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**LONG RANGE PLANNING  
FOR THE  
CRIMINAL JUSTICE SYSTEM**

**TRAINING SEMINAR  
SEPTEMBER 1970**

PREPARED FOR  
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION  
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READING ROOM

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**INTRODUCTION**

## 1.0 INTRODUCTION

### 1.1 OBJECTIVES

This manual discusses some of the fundamentals of comprehensive planning for the Criminal Justice System (CJS). It provides a practical framework for planning and the documentation of plans that will enhance the format, terminology, and consistency of state, regional, and local plans.

Included in this manual are the following practical planning aids:

- A framework for approaching CJS problems at various levels of planning within the state
- A methodology for establishing program goals
- Procedures for the development of alternatives for achieving system goals
- A method for selecting a preferred approach from the various alternatives
- A process for translating long-range plans into Annual Action Programs
- Techniques for the appraisal of progress in planning and goal achievement.

Although this manual was designed primarily as a training tool for those involved in CJS planning, it will also serve as a reference desk-book for CJS planners.

## 1.2 GLOSSARY OF TERMS

This glossary defines terms of interest in the sense in which they are used throughout this manual.

Action Grants	The means for accomplishing the Annual Action Program—the provision of funds to the agencies responsible for performing the work
Activity	The specific duties and responsibilities performed by organizations and individuals in carrying out assignments
Alternative	Any of the single courses of action for achieving a goal when two or more courses of action are available
Bounding	The process of establishing limits (boundaries) on a problem to render it more understandable and manageable
Element	A distinct constituent component of a CJS function (operations, personnel and training, facilities and equipment)

## 1.2 (Continued)

Equipment	Includes uniforms, machinery, vehicles, weapons
Facilities	Buildings and grounds
Function	One of a group of related activities which contribute to some predetermined goal, and for which a system, subsystem, organization, or individual is specially fitted or normally used
Goal	The end toward which effort is directed; the purpose of planned actions
Milestones	Points in time at which specified actions are to be taken or accomplishments achieved for work elements within a project or task
Operations	The management of men and equipment
Personnel	Includes recruiting and supporting of CJS manpower
Plan	A designed course of action for achieving a goal

## 1.2 (Continued)

Priority	A preferential ranking of problems or goals according to their importance or criticality
Problem	An existing difficult and unsettled situation requiring a solution that will improve it and make it more acceptable
Project	A well defined and orderly arrangement of tasks, designed to carry out a portion of a plan (in some cases, the entire plan)
Subsystem	A convenient subdivision of a system
Subtask	A convenient subdivision of a large or complex task
System	An entity consisting of an assemblage or combination of parts forming a complex or unitary whole
Task	A major subdivision of a project comprising a set of related activities and usually assigned to a single organization
Training	Involves both formal and on-job education of CJS personnel

**ROLE OF PLANNING IN THE CRIMINAL JUSTICE SYSTEM**



## 2.0 THE ROLE OF PLANNING IN THE CRIMINAL JUSTICE SYSTEM

### 2.1 THE OMNIBUS CRIME CONTROL AND SAFE STREETS ACT

- It is the policy of Congress, and the purpose of Part B of the Omnibus Crime Control and Safe Streets Act, to encourage state and local governments to prepare and implement comprehensive plans for the improvement of law enforcement and criminal justice.
- The Act requires that \$100,000 of the appropriated planning funds be allocated to each state, with the balance of planning funds allocated among states according to their relative populations.
- At least 40 percent of Federal planning funds to a state must be allocated to local units of government so they can participate in the formulation of state comprehensive plans.

## 2.1 (Continued)

- An approved comprehensive state plan is required for a state to be eligible for Part C "action" grants. The plan shall:
  - Be updated and submitted at least annually
  - Provide for administration and monitoring of sub-grants
  - Make available to local government at least 75 percent of Part C funds
  - Provide a balanced allocation of funds between state and local units in accordance with needs
  - Provide a comprehensive outline of priorities for the improvement and coordination of law enforcement and criminal justice
  - Provide for effective utilization of existing facilities and for cooperation among local units of government

## 2.1 (Continued)

- Provide for research and development
- Provide review procedures of State Planning Agency (SPA) actions rejecting an application or terminating assistance to units of local government
- Demonstrate the willingness of state and local government to assume the responsibility for CJS improvement costs after a reasonable period
- Demonstrate the willingness of the state to contribute technical assistance and services for programs and projects
- Ensure that Federal funds will augment, not supplant, state funds available for law enforcement
- Provide fiscal control to ensure proper disbursement and accounting of funds
- Provide for the reporting of information required by the Administration.

## 2.2 ADVANTAGES OF COMPREHENSIVE LONG-RANGE PLANNING

- Promotes identification and analysis of CJS problems at state and local levels
- Aids in the recognition of needs through assessment of existing CJS resources
- Provides a method to define goals that can alleviate CJS problems
- Establishes a framework to guide the assignment of priorities for allocating resources
- Encourages the consideration of various courses of action for reaching a goal and helps in the selection of a preferred choice

## 2.2 (Continued)

- Provides ground rules for coordinating CJS operating agencies at Federal, state, and local levels
- Establishes formats for information reporting at each planning level
- Displays milestones of accomplishment by which to judge progress
- Furnishes information to those who supply program funds at the Federal, state, and local levels
- Enables planning agencies to become goal or output oriented, rather than to remain merely reactive

## **2.3 RESPONSIBILITIES FOR PLANNING**

- SPA's have primary responsibility for planning under the Omnibus Crime Control and Safe Streets Act.
- The Act provides funds for planning and requires submission of comprehensive state plans at least annually.
- SPA's must provide at least 40 percent of Federal planning funds to local government for participation in the formulation of comprehensive state plans.
- SPA's are required to define, develop, and correlate programs and projects for state and local units of government.
- SPA's are required to establish priorities for the improvement of law enforcement throughout the state.
- SPA's have the responsibility to approve or reject local grant applications in accordance with the programs and priorities of comprehensive state plans.

PLANNING PROCESS - AN OVERVIEW

## 3.0 THE PLANNING PROCESS - AN OVERVIEW

### 3.1 DYNAMICS OF LAW ENFORCEMENT PLANNING

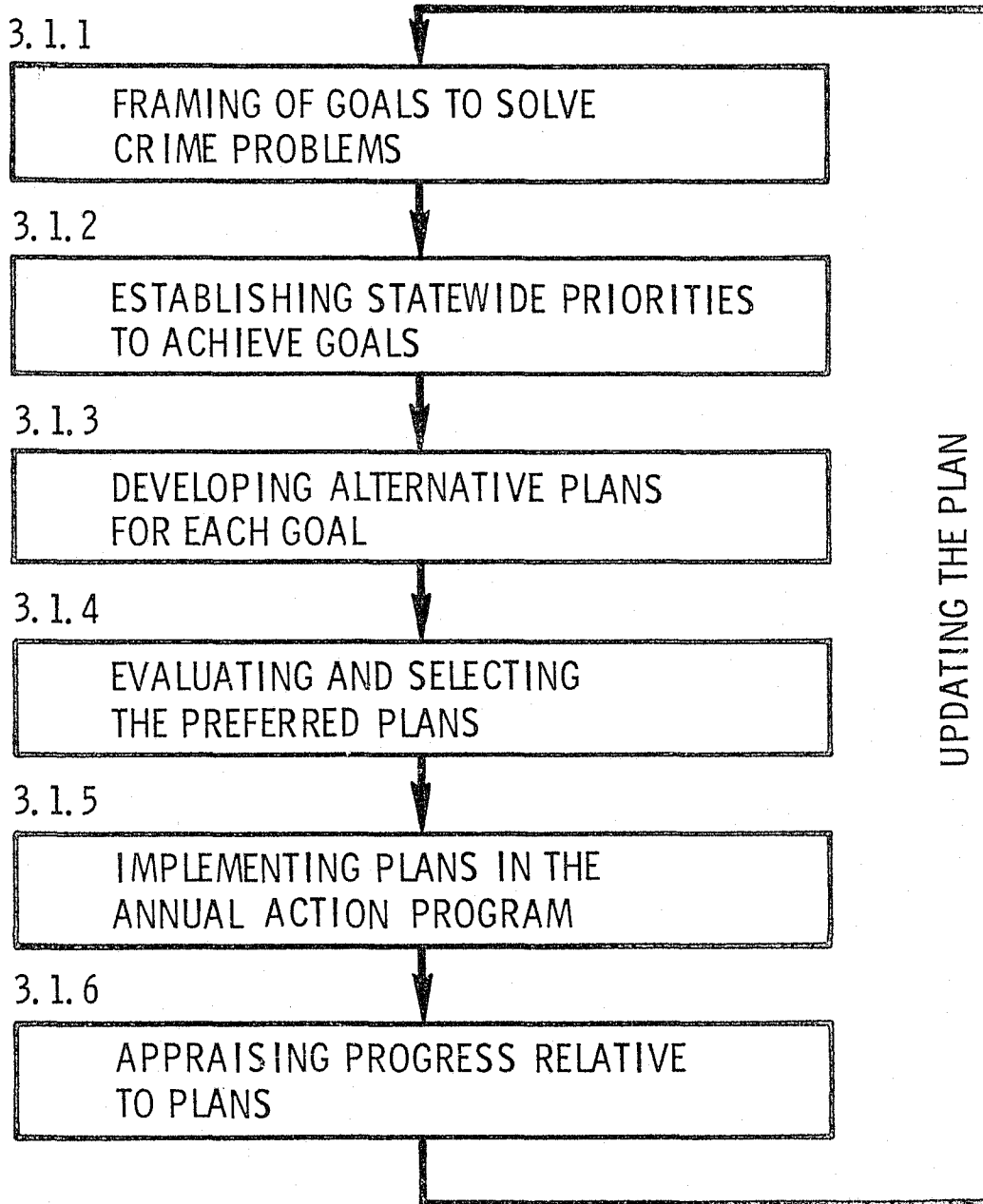
- The planning process is a continual sequence of interrelated planning activities. These activities follow from the appraisal of current programs against established multi-year goals and are reflected in the updating of comprehensive state plans.

#### 3.1.1 THE PROCESS OF FRAMING GOALS

- Assess available problem data.
- Formulate problem definitions.
- Establish goals for achieving solutions to problems.



# CJS LONG RANGE PLANNING PROCESS



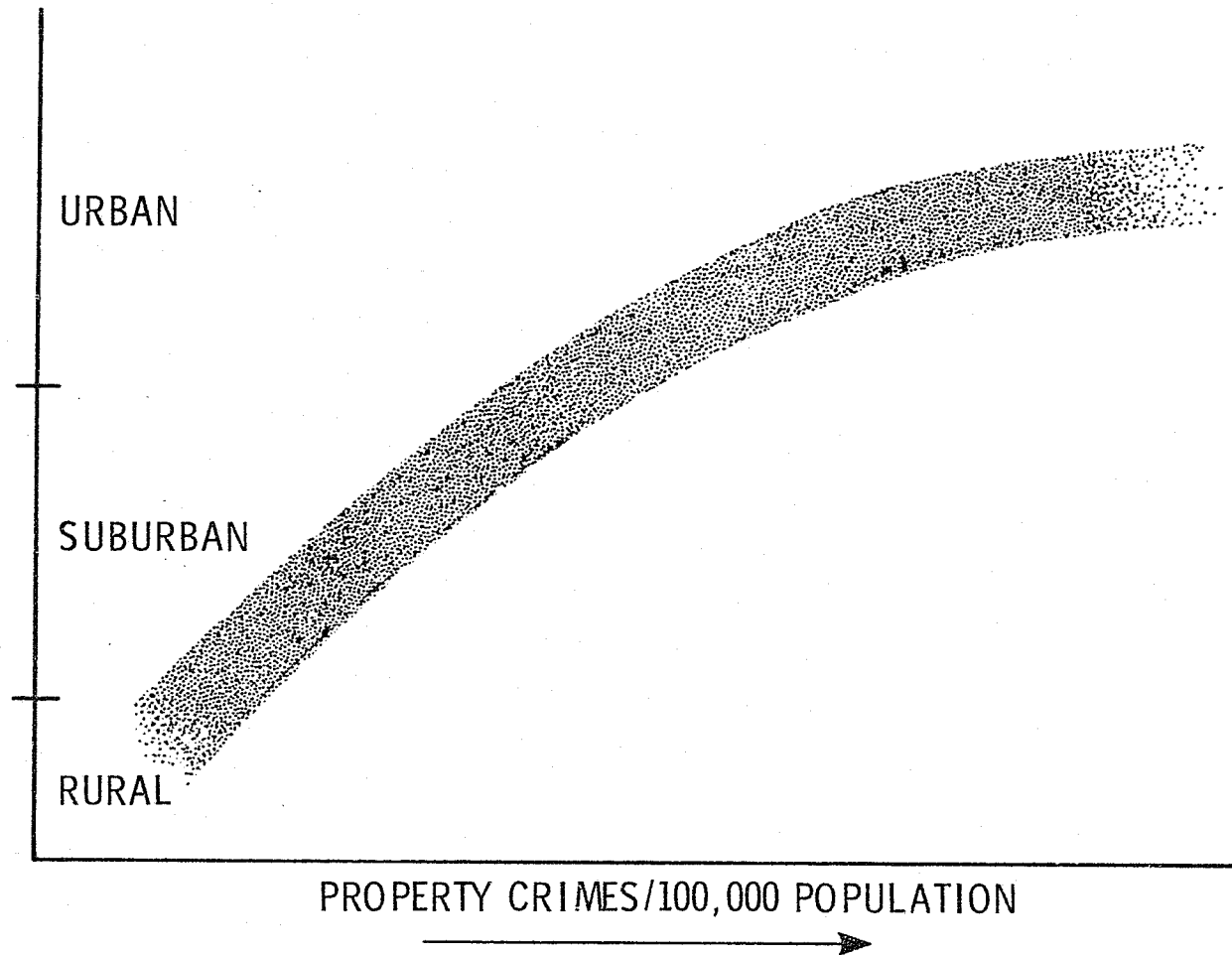
### 3.1.1.1 Assessment of Available Problem Data

- Crime statistics reflect crimes *reported* to police; they typically include:
  - *Volume of crime* - total reported cases
  - *Trends in crime* - annual percent change and long-term (10-year) change
  - *Crime rates* - number of cases/100,000 population
  - *Economic impact* - annual dollar loss/type of crime.
- Crime patterns include the following:
  - Relationships in the occurrence of crimes for various types of crime—including time, location, and any change in the incidence of a given type of crime caused by the impact of CJS actions on other areas of crime
  - Changing locations of crime within regions and cities.

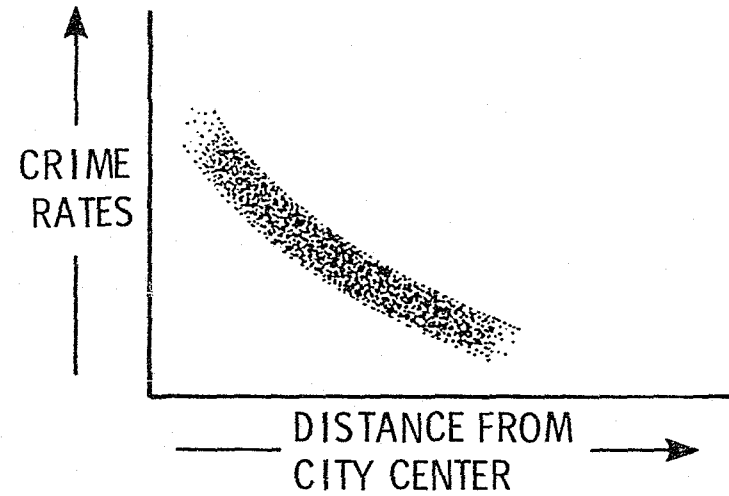
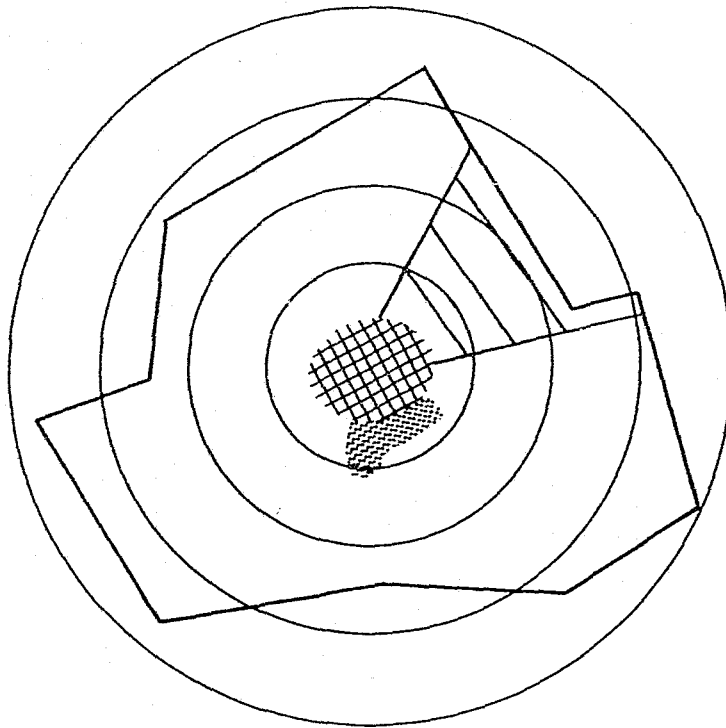
# RURAL-URBAN DIFFERENCES

↑  
POPULATION  
DENSITY  
↓

3-4



# INTRACITY DIFFERENCES



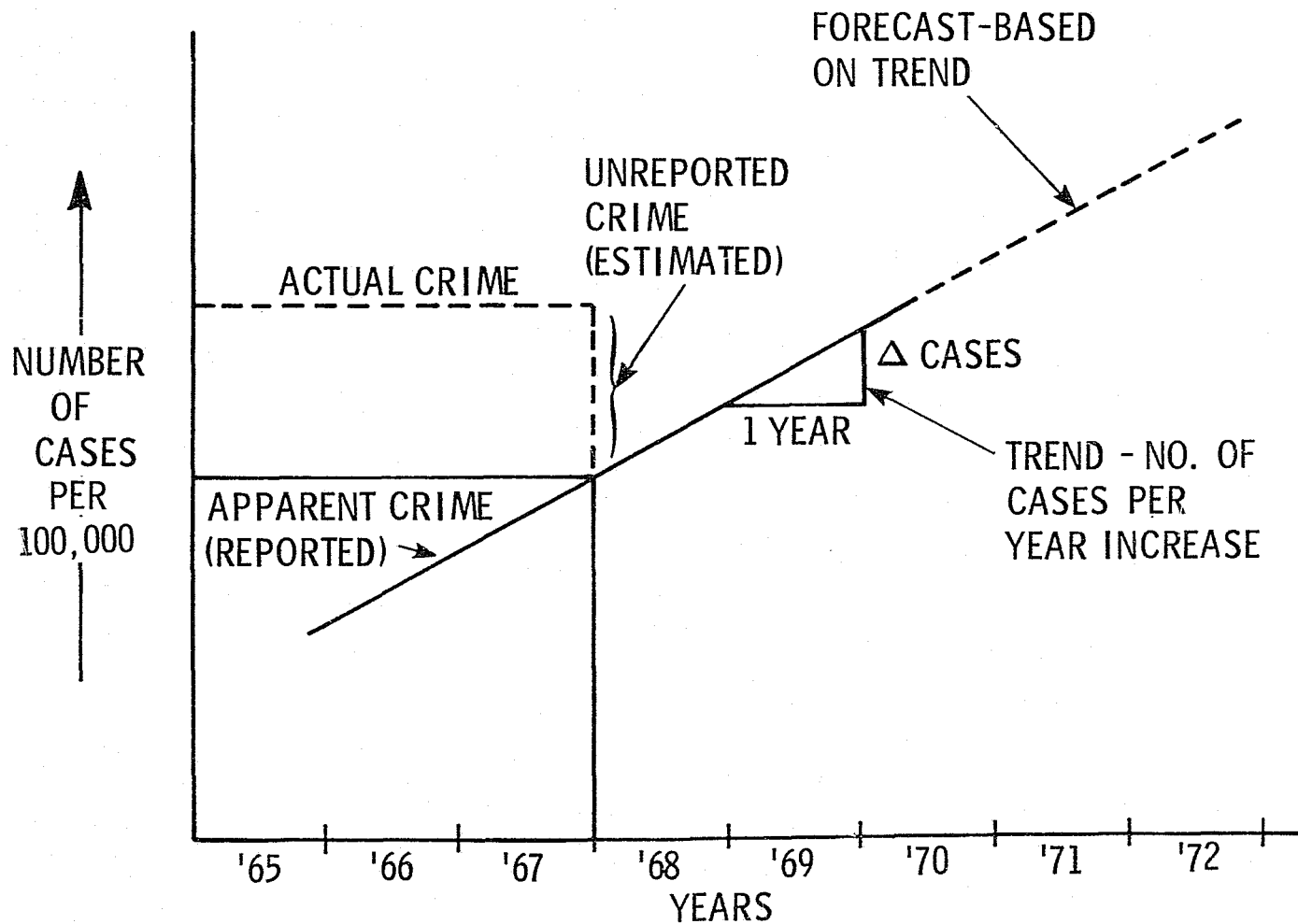
## OFFENSES AND OFFENDERS CONCENTRATED IN AREAS CHARACTERIZED BY:

- LOW INCOME
- PHYSICAL DETERIORATION
- MIXED LAND USAGE
- NON-TRADITIONAL FAMILY PATTERNS
- RACIAL-ETHNIC CONCENTRATIONS
- ISOLATION OF SECTION FROM SOCIETY

### 3.1.1.1 (Continued)

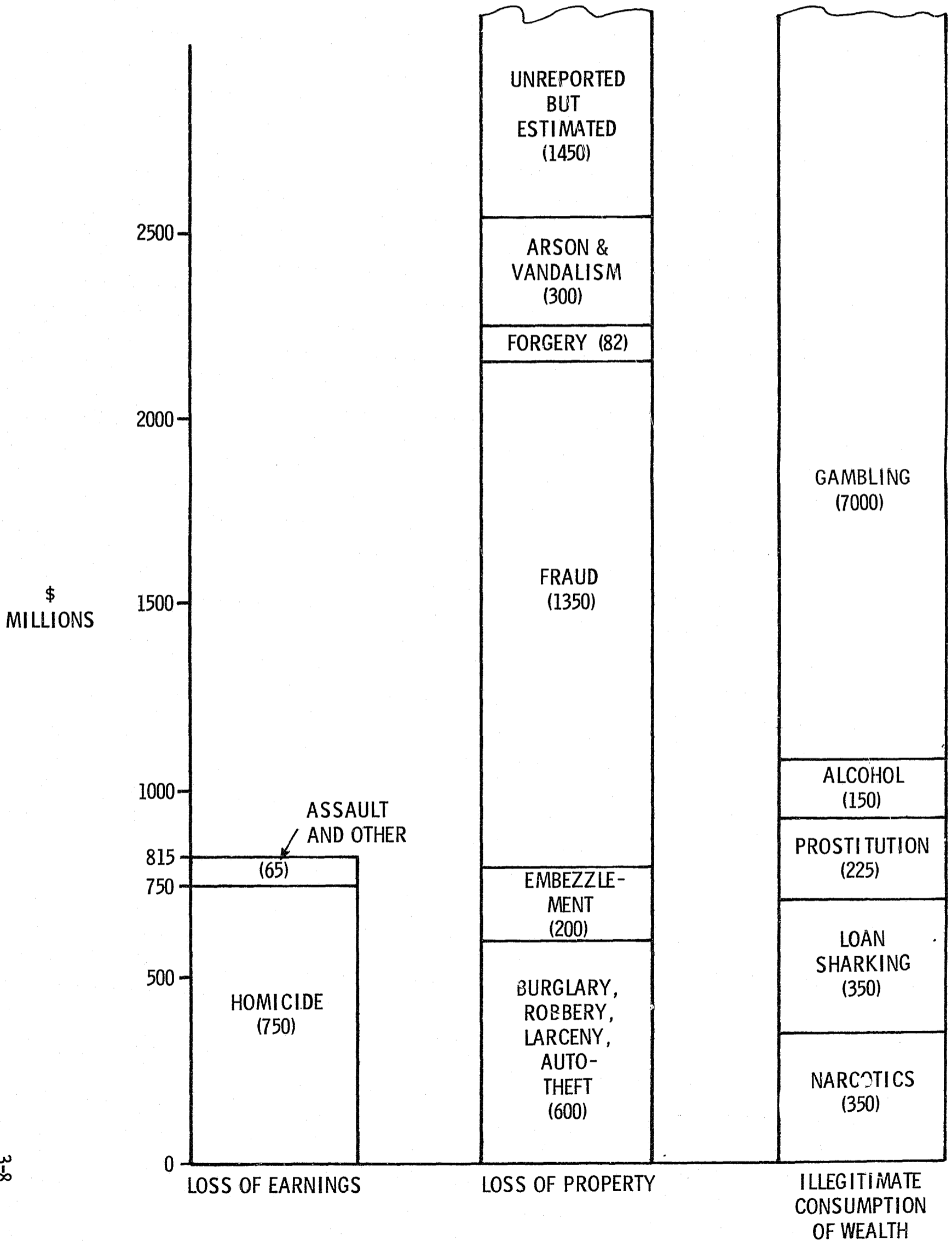
- Crime statistics and crime pattern data can answer the following questions:
  - How fast is the particular crime problem increasing in proportion to the population?
  - How do the annual changes in crime rates compare with the long-term trends in crime rates (6 to 10 years) for the state, region, or city?
  - How do the crime rates and trends compare with those of similar states and cities?
  - What relationships among crime rates and trends are evident in the data?
  - Are changes in the locations of crimes, such as urban, suburban, and rural, evident in the data?

# EXAMPLE OF CRIME STATISTICS



3-7

## ECONOMIC PERSPECTIVE OF CRIME



## CRIME PATTERN CONSIDERATIONS

- RURAL-URBAN DIFFERENCES
- INTRACITY DIFFERENCES
- INTERCITY DIFFERENCES
- REGIONAL DIFFERENCES

REF: "ECOLOGICAL CORRELATES OF CRIME AND DELINQUENCY," DR. JUDITH A. WILKS, TASK FORCE REPORT : CRIME AND ITS IMPACT, pp. 138 +



### 3.1.1.2 Formulation of Problem Definitions

- A problem definition can be formulated in terms of:
  - *Crime Perspective* - narcotics, burglary, organized crime, civil disorders
  - *CJS Perspective* - low arrest rate, delays in court processing, high juvenile recidivism
  - *Environmental Perspective* - low citizen reporting rate, poor public attitude toward law enforcement, exclusion of ex-offenders from employment opportunities.
- Definition of the problem should include both quantitative data and relevant subjective judgment.
  - Quantitative data indicates the magnitude and the changing nature of the problem.
  - Relevant subjective judgment provides for interpretation of the problem and, in the absence of quantitative data, furnishes the only indication of the magnitude of the problem.

### 3.1.2 (Continued)

- Problem definitions should be bounded to enable the development of quantitative goals.
  - Problem definitions should be specific—not “increase in street crime,” but rather “25 percent increase in daytime robberies.”
  - Problem definitions should be localized, that is, identified with particular regions and cities—“25 percent increase in daytime robberies in the three southwestern counties.”
- Problem definitions should reflect demographic considerations.
  - Racial and ethnic considerations
  - Economic conditions
  - Living conditions
  - Employment situations

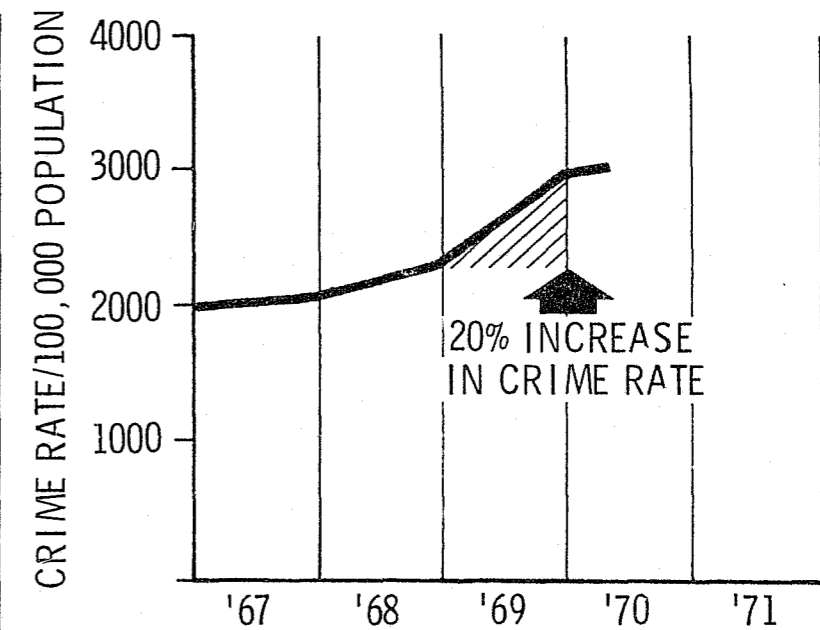
## EXAMPLE OF CRIME PROBLEM DEFINITION

### THE PROBLEM

1. SHARP INCREASE IN CRIMES AGAINST PROPERTY (BURGLARY, LARCENY, & AUTO THEFT) IN SUBURBAN AREAS OF DETROIT IN 1969

20% INCREASE IN CRIME RATE (BURGLARY, LARCENY, & AUTO THEFT) IN 1969

INCREASE IS UNIFORM THROUGHOUT ALL SUBURBAN AREAS OF DETROIT



### 2. RELATED FACTORS

- CITYWIDE CRACKDOWN ON NARCOTICS SUPPLIERS
- EXPANDED USE OF AIR PATROL UNITS IN HIGH CRIME AREAS OF CITY
- 25% INCREASE IN CITY NIGHT PATROL UNITS
- INTRODUCTION OF POLICE-CITIZEN VOLUNTEER PATROLS IN CITY RESIDENTIAL AREAS

### 3. DEMOGRAPHIC CONSIDERATIONS

- 80% OF APPREHENDED OFFENDERS WERE FROM INNER CITY
- OVER 50% OF APPREHENDED OFFENDERS WERE NARCOTICS USERS
- 90% OF APPREHENDED OFFENDERS WERE UNDER 25 YEARS OF AGE

### 3.1.1.3 Establishment of Goals for Achieving Solutions to Problems

- ① Three types of goals exist:
  - *Crime-oriented* - directed to the crime problems themselves (for example, reduce the incidence of juvenile narcotics users by 30 percent in 3 years)
  - *Means-oriented* - directed to the means for combating crime (for example, decrease investigation response time for police patrols in the city by 20 percent in 1 year)
  - *Cause-oriented* - directed to a reduction in the causes of crime (for example, open a treatment center for juvenile addicts in the city in 1 year)

### 3.1.1.3 (Continued)

- Goals should be specific (for example, 20 percent reduction in street crime in Salt Lake City in 2 years).
  - Problem-oriented
  - Quantitative
  - Time-phased
- Goals should be developed for each planning level.
  - A hierarchy of goals, more detailed at the lower levels of planning within the state, will result.
  - The hierarchy should enable goals to be related to the next higher level of planning.
  - The hierarchy should enable the comparison of goals among regions and cities within the state.

### **3.1.2 THE PROCESS OF ESTABLISHING STATEWIDE PRIORITIES TO ACHIEVE GOALS**

- Formulate a state-level policy for crime control and law enforcement.
- Consider public opinion and needs.
- Develop a rationale for ranking goals.

#### **3.1.2.1 Formulation of a State-Level Policy for Crime Control and Law Enforcement**

- A state-level policy for crime control and law enforcement should be formulated to set forth the following:
  - General thrusts of the crime program, such as the relative emphasis between prevention and rehabilitation and between policing and adjudication
  - Areas of responsibility within the CJS for program planning and implementation (for example, should the state develop plans for implementation by regions and cities or should the regions develop plans, pursuant to state guidelines, to be packaged by the state into a comprehensive plan)
  - Definition of the manner in which the CJS is expected to function with other agencies, other programs, and the community.

## EXAMPLE OF STATE POLICY FOR CJS

THE STATE WILL GIVE FOREMOST ATTENTION TO:

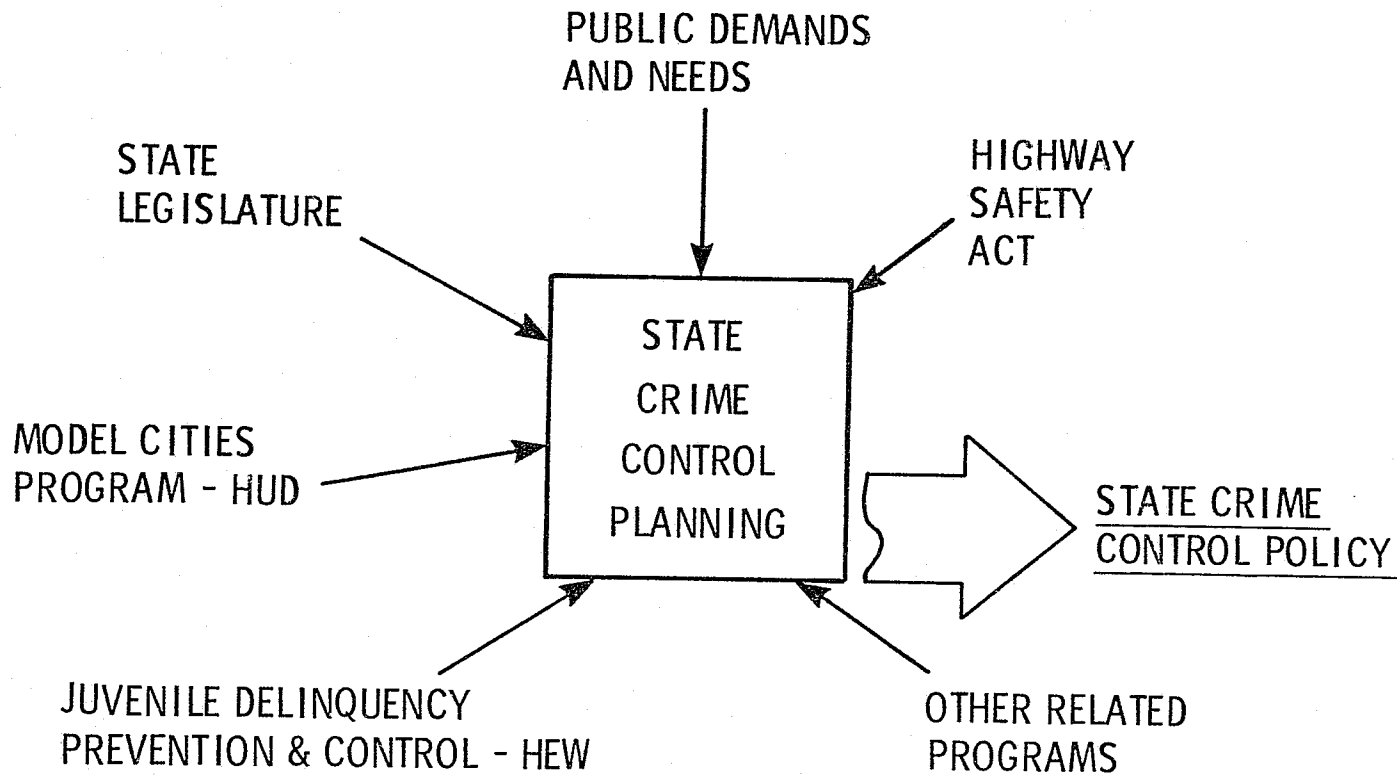
1. INTEGRATED CITY, COUNTY, AND STATE FUNCTIONAL COURT SYSTEM
2. CONSOLIDATED COUNTY LAW ENFORCEMENT SERVICES FOR  
SELECTED ADJACENT COUNTIES
3. STATEWIDE PRE-TRIAL REHABILITATION SERVICES  
AT ALL CITY AND COUNTY DETENTION CENTERS

### **3.1.2.2 Consideration of Public Opinion and Needs**

- Public fear over the magnitude and nature of the crime problem should be considered by those responsible for setting priorities.
- As consumers of CJS services, the public convenience and attitudes should be recognized in planning improvements for CJS functions.
- In improving CJS services, the impact of the cost of the improvements on the public resources must be considered.



# PUBLIC AND OTHER INPUTS



### **3.1.2.3 Development of a Rationale for Ranking Goals**

- A rationale for comparing and ranking problems and goals at each planning level should be developed.
  - The implementation of the state crime policy should be considered in terms of priorities; for example, a policy favoring crime prevention should be translated into priority preferences for goals reflecting this approach.
  - Priority rationales for each level of planning should be relatable to state priorities.
  - A quantitative ranking of priorities is preferable to a subjective list.
  - The scale for assigning priorities should be consistent among regions and cities within a region.

### 3.1.3 THE PROCESS OF DEVELOPING ALTERNATIVE PLANS FOR EACH GOAL

- Define the CJS.
- Determine each CJS function involved in meeting the goal.
- Assess the extent and nature of the contribution for each selected CJS function.
- Define alternative projects for each CJS function involved.

### 3.1.3.1 Definition of the CJS

- Before proceeding with the development of alternative plans, it is necessary to establish a definition of the CJS.
- The CJS is a continuous process with several points of entry and departure. However, to facilitate planning, the CJS can be defined in terms of four basic subsystems:
  - Prevention
  - Policing
  - Adjudication
  - Habilitation.

Each of these subsystems comprises selected criminal justice functions.

## CRIMINAL JUSTICE SYSTEM

SUBSYSTEMS	FUNCTIONS
PREVENTION	COMMUNITY PREVENTION COMMUNITY/CJS AGENCY PREVENTION CJS AGENCY PREVENTION
POLICING	DETERRENCE DETECTION INVESTIGATION IDENTIFICATION APPREHENSION DIVERSION
ADJUDICATION	PROSECUTION/DEFENSE DETERMINATION SENTENCING
HABILITATION	PROBATION COMMUNITY-BASED CORRECTIONS INSTITUTIONAL-BASED CORRECTIONS PAROLE POST-RELEASE SERVICES

### 3.1.3.2 Determination of Each CJS Function Involved in Meeting the Goal

- Examine each function of each CJS subsystem to see if it is involved in meeting the goal. Each involved CJS function must have an *identifiable contribution* to the reduction of the problem and achievement of the goal.

### 3.1.3.2 (Continued)

- A sample problem is shown below:
  - Problem - high incidence of teenage narcotics offenders
  - Goal - reduce number of high-school narcotics users by 25 percent in 2 years
  - Functions involved:
    - . Community prevention
    - . Community/CJS agency prevention
    - . Detection
    - . Investigation
    - . Identification
    - . Apprehension
    - . Diversion
    - . Community-based corrections
    - . Institutional-based corrections
    - . Post-release services

### 3.1.3.3 Assessment of the Extent and Nature of the Contribution for Each Selected CJS Function

- Each CJS function comprises the following elements:
  - Operations
  - Personnel and training
  - Facilities and equipment.
- Examine the elements of each function to determine the manner and extent of its contribution to the solution of the problem.



# CJS FUNCTIONS AND ELEMENTS

		OPERATIONS	PERSONNEL AND TRAINING	FACILITIES AND EQUIPMENT
PREVENTION	COMMUNITY PREVENTION			
	COMMUNITY/CJS AGENCY PREVENTION			
	CJS AGENCY PREVENTION			
POLICING	DETERRENCE			
	DETECTION			
	INVESTIGATION			
	IDENTIFICATION			
	APPREHENSION			
	DIVERSION			
ADJUDICATION	PROSECUTION/DEFENSE			
	DETERMINATION			
	SENTENCING			
HABILITATION	PROBATION			
	COMMUNITY-BASED CORRECTIONS			
	INSTITUTIONAL- BASED CORRECTIONS			
	PAROLE			
	POST-RELEASE SERVICES			

CJS SUBSYSTEMS  
 CJS FUNCTIONS  
 CJS ELEMENTS

### 3.1.3.4 Definition of Alternative Projects for Each CJS Function Involved

- Select the desired combination of elements of the CJS function to involve in achieving the goals. For example:
  - Operations and training
  - Personnel and facilities
  - Personnel and equipment.
- Determine how the plan will achieve the goal.
  - Services provided
  - Elements of society involved
  - Interaction with the offender and victim

## PROJECT PLAN SUMMARY

PROBLEM - LOW APPREHENSION RATE IN ARMED ROBBERY CASES

GOAL - IMPROVE POLICE RESPONSE TIME

PROJECT - PROVIDE POLICE SCOOTER-PATROL UNITS

CJS FUNCTIONS INVOLVED - DETECTION, INVESTIGATION, IDENTIFICATION, APPREHENSION

### ELEMENTS INVOLVED

FUNCTION	OPERATIONS	PERSONNEL & TRAINING	FACILITIES & EQUIPMENT
DETECTION	X	X	X
INVESTIGATION		X	
IDENTIFICATION		X	
APPREHENSION	X	X	X

  
 QUICK  
 RESPONSE

  
 SCOOTER  
 POLICE  
 UNITS

  
 POLICE  
 SCOOTERS

### 3.1.4 THE PROCESS OF EVALUATING AND SELECTING THE PREFERRED PLAN

- Define evaluation criteria.
- Compare and select alternative plans.

#### 3.1.4.1 Definition of Evaluation Criteria Includes the Following Factors:

- *Effectiveness* - impact on the goal stated in quantitative terms
- *Cost* - total cost to achieve the goal, including start-up and sustaining cost
- *Time* - duration of the project with milestones for achievement of the goal
- *Feasibility* - practicality of the plan; technical feasibility within the CJS, both functions and agencies; acceptability of the plan to the community
- *Risk* - likelihood of the plan's achieving the intended goal within estimated time and cost.

## EXAMPLE OF EVALUATION CRITERIA APPLICATION

### THE PROBLEM

- BUSINESS COMMUNITY HAS NOT ACCEPTED REPEAT OFFENDERS FOR EMPLOYMENT

### THE GOAL

- TO PROVIDE JOBS FOR REPEAT OFFENDERS
- 25% OF REPEAT OFFENDERS EMPLOYED IN 1 YEAR
- 80% OF REPEAT OFFENDERS EMPLOYED IN 4 YEARS

### THE PLAN

- SET UP A PILOT PROGRAM BETWEEN INDUSTRY AND CORRECTIONAL INSTITUTIONS:
  1. PRE-RELEASE TRAINING BY INDUSTRY
  2. SET UP INDUSTRY BRANCHES IN INSTITUTIONS
  3. POST-RELEASE EMPLOYMENT GUARANTEED
  4. ONE CORRECTIONAL INSTITUTION TO PARTICIPATE THIS YEAR
  5. ALL SIX CORRECTIONAL INSTITUTIONS PARTICIPATING IN 4 YEARS

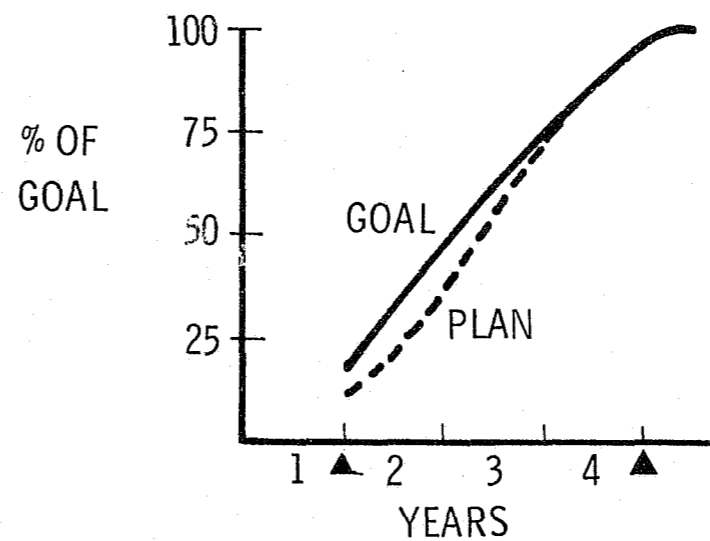
### EFFECTIVENESS

- ONLY 15% REPEAT OFFENDERS EMPLOYED IN FIRST YEAR - DUE TO CURRENT ECONOMIC SITUATION
- 80% TO BE EMPLOYED IN 4 YEARS - PROGRAM EXPECTED TO BE WELL RECEIVED

### COST

\$350	\$500	\$1150	\$1700	\$3700
1970	1971	1972	1973	TOTAL
(\$ x 1000)				

### TIME



### FEASIBILITY

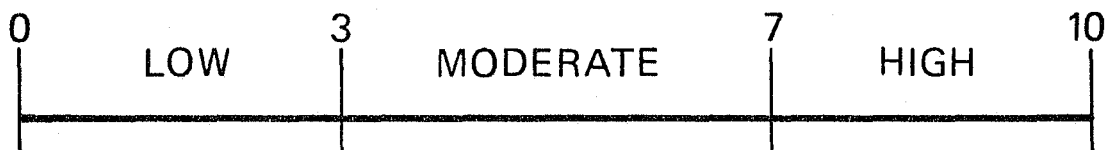
- INDUSTRY HAS INDICATED WILLINGNESS TO COOPERATE (6 FIRMS)
- TECHNICAL - NEED TO EXPAND SOME CORRECTIONAL FACILITIES FOR INDUSTRY BRANCHES
- CONCEPT ACCEPTED BY CJS AS PART OF REHABILITATION PROCESS
- LABOR UNIONS OBJECT AT THIS TIME - BUT FAVOR WHEN GENERAL EMPLOYMENT SITUATION IN THIS AREA IMPROVES

### RISK

- CURRENTLY MODERATE TO HIGH; CANNOT PREDICT WHEN GENERAL EMPLOYMENT SITUATION WILL IMPROVE

### 3.1.4.2 Comparison of Alternative Plans Includes the Following Steps:

- Define the scoring system
  - Assess relative importance of each evaluation criterion
  - Specify a scoring base



- Compare each alternative plan in the context of the scoring system
- Select the plan with the highest score.

### 3.1.5 THE PROCESS OF IMPLEMENTING PLANS IN THE ANNUAL ACTION PROGRAM

- Develop work tasks and schedules
  - Organization considerations
  - Assignment of responsibilities
  - Time-phasing of work tasks by project for each project in the plan
  - Establishment of milestones for accomplishment
- Detail the Annual Action Program
  - Translation of tasks into grants
  - Preparation of task descriptions
  - Estimation of task funding requirements
- Report activities
  - Accomplishments
  - Problems
  - Corrective actions
  - Costs

### 3.1.6 APPRAISING PROGRESS RELATIVE TO PLANS

- Establish appraisal criteria.
- Appraise plans.
- Update plans.

#### 3.1.6.1 The Process of Establishing Appraisal Criteria

- Define expected accomplishments for each work task and the expected impact on the goal.
- Develop performance standards for specifying measures of accomplishment.
- Monitor milestones, including the reevaluation of schedules.
- Monitor actual program costs versus budgets.



### 3.1.6.2 The Appraisal Process Compares Progress to Plans

- The appraisal process is two-fold:
  - Compare reported results relative to plans in terms of appraisal criteria.
  - Assess the impact of the difference between actual and planned results.
- The appraisal process addresses the following questions:
  - To what extent have the planned goals been accomplished?
  - What milestones have been met?
  - What is the impact on the program of those milestones that have slipped?
  - Have expenditures to date exceeded budgeted costs?
  - What is the impact of actual progress on total program costs?

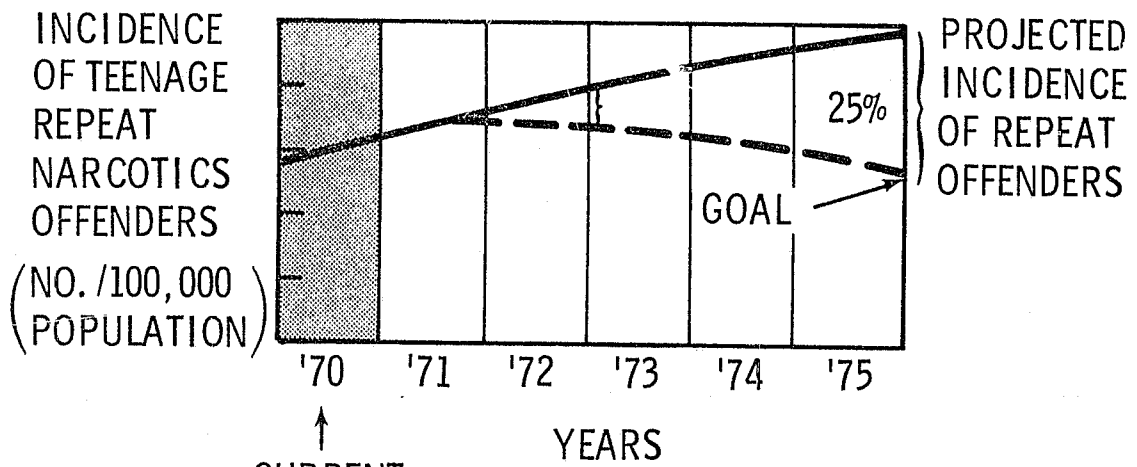
### **3.1.6.3 Updating of Plans Reflects the Dynamic Aspects of Planning**

- Plans are updated to reflect the following:
  - Results of appraisal
  - Changes in problems and priorities
  - Changes in policy, legislation, and technology
  - Changes in the environment
  - Impact of related programs
  - Action-year reporting requirements.

## 3.2 MULTI-YEAR PLANNING

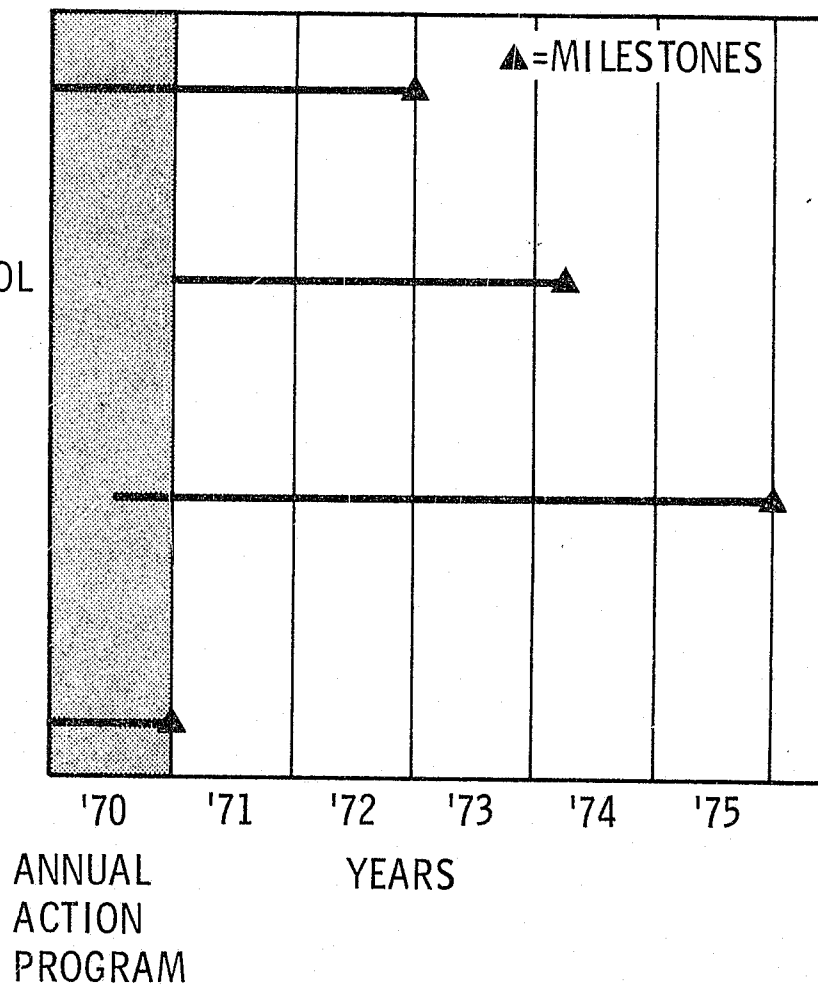
- Multi-year planning involves the development of programs consisting of time-phased steps that span more than 1 year, typically 5 or more years. Problems that cannot be adequately handled in the Annual Action Program can be approached through multi-year planning.

## EXAMPLE OF MULTI-YEAR PLANNING



### PLAN COMPONENTS

1. EXPAND JUVENILE & NARCOTICS UNITS
2. INCREASE NO. OF HIGH SCHOOL COUNSELORS
3. SET UP AND MAINTAIN WALK-IN TREATMENT CENTERS
4. TV & NEWS-PAPER CAMPAIGN



**FRAMING OF GOALS AND DETERMINATION OF PRIORITIES**

## 4.0 FRAMING OF GOALS AND DETERMINATION OF PRIORITIES

### 4.1 DEFINITION AND BOUNDING OF CJS PROBLEMS

- The process consists of three steps:
  - *Step 1* - Definition of the problem perspective (crime, CJS, or community)
  - *Step 2* - Collection and assessment of planning data (for example, crime statistics, CJS characteristics, socioeconomic data, offender and victim data)
  - *Step 3* - Bounding the problems (setting manageable limits for each problem).
- The definition and bounding of the problem must be thoroughly documented.

#### 4.1.1 PROBLEM DEFINITION

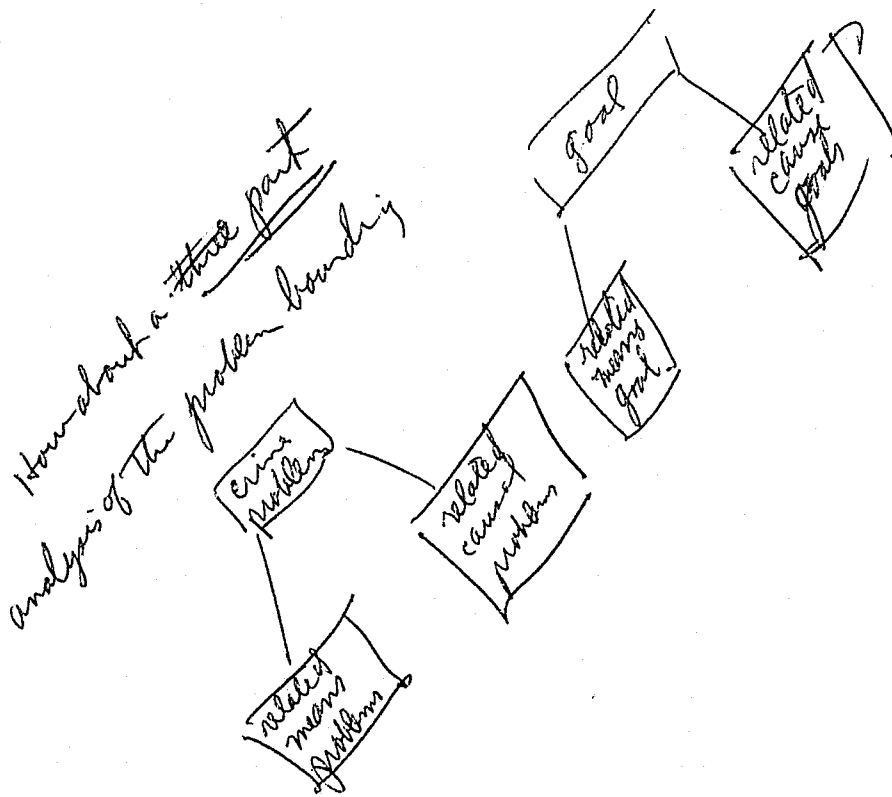
- There are many ways of looking at CJS problems. Some of the more common ways are:
  - *Crime Perspective* - looking at problems by types of crimes, such as narcotics, burglaries, small business crimes, and street crimes
  - *CJS Perspective* - looking at problems in terms of the ability of CJS agencies to provide the type, quantity, and quality of services required of them
  - *Community Perspective* - looking at problems from the viewpoint of the contribution of conditions in the community to crime, citizen attitudes toward the law and law enforcement agencies, and the effect of crime on life in the community.

Any or all problem perspectives can be used in developing CJS comprehensive plans. Typically, all three perspectives are used in these plans.

This approach  
must be modified to reflect  
a crime perspective is always  
most important. The other  
perspectives are subsidiary thereof!

#### 4.1.1 (Continued)

- To be complete the definition of each identified problem must have two principal parts:
  - A description, as precise as possible, of the nature of the problem. This should be a narrative statement that focuses the definition of the problem
  - An estimate of the size or extent of the problem in numerical terms. This estimate is necessary to set the problem boundaries. It requires specific information that can be of two types: quantitative data derived from crime statistics and other numerical information; and informed judgment expressed quantitatively, where possible.





## EXAMPLE OF PROBLEM DEFINITION REQUIREMENTS

### PART 1 - PROBLEM DESCRIPTION

STREET CRIME - BOTH ASSAULT AND ROBBERY - HAS INCREASED RAPIDLY IN THE PAST YEAR IN TOLEDO. THE PERSONAL INJURIES RESULTING FROM ASSAULTS HAVE INCREASED IN FREQUENCY AND SEVERITY. REACTION FROM CITIZEN AND BUSINESS GROUPS REFLECTS CITYWIDE CONCERN. MANY OF THE APPREHENDED OFFENDERS ARE NARCOTICS ADDICTS. THE AVERAGE AGE OF PERSONS ARRESTED FOR THESE CRIMES WAS 20.5 YEARS IN 1969.

### PART 2 - ESTIMATED EXTENT OF PROBLEM

- STREET CRIME INCREASED 68%, PRIMARILY IN LOW-INCOME CORE AREA OF THE CITY.
- ROBBERIES INCREASED 100% FROM 2000 TO 4000 PER 100,000 POPULATION SINCE 1967.
- ASSAULTS INCREASED 124% FROM 1700 TO 3800 PER 100,000 POPULATION SINCE 1967.
- NUMBER OF DISABLING INJURIES INCREASED 50% IN 1969.

## 4.1.2 COLLECTION AND ASSESSMENT OF PLANNING DATA

### 4.1.2.1 Collection of Planning Data

The collection of planning data is a critical step in the definition and bounding of problems. It can be a trap if too much data or the wrong kind of data is collected. To avoid this common pitfall, it is important to be selective in terms of data sources and the collection techniques to be used. The following three steps are recommended:

- *Step 1* - Identify the most likely data sources.
  - National records (FBI Uniform Crime Reports)
  - CJS agency files (police, courts, corrections)
  - Private organizations (charitable groups, foundations, special interest groups, educational institutions, business firms)
  - Literature (books, reports, periodicals)
  - Public inputs (government, citizens)

#### 4.1.2.1 (Continued)

- *Step 2* - Determine the types of planning data needed.
  - Types of crime and incidence rates
  - Trends in crime
  - Capability of CJS agencies in terms of personnel, training, equipment, facilities, and operations
  - Organizational structure of CJS agencies
  - Regulations and policy under which CJS agencies operate
  - Patterns of crime related to community makeup
  - Community environment in terms of employment opportunity, educational opportunity, housing, and recreational facilities

#### 4.1.2.1 (Continued)

- *Step 3* - Determine which data collection techniques will best suit the needs of the planners:
  - Conduct survey by mail-questionnaire.
  - Conduct field interviews with individuals or groups.
  - Review historical record files.
  - Review current regular reports.
  - Review existing special reports.
  - Request special reports.
  - Hold meetings, conferences, and public hearings.
  - Query automated data systems.

The choice of data collection techniques is a function of the following:

- Amount of data needed to define the problem (for example, pertinent crime statistics and numbers of arrests)
- Accessibility of data (for example, format and location)
- Resources available to collect data (for example, time, personnel, and funds).

## TYPICAL CJS PLANNING DATA SOURCES

- POLICE DEPARTMENTS
- SHERIFF'S DEPARTMENTS
- DEPARTMENT OF PUBLIC SAFETY
- BUREAUS OF INVESTIGATION
- POLICE ASSOCIATIONS
- CITY ATTORNEY'S OFFICE
- COUNTY ATTORNEY'S OFFICE
- DISTRICT ATTORNEY'S OFFICE
- STATE ATTORNEY'S OFFICE
- PUBLIC DEFENDER'S OFFICE
- BAR ASSOCIATIONS
- COURT CLERK'S OFFICE
- COURT ADMINISTRATOR'S OFFICE
- JUDGE'S ASSOCIATIONS
- DEPARTMENTS OF CORRECTIONS
- REPORTS OF LOCAL GOVERNMENT ORGANIZATIONS
- REPORTS OF SPECIAL INTEREST GROUPS
- REPORTS OF CJS RESEARCH AND DEMONSTRATION PROGRAMS
- NATIONAL DATA REPORTING SOURCES

#### 4.1.2.2 Assessment of Planning Data

- Planning data is assessed in terms of the following criteria:
  - *Completeness* - the amount of data pertaining to the problem (does the data on assaults and robberies include reports from all precincts in the city?)
  - *Adequacy* - the usefulness of the data in defining the problem (can the data be compiled to support analysis of the selected crime problem?)
  - *Validity* - the quality of the data, its accuracy (is the data recorded uniformly in all precincts?)

#### 4.1.2.2 (Continued)

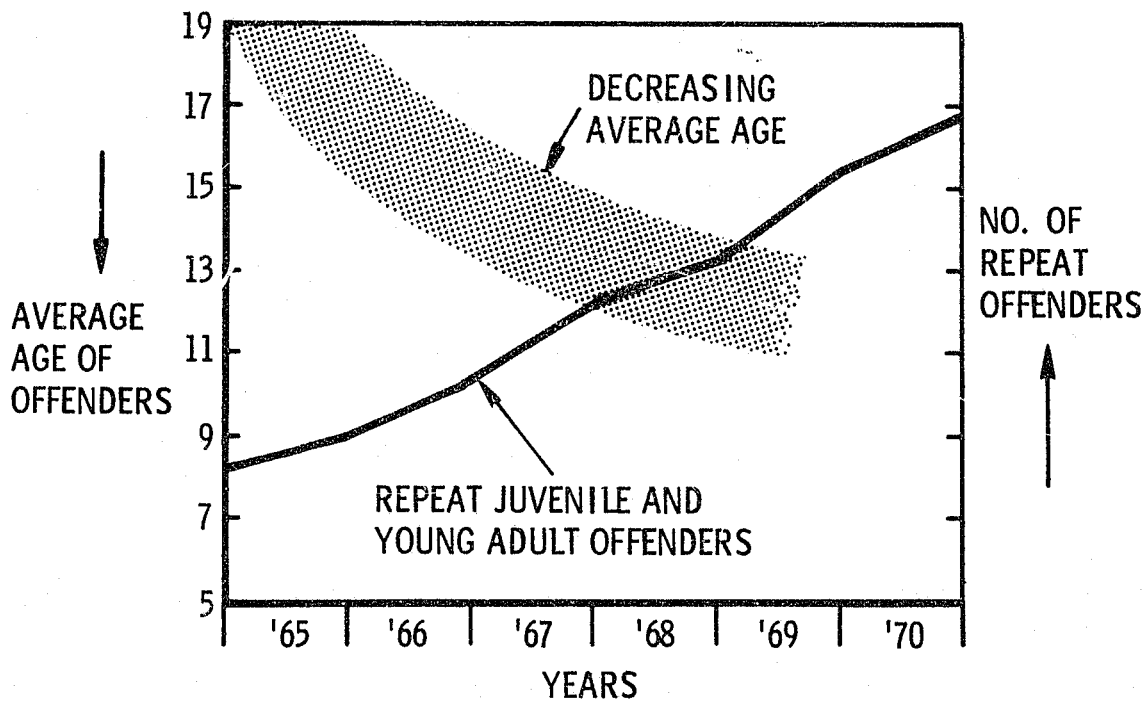
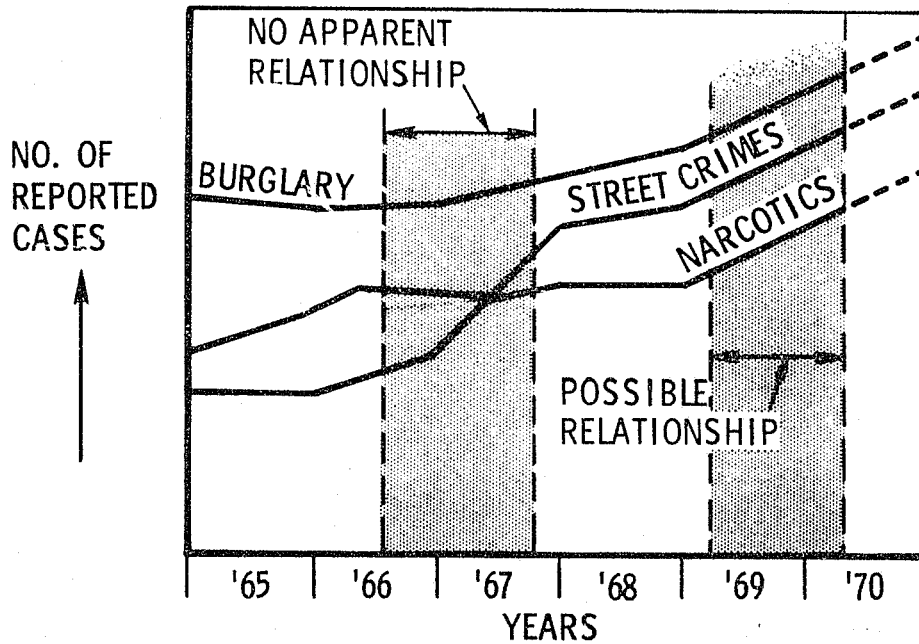
- The planner should also look for data elements that are indicative of relationships between crime and law enforcement problems, such as:
  - Narcotics use - burglaries
  - Narcotics users - organized crime activity
  - Suburban crime - city police coverage
  - Number of police officers - court backlog
  - Recidivism rates - correctional programs
  - Juvenile delinquency - recreational facilities
  - Police training - arrest rate
  - Unemployment rate - crime rate.

#### 4.1.2.2 (Continued)

- Considerations for identifying relationships in the data include:
  - Type of change, increase or decrease (for example, increase in narcotics users and increase in burglaries)
  - Time relationships in the data (for example, time between a change in prosecution policy and reduction of court municipal backlog)
  - Similarities in rates of change (for example, increase in number of robberies and the number of persons in the 18-24 year age group in the city)..



## EXAMPLE OF DATA INDICATING RELATIONSHIPS AMONG CRIME AND LAW ENFORCEMENT PROBLEMS



### 4.1.3 BOUNDING THE PROBLEM

- The definition of a problem, in any perspective, needs to be bounded in scope to be manageable at each level of CJS planning. Problems are bounded in two ways:
  - Magnitude
  - Seriousness.

#### 4.1.3.1 Determining the Magnitude of the Problem

Methods for assessing the magnitude of crime problems include crime statistics and opinions of experts.

- Crime statistics
  - Crime rate (for example, 485 robberies/100,000 population in New York City)
  - Changes in crime rate (for example, 20-percent increase in robbery rate in New York City last year)
- Opinions of experts - judgmental estimates
  - Relative qualitative assessment of crime problems (for example, "Burglary has risen in suburban areas of our region because of the increase in narcotics offenses among teenagers.")
  - Use of expert judgment to interpret raw data (for example, "An increase in street crimes, from 2000 to 4000 in the last year, reflects the increase in the narcotics problem among young adults.").

#### 4.1.3.2 Determining the Seriousness of the Problem

- Methods for assessing the seriousness of crime problems include:
  - Public attitude and reaction to the problem (for example, complaints at precinct and city hall levels, newspaper editorials)
  - Relative contribution of the problem to the overall crime problem (for example, personal injury and property loss for this crime relative to all crime in the city)
  - Effect of the problem on the socioeconomic environment of the community (for example, public fear, exodus from cities, business failures).

## BOUNDING OF PROBLEMS

1. THE RECOGNIZED PROBLEM:

STREET CRIME - BOTH ASSAULT AND ROBBERY - HAS INCREASED RAPIDLY IN THE PAST YEAR

2. MAGNITUDE (CRIME STATISTICS - REPORTED CASES):

	<u>1968</u>	<u>1969</u>
ROBBERIES:	2000/100,000 POP.	4000/100,000 POP.
ASSAULTS:	1700/100,000 POP.	3800/100,000 POP.
COMBINED TOTAL REPORTED CASES:	2500/100,000 POP.	4200/100,000 POP.

REPRESENTS A 68% INCREASE

3. EXPERT OPINION:

- BUREAU OF NARCOTICS NOTES A RELATIONSHIP BETWEEN THE INCREASE IN COST OF DRUGS RESULTING FROM THE CRACKDOWN ON SUPPLIERS AND THE DESPERATION OF ADDICTS, CAUSING THEM TO COMMIT STREET CRIMES
- EMPLOYMENT SERVICE NOTES THAT HIGH UNEMPLOYMENT RATE AMONG YOUNG ADULTS HAS BEEN PERSISTENT FOR THE YEAR

4. SERIOUSNESS

(1) PUBLIC REACTION

- CITIZEN COMPLAINTS HAVE TRIPLED IN FREQUENCY IN LAST 3 MONTHS
- CIVIC ORGANIZATIONS HAVE SUBMITTED FORMAL LETTERS OF COMPLAINT
- CITY OFFICIALS HAVE FORMED A STREET CRIME REDUCTION COMMITTEE

(2) CONTRIBUTION TO OTHER CRIMES

- PREVALENCE OF STREET CRIME APPEARS TO BE A CATALYST FOR MORE JUVENILE DELINQUENCY
- HIGH COST OF DRUGS REFLECTS A CRACKDOWN ON ORGANIZED CRIME SUPPLIERS
- SMALL BUSINESS CRIMES (AGAINST GAS STATIONS, LIQUOR STORES, SMALL MERCHANTS) HAVE SHOWN MARKED INCREASE THROUGHOUT THE CITY

5. CONSIDERATIONS FOR BOUNDING THE PROBLEM

IMPORTANT FACTORS

HOW MUCH INCREASE	● 68% IN ONE YEAR - 2500 TO 4200 PER 100,000 POP. BETWEEN '68 AND '69
WHAT TYPE OF STREET CRIME	● ROBBERIES: 100% IN ONE YEAR - 2000-4000 PER 100,000 POP. ● ASSAULTS: 124% IN ONE YEAR - 1700-3800 PER 100,000 POP.
EXPERT OPINION	● INCREASE IN DRUG COST ● INCREASED ADDICT DESPERATION ● PERSISTENT HIGH UNEMPLOYMENT AMONG YOUNG ADULTS
SERIOUSNESS	● INJURIES BECOMING MORE SEVERE ● MORE HOMICIDES
CJS FACTORS	● APPREHENSION RATE DECLINING ● NO. OF FOOT AND CAR PATROLS HAS NOT INCREASED

THE BOUNDED PROBLEM

STREET CRIME HAS INCREASED 68% IN ONE YEAR BECAUSE OF:

- DESPERATION OF NARCOTICS ADDICTS DUE TO INCREASED COST PER HABIT
- HIGH UNEMPLOYMENT AMONG YOUNG ADULTS
- INADEQUATE POLICE PATROLS

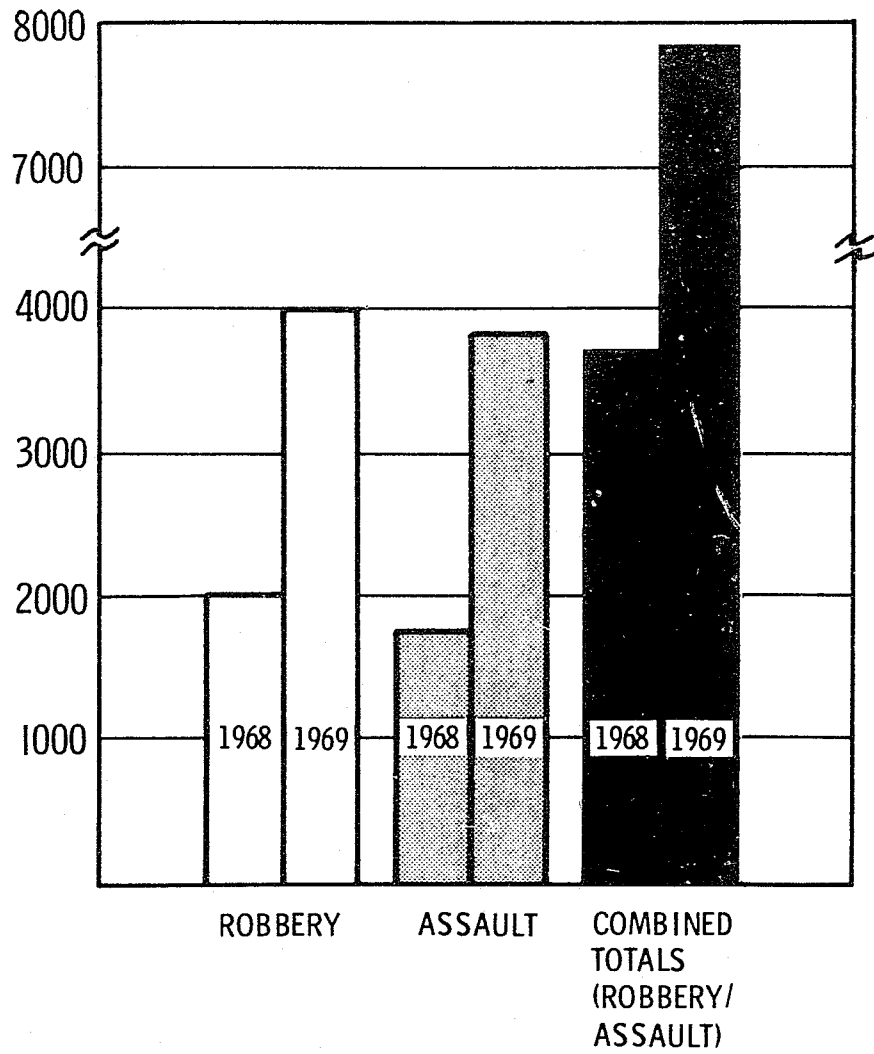
#### 4.1.4 DOCUMENTATION OF THE PROBLEM

- Problem documentation serves two primary purposes:
  - Creation of the basic planning record
  - Means of communication among planners, officials, and the public.
- In addition to the statement of the bounded problem, the documentation should identify:
  - Data sources used with brief justification
  - Data sources considered but not used with statement of reasons
  - Area of the state affected by the problem
  - Population affected by the problem and benefiting from its solution
  - CJS organizations involved and the role they serve.
- The documentation should include graphical descriptions of the problem, where possible, to aid in minimizing the amount of text required for description and justification.

**PROBLEM DATA IN TABLE FORM**

TYPE CRIME	RATE PER 100,000 POPULATION		PERCENT INCREASE ( '68 - '69)
	1968	1969	
ROBBERY	2000	4000	100
ASSAULT	1700	3800	124
COMBINED TOTALS ROBBERY/ASSAULT	3700	7800	<del>224</del> 111

# PROBLEM DATA IN CHART FORM



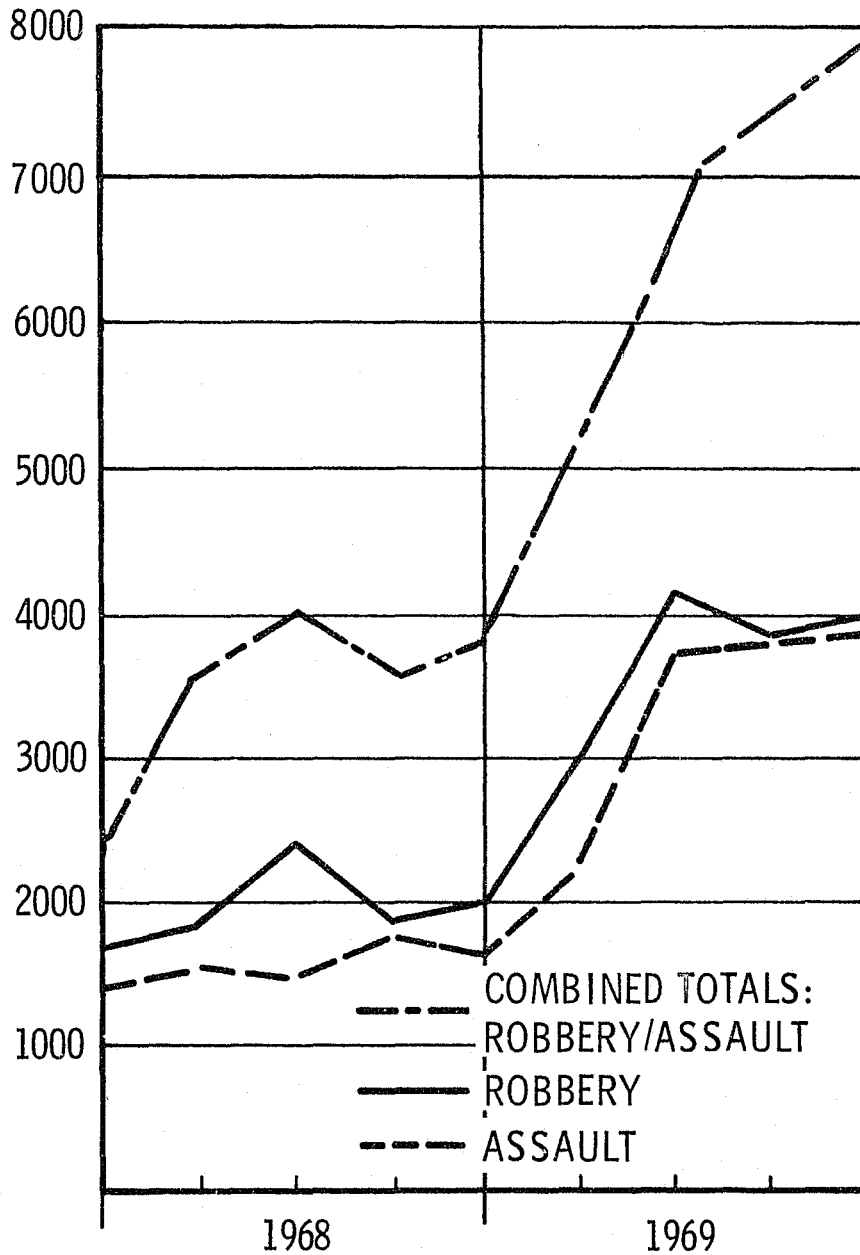
4-19

CRIME RATE -  
NO. /100,000  
POPULATION



# PROBLEM DATA IN GRAPH FORM

CRIME  
RATE -  
NO. /100,000  
POPULATION



## 4.2 DEVELOPMENT OF GOALS

### 4.2.1 DEFINITION OF GOALS (Objective)

- Goals provide a target for accomplishment leading to the reduction of a crime problem.
- Goals define the extent of the impact on the problem.

### 4.2.2 TYPES OF GOALS

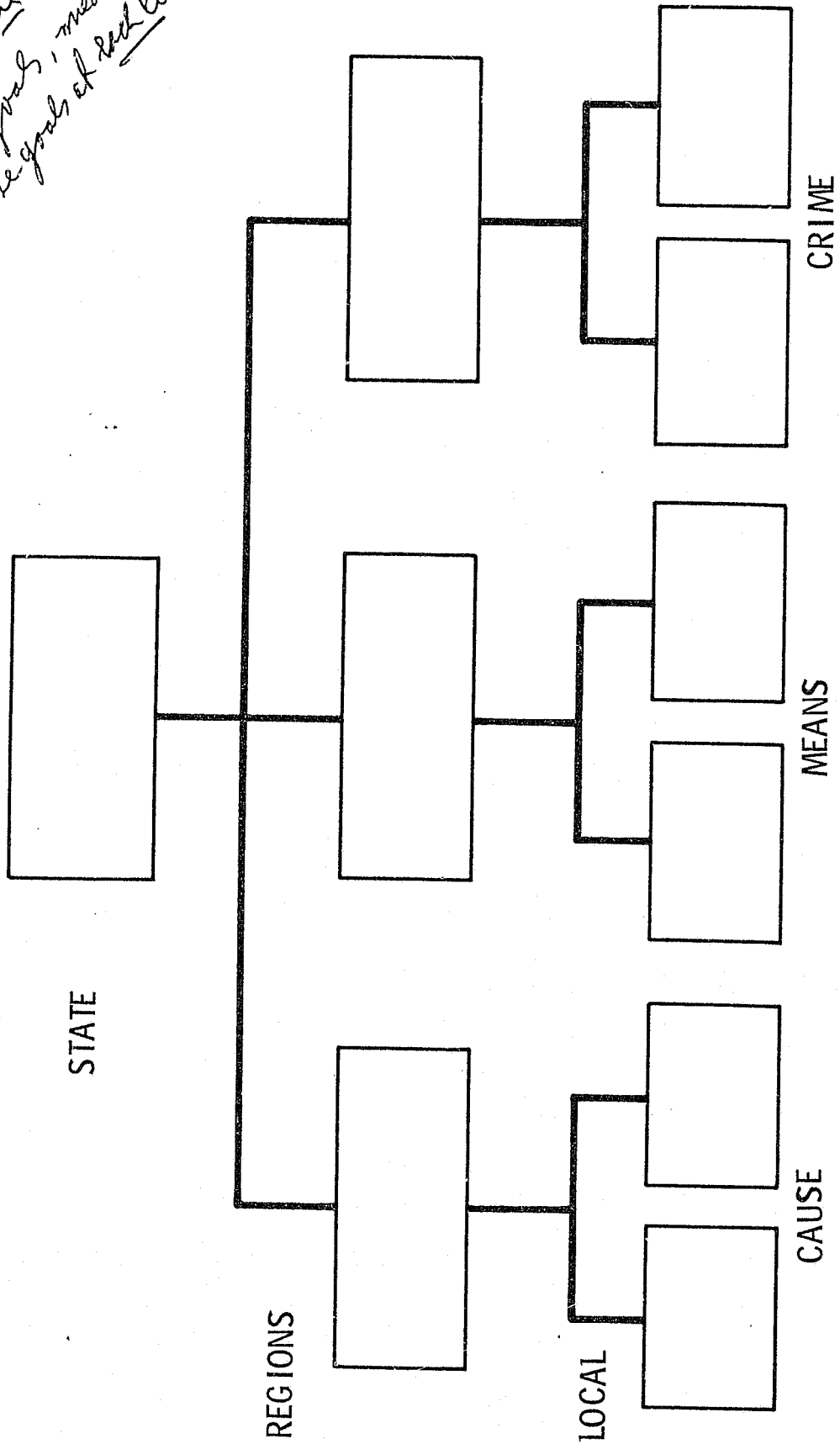
- *Crime-oriented* - those goals directed toward a specific crime problem concept but
- *Means-oriented* - those goals directed toward the means of combating crime means  
(i.e., *reduction oriented goals*)
- *Cause-oriented* - those goals directed toward the causes of crime

### 4.2.3 HIERARCHY OF GOALS

- Goals should be defined for each level of planning.
  - State
  - Regional
  - Local
- Goals at each level of planning should be related to the next higher level. *did say "lower" rather than "higher!" how*
  - Local related to regional goals
  - Regional related to state goals
- Specific detail of goals should vary with the level of planning.

# HIERARCHY OF GOALS

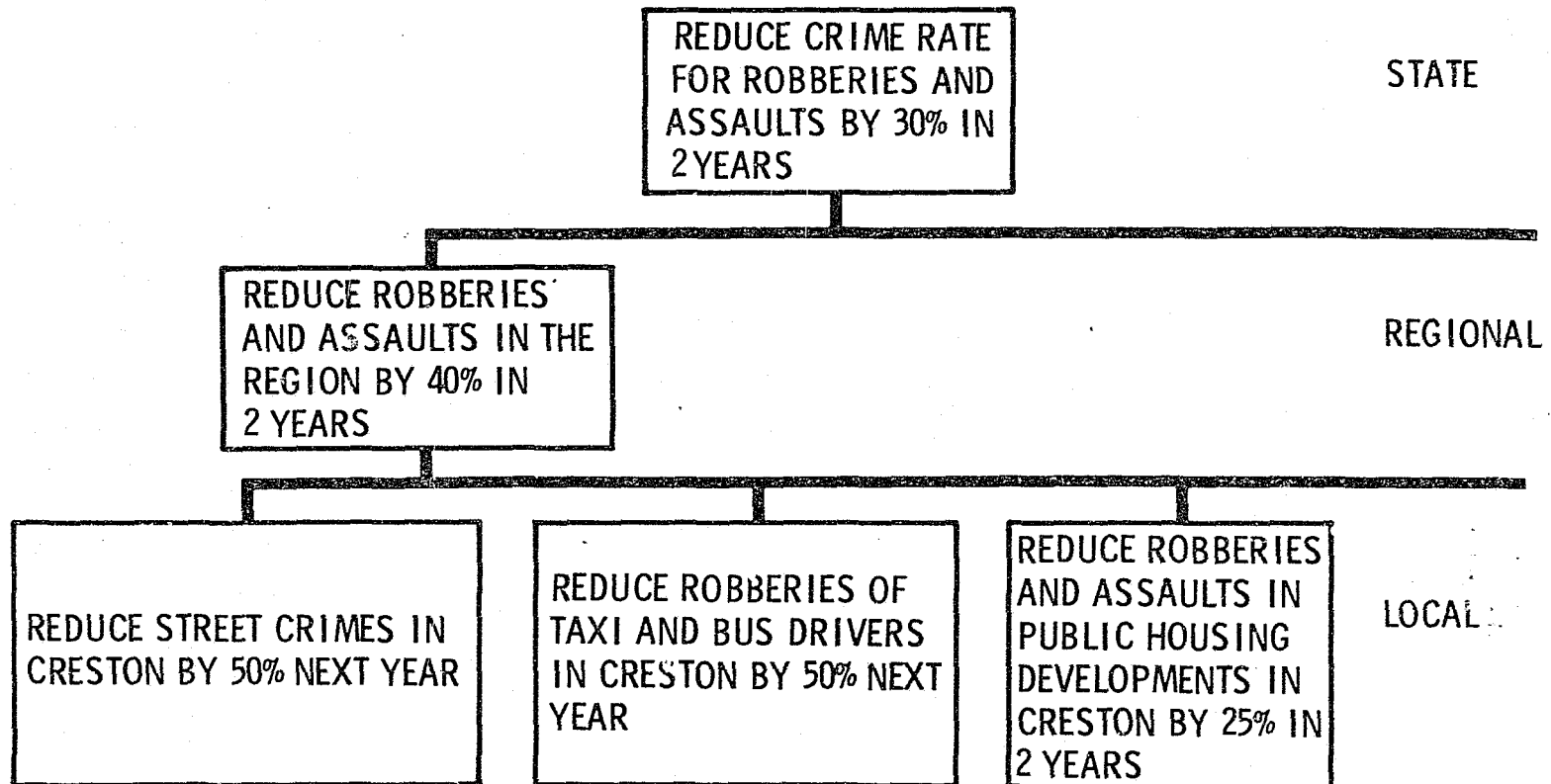
*showed de-motivated  
state of true hierarchy  
of crime goals, main goals  
& cause goals of see level!!*



no change needed  
a

### EXAMPLE OF CRIME-ORIENTED GOALS

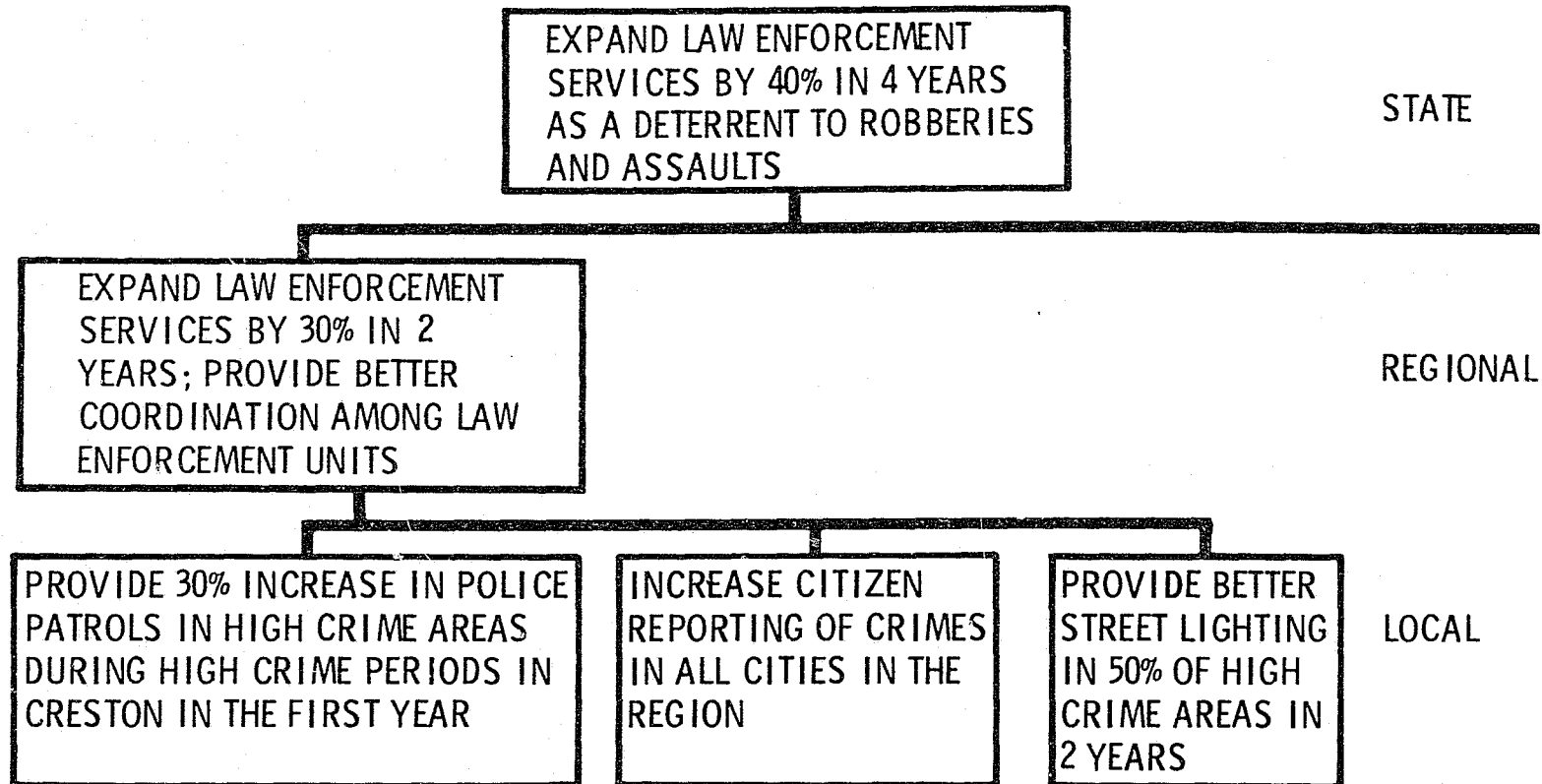
PROBLEM: A 25% INCREASE LAST YEAR IN ROBBERIES AND ASSAULTS IN LOW-INCOME RESIDENTIAL AREAS OF CITIES



4-24

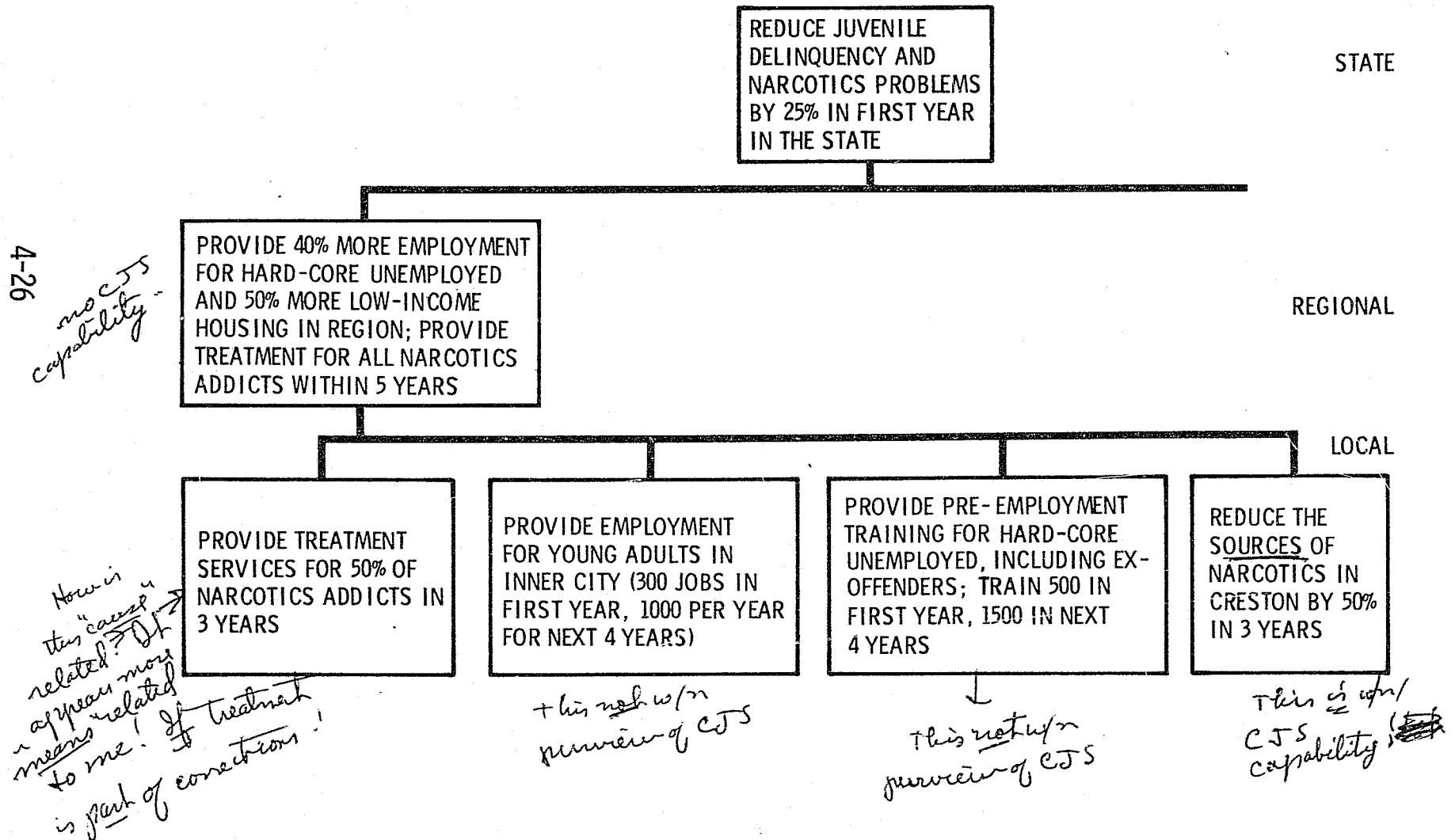
## EXAMPLE OF MEANS-ORIENTED GOALS

PROBLEM: A 25% INCREASE LAST YEAR IN ROBBERIES AND ASSAULTS IN LOW-INCOME RESIDENTIAL AREAS OF CITIES



## EXAMPLE OF CAUSE-ORIENTED GOALS

PROBLEM: 25% INCREASE IN ROBBERIES AND ASSAULTS IN LOW-INCOME RESIDENTIAL  
AREAS OF CITIES - OVER 50% OF ARRESTED OFFENDERS WERE JUVENILE  
NARCOTICS ADDICTS



#### 4.2.4 DEVELOPMENT OF GOALS

- The procedure for developing goals is as follows:
  - Examine statement or definition of the problem.
  - Assess the extent of contribution of current CJS programs and services.
  - Select a level of impact on the crime problem. 70
  - Specify the impact in terms of a quantitative time-phased goal. !



**EXAMPLE OF RELATIONSHIPS BETWEEN  
PROBLEMS AND GOALS**

PROBLEM PERSPECTIVE	TYPE OF GOAL
<p>CRIME - 25% INCREASE IN ASSAULTS ON STREETS OF INNER CITY</p>	<p>CRIME - REDUCE STREET CRIME BY 40% IN INNER CITY WITHIN 2 YEARS</p>
<p>CJS - HIGH BACKLOG OF CASES IN CIRCUIT COURTS</p>	<p>MEANS - REDUCE AVERAGE TIME TO PROCESS FELONY CASES BY 30% FROM FIRST JUDICIAL APPEARANCE THROUGH SENTENCING (100 TO 70 DAYS)</p>
<p>COMMUNITY - HIGH UNEMPLOYMENT AMONG YOUNG ADULT EX-OFFENDERS</p>	<p>CAUSE - ADD VOCATIONAL TRAINING AND JOB PLACEMENT TO POST RELEASE SERVICES - SERVICE ALL EX-OFFENDERS WITHIN 3 YEARS</p>

#### 4.2.5 QUANTIFICATION OF GOALS

- Goals should be quantified and time-phased to provide the foundation for appraisal, for example:

- Reduce juvenile narcotics cases by 20 percent in 2 years
- Improve the ratio of arrests to reported crimes by 25 percent in 3 years
- Increase community-based correctional programs by 50 percent in 4 years.

*crime goal*  
*means*  
*goal*  
*means goal*

- Quantified goals should be related to crime, CJS, and community problem perspectives, for example:

- Reduce rate of crimes against small business in the central business area by 15 percent in 1 year
- Increase the number of foot patrols in the central business area by 20 percent
- Improve juvenile court processing time for misdemeanor cases by 25 percent in one year
- Organize a police cadet program to employ 100 youths from the model cities area of the community in 3 months.

## 4.3 ESTABLISHMENT OF PRIORITIES

### 4.3.1 DEFINITION OF PRIORITIES AMONG GOALS

- Priorities are indications of precedence among CJS goals and need to be established for two reasons:
  - Priorities provide the means of formal recognition of the relative importance among the goals to accomplish solutions to problems.
  - Priorities recognize the existence of resource limitations that may preclude or defer realization of all goals and aid in making decisions for resource allocations.

#### 4.3.2 ESTABLISHMENT OF PRIORITIES AT EACH LEVEL OF PLANNING

Priorities should be established for each level of planning, to match the hierarchy of goals.

- State Priorities

- Generally reflect the aggregation of local and regional priorities for the same or higher level goals
- Indicate that certain critical CJS problems exist statewide and that local CJS goals often can better be met through large-scale cooperative programs

- Regional Priorities

- Indicate that certain CJS problems exist on a regional basis and that local goals often can better be satisfied through regional cooperative programs with regional goals
- Reflect problems and goals peculiar to the region

- Local Priorities

- Reflect the importance of goals in the local community, some of which may be unique to that community.

### 4.3.3 CRITERIA FOR ESTABLISHING PRIORITIES

- A decision to pursue a goal, i.e., to solve a problem, should be based on evaluation of its significance relative to all goals at that level of planning.
- The principal ways of measuring of importance of a CJS goal are:
  - *Intensity* of a specific crime problem to which the goal is directed
  - *Needs* of CJS in fulfilling its role
  - *Gain* to be realized, in terms of maximum public benefit.

#### 4.3.4 WHO ESTABLISHES PRIORITIES?

- Priorities can be established by:
  - A single authoritative individual (for example, governor, mayor)
  - Two or more representatives of a single authority (for example, municipal crime control council)
  - Groups concerned with all problems and goals (for example, regional planning councils).

● The individual or group establishing priorities should be responsible for all CJS planning at that level.

*establish goals*

● Priorities should be ranked numerically and, regardless of the ranking method used, should be capable of logical justification.

*↓  
ie, subjective*

#### 4.3.5 TECHNIQUES FOR RANKING PRIORITIES

- Although facts and hard data alone will indicate the desirable priority level, in some cases the procedure for establishing priorities is largely judgmental. The most likely techniques for ranking priorities are:
  - Dictates of single authorities
  - Group voting (majority opinion)
  - Numerical scoring methods.

The first two techniques are self-explanatory. Numerical scoring methods for priority ranking need not be complex; they need only produce an ordering that reflects the judgment of those responsible for setting priorities.

- A suggested method is to select a scale of values, say 1 to 10, and rank the goals on that scale according to importance:
  - 1-3 Generally beneficial
  - 4-7 Important for law enforcement
  - 8-10 Critical to social stability

**CONTINUED**

**1 OF 3**



## EXAMPLE OF PRIORITIES

### VOTER SCORE

TEAM MEMBER GOALS TO REDUCE:	1	2	3	4	5	AVG. SCORE	RANK
JUVENILE NARCOTICS	7	10	5	6	8	7.2	2
ADULT RECIDIVISM IN UNEMPLOYED	3	8	4	6	5	5.2	6
CRIMES AGAINST SMALL BUSINESS	7	6	7	7	5	6.4	4
CIVIL DISORDERS	2	0	5	4	5	3.2	7
LOW RATIO OF ARRESTS TO CRIMES REPORTED	8	7	10	7	7	7.8	1
EXCESSIVE DELAYS IN COURT PROCESSING	10	9	5	5	5	6.8	3
COSTS FOR INSTITUTIONAL CORRECTIONS	3	6	8	5	6	5.6	5

#### PRIORITY SCALE:

- 1-3 GENERALLY BENEFICIAL TO CJS AND COMMUNITY
- 4-7 IMPORTANT FOR LAW ENFORCEMENT
- 8-10 CRITICAL TO SOCIAL STABILITY

**DEFINITION AND DEVELOPMENT OF ALTERNATIVE PLANS**

## 5.0 DEFINITION AND DEVELOPMENT OF ALTERNATIVE PLANS

### 5.1 DEFINITION OF ALTERNATIVE PLANS

- The development of alternative plans follows from the definition of the problem and the establishment of a goal for achieving a solution to the problem.
- A *plan* is a designed course of action for achieving a goal.
- Each alternative plan contains one or more *projects* that have been developed as a means of achieving the goal.

## 5.2 DEVELOPMENT OF ALTERNATIVE PLANS

### 5.2.1 DEFINITION OF THE CJS FUNCTIONS

- To develop alternative plans to achieve established goals, the CJS should be examined in terms of its functions.

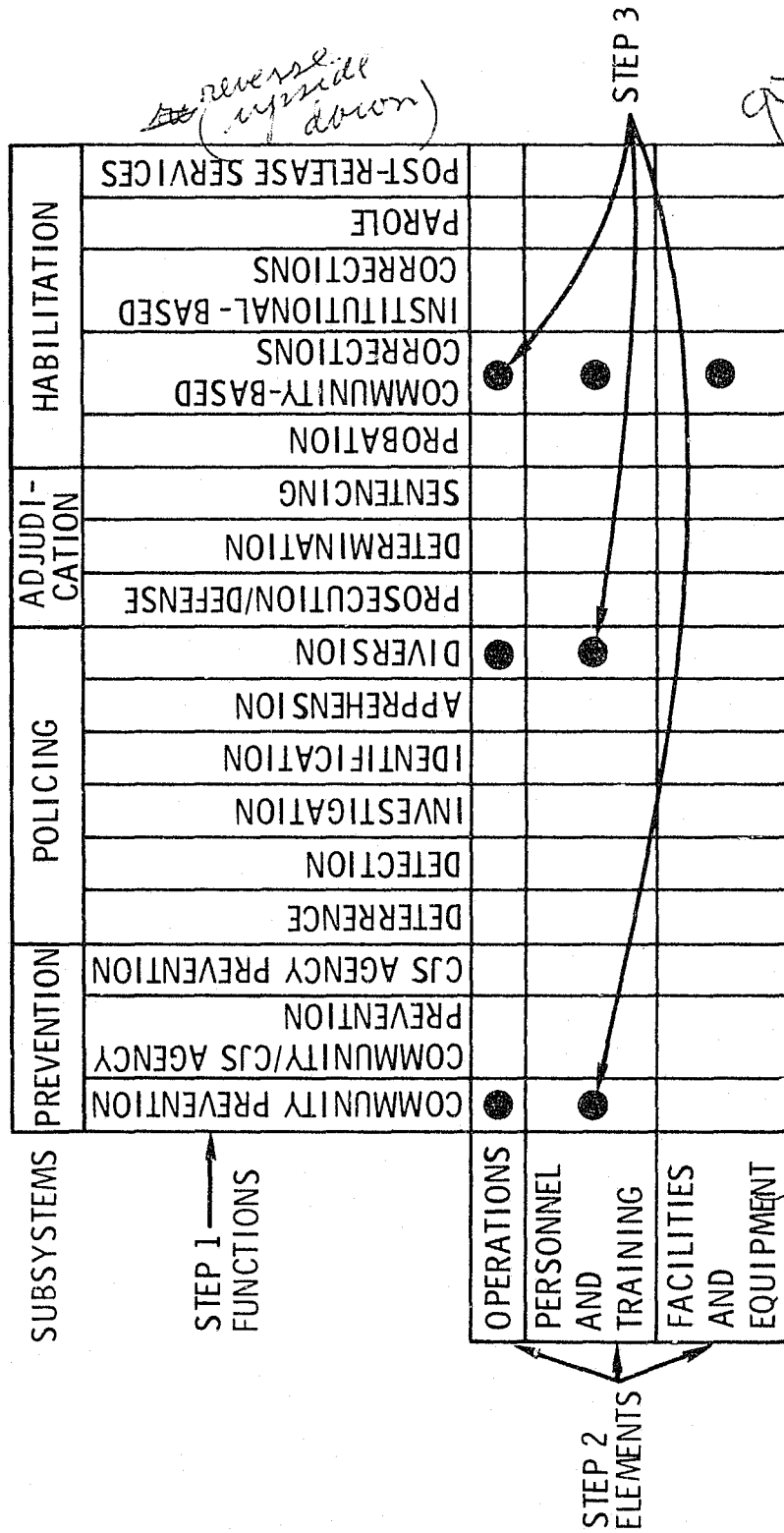
<u>Subsystems</u>	<u>Functions</u>
Prevention	Community prevention Community/CJS agency prevention CJS agency prevention
Policing	Deterrence Detection Investigation Identification Apprehension Diversion
Adjudication	Prosecution/defense Determination Sentencing
Habilitation	Probation Community-based corrections Institutional-based corrections Parole Post-release services

- The breakdown of CJS functions can vary, depending upon the level of planning and analysis. Thus, the list of functions presented in this manual may be supplemented to suit the needs of state and local planners.

## 5.2.2 DETERMINATION OF CJS INVOLVEMENT

- The first point in the development of alternative plans to meet the goal is the process of determining CJS involvement, which consists of the following steps:
  - Examine each function of each CJS subsystem to see if it is in any way involved in meeting the goal.
  - Tag the elements of the functions that have been selected to impact on the problem.

# DETERMINATION OF CJS FUNCTION INVOLVEMENT



STEP 1 - EXAMINE EACH CJS FUNCTION TO SEE IF IT IS INVOLVED IN MEETING THE GOAL

STEP 2 - ASSESS EXTENT OF INVOLVEMENT

STEP 3 - DEFINE THE NATURE OF INVOLVEMENT FOR EACH FUNCTION

*reverse spread down*

*should be revised*

### 5.2.3 DERIVATION OF PROJECTS

- The second point in the development of alternative plans to meet the goal is the derivation of projects. This process consists of the following steps:
  - For each function, identify the improvements that will contribute to the achievements of the goal. *Worksheet # 7*
  - Describe the various means of achieving the improvements.
  - Identify the elements of the function involved in achieving the improvements.
  - Identify the agencies responsible for carrying out the work.
  - Organize the means for achieving the improvements into specific projects. Identify their cost, time, start and end dates, and agencies responsible for the work.

# 7

**EXAMPLE WORKSHEET-DETERMINATION OF CJS FUNCTION IMPROVEMENT**

LOCATION: REGION 3

PROBLEM: INCREASED STREET CRIME GOAL: 50% REDUCTION IN 2 YEARS

SELECTED FUNCTION(S): DETERRENCE, DETECTION, INVESTIGATION, IDENTIFICATION, APPREHENSION, PROSECUTION/DEFENSE, COMMUNITY-BASED CORRECTIONS

FUNCTION/IMPROVEMENT	ELEMENTS			MEANS OF ACHIEVING THE IMPROVEMENT
	OPERATIONS	PERSONNEL AND TRAINING	FACILITIES & EQUIPMENT	
DETERRENCE & DETECTION/ FASTER RESPONSE	POLICE	POLICE		INCREASE NIGHT PATROLS BY 40% - RANDOM PATROLS
INVESTIGATION/DECREASE INVESTIGATION TIME	POLICE		POLICE	ACQUIRE AND DEPLOY MOBILE CRIME LABS
PROSECUTION-DEFENSE/ INCREASE PROSECUTION CAPABILITY		DISTRICT ATTORNEY'S OFFICE		INCREASE STAFF CAPABILITY OF DISTRICT ATTORNEY
COMMUNITY-BASED CORRECTIONS/INDUSTRY JOB TRAINING AND EMPLOYMENT	CORRECTIONS	CORREC- TIONS, STATE EMPLOYMENT SERVICE		INCREASE JOB OPPORTUNITIES FOR YOUNG ADULTS

5-6



# 8

### EXAMPLE WORKSHEET-DEVELOPMENT OF PROJECTS

LOCATION: REGION 3 - JACKSONVILLE

PROBLEM: INCREASED STREET CRIME GOAL: 15% REDUCTION IN 1970

PROJECT TITLE	AGENCIES				DESCRIPTION
	POLICE	COURTS	CORREC-TIONS	OTHER (SPECIFY)	
RANDOM NIGHT PATROL TECHNIQUES TRAINING	X				TRAIN 114 OFFICERS; USING STATE ACADEMY MOBILE UNIT OVER 6-MONTH PERIOD; EST. COST \$17,400 FOR 6 MONTHS
INCREASE CAPABILITY OF CITY PROSECUTOR'S OFFICE		X			ADD ONE ATTORNEY TO STAFF; SPECIAL INSTRUCTION IN PREPARING AND PRESENTING EVIDENCE; EST. COST \$16,500. FOR 12 MONTHS
PRE-TRIAL VOCATIONAL SKILLS TRAINING FOR YOUNG ADULT OFFENDERS	X		X	JACKSON TEXTILES, INC.	BASIC SKILLS TRAINING FOR 150 OFFENDERS; ALSO, GOOD CITIZENSHIP TRAINING; EST. COST \$130,000 FOR 24 MONTHS
METHADONE TREATMENT CENTER FOR DRUG ADDICTS			X		OUT-PATIENT CLINIC SERVICE FOR 500 ADDICTS; JOB COUNSELING AND PLACEMENT; EST. COST \$52,000 ANNUALLY

*If CJ's not involved why should we concern ourselves?*

5-7

## 5.2.4 DEVELOPMENT OF ALTERNATIVE PLANS

- Key considerations in formulating alternative plans are as follows:
  - What combination of projects offers the highest level of achievement of the goal?
  - What combination of projects offers the lowest acceptable level of achievement of the goal?
  - What combination of projects offers the least difficulties from the CJS organizational viewpoint?
  - What combination of projects offers the most rapid solution to the problem and achievement of the goal?
  - Is there a single project that can achieve the goal? If so, how long will it take and how much will it cost?
  - What combination of projects is thought to be most acceptable to the community?
  - What combination of projects offers the lowest cost?

## EXAMPLE WORKSHEET-DEVELOPMENT OF ALTERNATIVE PLANS

PROBLEM: \_\_\_\_\_ GOAL: \_\_\_\_\_

ALTERNATIVE PLAN	PROJECTS									CONSIDERATION
	1	2	3	4	5	6	7	8	9	
A	X	X		X			X	X	X	HIGHLY EFFECTIVE
B	X			X				X		LOW COST
C		X	X							MINIMUM ACCEPTABLE EFFECTIVENESS
D	X				X	X	X	X	X	OFFERS QUICKEST SOLUTION
E			X	X	X	X		X	X	MOST ACCEPTABLE TO COMMUNITY

*Why?*  
*Because you*  
*require only great*  
*projects in*  
*order without any*  
*overhead*  
*merely on basis*  
*reasons*  
*for so*  
*quickly*  
*(is) ultimately*  
*which projects will*  
*be selected*  
*and the*  
*forget the*  
*plans*

*This sheet*  
*is unworkable.*

**EVALUATION AND SELECTION OF ALTERNATIVE PLANS**

## 6.0 EVALUATION AND SELECTION OF ALTERNATIVE PLANS

### 6.1 EVALUATION PROCESS

- The evaluation process consists of comparing each alternative plan in terms of defined evaluation criteria to measure the relative value of each plan in achieving the intended goal.
- The evaluation process results in the selection of a preferred plan.

## 6.2 EVALUATION CRITERIA

- Each alternative plan reflects various levels of the following:
  - *Effectiveness*, or extent of achievement of the goal
  - *Cost* to achieve the goal or a portion of the goal
  - *Time* required to achieve the estimated level of effectiveness
  - *Feasibility*, or impact on the CJS and the community
  - *Risk*, or likelihood of achieving the expected effectiveness within cost and time budgets.

## 6.2.1 EFFECTIVENESS - MEASURE OF THE PLAN'S SUCCESS

Effectiveness can be defined in terms of a combination of the following:

- Percentage of achievement of the goal
- Relative improvement over current CJS capability (for example, 20 percent higher apprehension rate)
- Selected measures of goal accomplishment
  - Percent reduction in dollar loss per capita for burglary in state
  - Amount of treatment services for juvenile narcotics offenders
  - Percent reduction in annual cost for corrections for adult offenders
  - Percent reduction in caseload for probation officers

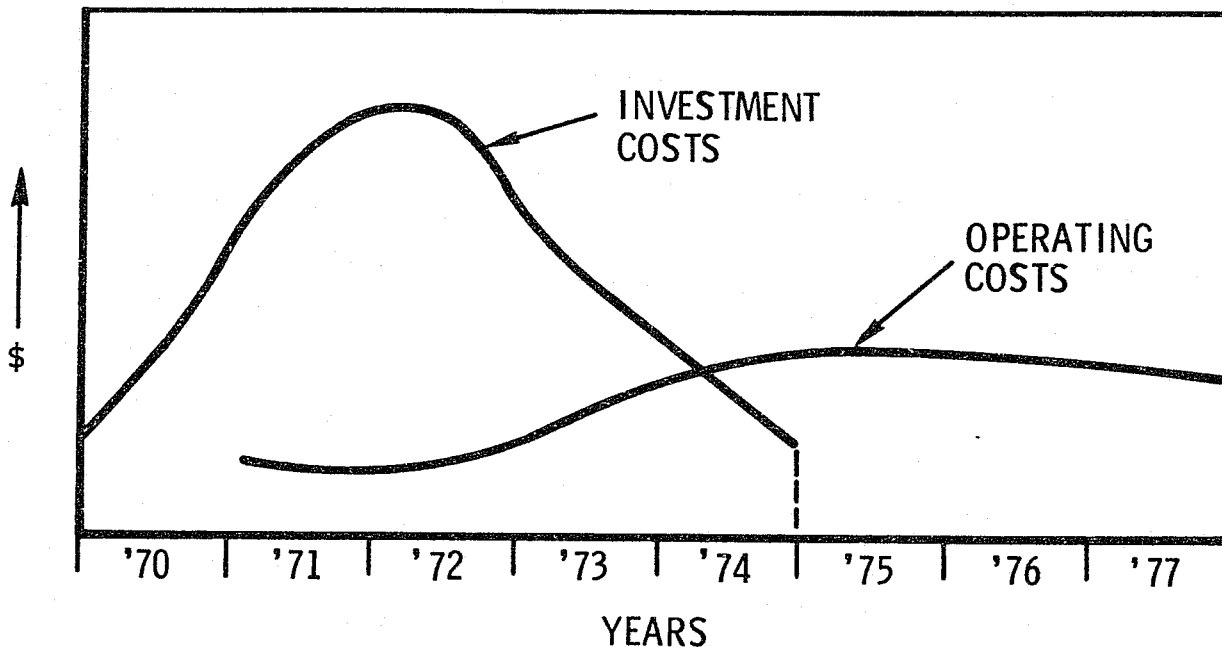
## 6.2.2 COST - RESOURCES REQUIRED TO ACHIEVE THE GOAL

- Types of costs include investment costs and operating costs
  - *Investment costs* - the costs to acquire the facilities, equipment, and staff for projects in the plan
  - *Operating costs* - the costs to sustain the project, including maintenance, supplies, staff salaries, and operating expenses
- Annual Action Programs reflect both investment and operating costs.



## RELATIONSHIP BETWEEN INVESTMENT COSTS & OPERATING COSTS

PLAN A: ESTABLISH 50 NEIGHBORHOOD TREATMENT CENTERS FOR NARCOTICS OFFENDERS



INVESTMENT COSTS = COST FOR FACILITIES AND EQUIPMENT, ACQUISITION AND TRAINING OF STAFF, IMPLEMENTING WALK-IN PROGRAM

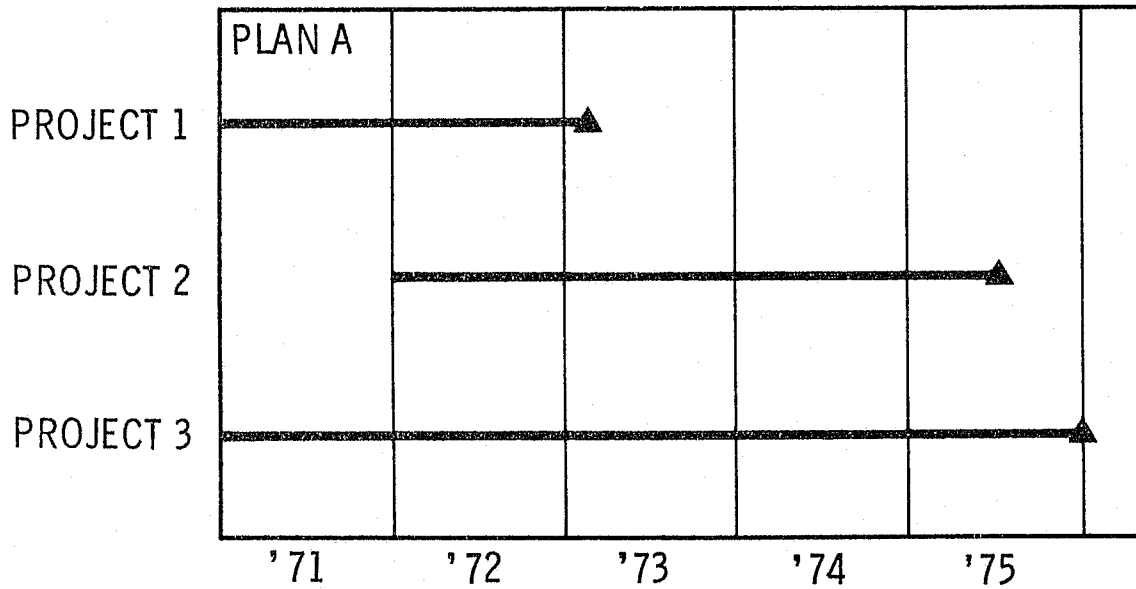
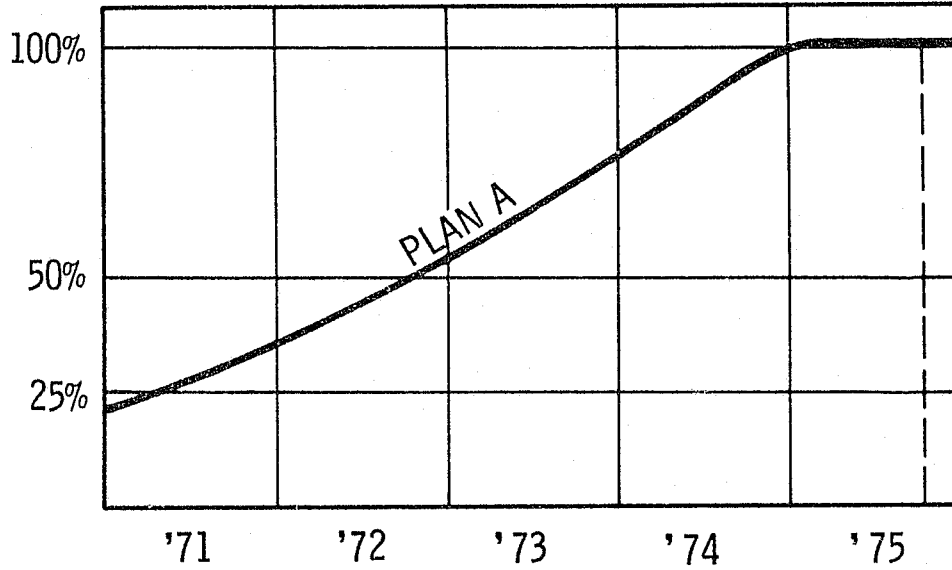
OPERATING COSTS = FACILITIES AND EQUIPMENT MAINTENANCE, MATERIALS AND SUPPLIES, STAFF COSTS

### 6.2.3 TIME - PERIOD REQUIRED TO ACHIEVE THE GOAL

- Evaluating the time required includes two considerations:
  - Time required to achieve the goal for the selected plan
  - Time required to complete each project in the plan.

# TIME CONSIDERATIONS

GOAL



## 6.2.4 FEASIBILITY - PRACTICAL CONSIDERATIONS FOR IMPLEMENTATION

- The feasibility of a plan includes the following key considerations:
  - *Technical feasibility of plan* - What new equipment, special skills, or new operations are required to implement the plan?
  - *CJS organizational feasibility* - What is the organizational impact of the plan on the agencies affected in implementation? What is their reaction?
  - *Social feasibility* - What is the expected public reaction and participation?
  - *Related-program feasibility* - What are the difficulties in coordinating with Model Cities, Juvenile Delinquency Prevention and Control, and other related programs?
  - *Economic feasibility* - How much of the available resources will be consumed by this plan relative to the priority of its goal?
  - *Legal feasibility* - What legislation is required to implement the plan?
  - *Political feasibility* - What political factors will impact on the implementation of the plan?

*Should be changed to  
"likelihood" or "probability"*

6.2.5 ~~RISK~~ - LIKELIHOOD OF SUCCESSFUL IMPLEMENTATION

- Risk is a quantitative estimate of expected success and is influenced by the following:
  - Developing any necessary law enforcement technology
  - Passing enabling legislation
  - Obtaining cooperation among participating CJS agencies
  - Recruiting needed personnel
  - Obtaining matching funds at state and local levels of government.

### 6.3 EVALUATION TECHNIQUES

- The object of any technique for evaluation of alternatives is the development of comparative scores that are meaningful to CJS planning participants.
- A critical requirement in evaluation is that all planning participants at a given level—local, regional, or state—use the same scoring method. ( !!! )
- Many evaluating and scoring techniques are available; some are very sophisticated, some are simple. The choice is up to the CJS planners.
- One suggested and commonly used technique is as follows:
  - Assign a numerical value or raw score to each alternative plan for the five selected criteria (effectiveness, cost, time, feasibility, and risk).
  - Weight the relative importance of each evaluation criterion.
  - Multiply the raw scores by the weighting factors to get weighted scores for each criterion.
  - Add the weighted scores for each criterion to get a total weighted score for the alternative plan.

## EXAMPLE OF EVALUATION SCORING TECHNIQUE

1. ASSIGN EACH CRITERION A NUMERICAL VALUE FOR THE ALTERNATIVE PLAN BEING CONSIDERED:

CRITERION	VALUE (1-10)
EFFECTIVENESS	7
COST	5
TIME REQUIRED	5
FEASIBILITY	8
RISK	2

2. CHOOSING A VALUE ON THE SCALE FROM 1 TO 10 SIMPLY INDICATES WHETHER YOU THINK THE VALUE FOR THAT CRITERION IS HIGH, MODERATE, OR LOW FOR THE ALTERNATIVE PLAN YOU ARE EVALUATING. IF TEAMS OF PEOPLE ARE SCORING, YOU CAN AVERAGE THE VALUES.



## EXAMPLE OF EVALUATION SCORING TECHNIQUE (CONTINUED)

3. THE NEXT STEP IS TO DEVELOP A WEIGHTING FACTOR FOR EACH CRITERION.

IN DEVELOPMENT OF ~~WEIGHTING FACTORS~~, IT IS NECESSARY TO CONSIDER EACH CRITERION IN COMPARISON TO THE OTHERS.

TO DO THIS, IT IS CONVENIENT TO CONSIDER THE CRITERIA IN PAIRS AND IN EACH PAIR, DECIDE WHICH IS MORE IMPORTANT. THEN, ASSIGN A VALUE OF ONE (1) TO THE MOST IMPORTANT AND ZERO (0) TO THE OTHER.

### EXAMPLE

#### FIRST DECISION:

IS EFFECTIVENESS MORE IMPORTANT THAN COST?

IF THE ANSWER IS YES, THEN ASSIGN THE VALUES AS FOLLOWS:

EFFECTIVENESS	1
COST	0



## WEIGHTING FACTOR WORKSHEET

STEP 1		STEP 2		
IMPORTANCE	DECISIONS	VOTES	ADD INDIVIDUAL CRITERION VOTES:	
1.	EFFECTIVENESS	1	EFFECTIVENESS	3
	COST	0	COST	2
2.	EFFECTIVENESS	1	TIME REQUIRED	1
	TIME REQUIRED	0	FEASIBILITY	2
3.	EFFECTIVENESS	0	RISK	2
	FEASIBILITY	1		
4.	EFFECTIVENESS	1		
	RISK	0		
5.	COST	1		
	TIME REQUIRED	0		
6.	COST	1		
	FEASIBILITY	0		
7.	COST	0		
	RISK	1		
8.	TIME REQUIRED	1		
	FEASIBILITY	0		
9.	TIME REQUIRED	0		
	RISK	1		
10.	FEASIBILITY	1		
	RISK	0		
TOTAL DECISIONS		10		

STEP 3	
COMPUTE <u>WEIGHTING FACTORS</u> BY DIVIDING INDIVIDUAL CRITERION VOTES (STEP 2) BY 10 (TOTAL DECISIONS):	
EFFECTIVENESS:	$3/10 = 0.3$
COST:	$2/10 = 0.2$
TIME REQUIRED:	$1/10 = 0.1$
FEASIBILITY:	$2/10 = 0.2$
RISK:	$2/10 = 0.2$

## EXAMPLE OF EVALUATION SCORING TECHNIQUE (CONTINUED)

4. NOW, TAKE THE ORIGINAL VALUE YOU ASSIGNED TO EACH CRITERION (1-10) AND MULTIPLY BY YOUR COMPUTED WEIGHTING FACTOR:

CRITERION	SCALE VALUE (V)	WEIGHTING FACTOR (W)	CRITERION SCORE $S=V \times W$
EFFECTIVENESS	7	0.3	2.1
COST	5	0.2	1.0
TIME REQUIRED	5	0.1	0.5
FEASIBILITY	8	0.2	1.6
RISK	2	0.2	0.4
TOTAL SCORE FOR THIS ALTERNATIVE			5.6

5. IMPORTANT NOTE:

THE WEIGHTING FACTORS DEVELOPED MUST REMAIN THE SAME FOR ALL ALTERNATIVE PLANS FOR ANY GIVEN PROBLEM. THEY CAN BE MODIFIED, HOWEVER, FOR DIFFERENT PROBLEMS, SINCE THE IMPORTANCE OF EACH CRITERION WILL NOT BE THE SAME FOR ALL PROBLEMS.

**IMPLEMENTATION**

## 7.0 IMPLEMENTATION

- Implementation is the process by which comprehensive plans are translated into specific actions.
- The process of implementation includes:
  - Definition of implementation strategy
  - Development of work tasks and assignment of responsibilities
  - Development of schedules and milestones
  - Formulation of the Annual Action Program
  - Reporting.

## 7.1 DEFINITION OF IMPLEMENTATION STRATEGY

- Strategy should define the framework for effecting the plan. In defining the implementation strategy, the following questions should be considered:
  - What are the roles of each participating agency (CJS, other government and private agencies)?
  - What problems are anticipated in coordinating the efforts of the participants?
  - How does the plan impact on the current workload of each agency?
  - What staffing problems exist that can affect the success of the plan?
  - What is the expected community reaction to the plan?

## 7.2 DEVELOPMENT OF WORK TASKS

- The objective of implementation is to break the plan down into essential work packages that can be performed by an individual agency.
- Work packages consist of projects and tasks that describe the essential activities to be performed to accomplish the goals reflected in the plan.
- Work packages are formed, one for each agency, by developing a work breakdown structure.

## 7.2.1 WORK BREAKDOWN STRUCTURE

- The work breakdown structure provides an ordered approach for organizing the work contained in the plan.

The process consists of the following steps:

- Divide the plan into its component projects.
- For each project, develop a set of tasks to be accomplished in completing the project.
- Divide tasks into subtasks for large or complex projects, if convenient.

*already accomplished above: 6-14 (which projects) 5-7*  
*p. 6 and worksheet 12*  
*↑*  
*" "*

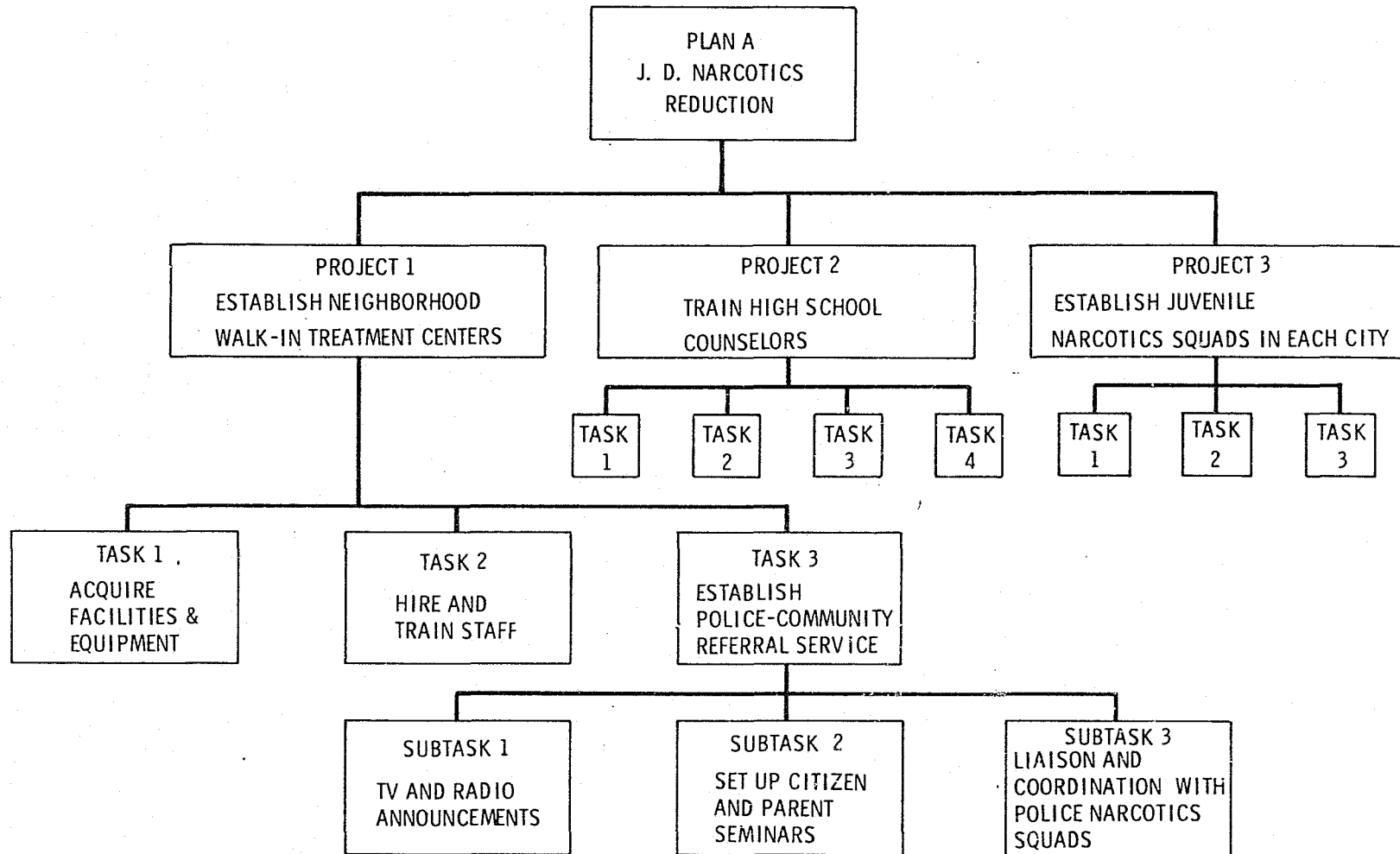
## 7.2.2 WORK PACKAGES

- Work packages consist of a collection of plan projects, tasks, and subtasks that can be assigned to a single organization for implementation.

- Work packages may contain any combination of the following:

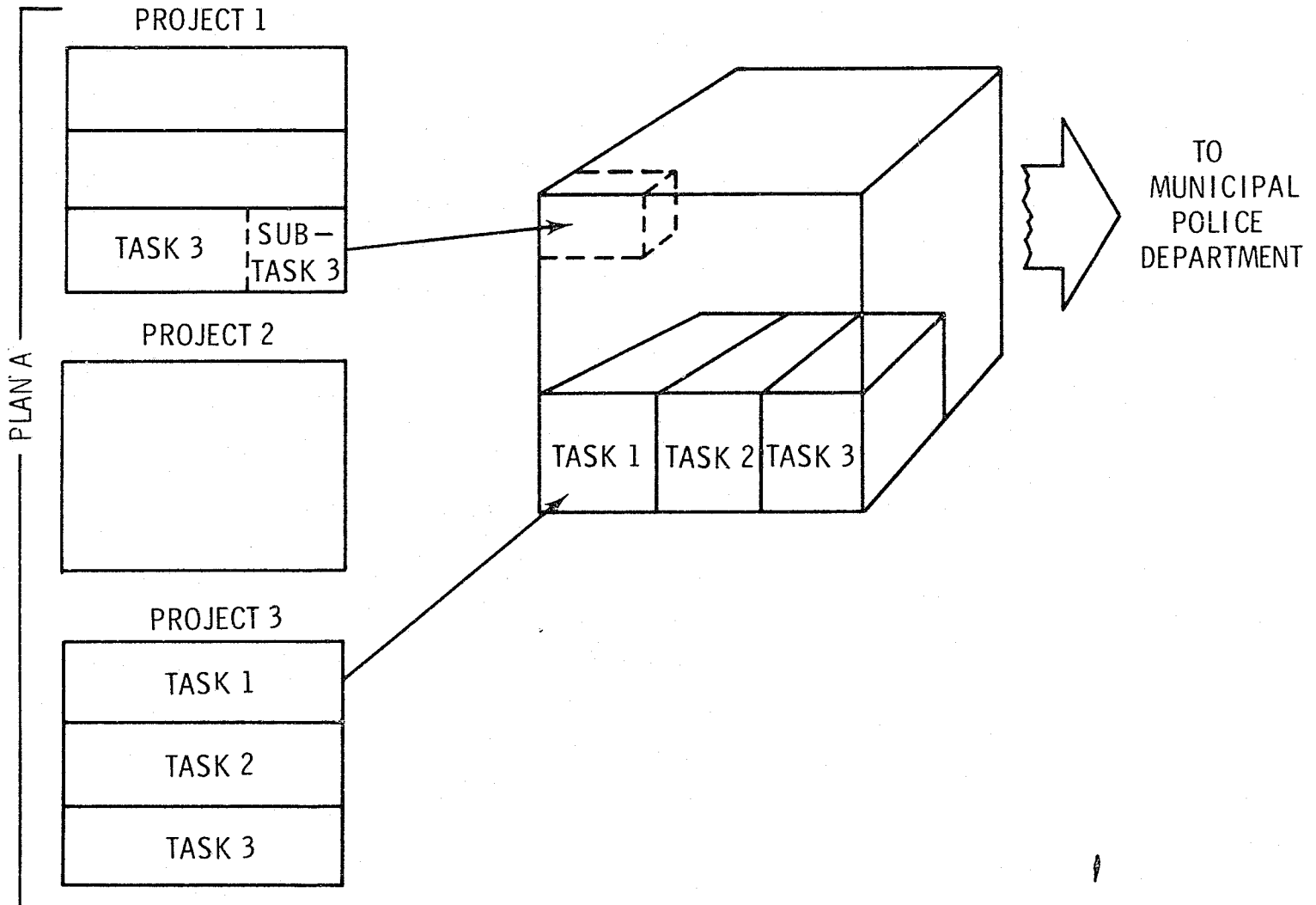
- Entire projects
- Selected tasks within a project
- Certain subtasks in special cases.

EXAMPLE OF WORK BREAKDOWN STRUCTURE





# EXAMPLE OF WORK PACKAGE



### 7.3 DEVELOPMENT OF SCHEDULES AND MILESTONES

- Schedules define the duration and time sequence of projects and related tasks.
- Milestones identify major achievement points in the program.
- Network diagrams show schedule and milestone dependency relationships. There are many network planning techniques in use. Two of the more common are:
  - Performance Evaluation Review Technique - PERT
  - Critical Path Method - CPM.

These are not illustrated in this manual, because they are too sophisticated, complex, and detailed for treatment in this seminar.

**EXAMPLE OF SCHEDULE AND MILESTONE CHART FOR  
REDUCTION OF JUVENILE NARCOTICS PROBLEM**

ESTABLISH  
NEIGHBORHOOD  
WALK-IN  
TREATMENT  
CENTERS

COMPLETE 6 CENTERS

TRAIN HIGH  
SCHOOL  
COUNSELORS

COMPLETE TRAINING FOR ALL  
COUNSELORS IN REGION

ESTABLISH  
JUVENILE  
NARCOTICS SQUAD  
IN EACH CITY

ESTABLISH FIRST  
3 SQUADS  
IN REGION

ESTABLISH 5  
SQUADS  
IN REGION

1

2

3

4

5

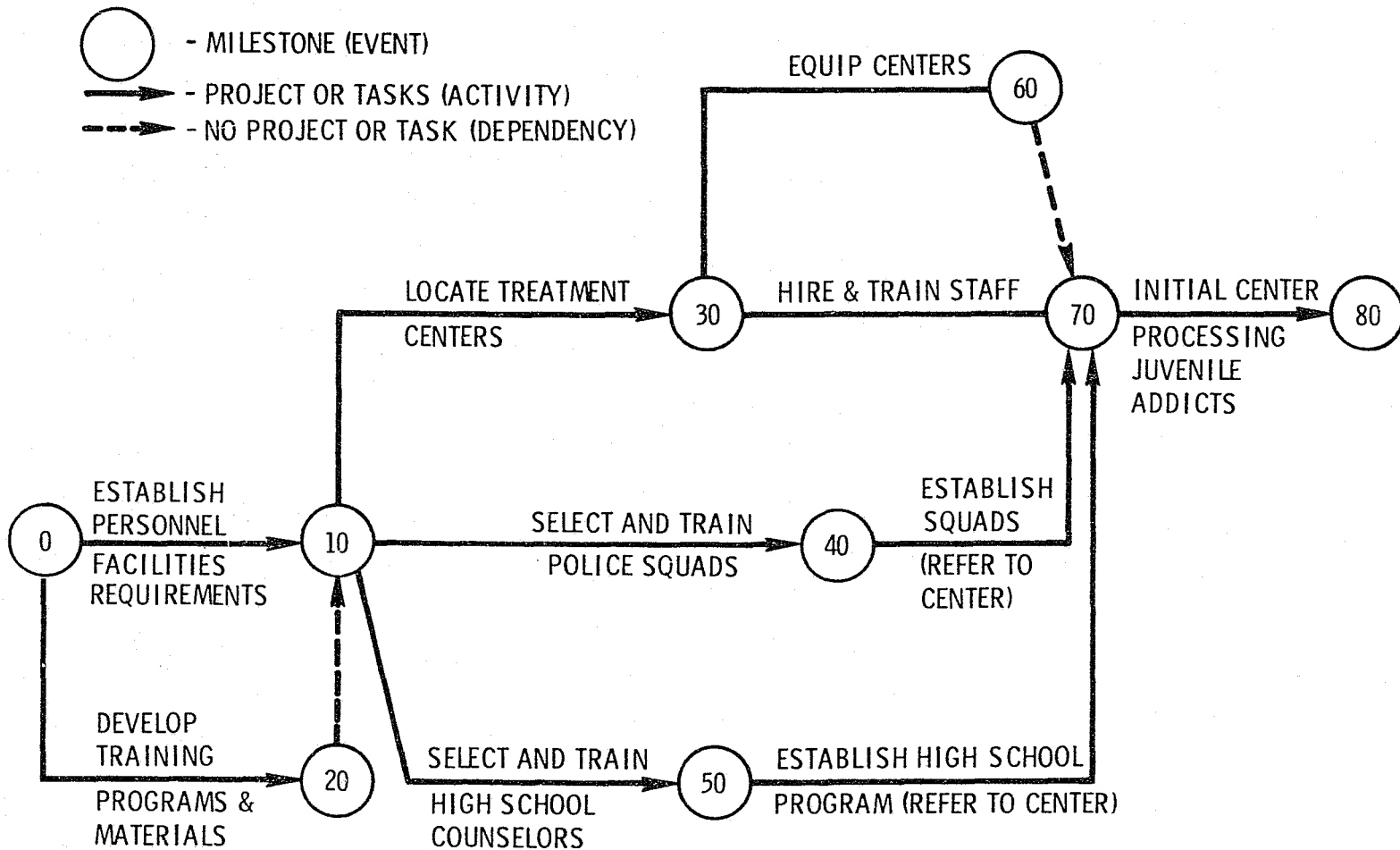
6

YEARS

7-8

8-8

## EXAMPLE OF NETWORK DIAGRAM FOR REDUCTION IN JUVENILE NARCOTICS PROBLEM



## 7.4 FORMULATION OF THE ANNUAL ACTION PROGRAM

- The Annual Action Program reflects the first year of the Multi-Year Plan, which is updated annually. The Law Enforcement Assistance Administration (LEAA) planning guide requires the following in the plan for the Annual Action Program:
  - *Part 1* - General statement of goals and strategy for the year
  - *Part 2* - Program descriptions
  - *Part 3* - Compliance with funding limitations
- Program descriptions relate to the projects in the plan. A program comprises one or more projects.

*Categories  
programs  
projects*

#### 7.4.1 PROGRAM CATEGORIES

- The LEAA planning guide lists the following 10 categories in which programs may be grouped:
  - Upgrading law enforcement personnel
  - Prevention of crime (including public education)
  - Prevention and control of juvenile delinquency
  - Improvement of detection and apprehension of criminals
  - Improvement of prosecution and court activities, and law reform
  - Increase in effectiveness of correction and rehabilitation (including probation and parole)
  - Reduction of organized crime
  - Prevention and control of riots and civil disorders
  - Improvement of community relations
  - Research and development (including evaluation).
- LEAA categories may contain one or more programs.

# EXAMPLE OF DEVELOPMENT OF PROGRAMS

LEAA CATEGORY

PREVENTION AND  
CONTROL OF JUVENILE  
DELINQUENCY

PROGRAM

PLAN A  
J. D. NARCOTICS  
REDUCTION

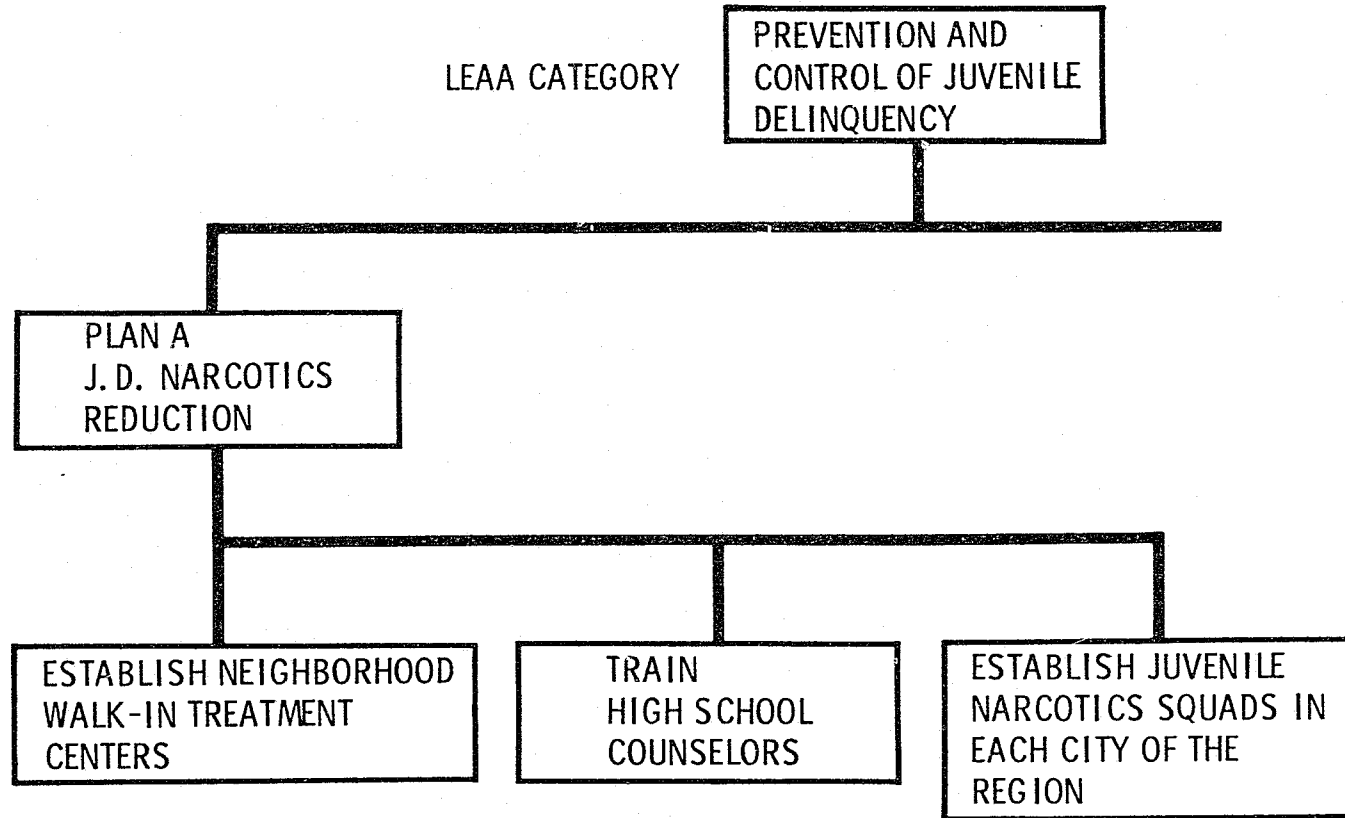
PROJECTS

ESTABLISH NEIGHBORHOOD  
WALK-IN TREATMENT  
CENTERS

TRAIN  
HIGH SCHOOL  
COUNSELORS

ESTABLISH JUVENILE  
NARCOTICS SQUADS IN  
EACH CITY OF THE  
REGION

7-12



## 7.4.2 ACTION GRANTS *Administrative*

- Action grants are the means for accomplishing the Annual Action Program by providing funds to the agencies responsible for performing the work.
- Action grants should contain the following:
  - Description of work to be accomplished
  - Definition of responsibilities
  - Identification of milestones occurring during the year
  - Expected accomplishments for the year's effort.



## 7.5 REPORTING

- Reporting information related to implementation occurs through the updating of plans and other progress reports.
- Reporting provides the feedback for appraisal that allows for corrective action.
- Key information reported includes:
  - *Progress* - accomplishments to date of the Multi-Year Plan
  - *Problems* - difficulties in achieving time-phased goals
  - *Costs* - expenditures to date versus budget
  - *Corrective actions* - actions taken to redirect efforts toward achievement of goals.
- A uniform reporting system is required within the state. Design considerations for a CJS reporting system should include:
  - A minimum number of report formats
  - Prescribed channels for reports flow
  - Identical report formats at each level of planning and appraisal—state, regional, and local
  - A well defined schedule for submission of reports.

APPRAISAL

## 8.0 APPRAISAL

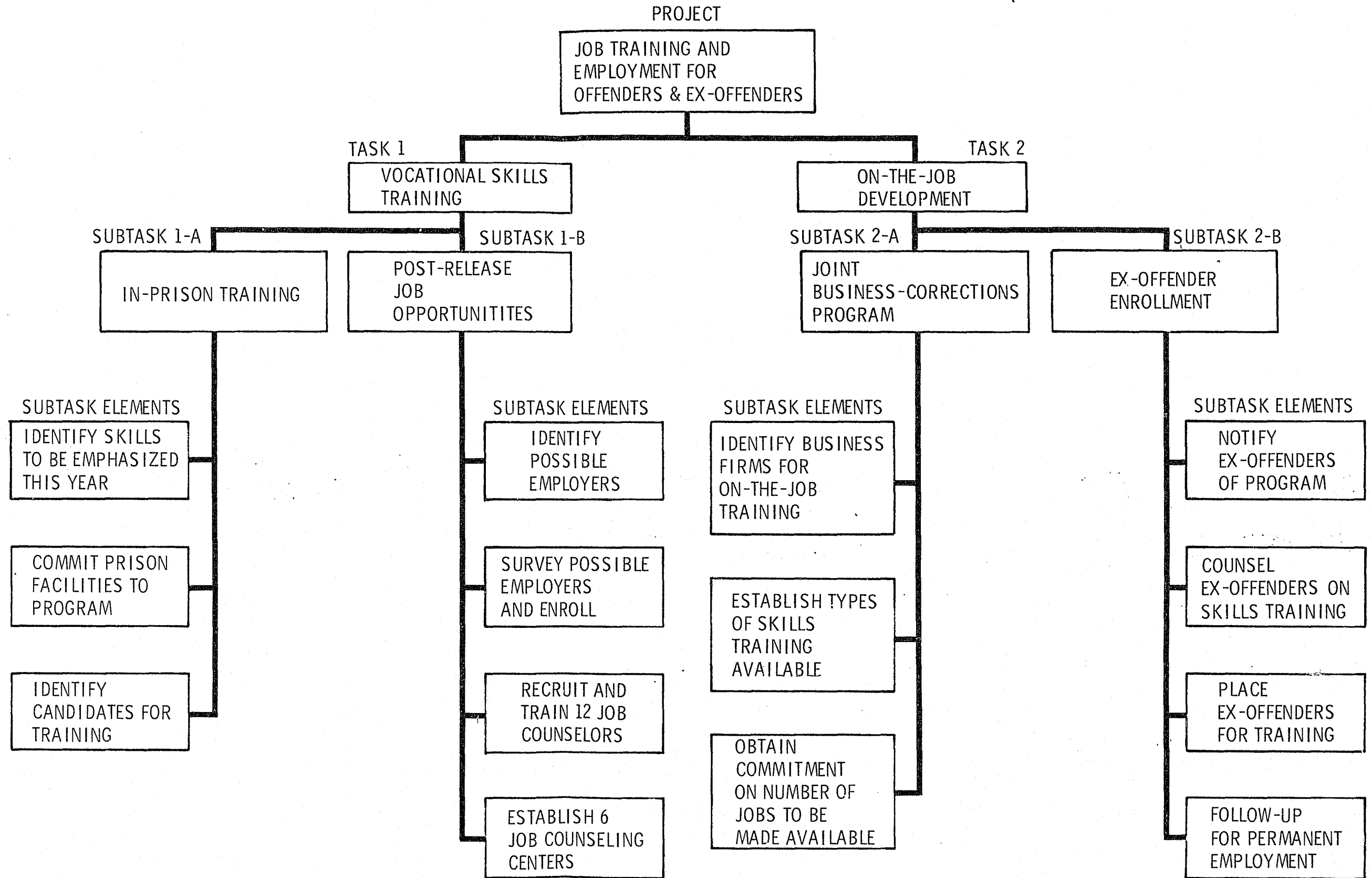
### 8.1 APPRAISAL CRITERIA

- Appraisal criteria should be established early in the planning process for two reasons:
  - To make all participants aware of how their projects will be appraised, thus eliminating last-minute surprises
  - To save time and avoid confusion in the review process when many projects will be undergoing appraisal.
- Appraisal criteria should include (as a minimum) the following:
  - Accomplishments
  - Performance standards
  - Milestone monitoring
  - Cost monitoring.

### 8.1.1 MEASURES OF ACCOMPLISHMENT

- Accomplishments should be measured in two ways:
  - Accomplishment of the specific work items described in the project statement (by the work breakdown structure)
  - Contribution toward accomplishment of the goal for which the project was established
- The first measure, taken directly from the project or task description, tells how much was done. It includes the following determinations:
  - Work progress
  - Reasons for work slippage
  - Need for additional resources
  - Need for technical assistance.

EXAMPLE OF WORK BREAKDOWN STRUCTURE FOR USE IN PROJECT APPRAISAL



### 8.1.1 (Continued)

- The second measure, taken directly from the statement of the goal for which the project was established, tells how well the work was done. It includes the following determinations:
  - Contribution of the project or task toward the goal
  - Need for additional resources
  - Desirability of an alternative approach
  - Reasons for lack of achievement.

It is important that the descriptive terms used to define accomplishment be the same as those used in the goal statement.

**EXAMPLE OF APPRAISAL OF ACCOMPLISHMENT  
IN TERMS OF THE GOAL STATEMENT**

**ACTION YEAR GOAL:** Reduce recidivism by 8% in 1971 through training in vocational skills useful to business and industry. Provide training for 500 confined offenders and 200 ex-offenders during the year and place 350 trainees in jobs matching their acquired skills

**APPRAISAL IN MID-1971:**

1. Is the project making a contribution toward the goal?
  - Number of confined offenders enrolled in the training program
  - Estimated number of confined offenders enrolled by end of year
  - Number of jobs guaranteed for the 150 offenders released during the year
  - Number of those released and placed in jobs, and number placed in jobs matching the skills in which they were trained
  - Number of ex-offenders contacted for enrollment in training program, and number actually enrolled
  - Number of ex-offenders placed in jobs, and number placed in jobs matching the skills in which they were trained
  - Location and type of records being kept which will be used to determine impact of this program on recidivism rate
  - Experience to date in recidivism reduction
  
2. Are additional resources needed?
  - Adequacy of established budget to satisfy financial needs of training program
  - Availability and adequacy of correctional institution facilities (shops, offices, classrooms) for this training program, i.e., to accommodate 500 trainees
  - Instructional staff availability
  - Adequacy of business or other facilities for ex-offender training
  
3. Should this approach be abandoned in favor of an alternative approach?
  - Effectiveness of the training program in reaching and helping ex-offenders
  - Interest of confined offenders in participating in training program
  - Business and industry follow-through in hiring trainees
  - Business and industry retention of trainees
  
4. What are the reasons for lack of achievement?
  - Effect of general economic situation on availability of jobs
  - Effect of local economic situation on availability of jobs
  - Continued interest of business and industry in the program
  - Continued interest of trainees in acquiring skills and guaranteed jobs

## 8.1.2 PERFORMANCE STANDARDS

- Performance standards are used to guide those performing the work in accomplishment of the planned achievements.
  - Performance standards should be established before action is initiated on a project or task to ensure that implementing personnel understand what is expected of them.
  - Performance standards should be directly related to the type of work in the project or task.
  - Performance standards should provide the details for conducting the appraisal of the project or task.
  - Performance standards should be sufficiently detailed and valid to be acceptable to both appraisal and implementing personnel.
  - Implementing personnel should participate where possible in the development of performance standards.



**EXAMPLE OF PERFORMANCE STANDARDS  
RELATED TO A SUBTASK**

**SUBTASK 1-B: Post-Release Job Opportunities**

**SUBTASK ACTIVITIES:**

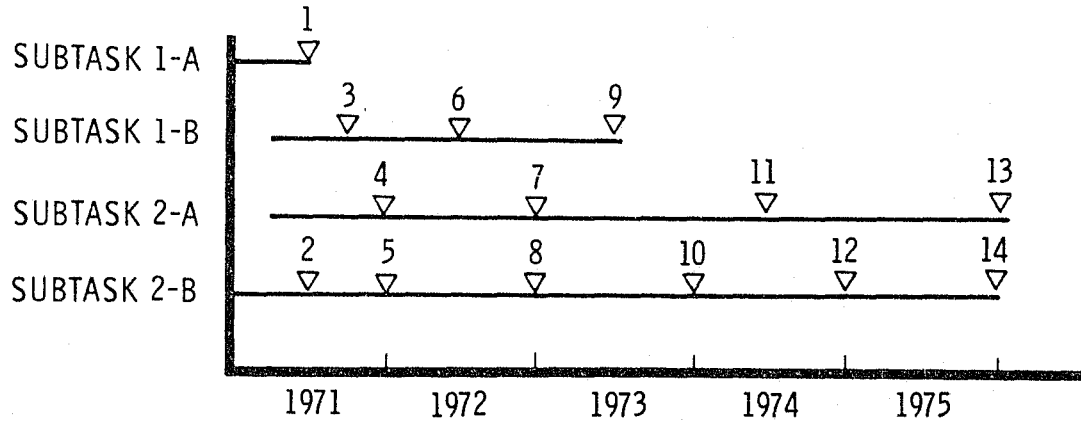
- Identify Possible Employers
  - Number of prospective employers identified
  - Number of on-the-job training slots needed
  - Process used to identify prospective employers
  - Time required to complete the identification
  - Budget for identifying employers
  
- Survey and Enroll Possible Employers
  - Technique used to survey prospective employers
  - Number surveyed vs. number identified
  - Number enrolled in program
  - Number of on-the-job training slots made available
  - Time required to complete survey and enrollment
  - Budget for survey
  
- Recruit and Train 12 Job Counselors
  - Identification of counseling skills required
  - Method used for recruitment
  - Time to complete recruitment
  - Time required to train counselors
  - Budget for recruitment and training
  
- Establish Six Job Counseling Centers
  - Location of counseling centers
  - Office space leased
  - Offices equipped
  - Counselors assigned to centers
  - Time to establish and open centers
  - Budget for center establishment

In practice, the activities included in subtasks would be described in some detail. The performance standards would reflect the activity description in a way that will provide measures of performance of those personnel implementing the work. Performance of action personnel responsible for the above activities would be appraised in direct relationship to how well the work was done, whether it was completed on time, and whether it was completed within budget.

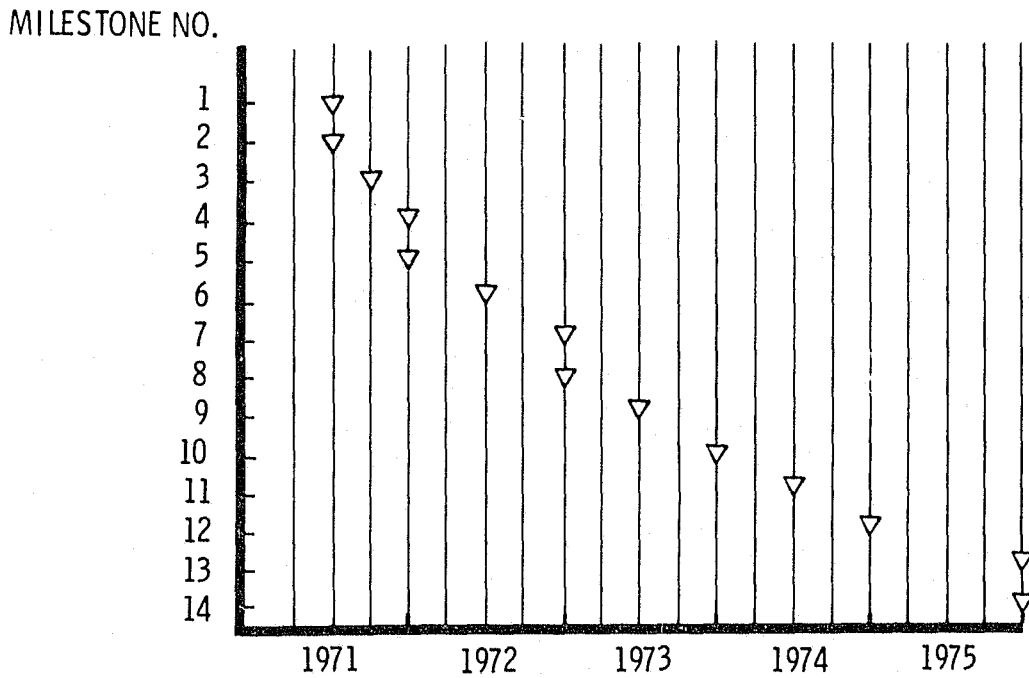
### 8.1.3 MILESTONE MONITORING

- Milestones are points in time at which specified actions are to be taken or accomplishments achieved for work activities within a project or task.
  - Milestones identify the important events in accomplishing work activities.
  - Milestones indicate points at which review and appraisal should occur.
  - Milestones are integral and basic to project or task schedules.
- Each milestone consists of a brief description of the work to be started or completed at the particular point in time.
- To facilitate management and appraisal, it is useful to prepare a calendar of milestones for all projects in the plan.

## EXAMPLE OF MILESTONE APPLICATION



(A) MILESTONES ON SUBTASK SCHEDULE

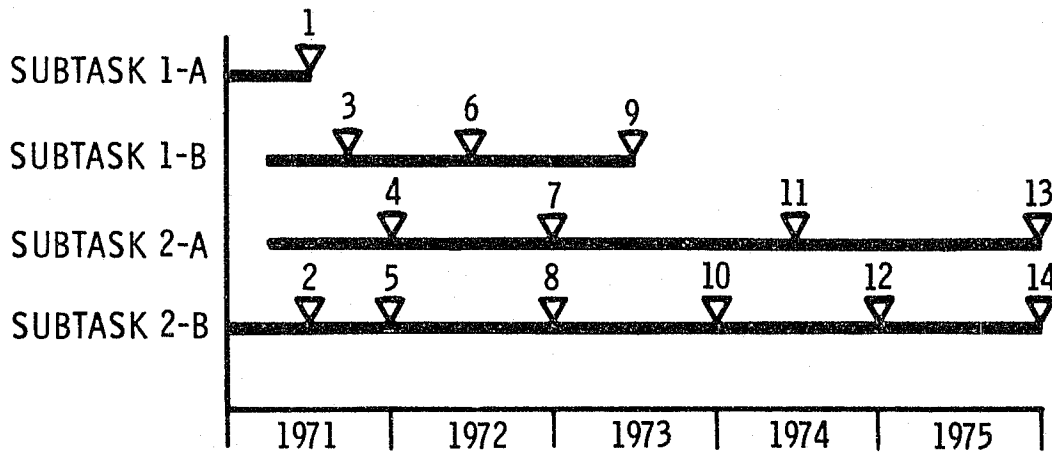


(B) MILESTONE CALENDAR

#### 8.1.4 COST MONITORING

- To be meaningful, cost monitoring needs to be directly related to the principal work activities in a project or task.
- A plan for cost monitoring should, like progress monitoring, be prepared prior to initiation of any projects or tasks.
- When the work to be accomplished in a task is identified in the schedule, the costs to accomplish the work can be monitored in terms of the schedule.
- Cost monitoring relates budget and actual costs to milestones and reports the differences.

## EXAMPLE OF MILESTONE COST MONITORING



(A) SCHEDULE

MILESTONE DESCRIPTION	SCHED. DATE	COSTS TO THIS MILESTONE	
		FORECAST	ACTUAL
1. ALL NECESSARY PRISON FACILITIES COMMITTED TO PROGRAM	6-30-71	\$1,200	
2. EX-OFFENDERS NOTIFIED OF TRAINING AVAILABILITY	6-30-71	3,000	
3. JOB COUNSELOR RECRUITMENT COMPLETE	9-30-71	4,500	
4. ADVISORY BOARD FORMAL APPRAISAL OF TRAINING PROGRAM PROGRESS	1-5-72	70,000	

(B) COST/MILESTONE PLAN AND REPORT

## 8.2 APPRAISAL PROCESS

- The success of the appraisal process depends on five factors:
  - Establishment and use of a regular reporting system
  - Prior understanding by all planning and action personnel of the reporting system and the need to use it properly
  - Timely and careful compilation of the needed appraisal data *by whom + how?*
  - Timely completion of appraisal by those responsible
  - Initiation of corrective action as determined by the appraisal.
- The reported results, in terms of accomplishments, performance, and cost, should be compared to:
  - Problem statement
  - Goal statement
  - Project or task description
  - Work breakdown structure
  - Schedule
  - Budget.

## 8.2.1 DETERMINING THE NEED FOR CORRECTIVE ACTION

### 8.2.1.1 Corrective Action Criteria

- When the results of appraisal indicate that the project or task is not progressing as planned, several questions need to be answered:
  - Is technical assistance needed?
  - Are more resources required?
  - Should the schedule be revised?
  - Can the project or task succeed using the present approach?
  - Should the project or task be terminated?
- When these questions have been answered, the answers should be subjected to a tradeoff analysis as an aid in determining what course to follow in taking corrective action.

### 8.2.1.2 Tradeoff Analysis

The purpose of a tradeoff analysis is to support a logical determination of the best corrective actions.

- If technical assistance is needed:
  - What type is required?
  - Who should provide it?
  - How much time is required?
  - What will it cost?
- If more resources are required:
  - What types are required?
  - Are additional resources available?
  - What are the possible sources?
  - How much time is required to obtain the resources?
  - What will the resources cost?
  - How will this use of resources affect other projects?



### 8.2.1.2 (Continued)

- If the schedule needs revision:
  - How much additional time is required?
  - How will it affect milestone accomplishment?
  - How will it affect time-phased goal achievement?
  
- If an alternative approach is necessary:
  - What alternatives are available?
  - How much time is required to implement a new approach?
  - How will it affect the goals?
  - How much will it cost?

### 8.2.1.2 (Continued)

- If the project or task is terminated, what is the impact on:
  - Goals?
  - CJS agencies?
  - Related projects?
  - The community?

It is obvious that a great many factors need to be considered in making the tradeoff analysis and that many of the possible decisions can have an effect in other areas. The object of the state's program is to weigh each possible corrective action carefully and to compare the possibilities before making the final decision.

**UPDATING OF PLANS**

## 9.0 UPDATING PLANS

### 9.1 REASONS FOR UPDATING PLANS

- Plans are updated to reflect changing situations during implementation.
- The following factors affect plans:
  - Results of progress appraisal
  - Changes in problems and priorities
  - Changes in policy, legislation, and technology
  - Changes in environment
  - Impact of related programs
  - Action-year reporting requirements.

## 9.2 UPDATING PROCEDURES

- Considerations in the updating of plans should include the following:
  - What are the changes in the crime problem during the past year?
  - How has the CJS adapted to the needs of the community as a result of current-year programs?
  - What changes have occurred in the community and environment during the past year?
  - What is the progress for each program during the previous year? Is the effort on schedule and within budget?
  - Have policy or legislative changes had any effect on the program?

## 9.2.1 STEPS IN THE UPDATING OF PLANS

In lieu of reissuing the entire comprehensive plan on an annual basis, we recommend the use of supplements reflecting changes in the plan.

- Existing Law Enforcement System and Available Resources
  - Document the changes in CJS resources and configuration during the past year. These changes should reflect the results of the current and prior action programs.

## 9.2.1 (Continued)

- Multi-Year Plan

- Describe any changes in problems and needs within the state during the previous year.
- Show the quantitative changes in needs and problems where possible.
- Prepare a revised set of priorities, comparing the new order of priorities with those of the previous year.
- Prepare a revised master list of projects showing new projects, continuing projects, and projects completed during the year.
- Prepare an updated schedule and milestone plan.
- Where goals have been changed, show a revised set of goals.

- Multi-Year Financial Plan

- Prepare a revised financial plan reflecting the changes in the program.

- Multi-Year Forecast of Results and Accomplishments

- Revise the forecast of results and accomplishments to reflect changes in problems, goals, and priorities and to show the results of the previous year's action program.

**PITFALLS IN PLANNING**



## 10.0 PITFALLS IN PLANNING

### 10.1 PITFALLS

- Gathering excessive data
  - Decide in advance what kind of data is needed.
  - Select data sources carefully to identify those most useful and pertinent.
- Misinterpretation of data
  - In reviewing and analyzing data, keep the problem in mind and be sure that the data applies.
  - When uncertain, seek expert opinion and judgment.
- Inadequate definition of the problem
  - When defining the problem, also define the limits of the problem.
  - When uncertain, seek expert opinion and judgment.

## 10.1 (Continued)

- Lack of understanding of the CJS
  - Recognize the lack of understanding.
  - Take steps for improvement:
    - Seek the opinions of experts.
    - Review relevant literature.
- Establishment of irrelevant goals
  - Define time-phased and quantified goals. *Extremely important!!!*
  - Focus on the problem.
- Premature acceptance of a plan without considering alternatives
  - Recognize that more than one approach is possible.
  - Give sufficient consideration to plan feasibility.

## 10.1 (Continued)

- Lack of a rationale for establishing priorities
  - Work on the most critical problems first.
  - Allocate resources in proportion to the importance of the problem, giving proper attention to critical problems.
  - Allocate sufficient funds to each project to obtain the stated goal.
- Lack of criteria for appraisal
  - Set performance standards for appraising progress.
  - Monitor progress of projects and tasks frequently. *Important!*  
*(Including on-site visits!)*
  - Take timely corrective action when needed.
- Misapplication of models and methodologies
  - Select well proven planning models or methodologies.
  - Ensure the validity of the planning methodology for CJS problems.

## 10.1 (Continued)

- Insufficient emphasis on planning in the organization
  - Identify planning as a separate and distinct function.
  - Focus the efforts of the planning staff on planning and minimize their other duties.
- Limited staff capability
  - Select staff personnel with adequate planning and CJS background.
  - Assign planning responsibilities in proportion to staff size and workload.
- Lack of coordination with other programs
  - Identify the ongoing efforts of related programs at state, regional, and local levels (e.g., Model Cities and Juvenile Delinquency Prevention and Control)
  - Define the relationship of other programs and planned CJS programs.
  - Establish working relationships with the planning staffs of related programs.

## 10.2 THE ORGANIZATION OF LONG-RANGE PLANNING IN THE CRIMINAL JUSTICE SYSTEM

- Several organizational needs and requirements were identified in a national survey of SPA planning.
  - Long-range planning needs a greater prominence and status in the staff structures of the SPA's.
  - Roles and responsibilities of the SPA and regional and local planning groups need clearer focus and definition.
  - Planning within the states needs to be more uniform and consistent.
  - The Multi-Year Plan and the Annual Action Program should be closely related and consistent.

## 10.2 (Continued)

- Each CJS planning unit should develop a master annual planning schedule to ensure the following:
  - An orderly framework for the planning process
  - The proper sequencing of planning steps
  - Involvement of the various levels and constituencies of planning at each major step
  - Communication and feedback among the various planning constituencies.
- The long-range planning function should be given prominence in staff planning agency structures.
- The duties of the staff position responsible for long-range planning should be defined in writing.

EXAMPLE MASTER PLANNING SCHEDULE FOR AN SPA

	FIRST QUARTER			SECOND QUARTER			THIRD QUARTER			FOURTH QUARTER		
	1	2	3	4	5	6	7	8	9	10	11	12
LONG-RANGE PLANNING, THREE TO FIVE YEARS												
REVIEW AND EVALUATION OF PREVIOUS YEAR'S ANNUAL ACTION PROGRAM	●	■	○									
DEVELOPMENT (AND UPDATING) OF MULTI-YEAR GOALS AND PRIORITIES	●	■	○									
DEVELOPMENT OF MULTI-YEAR PLANNING GUIDELINES			○	●	●							
PREPARATION OF PLANS FOR LONG-RANGE: MULTI-YEAR PROGRAM COMPONENTS MULTI-YEAR FINANCIAL PLANS					●	■	○					
PLANNING FOR NEXT ANNUAL ACTION YEAR												
REVIEW AND EVALUATION OF ANTICIPATED RESULTS OF CURRENT ACTION YEAR PROGRAMS									●	■	○	
PROJECTION OF NEXT YEAR'S ENVIRONMENT AND OF RESULTING NEEDS AND REQUIREMENTS									●	■	○	
DEVELOPMENT OF NEXT ANNUAL ACTION YEAR'S PROGRAM GOALS AND PRIORITIES									●	■	○	
PREPARATION OF PLANS FOR THE NEXT ANNUAL ACTION YEAR: PROGRAM COMPONENTS (CONSISTENT WITH MULTI-YEAR PLAN) PROGRAM BUDGETS (CONSISTENT WITH MULTI-YEAR PLAN)									●	■	○	
PLANNING FOR PROGRAM IMPLEMENTATION												●

LEGEND:

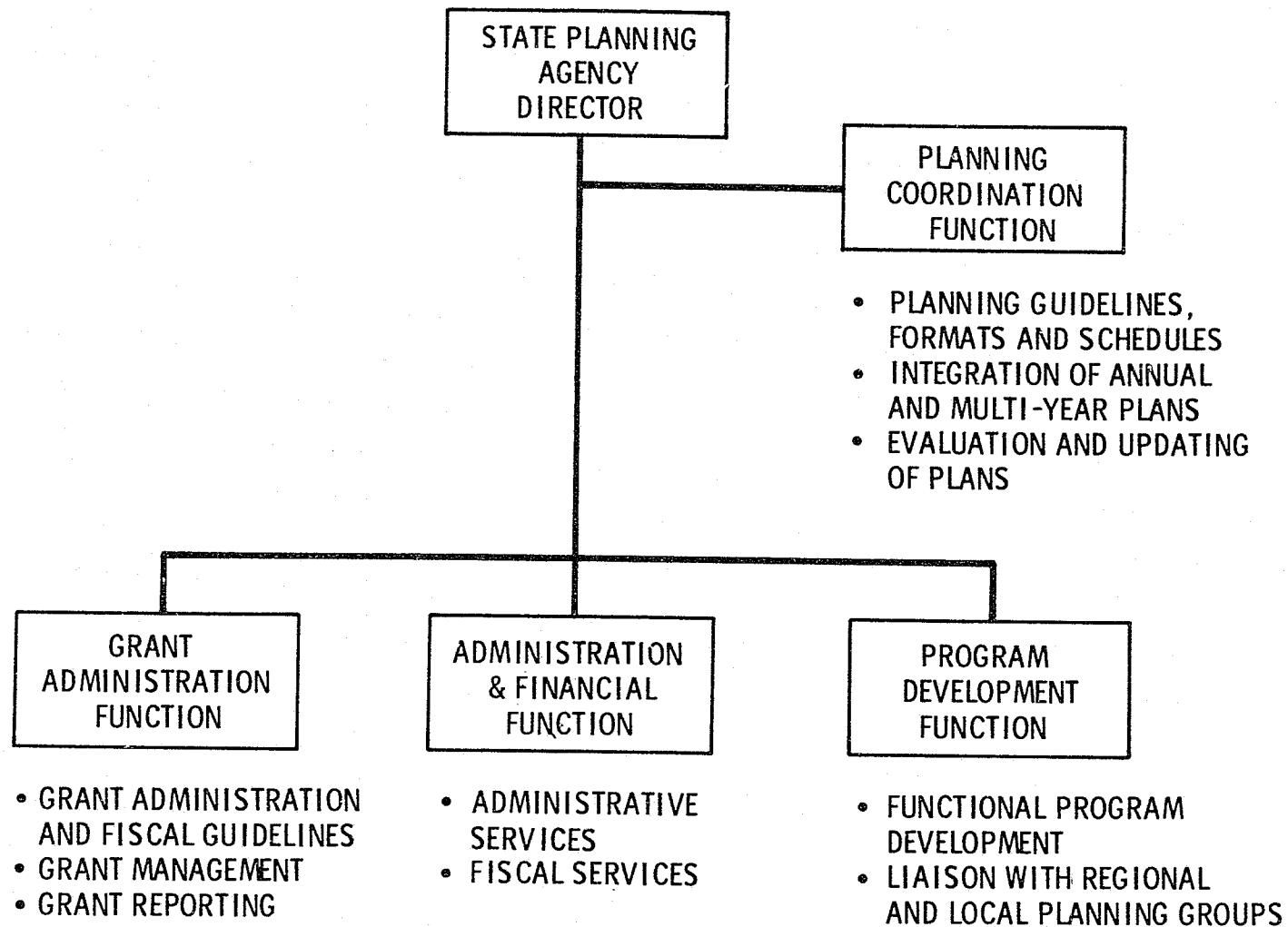
○ REVIEW BY SPA AND POLICY BOARD

● REVIEW BY LOCAL PLANNING AGENCIES

■ REVIEW BY REGIONAL PLANNING AGENCIES

← INDICATES THAT PLANNING ACTIVITY OFTEN WILL BE INITIATED WEEKS OR MONTHS IN ADVANCE OF TIME INDICATED BY SOLID BARS.

**EXAMPLE PLAN OF SPA FUNCTIONAL ORGANIZATION  
HIGHLIGHTING THE PLANNING FUNCTION**





**EXAMPLE OF RESPONSIBILITIES OF THE  
COMPREHENSIVE PLANNING COORDINATOR**

**REPORTS TO:** Director, SPA

**BASIC FUNCTION:** To ensure coordination of comprehensive law enforcement planning functions of the SPA.

**MAJOR RESPONSIBILITIES:**

- Integrate law enforcement plans and programs (annual and multi-year) into a comprehensive plan consistent with federal guidelines
- Recommend annually a comprehensive state law enforcement plan to the SPA director for review prior to consideration by the state policy board
- Acting in behalf of the executive director, ensure coordination of SPA staff efforts in the law enforcement planning and evaluation process, including the functions of long-range planning, annual planning and program development, and evaluation of implemented programs
- Develop, disseminate, and administer guidelines for preparation of the state comprehensive plan, including:
  - Consistent formats for planning
  - A master annual planning schedule which ensures the coordinated involvement of local, regional, and state law enforcement planning bodies
  - Agreed-upon priorities to guide planning
- Ensure development and execution of procedures for evaluating law enforcement programs as a basis for updating Multi-Year Plans and for preparing next year's Annual Action Program
- Provide technical assistance to local and regional bodies in law enforcement comprehensive planning
- Maintain liaison with state and Federal agencies to ensure coordination within the state of efforts related to law enforcement planning

**CONTINUED**

**2 OF 3**

**END**

7. *classmate*