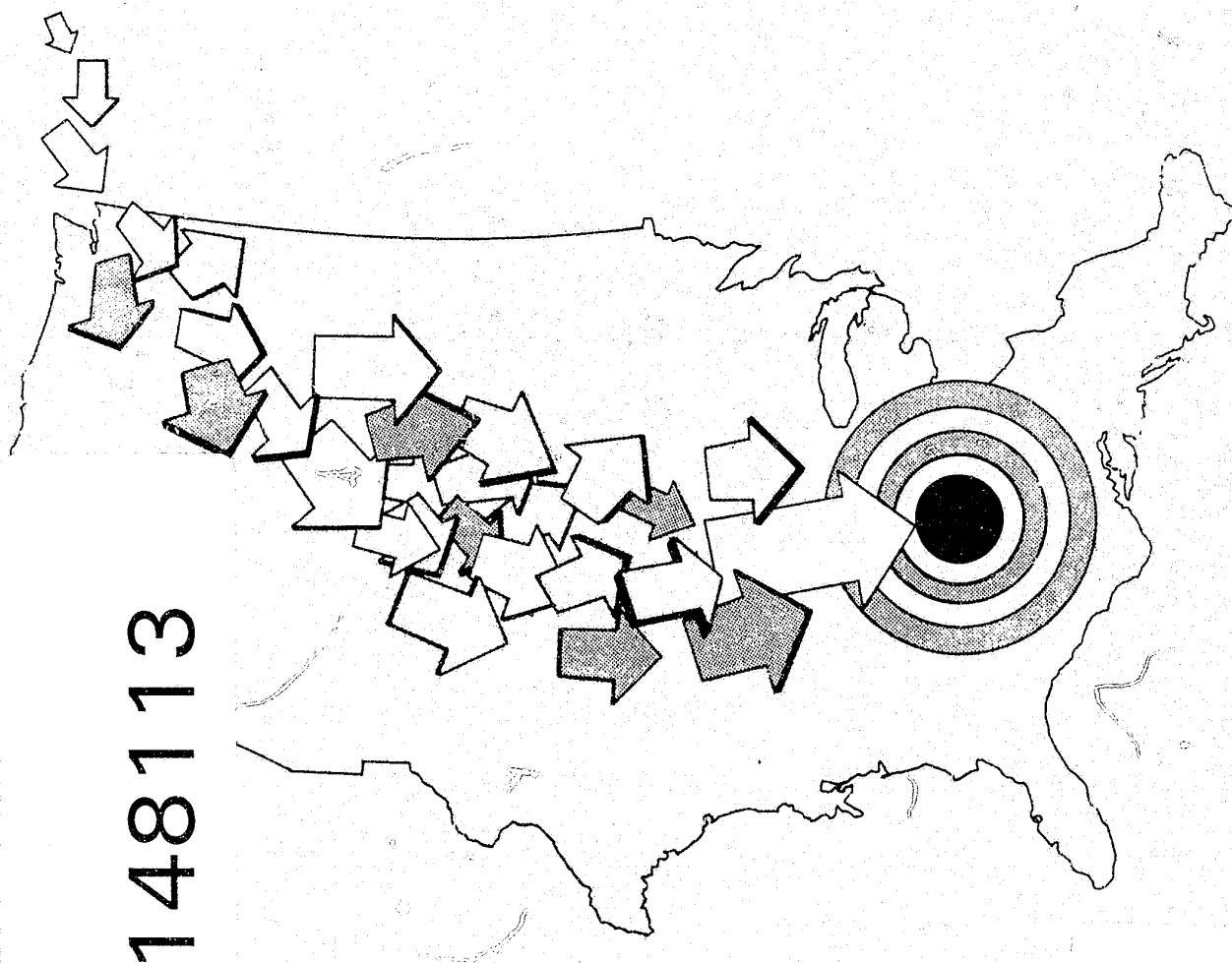


LAW ENFORCEMENT ASSISTANCE ADMINISTRATION



NATIONAL PROGRAM STRATEGY FOR CRIMINAL JUSTICE STANDARDS AND GOALS



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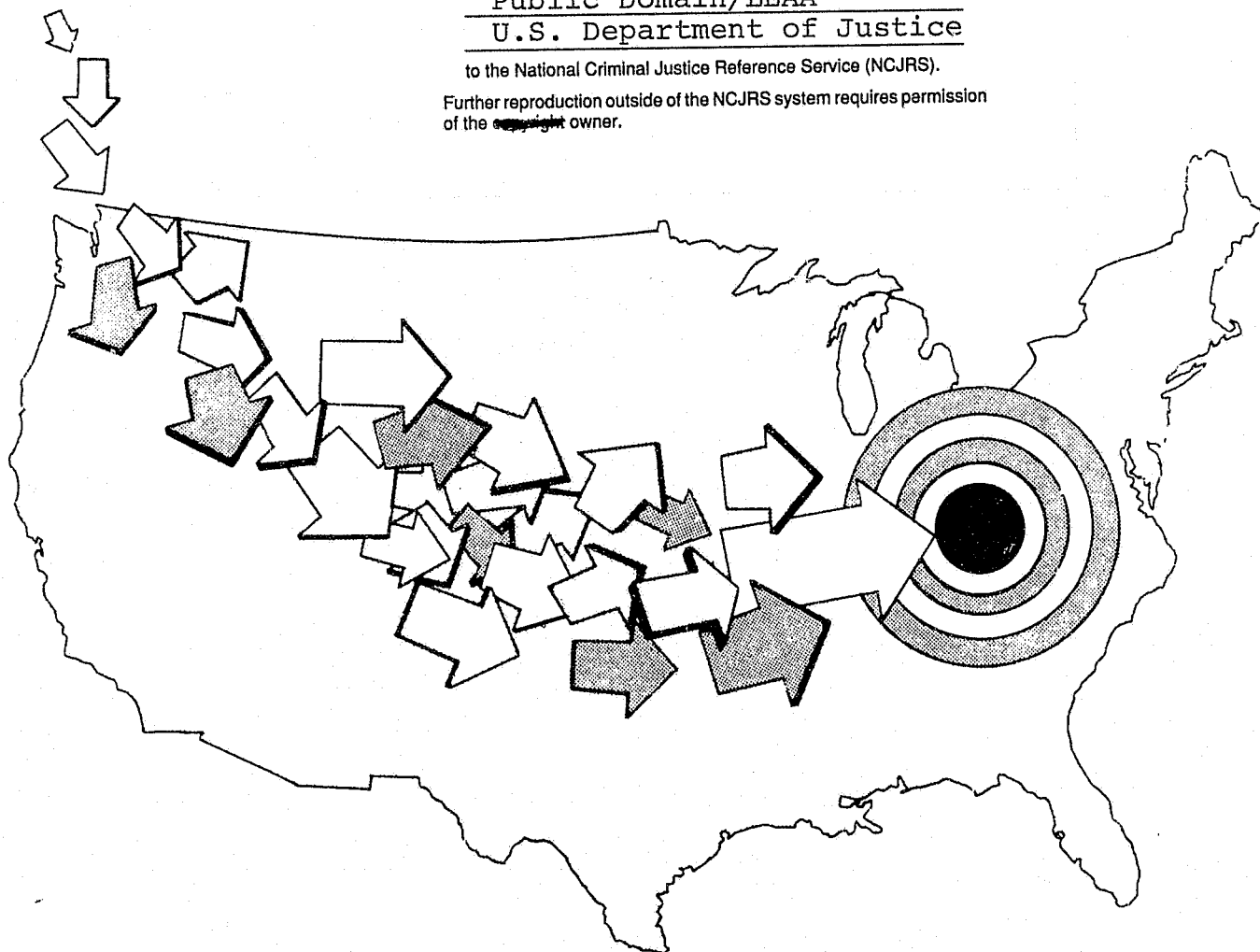
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FOREWORD

by Charles R. Work

Deputy Administrator
for Administration

Law Enforcement Assistance Administration

"The National Program Strategy for Criminal Justice Standards and Goals" has been prepared as a draft document for review and modification by the Central Office and regional offices of the Law Enforcement Assistance Administration (LEAA) as well as the State planning agencies (SPAs). It represents a method to assist States in meeting the standards and goals requirements as stated in the Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Crime Control Act of 1973. Ultimately, through a proper standard-setting process, planning, and evaluation, it can help reduce the incidence of crime in the nation. The major purposes of this document are to:

- Define the roles, relationships, and responsibilities of the Central and regional offices of LEAA, as well as the SPAs, in developing and implementing standards and goals programs.
- Outline the minimum requirements of the standards and goals impact on the Fiscal Year 1975 and Fiscal Year 1976 comprehensive plans.
- Present a two-year schedule (1974-1976) of standards and goals activities.

- Announce the availability of assistance for standards and goals development.
- Explain how SPAs can obtain technical and financial assistance.
- Explain the interrelationship of the technical assistance and other LEAA assistance programs.

This document, in draft form, is to be used as a major tool in a series of orientations at the Central Office as well as the regional offices and SPAs, beginning in June 1974. You are encouraged to study it carefully and to submit suggested improvements to the Office of National Priority Programs. This national strategy must be circulated, discussed, and have mutual acceptance and commitment at the Federal, State, and local levels, if it is to be achieved. This commitment is essential in order that standards and goals may be successfully designed and implemented, pursuant to LEAA legislation.

The development of standards and goals, through a well-planned process, represents an historic milestone for criminal justice planning. It is singularly important to each local and State unit of government. LEAA, through the policy statement of its Administrator, Mr. Donald E. Santarelli, is committed to reducing crime and improving the quality of justice. These high ideals can be achieved through effective establishment of standards, goals, and priorities and by mutual commitment by criminal justice planners, criminal justice practitioners, and the community.

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I OVERVIEW

The development and implementation of well-designed standards and goals in each State and Territory of the nation can be an extremely effective and far-reaching means of stimulating criminal justice reform and the reduction of crime. This process is the highest priority of LEAA. Consequently, significant amounts of discretionary money and technical assistance have been allocated to help State planning agencies (SPAs)* design their own processes and adopt their own sets of standards and goals. The work of the National Advisory Commission on Criminal Justice Standards and Goals (NAC), which was funded by LEAA, has provided excellent examples of possible subject areas for consideration of standards and goals. The standards of the American Bar Association and other professional bodies also serve as valuable reference documents for those charged with the responsibility of establishing standards and goals. It should be emphasized that LEAA endorses the concepts and processes undertaken by the above groups rather than the individual standards and goals themselves.

It is the posture of LEAA that the Federal, State, and local governments and the citizenry should labor together as a partnership in developing the standards and goals. It is the role of the State and local governments, using citizen input, to determine the needs of their particular States and communities and to establish and implement programs to meet those needs. The role of LEAA is to provide leadership and

* SPA as used in this document refers to the criminal justice planning agency appointed by the governor of each State and Territory.

encouragement and to serve as a catalyst in the process by providing appropriate financial and technical assistance when and where it is needed.

Contained within this guidebook is a national strategy for providing that assistance, including the necessary minimum requirements and program structure needed to provide guidance for the States and Territories in this extremely vital work. LEAA is aware that some States and Territories* have already begun intensive efforts in standards and goals development, while others have only started to design their strategies for the process. Available resources in terms of technical assistance, discretionary grants, and block funds are intended to help each State at whatever point it is in the standards and goals process.

In addition to this guidebook, the Office of National Priority Programs (ONPP) is developing a handbook that will suggest possible alternative processes for developing standards and goals. The handbook will not mandate any process, but rather will suggest several options that a given State might consider at specific points in the overall process.

A. WHY THE EMPHASIS ON STANDARDS AND GOALS?

Since the passing of the Omnibus Crime Control and Safe Streets Act of 1968, each of the 50 States and five Territories has established an SPA. These agencies have developed annual comprehensive plans for the expenditure of Federal funds received from LEAA. The funds for planning and action have increased more than tenfold since 1969; yet they amount to less than 5 percent of the total financial resources budgeted by State

* References to States in this document should be understood as embracing Territories.

and local governments for criminal justice. In the evolutionary process of criminal justice planning (a discipline virtually unheard of prior to 1968) Congress, LEAA, the SPAs, and the press have focused most of their attention upon the problems of LEAA and the SPAs in disbursing funds rather than on the quality of criminal justice planning. The NAC stated in a recent report:¹

As attention to the funding role of the SPA's increased, the concept of total criminal justice planning was given a low priority by both LEAA, which required plans for Safe Streets funds, and by the States that produced them. Within guidelines furnished by LEAA, SPA's produced weighty and lengthy volumes that often had questionable information value for the executive, legislator, administrator, technician, and concerned citizen. A major deficiency of the plans to date is their frequent inability to address the question of State and local agency priorities for reducing crime. States have just begun to define their crime problems and make decisions about the patterns of criminal activity in their jurisdictions.

The greatest needs in the nation today relative to crime and the criminal justice system are for elected officials, criminal justice planners, administrators, and the public to examine crime in their areas to evaluate the efforts of the justice system and the citizenry in combating it, and to strike out on a determined course to allocate their resources and efforts so as to drastically reduce the existing levels of crime. This challenge is especially before the SPAs, who must greatly improve their levels of sophistication in research and planning. It is likely that, without a stronger emphasis on standards and goals, crime rates will continue to rise, and increasing amounts of resources will be expended with negligible effect.

¹

"A National Strategy to Reduce Crime" (January 23, 1973), p.34.

As the quality of criminal justice planning in the nation improves, standards and goals can provide the structure for more effective allocation of resources and for reduction of crime. The NAC stated:²

...operating without standards and goals does not guarantee failure, but does invite it. Specific standards and goals enable professionals and the public to know where the system is heading, what it is trying to achieve, and what in fact it is achieving. Standards can be used to focus essential institutional and public pressure on the reform of the entire criminal justice system.

The concept of using standards and goals as the driving force for planning and operating the criminal justice system is not new. What is new is commitment to the institutionalization of standards and goals as the major tools for improving planning and budgeting and for evaluating the effectiveness of justice agencies and of the public in reducing crime. The underlying premise of the standards and goals program is that if SPAs, criminal justice agencies, and the general public focus their attention upon adopted standards, goals, and priorities and if they commit their energies and financial resources to the fulfillment of them, crime rates can be significantly reduced, and the existing inequities and inefficiencies of the criminal justice system can be ameliorated. More specifically, the following benefits can be realized:

- (1) More concentrated efforts toward the prevention and reduction of specific crimes in specific areas of each State.
- (2) More ongoing attention to monitoring and to the evaluation of State and local agency effectiveness relative to the standards and goals.

²

Ibid, p.3.

- (3) More exposure of the rationale behind the planning and budgeting processes.
- (4) Greater utilization of the collective talents and abilities of citizens and interest groups in reducing and preventing crime.
- (5) Greater interagency and interdiscipline cooperation and sharing of resources toward common goals.
- (6) More investigation of the phenomenology of crime and criminal behavior in the State and in local communities, because such information is necessary before relevant standards and goals can be selected.

In summary, a nationwide process of establishing standards and goals should provide a closer rapprochement between planning and budgeting and between budgeting and crime reduction and should improve the system of justice in the nation.

B. MANDATES OF THE CRIME CONTROL ACT OF 1973 FOR COMPREHENSIVE PLANNING

Because standards and goals are the structure around which comprehensive planning should be performed, the mandates of the Omnibus Crime Control and Safe Streets Act that are related to planning must be examined, so that the standards and goals element can be taken in context. The following requirements, definitions, and comments are taken from the act and impact upon the comprehensive planning in each State.

1. Development of Comprehensive Plans

As has been the case since the passage of the act of 1968, each State participating in the funding of programs of LEAA is encouraged to develop a comprehensive plan:

It is the purpose of this title to (1) encourage States and units of general local government to develop and adopt comprehensive plans based upon their evaluation of State and local problems of law enforcement and criminal justice. (Title I, "Declaration and Purpose.")

2. Standards, Goals, and Priorities

For a State's plan to be acceptable and meet the definition of the term "comprehensive" it must contain standards, goals, and priorities.

The term "comprehensive" means that the plan must be a total and integrated analysis of the problems regarding the law enforcement and criminal justice system within the State; goals, priorities, and standards must be established in the plan and the plan must address methods, organization, and operation performance; physical and human resources necessary to accomplish crime prevention; identification, detection, and apprehension of suspects; adjudication; custodial treatment of suspects and offenders; and institutional and noninstitutional rehabilitative measures.

(Title I, Part G, Section 601.)

3. Establishment of Priorities

Not only are the SPAs to develop plans, programs, and projects for the State and for units of general local governments, for needed improvements, but they are to establish priorities among the improvements.

The State planning agency shall--

- (1) develop, in accordance with part C, a comprehensive statewide plan for the improvement of law enforcement and criminal justice throughout the State;
- (2) define, develop, and correlate programs and projects for the State and the units of general local government in the State or combinations of States or units for improvement in law enforcement and criminal justice; and

- (3) establish priorities for the improvement in law enforcement and criminal justice throughout the State. [Title I, Section 203 (b).]

No plan shall be approved as comprehensive unless it establishes statewide priorities for the improvement and coordination of all aspects of law enforcement and criminal justice, and considers the relationships of activities carried out under this title to related activities being carried out under other Federal programs, the general types of improvements to be made in the future, the effective utilization of existing facilities, the encouragement of cooperative arrangements between units of general local government, innovations and advanced techniques in the design of institutions and facilities, and advanced practices in the recruitment, organization, training, and education of law enforcement and criminal justice personnel. It shall thoroughly address improved court and correctional programs and practices throughout the State.
[Title I, Section 303 (c).]

4. Determined Effort

Emphasis is put on State and local commitment to implement improvements and on use of the plan as a tool in the implementation process.

No approval shall be given to any State plan unless and until the Administration finds that such plan reflects a determined effort to improve the quality of law enforcement and criminal justice throughout the State. No award of funds which are allocated to the States under this title on the basis of population shall be made with respect to a program or project other than a program or project contained in an approved plan.
[Title I, Section 303 (b).]

5. Local Government Needs

Adequate opportunity is provided for incorporation of local government needs and inputs in the comprehensive planning process.

(Each plan shall) adequately take into account the needs and requests of the units of general local government in the State and encourage local initiative in the development of programs and projects for improvements in law enforcement and criminal justice, and provide for an appropriately balanced allocation of funds between the State and the units of general local government in the State and among such units; ... provide for procedures under which plans may be submitted to the State planning agency for approval or disapproval, in whole or in part, annually from units of general local government or combinations thereof having a population of at least two hundred and fifty thousand persons to use funds received under this part to carry out a comprehensive plan consistent with the State comprehensive plan for the improvement of law enforcement and criminal justice in the jurisdiction covered by the plan.

[Title I, Sections 303 (a) (3) and (4).]

6. Adequate Representation

Representatives of law enforcement and criminal justice agencies, units of general local government, and other agencies are to be included in each SPA and regional planning unit.

The State planning agency and any regional planning units within the State shall, within their respective jurisdictions, be representative of the law enforcement and criminal justice agencies, units of general local government, and public agencies maintaining programs to reduce and control crime and may include representatives of citizen, professional and community organizations. The regional planning units within the State shall be comprised of a majority of local elected officials.

[Title I, Section 203 (a).]

7. Open Meetings for Final Action

Meetings of any SPA or other planning agency wherein final actions are to be taken on the State plan or funding applications are to be open meetings.

The State planning agency and any other planning organization for the purposes of the title shall hold each meeting open to the public, giving public notice of the time and place of such meeting, and the nature of the business to be transacted, if final action is taken at that meeting on (A) the State plan, or (B) any application for funds under this title.

[Title I, Section 203 (d).]

8. Assistance to High Crime Areas

State plans must show adequate assistance is being allocated to areas of high crime incidence or high criminal justice activity.

No State plan shall be approved as comprehensive unless the Administration finds that the plan provides for the allocation of adequate assistance to deal with law enforcement and criminal justice problems in areas characterized by both high crime incidence and high law enforcement and criminal justice activity.

[Title I, Section 303 (a)]

9. Other Comprehensive Plan Elements

In addition to the plan elements identified above, the State plan must also provide for the following:

No State plan shall be approved as comprehensive, unless it includes a comprehensive program, whether or not funded under this title, for the improvement of juvenile justice.

[Title I, Section 303 (a).]

...incorporate innovations and advanced techniques and contain a comprehensive outline of priorities for the

improvement and coordination of all aspects of law enforcement and criminal justice, dealt with in the plan, including descriptions of: (A) general needs and problems; (B) existing systems; (C) available resources; (D) organizational systems and administrative machinery for implementing the plan; (E) the direction, scope, and general types of improvements to be made in the future; and (F) to the extent appropriate, the relationship of the plan to other relevant State or local law enforcement and criminal justice plans and systems;
[Title I, Section 303 (a).]

C. LEAA STANDARDS AND GOALS POLICY STATEMENT

Pursuant to the mandates of the Crime Control Act of 1973, LEAA is responsible to establish "such rules, regulations and procedures as are necessary to the exercise of its functions." The following policy statement was presented by Donald E. Santarelli, Administrator of LEAA, at the midwinter meeting of the National Conference of State Criminal Justice Planning Administrators in Williamsburg, Virginia on January 14, 1974. It represents LEAA policy toward State and local implementation of a standards and goals planning effort.

The Reports of the National Advisory Commission on Criminal Justice Standards and Goals represent one of the most significant accomplishments of the Law Enforcement Assistance Administration in its first five years of operation. These reports will be of primary importance in determining LEAA policies and in evaluating the efficacy and efficiency of LEAA programs in the coming years.

It is LEAA policy to encourage each State to begin a process of analyzing their criminal justice systems and to adopt or develop appropriate standards. LEAA will put its full support behind these efforts and a certain portion of LEAA's discretionary and technical assistance funds have been allocated for this purpose.

The Omnibus Crime Control and Safe Streets Act of 1968, as amended by the Crime Control Act of 1973, now requires that each State comprehensive plan must establish "goals,

priorities, and standards" for crime prevention and reduction in that State. We expect each State to begin to incorporate "standards, goals, and priorities" into its FY '74 Comprehensive Plan. By FY'76 each State, to meet the statutory requirements of the Safe Streets Act, must have a comprehensive set of standards and goals that can serve as a basis for planning and as a guide to funding.

In the process of developing standards, we expect that each State will review the Standards and Goals of the National Advisory Commission and other groups such as the American Bar Association and any other standards or appropriate material in order to determine if these standards and recommendations are appropriate and necessary for its system of criminal justice. They should serve as guidelines and as a basis for discussion in the development of a comprehensive set of State standards and goals.

However, it is LEAA policy to neither endorse the Commission's recommendations nor mandate acceptance by States and units of local government of the Commission's recommendations. LEAA cannot and will not require incorporation of the Commission's standards into a State plan as a condition of its approval of the plan. The specific standards developed by the National Advisory Commission are strictly advisory. It is the standard-setting process which LEAA endorses and not any individual standards.

We expect that in the process of developing standards States will seek the active involvement of criminal justice agencies and professionals, state legislators, public officials, local government and the public at-large. Only in this way will the standards developed be meaningful, have a chance for successful implementation, and effect overall system improvement and crime reduction.

The process of establishing standards, of necessity, will have a major impact on long range planning. Standards can provide the basis for legislation and for private and public action to improve State and local criminal justice.

Donald E. Santarelli, Administrator

Richard W. Velde, Deputy Administrator

Charles R. Work, Deputy Administrator

D. CONCEPTUAL FRAMEWORK FOR A NATIONAL STRATEGY ON STANDARDS
AND GOALS IMPLEMENTATION

Many criminal justice writers and historians are predicting that the criminal justice system, as currently operating, cannot survive until 2000 A.D. Most reach this conclusion because the criminal justice systems in the 55 States and Territories of this nation are diverse, disjointed, and fragmented, and they operate without established or specific standards and goals. Over 100,000 criminal justice practitioners are daily performing their particular function without specific knowledge or even recognition of the means that others in their system are using or of the ultimate end that others, or even they, are attempting to achieve. Since the framing of the Constitution, it has been considered fundamental that justice systems are the responsibilities of State and local governments. There is no greater role the Federal Government could perform than to catalyze a process whereby standards and goals would be established and achieved at the levels nearest the citizen. Pioneering such a process and ranking it high as a national posture is an act of singular historical significance.

In the preceding policy statement issued January 14, 1974, the Administrator of LEAA, Mr. Santarelli, announced the development of a major new program designed to improve criminal justice planning and stimulate major reform in State and local criminal justice systems. This program, the Criminal Justice Standards and Goals Initiative, was largely based on the work of the National Advisory Commission on Criminal Justice Standards and Goals, which recorded and recommended major changes in criminal justice practice, procedures, and policy. The concept of standards and goals and the reports of the NAC were carefully analyzed by LEAA to determine their implications for LEAA policy. LEAA took the position that it could not and would not impose the Commission's standards and goals on State and local governments. Instead, through its discretionary grant program,

LEAA will encourage States and provide assistance for them to undertake the process of analyzing their criminal justice systems and developing and adopting such standards as each State considers appropriate and necessary. Under this program, States set their own priorities. This approach is in keeping with the concept of "New Federalism"; it encourages and supports change and provides a vehicle for positive Federal leadership without Federal control. As of this date, many States have taken steps toward developing processes for the adoption and implementation of standards and goals they deem appropriate to their needs and practice. This program encourages each State to (1) carefully analyze its criminal justice system in terms of suggested reforms, recommendations, and standards; (2) to determine its own priorities, goals, and standards as a result of this analysis; and (3) to utilize these standards, goals, and priorities in the comprehensive planning process and as a guide to funding.

This program, if implemented in every State, will have a tremendous impact on this nation's criminal justice system. It is expected that this process will result in significant, planned systemwide reform in every State in the nation.

A systemwide approach of this kind requires careful planning. This program has been designed to ensure that:

- (1) Systemwide, comprehensive planning has occurred prior to the expenditure of large sums of Federal funds. (The standards and goals approach demands substantial involvement of the criminal justice community in the planning process and facilitates and encourages analysis of the total system.)
- (2) A State and local commitment to the proposed program has been made prior to implementation.

(3) Reform and change will be systemwide and balanced.

The involvement of criminal justice professionals and agencies, State legislators, public officials, local governments, and citizens in the process of analyzing the system and developing standards, goals, and priorities will lead to a State and local commitment to change and is essential if reform is to be ensured. When this commitment has been obtained, the chances for lasting reform will be maximized. Too many Federal programs have failed to develop this kind of commitment from those responsible for ultimate implementation or from the community that must underwrite the effort. Worthwhile programs have been dropped when Federal funds were no longer available. This program will minimize that possibility.

The Criminal Justice Standards and Goals Program encourages States, prior to heavy financing, to analyze the problems of the system as a whole rather than look at isolated problems or needs. The program recognizes the need for systemwide reform and will facilitate its implementation. Through this process State and local jurisdictions will develop specific statements of how the system is performing, how it should perform, and what steps must be taken to bring the existing system into conformance with the desired system. An assessment will be made of how changes in one part of the system impact on other components of the system. Through early involvement of those concerned, a sense of ownership and commitment will be generated in regard to proposed changes.

LEAA expects that significant changes will begin to occur in criminal justice systems by 1976. The impact of these changes will be felt not just in several States but nationwide. Because of its close tie to the planning process and its emphasis on commitment and involvement, the Criminal Justice Standards and Goals Program can produce major criminal justice reforms, not only through LEAA discretionary funds but through a

substantial impact on the allocation of block funds as well as on normal state and local criminal justice expenditures. The first phase of the LEAA Criminal Justice Standards and Goals Program is concentrated on improving planning for change and obtaining a commitment to change. The second phase is concerned with the implementation of the major programs that represent a significant movement towards criminal justice reform. However, LEAA will not fund implementation programs until the process of commitment and planning has been put into operation and is well under way.

LEAA has designed a program to assist States in achieving these objectives. This program allows States to set their own priorities, rather than having the Federal Government set forth the requirements for State action. It requires that States develop a process for planning, analysis, and obtaining commitment prior to the expenditure of large amounts of Federal funds (either Part C or discretionary) for specific programs.

The Standards and Goals Program is the most important and effective means of stimulating criminal justice reform ever created by the Federal Government. It promotes Federal leadership while retaining the integrity of State and local decision making. The response of State and local governments to this program has been one of intense interest and enthusiasm. The groundwork for the program has been laid carefully. Some States will have, within the next six to 12 months, a comprehensive plan for criminal justice improvement and reform.

Several specific accomplishments can be achieved through this program. The program can:

- (1) Bring systemwide and comprehensive reform to an entire system, instead of constraining it only to an area covered by a demonstrative project.

- (2) Have an effect in all 55 States and Territories.
- (3) Be possible by 1976.
- (4) Allow citizens to establish their own priorities instead of these priorities being established in Washington and then applied (or attempted) in the States.
- (5) Make maximum use of the work completed by the NAC, the President's Commission on Law Enforcement, the American Bar Association, and similar groups, as well as ensure continuity and coordination in planning and spending systemwide.
- (6) Integrate the standards and goals planning process with current processes, thereby upgrading the planning capabilities at State and local levels.

PART II

A NATIONAL STRATEGY FOR STANDARDS AND GOALS
DEVELOPMENT AND IMPLEMENTATION

II A NATIONAL STRATEGY FOR STANDARDS AND GOALS DEVELOPMENT AND IMPLEMENTATION

It is the intent of both LEAA and Congress that the national strategy for standards and goals development be the product of a partnership of Federal, State, and local governments and the public at large. Regarding this subject, Mr. Santarelli, the Administrator of LEAA, made the following statement:³

The New Federalism concept is aimed at returning power to the people, at reversing the flow of power to Washington, at creating a true partnership among the states, localities and the Federal government. Under the New Federalism, the Federal government is not there to dictate to you, to set your priorities or to impose an alien value system on you. Rather, the New Federalism recognizes that you in the states and localities have talent, initiative, values and an ability to shoulder responsibility. You have the capability to be an equal partner in this endeavor, and with LEAA, you are an equal partner.

It is up to you to perceive what your local problems are. It is up to you to seek answers to those problems. It is up to you to set programs with the potential of solving those problems. It is up to you to take note of successful pilot programs in other communities and determine whether they can work in your community. When you have done all that, then you must take the initiative in seeking assistance from your partner, the Federal government. That is the way LEAA is suppose to operate under the New Federalism. They are there to help you, not dictate to you.

³ Address delivered to Project SEARCH International Symposium on Criminal Justice Information and Statistics Systems, San Francisco, California, May 2, 1974.

A. EXISTING CONDITIONS RELATIVE TO STANDARDS AND GOALS
AND STATE COMPREHENSIVE PLANNING

In formulating a national strategy for standards and goals development, it is critical that the existing conditions be known, so that possible solutions to the various problems faced by the States can be incorporated into the strategy. Each SPA has recently been contacted by the ONPP and asked to identify existing conditions in its States relative to standards and goals. The findings from that process are summarized below, together with suggestions regarding what the strategy should provide to fulfill identified needs.

- (1) Few States have written and adopted statewide goals or standards that have been accepted and used by SPA planners, State criminal justice councils, local planning agencies, and State and local criminal justice agencies. The ONPP should demonstrate the advantages of planning oriented to standards and goals.
- (2) Only a few police, court, corrections, and juvenile justice agencies utilize a management-by-objectives system, a program-planning budget system, or any goals-oriented system other than the traditional line item budget and review system, where the emphasis is upon fiscal control without consideration of agency performance relative to planned goals or objectives. The ONPP should display to operational agencies the potential benefits of using standards and goals in their programming and budgeting systems.
- (3) Several States have taken major strides in the standards and goals development process, in terms of statewide conferences, task force formation, public hearings, and, in some cases, the preliminary adoption of standards and goals for the State.

The ONPP should provide assistance as needed to the States that are well along in the process and should pass on "lessons learned" to States that are not as far along.

- (4) The major reason that other States have made little progress seems to be a need for technical or financial assistance. The ONPP and the regional offices of LEAA should provide adequate assistance, especially that needed for the development of a strategy or process in these States.
- (5) The majority of the States have sought information regarding national guidelines or policies, the structure of the program, and the use of LEAA resources in support of it. The ONPP should provide national guidelines to make available some direction and to encourage some consistency in format.
- (6) Large amounts of discretionary funds have been allocated among the LEAA regions for use by States in developing standards and goals processes. Several States have obtained grants for these purposes and are heavily involved in the project work. The ONPP and LEAA regional offices should continue to provide sufficient standards and goals development monies, as well as criteria and guidelines, to ensure that the funds are used for appropriate standards and goals projects.
- (7) Several States desire to develop their standards and goals in time to use them in reviews and recommendations for action project funding in the FY 1975 comprehensive plans. The strategy should suggest what stage of standards and goals development is reasonable for each of the FY 75 and 76 plans. The assistance programs should be so structured that the aid

becomes available at the point in the planning cycle when it is needed.

B. STANDARDS AND GOALS OF THE ONPP

Within LEAA, the ONPP has been charged with the responsibility of overseeing the standards and goals assistance program, in addition to five other priority programs.

In developing standards and goals for the ONPP, it should be made clear that under the partnership concept those standards and goals can be framed only in terms of assisting State and local governments to attain their own adopted standards and goals. In a leadership role, the ONPP can make policy and develop guidelines regarding technical and financial assistance for standards and goals projects, but the Crime Control Act of 1973 clearly places the responsibility for reducing crime and reforming criminal justice at the State and local government level.

Congress finds further that crime is essentially a local problem that must be dealt with by State and local governments if it is to be controlled effectively. (Title I, "Declaration and Purposes.")

LEAA has the responsibility to establish rules, regulations, and procedures, after consultation with State and local governments. The act of 1973 states:

The Administration is authorized, after appropriate consultation with representatives of States and units of general local government, to establish such rules, regulations and procedures as are necessary to the exercise of its functions, and are consistent with the stated purpose of this title. (Part F, Section 502.)

With these concepts in mind, as well as the LEAA commitment to a Federal-State-local partnership concept, the following internal standards and goals for the ONPP have been developed.

- GOAL 1 ENCOURAGE PLANNING AGENCIES TO IMPROVE THE QUALITY
OF CRIMINAL JUSTICE PLANNING IN EACH STATE AND
TERRITORY BY JANUARY 1, 1976, SUCH THAT:
- Standard 1.1 Each State and Territory has adopted
a set of standards and goals.
- Standard 1.2 The set of standards and goals contains
specific and quantified crime reduction
goals, in addition to system improvement
goals.
- Standard 1.3 The standards and goals are integrated
into the State's comprehensive plans,
so that all projects selected for fund-
ing are directly related to the standards
and goals.
- Standard 1.4 State and local criminal justice
agencies are utilizing Part C, Part E,
and discretionary funds, as well as
other Federal and local resources to
implement the adopted standards and
goals.
- Standard 1.5 The adopted standards and goals are
being reviewed, evaluated, and improved
on a regular basis.
- GOAL 2 HELP PROVIDE SUFFICIENT FUNDS AND TECHNICAL ASSISTANCE
SO THAT STATE AND LOCAL GOVERNMENTS CAN DESIGN A PROCESS
FOR ATTAINING THEIR SPECIFIC STANDARDS AND GOALS.
- GOAL 3 ENCOURAGE STATE AND LOCAL CRIMINAL JUSTICE AGENCIES TO
ADOPT FUNDING PATTERNS THAT ARE SUPPORTIVE OF THEIR
ADOPTED STANDARDS AND GOALS.
- GOAL 4 ENCOURAGE AN INCREASED COMMITMENT AND INVOLVEMENT OF
CRIMINAL JUSTICE AGENCY PERSONNEL IN THE PLANNING
PROCESS:

Standard 4.1 Criminal justice administrators regularly analyze the successes and shortcomings of their particular agencies with respect to the adopted standards and goals.

Standard 4.2 Criminal justice administrators are committed to "joint problem solving" and interdiscipline and intradiscipline coordination of efforts to attain the standards and goals, such as State, regional, or countywide cooperative efforts among law enforcement, court, corrections, and juvenile justice agencies.

GOAL 5 ENCOURAGE STATE AND LOCAL PLANNING AGENCIES TO OPEN UP THE PLANNING PROCESS TO CITIZENS BY INCREASING THEIR INVOLVEMENT IN THE PLANNING PROCESS AND THEIR ASSISTANCE TO STATE AND LOCAL AGENCIES IN THE ACHIEVEMENT OF ADOPTED STANDARDS AND GOALS:

Standard 5.1 Proposed standard and goals receive public exposure, with opportunity for citizen and interest group input prior to the adoption by the State government.

Standard 5.2 As required by the act of 1973, planning agencies are giving "public notice of the time and place of such meetings, and the nature of the business to be transacted, if final action is to be taken at the meeting on (A) the State plan, or (B) any application for funds under this title."

Standard 5.3 Lay citizens are represented on State standards and goals commissions or task forces.

Standard 5.4 Citizens and citizen organizations are significantly involved in crime prevention and rehabilitation programs responsive to adopted standards and goals.

C. ROLES AND RESPONSIBILITIES IN THE STANDARDS AND GOALS PROGRAM

1. Roles and Responsibilities of ONPP

The major role of the ONPP is to act as a change agent in helping State and local agencies to reduce the incidence of crime and to improve the criminal justice system. In performing that role, the ONPP can use the resources allocated to various programs as leverage for major improvements. More specifically, the ONPP will:

- (1) Provide overview and national leadership for the regional offices and the State and local planning agencies.
- (2) Develop and transmit policies and procedural guidelines after review of regional office and State and local comments.
- (3) Develop technical and process guidelines as required.
- (4) Coordinate the standards and goals program through the Office of Regional Operations (ORO).
- (5) Provide sufficient technical assistance and training to regional office, SPA, and local personnel.
- (6) Review and evaluate standards and goals progress throughout the nation on an annual basis.

2. Roles and Responsibilities of the Regional Offices of LEAA

The philosophy of the ONPP is that the regional LEAA office is in the most favorable position for effectively assisting the SPAs. The regional LEAA personnel, especially the State representatives, generally have a good understanding of conditions in the States relative to the following:

- (1) The organization, structure, and politics operative in the State and local governments and in agencies of the criminal justice system.
- (2) The strengths and technical capabilities of the principal elected and administrative leaders within the State.
- (3) The performance of the SPAs and local planning agencies in the State relative to past planning, project implementation, and fiscal accountability.
- (4) The financial strengths and weaknesses and general potential for financing or matching Federal funds for project implementations.
- (5) The unique physical, structural, or legislative problems faced by the agencies within the State.

For the above reasons, the regional LEAA offices should perform an important pro-active role in helping the SPAs upgrade the quality of their planning, in addition to the responsibilities of the regional offices to review State plans and grand requests. The State representatives of the regional offices should be in close touch with the SPAs and should know when assistance is needed. In giving such assistance, the regional LEAA office might:

- (1) Assess needs relative to standards and goals.
- (2) Suggest possible technical assistance project requests and give assistance in their preparation.
- (3) Disseminate information regarding what other States in or out of the region have done in similar circumstances.
- (4) Assist in the preparation of discretionary fund grant applications for standards and goals.

- (5) Provide information on any tool or program within and without the LEAA program that might assist the State or local agencies.
- (6) Ensure that each State develops a standard and goals process.
- (7) Provide discretionary funds for process development to ensure legislative compliance.
- (8) Develop and sponsor demonstration programs.
- (9) Assess contributions of technical assistance to process development.
- (10) Assess process results, especially comprehensive plans for standards and goals integration.

3. Roles and Responsibilities of the SPAs

It is the SPAs to whom Congress has given the responsibility of comprehensive planning with all of its attendant elements, including standards and goals. Pursuant to the mandates of the Omnibus Crime Control and Safe Streets Act of 1968 as amended by the Crime Control Act of 1973, the State has the responsibility to perform the following:

- (1) Establish standards, goals, priorities, and action programs for improving and strengthening law enforcement and criminal justice.
- (2) Establish statewide priorities for the improvement and coordination of all aspects of law enforcement and criminal justice.
- (3) Integrate standards and goals and priorities into the comprehensive plan.

- (4) Utilize technical assistance as required to develop the processes for accomplishing the above.
- (5) Utilize block grants and discretionary funds to augment other State and local expenditures in the implementation of the standards and goals.

D. MAJOR ACTIVITIES OF THE STANDARDS AND GOALS PROGRAM

Eight major activities make up the programmatic strategy of the ONPP. The time frame for undertaking each activity is presented in Section E. Each activity of the program is summarized below.

(1) Development of National Strategy Guidebook

This guidebook, containing the foundation for a standards and goals programmatic strategy, the elements of the program, and information pertaining to technical assistance, is the backbone of the ONPP efforts. It will be available to criminal justice planners at all levels and indicates the intentions of the ONPP in providing assistance leading to the development of standards and goals in the planning process in each State.

(2) Development of a Standards and Goals Process Handbook

This handbook will include various processes or methods by which standards and goals can be used in the planning process. It will be directed to planners at the working level where the various step-by-step methods will be expected to answer the question: How can one go about setting standards and goals and using them in comprehensive planning?

(3) Development of Standards and Goals Synoptic Material

This material will be developed to facilitate the use of the standards and goals developed by the NAC. A single document

will be developed to consolidate the principal statements of the NAC standards and recommendations. This document will be made available for wide dissemination.

(4) LEAA Regional Office Orientations

Each regional office will be visited, and a formal standards and goals orientation will be presented. Each session will include speakers and visual and handout material. The elements of these sessions will include: an overview of the national strategy including policies and requirements, a presentation regarding the technical assistance available, and a discussion of roles and responsibilities in the standards and goals program.

(5) SPA Orientations

The SPAs will be addressed in orientation sessions similar to those held for the regional offices. These sessions will include the information provided to the regional offices, but will emphasize alternative methods by which standards and goals can be developed and implemented.

(6) Provision of Technical Assistance

Where requested, technical assistance will be provided, if approved. The assistance may take the form of development of a State strategy, assistance with analysis of specific standards and goals, and planning of conferences. Technical assistance will be an ongoing activity available to SPAs through March 1976.

(7) Assessment of Standards and Goals Progress

Follow-up contacts with officials of each State will be made to assess the progress of standards and goals development and implementation. This activity will help to determine where each

State is in the process of developing standards and goals and will allow each State to see the results of various processes developed in other States.

(8) Disbursement of Standards and Goals Discretionary Funds

As stated in the policy statement, substantial amounts of discretionary funds will be available during the next two years to aid States in their standards and goals processes. Evaluation of requests for discretionary funds and disbursements will be made in accordance with the criteria given in Section IV-D.

E. PROGRAM SCHEDULE AND MILESTONES FOR 1974-1976

The schedule depicted in Figure 1 provides target dates for the accomplishment of the activities presented in the previous section. These time frames were developed with the following conditions and policies in mind:

- (1) LEAA policy calls for standards and goals to be incorporated in the FY 1976 plan.
- (2) The various States and Territories are not at the same stage in their standards and goals developmental process.
- (3) Standards and goals review, like comprehensive planning, is an ongoing process. Therefore the schedule provides for annual reviews of national progress and annual regional office and SPA conferences.

The schedule was developed with the intent of providing technical assistance and other activities at the times when maximum assistance could be given the SPAs at critical points in their 1975 and 1976 comprehensive planning cycles.

FIGURE 1 PROGRAM SCHEDULE AND MILESTONES 1974-76

PART III

PROGRAM REQUIREMENTS
FOR STANDARDS AND GOALS ASSISTANCE

III PROGRAM REQUIREMENTS FOR STANDARDS AND GOALS ASSISTANCE

Given below are minimum requirements for use by potential applicants in preparing applications for financial assistance for standards and goals development. These requirements do not, of course, mandate the substance of standards and goals but rather the format for their development to ensure that State comprehensive plans--particularly the standards and goals elements--are in conformance with the Crime Control Act of 1973 and are somewhat consistent in structure. The handbook referred to previously will suggest alternative ways of developing standards and goals.

A. ADEQUATE REPRESENTATION

The task force, committee, subcommittee, or organization selected within a State for the development of statewide standards and goals should have adequate representation from the following:

- (1) Law enforcement agencies
- (2) State and local courts
- (3) Prosecutorial and criminal defense agencies
- (4) Adult corrections agencies
- (5) Juvenile justice agencies
- (6) Other related social service agencies
- (7) Elected officials
- (8) Citizens and citizen groups.

The above organizations must also provide geographical representation that mirrors the geographical dispersion of population within the State, that is, proportional representation from:

- (1) Areas containing large urban centers
- (2) Suburban and rural areas
- (3) Areas of significant concentrations of particular ethnic groups.

B. ADEQUATE PUBLIC EXPOSURE OF PROPOSED STANDARDS AND GOALS

Prior to the formal adoption of statewide standards and goals, adequate publicity regarding them and their potential impact upon the State should be provided, such that the general public, elected officials, and criminal justice agency administrators are made aware of them and have an opportunity to comment upon them. Any meeting at which standards and goals are to be presented for adoption should be open to the public, and sufficient prior notice of the purpose, time, and place of the meeting should be given, as is required by the Crime Control Act of 1973.

C. ADEQUATE PROCESS PLANNING

Prior to the award of discretionary funds to a State for assistance in development and implementation of standards and goals, the SPA must show that it has developed a two-year State strategy for developing and adopting statewide standards and goals, including schedules, proposed budgets, and major activities. The people who are to be involved in the development process should be identified, as well as the manner in which they will participate. The applicant should also list all projects related to State standards and goals and show how they interrelate as part of the standards and goals plan.

D. ADOPTION OF STANDARDS AND GOALS

For statewide standards and goals to be considered adopted, they must meet the following criteria:

- (1) The standards and goals are in printed form and have been approved by the State criminal justice council.
- (2) The standards and goals document has been widely disseminated among criminal justice planning and operational agencies and interested citizen groups.
- (3) The standards and goals document has been presented to the governor and State legislature for their comments.

E. FISCAL 1975 PLAN REQUIREMENTS (STANDARDS AND GOALS ELEMENT)

Each State's comprehensive plan should contain:

- (1) An assessment of the current status of the SPA in the process of developing standards and goals. Such an assessment should describe the following:
 - (a) Organizational standards and goals structures in terms of task forces, commissions, and so on.
 - (b) Progress to date in the development of the standards and goals.
 - (c) Problems encountered and suggested remedies.
- (2) A detailed strategy for development and adoption of the statewide standards and goals. The strategy should provide the following:
 - (a) A schedule with target dates for each major element in the strategy.
 - (b) A specific element for involvement of the public in the process.

(3) A description of how the standards and goals when adopted will be integrated in the FY 1976 plan. Such a description should show:

- (a) How adopted standards and goals will be disseminated to local and regional planning agencies and incorporated in the SPA plan development guidelines.
- (b) The method to be used by the criminal justice councils for utilizing the standards and goals as some of the criteria for funding decisions on action grant requests.
- (c) The method to be used in integrating the standards and goals among the various components of the system.
- (d) The method for developing priorities among the goals in the plan.

(4) A preliminary listing of State standards and goals as they relate to the following areas:

- (a) Specific crimes
- (b) Crime prevention
- (c) Law enforcement
- (d) Courts
- (e) Corrections
- (f) Citizen involvement.

Goal statements should be placed in order of priority. It is not required that the above listing of goals be formally adopted by the State government for the FY 1975 plan. However, formal adoption will be required for the FY 1976 plan.

F. FISCAL 1976 PLAN REQUIREMENTS (STANDARDS AND GOALS ELEMENT)

Each State's comprehensive plan should contain the following:

- (1) Formally adopted statements of standards and goals as they relate to the following areas:

- (a) Specific crimes
- (b) Crime prevention
- (c) Law enforcement
- (d) Courts
- (e) Corrections
- (f) Citizen involvement.

The goal statements must be placed in priority order within the above categories. The goals should be stated in quantified terms and should include specific dates for their accomplishment.

- (2) Goal statements integrated in their order of priority--The goals in one area that are more critical than goals in another should precede them in the priority list. This is an important step in that it suggests an order of funding from block funds as well as general funds.
- (3) Goal statements integrated in the comprehensive plan--They should be displayed in such a manner that:
 - (a) A strong correlation is shown between the identified problems in the State and the goal statements intended to address them.
 - (b) The projects or programs for which LEAA support is sought in the annual action plan should be linked to the specific goal or standard to which they are intended to be responsive.

- (c) The systemwide impact of the specific standards and goals on other segments of the criminal justice system is shown.
- (4) Identification of the process used by the SPA in developing and adopting the standards and goals. A description of organizations and structures (task forces, commissions, etc.) used in the process should be provided. The major events should be documented and placed in chronological order; in addition, the manner in which the standards and goals were used as some of the criteria for block grant project selection should be described in detail.
- (5) A three-year strategy from the 1977 through the 1979 comprehensive plans that outlines what methods the SPA will use in implementing and modifying the adopted standards and goals-- The strategy should also identify how system performance in the State will be monitored so that the degree of goal achievement can be determined.

PART IV

TECHNICAL AND FINANCIAL ASSISTANCE
FOR STANDARDS AND GOALS

IV TECHNICAL AND FINANCIAL ASSISTANCE FOR STANDARDS AND GOALS

In support of the promise made in the policy statement mentioned earlier, the ONPP has allocated a substantial amount of discretionary funding to LEAA regional offices and has contracted with several consulting organizations to provide technical assistance upon request. The priorities for the use of these resources are stated below.

A. ASSISTANCE PRIORITIES OF THE ONPP

The underlying premise of the ONPP priorities for standards and goals assistance is that, if SPAs spend sufficient time and effort on designing the process for standards and goals development prior to developing the standards and goals themselves, the results will be of high quality and will be acceptable to criminal justice agencies and the general public. It is the desire of the ONPP that technical assistance and discretionary funding be applied heavily to the planning and development of the appropriate State process or strategy, rather than to the implementation of the standards and goals themselves. Listed below are the priorities for standards and goals assistance.

- | | |
|----------------|---|
| PRIORITY ONE | DEVELOPMENT OF A STRATEGY OR PROCESS FOR ADOPTING STANDARDS AND GOALS. |
| PRIORITY TWO | DEVELOPMENT AND ADOPTION OF STATE STANDARDS AND GOALS. |
| PRIORITY THREE | INTEGRATION OF STANDARDS AND GOALS INTO COMPREHENSIVE PLANNING. |
| PRIORITY FOUR | IMPLEMENTATION OF PROJECTS AND PROGRAMS THAT WILL IMPLEMENT SELECTED STANDARDS AND GOALS. |
| PRIORITY FIVE | ASSESSMENT AND EVALUATION. |

The posture of the ONPP is that technical assistance should be used for projects addressing Priority One, while discretionary funds allocated for standards and goals programs at the regional office level should be used for projects that fit within Priorities Two, Three, and Five. Block grants and other implementation-oriented discretionary funds should be used primarily for implementation of projects that seek to attain the adopted standards and goals. Additional information regarding discretionary funds and technical assistance for standards and goals purposes is provided below.

B. DISCRETIONARY FUNDS FOR STANDARDS AND GOALS--
REGIONAL OFFICES OF LEAA

Below is a list of possible projects for which discretionary funds can be requested. The list is not all inclusive, but is provided for illustrative purposes.

(1) Strategy and process development

- (a) Projects that assess existing conditions and practices relative to adopted standards and goals.
- (b) Specific research projects that will develop needed information prior to standard and goal development, such as projects that might seek to determine existing conditions in a subject area.
- (c) Projects that develop and design a long-range strategy for implementation of specific goals and standards.

(2) Development and adoption of standards and goals

- (a) Personnel costs, conference and meeting costs, and supplies necessary for the actual development of standards and goals.
- (b) Projects that investigate and forecast the impact of individual standards and goals on other standards and goals and on each component within the system.

- (c) Consulting costs for development of certain elements of the standards and goals.
 - (d) Public presentations and informational documents, pamphlets, and brochures that seek citizen input into the standards and goals formulation.
 - (e) Statewide conferences for developing consensus and adoption of standards and goals.
 - (f) Cost-benefit analyses of alternative standards and goals.
 - (g) Prioritization of goals and attendant standards.
- (3) Integration of standards and goals into comprehensive planning
- (a) Projects that display within the comprehensive plan how proposed LEAA, private, and general fund projects and programs support the adopted standards and goals and the other elements of the comprehensive plan.
 - (b) Demonstration projects that show how the adopted standards and goals are being used by criminal justice planning and operational agencies in their budgeting processes.
- (4) Assessment and evaluation
- (a) Projects that evaluate the standards and goals process used by the SPA in terms of: quality of adopted standards and goals; involvement of citizens and criminal justice personnel in the process; apparent commitment of elected and appointed officials and administrators to the adopted standards and goals; and citizen awareness of the standards and goals and agreement with them.
 - (b) Projects that seek to determine subject areas in which new standards and goals are needed.
 - (c) Projects that undertake to modify or update adopted standards and goals on the basis of new findings.

Applicants for discretionary funds for standards and goals projects should consult LEAA Manual, M4500, 1B, dated February 26, 1974, for general instructions. In addition, the appropriate LEAA regional office should be contacted for any additional instructions that may be operative within a given region.

C. TECHNICAL ASSISTANCE FROM THE ONPP

The Office of Standards and Goals (OSG), located within the ONPP, is responsible for providing guidance and technical assistance to the regional offices and SPAs. The OSG has contracted with several consulting firms to assist it with that responsibility.

1. The Objectives of the Technical Assistance Program

The overall goal of the technical assistance program is to assist the States in establishing and institutionalizing processes for development of standards and goals that, when implemented, will lead to reduction in crime and improvement in the quality of justice. Pursuant to that broad goal, the objectives of the technical assistance program are to help State and local agencies:

- (1) Analyze their present status in regard to criminal justice standards and goals.
- (2) Determine strategies and timetables for establishing State standards and goals.
- (3) Determine methods for integrating the standards and goals into their planning, funding, and operational programs.
- (4) Develop techniques for evaluating standard and goal achievement.

2. Deliverable Assistance from Technical Assistance
Contractors

Because this program is responsive to the specific needs of the individual States, it is difficult to define precisely the nature and scope of the projects to be considered. It is useful to think of projects in three general categories: (1) the LEAA OSG projects, into which would fit projects and activities having applicability to all States; (2) the projects tailored to the needs of LEAA regional offices; and, finally, (3) the projects needed at State and local levels. Figure 2 shows some of the assistance at each level that can be delivered to the extent that funds, time, and capability will allow.

3. The Delivery Process and Timetable

The request for technical assistance by an SPA will be processed in the following manner:

- Step 1 The regional office will help the SPA assess its need and formulate the scope of the request.
- Step 2 The SPA will issue a request to the appropriate regional office on behalf of the SPA or the local planning entity, using the form shown in Exhibit 1 and the instructions shown in Exhibit 2. A copy of the request should be forwarded at the same time to the Office of Standards and Goals in Washington, D.C. (Please do not contact the technical assistance contractors directly.)

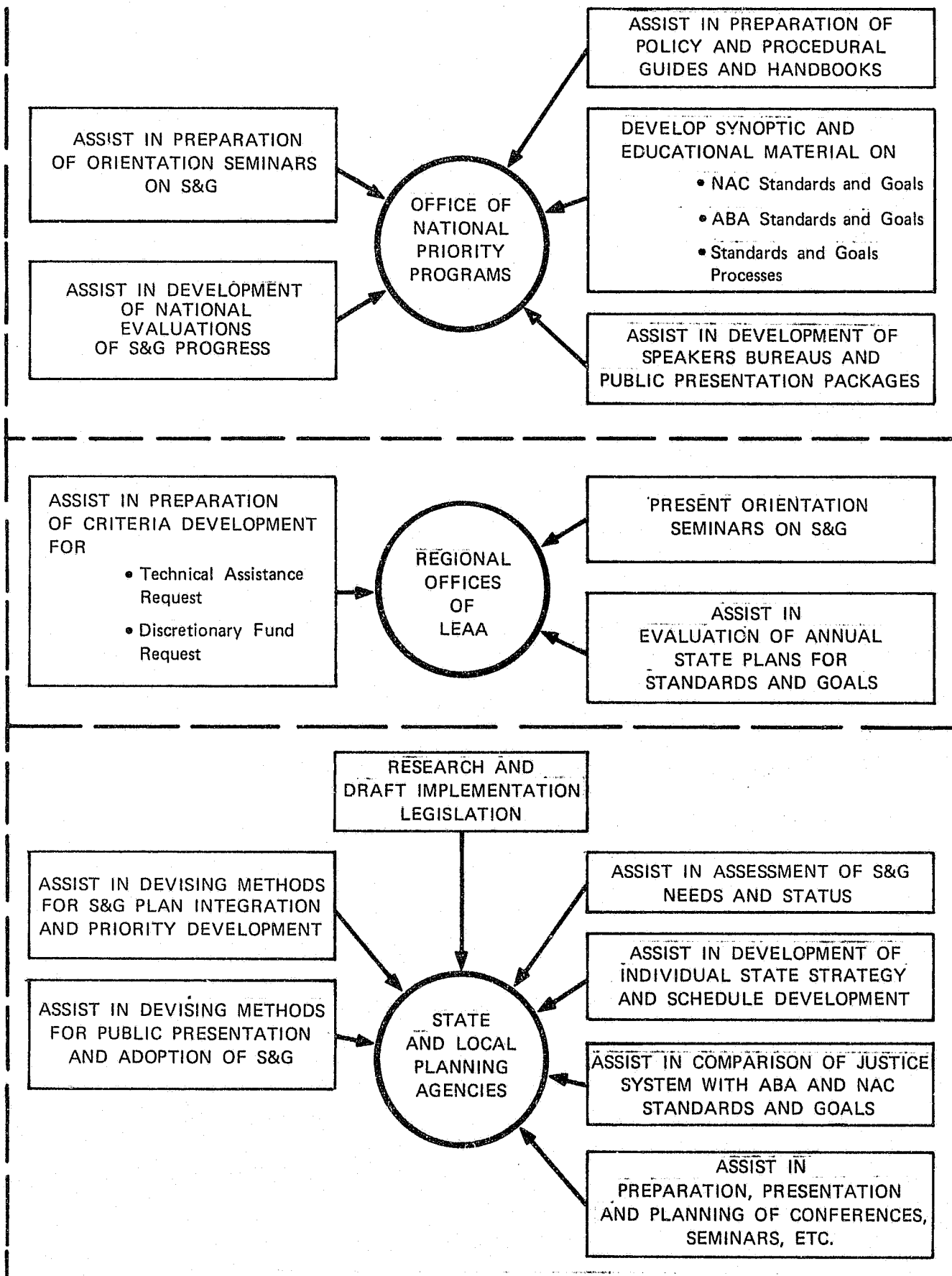


FIGURE 2 TECHNICAL ASSISTANCE FOR STANDARDS AND GOALS

Exhibit 1

STANDARDS AND GOALS TECHNICAL ASSISTANCE PROJECT REQUEST

1. To: Regional Administrator
Contact person with requesting agency _____
Phone: _____
2. Agency requesting technical assistance: _____
3. Dates for which technical assistance requested: _____
4. Number of man-days of technical assistance requested: _____
5. Project for which assistance is needed:
 1. _____ Assessment of need.
 2. _____ Development of basic standards and goals strategy.
 3. _____ Comparative analysis of standards and goals.
 4. _____ Establishment of standards and goals commission, task forces, etc., commissions, training seminars.
 5. _____ Integration of standards and goals into State comprehensive plan.
 6. _____ Organizing public hearings and citizen participation.
6. Objectives of project:

cc:
Office of Standards and Goals
Law Enforcement Assistance Administration
633 Indiana Avenue, N.W.
Washington, D.C.
Attention: Ms Ellen Jasper

7. Scope of project:

8. Please list other standards and goals activities planned or operative in your State. List grants specifically.

9. Describe how this project fits in with your overall development strategy for standards and goals:

_____ Other (please describe) _____

Exhibit 2

INSTRUCTIONS FOR
COMPLETING STANDARDS AND GOALS
TECHNICAL ASSISTANCE PROJECT REQUEST

1. Self explanatory.
2. Identify SPA and local planning agency where appropriate.
3. List the dates when the assistance is needed. If assistance is needed at several times, please indicate.
4. Please estimate the professional man-days needed.
5. Check the appropriate item(s) to describe your needs.
6. List the broad objectives your agency wants to achieve in conjunction with the technical assistance contractors.
7. List the specific tasks as initially perceived, and include as much detail as possible on the level of effort associated with each task; the skills required; and so on. Before initiation of the project, the selected contractor, in cooperation with the requesting State, will prepare a detailed project plan and work statement that will, when approved by LEAA, become his contractual commitment.
8. Briefly explain all standards and goals activities operative or planned in the requesting agency and the time frames in which they are being or will be accomplished.
9. Describe how each of the above elements fits into your overall standards and goals strategy.

- Step 3 The regional office will evaluate the merits of the request and forward their comments to the OSG.
- Step 4 The ONPP will evaluate the request and the comments from the regional office.
- Step 5 The ONPP will negotiate with the contracting specialists to provide the required assistance for a specified period of time with specific outputs, and for a specified amount of funds provided out of the ONPP.
- Step 6 Contractors will contact the SPA or local planning entity and the regional office to determine when the assistance should be provided.
- Step 7 Contractors will begin assistance on site as scheduled.

The timing of the receipt of technical assistance is critical; therefore the aim of the ONPP is that the request review process take no longer than five weeks from the time the request is received by LEAA until the request has been approved or denied. Graphically, that is displayed in Figure 3.

D. ONPP CRITERIA FOR REVIEWING TECHNICAL ASSISTANCE
AND DISCRETIONARY GRANT REQUESTS

It is assumed that the total dollar amount of requests will exceed the resources of both the technical assistance and the standards and goals discretionary fund programs. Therefore, the following criteria are suggested for use by the regional office in determining the relative merit of each request.

- (1) Does the application conform with the ONPP priorities; that is, if the applicant is requesting assistance for a project

STEPS	1	2	3	4	5	6	7
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ACTION	REGIONAL OFFICE ASSISTS SPA IN ASSESSING STANDARDS AND GOALS NEEDS	SPA SENDS REQUEST TO REGIONAL OFFICE; COPY TO ONPP	REGIONAL OFFICE FORWARDS COMMENTS TO ONPP	ONPP REVIEWS AND APPROVES OR DENIES REQUEST	TA CONTRACTORS ESTIMATE COSTS FOR ONPP REVIEW	TA CONTRACTORS; CONTACT SPA AND RO; AND SCHEDULE TECHNICAL ASSISTANCE	TA CONTRACTORS BEGIN ASSISTANCE ON SITE WITH RO REPRESENTATIVE
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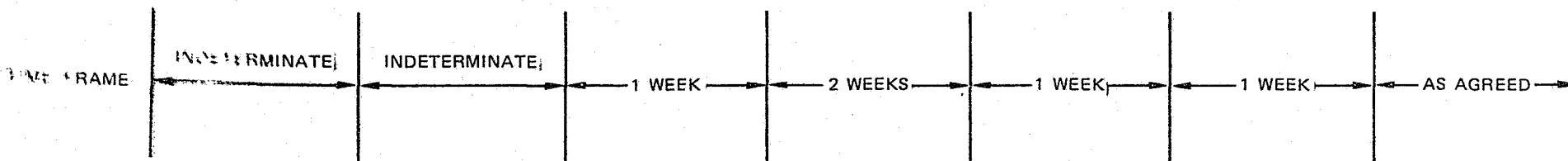


FIGURE 3 TIME FRAME FOR REQUEST AND RECEIPT OF TECHNICAL ASSISTANCE

addressing Priority Two, has the applicant already accomplished the development of a sound strategy, which is ONPP Priority One?

- (2) Have all the requirements shown in Section III been met?
- (3) Consistent with Part (b) Section 303 of Public Law 93-83, the Crime Control Act of 1973, does the application or request demonstrate a "determined effort to improve the quality of law enforcement and criminal justice throughout the State?"
- (4) Does the SPA have a clear picture of what kind of help is needed in the State?
- (5) Does the State strategy appear to be well thought out in terms of maximal use of available resources, including local funds?
- (6) Would the approval of a particular discretionary grant request provide an inordinate amount of assistance to one State to the detriment of another?

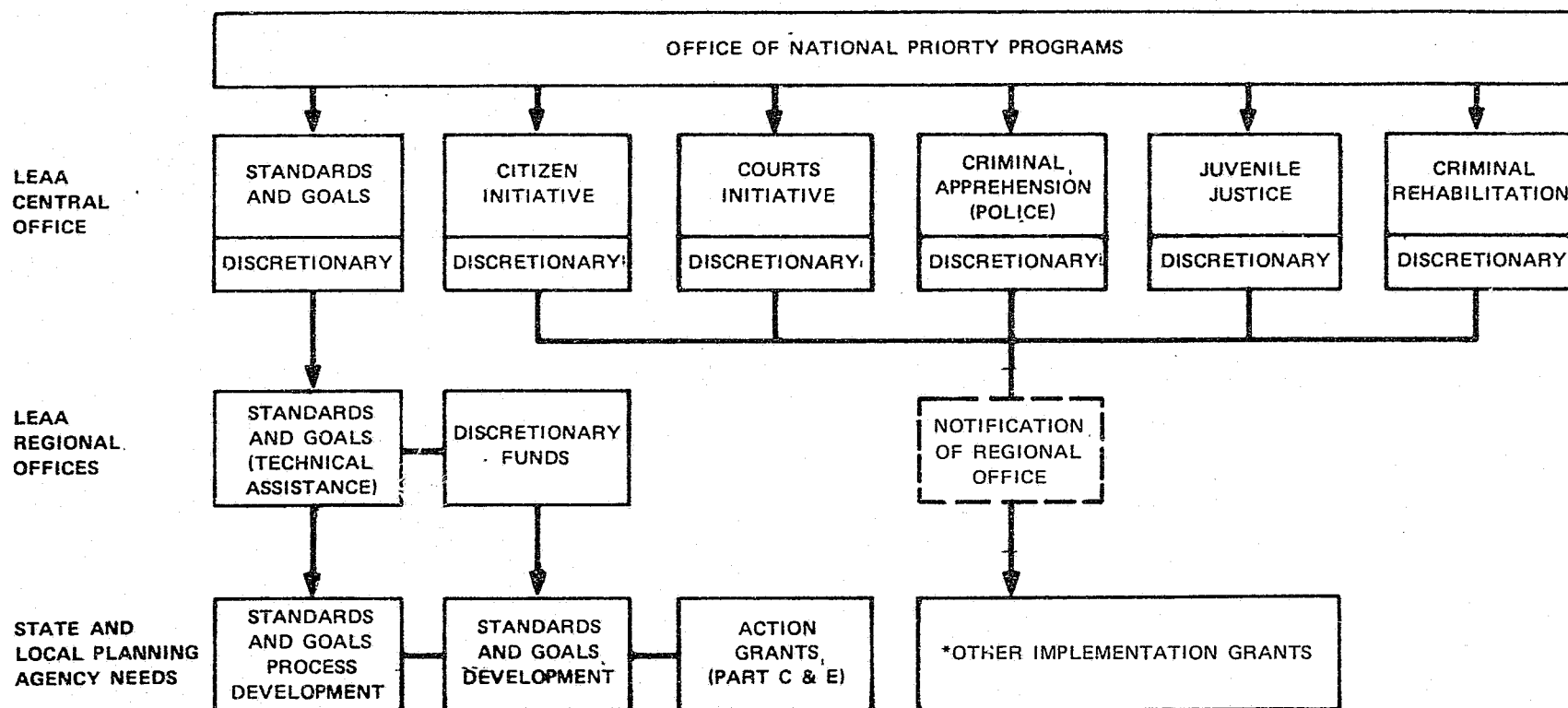
E. OTHER SOURCES OF STANDARDS AND GOALS ASSISTANCE

In addition to the previously mentioned sources of assistance (technical assistance and discretionary programs), the funding sources listed below may be utilized (see Figure 4).

1. Other Priority Program Grants

There are five other categories within National Priority Programs:

- (1) Citizen initiative program
- (2) Court initiative program
- (3) Criminal apprehension (police)
- (4) Juvenile justice
- (5) Criminal rehabilitation.



*The appropriate regional office should be notified of any application to the ONPP for assistance

FIGURE 4 LEAA PROGRAMS IMPACTING UPON STANDARDS AND GOALS

The magnitude of funds and the guidelines for their use in the above categories have not yet been fully developed, but planners should bear in mind that these areas are deemed to be of significant importance and may be a source for standards and goals implementation funds. The citizen initiative program, in particular, lends itself nicely to the objective of bringing citizens into the standards and goal setting process.

The additional priority programs, (2), (3), (4), and (5) above, will be likely lend themselves to implementation of specific standards and goals.

2. Other Designated Funding Categories

Guideline Manual M4500.1B also describes additional discretionary funding programs, which may in some cases be used for implementation of specific standards and goals:

- Organized Crime Programs.
- Indian Law Enforcement Programs.
- Pilot Cities Program.
- Comprehensive Data System Program.
- Impact Program---Specific amounts for standards and goals comparisons with those of the NAC are reserved for each impact city.
- Treatment Alternatives to Street Crimes.

3. State Planning Agency Block Funds

State planning agencies have the following programs available for assistance:

- Part B Planning Funds--The appropriation for FY 1974 planning grants is \$50,000,000. While the bulk of these funds will be needed for supporting State and local planning agencies, some may be appropriately used for standards and goals activities. (See LEAA Guideline Manual M4100.1B.)
- Part C Action Funds--The appropriation for FY 1974 action grants is \$480,250,000 for Part C funds. While the bulk of these funds will be used to implement action projects, it is permissible to use this source also for standards and goals development. (See LEAA Guideline Manual M4100.1B.)
- Part E Funds (Corrections)--The primary thrust of these funds (\$56,500,000 in 1974) is for construction, acquisition, or renovation of corrections facilities and the improvement of correctional programs and practices throughout the State. While some Part E funds could conceivably be used for the establishment of standards and goals, in the correction area, their major impact will be in the implementation and evaluation phases. (See LEAA Guideline Manual M4100.1B.)

4. Summary

Figure 5, entitled "Selection Guide for Assistance in the Standards and Goals Process," gives a general idea of which resources are appropriate for the major steps in the process. For additional aid, the following LEAA guideline manuals give more specific information regarding how to obtain assistance:

"Guideline Manual--State Planning Agency Grants,"
M4100.1B, LEAA (December 10, 1973).

APPROPRIATE SOURCES OF ASSISTANCE

	OBJECTIVE	Regional Office and Office of Standards and Goals	Regional Office	Regional Office	Central Office	Central Office	SPA and Regional Office
STEP 1	STATUS ASSESSMENT AND STRATEGY DEVELOPMENT	TA	ROTA	RDG			BG
STEP 2	DEVELOPING THE STANDARDS AND GOALS	TA	ROTA	RDG	CODG	NPPG	BG
STEP 3	ADOPTION AND COMMITMENT	TA	ROTA	RDG			BG
STEP 4	INTEGRATION INTO THE COMPREHENSIVE PLAN AND THE PLANNING PROCESS	TA	ROTA				BG
STEP 5	IMPLEMENTATION OF THE STANDARDS AND GOALS	TA	ROTA	RDG	CODG	NPPG	BG
STEP 6	EVALUATION OF STANDARDS AND GOALS ATTAINMENT	TA	ROTA	RDG			BG

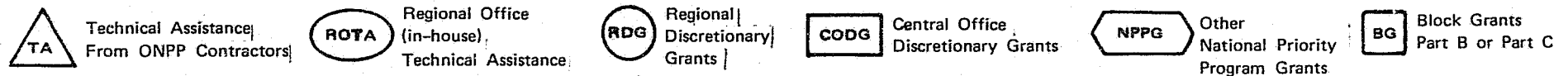


FIGURE 5 SELECTION GUIDE FOR ASSISTANCE IN THE STANDARDS AND GOALS PROCESS

"Guideline Manual--Guide for Discretionary Grant Program," M4500.1B, LEAA (February 26, 1974).

"Guideline Manual--Financial Management for Planning and Action Grants," M7100.1A, LEAA (April 30, 1973).

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May 1974