.1	Explain equation for a straight line - intercept - slope - as stated from another intercept	
6.3.2	Relate to crime data - C = 3.6 + .5(T)	3A-25 3A-26
6.3.3	Shift intercept to midpoint - midpoint = (# years + 1)/2 - odd # years versus even # - calculate T values	3A-27
6.3.4	At midpoint - crimes = average crimes - average always on least squares line - calculate average crimes for period - this is the value for "A" (midpoint intercept) - est. crimes = 6.31 - B(T)	3A-28

6.3.5 To calculate "B"

A. Multiply each C x t and sum

B. Square each T value and sum

C. Divide sum of C x T by sum of the T squared

D. B = .50

E. C(est.) = 6.31 + .50(T) VA 3A-29

F. Shift intercept - C(est.) = 3.56 + .50(T)

6.3.6 Exercise 3 - no tabulation

6.3.7 A confidence interval VA 3A-30

A. Calculate standard error of estimate

1. Estimate crimes for each year and sum - sum est. = sum actual - 63.1 = 63.1
2. Subtract estimated from actual and sum - sum deviations = 0
3. Square deviations and sum
4. Divide by number years
5. Take square root

B. Degree of confidence in least squares regression depends on number of years of data - given 10 years of data multiplication of the standard error of estimate by 2 will produce an approximate 90% confidence interval VA 3A-31

6.3.8 Rules of least squares VA 3A-32

6.3.9 Adjustment for obvious cyclical factors - created by dividing each year of actual data with least squares estimates to get adjustment factors VA 3A-33

1. Odd years - actual/regression = .962
2. Even years - actual/regression = 1.038

6.3.10 Summary (Handout) VA 3A-34

ANSWERS TO FORECASTING EXERCISE 1

	1974 RATE	R TIMES 100-R	DIVISION BY ARRESTS (1500)	SQUARE ROOT	TIMES 2	95% CONFIDENCE INTERVAL
Prosecuted	76%	1824	1.216	±1.103	±2.2	73.8-78.2
Not prosecuted	24	1824	1.216	±1.103	±2.2	21.8-26.2
Convicted	55	2475	1.650	±1.285	±2.6	52.4-57.6
Not convicted	21	1659	1.106	±1.052	±2.1	18.9-23.1
Probation	33	2211	1.474	±1.214	±2.4	30.6-35.4
Jail	16	1344	.896	± .947	±1.9	14.1-17.9
Prison	6	564	.376	± .613	±1.2	4.8-7.2

ANSWERS TO FORECASTING EXERCISE 2

1. About 6,000

2.

Year	1		2		3			
1972	?		5,150		5,200			
1973	5,150	+	5,200	+	5,200	=	15,550/3	= 5,183
1974	5,200	+	5,200	+	5,400	=	15,800/3	= 5,267
1975	5,200	+	5,400	+	5,550	=	16,150/3	= 5,383
1976	5,400	+	5,500		?			

About 5,950 to 6,000

3.

Year	Crimes	Time (T)	C x T	T^2
1972	5,150	-2	-10,300	4
1973	5,200	-1	- 5,200	1
1974	5,200	0	0	0
1975	5,400	+1	- 5,400	1
1976	5,550	+2	+11,100	4
	26,500	0	+ 1,000	10

A = 26,500/5 = 5,300

B = 1,000/10 = 10

C = 5,300 + 100(T)

$C_{(1981)}$ = 5,300 + 100(7) = 6,000

Instructor's Guide

MODULE 4

PROBLEM IDENTIFICATION AND ANALYSIS

Southeastern
Criminal Justice Training Center

Florida State University

PROBLEM IDENTIFICATION AND ANALYSIS

PROBLEM IDENTIFICATION AND ANALYSIS

PART I. Introductory Information

Abstract

The purpose of this module is to impress upon participants the importance of the problem analysis step in the planning process, what is to be expected from this step, the data needs for problem analysis and elementary techniques for data analysis. The module is organized into three parts, covering the reasons for problem identification and analysis, data needs and sources, and data analysis techniques.

Lesson Objectives

Upon completion of this lesson the planner should be able to:

1. Define and describe the problem identification and analysis phase of the planning model.
2. Understand and identify the data elements required for problem identification and analysis.
3. Identify useful sources of data.
4. Understand common problems of data and data analysis.
5. Analyze data through the use of rates, cross-tabulation (contingency) tables, and control variables.

Required Reading

Forst, Brian. "Statistical Techniques and their Limitations in the Analysis of Criminal Justice Data." In Leonard Oberlander (ed.), Quantitative Tools for Criminal Justice Planning. Washington, D. C.: Law Enforcement Assistance Administration, 1975. 113-121.

Oberlander, Leonard and Blair G. Ewing. "Quantitative Tools for Criminal Justice Planning." In Quantitative Tools for Criminal Justice Planning. Washington, D. C.: Law Enforcement Assistance Administration, 1975. 1-10.

Recommended Reading

Oberlander, Leonard (ed.). Quantitative Tools for Criminal Justice Planning. Washington, D. C.: Law Enforcement Assistance Administration, 1975.

PROBLEM IDENTIFICATION AND ANALYSIS

PART II. Text

1.0 INTRODUCTION

This is the fourth lesson module in this course. The first lesson was designed as an introduction and overview of the course. In that lesson you were encouraged to view the planning process as a series of stages--problem identification, of course, is one of the stages in the process.

The second lesson in the course deals with the preparing for planning phase. In this lesson you learned about the importance of strategy formulation. The execution of the problem identification and analysis phase depends heavily upon the decisions made in the "Preparing for Planning" phase. Many of the early decisions made during this phase can improperly define planning roles, hire the wrong types of personnel, organize them improperly and too narrowly define planning information needs. Thus, organizing, planning, and managing this phase of the planning process is at least as important as the actual collection and analysis of data.

The third lesson moved us even closer to today's subject. It was concerned with problem identification using a systems approach. It provided one way of conceptualizing this complex system.

We turn now to some practical techniques to help you "size up" your job and to determine what data to collect and how to collect it.

It provides some techniques on how to collect and how to analyze data. These techniques are particularly relevant to the section of state and local comprehensive plans which address "problems and needs." Keep in mind that you will be using many of these techniques in an exciting, intense learning exercise later in this course, and that this phase of the planning process becomes the basis for goal setting, the next lesson module you will be exposed to.

Now, if we have this phase of the planning process model properly located, let us turn to the objectives of this lesson. As shown, there are five very specific performance objectives each participant should be able to accomplish when this lesson is over. We will attempt to reach these objectives through the outline indicated.

VA 4-1

VA 4-2

1.1 The Function of Problem Identification Analysis

What we do about a problem is, to a large extent, dependent upon what we know about the problem and our understanding of it. We will see in Module 6 that the development of programs and projects proceeds from the types of information on problems that are generated in this step. Hence, it is important that careful attention be given to these analytical activities. As noted in Module 1, while it may not always be possible or practical to collect and analyze data sufficient to generate a complete understanding of a problem and its causes, sufficient data is usually available for analysis to give us at least an elementary understanding of a problem and an indication of what to do about it. The planner must assess the extent to which new data can be collected and analyzed given extant

time and resource constraints and the possible yield of further analysis for understanding the problem and adjust his planning strategy accordingly.

1.2 Definition of Problem Identification and Problem Analysis

Reduced to simplest terms, problem identification involves discovering and describing what is happening. Problem analysis involves establishing why it is happening. Problem statement(s) are the output relating "what and why" to one another.

VA 4-3

These statements will be especially useful in completing the problems and needs section of state and local comprehensive criminal justice plans.

Constructing a problem statement involves a deliberate conscious attempt to clearly state what the problem is and why the problem is occurring. This statement relates the "what" and "why" to one another. As the planner's information becomes more complete, the problem statement can become more precise.

In a problem statement, both the "what" of the problem and the "why" of the problem are answered. The "what" of a problem essentially involves a description of events and conditions surrounding the problem. From an analysis of data reflecting the "what," statements as to "why" are made possible. "Why" statements involve inferences, logic, and hypotheses that derive from our understanding and analysis of the events and conditions surrounding the problem and lead us toward suggesting alternatives for dealing with the problem. Thus, problem identification and analysis, and what we do

about a problem are closely linked. To the extent that we can undertake analysis of "what" has occurred and use this analysis to suggest "why" it has occurred, we are more likely to formulate effective alternatives for dealing with the problem.

Handout 4-4 represents an example of a problem statement. It covers a number of particular points included under our "what" is happening heading--the magnitude of the problem, who is affected and where, including a description of some of the environmental conditions surrounding the problem. From these descriptive statements an attempt is made to explain the problem, i.e., address the "why." The why statement then leads to suggestions for corrective action.

VA 4-4

1.3 Relevance of Data to Problem Identification and Analysis

Data are therefore an important component of problem identification and analysis.

Data are Necessary in Problem Identification for:

* Defining and expressing the boundaries of a problem,
* Describing a problem,
* Measuring the extent of a problem,
* Stating a problem (a problem statement).

VA 4-5

Data are Necessary in Problem Analysis for:

* Aggregating,
* Classifying or sorting,
* Comparing,
* Measuring,
* Analyzing,
* Describing the "why" of a problem.

VA 4-6

While data are necessary for problem identification and analysis, they serve no purpose in a vacuum. You must have a model of some sort

that the various building blocks, data elements, can fit into, so that upon completion your model is both a comprehensive and cohesive portrayal of the problem. The next section will discuss a conceptual model for collecting data--what types are necessary for answering the "what" question, and where these data can be obtained.

2.0 DATA TYPES AND SOURCES

Our review of strategies for planning in Module 2 suggested the type of data needs for problem identification and analysis. One obvious category of data needs relates to the problem itself--i.e., its magnitude, rate, rate of change. Recall that a general model was also presented in Module 2 in which three types of objects upon which the planner may operate were identified--individuals, environment and system. It follows from this that an understanding of the problem, leading to the formulation of the "why" statement and eventually to alternative programs and projects, should incorporate data in these three categories. Thus, in addition to our basic data on magnitude and rate of a problem, the planner wishes to know:

VA
4-7

a. characteristics of individuals involved
b. characteristics of the setting or environment of this problem
c. characteristics of the C. J. system dealing with the problem

For any particular problem, one or more of these data sets may be of greater importance than others. Together, however, they are meant to represent a total description of a problem.

Some examples of the types of questions that various types of planners may ask which reflect data needs in these areas are:

a) law enforcement planner, concerned with problem of rape.

1. Characteristics of problem: Magnitude and rate of the crime.

2. Characteristics of individuals: What are the characteristics of victims? Of offenders?

3. Characteristics of environment: Where are rapes occurring? at what time of day/night? Are there any particular characteristics of the setting in which the crimes have occurred (e.g., parks, homes, etc.)?

4. Characteristics of system: How have the police responded to reported rapes? Do they have the facilities for handling victims? Are the areas in which rapes have recurred covered by patrols?

b) corrections planner, concerned with problems of job training for inmates.

1. Characteristics of the problem: Employment/unemployment rates of relevant offenders.

2. Characteristics of individuals: What are the occupational and educational backgrounds, capabilities of inmates?

3. Characteristics of environment: What types of employment possibilities exist? What areas of the economy are growing, declining as they may impact on the employment possibilities? What are the problems within the community of finding jobs for ex-convicts?

4. Characteristics of the system: What job training programs are currently offered? How are trainees accepted? How successful have these programs been?

2.1 Types of Data

The general questions in the four areas of problem, individual, environmental and systems data can be converted into specific data needs. The particular types of data falling within the four categories

are extensive, and all types may not be necessary for analysis of a particular problem. Nevertheless, it is instructive to attempt to list examples of generally relevant types.

A. Problem data: number of events
rate of events
changes in rate over time

VA 4-8

B. Individual data:

1. victim-oriented data--may include: age
race
sex
occupation
past victimization
other:_____

VA 4-9

2. offender-oriented data--may include: age
race
sex
occupation
prior offenses and types
residence
physical makeup, defects
emotional makeup
education
vocational potential
other:_____

C. Setting/Environmental Data:

1. event data: modus operandi
violence characteristics
property taken/damaged
victim response

VA 4-10

2. target data: type of place
physical security
geographic location
time of crime

3. neighborhood data: physical characteristics of area
social/economic characteristics of area
density of area
accessibility of area

4. social context data: family organization and stability of offender
other social ties, friendships

5. other public policy considerations: building codes
licensing requirements
welfare aid requirements

D. Systems Data

1. police sub-system
2. courts sub-system
3. corrections sub-system

VA 4-11

Again, it is important to note that no comprehensive list of data requirements can be produced. Data requirements may be unique to particular problems, and the data collected and analyzed should be thought out as to their relevance to the problem. Hence, data on victims is of little significance to corrections planners concerned with job training; a courts planner concerned with problems of jury selection may need data on problems of the elderly called for jury duty and is not concerned, for this particular problem, with event data relating to the crime, etc. In general, however, the four categories of data that will be necessary and the planner should think about each category as to his specific data needs.

VA 4-12

2.2 Sources of Data

Three sources of data are likely to be relatively available for use: published and unpublished statistics from criminal justice related agencies, published data from the U. S. Census and published/unpublished data from various non-criminal justice governmental agencies. In addition to data collected by other agencies, the

VA 4-13

planner may also wish to undertake original data collection through the use of questionnaires, sample surveys and direct observation. Questions related to questionnaire design, the construction of surveys and selection of samples, and field observation techniques will not be covered in this course since they do not represent the most basic data sources and would require more time to develop than is available here.

Traditional sources for criminal justice statistics are well known: police, court and corrections records provide data on crimes known to the police, arrests, court cases and disposition, parolees, etc. In addition to these standard sources, many extra sources exist which are not commonly recognized. Frequently, these sources have to be "dug out." An example of the potential for many different data sources is provided by the flow chart (see page 4-14) constructed for the SIMMS project (Simulation Model of Mandatory Minimum Sentencing). The flow chart represents the steps in the criminal justice process. Within each rectangle of the flow process is indicated data and sources generally available at that stage in the process. In addition, other data were ferreted out from related agencies bearing on that step in the process. These are indicated by the circles on the chart. While sources of these other data may be unique to Florida, it is likely that some also exist in other states and that unique data sets and sources will also exist in other states. The object of the diagram is both to show some of these other likely sources and to illustrate the greater availability

VA
4-14

of criminal justice data within the system than might be commonly believed or commonly used.

Beyond traditional and non-traditional data sources in the criminal justice field, other sources exist for non-criminal justice statistics. These other sources are used extensively by other types of planners but are often less known by criminal justice planners. The most widely available of these other sources is the dicennical Census of Population and Housing. The census is a basic source of information on population counts, characteristics of the population (age, race, sex, family size, place of birth, income, occupation, migration and others), all cross-tabulated. The Census of Housing reports information on housing types and occupancy, condition, costs, tenure, business types, sizes, employees, etc. In addition to the standard published data contained in the Census of Housing and Population, the Bureau of the Census also publishes Annual Population Counts (publication PC-1) providing updated population count data. Special censuses may also be commissioned from the Census Bureau.

Census material is available for a large number of different types of geographic areas, thereby allowing for relatively gross or fine analyses. From the largest to smallest units, there are U. S. Census, region, state, county, SMSA, urbanized area, enumeration districts, census tracts (population about 4,000), block groups (about 1,000 persons), and census blocks (area bounded by streets; not opposing block faces). In addition, special census computer tapes are available--the Public Use Sample tapes that allow for the

matching of housing, social, and economic characteristics on a household basis.

Beyond census sources, innumerable sources exist for data in most areas of social and economic life and government activity. Directories of data sources are available to guide the user to appropriate sources that are generally available. Some directories worth noting are:

1. Doris B. Holleb, Social and Economic Information for Urban Planning. Center for Urban Studies, University of Chicago, 1969.

2. Paul Wasserman, Statistical Sources. Detroit: Gale Research Corporation, 1974. (Updated periodically.)

3. Congressional Information Service, American Statistical Index (monthly).

4. John L. Androit, Guide to U. S. Government Statistics. McLean, Va.: Documents Index, 1973.

5. Index to Current Urban Documents. Westport, Conn.: Greenwood Press, 1976 (yearly).

Many local data sources will not be included in directories and the planner should investigate particular data sources and types within his local jurisdiction. Local city planning departments are a particularly valuable source for different types of data since these departments usually collect both their own data and relevant data from other local government agencies, utility companies and others. Thus, if local city planning departments do not have particular data sets, they frequently know where they can be had. These will include data on land use, land values, population distributions, traffic counts, social welfare statistics, housing

turnover, and others that may be relevant to particular criminal justice problems.

2.3 Data and Analysis Problems

While data are relatively widely available, these data may be of only limited usefulness. The planner involved in data collection and analysis must pay attention not only to data availability, but also to whether or not these data are so problematical as to be virtually useless. "Bad" data may lead to serious erroneous conclusions and other data problems may make analysis very difficult. Some of the more common data problems that the planner should be aware of are as follows:

a. inconsistent definitions in data collection--different jurisdictions may apply different definitions to particular phenomena so that data reflecting the magnitude of these events are not really measuring the same thing.

b. validity of data--validity refers to whether the data are true or valid measures of a phenomenon. Most official data suffer from relative invalidity. Crime data are only crimes known to the police and therefore may be relatively poor indicators of crime. The poorness of the indicator is likely to vary by crime.

c. inaccuracy of data--data may be erroneous. Errors can occur for a number of reasons. If the data were collected on a sample basis, the sample may have been too small or non-representative of the population. Errors in coding, recording, tabulations, etc. are common.

d. format of data--the data that are available from other sources may not be available in a consistent and useful format. Thus, some jurisdictions or agencies may only have summary data available, others may have raw data. Data may have been tabulated or aggregated in particular ways from one source which make them incompatible with other data sources or difficult to analyze. Data may reflect an inappropriate geographical unit.

e. incompleteness of data--critical gaps may exist in data sets.

3.0 DATA ANALYSIS

Between the collection of data to address the "what" question and the formulation of the "why" of a problem lies the analysis of data. Data analysis is an attempt to "make sense" of the data--to reduce it to forms that are more readily perceived and manipulated and to search for relationships between parts of the data so as to more readily understand what may be going on. From this understanding comes the formulation of the "why."

In this section we will cover some elementary but extremely useful techniques of analysis--the construction of rates and the construction of cross-tabulation tables for two or more variable analyses. A short exercise is included in this part.

3.1 Rates

Rates are a common method of displaying the magnitude of one phenomenon with respect to another. We commonly speak of crime rates, police clearance rates, recidivism rates, etc. In each instance the rate is established on the basis of the absolute value of the phenomenon in question relative to some basic phenomenon. Hence, the murder rate may be number of murders for a particular time period in a particular jurisdiction divided by the population of that jurisdiction during that time period. One hundred murders in a population of 10,000 persons yields a rate of .01 or 1%. Where the base to a rate is large, we frequently establish the rate

per 100 or per 1,000 persons. In this case the rate is 10 per thousand population.

An important consideration in the construction of rates is the selection of the appropriate base. Different bases will yield different rates and thereby give different impressions of the magnitude of a problem. In general, rates should be established on the basis of the population at risk, i.e., that group of people or objects that is exposed to the behavior being measured. A clear example is the case of rape. In a community of 10,000 persons having 100 rapes, the rate may be computed as 1%. This, however, is somewhat misleading since not all persons within the community are the potential targets for rape. Since it is commonly a crime against females, a better reflection of the rape problem in a community would be had by using only the female population as the base, and even better yet, only those females within the age groups for which the crime commonly occurs. If, in our community of 10,000 persons, there appears to be a disproportionately small number of females between the ages of, e.g., 10 and 60, then the rate may be 10% for females between the ages of 10 and 60 (when other than the entire population is used it is always necessary to specify the base upon which the rate is established), thereby giving a very different picture of the problem.

Rates may also be established over time, i.e., rates of change. Rates of change are also percentages of one rate established on the basis of another rate. Thus, if the murder rate in 1977 equalled

6% and in 1976 equalled 2%, we would say that the rate of change between 1976-77 was 200%. Rate of change should not be confused with change in rates. Between 1976 and 1977 the change in the murder rate was 4%. Either figure can legitimately be used, but both analysts and readers should be clear on which one is being used.

3.2 Tables

Absolute values and rates are most commonly expressed in tabular form. Tables may also be used effectively to analyze the occurrence of a crime with respect to other variables, such as the individual, environmental or system variables discussed above. This type of table, involving the display of magnitudes with respect to other variables, is called a cross-tabulation table.

The simplest cross-tabulation table is a 1 x 2 matrix showing rates or absolute frequencies according to two classes of another variable. For example, we may wish to study the incidence of auto thefts by method of theft--forced vs. non-forced. Hence, given 10,000 vehicles, and 500 thefts, 180 of which were forced and 320 non-forced, we have:

forced	non-forced
1.8%	3.2%

A slightly more complex example involves the joint consideration of two variables in a 2 x 2 matrix. We may wish to study the relationship between auto thefts, methods of theft and times of theft.

Breaking time down into two categories of daylight and night hours, we have:

	forced	non-forced	Σ
day	.2 (20)	1.7 (170)	190
night	1.6 (160)	1.5 (150)	310
Σ	180	320	

Thus, we find that the general auto theft rate is composed mostly of non-forced thefts which tend to occur about equally during the day and night time. Forced entry thefts are less common but more clearly occur during the night.

An extension of the analysis may involve the introduction of a third, control variable. A control variable is one that is used to partition the data set into separate categories according to the value that the control variable takes. Each part of the data set is then considered separately. Control variables are introduced on the assumption that the different values that the variable takes may make a difference in the relationships being studied. In this case we may suppose that the relationship between auto thefts, method of theft and the time of theft may have something to do with the age of the stolen vehicle, since newer vehicles have ignition locks, and may otherwise be more difficult to enter and steal. The introduction of this third control variable is handled by simply constructing separate tables for each value of the control variable.

Assuming that we create two values of the control variable, pre-1970 and post-1970 vehicles, we may have:

	Pre-1970 (6000)			Post-1970 (4000)		
	forced	non-forced	Σ	forced	non-forced	Σ
day	.25 (15)	2.8 (170)	185	1.0 (40)	.6 (25)	65
night	.75 (45)	1.7 (100)	145	2.0 (80)	.6 (25)	105
Σ	(60)	(270)	230	(120)	(50)	170

indicating that the majority of auto thefts involve pre-1970 vehicles. Of these most thefts are non-forced, and a greater percentage occur during the day. Few thefts occur for post-1970 vehicles, the majority of which are forced, occurring at night. Thus, if one were to attempt to do something about auto thefts, this analysis would indicate that the largest portion of the problem which should be attacked is non-forced daytime thefts of older vehicles.

It should be recognized that a number of different analyses could be accomplished with the same data, yielding slightly different information about our problem. The analysis should be constructed on the basis of the questions asked. Thus, while we asked about the percentages of forced, non-forced and day/night thefts according to (on the basis of) age of vehicle, it would also have been possible to focus on force, taking all percentages on the basis of the number of forced and non-forced vehicles. This analysis would have shown:

	forced			non-forced		
	pre '70	post '70	Σ	pre '70	post '70	Σ
day	8.3% (15)	22.2 (40)	55	53.1% (170)	7.8 (25)	195
night	25.0 (45)	44.4 (80)	125	31.3 (100)	7.8 (25)	125
Σ	60	120	180	270	50	320

Hence, the rates are very different in magnitude, although they yield similar information. Non-forced entries are the largest part of auto thefts, pre-1970 vehicles account for most non-forced thefts, and most occur during the day.

3.3 Exercise

A short exercise is provided, on handout 4-16, to be done individually. The purpose of the exercise is to give participants an opportunity to think about and handle the data analysis concepts. About thirty minutes should be allowed for completion and review of the exercise.

VA 4-16

Exercise

1. Computation of rates

   a. structures, by city

	1970		1960	
City	Residential	Commercial	Residential	Commercial
Gotham	1242	842	1175	800
Peanut	1950	5321	1760	4900

   b. burglaries, by city

City	Residential	Commercial	Residential	Commercial
Gotham	621	97	550	60
Peanut	195	36	180	10

Compute the overall burglary rate for each city for 1970.

Gotham (34.5) Peanut (3.2)

Compute the residential burglary rate, by city, for 1970.

Gotham (50%) Peanut (10%)

Compute the commercial burglary rate, by city, for 1970.

Gotham (11.5%) Peanut (67%)

Compute the rate of change in residential burglary between 1960 and 1970 for Peanut City. (2.2%)

2. Interpreting Tables with Controls

   a. Parole success (within two years of release) by race

Race	No. Failing	No. Succeeding
Black	81	34
White	40	51
Other	3	3

   b. Parole success (within two years of release) by race, controlling for job

	JOB		NO JOB	
Race	No. Failing	No. Succeeding	No. Failing	No. Succeeding
Black	5	31	76	3
White	8	50	32	1
Other	1	2	2	1

What does table a indicate?

What does table b indicate?

Do the data in table b alter the conclusions drawn from table a?

3. Controlling Other Variables

   a. Recidivism rate by disposition

Disposition	Recidivism Rate for Juvenile
Group homes	12%
Institutions	76%
Intensive probation	31%

What disposition is the most successful?

What other variables may be affecting recidivism?

How can you control for the potential effect of these other variables?

4.0 SUMMARY AND CONCLUSIONS

The most important concepts in Module 4 can be summarized as:

1. Problem identification and analysis are important steps for understanding what the dimensions and characteristics of a problem are, and for understanding why a problem exists. The what and why of a problem are the general components of the problem statement.

2. Answers to the what and why question require data collection and analysis. Generally, four categories of data are important. These are:

   (a) characteristics of the problem
   (b) characteristics of the individuals involved
   (c) characteristics of the setting/environment
   (d) characteristics of the criminal justice system

   For any particular problem, one or more of these categories may be more relevant. In addition, many specific types of variables exist under each category. The particular variables that the planner may wish to investigate are determined by the nature of the problem with which he is dealing.

3. Published and unpublished data are plentiful, but may present the planner with difficulties. Some common difficulties include lack of comparability between data sets, gaps in the data, inaccuracy of data and invalidity of data. The planner must be able to recognize these problems and make necessary accommodations to reflect them. Erroneous conclusions from bad data may be worse than no conclusions.

4. Simple and useful techniques of data analysis are available. Variables may be analyzed in conjunction with each other to study the details of the "what" question. The method of analysis is suggested by the questions that the analyst asks, with different questions yielding different analyses. The process of data analysis is both a rigid and innovative one. It is rigid in the sense that strict rules of analysis and methodology must be followed. It is innovative in the sense that the planner/researcher must decide on what questions to ask and what to analyze. Generally, better answers to the why question will be had when the planner exercises this innovation and searches the relevant data for relationships.

5. In general, a large number of problems may occur to compromise and otherwise make the problem investigation and analysis phase of the planning process a difficult one. Some problems that the planner may anticipate and should be ready to handle include: VA 4-17

   a. "Fuzzy" thinking and poor execution during the planning and organizing steps.
   b. Data collection effort not integrated.
   c. Gathering too much data--and getting lost in it.
   d. Not enough time.
   e. Not enough money.
   f. Limited staff (number or capability).

   g. Decision to use only "published" data.
   h. Data not integrated.
   i. Premature conclusions.
   j. Policy makers decide on solutions and work backwards.

PROBLEM IDENTIFICATION AND ANALYSIS

PART III. Supplementary Information

QUESTIONS FOR REVIEW

1. What is the primary purpose of the Problem Identification and Analysis step of the planning process model?

2. Discuss the relationship between this step in the planning process model and the alternative styles for using the planning process model as discussed in Module 1.

3. Give examples of the four types of data that the planner may wish to collect with respect to a particular problem.

4. What are some of the common data problems that the planner may face?

5. Define the concept "population at risk" and give an example.

6. Give an example of a control variable, indicating how it relates to a particular analysis. What is the purpose of employing control variables?

Teaching Suggestions

1. In discussing data sources, the instructor may wish to have copies of some of the sources available. These can be passed around to give participants the opportunity to become familiar with them.

2. The instructor should make extensive use of a chalk-board in developing the examples contained within Section 3.2 on contingency tables.

3. The exercise is designed to be completed on an individual basis. After completion, the instructor should review the answers with participants and explore any difficulties that emerge.

MODULE 5

Instructor's Guide

MODULE 5

DETERMINING PLANNING GOALS

Southeastern
Criminal Justice Training Center

Florida State University

DETERMINING PLANNING GOALS

PART I. Introductory Information

Abstract
Lesson Objectives
Suggested Preparation for this Module
Readings

PART II. Text

PART III. Supplementary Information

Questions for Class Discussion and Review

General Discussion Questions

Teaching Suggestions

An Exercise in Using the Delphi Technique

DETERMINING PLANNING GOALS

PART I. Introductory Information

Abstract

This lesson describes the function of criminal justice planning goals as part of the overall criminal justice planning process. It explains how goals should be the product of a rational planning process and how they can vary from broad mission statements to highly specific action objectives. Criteria for goal selection and definition are presented. Methods and techniques for establishing goals and setting priorities are described. An exercise in goal setting is provided.

Lesson Objectives

Upon completion of this lesson, the planner should be able to:

1. Determine planning goals more effectively within the context of the general planning process, the criminal justice system, and the community.
2. Use the major concepts of goal setting in the reduction of broad statements of problems and goals to objectives which can be achieved and measured.
3. Describe the relationship between goals and resources and the practical impact of this relationship on the criminal justice planner's job.
4. Describe the major goal setting steps.
5. Write clear and concise goal statements and describe the criteria that apply to both the statements and the goal setting process.

6. Describe and understand the utility of six different methods or procedures used in problem definition, goal setting, future projections, establishing priorities, etc.
7. Understand and appreciate the influence of political factors in goal setting and know how to use them to advantage.
8. Display a general understanding of why goal setting is a critical phase in the entire criminal justice planning effort.

Suggested Preparation for this Module

Review what has been covered in the program to date in order to develop a clear perspective of the location and function of goal setting in the general planning process.

Read Charles H. Granger's "The Hierarchy of Objectives."

Required Reading

Charles H. Granger, "The Hierarchy of Objectives," Harvard Business Review, Vol. 42, May-June 1964, pp. 63-74.

Recommended Reading

No recommended readings are provided. However, the planner may benefit from reviewing the "Planning Handbook for Law Enforcement Managers" prepared and used by the Los Angeles County Sheriff's Department (Report No. 15600-003, November 1, 1973). Agencies may obtain copies by writing on their letterhead to: Commander, EPC Staff Unit, Los Angeles County Sheriff's Department, 211 West Temple Street, Los Angeles, California 90012.

DETERMINING PLANNING GOALS

PART II. Text

1.0 INTRODUCTION

The setting of goals and some of the techniques that can be used in this phase of the planning process are described in this module. This phase of the general planning process follows directly after the problem identification and analysis phases and focuses on the major problems identified in these two previous activities. In the context of actual criminal justice planning, a single problem can be the source of many goals and each problem can be approached in a variety of ways.

The process for determining planning goals is described along with techniques which can be used to help the planner in the identification of alternative goals, selection of preferred goals, and planning for implementation. The module also emphasizes the relationship between goals and resource allocation, criteria for developing goal statements, and the benefits and purposes of developing clear goals.

VA
5-1
5-2

Illustrations, class discussion, and exercises will be used to provide the student with an opportunity to try out selected goal setting methods and to test his grasp of the procedures and the general subject matter. Before getting into the more technical

aspects of the module, it will be helpful to review some of the basic concepts that we will be using to make sure we have a common understanding of what we are talking about.

1.1 Concepts and Definitions

The following concepts and related examples are important for the criminal justice planner to understand: VA 5-3

Concept and Definition	Example
Goal A desired future state; plans expressed as results to be achieved (general--not time limited).	To do justice
Objective A specific condition to be attained by a specific program of activities (time limited and measurable). Objectives advance the system toward corresponding goals.	To provide a speedy trial in felony cases as provided by the Constitution by the end of 1980.
Standard A criterion statement used to evaluate activities in relation to program goals and objectives.	To provide a trial in felony cases within 90 days of arrest.
Performance Measure A more precise criterion statement used to evaluate activities in relation to program standards, objectives, and goals.	The number of percentage of cases which meet (or do not meet) the standard of felony trial within 90 days of arrest.
Management by Exception A precise statement of when decision makers want to be notified of deviation (or exceptions) from performance measures, standards, objectives, or goals.	Notify the presiding judge and court administrator when more than five percent of the felony cases set for trial exceed the 90-day standard. Alternately, notify the presiding judge and court administrator when any case set for trial will violate the 90-day standard.

VA 5-5

Concept and Definition	Example
Management by Objective A precise statement of when decision makers want to be notified of the achievement of specified goals and objectives.	Notify the presiding judge when 95 percent of the felony cases set for trial are handled within the 90-day period.

In the following example, "management by objective" is used rather than "management by exception."

Goal: To reduce felony crime.

Objective: To decrease response time to felony calls by 10% within the next twelve months using the average time for the previous year as the baseline.

Standard: Response time to felony calls should be no greater than five minutes between the time the call is received and the time the unit arrives on the scene.

Performance Measure: The number of percentage of felony calls in which the responding unit meets the standard of five minutes or less elapsed time between call receipt and unit arrival.

Management by Objective: Notify the chief of police as soon as 95% of the response times in felony cases regularly require less than five minutes.

Several of the elements in the hierarchy described above are, of course, subject to change as circumstances in the community or in the agency change. It is desirable, of course, after careful planning, to hold as firmly as possible to realistic goals, to set standards that are considered to be achievable, to keep consistent and accurate performance measures, and to maintain the management response deemed most appropriate. After a period of time, and analysis of the agency's efforts to achieve the specified goals and objectives,

it may be possible to raise the standards, improve the accuracy of the performance measures being used, and use a "management by exception" operational procedure to alert the chief when performance falls below the specified standard. An example of a needed change might come from community pressure regarding response time. It could be initiated by citizen groups, picked up by the newspapers, carried to the political level and back to police officials. Under such circumstances, the police chief may want to change the management by objective measure to, "Notify the police chief each and every time the response to a felony call exceeds five minutes."

In addition to the major benefits directly related to goal setting, the procedural steps just described have other operational benefits. One of the major benefits in developing and using management by objective in any operational agency is that it automatically provides feedback to decision makers under specified conditions. When such feedback is not provided to them, their assumption can reasonably be that the agreed upon standards are being met and that there is no need for their intervention. It should be pointed out also that collection of the data and the feedback procedure can be carried out by support staff without the need to place an additional burden on operational personnel. The collected data on response time also make a valuable record of performance which can have useful research applications in detecting problem areas regarding personnel efficiency, work load distribution, crime frequency, etc.

It should be apparent from the definition of these concepts that they form a hierarchy from broad to specific and from the policy making level down to the operational working level. The impact of the community is felt at all of these levels and the planner must be alert to the resulting pressure and plan accordingly within this context. The planning context is discussed in the following section.

2.0 THE IMPORTANCE OF CONTEXT IN THE GOAL SETTING PROCESS

Goals should be established in the context of identified problems. The Introduction mentioned several types of problems, both crime and procedural, and the necessity for considering the context of the problem when setting goals and planning for their achievement. The planner should keep in mind the fact that "context" has the amoeba-like qualities of crime in general as discussed in Module 3. It is often difficult to describe, changes constantly in size and shape, and is difficult, at best, to measure.

VA
5-6

Assuming that problems, needs, and opportunities have been accurately established and described, goal setting becomes much easier. The goal setting process provides the direction, guidance, and foundation for planning activities designed to solve the problems they address. For example:

Problem	Goals
The use of dangerous drugs and narcotics has apparently increased rapidly in Ventura County as demonstrated by an increase in arrests from 650 in 1960, to 3,567 in 1975.	#1. To decrease the demand for dangerous drugs and narcotics. #2. To reduce the supply of dangerous drugs and narcotics.

The goals in this example represent overall goals in relation to the major problem. More specific objectives would be stated which expand on the direction or intent suggested by the goals and which comprehensively address aspects of the problem. These objectives will "flow" from detailed problem analysis.

Sometimes problem analysis and planning can be assisted by looking at the problem as having at least three major elements as illustrated by the triangle in this diagram. Depending on which side of the triangle is considered, different goals can emerge.

VA
5-7

Cause	Goal
Psychological need or physical addiction to drugs to alleviate stress, anxiety, inability to cope, etc.	Alter the basic social, psychological, economic or physiological conditions which contribute to the need to use drugs.
Symptom	
A dramatic increase in the number of arrests for possession and use of dangerous drugs.	To reduce the use of dangerous drugs by county residents and others under county jurisdiction.
Effect	
Increased numbers of burglaries and robberies by addicts to obtain money to purchase drugs.	Arrest addicts early in their crime activities and provide medical, psychological or social therapy as indicated.

2.1 Relationship between the Goal and its Objectives

While the goal is usually stated in very general terms, the objectives related to that goal should meet the criteria of being feasible, suitable, desirable, valuable, time-phased, measurable, and challenging.

The planner should use the words "why" and "how" to test the relationship between the stated goal and its related objectives. Asking the question "why" helps the planner determine whether there are logical links between the goal and the objectives. It is helpful to think of the relationship as follows: each lower level objective should answer the question "how" more specifically while each higher level objective in the hierarchy more specifically answers the "why" question.

If the objectives to not seem to "fit" the goal and asking "how" does not result in a more detailed description of what is to be accomplished, then the decision maker must decide whether the goal, the objectives, or both must be modified.

Example: A Goal and Related Objectives

VA
5-8

Goal: To reduce the use of dangerous drugs and narcotics.

Objectives: Create a multi-agency tactical squad of sixteen narcotics officers to increase arrests of major narcotics vendors by 40% during the next 12 months.

Reduce the influx of narcotics into the community by 30%, using specified data as a baseline, within the next six months.

Implement methadone maintenance treatment for 500 addicts within the next 12 months.

Develop and conduct educational programs for 500 youths and 300 adults on the hazards of narcotics and dangerous drugs within the next six months.

Here is another example:

"Referrals to court intake for minor offenses by police, schools, parents, etc., during the project period, as compared

to one year prior to the project, will show a differential and statistically significant decrease. The magnitude of the respective referrals to the Youth Services Bureau will account for the measured decreases." This objective emphasizes the need for before-after evaluation and for giving the project enough time to have an impact.

2.2 Relationship between Goals and Resources

The planner must always be aware when selecting among goals that resources committed to one goal cannot be committed to another. For example, the cost of reducing crime by expanding an enforcement program may be at the expense of a rehabilitation program if both cannot be done because the available resources are limited (as they always are). Ivan Illich has described this dilemma forcefully in regard to modernization:

VA 5-9

> "Each car which Brazil puts on the road denies fifty people good transportation by bus. Each merchandized refrigerator reduces the chance of building a community freezer. Every dollar spent in Latin America on doctors and hospitals costs 100 lives.... Had each dollar been spent on safe drinking water, a hundred lives could have been saved."*

In a sense, then, each goal is in competition with other goals and criminal justice goals are in competition with goals developed by planners concerned with other social problems.

There is a tendency in America for decision makers to respond to requests that something be done about the crime problem by

*Ivan B. Illich, Celebration of Awareness. New York: Doubleday, 1970, p. 163.

hiring more law enforcement officers. In many instances, the resources added to the other components of the process to handle the workload generated by the increased number of officers are inadequate. To some extent, at least in some jurisdictions, this is because law enforcement is primarily a municipal function and the other criminal justice processes are county or state functions. Property taxes committed to law enforcement obviously cannot be used by the prosecutor to prosecute, the courts to adjudicate, or corrections to incarcerate and supervise.

The systems approach teaches us that over-commitment of resources to one component of the system throws it out of balance--or in severe instances destroys it. As we pointed out in Module 3, you can't rock only one end of the boat. It might well be that for every dollar spent on law enforcement beyond the "balance" level in a criminal justice system results in an increase in crime. If those dollars had been spent to prosecute, adjudicate, and/or incarcerate offenders, the crime rate might have been reduced.

3.0 STEPS IN THE GOAL SETTING PROCESS

There are usually three distinct steps in the goal setting process: identifying alternative goals; selecting preferred goals from among the feasible alternatives; and planning for implementation through the development of programs and projects.

VA 5-10

Identifying alternative goals and selecting the preferred goal from among them are problems dealt with in this module.

Goal implementation is the subject of a subsequent module where it is discussed in considerable detail. The following brief discussion is included here to help put the three major phases into perspective.

3.1 Identifying Alternative Goals

The process of goal setting can be improved considerably by requiring at the outset that several means to attain each goal be outlined. In this way, planners and decision makers force themselves to set aside temporarily the first goal which may have been brought to their attention or developed on their own. The consideration of more than one goal is, of course, an inescapable situation in agencies where a primary function is the evaluation of many programs and related goals submitted for approval. Once the feasible alternatives have been identified, the decision maker's task becomes one of documenting the advantages and disadvantages of each as a required step in selecting the most desirable.

3.2 Selecting Preferred Alternative Goals

The selection of preferred alternatives is the next step in the goal setting process. Obviously, a manager will try to select those alternatives which, when compared with others, have more advantages and fewer disadvantages. Therefore, in selecting preferred alternatives the manager (and his planning staff) must analyze and review each alternative, systematically comparing advantages and disadvantages.

3.3 Planning for Implementation

After selecting a preferred course of action for pursuing each goal, a manager should develop an implementation strategy. At this point, the selected alternative can be regarded as a "project" or a "program." Since goal implementation will be dealt with extensively in another lesson, discussion of this phase of the planning process is mentioned here simply to place goal setting and selecting in context. It is imperative, of course, that by the time the manager reaches the stage of implementation, he has obtained as clear a view as possible of the constraints that lie ahead and the most effective means of overcoming them.

A difficulty that seems to pervade many criminal justice planning efforts is that objectives are often set in an arbitrary way and everything that follows including budget and resource allocation becomes "locked in." Often times, what should be interpreted as a rational alteration in an objective is seen as a failure to meet a goal.

Forward-looking planners and administrators avoid arbitrary goal setting and use their projections of all related factors to come up with goals that are within the realm of accomplishment. This includes efforts to anticipate and plan for any number of problems that may develop along the way. Although this program is oriented toward proactive planning, reactive planning is still an inescapable element in the planner's daily life. Planning should not be confused with wishful thinking.

4.0 CONSIDERATIONS IN DEVELOPING AND DRAFTING GOAL STATEMENTS

Goals should be developed as a logical and sequential element of the general planning process. Goal statements should be written with due consideration for what they are intended to accomplish and whom they are intended to serve. This includes personnel at both the management and operational levels of the criminal justice system. Knowledge of your audience, then, is a key factor in deciding how goals should be stated.

A system with hazy goals never exceeds those hazy goals. Clarity, then, becomes one of the essential criteria for goal statements. The importance of this criterion cannot be over-emphasized, as it is not possible to evaluate programs nor to more in a cost effective way toward achievement unless goals are explicit, precise, and understandabie.

Several additional criteria are suggested in the following section for both goal statements themselves and the goal setting process. It is helpful to note that in composing good goal statements one should use a basic, three-part structure composed of: (1) an action verb; (2) the specific accomplishment desired; and (3) the date by which, or time period within which, the goal is to be achieved. Here is an example of how this structure can be used:

VA
5-11

Part 1. To increase

Part 2. the percentage of youths arrested for drug possession who are put into diversion programs by 10%

Part 3. within the next six months.

4.1 Establish and Apply Criteria to Goal Statements and the Goal Setting Process

When evaluating goal statements and the goal setting process, include the following criteria. They should:

VA
5-12

1. Be stated or adopted by top management.
2. Be arrived at through the political process.
3. Be responsive to major aspects of the related problem.
4. Be clear, concise, and understandable to a wide audience (i.e., top management, operating personnel, general public).
5. Provide direction, guidance, and foundation for the identification and selection of alternative improvements.
6. Be subject to revision as the result of lessons learned during the operation of improvements, changing circumstances, or the appearance of new ideas.
7. Be feasible. It is impractical to set a goal, particularly a short-range goal, unless it can be achieved with either present or future resources. (This implies a capability assessment process which itself is subject to feasibility considerations).
8. Be suitable. A manager should set goals which are consistent with the mission and authority of his organizational unit.
9. Be valuable. A goal should represent a value, not necessarily monetary, sufficient to justify the estimated cost in time, effort, and money to accomplish it.
10. Be time-phased. A goal should limit the time available for accomplishment to a specific time period. This encourages commitment and action as well as a sense of urgency.

11. Be measurable. A goal is an effective standard for action only if its accomplishment or the failure to accomplish it can be measured. Measurement will vary with the type of goal. Some goals are susceptible to quantitative measurement and allow for partial or over-fulfillment. Reduction of a crime rate is such a goal.

    Some goals are susceptible only to qualitative measurement. An increase in community support, for example, may be measurable only in qualitative terms, where the level of achievement is a matter of judgment rather than direct measurement. It is the nature of these goals that they are either fully achieved or not achieved at all. These goals usually involve attaining or obtaining something such as a piece of equipment or a policy change.

12. Be challenging. Setting goals is not an exercise in reporting what you know will happen in all probability anyway. Goals should be set to encourage the achievement of something extra. While feasibility is a criterion, a goal should contain an element of uncertainty which requires special effort to overcome. Don't set impossible goals, but do set challenging ones.

13. Be based on or refined by the results of research. The results of research done by others on similar problems in comparable situations can be valuable to the planner in avoiding needless repetition of a project likely to fail and in skirting pitfalls into which an otherwise successful project might drop. Monitoring a project as it goes along, especially if done by an impartial, trained researcher, also can help in restructuring old and developing new goal statements.

5.0 TECHNIQUES FOR GOAL SETTING AND SELECTION

Knowledge of the concepts, terminology, and context in which goal setting takes place is necessary to every planner. These are prerequisites. The planner also needs knowledge of and skill in using a variety of techniques that will enhance his ability to do the job. The difference between success and failure is often one

of selecting the right tool and using it in the right way.

VA 5-13

Several techniques or methods which can be highly useful to the planner in goal setting are described in the following sections. They range from the relatively straightforward process of reviewing statutes and other literature to the more complicated sequence of steps used to refine expert judgment which makes up the Delphi process. Some procedures merely enhance the planner's ability to recognize a problem where there is one. Others involve a systematic searching out of problems and appraising their relative significance. Being skilled in several of these procedures will increase any planner's chances of success in dealing with the varied and complex problems presented by today's society and its "system" of criminal justice.

5.1 Goal Setting by Identifying Issues and Levels

VA 5-14

Careful consideration of issues which may surface spontaneously in the community, the agency, or the criminal justice system can result in locating the key issue among several for the planner's attention. Some of the formal techniques described in this section can be very helpful in this sorting out process. Once identified, key issues can provide the basis for setting initial implicit goals.

Social and criminal justice issues often are classified as being at the "normative" level. That is, they focus our attention on the question, "What does society say we should do?" This question encompasses fundamental social, legal, and economic considerations. It should be emphasized that the identification and development

of normative issues is the most difficult part of the planning process for most people. During our childhood, we often heard, "Don't ask why, just do what you are told." We had similar experiences in school, on the job, in the military service and, for some, it may have continued into married life. Then one day, possibly without benefit of education, training, or experience, the planner is put into the position of having to answer this very hard question: "What should we do and why?"

Another level of issue analysis is the "strategic." At this level, the planner must ask, "What can we do and how?" This focus requires research and development, special studies, manpower training, organizational planning, facility acquisition, and so forth. This approach helps to place the goal setting process into the realm of that which is possible.

A third level of issue analysis relates to the question, "What will we do and when?" This is the operational level of goal setting. Once the decision has been made that the Marshal and Serhiff's agencies will consolidate services, the operational questions of "what" (all Marshals will be integrated into the Sheriff's department) and "when" (by December of the current year) must be answered.

Regardless of the level at which issues may be located, they come into the planner's daily work from a variety of sources. The effective planner monitors all of these sources continuously. They include the professional literature and the media; analysis of local

crime and other data; opinion surveys; meetings of planning boards, task forces, and other governmental bodies; formal communications from county executives, city managers, police chiefs and others; and the various rumor mills that are constantly turning in any community or political arena regardless of size and location.

5.2 Goal Setting through Use of the Delphi Technique

The Delphi technique is a procedure for gathering judgments or opinions in which a number of experts respond to a series of questionnaires relating to the possible occurrence of an event, the desirability of a goal, the likelihood of its achievement, the magnitude of a future condition, etc. The person conducting the research summarizes the results and reports them individually to each member of the panel. Each member then responds again, possibly altering his reply on the basis of his new knowledge of the opinions and information provided through the researcher by the other panel members. Neither the membership of the panel, nor the source of particular opinions or information, is made known to panel members during the procedure. The process continues through several rounds until a consensus develops, the range of prediction is narrowed to an acceptable size, goals are rank ordered, etc.

VA 5-15

As the procedure is usually conducted without bringing the "panelists" together, it avoids many of the disadvantages of a committee while retaining some of its advantages. It does, of course, place a burden of accurate and unbiased feedback on

the person conducting the research.*

Many of the applications of the Delphi technique have dealt with technical problems. However, the technique can and is being used by persons in the criminal justice system to identify problems and to set goals.

Using the Delphi technique can cause some difficulty for an administrator if he solicits opinions regarding needs, problems, opportunities and goals but then does not act on the information. There is also the danger of acting on the information and not conveying feedback to those who have participated in the exercise. Usually, a good rule of thumb is: Don't use the Delphi and other opinion gathering techniques unless you intend to use the information you obtain.

5.3 Goal Setting by Identifying the Gap between Standards and Goals

The reports of the National Advisory Commission on Criminal Justice Standards and Goals provide a rich hunting ground for the planner charged with presenting ideas to a planning group which is attempting to answer the question "What should we do and why?" While a gap between the desired and the actual can be viewed as a problem, the opening left when no goal is specified also is a fruitful and appropriate field of inquiry. Similarly, if standards specified by statute or an authoritative body are not being met, goal setting might include the achievement or surpassing of those standards. For example, Standard 1.5 in the report entitled Criminal Justice System, by the National Advisory Commission on

VA
5-16

*For a brief description and evaluation see: Martino, J. P. Technological Forecasting for Decision Making, American Elsevier Publishing Co., New York, 1972, pp. 18-63.

Criminal Justice Standards and Goals, reads, in part, "Where Supervisory boards are established for planning agencies, at least one-third of their membership should be from non-criminal justice agencies and private citizens." The goal which could be adopted from this standard might be worded: By January 1 of this year, at least one-third of the membership of this planning agency's supervisory board shall be from non-criminal justice agencies and private citizens.

Here is another illustration. Standard 1.4 in the Criminal Justice System report by the National Advisory Commission on Criminal Justice Standards and Goals reads, in part, "Cities and counties should establish criminal justice coordinating councils under the leadership of local chief executives." The goal which could be derived from this standard might be worded: By January 1 of this year, the cities in the County of Ventura shall create the Ventura County Criminal Justice Coordinating Council under the leadership of the Mayors'-Managers' Committee of the Ventura County Association of Governments.

Planners should make a practice of regularly reviewing existing standards and those being considered to determine whether goals have ever been established for achieving them. If so, have plans for achieving the goals been implemented?

5.4 Goal Setting through the Use of Mason's Dialectical Approach

As noted earlier, the selection of goals is a two-fold process: selection of alternative goals, and development of alternative means

to achieve the goals. A process which is helpful in selecting among goals and means is that of a debate with one person advocating one alternative, the opponent advocating another. Mason's Dialectical Approach has been applied to the generation and selection of alternatives with a high degree of success.*

VA
5-17

Mason's Dialectical Approach to planning addresses itself directly to the problem of the selection of alternatives. Two conflicting alternatives are selected, based on two different interpretations of the same data. It is as if two opposing military commanders used the same information on a map to develop different battle plans. The proponents of each alternative are forced to look at the assumptions upon which their plan is based and expose those assumptions to the verbal attack of their opponents. Quite often, the result is an entirely new alternative. This technique, which could be iterated to further refine the selected alternative, is highly regarded by those who have used it. It is one of the few systematic approaches to the sticky problem of actually generating alternatives among both means and goals.

Here is an illustration of the kind of problem to which Mason's Dialectical Approach could be applied. The mayor of a city wants to spend all LEAA funds for implementation of narcotics treatment programs with most of the money spent on methadone maintenance. The chief of police wants to spend all LEAA funds on expansion of the narcotics squad. Using Mason's Dialectical Approach both refer to the same data to justify the programs they advocate.

*R. O. Mason, "A Dialectical Approach to Strategic Planning," Management Science, April 1968.

During the exchange, the police chief is persuaded by the mayor's statistics regarding the relationship between addict [illegible] justice processing of addicts and by statistics regarding the growing [illegible] of the jail. He agrees that additional programs and facilities are needed. At the same time, the mayor is convinced by the police chief's reference to another city which spent all of its LEAA funds on methadone maintenance programs and thereby actually increased the total number of addicts. The report from the other city indicated that while several thousand addicts had enrolled in the methadone program and thereby reduced their demand for heroin, the drug sellers had increased their efforts to sell heroin to persons who had never used the drug. The result was the recruitment and addiction of approximately 2,000 additional persons. The mayor and the police chief finally decided on a balanced program emphasizing both treatment and enforcement.

The following illustrates Mason's approach in selecting among several goals. Two persons working in the same office are given data and asked to independently develop goals from the problem statement data. Each writes goal statements and explains why he selected the goals on the basis of the data. They then share the papers developed independently and again separately write a second paper based on the additional information. This process could go through several iterations until both parties, or the boards they serve, are satisfied with the results.

5.5 Goal Setting through Research of Statutes and Relevant Writings

All government organizations have legal foundations for their existence. Their organizational charters must not be overlooked by the planner in the process of setting goals. In many circumstances this can be considered an essential step. It may well turn up hard legal constraints that will eliminate many courses of action at the outset while at the same time showing what can be done within legal bounds. The planner also should appreciate the value of precedent in seeking means of goal achievement in an environment in which precedent carries a great deal of weight.

VA
5-18

5.6 Goal Setting through the Political Process

Goal setting and the selection of alternative objectives are not and should never be merely technical questions. A number of equally plausible routes may lead to the desired solution and various social values can be associated with these routes. These evaluations are made legitimately only through a political or quasi-political process. Unless the planner has the support of local elected officials the goals developed cannot be implemented.

Some planners view the political process with the same disdain they feel for the bubonic plague--and have as much contact with it. Such planning purists view the involvement of politics in planning as a corruption of the process. Some commentators on planning view this as the major deficiency of the profession.

"The influx of scientific methods into the techniques of planning can only be valuable if there are modifications and

recasting of these methods to handle the idiosyncracies of local government. This will mean that the optimal basis for scientific solutions to problems will have to be inclusive of qualitative as well as quantitative factors. Whole cloth transfers from systems analysis will never be successful in local government unless elements of the political process and its equity positions are introduced into the calculations. The planner must emerge as a scientist who understands and recognizes the political process and can utilize scientific tools in such a manner as to strengthen the basis for decision making. Further attempts at ignoring the political process and attempting to replace it with scientific techniques are bound to result in considerable waste of resources and effort. There will undoubtedly be more scientific techniques used in planning, but these will be hybrid techniques borrowed from other fields and modified to fit the political process and planning practices."*

Increasingly, political scientists are commenting that the only "real accountability" is the accountability of a locally elected official to his constituents. Whether one agrees with this is immaterial as it is simply quoted to provide those planning purists who argue for "professional purity" with another perspective. The dogmatic purist will protest, at this point, that he cannot be dislodged from his position on the basis of argument founded

VA
5-19

*For an interesting analysis of this trend see Britton Harris, "Foreword," in Decision-Making in Urban Planning: An Introduction to New Methodologies. Ira M. Robinson (ed.), Beverly Hills, Ca. Sage, 1972, pp. 9-20.

on such a high level of abstraction--that he is a realist. He will advance his argument by pointing to the rational planning process model advocated by the Criminal Justice Planning Institute. To continue the dialectic, a response to the purist should be that a planning process which does not take into account political reality is not rational.

The story is told of a doctoral candidate in Washing D. C. seeking his degree in politifal science and doing his dissertation on the way professional associations gain, maintain, and utilize power in our nation's capitol. He started interviewing members of Congress and after a period of time observed members of various professional associations in the offices of Congressmen and Senators --with one rather amazing exception. In none of his observations did he see a representative of the American Medical Association. Yet he knew that the Association had a reputation for being the most powerful of the professional associations--a reputation matched by results.

He decided that perhaps he had not been diligent enough in his observations, for he viewed the failure of representatives to make frequent contact with Congressmen as inconsistent with what he, as a political scientist, knew about the maintenance and use of power. Finally, after concluding that something unusual was taking place, he went to the American Medical Association, explained what he was doing, and asked about the level, if any, of lobbying being done by the Association. The Association used a very simple

process requiring few staff. "We have the names, addresses, and phone numbers of 550 family doctors: 100 senators and 450 members of the House of Representatives."

The involvement of the political process in planning efforts can be considered a three phase process as described below:

1. Presentation of Issues to Legislative Bodies

   Conflict between agencies over issues can be lessened by having the legislative body receive information from both sides of an issue, and then take a position on the issue. Alternatively, the legislative body might indicate some preferences and then ask the agencies to take those preferences into account in resolving the issue and report back to the legislature.

   VA 5-20

2. Approval of Strategy and Priorities by Legislative Bodies

   A criminal justice plan, a corrections strategy, or a strategy for improvement of judicial process, etc., can be presented to the legislature with a request that they approve or adopt the strategy, plan, and/or priorities. This not only serves to make the legislature aware of planning board activities, it also serves to get them involved in the process.

3. Adoption of Master Plans by Legislative Bodies

   Presentation of drafts or completed versions of master plans provides legislative bodies with an opportunity to review planning efforts and to adopt, modify, or reject goals set forth in the plans. The advantage of adoption is that the goals set forth in the master plans are then not pitted solely against other agencies. Other agencies will then have to mount an attack against the action of the legislature which has adopted the goals.

6.0 BENEFITS OF GOAL SETTING

Once problems, goals, programs, projects, and schedules are agreed upon by planners and criminal justice administrators, many criminal justice staff members can assume fuller responsibility

for and control of their own jobs and report only when they are doing distinctly better or worse than anticipated. In this way, management has more time to plan for the future, employees grow through assuming additional responsibility for their own jobs, and job enrichment becomes a reality rather than a slogan.

Additionally, use of the analytic procedures described in this module can provide greater assurance that dollars and other resources are being used for maximum benefit. They help insure that the selected goals are of the highest priority and balanced against goals of other agencies which may compete for funds, and that maximum support from the political component of the community has been obtained.

7.0 SUMMARY

This module relates the goal setting process to the general planning process model and the organizational and political context in which goal setting takes place. It reviews the three major steps in the goal setting process, discusses the importance of developing clear and concise goal statements, and provides a set of criteria against which to evaluate both goal statements and the goal setting process. A detailed description is provided of several techniques for obtaining goal-related information and making maximum use of information sources to refine and focus goal statements and related objectives.

PART III. Supplementary Information

QUESTIONS FOR CLASS DISCUSSION AND REVIEW

1.0 INTRODUCTION

1. What is a goal?
2. What is an objective?
3. What are the major differences between the two?
4. Is there a way to determine whether a project or a plan is achieving its goals without a substantial investment of the administrator's time?

2.0 THE IMPORTANCE OF CONTEXT IN THE GOAL SETTING PROCESS

1. What should be the relationship between a problem and the goal that addresses it?
2. What should be the relationship between a goal and its related objectives? How can the "fit between the two be assessed?

3.0 STEPS IN THE GOAL SETTING PROCESS

1. What are the major steps in goal setting as you perceive them?
2. Do the theoretical steps differ from the actual approach? If so, how and why?

4.0 CONSIDERATIONS IN DEVELOPING AND DRAFTING GOAL STATEMENTS

1. What are the major considerations in drafting and developing goal statements in your experience?
2. How can the process be improved so that goal statements are clearly understood by almost everyone who reads them?

3. In your experience, what is the relationship between the wishes of the administrator at the top of an organization and the major responsibilities he expects to perform and his subordinates' understanding of what the boss expects of them?

5.0 TECHNIQUES FOR GOAL SETTING AND SELECTION

1. What are some of the techniques you have used for goal setting and selection?

2. What are some of those you are considering using and why?

6.0 BENEFITS OF GOAL SETTING

1. In your own judgment, what are the three most important benefits an efficient goal setting process brings to the planner and the planning staff?

2. What are the most important ways an organization benefits from efficient planning and goal setting activities?

3. In actual experience, how much influence can the staff planner have on the final content, form, and direction of goals?

GENERAL DISCUSSION QUESTIONS

1. What can be done to insure that goals are realistic rather than unrealistic?

2. Which techniques have you used or do you plan to use in selecting preferred alternatives?

3. Which technique have you used most extensively?

4. What are some of the major advantages of goal clarification?

5. Which criteria do you think are most important to the development of goal statements and the goal setting process?

6. Which criteria are most frequently violated in your experience and why?

7. How does one go about identifying and presenting issues to legislative bodies? What are some of the major problems in doing this?

8. What techniques have you used to clarify goals?

9. Is the goal, objective, standard, performance measure, management by exception hierarchy clear to you? Does it have utility? If not, what can be done to increase its utility?

10. Do you need more explanation regarding the differences and the similarities between goals and objectives?

Teaching Suggestions

1.0 INTRODUCTION

At appropriate points in the discussion of the lesson objectives, it is helpful to make reference to the general planning process chart and point out that during goal setting the planner must look back to problem and situation analysis and forward to implementation. You may point out that just as "there are no more corrupting lies than problems poorly stated," so also "there is no greater waste of resources than to allocate them to achieving goals which are not situation and problem oriented."

In order to give the class a preview of what is to come, it can be helpful to move rather quickly through the three major planning steps by using the visual aids and then returning to a more detailed discussion of the concepts and definitions of goal, objective, standard, etc. and the implied structure. Reference to Granger's remarks on the hierarchy of objectives can help broaden the student's perception of the applicability of the hierarchy.

2.0 THE IMPORTANCE OF CONTEXT IN THE GOAL SETTING PROCESS

At the appropriate time in the discussion of the context in which goals are set, it can be helpful to refer to the "X" or unknown factor in problem analysis. Almost every problem has certain unknowns which are impossible to foresee but which require flexibility and adaptability on the part of the planner and those who implement plans.

The instructor also should discuss the iterative process in goal setting and problem analysis--that is, during the process of goal setting it may become obvious that more problem analysis is necessary in order for the goals and objectives to be refined. This refinement, in turn, may suggest new ways of looking at the problem, and so on.

3.0 STEPS IN THE GOAL SETTING PROCESS

If time permits, the instructor may wish to lead the class through a management by objectives goal setting guideline chart containing eleven columns labeled as follows: Area of Managerial Responsibility; Manager Accountable for Goal Achievement; Basic Problem Area Defined; Goal, Objective or End Result (the single key accomplishment); Methods of Communicating Goals to Employees; Interim Conferences of Managers and Subordinates; Target Completion Date; Interim Measures of Goal Accomplishments; Maximum Cost Factor; Standards of Quantifiability; and Relationship of this Goal to Overall Agency Goals.

In discussing the selection of alternatives, the instructor may wish to use the totem pole approach if he is familiar with it. It consists of rating on a scale of 0 to 100 (or some other scale) the severity of the problem with which the laternatives deal, the frequency or probability of occurrence, and the resources needed. In some cases, the constraints may preclude the selection of an alternative which appears from totem pole analysis to be the most desirable--e.g., the approach may be illegal.

4.0 CONSIDERATIONS IN DEVELOPING AND DRAFTING GOAL STATEMENTS

During the discussion of the construction of goal statements, it is helpful to have several members of the class write goal statements on the board or on newsprint. The instructor and members of the class can then critique the statements in terms of the required three basic elements and the criteria listed in the module. Editing and sharpening the original statement while explaining the changes that are being made can be a very informative exercise for class members. The instructor also may use examples from his own experience or other examples developed especially to highlight particular problems in constructing statements, common pitfalls, improper use of terms, etc.

5.0 TECHNIQUES FOR GOAL SETTING AND SELECTION

The module provides a full-scale class exercise in the Delphi method designed to illustrate its use in goal selection and prioritizing. The instructor may use it as is or adopt it to an actual situation from his own experience for which the final outcome is known and can be compared with the class results.

NOTE: If you are planning to use the Delphi exercise, make sure to have the three required forms duplicated in quantity in advance.

Mason's Dialectical Approach is also suitable for a class exercise and could be used with a small group approach. Several groups could be given the same set of information and after completing the exercise, each group reports to the class and results

are compared. Another variation would be to give each group a different type of information or level of problem and after the exercise have the groups report both their results and any particular difficulty they may have had in using the technique for their problem.

This portion of the module provides a good opportunity for class members who have used one or more of these techniques (or others) to share their experiences with the class.

It is important for the instructor when discussing and demonstrating these techniques to emphasize that they are definite procedures that produce good results when followed and not simply ways of formalizing group discussions or interpersonal arguments.

AN EXERCISE IN USING THE DELPHI TECHNIQUE

The suitability of the Delphi Technique to many criminal justice planning situations makes a practice exercise in its use a valuable part of this module if time permits. The exercise should be conducted as the last phase of the session to insure that all of the lesson content is covered.

Each student should be provided with one copy of each of three forms required for the exercise at the appropriate point in the exercise. The instructions for conducting the exercise follow.

Instructions

1. Review the basic Delphi process and indicate to the class that the exercise will simulate a study done using the mail to send and receive the questionnaire forms. Therefore, the class members should not discuss their responses with one another until asked to do so by the instructor.

2. Pass out form "Delphi Exercise: Round 1" and allow about five minutes for the class to write in their responses. Answer any procedural questions the students may ask. If time is limited, have the class respond to only one of the five areas listed on the form.

3. Collect "Round 1" forms, select one of the five topic areas, and list the items desired by the class on the board. Tabulate

them by frequency of mention so that the top five can be addressed in the next step. Identify them with a key concept or phrase. If this looks like it is going to use too much time, arbitrarily select five of the more controversial goals and list them.

4. Pass out form "Delphi Exercise: Round 2" and have the students individually rate each item on "importance" on a scale of one to ten with ten being most important. Allow about five minutes and then collect the forms.

5. Compute the average "importance" rating for each of the five items and write them on the board adjacent to the item. (The instructor may want to appoint some volunteers for assistance in the computational tasks.)

6. Conduct a discussion about the resulting averages, asking for reasons class members rated some items high, others low, etc. Allow enough time for each item to be discussed pro and con. Point out that in a study conducted via the mail, these reasons would be obtained in writing. Thus the mail procedure avoids the effect of interpersonal confrontations unavoidable in a group exercise.

7. Pass out form "Delphi Exercise: Round 3" and have each student individually rate each of the five items again, using the same ten-point rating scale. This step requires students to reconsider their previous evaluations and possibly shift the ratings they give to the items in this step.

8. Collect the forms and compute the average ratings for each of the five items and write them on the board adjacent to the first set of averages. Compare the differences--especially large shifts in values--and discuss with class members who may have changed their ratings considerably their reasons for doing so. (Asking for rank values from one to five and simply adding ranks in this and Step 4 is another possible procedure.)

9. Discuss the exercise, point out its merits (and the problems of doing it in a classroom situation), and ask for reactions from the students.

10. The instructor may want to have students put their names on their forms so that they may be returned to the students for comparison with class results and shifts in their own ratings between Rounds 2 and 3.

Delphi Exercise

Round 1

Please identify one major goal you would like to see each of the components of the criminal justice system achieve by 1981. Your responses, and those of your colleagues, will be collated and returned for all of you to rate during the second round of the exercise. Your statements should reflect a realistic goal and be briefly and concisely stated.

Law Enforcement

Courts

Corrections

System-Wide

Community Crime Prevention

Delphi Exercise

Round 2

List below the key element or key word which identifies each of the five items mentioned most frequently by the class. Then rate each item from one to ten on "importance" with ten meaning highest importance.

Items	Rating

Delphi Exercise

Round 3

List below the key element or key word which identifies each of the five items selected by the class. Rate each item from one to ten on "importance" with ten meaning highest importance.

Item	Rating

Instructor's Guide

MODULE 5-A

A CRIME ANALYSIS AND PLANNING EXERCISE

Southeastern
Criminal Justice Training Center

Florida State University

A CRIME ANALYSIS AND PLANNING EXERCISE

INSTRUCTIONS FOR CONDUCTING THE EXERCISE

A CRIME ANALYSIS AND PLANNING EXERCISE

1.0 INTRODUCTION

The general objective of the total exercise is to provide participants with a concrete, task-oriented learning experience in the analysis of data. This general objective is best achieved when the exercise follows Modules 1 through 5 of the General Planning Process Model. At this point in the sequence, the Crime Analysis and Planning Exercise allows participants to apply planning theory and procedure to actual crime and criminal justice operations data. These data are available in different types and formats. The application of theory to practice is accomplished in an environment that is subject to group dynamics, the accommodation of other personalities, the need for team building and real constraints or time similar to the working world of planners.

In Module 2 it was noted that the crime-oriented model permits the application of the general planning process to a great variety of problems, some of which are system-specific, some crime-specific, and some more generally related to the control and/or reduction of crime. This exercise addresses a crime-specific planning problem, but it should be clearly emphasized that the crime-oriented application of the general planning process is not limited to problems of this type. In fact, this training exercise is not a "content-oriented" learning module in the conventional sense. Rather, it

is a hands-on, small group structured workshop experience, with specific task products produced by the participants. Although experience has shown that most groups will come close to achieving the expected task objectives, seldom do the several small groups, convened at a single training session, employ similar processes to complete the task. And almost always there is diversity among the groups with regard to the quality of their final products. The exercise is structured to allow all members of the various small groups to judge and learn from the processes employed by their peers.

The crime analysis exercise is divided into two separate tasks. Task I focuses on crime problem identification processes and introduces the need for developing criteria to support decision making. This task reinforces the need for "Preparing for Planning," the first step in the General Planning Process Model, because preparation, though and brainstorming are prerequisites for completing this task and selecting one type of crime among seven possibilities as having the highest priority.

Task II provides each small group with an opportunity to learn how to analyze crime data for the purpose of preparing a detailed Crime Problem Definition Statement. In addition, it reinforces the concept that goals and objectives flow directly from problem identification.

2.0 THE TWO MAJOR TASKS

The two major tasks making up this exercise are described in this section along with the specific objectives which each small group is expected to accomplish. These objectives are a mix of cognitive learning and skill development. It is this blend of concept application and skill utilization that makes this exercise comprehensive in scope and purpose. The objectives of each of the two tasks are as follows:

2.1 Task I

Objective I: To expand the number of factors which planners should consider in identifying crime problems as evidenced by the number and types of criteria participants agree upon for selecting the most severe of seven crimes.

Objective 2: To provide participants an opportunity to arrive at a planning decision (the most severe crime in Gotham City) based upon and supported by objective data in an environment that is subject to political considerations. Problems here will be evidenced by the degree to which each small group allows subjective and political factors to change or overrule what the data suggest.

Objective 3: To expose each participant to the overwhelming amount of potentially available, real world criminal justice data in order to encourage team-oriented planning efforts. This will be evidenced by the degree to which the small groups subdivide the task at hand and set forth a work plan to accomplish tasks too complicated and comprehensive for single individuals to complete within the time constraints.

Objective 4: To introduce the planner to simple concepts of linear regression as a tool for roughly estimating events one or two years into the future as evidenced by each participant's ability to draw a "straight line projection" of crime two years into the future and to calculate the range of error possible for their estimate.

2.2 Task II

Objective 1: To provide each participant an opportunity to demonstrate knowledge of the essential characteristics of crime which should be included in a crime problem definition statement. This will be shown by the type of matrix and the number of variables each group includes in its analysis statement and the degree to which future projections of the crime are considered.

Objective 2: To encourage participants to use problem definition data in the setting of goals and objectives for action as evidenced by the degree to which each goal a d objective formulated by the group is actually a documented need stemming from the problem statement.

Objective 3: To provide participants an opportunity to develop skill in developing specific goal statements that are time limited and measurable.

3.0 ADMINISTRATIVE CUES FOR DELIVERY

This section is divided into five subsections as follows:

1. Scheduling: Describes the optimum scheduling of the exercise and the purpose for interweaving the tasks with specific lesson modules.

2. Staffing: Describes the individuals needed, their functions, required qualifications and necessary preparation.

3. Small Group Structure: Describes the criteria to be used in structuring the small groups and the rationale for each criterion.

4. Process Issues: Describes in general terms the types of process issues that will manifest themselves in the groups and potential points at which the facilitator and/or exercise coordinator should intervene.

5. Steps in Administration of Exercise: Describes each step in the delivery process of the exercise and the specific activities and resulting products that should occur in each step.

This section delineates the specific logistical considerations and implementation steps necessary for the proper delivery of the exercise and the achievement of its objectives.

3.1 Scheduling

The interweaving of the two exercise tasks with the other modules in the program is vital if the exercise, as a tool to implement what one has been taught, is to have maximum impact and benefit. Tasks I and II should be run consecutively after the participants have completed Lesson Module 4: "Problem Identification" and Lesson Module 5: "Determining Planning Goals." The content and skills provided in these modules are essential for the participants to adequately perform the problem identification and problem

statement tasks required by Tasks I and II. In addition, the material contained in "Determining Planning Goals" is necessary if the participants are to obtain the most benefit from the goal setting process required in Task II.

3.2 Staffing

Staffing the exercise is a key factor in its success. Not only is the staff's knowledge of the exercise's objectives, tasks and the material in the manual important, but also their ability to process the work patterns of a group and to understand how those patterns affect the products. The following staff are needed to run the exercise effectively:

Exercise Coordinator: The primary function of the exercise coordinator, a core faculty member, is to take responsibility for administering the exercise, solving logistical problems, monitoring each group's process and conducting the required briefing and debriefing sessions.

It is highly advisable that this individual have experience in crime data analysis either at the supervisory or technical level. The basic techniques and concepts of crime data analysis are applicable to this exercise and knowledge in this area is essential, both for debriefing the session and assisting groups when they become bogged down.

In addition, the exercise coordinator must have a thorough knowledge of pertinent data related to crime analysis by type, use, source and format. Prior to running the exercise, this person must be completely familiar with the exercise manual content and preferably should have taken part in the exercise as a facilitator at least twice.

Group Facilitators: A group facilitator, either a faculty or staff member, must be assigned to each of the small groups. The facilitator is not a direct participant, but rather tracks each group's process, noting the problems of group dynamics and offering content or procedural suggestions when it becomes apparent that the group is moving away from or ignoring task instructions.

As each small group matures in working together, the facilitator may periodically reinforce positive progress or discourage nonproductive efforts. The facilitators may offer significant observations and comments during the debriefing session led by the exercise coordinator. It is important that the facilitator be familiar with both crime data analysis and group process. Prior to facilitating a group, these individuals should have a thorough knowledge of the exercise manual content and must have sat through the exercise as a participant at least once.

Since the exercise coordinators and facilitators provide direction and analysis of the exercise for the groups, it is essential that they be competent and have the ability to communicate their perceptions and feelings about product and process issues.

3.3 Small Group Structure

Structuring of the small groups is one key to the success of the exercise. Proper structuring not only provides each group with the capability to do a good job and have a worthwhile learning experience, but also insures that the groups are somewhat balanced in terms of their sophistication and end products.

Structuring of the groups should be done the evening before the exercise. This allows the program coordinator and staff the maximum amount of time (2 - 2½ days) to assess the program participants. When structuring the groups, the following criteria should be used and applied in the priority shown:

1. Knowledge of Data Analysis: Those participants who have a high degree of skill in data analysis techniques and statistics should be placed evenly among the groups. While they do not necessarily take a leadership role in their group, they invariably serve as expert technicians when statistics are used. Usually about 15-20% of the participants can be placed in this category.

2. Participation in Program: Those individuals who have demonstrated a high degree of participation

should be divided among the groups. This will provide each group with a core of aggressive individuals who feel comfortable in front of large groups and who can serve as group spokespersons in the debriefing session. In addition, those individuals who are exceptionally quiet during the first 2½ days of the program should be divided among the groups.

It should be noted that those individuals who are aggressive participants in the general sessions are not always so in the small groups. They are often intimidated by an intimate, small group setting and may have a fear of direct confrontation with another individual. The converse of this is that often the quiet individual in the general session becomes aggressive in the small group and effectively takes over the leadership role. This could be the result of a preference for small group interaction, or perhaps they have ability in data analysis techniques and not the conceptual areas covered in the first 2½ days of the course.

3. Agency Affiliation: Groups should be mixed in terms of agency affiliation. Not only should all

groups have a combination of LEAA, SPA, RPU and operational agency personnel, but urban and rural planners also should be integrated into the groups. This mixing provides each group a variety of perspectives to consider. In addition, people from the same agency should be split to avoid cliquishness or the development of power groups.

4. Sex: It is advisable to distribute the sexes equally among the groups.

Although the four criteria should be applied in priority order, use of all four will require some compromise in each group's structure. If there is a discernible difference among the groups in terms of potential performance capability, an effort should be made to match the appropriate facilitators with the right group in order to provide the necessary support and direction; i.e., a weak group should have a strong facilitator. In addition, if a group begins to falter during its work process, the facilitator may be required to alter his role for a period of time in order to provide adequate guidance.

3.4 Process Issues

The exercise specifically, and the program generally, do not address process issues for the planners going through the steps in the planning model. However, assuming that process has a direct bearing on product, they are important considerations in debriefing each task in the exercise. Beyond processes related to decision

making methodology, group dynamics can have significant impact on the exercise both in the areas of product and the group's propensity to continue working when fatigue begins to set in.

It is important that the exercise coordinator and the facilitators take note of key process issues observed in the small groups. This information should be discussed in the task debriefing session for the purpose of:

1) demonstrating impact of process on product; and

2) pointing out any problems in the group that may hinder a working relationship in subsequent exercises.

The following are some general areas which the exercise coordinator and facilitators should watch for significant developments in terms of process:

1. Leadership: Problems can arise at either end of the leadership spectrum: no leadership versus overpowering leadership. It frequently takes the group 15-20 minutes to become comfortable in the room with their fellow group members. The transition from the large group into the smaller takes time. As a result, there is usually reluctance on the part of the group members for anyone to assume leadership in Task I.

   On the other hand, strong control of the group by either one individual or a small group of individuals

can have significant impact. Strong leadership can discourage open group participation resulting in decisions being determined by the personal biases and preferences of the group's leader(s) rather than a rational analysis process.

2. Random Thinking: Very often a group will attempt to make decisions without developing a logical methodology. For example, in Task I someone will immediately choose a crime based on intuition without looking at the data. With several individuals pressing to have their personal choices adopted by the group, the group can begin to move nowhere fast. It is important that the groups develop processes by which they will make decisions. In Task I, a set of criteria should be developed and applied when selecting the priority crime. If the group has not reached this point in 15-20 minutes, the facilitator should suggest it.

Methods of looking at the data should be determined. This is particularly important with Task II when a detailed problem statement must be developed. It is important that these processes be developed and recorded for the purpose of feeding them back in the debriefing session.

3. Everyone/Everything: Given the amount of work that must be done in a limited time, it is virtually impossible for all activities to be performed as a complete group. This is particularly true in Task II when large amounts and types of data must be analyzed. It is therefore advisable, at certain times in the exercise, to divide the group into smaller work units. This concept of dividing the work should not be introduced by the facilitator unless the group is running out of time or progressing very slowly.

4. Roles: In each group there are specific roles which should be fulfilled for each task. The role of leader, as discussed in #1, should be one of providing coordination and some direction, not one of control and decision making. The leader may change for Task II.

   Someone should act as recorder for the group. It is a product of the exercise that all processes and products of a group's activities be recorded on newsprint for presentation at the debriefing session. The necessity for legibly recording this information on newsprint should be stressed by the facilitator.

As predetermined by the group structuring criteria, there are at least two group members who are statistical technicians. These individuals invariably have control of the calculators and perform most of the mathematical calculations for the group. It is hoped that these individuals will circulate among the group members and assist those less skilled in data analysis techniques.

Someone must act as the presenter of the group's products at the debriefing session. Usually, one person presents in the debriefing of Task I and a different person presents in the debriefing of Task II.

5. Non-Participation: For a variety of reasons, some individuals in the group may choose not to participate. You will find more non-participation as the exercise progresses. Some reasons are: feeling that the exercise has no relevance; an individual who lost a key discussion point may choose withdrawal over capitulation or compromise; feelings of fatigue or of beating a dead horse; boredom due to non-involvement; etc. It is important that the facilitator combat this non-participation if the group allows it to happen. There is enough work to be done in the exercise to keep all group members busy.

6. Rudeness at Debriefings: Usually, when one group is giving a presentation during a task debriefing, members of other groups will be talking and preparing for their own presentations. Being fully aware that a competitive atmosphere exists among the groups and that there is a shortage of time to prepare, the exercise coordinator should combat this rudeness by remarks preceding and comments during the debriefing session.

These six process issues are probably the most commonly experienced. Special care should be taken to achieve a balance between intervention on the part of the staff and faculty for purposes of redirection and achievement of appropriate products, and allowing a group to develop its own processes and deal with its own group dynamics.

3.5 Steps in Administration of the Exercise

A series of sequential steps must be followed in the conduct of the exercise. Within each of these steps are specific results that must be achieved--i.e., participants' understanding of the task, specific products of small group work (Figure I), detailed presentations by group members, etc. In this section, each of these steps is described in detail.

Figure I

Summary of Task Products

TASK I

- Selection of priority crime
- Prioritization of other crimes
- Delineation of selection process used — On Newsprint
- Graph projection of 1 and 2 year trends for priority crime
- Presentation of above for debriefing session

TASK II

- Detailed problem statement of selected crime
- Series of goal statements reflecting desired achievement two years from now — On Newsprint
- Presentation of above at debriefing session

Step 1. During the introduction to the exercise, the exercise coordinator should introduce participants to the voluminous Gotham City document distributed immediately prior to conducting the exercise. This last minute handing out of the exercise simulates the last minute task assignments and severe time constraints that planners are confronted with in the real world. This step usually requires 20 minutes and care should be taken to promote individual involvement by every participant. Comments on the size of the notebook should not portray the exercise as "too large," "too long," "too complicated," or "not possible to complete." The coordinator should emphasize the actual simplicity of completing the two tasks.

During this introduction, the following sub-steps should be followed in order to guarantee adequate coverage of the material:

A. Refer participants to the notebook, pointing out that it is divided into five parts.

B. Explain that each section of the notebook contains different types of information about Gotham City and/or crime and its criminal justice system. Participants may use any or all parts of the notebook for completion of the assigned tasks. Emphasize also that 75% of the information is "real life" data and that the formats used for presenting it vary, including narrative description, line graphs, bar charts, frequency distrigution tables, etc. This variety in format is deliberate because data available to planners also vary according to source. The exercise thus becomes more valid in its similarity to a real world job situation.

C. Ask all participants to read the task instructions in Section A. Allow 10 to 12 minutes for completion of this.

D. Now refer to the instructions specifically related to Task I. The coordinator should review and informally describe what is expected from each of the small groups and briefly describe how the final written products on "newsprint" should look (see Figure). At this point, the time allowed for Task I, usually 2½ hours, is clarified by explaining that each small group will be asked to make an oral and visual presentation to the entire group during a one-hour debriefing session at the completion of Tasks I and II. Emphasize that each group will be allowed only 10-15 minutes of oral presentation time at the debriefing. Therefore, it is incumbent upon them to structure and document on newsprint the "actual" process and data justification they used to select the highest priority crime. Task I also requires that the remaining six Class I types of felony crimes be ranked in priority order. The ranking process usually forces participants to develop criteria for this discussion.

E. Introduce Task II, by referring all participants to pages A-7 and A-8 of the notebook. The exercise coordinator again reinforces the instructions with general comments and explanations of what is expected. Here, it is necessary to focus each group's attention on the necessity of allocating sufficient time to formulating and writing on newsprint their goals and objectives for three different points in time. Experience has shown that groups will

ignore this part of the task until the last 15 minutes of their allotted time and then discover that they cannot get consensus on the words to be used or the degree of specificity that is required. This group struggle is a worthwhile learning experience and the group facilitators should encourage the group to reach this part of the task with at least 30-40 minutes of time remaining.

F. Introduce the group facilitator for each small group and identify the room locations for small group work. Explain to participants the role of the group facilitators and make it clear that they will not serve as group leaders, recorders, etc. Here it is appropriate to comment generally on small group dynamics and urge participants not to waste time leafing aimlessly through the notebook in silence because of the natural reluctance to avoid communicating with strangers in the small group environment. On a previous occasion a small group convened and each member read the data in silence for 30 minutes. Each resisted the opportunity to assume group leadership and commence discussing the task at hand. This actual example is a good one to relate to participants in terms of warning them that this can happen if each member allows it to occur.

G. Release all participants to their assigned groups. The group rosters, as determined by the criteria previously described in Section 3.3, should be posted in front of the room. Room assignments should also be shown.

Step 2. The exercise coordinator should rotate visiting each group, spending 10 to 15 minutes on each visit and observing each

group's progress. It is appropriate for him to take notes on problems, progress, etc., as essential preparation for leading the debriefing session. The coordinator may call the group facilitator out of the room for a progress report covering time periods when the coordinator was not present.

Step 3. Near the end of the working time allotment, advise each group facilitator to make certain his group returns to the debriefing room promptly. The group facilitator should report to the group members about every 30 minutes during the period on the time expended, the time remaining, and progress achieved. Experience has shown that near the end of the work period participants become deeply involved in the exercise and frequently want more time--supposedly "to do a better job." The exercise coordinator may grant time extensions to all groups equally if absolutely necessary, but this should be curtailed as much as possible.

Step 4. Convene the small groups in the debriefing room. The exercise coordinator then comments on the purpose of the debriefing as a communications tool to allow all groups to learn from the processes and procedures employed by each individual group. Usually, the products will be similar. Differences can be noted in their analytical processes and in the quality of their visual aids. The exercise coordinator then calls on each group to report. (This can be done in random order, A, B, C, or reverse order, etc.) At the end of each group presentation, solicit questions from the other groups. Usually, one or two questions are all that will emerge at

this point. The exercise coordinator and/or each of the group facilitators may make comments about what they observed, especially when group reports do not adequately describe problems they had in getting started on or in completing the task.

The debriefing also should emphasize the "linkage" between problem identification and problem analysis as a prelude to determining planning goals and defining objectives and that these three steps are prerequisite to designing and developing programs and projects, which will be addressed in Module 6.

The exercise coordinator should refer to the General Planning Process Model chart whenever appropriate to remind participants that their work in the exercise is a small part of a much larger planning process. This is the appropriate time for the faculty member who taught the module "Determining Planning Goals" to critique the goals and objectives formulated by the groups (see Figure II).

The coordinator and facilitators should be alert to any participants who begin recommending "solutions" in Task I or Task II as this is not appropriate before the problem is well defined and the objectives are set. Experience has shown that groups have a natural tendency to move toward solutions well in advance of Module 6, and this should be pointed out when it occurs.

During this time the exercise coordinator should elicit comments from the participants related to the utility of the exercise as a learning experience. Comments related to process issues, political reality and frustration levels should be encouraged also. This is

FIGURE II

Well-Constructed Goal Statements Should:

* BE STATED OR ADOPTED BY TOP MANAGEMENT
* BE ARRIVED AT THROUGH THE POLITICAL PROCESS
* BE RESPONSIVE TO MAJOR ASPECTS OF THE RELATED PROBLEM
* BE CLEAR, CONCISE, AND UNDERSTANDABLE
* PROVIDE A FOUNDATION FOR ALTERNATIVE IMPROVEMENTS
* BE SUBJECT TO REVISION
* BE FEASIBLE
* BE SUITABLE
* BE VALUABLE
* BE TIME-PHASED
* BE MEASURABLE
* BE CHALLENGING
* BE BASED ON OR REFINED BY RESULTS OF RESEARCH

the only opportunity the participants will have to voice their feelings and concerns about the exercise both as a learning tool and as a simulation of the real world.

Step 5. The last step of the exercise does not necessarily come at this point in time. In previous administrations of the exercise, all participants were provided with a Sample Response to both Task I and Task II as the final activity. The exercise coordinator should distribute to each participant the "so-called" ideal Problem Identification Statement (Task I) and the ideal Problem Analysis Statement (Task II).

It should be explained that an early, one-man pre-test of the total exercise was conducted and an experienced researcher was closeted alone for four hours going through Task I and Task II individually. He was then asked to draft "sample" responses for Task I and Task II. The responses handed out are his product and can be compared to the "newsprint" products of each group.

4.0 SUMMARY

This document has provided a detailed description of the Crime Analysis and Planning Exercise. The introduction covered the general purpose, scope and method of the exercise and described the specific learning objectives for each of the two tasks comprising the exercise. An understanding of these objectives is essential if you, as an exercise coordinator or facilitator, are to provide meaningful and useful input into the exercise.

The section on Administrative Cues for Delivery covers a wide range of important areas that the exercise coordinator and facilitators must recognize. Proper scheduling of the exercise is essential if its full benefits are to be received. The staffing is an important concern if you are to have high quality individuals who understand their roles and responsibilities. Structuring of the small groups in order to provide balance and an understanding of the process issues that arise, as well as the general reasons behind them, is paramount if the desired products are to be achieved. And lastly, the step-by-step administration of the exercise must be followed in order to avoid confusion as to task and available time and to provide ample opportunity for debriefing and feedback.

You will find this exercise to be one of the most rewarding components of the program both for the participant and yourself. However, in order for this to be the case, those who administer it must be knowledgeable, the task assignment must be clear, the achievement of specific objectives must be attained, process issues above and beyond content must be handled, and logistical problems must be minimized in order to avoid frustration for the participant and yourself.

5.0 ATTACHMENTS

ATTACHMENT I

A SAMPLE RESPONSE TO THE

PROBLEM IDENTIFICATION

TASK I

A SAMPLE RESPONSE TO THE PROBLEM EXERCISE

TASK I. PROBLEM IDENTIFICATION

The selection of one of the seven crimes was based on a somewhat subjective weighing of objective data. Among the factors taken into account to select the target crime were (in general order of their importance ot the decision):

1. Frequency - the number of reported crimes which is an indication of the number of victims involved.

2. Seriousness - the degree to which the victim is injured during the crime or the value of the property lost or damaged and not recovered.

3. Hypothesized ability of programs in the criminal justice system to reduce or prevent the crime - this is based on general knowledge and prior data and indicates such factors as: target hardening; planned nature of the crime; ability to detect and apprehend the criminal; potential victim ability to engage in preventive activity; stranger-to-stranger nature of the crime; and the ability of programs to make an impact within a relatively short period of time.

4. Rate of increase during last five years - the proportion of increase in the reported frequency as well as the consistency of the increase; total frequency in the rate increase should also be taken into account (see factor 1).

Other factors of importance in selecting a target crime include:

5. Geographic distribution of the crime.

6. Specificity of victims and offenders.

7. Resources available - including monetary, manpower, political support, citizen support, etc.

(The above factors, however, were not used in this problem statement although some data were available that could have been incorporated--i.e., geographical analysis)

In order to select a specific crime, "trade-offs" must be made among the various factors mentioned. Seldom will one crime stand out as having the highest ranking on all the factors on which the decision will be made. The specific crime chosen should be the best combination of all relevant factors.

Given this rather general method of selection, I have picked burglary as the crime to be used for further analysis and programmatic development.

A very brief description of burglary with respect to the four decision-making criteria will follow:

Frequency--burglary has been the most frequent of the seven crimes during the past two years in Gotham City. In 1972 there were 790 more burglaries reported to the police than the second highest frequency crime--larceny. In 1973, the difference between reported burglaries and reported larcenies was 1,400.

Seriousness--although not as serious to the individual as homicide, rape, some robberies, and some aggravated assaults, the data show that property loss is greater for burglary than for the other property crimes with the exception of auto theft. However, the data on pages C53 - C56 show that all autos were recovered. Thus, the monetary value of the loss from auto theft, considering that some may have been damaged, would amount to much less than the approximate $1,145,000 loss from burglaries in 1973. This comes to an average of approximately $358 loss per burglary. Although the monetary amounts of loss for larceny offenses are not given, if we assume an average $200 loss for each larceny in which the loss is over $50 (an unrealistically high estimate considering the nature of the items stolen--pages C44 - C47), the amount lost by larceny would amount to less than $500,000. Data on pages C26 - C29 on robbery losses show a much lower average and total monetary loss than for burglary. Burglary is also about three and one-half times as frequent in 1973 than robbery.

Hypothesized ability of programs in the criminal justice system to reduce or prevent the crime--unlike the crimes of homicide, rape, larceny, some aggravated assaults and some robberies, burglary has been shown to be amenable to reduction and prevention in relatively short periods of time through activities of the police and the potential victims. More than any other crime with the exception of auto theft (which is not a serious problem) and some commercial robberies, burglary can be prevented through rather simple precautions on the part of citizens;* increased police activity, including patrol, investigation and intelligence operations (re: fencing); community

---

*Pages C27 - C30 show a large majority of the residential and apartment burglaries did not involve forcible entry.

education; and offender-based programs. Programs ranging from police patrol to making citizens and businesses aware of locking devices have been shown to be effective in many parts of the country. Increased apprehension and conviction of suspects through preventive patrol and speedy and sophisticated investigation will bring about more convictions. It is known that a large number of burglaries are committed by a relatively few number of burglars. Thus, increased convictions can produce a multiplier effect on burglary reduction.

Rate of increase during the last five years--burglary has shown a strong increasing trend during the past four years--77% from 1970 to 1971; 63.5% from 1971 to 1972; and 19% from 1972 to 1973. Larceny and auto theft have no increase during the past two years and robbery has shown a dramatic increase only from 1972 to 1973 (84%). Rape has shown the most consistent, steady rate of increase over the five years but the frequency is very low compared to burglary and its amenability to criminal justice system prevention is probably low.

In summary, burglary was chosen as the target crime because it was the most frequent of the seven index crimes; was the most serious of property crimes in terms of average and total amount of monetary loss not recovered; showed a strong rate of increase during the past four years; and is probably the most likely to show payoff in terms of reducing by means of combined efforts of citizens, businesses and the criminal justice system.

ATTACHMENT II

A SAMPLE RESPONSE TO THE

PROBLEM ANALYSIS STATEMENT

TASK II

TASK II: PROBLEM ANALYSIS STATEMENT

The burglary problem will be presented as a summary of statistical data. These data should be used in the development of alternative prevention and reduction strategies.

Frequency--there were 3,200 reported burglaries during 1973, of which 96%, or 3,072, were founded crimes. Of the seven index crimes, burglary was by far the most frequently reported for the past two years. There has been a linear increasing trend from 1970 with slightly more than a 350% increase from 1970 to 1973.

Setting--of the reported burglaries, 73.4% were committed in residences and 26.6% in commercial establishments. Of the residential burglaries, 1,090 or 46.3% were in single or multi-family houses, while 1,264 or 53.7% were in apartment buildings. Among the commercial burglaries, 397 or 46.9% were in large commercial buildings while 449 or 53.1% were in small commercial buildings.

More burglaries were committed on Saturday (17.5% of the total) than any other day of the week. Friday and Sunday were the next most fequent days with 15% and 15.3% of the total burglaries respectively. Nearly half the burglaries occur on or near the weekend. Tuesday showed the smallest percent of the total with 11.3% of the incidents.

Time of day of occurrence of burglaries shows a fairly clear pattern. The most common occurrence is around 8 p.m. and 9 p.m. (13% and 14% of the total number of burglaries). There is a drop-off after 9 p.m. which continues through the morning hours. At 10 p.m. there are approximately 9% of the burglaries, while at each hour after 1 a.m. through 9 a.m., 1% or less of the total number of burglaries are committed. There is an increase between 10 a.m. (3%) through 2 p.m. (10.5%) and then a decrease between 3 p.m. and 7 p.m. after which there is the sharp rise as described above.

Geographic Location--the greatest number of burglaries are committed in Area D with 38% of the total. The other three Areas show between 19% and 22% of the total. Within Area D, Census Tracts 27.01, 27.02 and 27.03 each had over 300 burglaries in 1973, the three highest in the city. The other 13 census tracts ranged from 127 to 190 burglaries. Residential burglaries ranged from 64.6% of the total in Area A to 85.1% of the total in Area D. Among residential burglaries, Area A and C show a majority to be in single or multi-family homes (80% and 60.1% of residential burglaries) while Areas B and D

show the majority of residential burglaries to be in apartment buildings (59% and 72.3% respectively). These data show that a somewhat different burglary problem exists in the four areas of the city.

Census Tract Data--a brief description of the demographic, social, economic, land use and other pertinent census data of the tracts with the highest frequency of burglary may be presented if the trainees have the time. They should choose the top 25% to 50% of the census tracts in terms of high crime frequency.

Method of Entry--the large majority of burglaries of residences, both single and multi-family homes and apartment buildings, were made without forcible entry. Approximately 67% of the reported burglaries of all residences were made without forcible entry. Of the burglaries committed against single or multi-family houses, 61.7% were done without force (frequency of 673). Of the 1,264 apartment building burglaries, 903 or 71.4% were without force. The opposite was true for commercial burglaries with 635 of the 846 commercial burglaries, 75.1% involving forcible entry. Of the burglaries of large commercial buildings, 322 of the 397 incidents involved forced entry (81.1%). Among burglaries of small commercial buildings, 313 of 459 involved forced entry (68.2%).

Items Stolen and Monetary Value of Loss--the total estimated loss from all reported burglaries in 1973 was $1,145,000. The average loss was approximately $358 per burglary. The most frequent items stolen varied from area to area. In terms of frequency the following items were among the top five in rank order in each of the four areas of the city: money,televisions, stereo/audio equipment, appliances and tools. Total dollar loss followed this rank order: televisions, stereo/audio equipment, tools, appliances and money.

Suspects Arrested--a total of 212 suspects were arrested for burglary during 1973. This is probably an unrepresentative sample of those who committed burglary offenses in Gotham City. This is a conservative assumption since we don't know the characteristics of the population of burglars, only of those who were arrested. Of the 212 arrested, 140 were juveniles (66%) and 72 adults (34%). Areas A and B showed a slightly higher percent of juvenile than adult arrestees while Areas C and D showed a much higher percent of juvenile to adult arrestees (61.9% juveniles in Area C and 80.7% juveniles in Area D). Of the juveniles arrested, 43 were Black (30.7%), 52 were Anglo (37.1%), 41 were Spanish-American (29.3%), and 4 were of other ethnic groups (2.9%). Among the adults arrested, 26 were Black (36.6%), 19 were Anglo (26.8%), and 26 were Spanish-

American (36.6%). Not much can be concluded from these data except to say that among arrestees for burglary there seems to be a disproportionate number of Blacks compared to their population, among both juveniles and adults. Among Anglos the arrestees are disproportionately lower than their population in the city, and for Spanish-Americans, they are slightly over-represented compared to their population in the city.

Criminal Justice System Responses--the 212 individuals arrested for burglary produced 922 clearances, 4.3 offenses per arrestee. A total of 922 (30%) of the founded offenses were cleared while 2,150 founded offenses were not cleared. Of the 212 arrestees, 115 (53%) were prosecuted by the District Attorney. There are no data on conviction. Ninety-seven of the arrestees were not prosecuted by the District Attorney (47%). Of those not prosecuted, in 74 cases the victim refused to prosecute; in 17 cases the District Attorney refused to prosecute, and the remaining 6 arrestees were referred to another agency.

MULTIPLE CRIME REDUCTION POTENTIAL

If one analyzes the nature of some rape offenses, it is possible to effect a reduction in rape as a direct result of target hardening to prevent burglary. This conclusion can be drawn from the large number of rape offenses reported in Area D that occur in the evening hours in a private dwelling--i.e., bedroom of apartment or house. It is also important to consider that some of the reported burglary offenses were actually "first event" offenses prior to the actual commission of a rape; that is, the U. C. R. reports will include a reported incident in each crime category even though the same suspect(s) committed both offenses against the same victim relatively at the same time at the same location. This would also include a robbery event, but the frequency is probably less than it is with the offense of burglary.

A multiple crime reduction potential is important when considering the design and development of crime reduction "program alternatives."

Instructor's Guide

MODULE 6

DEVELOPING A PLAN:

PROGRAMS AND PROJECTS

Southeastern
riminal Justice Training Center

orida State University

DEVELOPING A PLAN: PROGRAMS AND PROJECTS

PART I. Introductory Information

Abstract

The focus of this module is on techniques of reasoning for developing alternative means for dealing with problems, and the types of considerations to be taken into account in analyzing the potential effectiveness and feasibility of alternative means. This module is closely linked to the previous ones and the information derived from them for the consideration and construction of means.

Lesson Objectives

Upon completion of this lesson, the planner should be able to:

1. Distinguish between programs and projects.
2. Identify types of projects by important project characteristics.
3. Understand the relationship between problem identification and analysis, and the formulation of alternative projects.
4. Understand the relationship between the crime-oriented model and the derivation of alternative projects.
5. Understand the procedure for identifying alternative projects from problem statements.
6. Understand the importance of the concepts of project effectiveness and project feasibility.
7. Identify important constraints affecting effectiveness and feasibility.
8. Construct and analyze projects aimed at achieving goals.

Required Reading

Zweig, Franklin and Robert Morris. "The Social Planning Design Guide." Social Work, 11 (April, 1966), 13-21.

O'Neil, Michael E., Ronald F. Bykowski and Robert S. Blair. Criminal Justice Planning. San Jose, Calif.: Justice System Development, 1976. Chapter 5.

Recommended Reading

Program Planning Techniques. Washington, D. C.: Law Enforcement Assistance Administration (October, 1972). (Monograph.)

Mayer, Robert. Social Planning and Social Systems. Englewood Cliffs, N. J.: Prentice Hall, 1972.

DEVELOPING A PLAN: PROGRAMS AND PROJECTS

PART II. Text

1.0 INTRODUCTION

This lesson concerns methods and concepts the criminal justice planner can use in developing and designing programs and projects. We are at that step in the general planning process model indicated as identifying and analyzing alternative means. Programs and projects thus are to be viewed as means for dealing with a problem, and as indicated in the general planning process model, are dependent upon the previous steps of the planning process. In particular, the development of means for addressing problems will be seen to be heavily dependent upon the information generated about a problem in the problem identification and analysis step and our decisions about what we want to accomplish undertaken in the goal setting step. The objectives and outline for this lesson should be reviewed.

VA 6-1 6-2

1.1 Definition of Programs and Projects

Programs and projects have different meanings to various persons at different levels of the criminal justice system. LEAA defines a program as a "set of interrelated tasks which, when completed, satisfies some...objective," and furthermore as "a complex undertaking composed of tasks which bear definite lateral, hierarchical and sequential relationships to each other."

VA 6-3

Although not specifically identified or defined as such, a project is the specific method by which a program is carried out. Hence, seemingly diverse projects or tasks, related to each other to accomplish a particular objective, constitute a program. In these senses, a program defines in the abstract what is to be done and a project describes concretely how it is to be accomplished. Projects are the specific tools or tactics available to the planner and administrator to accomplish some purpose.

Programs are frequently specified at the stage of goal setting. For example, in Module 5 an example of a goal to respond to a drug problem, given as "to reduce supply of dangerous drugs and narcotics," specified a particular program--a drug supply reduction program. The goal and the programmatic response derived from our understanding of the drug problem. It still remains, however, to address the how of this supply reduction program. What particular tasks can be developed that will affect drug supply? This takes us into the construction of projects.

1.2 Types of Projects

Projects can be classified on the basis of four dimensions:

VA 6-4

1) class, which deals with the "what" aspects of projects, particularly what part of the problem is being addressed;
2) strategy, which is concerned with "where" and "who";
3) approach, which relates to "why" the project is being conducted;
4) method, which concerns the "how" of carrying out the project.

"Class" of Project

1. Symptom: Deals with such things as offender rehabilitation programs, response time, etc.

2. Process: Deals with such things as efficiency, case flow, court calendaring, etc.

VA 6-5

3. Causative: Addresses primary or secondary causes of crime or criminality such as unemployment, poor mental health, poor physical environment.

4. Crime: Deals with specific crimes such as narcotics or burglary.

5. Effect: Addresses the effects of problems or procedures, i.e., strained community relations which are the effect of a new police procedure, the call for firing of the police chief due to a high incidence of burglary, etc.

"Strategy" of Project

1. Within a functional area: e.g., police courts, or corrections.

VA 6-6

2. Across or between functional areas: Involves two or more but doesn't involve contact.

3. Interface: Requires coordination and communication but no interdependency.

4. Interactive: Requires mutual, cooperative effort, interdependency.

5. Within a jurisdiction.

6. Across jurisdictions or multi-jurisdictional.

"Approach" of Project

1. Pilot: A small scale test of a concept with the idea that it could be the forerunner of larger scale projects or changes depending on the results.

VA 6-7

2. Redefine problem or process: A different way of defining a problem (decriminalizing) or the way a problem is handled (pre-delinquent diversion). Usual focus is on a predefined special target group and is offense specific.

3. Remodel or restructure: Using existing resources as well as grant funds to alter or modify an existing functional area or a major program element of a functional area.

"Method" of Project

1. Research: To find out or study relationships between given events.

2. Feasibility: To find out to what extent a plan can be implemented. It is usually linked with forming hypotheses.

VA 6-8 6-8-a

3. Action or demonstration: Focuses on a method of achieving specified, measurable objectives or events (milestones). Highly impact oriented.

4. Experimental or comparative: Usually focuses on a comparison of two or more alternative methods of approaching the same problem and studying their relative merits. It is usually linked with experimental research designs.

5. Exploratory: No commitments are usually made except to probe an area, "fish around," and come up with "observations" and perhaps "recommendations."

An example of the way in which this typology can be used to describe projects would be a burglary reduction effort. Selecting the most appropriate category from each of the four types we would arrive at the following structure:

1. Class: Crime--burglary
2. Strategy: Within a functional area--police
3. Approach: Pilot
4. Method: Action or demonstration

Thus, we have described the elements of a crime-specific project which focuses on burglary, to be implemented by one police department as a pilot project, with the possibility of adoption by other law

enforcement agencies in the region if it proves effective. Further, it is an action or demonstration effort as it focuses on the extent to which it achieves measurable objectives established by the sheriffs and police chiefs of a region.

Of course, projects can be developed which include more than one element from each of the four types. For example, a burglary specific project might also include a community relations program designed to increase both citizen reporting to police and assistance to the police in detection, apprehension, and prosecution along with efforts to improve employment, mental health, the physical environment and other conditions which focus on the cause of burglary.

The burglary-specific activity might be performed within a functional area while those activities of the project concerned with cause and effect aspects of the problem are dealt with on a multi-jurisdictional basis. Similarly, one element of the project could be viewed as a pilot study while another element might focus on redefining the problem or process. The method employed might be experimental or comparative, or the effect element (community relations program) while the experimental or comparative element is used to view the impact of the causative element (unemployment).

2.0 THE IDENTIFICATION OF ALTERNATIVES

Having distinguished between programs and projects, and described project types, two important questions are: "How do we identify

alternative projects or means to deal with a problem?" and "How do we analyze these alternatives so as to choose among them?" We will treat each of these two questions in turn. VA 6-9

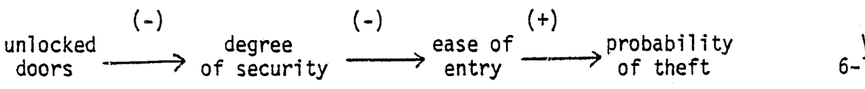
A framework for considering alternative projects as a way of identifying potential alternatives has already been presented. This was the crime oriented planning model. The model was presented as a "tree diagram," representing alternative paths to projects, with specific projects represented at the lower-most set of "branches." Thus, for any type of problem, there represents two alternative strategies that may be pursued--separately or together, noted as controlling events and reducing causes, and flowing from these alternative strategies, a large number of potential projects. The CO model can be viewed as a list or a set of potential strategies and projects, only some of which may be relevant to a particular problem. We still need some guidelines for how we move along the branches of this model and arrive at recommendations for particular alternatives. VA 6-10

The choice of alternative paths in the CO model is based upon the facts we have generated about a problem and the understanding of that problem that derives from our data analysis. This analysis, culminating in a problem statement, suggested certain causes, symptoms, and effects of the problem which then suggest the objects or phenomena that we can operate on to affect or change the problem state. In essence, projects can be viewed as attempts to manipulate or change some object or phenomenon that relates to our problem. In

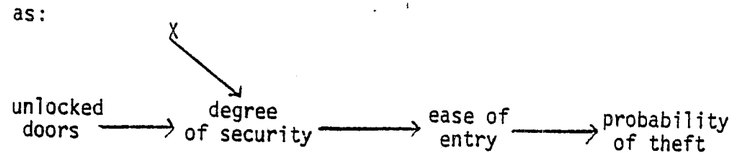
Module 2 we also noted that the objects or phenomena that we can attempt to manipulate or change are likely to be factors classified under the headings of individual characteristics, environmental characteristics or system characteristics. Hence, we collected and analyzed data in these three categories as was relevant to our problem. Our problem statement indicated which of these variables affected our problem, and how. Projects, now, are attempts to change these variables to affect the problem in a desired way.

A simple example of the relationship between our data analysis and the consideration of projects is as follows: our concern with the auto theft problem has led us to analyze the conditions under which thefts occur. We find that thefts occur overwhelmingly by juveniles, at night, involving unlocked cars, etc. These conditions thus represent potential conditions that we may operate on to affect the auto theft problem.

In order to tentatively consider any of these conditions as affecting our problem and thereby represent targets for change through projects, it is advisable that we first examine our reasoning in relating these conditions to thefts. One useful way of examining our reasoning is to attempt to lay out a chain of causal relationships between these conditions and the problem, crime. In our auto theft example we might establish the following reasoning:

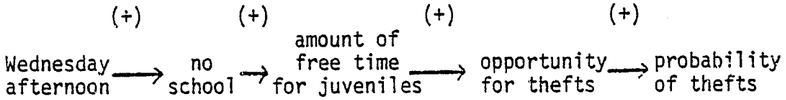


This is a perfectly reasonable and logical set of relationships. And it indicates to us that if we operate on the condition "unlocked doors," we will be likely to affect thefts by virtue of affecting the intervening conditions--degree of security and ease of entry. Thus, we have established a rationale for directing our attention to "unlocked doors." The model that we have laid out shows another advantage in addition to establishing a rationale for action against unlocked doors. Since the effect of locking doors is not directly on the theft, but on the security and ease of entry, our model suggests that attempting to change security may also be productive. Security can be affected in ways other than locking doors--e.g., burglar-proof ignition locks. Hence, perhaps we can expand our model as:



Another benefit of laying out our reasoning for why particular factors may affect our problem is to better discern what might not be useful; i.e., if we cannot establish a reasonable causal link between a condition and our problem, we provide ourselves and others with a rationale for not addressing that condition. Suppose, for example, that our previous analysis of the problem and problem statement indicated that most auto thefts occurred on Wednesday afternoons. Attempting to model this, can we think of any reason why this time period should be related to thefts? Here we may have two apparently unrelated

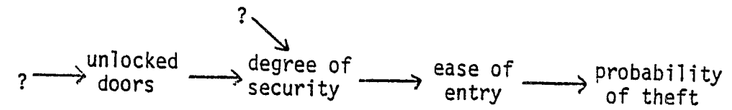
conditions with no logical relationship between time and crime. If this is so, then we wouldn't pay any attention to this factor. On the other hand, it is possible that some link does exist between time and crime. Having to think about it may force us to investigate and hypothesize this link. Thus, we may find that in this particular community school is out on Wednesday afternoons, allowing us to hypothesize the following:



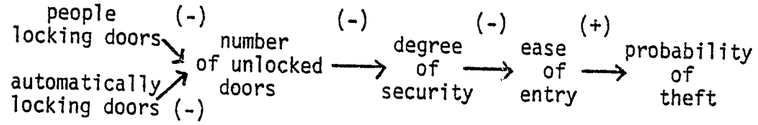
If this were the case, then our model suggests that the Wednesday afternoon condition is important--but not in and of itself. Here the important condition that we may wish to operate on is no school, free time for juveniles, and opportunity for thefts.

After we have used our data analysis to establish a rationale for acting on a particular condition, we may continue in much the same fashion for deriving particular projects for affecting that condition. We may work backwards--from condition to projects--or forwards--from particular projects to the condition to be affected--but in either instance our intent is to link actions with a problem through a set of intervening variables.

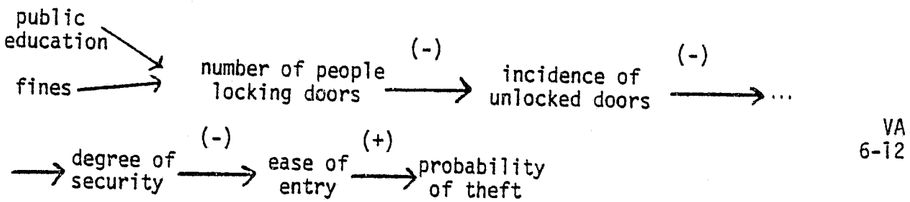
Returning to our auto theft example, and working backwards, our next step may be to ask (1) how can we affect the incidence of unlocked doors? and/or (2) how can we affect the security of vehicles? In model form this is:



Taking the first question, a number of ways may occur to us as to how to affect the unlocked doors condition--e.g., have people lock doors, have doors lock automatically when closed. Thus:



Each alternative, in turn, can be examined as to how it can be affected. Since a requirement that auto doors lock automatically may be beyond the powers of a local community, this may be eliminated from further consideration. Examining the other alternative, having people lock the doors, may be affected by a number of conditions; e.g., a public education program attempting to educate people to lock their doors, a system of fines for unlocked doors, and perhaps others. Thus we have arrived at the specification:



Two potential projects are suggested, each of which is aimed at reducing the incidence of auto thefts through increases in auto security.

Other chains of reasoning could also be developed, coming from the condition "degree of security" and not necessarily involving locked doors. The planner may wish to explore these other linkages. In addition to other linkages involving security, still other causal chains may be created as were indicated by our data analysis. Thus, after having explored the chain involving security, we may wish to explore the chain involving juveniles, or the fact that thefts occur at a particular time, or that thefts occur in particular areas, etc. Some of these chains may lead to "dead ends" and not indicate ways of attacking the problem. Others may be productive, and thereby yield further alternatives for dealing with the problem by affecting different aspects of it.

While the example is reasonably simple and intuitively obvious, it does explicate a type of reasoning that is valuable. Some of the benefits to be derived from this reasoning process are:

(1) Projects are responsive to our understanding of a problem and derive from what our data analysis indicates to be the characteristics of a problem and the conditions affecting it.

VA
6-13

(2) Our rationale for a project affecting some outcome is made clear and is subject to examination by others. Linkages between conditions must be justified on the basis of reasonable experience, knowledge or hypotheses. Casual beliefs that a particular project will affect a problem are not accepted.

(3) The process encourages us to think of alternative ways in which we can affect a condition or conditions in our causal chain.

Here, a number of ways of addressing a problem are identified.

(4) The process will be helpful in terms of project evaluation (to be discussed in Module 8). By making clear what a project is to affect and the chain of effects that may be set up, more meaningful evaluations of projects are possible.

3.0 THE ANALYSIS OF ALTERNATIVES

A list of projects identified in the above manner still only represents a list of potential projects for dealing with a problem--albeit, a shortened list from all possible projects. Our list represents only these projects which we feel bear a reasonable relationship to the problem. What we have accomplished is the first step of this stage in the planning process model--identify alternatives. What still remains is the analysis of these alternatives.

VA 6-9

The analysis step of this process is concerned with attempting to judge the relative "goodness of alternatives," i.e., to determine if any one or more are better alternatives than others. Two aspects of "goodness" can be identified for the analysis of these alternatives: effectiveness and feasibility.

3.1 Effectiveness and Feasibility

Effectiveness of a project refers to its impact on individual, environmental, or system characteristics to affect a problem. Clearly, some alternatives will have a larger impact than others. In identifying alternatives we addressed only the notion of whether or not a logical impact could be suggested. Hence, at one stage in the model we were

VA 6-14

willing to consider both people locking doors, and automatically locking doors, since both are likely to impact on the condition of locked doors and security. We recognize, however, that automatically locking doors may be more effective in increasing security. At the same time, we are also concerned with the feasibility of a project or improved conditions. Feasibility refers to whether the action is practical within the bounds of certain constraints or conditions surrounding our abilities to take action on the problem. We commonly recognize that some actions are more feasible than others, and that lack of feasibility may serve to disqualify an otherwise effective project from further consideration. Hence, in the above examples, automatically locking doors were dropped as a consideration because of lack of feasibility. Both effectiveness and feasibility should be addressed and viewed together.

3.2 Judging Effectiveness and Feasibility

Two levels of analysis for judging the potential effectiveness and feasibility of projects are possible: a general and specific level. At the general level our concern may be with attempting to judge how the particular type of program will affect our problem. Thus, we may ask whether public education programs for convincing people to lock car doors is likely to be or has been, in the past, effective. In essence, we are asking how much confidence we place in the causal link established above. Where similar types of programs have been tried in other communities, information about how well these programs have worked out should be collected. This information

may be quantitative or qualitative, and represents an important source of data for judging whether an alternative is worth pursuing. Where no such information exists, judgment is more difficult. In these instances we have to rely on professional and expert opinion exercised as anticipatory judgment. A second level of analysis is more specific, addressing itself to the question of "How effective will this project be in this time and place, and under the conditions that it may be implemented?" This type of analysis therefore requires a detailing of potential alternatives, attempting to more clearly specify the project and what is involved. From these details a more accurate assessment of effectiveness may be possible. In addition, these details will allow for an assessment of feasibility.

3.3 Detailing Projects

In general, a detailing of potential projects should include at least the following:

VA
6-15

(a) descriptive title--e.g., A project of public education directed at motor vehicle operators for motor vehicle security

(b) expectations/purpose of the project--this project is intended to increase operators' awareness of the necessity of locking vehicles' doors while unattended as a means of decreasing auto thefts

(c) major tasks/description of project--the project will involve public meetings in local schools, radio and TV commercials, pamphlets to be distributed

(d) organizational responsibilities--the project will be conducted by the _____ office within the police department

(e) required resources (manpower)--two officers, full-time for community meetings, facilities, meeting facilities equipment, audio-visual equipment

(f) budgets--anticipated costs of personnel, facilities, equipment

(g) schedule--how long to get operational, length of project, important schedules during the project

(h) risks, conditions--i.e., conditions affecting the potential success of the project

3.4 Conditions Affecting Success: Constraints

The conditions affecting success are actually potential constraints that might impact on one or another of effectiveness and feasibility. Most of these constraints were briefly mentioned in Module 2, and can be detailed here. It is important to emphasize, however, that the list of constraints noted here is only suggestive. Particular types of projects concerning different problems in unique settings and circumstances may involve others.

VA 6-16

(a) Knowledge constraints--knowledge constraints relate to what we know about a problem, its causes, symptoms and effects. Some problems are better measured and more fully understood than others, making it possible for us to identify and construct potentially effective alternatives for dealing with the problem. While our reasoning process in deriving alternative projects has responded to this constraint by developing causal links only where some knowledge was available to substantiate that link, constraints may still exist as represented by the degree of confidence we place in the causal

chains. The causal chain that we have been using as an example, involving locked doors, security, and auto theft, is one in which we can place a reasonably large degree of confidence. Alternatively, we could have developed other chains of reasoning, such as that involving no school on Wednesday afternoons, free time for juveniles and theft. This reasoning, although responsive to our data, is much more tenuous; we are much less certain that juveniles with free time get into trouble or that restricting free time will reduce delinquent behavior.

Another aspect of knowledge constraints relates to the strength of the relationship between linked variables. In our examples we indicated the direction of the hypothesized relationship between variables, but we may not know much more than this. Thus, two chains of reasoning may be equally reasonable and we may place equal confidence in them. Other things being equal, however, we would ordinarily want to choose that project which would have the greatest impact on the conditions affecting a problem. Without more knowledge about the magnitude or strength of the relationship between conditions in our chain, this may be difficult.

In both ways, then, lack of complete knowledge constrains our ability to know and choose the best alternatives.

(b) Time constraints: These refer to the time period necessary for starting a project and the amount of time necessary for results to appear. Some projects may be operationalized much faster than others--e.g., a program of community education operated by the

police department is likely to be mounted faster than one involving the revision of high school curricula to include the same subject. The former is also likely to have an impact much sooner since the audience is more likely to own vehicles than high school students.

Projects that can be operationalized in a shorter time and which will show results faster are not necessarily better projects. Projects with longer time frames may have more encompassing and far-reaching effects. The question of whether we can wait is one that must be decided in light of the particular issue and events surrounding it.

(c) Technical constraints--These refer to technical problems that may arise to compromise a project. For example, special skills or equipment may be necessary for operationalizing a project, and these skills and equipment may not be available in sufficient quantity or within the time needed. It may be physically difficult or impossible to accomplish particular tasks. A project may depend on patrol cars being able to get from one end of a city to another within a certain time period, but with heavier traffic on the streets during some parts of the day, this may be very difficult.

(d) Criminal justice system organizational constraints--These constraints concern the behaviors and reactions of other criminal justice agencies. A project may impact on the operating procedures of another agency, and without the cooperation of this other agency and a change in their operations, the impact of the project may be nullified. Hence, a police crackdown on a particular crime, without

the cooperation of the courts, may be meaningless. Similarly, extensive court backlogs may place a constraint on stepped-up police activity. These constraints return to the question of system analysis and project impacts on the entire criminal justice system.

Other organizational constraints may exist from non-criminal justice agencies--both public and private. Police may wish to close particular streets but the local transportation department may be against this. Similarly, a project may call for the joint effort of the welfare and recreation departments of a community, and each may find cooperation with the other very difficult.

(e) Social and cultural constraints--These refer to actions that, while legal, may be unacceptable to the community because of social values, norms, or local group interests. Hence community treatment centers may be difficult to locate in particular neighborhoods; the enforcement of Sunday "blue-laws" may not be tolerated, etc.

(f) Legal constraints--Projects may depend on actions that are not legally authorized and which may require changes in existing laws--in addition to certain acts being illegal. Thus, juvenile courts may not have existing authority to become involved in juvenile delinquency prevention programs and may need to seek such authorization before mounting these programs.

(g) Political constraints--These refer to the actions of other persons, agencies, etc., within the political arena. Certain actions may not be politically feasible because of the interests of other important actors within the system and the pressures they

can bring to bear to influence decision-making. Political constraints will be discussed more fully in Module 7.

(h) Secondary consequences as constraints--A program and projects may have impacts beyond the particular problem to which it is directed, and these impacts may be both positive and negative. Thus, for example, a drug rehabilitation center located in a particular neighborhood may make the neighborhood less attractive to residents and hasten housing turnover and decline of the area. To the extent that one action may actually worsen other problems or nullify the effects that other projects may have, these must be accounted for as costs of the project.

(i) Cost constraints--The relevant questions to be addressed include both the short- and long-term cost considerations and availability of resources for the project. Thus, for example, the planner is interested in whether sufficient money will be available to mount and operate the project curing its initial years, as well as potential resource changes over the long term that may impact on project costs and the availability of funds.

Other types of constraints may exist for particular types of problems and projects. In spite of the importance of these constraints, there is no easy way of balancing them for arriving at an answer as to which projects may be best. In some situations one set of constraints may be more important than others, and decisions to adopt one set of projects may change over time as the nature and importance of the various constraints change. Thus, while in one

situation we may be willing to adopt a project whose outcomes are uncertain and which involves negative impacts on other conditions or organizations, in other circumstances we will not be prepared to do so. What may appear to be the "best" project in the sense of effectiveness may not be the best for a particular community, given the conditions affecting feasibility. The planner should be wary of suggesting alternatives that seem to have worked in other places under different sets of conditions. Experience with a community and what is possible in that community is as valuable an asset to project selection as is good data analysis.

4.0 SUMMARY AND CONCLUSIONS

The most significant points of this lesson can be summarized as follows:

(1) Programs and projects can be distinguished from each other, with programs representing sets of projects aimed at achieving a desired objective. Many different projects may comprise a particular program.

(2) While desired objectives are formulated at the stage of goal selection, the particular tasks needed to accomplish these objectives derive from our data analysis and attempts to understand a problem.

(3) Identifying possible alternatives for dealing with a problem begins with attempts to hypothesize or logically relate

phenomena indicated in our problem statement with the problem condition. Causal modeling is a useful device for examining the potential relationships between variables as they may affect a problem.

(4) The derivation of projects proceeds in a similar manner, by attempting to hypothesize causal linkage between projects and other factors affecting our problem. In this way we help to ensure that our projects bear some relationship to our problems and desired objectives, and the rationale for change is made clear.

(5) After potential projects are identified, they must be analyzed as to both effectiveness and feasibility. This will involve a more detailed specification of projects and an examination of the numerous constraints that may affect effectiveness and feasibility.

(6) The choice of projects generally represents a balance between effectiveness and feasibility. High effectiveness projects may not be feasible within a particular community. A good working knowledge of a community is necessary in order to evaluate the importance and impact of many constraints.

VA
6-17

Our discussion of project effectiveness and feasibility relates to the different styles of planning noted in Module 1. More complete knowledge and understanding of a problem and a project, and a relative lack of constraints, suggests that a synoptic approach to planning may be feasible. Alternatively, under conditions where many constraints exist and where both primary and secondary consequences of projects may be less readily perceived, the

incremental style appears more appropriate, allowing for changes in project content or new information on impacts to occur and as the nature of constraints changes over time.

The exercise following this lesson is designed to give participants an opportunity to practice the concepts contained in Module 6. Participants will have already analyzed a particular crime problem and have developed a problem statement. In the exercise to follow this lesson, participants will be asked to use their problem statement to arrive at potential projects for dealing with the problem, and should do so via the causal modeling approach described above. Having derived a set of these potential projects, each should be detailed and analyzed against potential constraints affecting the project, from which a choice of one project will be made.

5.0 EXERCISE: DEVELOPING PROGRAMS AND PROJECTS

Introduction

The purpose of this exercise is to give you the opportunity to develop and practice the concepts and skills related in Module 6. The exercise builds on the products of the exercise in Module 5a and utilizes these analytical products as the basis for developing programs and projects.

Instructions

In light of the problem identification, problem analysis and goal development work you have already accomplished, and within the perspective of the differences between programs and projects, design

a program that consists of at least three projects that will contribute to your immediate and long range goals.

Each project should derive from or relate to your previously constructed problem statement and should be supported by a causal reasoning chain that relates a project, through a series of intervening variables, to a desired outcome. Each link of the causal chain should be noted by a (+) or (-), indicating the hypothesized direction of effect.

For each of the three projects, write a detailed project outline, to include each of the categories of items noted in visual aid 6-15, including an assessment of the relevance and strength of the constraints acting on your project. (Since no specific information is given on the relevance/strength of many of these constraints, you may combine logic and imagination in accomplishing this part of the task. Some of the conditions described in the problem situation, section A, paragraph 6.0 of Module 5a may be useful here.)

Given your causal model, detailed project statement, and assessment of constraints affecting each project, make a recommendation as to which of the three projects should receive priority attention and funding. This recommendation should derive from your assessment of both project effectiveness and feasibility.

Output

1. A causal reasoning chain relating three projects to desired outcomes (goals).

2. A detailed statement of objectives and what is involved in each project.
3. A statement assessing constraints on each project.
4. A recommendation as to highest priority project.

Procedure

The same procedures as for the exercise in Module 5a will be followed, with each group completing the required tasks and presenting their output to the group as a whole for discussion.

DEVELOPING A PLAN: PROGRAMS AND PROJECTS

PART III. Supplementary Information

QUESTIONS FOR DISCUSSION

1. Discuss the relationship between the crime-oriented planning model and the formulation of alternative means for dealing with a problem.

2. Discuss the relationship between the problem statement and the formulation of alternative means.

3. What is an "intervening variable"?

4. Specify some of the benefits of a causal reasoning process.

5. Relate the analysis of alternatives to the discussion of styles for utilizing the general planning process model.

6. Distinguish between effectiveness and feasibility. Which is the more important?

7. Why is it necessary to detail projects prior to choosing among them?

Teaching Suggestions

1. The type of causal reasoning introduced in this module may be relatively new to most participants. We suggest that the instructor build up the causal chains rather slowly, using the chalk board, and involving participants at each step.

2. The material in section 1.2, involving a typology of projects, is relatively straightforward and does not warrant very much time in comparison to the material following it.

3. The exercise should be conducted in the same work groups organized for Module 5a and under the same general set of process rules. Time allocated to the exercise portion of this module should be 2½ hours in addition to that necessary for review of the work products.

Instructor's Guide

MODULE 7

PLAN IMPLEMENTATION

Southeastern
Criminal Justice Training Center

Florida State University

MODULE 7

PLAN IMPLEMENTATION

PART I. Introductory Information

Abstract

This lesson is designed to identify for planners the relationship of implementation to other aspects of the general planning process model. The differences between two levels of plan implementation--i.e., program and project implementation--are examined. Problems that impede each of these types of implementation are considered, with particular attention being given to political constraints on program implementation and the design and use of policy planning strategy in the political process. Recommendations regarding ways to improve plan implementation are offered.

Lesson Objectives

Upon completion of this lesson, the planner should be able to:

1. Define the term "implementation" and describe plan implementation in terms of the subactivities of program and project implementation.
2. Identify the mandate for and responsibility of state planning agencies with regard to plan implementation.
3. Identify and describe five types of constraints that impede plan implementation at the SPA level, and five at the local level.
4. List the steps to be taken in project implementation.
5. Understand and appreciate the role of the criminal justice planner as a change agent in the political environment.

6. Describe the design of policy planning strategy in terms of four controllable and two non-controllable factors.
7. Demonstrate the use of the Strategy Planning Chart.
8. Describe the relationship of implementation to other steps of the general planning process model.

Suggested Preparation for this Module

It is imperative that participants be thoroughly familiar with the required reading for this module, prior to its presentation, so that the majority of the lesson time can be devoted to meaningful discussion and a brief practical exercise rather than to lecture.

Reviewing Modules 5 and 6 dealing with the planning phases that usually precede implementation will help the planner see the continuity of the process and the ways in which the part or phases are related.

It would be helpful also for the planner to recall some of the highlights of projects in which he has been involved in the implementation phase and the problems encountered and solutions worked out.

Looking over the content of Module 8 on monitoring and evaluation will help in seeing how implementation and evaluation are related.

PLAN IMPLEMENTATION

PART I. Introductory Information

Abstract
Lesson Objectives
Suggested Preparation for this Module
Readings

PART II. Text

PART III. Supplementary Information

Questions for Class Discussion and Review

General Discussion Questions

Teaching Suggestions

Required Reading

Faust, F. L., P. L. Brantingham, and J. E. Frank, "Criminal Justice Policy Planning Strategy in the Political Process," Florida State University (December, 1976; mimeograph), publication pending.

PLAN IMPLEMENTATION

PART II. Text

1.0 INTRODUCTION

This lesson will help the planner gain an understanding of the process by which criminal justice plans are implemented. Implementation may be considered to be accomplished when an idea has been translated into an action program and related projects, and embodied in an organization to a degree that it influences the nature and operations of the organization. Definitions of plan implementation and its subactivities of program implementation and project implementation will be examined in this lesson. VA 7-1 7-2

The responsibility for the implementation of comprehensive state plans to achieve the goals and objectives of the Omnibus Crime Control Act was mandated to state planning agencies. However, the fact is that sole responsibility for that activity may not rest entirely at the SPA level. Indeed, in many states SPAs are delegating responsibility for plan implementation to the regional level. Thus, the responsibility for program and project implementation is often shared among agencies at more than one level. This may produce increased problems of coordination for the planner as well as greater opportunities for broader program impact. Irrespective of that, state planning agencies must, in conformance with Federal legislation, address the issue of implementation.

There are impediments to criminal justice plan implementation, both at the program and project levels. Examples of such problems and some possible remedies will be considered. Particular attention will be given to political constraints on plan implementation and the development of appropriate strategies to maximize the planner's influence upon policy and operational decision outcomes. Ways in which the planner's role in the implementation process may be strengthened are considered.

1.1 Definition of Implementation

The simplest definition of "to implement" is "to carry out." Implementation also is described as an activity "which gives practical effect to and insures actual fulfillment by concrete measures." Others have viewed it as the method applied to achieve a stated purpose. One preference runs to the idea that implementation is the process by which an idea (plan, program, or project) is embodied into an organization to a degree that its impact and influence on the organization and behavior of its members is discernible.

In any event the generally accepted definition of implementation clearly establishes the need for strong, able leadership as the primary requirement. It is said of the three-star restaurants of the world that excellence is insured because "nothing is left to chance." Implementation of programs and projects deserves no less attention.

VA
7-3

1.2 Relationship of Implementation to the Planning Process

The volume entitled Criminal Justice System, one of the volumes in the National Advisory Commission Report on Standards and Goals,

states that implementation is not part of the planning process. Despite a subsequent qualification in the Report to the effect that planning without implementation is not viewed as a salutary exercise, we take exception to the statement. Implementation is an essential component of the planning process.

Previous lessons in this course have focused on problem identification and definition; the formulation of strategy to address the problem; and the development of programs and projects designed to execute the strategic concept. The next module will deal with evaluation techniques to assess the impact and success of programs and projects. It seems abundantly clear that by excluding implementation, planning and evaluation efforts would, in fact, be totally meaningless.

VA
1-4

From our point of view, implementation is the most vital and least appreciated "link" in the total criminal justice planning process for implementation feeds back to the planner notice of changing factors that strongly suggest plan review and, possibly, modification. Such feedback usually begins informally at the outset of any project and continues into whatever formal evaluation effort may have been built into the project.

It is in the implementation stage of the project that the pilot role of the planner comes into play. If the planner is monitoring the project to determine whether it is on course, whether it is engaged in the activities specified in the grant application, whether fiscal affairs are in order, then he must assist

the project staff by providing them with feedback from the monitoring effort. If others are conducting the monitoring, arrangements must be made to receive the information to determine whether the project is on the track.

As the planner looks ahead to the implementation and evaluation phases of projects, efforts should be made to stay in contact with or actually involve the people who may play important parts in helping the project succeed.

Involving evaluators during project design can be extremely beneficial for improving implementation. Evaluators can "point out" objectives which cannot be evaluated, lack of precision in designing objectives, differences between process and project objectives, gaps between what is to be accomplished and the methods for accomplishing them, and remind planners and administrators of long-term information needs if the project is to be successfully implemented.

2.0 PLAN IMPLEMENTATION

A plan may be conceived of as a set of ideas designed to produce desired change within a field of people, objects, and events, and the relationships among them (ref. Module 2--definition of the criminal justice "field). Plan implementation, then, involves the acceptance of and/or commitment to a "plan" by individual members of a specified group or organization, to the extent that such acceptance and/or commitment becomes discernible in their behavior (ref. introductory definition of "implementation"--section 1.1).

2.1 Two Levels of Plan Implementation: "Program" Implementation and "Project" Implementation

In terms of the LEAA structure of comprehensive plans, it may be useful to distinguish between two levels of plan implementation --namely, program implementation and project implementation. Program implementation focuses upon obtaining sufficient acceptance of and/or commitment to the plan by influential decision-makers that required resources and authority to expend them will be made available for accomplishment of the plan's objectives. Project implementation focuses upon obtaining sufficient acceptance of and/or commitment to the plan by individuals capable of accomplishing specific direct service activities that are required for fulfilling certain of the plan's objectives, and providing these individuals with the necessary resources for the conduct of their activities.

2.2 Management Capability Required for Implementation

In the lesson dealing with programs and projects, the desirable characteristics of the planner were defined. The essential attributes of the strategist-planner were identified as analytical and conceptual skills. By contrast, the person who is to manage the implementation function and its related subactivities must be highly qualified in the disciplines of administration and must possess strong leadership ability.

The requirement for highly developed administrative skills is based on the need to:

* Develop organizational structures and effective organizational relationships. VA 7-4

* Develop appropriate administrative and organizational processes designed to influence the behavior of those within the organization.

* Develop effective personal leadership at subordinate levels.

The manager of the implementation process must assert personal leadership to:

* Mold the formal structure of the organization and its informal relationships and develop methods to motivate and control individuals which produce incentives and measure results. VA 7-5

* Gain total commitment to the goals of the unit from each group or individual to whom some related task has been assigned.

* Insure that goals and objectives of the unit are clearly understood.

* Provide means for the development of ability and achievement that are rewarded appropriately.

* Prevent internal rivalries and conflicting interests from dissipating resources into harmful or inappropriate activities.

The requirements outlined in the foregoing apply regardless of the level at which the responsibility for plan implementation resides. Ignorance of or failure to abide by these precepts represent the most common causes of unsuccessful implementation of programs and projects.

It is also necessary that information concerning program and project implementation be shared with all persons who are affected. In this way the anxiety of change can be brought into the open when

those affected have an opportunity to contribute critical comments and suggestions for overcoming problems suggested in their comments. In many instances such discussions help those involved foresee some of the consequences of implementation.

Another area of implementation which may be of great concern to the planner is the assessment of the implementing agency's overall capacity to implement the project or program. Occasionally, the planner might find himself in a situation in which he becomes involved <u>after</u> the project has been designed and the time for implementation has arrived but the agency does not have the capability to implement the project. In this situation, the planner will frequently be told by management personnel that all of their time, and the time of their staff, is devoted to carrying out day-to-day routines--that there is not sufficient time to develop the capacity to implement. Arranging for technical assistance in such situations is the essential management option of projects are to be successfully implemented.

The emphasis in using persons with advanced technical competence should be on building capacity in agency staff who will have to maintain the project after the technical experts depart. Generally, the new skills needed can be divided into two essential categories:

1. Skills required to undertake new functional responsibilities or maintain old responsibilities that are undergoing radical change, and

2. those skills required to support the project proponent agency in integrating the new and old services and the organizational structure into an appropriate mix.

The planner will probably find that anticipating the need for technical assistance, defining the kind of assistance needed, and locating sources of it can become a valuable element of any implementation planning effort.

2.3 Plan Implementation: The Mandate and the Responsibility

2.3.1 The mandate--Section 202 of Public Law 93-83 (August 6, 1973) empowers the Law Enforcement Assistance Administration to make grants to states for the purpose of creating criminal justice planning agencies (SPAs). Such agencies are to be responsible "for the preparation, development, and revision of the state plan required under Section 303 of this title."

Section 303 of the title establishes the required content of state plans prerequisite to eligibility for receipt of funds to support the plan. Specifically in Section 303 (A) (5) (D), the title provides that such a plan include descriptions of:

> "(D) Organizational systems and administrative machinery for implementing the plan."

2.3.2 The responsibility--Most state and regional plans do not satisfy the Federal mandate. Planning agencies have promulgated procedural and fiscal manuals and issued directives in these areas. However, the documents related to plan, program, project submission and review processes do not address specifically the "organizational systems and administrative machinery for implementing the plan."

One may hypothesize that failure to address the subject of plan implementation is rooted in three basic areas. They are 1) the

"roles" that SPAs have been obliged to assume to carry out the Crime Control Act of 1973; 2) the fact that in some states 75 percent of the action money flows through the SPA to regional planning units; and 3) certain constraints that, to some degree, may limit SPA efforts in plan implementation. These limitations will be discussed in detail in Section 4.0.

Five major "roles" performed at the SPA level in the attempt to fulfill the mandate are listed below. They tend to be complementary and are definitely not mutually exclusive.

VA
7-6

* Conductor - An apparatus to serve merely for channeling Federal funds to plan and project proponents.
* Auditor - An accounting capability to ensure conformity with Federal and state fiscal regulations.
* Monitor - An "overseer" and "interpreter" of SPA administrative and fiscal regulations.
* Evaluator - A developer of capability responsive to LEAA demands for improved quantative measures of the impact of programs and projects.
* Planner - An emerging role now seriously impaired by Federally imposed time constraints for submission of "comprehersive plans" and lack of varied, quantitative data, and technical resource people to analyze and define the "crime problem."

It also may be considered that in states where regional planning units exist, since such entities receive 75% of the state action grant funds, the SPA may feel that the implementation responsibility and articulation of related procedures rests with the regional planning unit. However, such rationalization does not obviate the necessity that SPAs conform to Federal regulations. On the contrary,

such a situation suggests that the SPA may well require subordinate planning units to develop and submit their own description of "organizational systems and machinery for implementing the plan." Certainly, this model seems appropriate in an era in which strong support is building for mini-block grants to RPUs.

2.4 Constraints on SPAs in Plan Implementation

Although implementation problems can develop at all levels of government and have a variety of causes, it is helpful to focus attention on the SPA level and several of the major constraints operating there.

There are six basic constraints to be resolved in SPAs are to develop a capability to fully implement state and local plans. VA 7-7 They are:

1. Failure to develop the leadership, technical staff and procedures identified previously that are essential to the plan implementation process. For example:

   > Development of a computer facility in an agency staffed by persons who know nothing about computer applications, the possible benefits or how to use the results. No attempt is made to orient agency staff to build capacity while the program is being developed.

2. Preoccupation with what has evolved and what have seemed to be more important roles in the total planning process. For example:

   > Review of grant applications to the exclusion of concentrated attention to the planning process. The focus is on the product or result rather than on the process.

3. Reliance upon project monitoring and project progress and evaluation reports as substitute for actual plan implementation responsibilities. For example:

   > Planners focus on merely attempting to identify deficiencies rather than on providing real assistance.

4. Lack of a clearly understood concept of the plan implementation requirement. For example:

   > Planners and administrators view projects and plans as self-activating. Once goals are identified and project grant applications written, there is a tendency to act as if all of the work is over and no plans are made to implement the projects.

5. Political constraints, i.e., reluctance to assume a positive, active role that could have an adverse effect on relationships with regional planning units, local units of government and project proponents. For example:

   > In some planning units, planners want to remain in the ivory tower rather than get involved in the politics and issues surrounding implementation of plans and projects.

6. Actual role restriction, i.e., by statute the SPAs are denied control over any operational agency, their personnel and other resources. For example:

   > The Governor or the legislature of a state attempts to limit the role of the SPA to those functions absolutely necessary for compliance with administration of the Safe Streets Act and thereby discourages any expansion to "comprehensive planning" for the entire criminal justice system.

The above constraints, and others which SPAs might identify, should provide the basis for initial deliberations concerned with the development of a plan implementation capability.

The constraints identified are not insurmountable. Realistically, solutions must be found. Strategies, systems and procedures must

be developed and placed into operation if compliance with the Federal mandate is to occur.

2.5 Local Constraints on Plan Implementation

Implementation of plans at the local level requires awareness of and effective handling of a variety of impediments. Observation of local implementation efforts suggests that these problems generally fall into five broad categories.

VA 7-8

1. Procedural. Examples in this area include failure to understand and/or follow a systematic plan or project development process; failure to prepare the organization and its members for integration of the project; lack of training and knowledge in grant preparation resulting in rejections, rewriting and companion disenchantment with the bureaucratic processes and, sometimes, with the project itself; coordination of manning requirements with civil service procedures; etc.

2. Legal. Examples in this area include problems in development of resolutions reflecting local government endorsement of projects; development of personal services contracts, leases, and third party contracts; negotiations between local government attorneys and legal staffs of SPAs relative to grants, contracts, etc.

3. Fiscal. Examples in this area include lack of synchronization between local budget cycles and funding cycles of SPAs; unanticipated demands on local government that seriously impair ability to meet cash match requirements; fiscal inability to provide future

support for successful projects without LEAA subventions; problems in satisfying SPA fiscal procedures and those of local government, etc.

4. Political. Examples include problems in gaining support from councils, boards of supervisors, regional planning boards and the community for virtually every project or plan reflecting philosophical and ideological divergence from members of those bodies; arranging successful interface with other units of government in cases of multi-jurisdictional or regional plans and projects; and also with other criminal justice agency managers in cases where projects impact on their operations, procedures or perspectives, etc.

5. Attitudinal. Examples in this area include reluctance to change and viewing progress or departure from tradition with suspicion. A body of literature dealing with resistance to change is available and should be consulted by the planner.

Some procedural and other kinds of constraints can be overcome or bypassed if sufficient energy is invested. In one region, for example, the criminal justice planning board attempted to get the SPA to accept one grant application for the crime reduction and criminal justice improvement program for the region. However, the SPA was not disposed at that time to authorize such an approach for a multi-jurisdictional region. However, several years later, the emphasis of the state government on minimizing red tape produced a climate in which it became possible to integrate all projects

into one program which was then written into one grant application and submitted to SPA. At this time, the state's planning agency encouraged the region to do this and publicized the effort as a pilot for the entire state.

In another region, planning to implement a multi-agency communications system was heralded as a way of increasing police effectiveness and unity, cutting down on response time, etc. However, some local residents were apprehensive that this was the first step toward a Washington takeover and the Big Brother of 1984 and mounted such a vehement attack on the project that it was never implemented.

A cursory review of these constraints suggests that remedies for them seem to cluster in improved coordination, training, information, and education programs involving SPAs, RPUs, local units of government, community groups and criminal justice agency heads.

It seems appropriate that SPAs take the lead in this effort. However, a strong suggestion is made that such an effort not be unilateral and that SPAs openly encourage and welcome the participation of as broad and representative a group of those involved in criminal justice planning as possible. The idea is that planning should be viewed as occurring at many levels and, as a consequence, the constraints associated with the implementation of those plans likewise should be addressed at many levels. Viable solutions must be based upon a complete appreciation and understanding of such relationships.

3.0 PROJECT IMPLEMENTATION

As we mentioned earlier, project implementation involves obtaining sufficient acceptance of and/or commitment to the plan by individuals capable of accomplishing specific direct service activities that are required for fulfilling certain of the plan's objectives, and providing these individuals with the necessary resources for the conduct of their activities. The successful accomplishment of project implementation requires leadership on the planner's part, particularly in terms of organizational administration and management. There are several steps which the planner can follow to improve the probability of success in this regard.

3.1 Steps in Project Implementation

Even the most skillfully developed plans can run into difficulty when they are put into action at the operational level if the implementation has not been well thought out in advance. Listed below are ten major steps that should be carried out at the local level of implementation. Following them carefully will make for smoother implementation and greater likelihood of success.

VA
7-9

1. Develop Implementation Strategy. Develop an implementation strategy which describes the deployment of resources, directions for operating personnel, organizational responsibilities and relationships, and underlying assumptions. If time is not spent thinking about an implementation strategy before funds actually become available, a substantial waste of resources will occur as other demands are placed on the administrator. While he may not devote any more time

to the development of implementation strategy after funding actually becomes available, the probabilities are that more time will be needed then as he will be required to deal with problems which stem from the failure to spell out organizational relationships, responsibilities, personnel policies, and so forth, in advance.

2. Identify Operational Phases. Identify the major steps or phases in the operational sequence for each of the separate project elements which must be initiated to accomplish the project. Some writers suggest subdividing until every last detail is sufficiently clear to write directions to those involved in project implementation. A detailed blueprint can minimize the loss of resources which occurs when project personnel must search for direction and feedback.

3. Set Target Dates. Specify a "begin date" and a "complete date." Unless begin and completion dates are set, realistic project work schedules cannot be set and staff will not know when they are expected to achieve project goals.

4. Set up Implementation Schedule. Establish a schedule for implementation, including dates for recruitment and selection of personnel, facility and equipment acquisition, etc. The use of GANTT or PERT charts can be helpful in this phase. Again, unless these logistic concerns are addressed in advance of actual project implementation, a substantial loss of momentum and waste of resources may result. Personnel hired to implement a project are highly motivated at the start. Failure to have secretarial assistance, supplies, office space, and clear direction from the beginning can take the edge off such motivation.

5. Define Staff Responsibilities. The roles and tasks of all parties involved in the implementation should be clearly spelled out. This step is important for the reasons enumerated above. It calls for the specification of roles and objectives for each individual in the project. If the agency sponsoring the project does not have time to delineate all staff responsibilities in advance, perhaps only the project director and his secretary should be hired until such duties can be spelled out.

6. Design a Feedback System. Design a feedback system as the project may be in a nearly constant state of change. This step is frequently overlooked, yet no step is more important than the development of an information system which criminal justice planners and project administrators can use to determine whether the project is on target.

VA 7-9-A

7. Conduct Periodic Monitoring. Regular review should be conducted to determine how closely aligned the "prose" plans are with the "actual" plans. It is important that criminal justice planners and administrators hold personnel to account for any departure from "prose" plans.

This is not to suggest that plans are chiseled in stone and should be followed religiously. It suggests that administrators need some degree of certainty about project progress and that usually this is better attained through the written word than through word of mouth. Accountability with respect to written plans will promote the development of "prose" plans that are best

guesses regarding what actually will be implemented.

8. Obtain Advance Permission. Obtaining permission in advance for sole source and other necessary activities is essential if projects are to begin on schedule. Delay in getting projects under way has plagued the Safe Streets Act programs from the start. Advanced planning for implementation will do much to insure both timely start up and success of a project. Certainly, the begin date on a grant application should not be the beginning date of planning for implementation of a project funded by LEAA. In other words, planning should not begin with project approval, and it must continue through implementation.

9. Begin Personnel Recruitment and Selection. Start personnel recruitment and selection well in advance of the project "begin date." For large projects, consider staggering the hiring of personnel so that 50 people do not report for work on the first day of the project. Good management, and an economy of scarcity, demand that resources be conserved. One way to avoid the pressure of getting staff aboard to launch the project is for criminal justice planners and agency administrators to flag their calendars to begin recruiting and selection at least 90 days in advance of the target date. This also will provide prospective employees with an opportunity to serve notice on their current employers.

10. Emphasize Goal Orientation During Implementation. Probably more resources are lost as a result of failure to specify project goals than for any other reason. It was pointed out in the goal

setting module that goal setting is believed to be the only "pure" leadership activity. Yet, if goals are not clearly specified and information regarding them not given to project staff, how can we expect them to be goal oriented?

3.2 A Checklist for Plan Implementation

Section 6.0 outlined ten major phases or job elements that planners and managers would have to accomplish in order to complete a project successfully. There are, of course, many other necessary tasks to be done and conditions to be established in the course of managing a project. Anticipating these tasks and planning for their accomplishment can do much to ease the movement from planning to implementation, prevent loss of resources, and insure successful completion of the project.

The "Checklist for Plan Implementation" provided in this section will help the planner keep these tasks and conditions in mind for advance planning, monitoring, and adjustment as feedback develops on project and program problems. The list covers a broad area of implementation subjects but is not presented as a complete list for any project. It is hoped that the individual planner will use it as a base and expand and tailor it to each individual project as necessary.

Checklist for Project Implementation

VA
7-10

1. Are problems and other analyses sufficient to support project design and implementation plans?
2. Will the funds be adequate for the complete project?

3. Have fiscal management and accounting procedures been worked out?

4. Have all questions regarding legal authority been answered?

5. Have all necessary legislative accommodations been worked out?

6. Is the size and structure of the project delivery system adequate?

7. Have provisions been made for program management in terms of:

    a. Personnel orientation?
    b. Personnel training?

8. Do project staff and others who will be affected have an adequate understanding of the plan?

9. Does the project have provisions for periodic review or monitoring of success in meeting program and fiscal milestones?

10. Are the project's expectations of needed operational changes based on future plans of the agency and the community?

11. Have the following aspects of implementation been considered and accounted for?

    a. Feasibility--both political and technical.
    b. Criminal justice system acceptability.
    c. Community acceptability.
    d. Costs versus benefits.
    e. Risk factors.
    f. Constraints.
    g. Time required to evaluate full impact.

12. Will personnel be adequate to meet the demands in terms of the following?

    a. Number of staff.
    b. Appropriate training.
    c. Expertise required.
    d. Involvement in the implementation process.

13. Have adequate provisions been made to make the most of "state of the art" capability?

    a. Dissemination of and training in technical specialties.
    b. Identification of technical assistance (T. A.) needs and resources.
    c. Provision of funds for T. A. in grants, etc.

14. Have goal and problem-oriented roles been identified along with who will perform them?

15. Does the project assure continuity of system performance as managers and staff are assigned to other duties?

16. Has adequate provision been made to evaluate the level of goal achievement and project success?

17. Does the mission conflict with that of other public and private agencies and organizations?

18. What level of support can be expected from other public and private agencies and organizations?

19. Does the project account for its impact on the existing system and the positions integrated within the overall organization?

20. Does the project adequately account for the following aspects of change that may occur in the lives of those affected?

    a. Have steps been taken to have the change seen as self-motivated or voluntary?
    b. Have the emotional and value-laden aspects of the change been anticipated as well as the informational needs?
    c. The desire people have to understand the consequences of the change for them.
    d. The desire in people to have some control over changes that influence their lives.
    e. The need for people to trust those who initiate changes that affect their lives.

21. Has the planner been involved adequately in efforts to reduce resistance and to encourage others to do likewise?

The checklist items are loosely grouped into several areas which in turn are arranged in a general order of priority for the implementation process. The areas are: fiscal, legal, management, personnel, impact, and evaluation. Planners will undoubtedly be able to add to both the areas and the items.

4.0 PROGRAM IMPLEMENTATION

At the beginning of the lesson we noted that program implementation involves the design and use of political strategy, largely because it is here that the planner is attempting to gain sufficient acceptance of various parts of the overall plan by influential decision-makers that required resources and the authority to expend them will be made available for accomplishment of the plan's objectives. This necessarily places the planner in the role of a change agent.

4.1 The Criminal Justice Planner as Change Agent

The successful planner recognizes that implementation is a change and that change frequently is threatening to persons in any social system, including the criminal justice system. Much has been written about technological and structural change as if these kinds of changes are somehow different from those in which we attempt to change behavior. In truth, technological and structural changes cannot be made in organizations without having some impact on the persons working in those organizations and their clients. One thing is essential for change agents, and that is that they take a systems approach when assisting others in the implementation process.

Bennis includes several disclaimers in his writing about change, including this rather sobering thought for the criminal justice planner involved in change and implementation: "What we know least about is implementation--a process which provides a creation of understanding and commitment toward a particular change and devices

whereby it can become integral to the client system's operations."

4.1.1 Factors in organizational change--How and why do people in organizations change and what is the nature and source of the power exerted by the change agent? In general, there are three broad types of change programs that appear to be most widely used, often in some combination. These are training, consultation, and research.

VA 7-11

A. Training. The main objective of training designed to implement planned organizational change is personal change or self-insight on the part of participants in the training program. For the most part such training has been called laboratory training, sensitivity or group dynamics training and, most commonly, T-group training.

B. Consulting. The change agent operates in a manner very much like the practicing physicial or psychoanalyst, i.e., he starts from the chief "presenting symptom" of the client, articulates it in such a way that causal mechanisms of the problem are understood, and takes remedial action. Here the emphasis is placed on strategy or role model because the main instrument is the change agent himself.

C. Applied Research. This approach calls for the systematic use of research results as intervention tools. Most methods of research application collect information and report it and generally the relationship ends there. A better approach is a survey-feedback approach as developed primarily by Floyd Mann and his associates at The University of Michigan's Institute for Social Research.

The first step in Mann's approach is to collect the information and to report it in "feedback" meetings where subjects become clients and have a chance to review the findings, test them against their own experience, and even ask the researchers to test some of their hypotheses. Instead of being submitted in triplicate and probably ignored, research results serve to activate involvement and participation in the planning, collection, analysis, and interpretation of more data.

It should be stressed that most planned-change efforts involve all three processes--training, consulting, researching--and that both agent and client play a variety of roles. The criminal justice planner, when piloting the implementation of an innovative project, should make sure that provisions for training are made, plan for some use of consultants or LEAA technical assistance, and help to insure that both the project and the plan for its implementation will make use of relevant research.

Sometimes changes identified by using the systems approach simply "fade away" because there are no carefully worked out procedures to insure coordination with other interacting parts of the system. In other cases, the changes have backfired and have had to be terminated because of their conflict with related units or organizations. For the criminal justice planner, a great deal more thought has to be given to impact on other components and coordination with them and affected agencies.

In summary, the necessary elements in implementation would seem to be:

* The client system should have as much understanding of the change and its consequences, as much influence in developing and controlling the fate of the change, and as much trust in the initiator of the change as possible.

* The change effort should be perceived as being as self-motivated and voluntary as possible. This can be effected through the legitimization and reinforcement of the change by the top management group and by the significant reference groups adjacent to the client system. It is also made possible by providing the utmost in true volition.

* The change program must include emotional and value as well as cognitive (informational) elements for successful implementation. It is doubtful that relying solely on rational persuasion (expert power) is sufficient. Most organizations possess the knowledge to cure their ills; the problem is in doing it.

* The change agent can be crucial in reducing the resistance to change. As long as the change agent acts congruently with the principals of the program and as long as the client has a chance to test competence and motives (his own and the change agent's), the agent should be able to provide the psychological support so necessary during the risky phases of change. As we emphasized, the quality of the client-agent relationship is pivotal to the success of a change program.

4.2 Political Aspects of Program Implementation

Seeking the required approval and support for various programs necessarily places the planner in the political arena. Politics has been defined as "...the management of conflicts over public policy." Criminal justice programs and the decisions to expend public funds and other resources for their implementation are matters of public policy. As criminal justice planners, you represent only one of a great variety of vested interests in the area of public

policy concerning criminal justice. If you wish to maximize your influence, or the influence of your planning product--your plan--on policy decisions in this area, you must be aware of the political environment in which you are operating and take into account the components and characteristics of this environment in your planning activities, including implementation. Then, it is important to design and implement a strategy that will improve the probability of your success as a change agent, rather than simply relying on intuition and "gut-level feelings" concerning what to do and when. After all, there is no reason why a rational planning process should not be just as applicable to the development of political strategy as to any other problem confronting criminal justice planners.

4.3 "Criminal Justice Policy Planning Strategy in the Political Process"

The paper that you have been asked to read in preparation for this session (Faust, Brantingham, and Frank, "Criminal Justice Policy Planning Strategy in the Political Process") specifically addresses this issue.

(At this point, a general discussion of the ideas presented in the paper should ensue. See "General Discussion Questions" and "Teaching Suggestions," Part III - Supplementary Information, and copy of paper attached.)

4.4 Use of the "Strategy Planning Chart"

(This is a brief individual exercise for participants, based upon the "Use of Morphological Strategy Space" presented in the above-cited paper. See "Teaching Suggestions," Part III - Supplementary Information, and copy of paper attached.)

5.0 IMPLEMENTATION AND PLANNING: STRENGTHENING THE RELATIONSHIP

This lesson has tried to show how planning both precedes implementation and continues on into the implementation phase of programs and projects. The extent to which the planner becomes personally involved in implementation would depend on both the complexity and nature of the project and the relationship he has developed with the management of the implementing agencies. These represent "grey" areas in which rules of thumb are difficult to establish and in which greater clarity would be beneficial to all planning efforts. In this spirit, the following recommendations are offered for the individual planner's consideration and possible use.

SPAs, as well as RPUs and LEAA, should: VA 7-12

* Initiate research efforts designed to identify the level at which the responsibility for the development of "organizational systems and administrative machinery for implementing the plan" is to be vested.

* Develop a program to assess the nature and scope of constraints that impede the implementation of their plans. Further, that they take steps to acquire and utilize such resources, systems, and procedures as may be required to minimize the adverse influence those obstacles represent.

* Consider developing a more proactive posture in terms of their role (as presently structured) of aiding in plan implementation. That is, that they serve in a strongly supportive role to those involved in getting projects under way. Providing such support as administrators, fiscal experts, legal staff and others who may be experiencing difficulties need, clearly reflects an attitude of helping as opposed to meddling.

* Develop plan implementation seminars in which they share insights derived from exposure to implementation of hundreds of projects. In this way, all may profit from the experiences (both bad and good) derived from actual case studies. These seminars would serve as vehicles for sharing results of research and results of the assessment of constraints that impede implementation.

For many planners, their involvement in the implementation phase of a program or project may be the most unsatisfying, frustrating and difficult of any. The role of change agent may be a very hard one for the research oriented, idea generating conceptualizing planner to perform. Basic differences between the philosophy and long-term goals of the planners and local level administrators also provide frustrations and implementation problems.

However, the change agent role with its quasi-political elements should be seen by the planner as an interesting challenge and as an opportunity to practice some of the skills and techniques discussed in this module regarding changing people and their organizations toward goal and program goals and objectives.

PART III. Supplementary Information

QUESTIONS FOR CLASS DISCUSSION AND REVIEW

1.0 INTRODUCTION

1. What is implementation?
2. Is, and/or should, implementation be a part of the planning process?
3. Which level of government (local, state, federal) has primary statutory responsibility for plan implementation?
4. Realistically, at what level should actual responsibility for implementation lie?

2.0 PLAN IMPLEMENTATION

1. Why is implementation important to the planning process?
2. What are some of the requirements for successful project and plan implementation? When should the initial planning for meeting these requirements occur?
3. What steps should managers take to insure that implementation efforts have a reasonable chance for success?
4. Some planners and agencies insist that their responsibility is to plan, not to do or to implement. Is this a realistic approach for criminal justice planners or not? Give the reasons for your response.
5. How do the abilities required of the successful planner and the successful administrator differ? How do these differences relate to the separation or linking of the planning and implementation functions?

6. How does an agency's ability to implement a plan influence the planner's role; whose responsibility is it to assess this ability?

7. How have planners gone about complying with the LEAA mandate regarding the development of "organizational systems and administrative machinery for implementing the plan?"

8. Have the planners distinguished between the plan and project implementation? If so, how?

9. Although there are statutory mandates for plan implementation, what do most SPAs spend the greatest part of their time doing? Do you agree with this or not?

10. What are some of the problems at the SPA level which impede plan and project implementation? In what ways can planners handle these problems?

11. Which of the several problems mentioned are the most difficult for the typical planner to handle?

12. How do operating agencies usually feel about planners extending their activities into the area of implementation?

13. What are the problems at the local level which impede plan and project implementation? What have some of the agencies with which you are acquainted done to deal with these problems?

14. Which of the local level problems mentioned are most difficult for the typical planner to handle?

15. What kinds of projects and programs which run into problems originating at the local level, can best eliminate or reduce these problems by reorganizing at the regional or higher level?

3.0 PROJECT IMPLEMENTATION

1. What are some of the most important steps to be taken in the implementation of a plan or project by operational agencies at the local level?

2. Is the planner typically involved about equally in all of these steps or are there large variations? If so, in which steps is the planner most heavily involved? Which the least?

3. In terms of your own experience, what tasks, questions or activities would you have to add to the list?

4. In what ways does the planner become involved in personnel recruiting, selection and training?

5. Which items in the checklist would you say are most important or relevant to the planner's job? Are there any which you feel do not or should not pertain to the planner?

4.0 PROGRAM IMPLEMENTATION

1. What are the three major ways in which changes can be made in social systems?

2. What are three ways in which the people in an organization can be changed which relate to the role of the change agent?

3. What are some of the major problems a planner would run into in his efforts to function as a change agent as discussed in this module?

4. What are some of the more prevalent reasons people in the criminal justice system have for being reluctant to change or fearful of it?

5.0 IMPLEMENTATION AND PLANNING: STRENGTHENING THE RELATIONSHIP

1. If you were asked to design a research project to determine at which level the responsibility for developing "organizational systems and administrative machinery for implementing the plan" should be vested, what kinds of information would you try to obtain?

2. What problems might a planner who tries to develop a more "proactive posture" encounter in aiding plan implementation?

GENERAL DISCUSSION QUESTIONS

These questions are designed to facilitate the discussion of the required reading and to relate the issues presented in this reading to the foregoing lesson material concerning implementation.

1. Is it desirable for criminal justice planners to become involved in plan implementation or should most of the planner's time be devoted to other parts of the planning process?

2. Should political strategy be an important consideration for the planner, or should this be left to other persons in the public policy-making process?

3. What are the ethical issues confronting the planner in the design and use of "political strategy"?

4. Is the planner's production of factual, analytical information sufficient to gain the support necessary for the implementation of criminal justice programs?

5. What are the "components" of the political environment for criminal justice planning? What are the "characteristics" of this environment? How are these things "relevant" to the activities of the planner?

6. What are some of the "controllable" factors in the design of policy planning strategy? What are some of the "non-controllable" factors?

7. What is meant by "targeting of receivers"? Is this as important as the authors of this paper seem to suggest? Do you have any problems or concerns about this?

8. Do you agree with the distinction the authors make between a "report of analytic outcome" and a "planning product"? Do you agree that the planning product can, and should, be used as the "tool of political strategy" by the planner?

9. The authors suggest that the planner should "forget about the use of strategy" with a particular targeted receiver, if any "completely constraining factors" are identified. Do you agree? Can you think of any viable alternative courses of action?

10. At what point in the planning process should a criminal justice planner first become concerned about the design and use of policy planning strategy (assuming that you feel this to be an appropriate concern for the planner)?

Teaching Suggestions

Review of the major points covered in both modules 5 and 6 should occur early in this module. This may be done by the instructor--or better yet, by the planners. Having the students review should give the instructor an idea about what was important to the students, what points or areas need to be reviewed, and at what depth.

The way plan implementation relates to the general planning process model should be discussed. The lesson objectives should be covered, and can be used as a base for a brief overview of the lesson to give the class an idea of what is ahead.

1.0 INTRODUCTION

1. Ask a random selection of the planners to tell both their own definition of "plan implementation" and what they would describe as their agency's definition. Discuss how differences that may exist between the definitions influence the actual work of the planner.

2. If any of the planners have had experience in planning in private business or industry or in a different kind of public agency, have them briefly describe the differences in the concept of planning between these settings and the criminal justice system.

3. Ask one or two members of the class why they think the Advisory Commission on Standards and Goals feels that implementation is not a part of planning.

2.0 PLAN IMPLEMENTATION

1. Ask the class to identify characteristics of the effective planner and the effective plan administrator and list them on the board under the two headings "Planner" and "Administrator." Mention those that are the same or similar and then discuss those that are different or possibly contradictory or incompatible. Have the class discuss the problems that the latter group of characteristics might provide during project implementation and ways in which these problems might be overcome.

2. Ask the class to identify agency characteristics they would evaluate in attempting to assess its ability to carry out a particular program or project. Ask planners who mention characteristics how they would get the information they would need.

3. Write on the board the five major "roles" performed at the SPA level which are involved in fulfilling the Federal mandate for plan implementation; conductor, auditor, monitor, evaluator, and planner. Have two planners, one from a large agency and one from a small, describe how these roles are performed in their agencies. Point out differences between the two that influence the planner's work.

4. Discuss the kinds of changes that could be made in the wording of Section 202 of Public Law 93-83 that would make compliance both easier and more effective. Ask planners for their suggestions.

5. If time permits, a panel discussion would be userful in bringing out the different viewpoints existing at different administrative levels regarding plan implementation. Ask one planner to represent each level, from LEAA down to the local agency. Allow each panelist a few minutes to prepare a brief statement on his level's position and the reasons for it. After all the panelists have spoken, have members of the class ask questions to clarify points, comment on them, and clean up remaining issues and questions.

6. Ask each planner to list his activities in a typical week and estimate the percentage of time devoted to each activity. Select two or three common activities, including plan implementation efforts, and compute the average time spent in each. Compare plan implementation with the other areas, and discuss the reasons for the differences.

7. Divide the class into five groups and assign each group one of the major constraint areas discussed in the section: procedural, legal, fiscal, political, and attitudinal. Have each group prepare a brief description of a "composite" constraint in their area representing the most frequently encountered, serious problem. Have them present their composite to the class, along with recommendations for solution. Have other members of the class react to the proposed solutions.

8. Ask planners to describe kinds of problems they have met from community groups in implementing plans and how they solved them.

3.0 PROJECT IMPLEMENTATION

1. Draw the matrix for a Gantt chart on the board showing 12 months across the top with space for listing the ten major implementation phases down the left side. Ask the class to suggest the best priority order for testing these phases, in terms of starting date, and then the most suitable beginning and ending months for a 12-month project. Draw the lines following class consensus. Discuss the results with regard to the priority listing of phases, the dates set, amounts of time allocated to each phase, overlapping phases, etc. Try to bring out reasons for differences of opinion in each topic, and add to the discussion from your own experience.

2. The discussion of setting target dates in the text is quite brief, but the task has many possible complications. List a few of these problems on the board and ask for additional items from the class. Also list possible solutions to each problem.

3. Have several of the more experienced planners describe what they have done in the past to design and operate a "feedback system." What techniques have been most successful? Which least?

4. The checklist is presented in the text and is available as a handout. It is recommended that the list not be handed out until the instructor has described its general content and purpose, pointed out some of the items which may be more significant for the individual class, and discussed the ways in which it can be used in the operating situation.

   After passing out the list, the instructor may want to go over it item by item illustrating each from his own experience and possibly discussing criteria where appropriate.

5. The items are grouped into content categories, as noted in the text. Divide the class into enough groups to assign a category to each and have each group summarize briefly the items in its category, personal experiences that illustrate actual problems and their solutions, and areas of overlap with which the planners should be concerned.

6. Have the class check the list carefully for omissions or areas that should be more thoroughly covered. As for suggestions regarding actual use of the list in the working situation.

4.0 PROGRAM IMPLEMENTATION

1. The text states that changes in the criminal justice system are made primarily by changing the roles, status, and/or combinations of people involved. Form a three-planner panel, and have each member discuss the problems involved in effecting changes in one of the three areas.

Have the class rank order the three areas in terms of "difficulty to accomplish" to determine the level of consensus among the planners.

2. Briefly describe the several goal-setting procedures that were discussed in Module 5, "Determining Planning Goals." Ask the planners to recall these procedures and comment on their value in accomplishing the three types of changes listed in 1 above.

4.3 "Criminal Justice Policy Planning Strategy in the Political Process"

1. It is imperative that the required reading be distributed to participants in advance of the lesson, and that they be instructed to read and study the paper carefully. If this is properly accomplished, lesson time will not have to be devoted to explaining or lecturing on the paper, and a meaningful discussion of the ideas, issues, and techniques may ensue.

2. The central argument of the paper should be discussed as only one position on the issue in question--not as planning dogma or truth. Participants may take issue with the general theme or particular parts of the paper, and the expression and discussion of these conflicting views should be encouraged.

4.4 Use of the "Strategy Planning Chart"

1. This should be handled as a brief individual exercise, to be accomplished by each participant at their table or desk.

2. Each individual should be asked to select, from their own experience in the planning agency, a "targeted receiver" and to fill in the strategy chart on the basis of their present knowledge about that individual or group.

3. Participants should be advised, in advance, that two or three volunteers will be solicited from the group to explain their use of the chart. Thus, in selecting a targeted receiver they should avoid selecting a person or set of circumstances that would be indiscreet for open group discussion (or with which they personally would feel uncomfortable). If necessary, they might construct a hypothetical set of circumstances that would still be applicable to their agency setting.

4. Experience has shown that many participants have situations confronting them that they would like assistance with concerning the design and use of political strategy, but it would not be appropriate to present these for group discussion. Thus, AT SOME TIME FOLLOWING THIS LESSON, THE INSTRUCTOR SHOULD SET ASIDE A CONVENIENT TIME TO MEET WITH INDIVIDUAL PARTICIPANTS WHO WISH TO DISCUSS THEIR SITUATIONS IN CONFIDENCE.

NOTE: Experience has demonstrated that the "political strategies" subsections of this Module are of particular interest to participants and a majority of their evaluative comments generally suggest that more time be devoted to this subject. Thus, since the material in subsections 1.0 to 4.3 is presented rather straightforwardly in the hard-copy handouts and slides, the instructor can present these parts of the lesson in a clear and concise fashion without the need for in-depth elaboration, except on those points that are questioned by the participants.

Instructor's Guide

MODULE 8

MONITORING AND EVALUATION TECHNIQUES

MONITORING AND EVALUATION TECHNIQUES

Southeastern
Criminal Justice Training Center

Florida State University

MODULE 8

MONITORING AND EVALUATION TECHNIQUES

PART I. Introductory Information

Abstract
Lesson Objectives
Readings

PART II. Text

MONITORING AND EVALUATION TECHNIQUES

PART I. Introductory Information

Abstract

This module is concerned with the role of evaluation in planning and policy making. It covers the methodology of evaluation, types of evaluation and problems of undertaking evaluations.

Lesson Objectives

Upon completion of this lesson the planner should be able to:

1. Understand how and where evaluation "fits into" the policy making and planning processes and identify several potential uses of evaluation results.

2. Describe the differences between: (1) accountability; (2) fiscal and program monitoring; and (3) evaluations aimed at assessing program/project effectiveness.

3. Review those situations in which program evaluation can be and should be done and those in which it either cannot be or should not be done.

4. Be able to identify the three criteria for establishing causality and to distinguish between variables and hypotheses.

5. Identify and describe at least four causal models--i.e., spurious, intervening, conditional (contingency/specification), and rival--which are useful in posing evaluation questions of a cause-effect nature.

6. Conceptualize (i.e., "think through") on a step-by-step basis the consequences of a planned project or program.

7. Describe four intensive/outcome evaluation designs including the advantages and disadvantages of each and be able to apply the designs appropriately to actual problems.

8. Be able to describe several reasons why evaluation results often show "no effects" and to identify several reasons why evaluation results which do show effects are sometimes not used.

Required Reading

Weidman, Donald R., et al. Intensive Evaluation for Criminal Justice Planning Agencies. Washington, D. C.: Law Enforcement Assistance Administration (July, 1975). 1-27.

Recommended Reading

Adams, Stuart. Evaluative Research in Corrections: A Practical Guide. Washington, D. C.: Law Enforcement Assistance Administration (March, 1975).

Waller, John D., et al. Monitoring for Criminal Justice Planning Agencies. Washington, D. C.: Law Enforcement Assistance Administration (August, 1974).

MONITORING AND EVALUATION TECHNIQUES

PART II. Text

(The text for instructional purposes is included in entirety in Module 8 of the Participant's Guide, attached.)