

CHAPTER 4. THE ANNUAL ACTION PROGRAM

1. GENERAL. The test of the value of a comprehensive plan is how well the identified needs can be translated into effective action and beneficial results. The annual action program provides a bridge between the multiyear plan and improvement in the State CJ system.

The annual action plan spells out the objectives and strategies of the State's specific programs for the ensuing year. It describes what is done, who will do it, and how much it will cost. Figures 4-1 through 4-3 depict the process by which the annual action program is derived, according to the requirements contained in section 3 of Guideline Manual M4100.1C.

2. MAJOR SECTIONS. The major sections of the chapter are:

SECTION 1. RELATIONSHIP TO THE MULTIYEAR PLAN

SECTION 2. PROGRAM DESCRIPTION

SECTION 3. COMPLIANCE WITH FUNDING LIMITATIONS

SECTION 4. ASSISTANCE TO HIGH CRIME/LAW ENFORCEMENT ACTIVITY AREAS

SECTION 5. LOCAL PARTICIPATION AND FUND BALANCE

SECTION 6. STATEMENT OF ALLOCATION TO SUBSTANTIVE AREAS OF LAW ENFORCEMENT

SECTION 7. SPECIAL REQUIREMENTS

SECTION 8. MONITORING

SECTION 9. EVALUATION PROCESS

3. QUANTIFICATION. In the annual action plan, the SPA should quantify where possible, e.g., if minimum training standards are to be established, indicate the level; if caseloads per probation officer are to be reduced, indicate the new standards to be sought; if diagnostic services are to be extended to new geographic areas or offender types, describe them; if community-based residential homes for inner city delinquents are to be acquired or constructed,

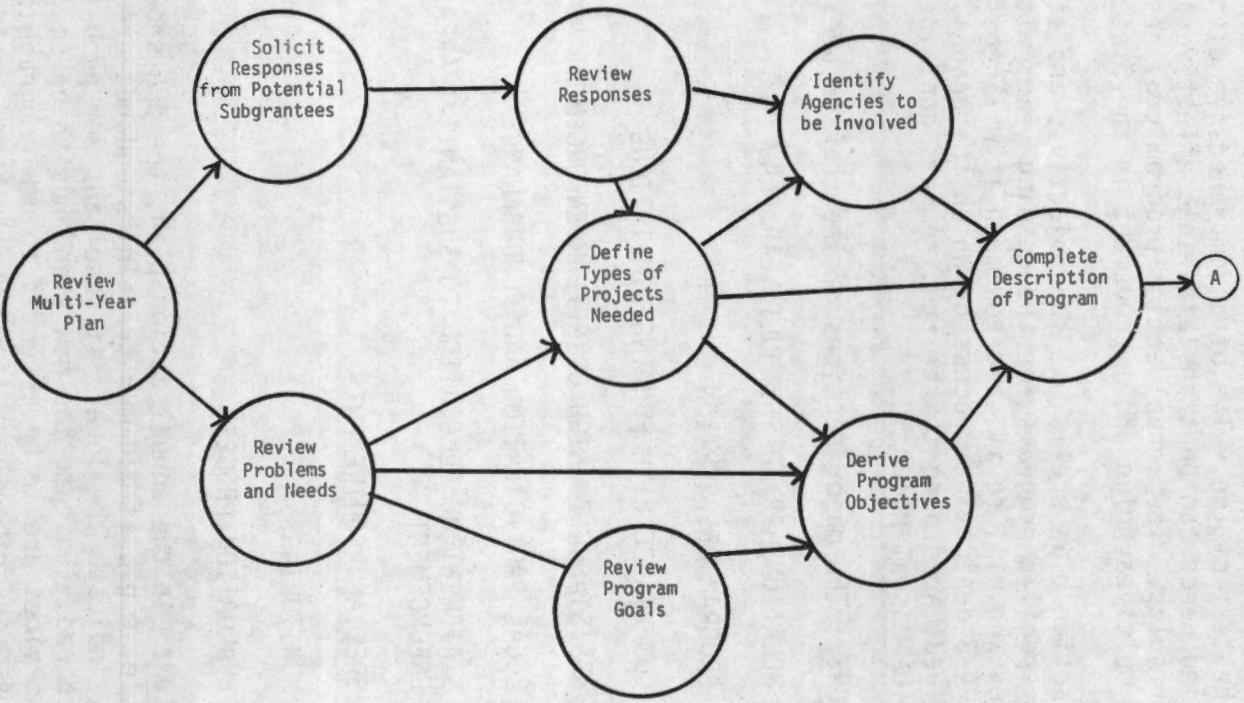


Figure 4-1: Compile annual action program.

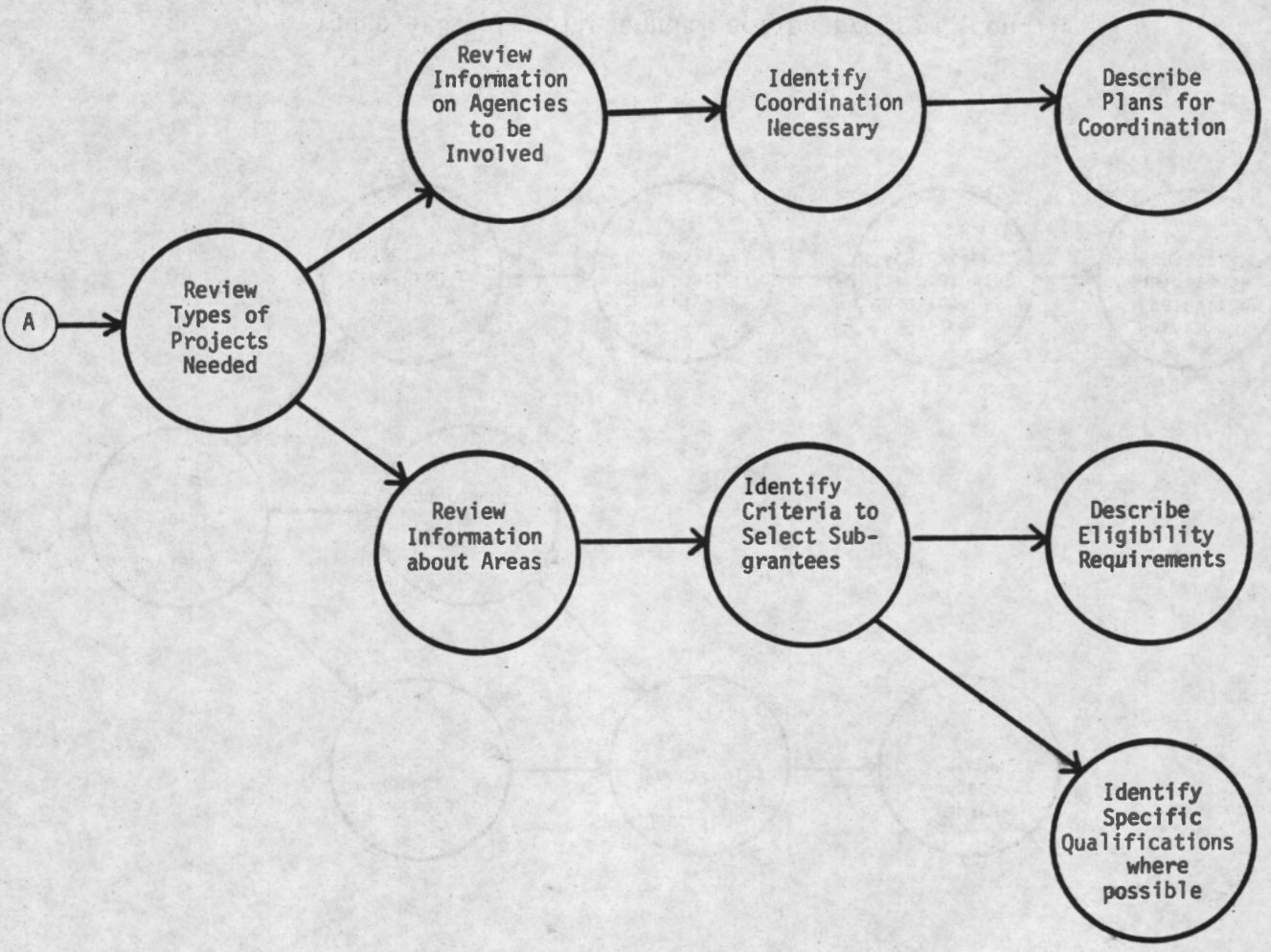


Figure 4-2: Compile annual action program (con.).

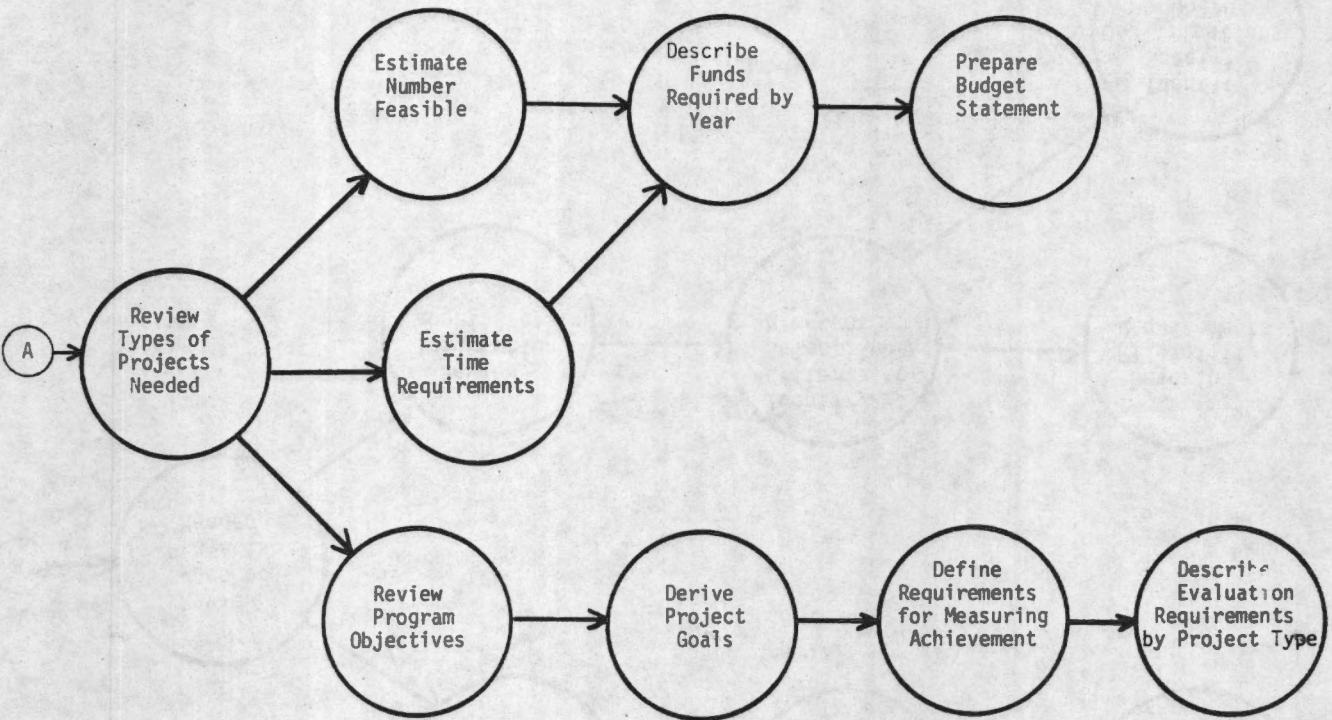


Figure 4-3: Compile annual action program (con.).

indicate the size of cities and segment or percent of delinquent population to be covered; if improvement of court processing time is planned, state specific goals as to reduction of delay (section 3, paragraph 73, page 101).

SECTION 1. RELATIONSHIP TO THE MULTIYEAR PLAN

Types of relationships are:

1. Targets. The targets of the annual action plan should flow directly from the subgoals of the multiyear plan. The logical order is that project objectives should be direct or proxy measures of subgoals; subgoals should be components or parts of overall goals; overall goals should be oriented towards preventing and reducing crime, improving criminal justice, and ensuring public safety.
2. Priorities. The priorities of the annual action program should be consistent with the priorities of the multiyear plan.
3. Contribution. Action project achievements should contribute toward realizing the standards set forth in the multiyear plan.
4. Forecasts. Forecasts of results and accomplishments of action projects should be in the multiyear plan.
5. Budget. Expenditures allocated in the annual action program should be consistent with the multiyear plan budget.

SECTION 2. PROGRAM DESCRIPTION

1. RECOMMENDED PROCESS FOR PROGRAM AREA DEFINITION.
 - a. Review the multiyear plan subgoals and standards.
 - b. Identify potential categories of eligible subgrantees and request their submission of information on possible projects. This requires early communication with local units concerning the problems and needs that have been identified previously.

- c. Review the description of problems and needs of the multiyear plan.
 - d. Identify all types of projects needed; state tentative targets and objectives for each.
 - e. Group potential projects according to common features such as the type of law enforcement and criminal justice resources being addressed. Each group (potential program area) must fall entirely within one functional category. Try different groupings until the projects remaining in each group have much in common. Avoid groupings that contain several diverse projects or that constitute too broad a scope. Divide groupings that are too diverse or broad. Consider each group as defining a tentative program.
 - f. Review the subgoals set by program standard in the multiyear plan.
 - g. Develop composite targets for each tentative program area; derive composite objective statements.
 - h. Compare the targets and statements of objectives with subgoals for program standards.
 - i. Reconcile discrepancies by broadening the subgoal statement of the program standard and/or by reassigning projects if necessary.
 - j. When the program areas do not cover all the needs that have been identified, additional types of projects should be identified and the program area targets should be broadened.
2. REPETITION. The above steps may require repetition or revisions to refine descriptions and insure adequate coverage by program area.
 3. PROGRAM DESCRIPTION FORMAT. Program areas can be described as parts of functional categories and composite statements of the types of projects that are to be included. Note that comprehensive program descriptions will link the annual action plan directly with the multiyear plan. Ideally, the program descriptions will be detailed statements of the manner in which the needs identified under the

functional category will be dealt with in the coming year. In addition, each program area description will be a general statement of what will be done in each type of project. Specifically, the desired format for program descriptions in the annual action plan, as outlined in section 3 of the Guideline Manual, provides for the following features:

- a. Program Title. A concise but definitive statement of one or two lines is needed. The title will serve to identify the program in future correspondence and reports.
- b. Program Objectives. The objective statement developed in the process described earlier must be included in the program description. This statement is the most important part of the description. It must describe in a few words what is to be accomplished in terms of end results that relate directly to the goals and standards of the multiyear plan. In many cases the objectives can and should be expressed in measurable terms. Where the objective cannot be expressed completely in measurable terms, it may be possible to derive two or more subobjectives in measurable terms. This is preferable to the alternative of watering down a comprehensive objective statement to make it be measurable. The measurable objective statements should be those planned for the evaluation component of the projects.

An example of a program objective with measurable subobjectives is--Improve the performance of police in towns of 25,000 population or more, measured by:

- (1) Reduction by 20 percent in public relations complaints received.
 - (2) Increase of 10 percent in satisfactory resolution or reported crime.
 - (3) Decrease of 33 percent in unreported person-to-person crime as measured in special surveys.
- c. Planned Activities to Be Implemented. The third aspect of the program description should contain a listing of the types of actions or projects to be carried out. The listing should be in narrative form with sufficient wording to convey clearly

- c. what will be done. Individual projects do not need to be listed; very similar projects should be grouped. It is essential that all types of activities to be undertaken be mentioned. Additionally, the general location of planned activities should be included. Anticipated accomplishments, in quantitative terms and in terms of general objectives, should be mentioned. The description of the future year's requirements should include a statement on anticipated costs and references to the multiyear budget.
- d. Special Requirements. Whenever special requirements such as additional radio frequencies are necessary, they should be discussed. A statement of assurance that the special requirements can be met should be included. Other types of special requirements that should be discussed are legislation needed, interagency cooperation, and special equipment.
- e. Subgrant Data. In preparing the description of each program, it is necessary to be fairly specific when a large number of subgrants are expected to be allocated to local units of government or to a class of State agencies. Where applicable, this section should indicate eligible classes of subgrantees and include general conditions, approximate number of anticipated aid recipients, monetary range of subgrants, and special requirements expected to be met by subgrantees. A table is best for these types of data; an example, table 4-1, is given on the next page. Section 3, Paragraph 73 of Guideline Manual M4100.1C lists other items that should be included wherever applicable.
- f. Budget. The anticipated funds to be expended on the program during the coming year should be listed in tabular form. An example is shown below.

Budget for Police Training in Communications

	<u>LEAA</u>	<u>State, Local or Other</u>	<u>Percentage of State or Local Match</u>
Part C Block Support	\$139,500	\$15,500	10%
Part E Block Support	\$ 0	\$ 0	
Program Total	\$139,500	\$15,500	10%

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Table 4-1: Subgrant data

Project Type	Subgrantee Type	Range of Subgrants	Expected Number of Subgrantees	Special Requirements on Subgrants
Police Training in Communications	Cities of over 25,000	\$10,000 to \$25,000	7	Application must contain training design
Police Training in Communications	Towns of 5,000 to 25,000	\$1,000 to \$9,000	25	Training must use standard design
Police Training in Communications	City of Oxford	\$50,000	1	One Subgrant only

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Explain all cases where the percentages of State or local matches are different from the percentage of the entire program budget. If Part C and Part E funds are both involved in a program, the percentage of each type funds should be included in the tabular listing of subgrant data. Guideline Manual M4100.1C also requires that Part C and Part E funds be accounted for separately.

SECTION 3. COMPLIANCE WITH FUNDING LIMITATIONS

1. GENERAL. It is intended that the annual action plan contain a one or two page statement on how the State is complying with the limitations on funding. It is advisable to include a statement on each type of limitation even if it does not apply. An example of statement of compliance is shown below.

Funds Available to Local Units. As provided for in Title I of the Omnibus Crime Control Act of 1973, as amended, States are required to pass on to units of local government that percentage of Part C action funds equal to the total local government expenditures in relationship to the total State government expenditures for law enforcement during the preceding fiscal year. The established ratio, based on criminal justice system expenditures for Fiscal Year 1973, is 70 percent/30 percent, local to State expenditures.

In the State of Arcadia, compliance with the pass-through requirement is being met as follows:

<u>Allocation</u>	<u>Percent</u>	<u>Amount</u>
Allocations made available to units of local government	70.0	\$ 7,000,000
Allocations made available to State-level agencies and programs	30.0	\$ 3,000,000
Total FY 74 Part C Allocation	100.0	\$10,000,000

The above does not include instances or programs where the State of Arcadia provides services to local units of government. These funds are handled by the mechanism of waiver by local units.

Waiver by Local Units. Of the funds provided to State units but charged to local units, \$500,000 is provisionally allocated to the State Crime Commission for the training of local personnel in various fields. This procedure was adopted in order to avoid the issuance of a plethora of subgrant awards. Reimbursement requests from units of local government will constitute appropriate waiver.

Construction Costs. No Part C or Part E funds are requested in the comprehensive plan to support construction programs.

Personnel Compensation. Certain limitations are placed on the use of Part C funds. Estimates for personnel compensation levels and increases in 1973 are identified as follows.

- a. Estimated total personnel compensation in all Part C programs (exclusive of compensation for time spent in conducting or undergoing training programs; time engaged in research, development, or other short-term programs): \$400,000.
- b. Estimated total personnel compensation in all Part C programs for police or other regular law enforcement personnel (exclusive of items listed above): \$40,000.
- c. Estimated total increases in personnel compensation of implementing agencies (exclusive of items above): \$4,500.
- d. Estimated expenditures from Federal share for the increased compensation projected in number three above (exclusive of items listed in number two and not to exceed 50 percent of item three): \$2,100.

Addenda on Awards of Advance Action Grant Funds. This section is not applicable as the State of Arcadia has not applied for advance award of any portion of the block grant allocation prior to this plan submission.

SECTION 4. ASSISTANCE TO HIGH CRIME/LAW ENFORCEMENT ACTIVITY AREAS

1. GENERAL. Adequate assistance must be provided to areas of high crime incidence and high law enforcement activities. To obtain LEAA approval, the State plan must document this assistance. The necessary steps for compliance are:
 - a. Identify the high crime/law enforcement areas;
 - b. Document that the assistance is adequate to these areas;
 - c. Relate the funds allocated for the levels of government to programs.
2. HIGH CRIME/LAW ENFORCEMENT AREA IDENTIFICATION.
 - a. Criteria. Chapter 3, paragraph 78 of Guideline Manual M4100.1C establishes the following criteria for classification as a high-crime/law enforcement area.
 - (1) Any city, county, or urban area where crime incidence and activities constitute 20 percent or more of major crime incidence and total law enforcement expenditures, whether or not crime rates are comparable or excessive in relation to other communities, or
 - (2) Any city or county with:
 - A population in excess of 150,000;
 - Annual "index" rate for serious crime (Part I offenses, as indicated in the most recent FBI Uniform Crime Report) of at least 2,500 offenses per 100,000 population; and
 - Annual per capita law enforcement expenditures (police, courts, and corrections combined) of at least \$25.

A State is not precluded from adding areas which do not satisfy the above criteria; nor is a State constrained from deleting an area satisfying the criteria if a lack of high incidence/activity can be demonstrated.

3. ADEQUACY OF ASSISTANCE. Adequate assistance must be provided to areas of high crime/law enforcement activity. The criterion for adequacy is reasonable emphasis. This means that demographic, economic, and crime and other factors must be included in fund allocation formulas if they are relevant to law enforcement and criminal justice problems.

4. RELATING TO UNITS OF GOVERNMENT. Programs directed toward or relevant to high crime/law enforcement areas should be identified. The fund allocation for these programs should be classified so that the programs are related to the following levels of government:
 - State government,
 - Combinations of units of general local government, and
 - Local units of government.

5. PURPOSE. The plan requirement allows the SPA to clearly identify areas of high crime/law enforcement activity. By relating funding to units of government with State programs, disparity in funding is highlighted and needs become visible for future planning.

SECTION 5. LOCAL PARTICIPATION AND FUND BALANCE

PLAN REQUIREMENT. Using concise narrative, describe procedures developed pursuant to section (3) and (14) of the Act to:

1. Encourage local initiative in the development of law enforcement programs and projects,
2. Provide funding incentives to units of local government which combine and/or coordinate functions or activities with other units, (for example, offering funding incentives to municipalities and counties which consolidate police departments), and
3. Assure balanced allocations of certain funds between and among the State and units of general local government.

SECTION 6. STATEMENT OF ALLOCATION TO
SUBSTANTIVE AREAS OF LAW ENFORCEMENT

1. GENERAL. The Guideline Manual specifies that the plan must demonstrate affirmatively that a rational and equitable allocation of funds is being made among the elements of the State system such that the needs of the system as a whole are being met. The omission of any major component, function or system from the annual or multiyear plan should be explained in detail.
2. SUGGESTED METHOD OF PRESENTATION. Graphic depiction is preferable to narrative whenever feasible (see figure 4-4). Narrative should be used only to explain and supplement information presented graphically.

SECTION 7. SPECIAL REQUIREMENTS

1. SUGGESTED METHOD OF PRESENTATION. Provide page references to the location of all text and data pertinent to Part E programs for the construction, acquisition, or renovation of correctional facilities and the improvement of correctional programs and practices within the State; also provide necessary assurances as outlined in paragraph 84 of Guideline Manual M4100.1C.

SECTION 8. MONITORING

1. INTRODUCTION. Monitoring is a process for periodically determining whether the subgrantee is fulfilling the fiscal and programmatic conditions of his grant award during the lifetime of the project.

Elements of Monitoring Procedure

- a. Milestones
- b. Rate of Completion
 - Volume
 - Coverage

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PROGRAM AREA	POLICE	COURTS	CORRECTIONS	TOTAL
Crime Detection	\$1,200,000		\$ 100,000	\$1,300,000
Criminal Investigation	3,300,000			3,300,000
Suspect Apprehension	1,600,000			1,600,000
Predispositional Management of Alleged Offenders			800,000	800,000
Criminal Defense		\$ 100,000		100,000
Criminal Prosecution		200,000		200,000
Adjudication		1,400,000		1,400,000
Sentencing/Disposition				
Personal Health				
Occupational Opportunities			200,000	200,000
Resocialization			3,100,000	3,100,000
TOTAL	\$6,100,000	\$1,700,000	\$4,200,000	\$12,000,000
PERCENTAGE OF TOTAL	50.8%	14.0%	35.2%	100%

Figure 4-4: Distribution of funds.

2. MILESTONES. Milestones are specified actions, events, or accomplishments achieved for work activities within a project or task. They are points in time which can be used to determine whether a project is proceeding according to schedule.
3. RATE OF COMPLETION. Rate of completion is determined by measuring the progress toward completion in terms of volume and geographical coverage.
4. PLAN REQUIREMENT. Monitoring should be an ongoing process. It permits an SPA to determine whether a particular program/project should be rescheduled, allocated additional resources, reoriented, cut back, restructured, or terminated.

The plan requirements for monitoring the Correctional System are given in chapter 3, paragraph 84, section 0. of the Guideline Manual.

SECTION 9. EVALUATION PROCESS

1. INTRODUCTION. The rationale favoring evaluation is simple and straightforward. Beyond the obvious advantage of providing trustworthy assessment of program and project effectiveness, evaluation techniques encourage ways of thinking which are educational and which may improve the performance of personnel involved in the evaluation process. By obtaining objective, systematic, and comprehensive information on the activities and outcomes of projects, valid judgments may be made concerning their desirability or value. Furthermore, as a recently published evaluation text asserts:

Government programs which provide social and education services to the public are generally costly in terms of money and manpower. Public administrators in such programs have the responsibility to account for their accomplishments. . . . Public accountability requires advance planning such that, for the resources available, the best possible program is implemented at the outset both in design and performance.^{1/}

^{1/}B. G. Greenberg, "Evaluation of Social Programs," in Readings in Evaluative Research, (New York: Russell Sage Foundation, 1971), p. 155.

In recognition of the responsibility to account for its accomplishments, LEAA has established evaluation requirements which are detailed in section 3 of Guideline Manual M4100.1C. The Annual Action Plan must include a discussion of the State planning agency provisions for allocation of staff and other resources to the evaluation of the present year and prior-year programs. This evaluation plan must meet the minimum requirement that:

15 percent of the total number of dollar value of subgrants from the Annual Action Plan must be evaluated or all subgrants awarded from at least one significant program area must be evaluated.

A base for individual subgrant evaluative efforts may be built upon the specification of a goal statement and measurable objectives in the subgrant application. The goal statement must clearly communicate the intended result of the project, that is, the anticipated change in the environment. Measurable objectives must be precise enough so that a person can, on the basis of data in project records, determine if the project goal has been achieved. The Guideline Manual specifies that the Annual Action Plan contain a statement indicating agency commitment to make provisions to insure that all significant subgrants contain measurable statements of objectives.

2. THE BASIC EVALUATION CONCEPT. In establishing the goals of an evaluation program the State planning agency may initially refer to guidelines provided by LEAA. According to Guideline Manual M4100.1C,

Program and project evaluation is necessary as a basis for updating and revising future plans, and to gauge success of implementation. Too little is known about the degree to which current projects and programs have been effective in meeting the goals which have been established for them. Moreover, even less is known about the relationship of improvements in the criminal justice system to the reduction of crime and delinquency.^{1/}

Thus, the purpose of an evaluation program is to produce objective data to measure the success of project implementation and to

^{2/}Guideline Manual, p. 120.

ascertain project effectiveness in the fulfillment of goals. In turn, the data is utilized in the planning process and in the measurement of correlation between improvements in the criminal justice system and crime reduction.

Evaluation strategies are formulated at three levels of endeavor in an ideal program administration. These levels include (1) determination of project progress and achievement of objectives, (2) individual program evaluation, and (3) assessment of the aggregate impact of programs on criminal justice improvement and crime reduction. The following types of evaluation, distinguished by Wholey, et. al., correspond to the aforementioned evaluation levels: (1) project evaluation--assessment of the effectiveness of an individual project in achieving its stated objectives, (2) program strategy evaluation--assessment of the relative effectiveness of different techniques used in a program, and (3) program impact evaluation--assessment of the overall effectiveness of a program in meeting its objectives, or assessment of the relative effectiveness of two or more programs in meeting common objectives. Monitoring, unlike evaluation, focuses on program (or project) inputs and assesses the managerial and operational efficiency of programs (or projects).

In addition to clarifying the purpose of evaluation, Guideline Manual M4100.1C enumerates the following elements which should receive attention in the development of an evaluation plan.

- The desirability of relating program impact evaluation to specific types of crime; and the need to link program strategy evaluation and the State's monitoring efforts;
- The assignment of responsibility for the administration of the evaluation program, including role clarification, use of staff resources, use of other studies, the cost of studies, the development of work plans, the use of results, and the anticipated difficulties;
- The need to develop staff members who can make use of current methodology, including criteria development, sampling techniques, isolation and control techniques, and the practical limitations to criminal justice program evaluation;

- The relative use and need for independent evaluation in lieu of self-evaluation in certain instances;
- Evaluation alternatives;
- The use and collection of statistics;
- Program and budget development feedback uses of evaluation results.

A key element of the design phase of the evaluation concept is a determination of the scope of the program. The Report of the LEAA Evaluation Policy Task Force recommends that the evaluation program address those criminal justice programs and projects:

- a. Which show maximum promise of reducing crime. LEAA's goal is to reduce crime and delinquency; its evaluation activities should retain the same emphasis.
- b. Which represent the expenditure of substantial amounts of LEAA's resources. The Congress is eager to know how effective the agency's program is. By studying in detail the programs for which substantial amounts of LEAA resources are ultimately allocated we can provide Congress the information needed.
- c. Which are of greatest interest to criminal justice practitioners. The evaluation program must recognize that LEAA serves State and local criminal justice decisionmakers, not itself or the research community. The subjects to be studied should therefore result from a process which involves input from State and local officials.
- d. Which involve the most significant assumptions and hypotheses of the criminal justice system. The evaluation program must also focus on those criminal justice programs which represent clear applications of the basic assumptions of current criminal justice practices. Together with a sophisticated research program, the evaluation program can serve not only to tell us where we are but where we should be going.

To summarize the plan requirement, State planning agency provisions for the evaluation of programs must be discussed with specific

references to the means by which evaluation will be carried out. As noted in the Guideline Manual, project evaluation may be accomplished by any or all of the following devices:

- Direct planning agency effort;
- Contract assistance;
- The subgrantee, in compliance with Grant Application Guidelines and with technical assistance from the SPA;
- The utilization of staff and other resources in the evaluation program.

CHAPTER 5. RELATED PLANS, PROGRAMS, AND SYSTEMS

SECTION 1. INTRODUCTION

Guideline Manual 4100.1C specifies that section 4 of the State Comprehensive Plan "describe the relationship of the plan to other relevant State or local law enforcement plans and systems."^{1/} This requirement entails the delineation of existing liaisons and cooperative arrangements with planning components of programs other than those funded by LEAA relating to criminal justice improvement and crime reduction. The maintenance of such liaisons and arrangements is essential to the effectiveness of the State Planning Agency's planning process, since it provides checks upon unnecessary duplication of effort and fosters maximum resourcefulness in the implementation of programs designed to improve law enforcement and criminal justice in the State. The section not only serves the purpose of providing LEAA with information on the extent of cooperative planning undertaken by the State Planning Agencies, but in addition, provides a "comprehensive blueprint for law enforcement reform"^{2/} by recording crime control programs undertaken within the State. This record may include programs where SPA involvement is limited; however, their inclusion is necessary for an evaluation of total progress and a determination of appropriate allocation of resources.

SECTION 2. OVERVIEW OF INTERDISCIPLINARY PROGRAMS

The plan requirement calls for separate discussion of SPA coordination with programs and plans administered under three major Federal legislative acts as well as mental health, drug abuse, and alcoholism State plans which are applicable to criminal justice programming. Each subsection should discuss, where relevant, 1) coordination of law enforcement planning components in each program with Title I planning, 2) joint or cooperative funding efforts, 3) staff contact and coordination with programs at SPA, regional, and local levels.

1. JUVENILE DELINQUENCY PREVENTION ACT. The purpose of the Juvenile Delinquency Prevention and Control Act of 1968 was to enable the

^{1/}Guideline Manual M4100.1C, p. 122.

^{2/}Ibid., p. 123.

Department of Health, Education, and Welfare (HEW) to assist and coordinate the efforts of public and private agencies engaged in combating juvenile delinquency. The necessity for coordination of State efforts funded under the Act with SPA planning was apparent due to the potential for duplication created by LEAA's prevention mandate; a potential further emphasized by the enactment of 1971 amendments to Title I, which included community-based juvenile delinquency prevention programming as an LEAA action grant area. The need for a delineation of the roles of HEW and LEAA with respect to combating juvenile delinquency was addressed in amendments to the Act in 1972. The Act attempts to divide responsibility between HEW and LEAA by focusing HEW efforts upon the prevention of delinquency in youths, through assisting States and local education agencies and other public and nonprofit private agencies to establish and operate community-based programs, including school programs. Emphasis is upon school-related programs which have not been and are not forecast as a focal point for LEAA prevention efforts. The framers of the 1972 legislation saw LEAA's authority as limited to prevention programs within the criminal justice system, while HEW would involve itself with programs outside the system, especially those related to the schools. However, such a division is not warranted by the language or legislative history of Title I. Thus, the need for cooperative efforts has not been alleviated by legislation subsequent to the 1968 Act. As the National Advisory Commission on Criminal Justice Standards and Goals recognized in its review of the situation:

With such a broad legislative mandate, LEAA must be and is in the process of designing guidelines, standards, and planning mechanisms which hopefully will impact delinquency without engaging itself or encouraging its grantees to engage in wasteful duplication, while still being able to fund whatever the State and local authorities find necessary to improve their system and reduce crime.^{1/}

2. THE MODEL CITIES PROGRAM UNDER THE DEMONSTRATION CITIES AND METROPOLITAN DEVELOPMENT ACT OF 1966. The purpose of this program was to develop model neighborhoods through measures designed to overcome

^{1/}National Advisory Commission on Criminal Justice Standards and Goals, Community Crime Prevention, 1973, p. 294.

social, economic, and physical problems in the area. It was hoped that these neighborhoods would eventually serve as prototypes for the initiation of similar programs in other areas. Crime prevention is an unquestionable concern of program attempts to upgrade the quality of community environment. LEAA is an authorized funding source for model cities programs and those funds which are being utilized to match approved model cities programs with the criminal justice improvement program should be discussed in the plan. Coordination between Model City and LEAA program planners will promote the design and implementation of resourceful measures to reduce criminal opportunity.

3. HIGHWAY SAFETY ACT OF 1966. Among the focal points of this Act are the development of motor vehicle safety design features, improved State and community highway safety programs, research and development of improved countermeasure programs, cooperation among the States, industry, and public and private organizations in efforts to overcome highway safety problems. The relation of these activities to the law enforcement system emphasizes the importance of coordinated LEAA and Highway Safety Act program planning.

SECTION 3. INTERACTIONS WITH ASSOCIATED PROGRAMS UNDER OTHER FEDERAL LAWS

Major law enforcement and crime control programs and projects under Federal grant-in-aid programs other than those described in separate subsections (as discussed above) should be listed in the plan as specified in section 4, paragraph 91 of the Guideline Manual. Descriptive data should include: 1) character of the project, 2) budget, 3) grantee agency, 4) Federal grantor agency. Examples of relevant legislation are:

- a. Public Law 92-255, which established as mandatory the designation of a single State agency for planning and implementation of drug abuse prevention programs.
- b. Title III of Public Law 93-203 - Comprehensive Employment and Training Act of 1973, which authorizes the establishment and administration by the Secretary of Labor of manpower services for youth and offenders.
- c. The Hughes Act of 1971, which funds programs for the prevention of alcoholism and alcohol abuse.

SECTION 4. OTHER LEAA GRANT PROGRAMS

Awards under LEAA Grant Programs other than action grants should be listed and described if they have not been integrated into the plan elsewhere. Examples of nonblock programs are:

1. LEAA Discretionary Grant Program in which action monies appropriated under the act are allocated at the discretion of LEAA as a means to advance national priorities, to fund relevant programs not emphasized in State plans, and to promote reform and experimentation within the law enforcement structure.
2. LEAA Manpower Development Programs.
 - LEEP (Law Enforcement Education Program),
 - Prosecutor Training, etc.
3. LEAA National Institute Program.

Programs funded by Discretionary Grants which must be discussed in separate subsections include any existing pilot city or impact city efforts within the State and comprehensive data systems programs of LEAA.

Pilot city programs are designed to demonstrate the ability of an interdisciplinary team with research and analysis expertise to significantly contribute to the improvements of an existing criminal justice system within a 5-year period; to institutionalize the gains made by creating capabilities for problem-oriented planning and program evaluation; and to devise methods for the dissemination of well-tested innovations.

The impact cities program is designed to effect tangible reduction in the incidence of stranger-to-stranger crime and burglary of 5 percent in 2 years and by 20 percent in 5 years in eight major cities. Results of the program will be processed for dissemination to other localities.

The Comprehensive Data System Program promotes the development of state-wide criminal justice data capabilities designed to meet operational and management requirements. The program is designed to coordinate State efforts through the exchange and sharing of methods, procedures, policies, and system components.

SECTION 5. MASTER PLANS

The comprehensive State plan is designed to provide a summation of the State's planning for the entire criminal justice system. A State may find that more detailed attention is warranted for one or more specific areas within the system. Master plans provide a mechanism by which a State may plan for these areas in depth. Ideally, a State's planning approach to master plans should be consistent with its approach to the comprehensive State plan (i.e., component, functional, or delivery systems).

It is recommended that all master plans which a State has completed, is in the process of completing, or proposes be listed in the related plans, programs, and systems section of the comprehensive State plan. Examples of master plans presently being developed by various States include: telecommunications, manpower, crime laboratories, and juvenile justice.

SECTION 6. RELATIONSHIPS TO ASSOCIATED PROGRAMS UNDER STATE LEGISLATION; COORDINATION WITH FEDERAL, STATE, AND LOCAL AGENCIES ADMINISTERING OTHER PROGRAMS

Coordinated planning efforts between SPA planners and planners of related programs should not be limited to those programs initiated under Federal legislation. Section 4 of the comprehensive plan should reflect SPA cognizance of State legislation that is designed to promote law enforcement and criminal justice improvement or is in any way related to the goals of LEAA programs. The plan should further discuss attempts by the SPA to establish cooperative arrangements and/or coordinated planning with program efforts resulting from such legislation.

In addition, to provide a complete record of law enforcement improvement and criminal justice activities within the State, the plan should identify those Federal, State, and local agencies which administer associated programs other than those funded by LEAA and indicate how SPA interfaces with these agencies works to promote coordinated planning. Attempts to establish intra- and interagency State information and statistics systems particularly emphasize the necessity for such coordination.

CHAPTER 6. PROGRESS REPORTS

SECTION 1. INTRODUCTION

1. REQUIREMENTS. Comprehensive planning for the State CJ system necessitates an effective method for the SPA to obtain and/or develop the kinds of reports which enable:
 - a. Planning, evaluation, and coordination of the statewide program;
 - b. Establishment of priorities;
 - c. Providing technical assistance and guidance to the operating components;
 - d. Advising the State Governor, the public, and the LEAA on the status of the State CJ system;
 - e. Preparation of the comprehensive plan;
 - f. Maintaining liaison with the LEAA.

SECTION 2. MANAGEMENT INFORMATION REPORTS

1. PURPOSE. The primary purpose of management reports is to enable the SPA to determine and monitor on a continuing basis the status, problems, and needs of the State law enforcement and criminal justice system. To achieve this goal, it is recommended that the SPA receive reports at a frequency necessary for effective management. Examples of recommended reports are listed below.
 - a. Activity Report. The head of each operating department should submit a report summarizing the activities in his department.
 - b. Statistics Tabulation. Each department's production statistics should be tabulated and submitted.
 - c. Resources. Each department should submit a report listing the quantity and type of nonhuman and human resources available within the departments.

- d. Correctional System. The State correctional system should provide a progress report monitoring the rate of prisoner rehabilitation and rates of recidivism in comparison with previous performance of the State or local correctional systems and current performance of other State and local prison systems not included in this program.

SECTION 3. MONITORING AND EVALUATION REPORTS

1. REQUIREMENTS. Monitoring and evaluation reports on State CJ programs should be produced to provide information about program impact and to provide guidance in developing future plans. The following requirements are set forth in chapter 3, section 5 of M4100.1C:

- a. Plan Requirement. Set out the following for each program in the plan of the prior year:
- (1) Title and amount of funding;
 - (2) Short statement of the goal;
 - (3) A description or evaluation of the programs:
 - impact on the criminal justice systems
 - impact on a specific crime problem
 - (4) Results of specified outstanding, large, or otherwise notable subgrants in this program;
 - (5) Description or evaluation of problems encountered in subscription, implementation, monitoring, evaluation, or applications of miscellaneous Federal or State requirements to this program;
 - (6) Use of results of this program in future plan development and implementation.
- b. Alternative Progress Report. Usually State progress reports are prepared for special legislative, public information, or other purposes. To the extent such reports, as approved by the LEAA Regional Administrator, can provide a complete program-by-program view of past funding results and a showing of the

uses of these results in plan development and implementation, they may be used in lieu of the format set forth in this section.

- c. Limits to Coverage. The requirements for progress reports are primarily concerned with annual action program content and the use of program results in feedback for future plan development. State planning agency operations, activities of supervisory boards, regional or local fund distribution, grant administration etc., are functions which are subject to Part B planning grant reporting requirements.
2. INTERACTION AND COORDINATION. The operating departments should provide a report evaluating the degree of interaction and coordination maintained between that department and other governmental and nongovernmental organizations at the same geographic level.
3. PROBLEMS AND NEEDS. Operating departments and regional and local planning agencies should submit an evaluation report describing problems and needs. This report should discuss the method for determining problems and needs, how they are measured, and a priority ranking. Changes from the previous year's ranking should be discussed.
4. USE. The monitoring and evaluation reports should inform the SPA of the progress made in reducing crime and juvenile delinquency.

SECTION 4. REPORTING SYSTEMS

The ability of the SPA to provide accurate summations of program progress is dependent upon the availability of reliable information on the progress and impact of individual subgrants. Subgrantee monitoring and evaluation information can be aggregated to provide essential feedback to planners and decisionmakers and to inform administrators of program status. Statements of measurable objectives in subgrant applications provide a basis for monitoring and evaluation by precisely defining measures of project achievement. To facilitate the processing of subgrant monitoring and evaluation data, the Grants Management Information Committee of the National Conference of State Criminal Justice Planning Administrators developed a uniform Grants Management Information System Plan which includes as a subsystem a monitoring audit/evaluation component. This subsystem will report subgrant progress as a basis of control, schedule on-site inspection visits,

collect inspection results, schedule audit activity, record audit results, schedule evaluation efforts and create a data base for analysis.^{1/}

Other possible information bases for determining program progress include crime reporting systems operating within the State as well as SPA in-house crime data banks. The Federal Bureau of Investigation compiles the Major Crime Index as a source of national crime statistics, while the existence of a Uniform Crime Reporting System (UCR) within the State provides a source of local crime statistics. The establishment of comprehensive statewide information systems for the capture, storage, retrieval, analysis, and exchange of criminal justice data has gained increasing impetus, especially under the auspices of LEAA discretionary funding.

^{1/} GMIS Committee, Work Plan Development of an SPA Grants Management Information System, November 1972.

APPENDIX 1. DEFINITIONS

ADVANCED TECHNIQUES OR ADVANCED PRACTICES - means comparable to the best contemporary methods, standards or requirements, as recognized by professional agencies or organizations or as suggested by technical assistance planning and design materials issued by LEAA.

ALTERNATIVE - Any of the single courses of action for achieving a goal when two or more courses of action are available.

BUY-IN REQUIREMENTS - For fiscal year 1974 and subsequent years, each State must provide in the aggregate not less than 50 percent of the required nonfederal funding which must be provided by units of local government for Part B planning and Part C block action grants. The requirements are applied to the total dollar figures that the States are required to pass through to local units of government for Part B planning and Part C block action grants.

COMBINATION - as applied to States or units of general local government, means any grouping or joining together of such States or units for the purpose of preparing, developing, or implementing a law enforcement plan.

COMPONENT APPROACH - A strategy for comprehensive planning of statewide program activities which embodies components (units of the criminal justice system) as first order groupings of plan elements that address overall goals.

COMPREHENSIVE - means that the plan must be a total and integrated analysis of the problems regarding the 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 non-institutional rehabilitation measures.

CONSTRUCTION - means the erection, acquisition, or major repair of new or existing buildings or other physical facilities, and the acquisition or installation of initial equipment for these facilities.

CORRECTIONAL INSTITUTION OR FACILITY - means any place for the confinement or rehabilitation of juvenile offenders or individuals charged with or convicted of criminal offenses.

CRIME - Acts violating societal norms as defined by statute or common law.

Major Crimes - Those offenses included under Part I of the Uniform Crime Reporting system - criminal homicide, forcible rape, assault, robbery, burglary, larceny, and auto theft.

Other Crimes - All other statutory or common law violations not included in UCR Part I.

CRIME ORIENTED PLANNING - Planning efforts specifically directed toward effecting prevention and reduction of crime.

CRIME RATE - The total number of UCR Part I offenses (homicide, forcible rape, robbery, assault, burglary, larceny, auto theft) reported per 100,000 population.

Violent Crime - Crimes against the person including homicide, forcible rape, robbery and assault.

Property Crime - Crimes against property including burglary, larceny, and auto theft.

CRIME SPECIFIC PLANNING FOCUS - A strategy for incorporating a summary of aggregated program activities which are focused on a selected type of crime.

CRIMINAL HISTORY INFORMATION - includes records and related data, contained in a criminal justice informational system compiled by law enforcement agencies for purposes of identifying criminal offenders and maintaining summaries of arrests, of the nature and disposition of criminal charges, and of sentencing, confinement, rehabilitation, and release.

DELIVERY SYSTEMS APPROACH - A strategy for comprehensive planning of statewide State CJ program activities which embodies outputs realized as first order groupings of plan elements that address overall goals.

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EVALUATION - is defined as determining the extent to which a program or project accomplished its objectives in terms of either preventing, controlling, or reducing crime or delinquency or of improving the administration of justice within the context of the comprehensive State plan.

FUNCTIONAL APPROACH - A strategy for comprehensive planning of statewide State CJ program activities which embodies categories of efforts as first order groupings of plan elements that address overall goals.

FUNCTIONAL CATEGORY - A grouping of standards, priorities, goals, programs, etc., according to their purpose or function. M4100.1C suggests nine such categories which may be adopted by a State for use in the Comprehensive Plan: Legislation; Planning and Evaluation; Research and Information Systems; Prevention; Detection, Deterrence, and Apprehension; Diversion; Adjudication; Institutional Rehabilitation; and Noninstitutional Rehabilitation.

GRANTS SPONSORED BY LEAA:

PLANNING GRANTS - PART B from the Omnibus Crime Control Act of 1973 - are grants issued to encourage States and units of general local government to prepare and adopt comprehensive law enforcement plans based on their evaluation of State and local problems of law enforcement.

ACTION GRANTS - PART C from the Omnibus Crime Control Act of 1973 - are grants issued for the purpose of encouraging States and units of general local government to carry out programs and projects to improve and strengthen law enforcement.

DISCRETIONARY GRANTS - PART C from the Omnibus Crime Control Act of 1973 - are grants issued for the purpose of encouraging States and units of general local government to carry out programs and projects to improve and strengthen law enforcement given out at the discretion of LEAA Administration for worthwhile projects.

PART D FUNDS from the Omnibus Crime Control Act of 1973 - are grants issued to provide for and encourage training, education, research and development for the purpose of improvement of law enforcement and developing new methods for the prevention and reduction of crime and the detection and apprehension of crimi-

nals. The following are classified as Part D. funds:

LEEP FUNDS from the Omnibus Crime Control Act of 1973 - are grants issued to enable the LEAA Administration to carry out programs of academic educational assistance to improve and strengthen law enforcement.

307 FUNDS from the Omnibus Crime Control Act of 1973 - are grants for programs and projects dealing with the prevention, detection, and control of riots and other violent civil disorders.

PART E BLOCK GRANTS from the Omnibus Crime Control Act of 1973 - are grants issued to encourage States and units of local government to develop and implement programs and projects for the construction, acquisition, and renovation of correctional institutes and facilities and for the improvement of correctional programs and practices.

GUIDELINE - is a statement of policy. In government, guidelines are used to complement or explain legislative provisions.

HARD MATCH REQUIREMENTS - Hard match must be new money, appropriated in the aggregate, by the State or local unit of government. The applicable percentages of hard match are as follows:

- (a) Beginning with fiscal year 1973 funds, the required percentage is 40 percent of the required nonfederal funding of the cost of any program or project under Part C Action funds.
- (b) Beginning with funds of fiscal year 1974, the required percentage is the total required nonfederal funding (10 or 50 percent) of the cost of any program or project under Part B planning and Part C and E Action funds.

HIGH CRIME INCIDENCE/LAW ENFORCEMENT ACTIVITY AREAS - Certain units of general local government, by definition, are presumed to be areas of high crime incidence/law enforcement activity. The State plan must demonstrate that an adequate level of Part C and Part E Block Grant assistance from State, county, and municipal resources is being allocated for the direct benefit of law enforcement and criminal justice

operations and citizens in these jurisdictions:

(a) Any city, county, or urban area:

- (1) to which 20 percent or more of major crime incidence or law enforcement activity expenditures are allocated in a metropolitan area or other combination of units of general local government; and
- (2) in which 20 percent or more of the major crime incidence and activities occur for a metropolitan area or other combination of units of general local government; or

(b) Any city or county with:

- (1) A population in excess of 150,000;
- (2) Annual "index" rate for serious crime (Part I Offenses, as indicated in the most recent FBI Uniform Crime Report) of at least 2,500 offenses per 100,000 population, and
- (3) Annual per capita law enforcement expenditures (police, courts, and corrections combined) of at least \$25.

NOTE: The foregoing presumption is not meant to exclude jurisdictions slightly short of the stated minimum criteria; or smaller areas which, for special reasons, the SPA feels should be characterized as high crime incidence/law enforcement activity areas; or to preclude the SPA from seeking to rebut the foregoing presumption by facts negating a finding of high crime incidence/law enforcement activity for a particular area within the scope of the presumption.

IMPACT CITIES PROGRAM - is a discretionary grant program designed to effect a tangible reduction in the incidence of stranger-to-stranger crime and burglary in eight large cities. The aim is to halt the increase of target crimes and to achieve a 5 percent reduction in 2 years and a 20 percent reduction in 5 years. The program focuses on the three basic elements of any criminal act: the offender, the target/victim and the crime setting, and the development of appropriate criminal justice system response in terms of prevention, deterrence, detection and apprehension, adjudication, and postadjudication processes.

INFORMATION SYSTEM - Any activity, manual or electronic, involving the acquisition, storage, retrieval, and exchange of operational or management information.

CRIMINAL JUSTICE - Any activity pertaining to crime prevention, control, or reduction, or to the enforcement of the criminal law, including but not limited to police efforts to prevent, control, or reduce crime or to apprehend criminals; activities or courts having criminal jurisdiction and related agencies (including prosecutorial and defender services); activities of corrections, probation, or parole authorities; and programs relating to the prevention, control, or reduction of juvenile delinquency or narcotic addiction.

MASTER PLAN - means a single document prepared in support of the Comprehensive Plan. It contains all of the information relating to the planning, execution, and evaluation of one specific area in the overall criminal justice system. Examples include: telecommunications, criminal information systems, manpower, crime laboratories, and juvenile justice.

METROPOLITAN AREA - means a standard metropolitan statistical area as established by the Office of Management and the Budget, subject, however, to such modifications and extensions as the Administration may determine to be appropriate.

MILESTONES - are specified actions, events, or accomplishments achieved for work activities within a project or task.

MONITORING - is the process by which surveillance is maintained over all projects and program tasks. Monitoring should identify problems as they arise, measure performance and progress, and indicate where replanning is necessary.

NEED - is a resource or action that will resolve or correct a problem. A need is identified by analysis of a problem.

OBJECTIVE - An objective, like a goal, is an end toward which effort is directed. Objectives are related to program areas and projects.

OMB CIRCULAR A-87 - This circular, issued on May 9, 1968, provides standard cost allocation and allowance principles for all Federal grant-in-

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aid programs dealing with State and local government. LEAA follows these policy guides and general allocation/allowance principles for its cost determinations in connection with Title I planning and action grants and the programs and projects to which they relate.

OMB CIRCULAR A-95 - was developed to encourage added cooperation with State and local government in evaluation, review, and coordination of Federal assistance programs and projects. It establishes a network of State, regional, and metropolitan clearinghouses for review of Federally funded projects. It also requires that the Federal agency (LEAA) be provided with information about the relationship of the annual Comprehensive State Plan to State comprehensive planning and to other State plans. Finally, the circular encourages coordination of planning in multijurisdictional areas.

OMB CIRCULAR A-102 - promulgates standards for establishment of consistency and uniformity among federal agencies in the administration of grants to States and local governments. Also included in the circular are standards to ensure the consistent implementation of sections 202, 203, and 204 of the Intergovernmental Cooperation Act of 1968.

OVERALL GOAL - A statement of the broad purpose of criminal justice programs. For example, prevention and reduction of crime and improvement in criminal justice.

PASS THROUGH REQUIREMENT - is an obligation on the part of the States to make:

- (a) Forty percent of all Federal planning grant funds available to local units of government or combinations of local units unless a waiver has been obtained, and
- (b) With respect to federal Part C block action grants beginning with fiscal year 1973, the States must make available to units of local government or combinations of local units the percentage of action funds equal to their expenditure in relationship to total nonfederal expenditure for law enforcement within the State during the preceding fiscal year. Prior to fiscal year 1973, States were required to make 75 percent of their federal Part C block action funds available to units of local government or combination of such units.

PLANNING - is the process of applying organized foresight, corrective hindsight, and coordination to the location, extent, and timing of public and private improvements in order to prevent or minimize maladjustment, defects and deficiencies.

PLANNING PROCESS - is the series of steps that are taken to derive a plan; or is the series of tasks undertaken to translate goals into specific actions to achieve the assigned goals.

PRIORITY - A preferential ranking of goals according to their importance.

PROBLEM - is a condition judged to be undesirable when compared to values and goals. A problem is a recognized inconsistency between what exists and what is desired or valued.

PROGRAMS OR PROGRAM AREAS - are major groupings or classifications of like projects within each of the State's broad functional categories for law enforcement and criminal justice improvement as adopted in its State plan. The character of component projects under a program should not be so diverse as to preclude any clear estimation of resources, activities, and achievable goals for the program as a whole (e.g., the combining of a major laboratory development and patrol improvement efforts in a single program under the "detection and apprehension" functional category). This is an indication that the program has been too broadly conceived and should be restructured into more than one program description.

PUBLIC AGENCY - means any State, unit of local government, combination of such States or units, or any department, agency, or instrumentality of the foregoing.

REGIONAL PLANNING UNIT - is any body so designated, which incorporates two or more units of general local government to administer planning funds and undertake law enforcement and criminal justice planning activities under the Act for a number of geographically proximate counties and/or municipalities. The regional planning unit is responsible for criminal justice planning, and coordinating and for taking cognizance of any local government's criminal justice planning activities.

SATISFACTORY ASSURANCE OR SATISFACTORY EMPHASIS - means a positive statement indicating specifically, by the provision of data, compliance with the legislative intent. Where standards do not presently meet the

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statutory requirements concerning appropriate community-based manpower and training emphasis (in the Part E comprehensive corrections program), provisions for implementation in the plan's action funding under Part C or Part E will be interpreted as "satisfactory assurance" or "emphasis."

STANDARD - is a formal expression of a norm.

STATE ORGANIZED CRIME PREVENTION COUNCIL - means a newly created council or existing agency of not more than seven persons, which is broadly representative of law enforcement officials within the State and whose members by virtue of their training or experience are knowledgeable in the prevention and control of organized crime.

STATE PLANNING AGENCY - Agency designed by the Governor of the State, pursuant to section 203(a) of the Crime Control Act of 1973, to be responsible for the preparation, development, and revision of State CJ Comprehensive Plans.

STATE PLANNING AGENCY SUPERVISORY BOARD - is a supervisory board (i.e., a board of directors, commission, committee, council, etc.), which has the responsibility for reviewing, approving, and maintaining general oversight of the State plan and its implementation. It must be representative of general local government and of public agencies maintaining programs to reduce and control crime. The composition of such boards may vary from state to state.

SUBGOAL - A statement of the purpose of a standard within criminal justice programs.

TARGET - A quantified indicator of anticipated accomplishment for overall goals, subgoals, or objectives.

TASK - A major subdivision of a project comprising a set of related activities and usually assigned to a single organization.

UNIT OF LOCAL GOVERNMENT - Any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a State, or an Indian tribe (which performs law enforcement functions as determined by the Secretary of the Interior).

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APPENDIX 2

PART 2A: SELECTED EXCERPTS FROM TITLE I

a. Section 203 (b).

"The State planning agency shall--

"(1) develop, in accordance with part C, a comprehensive state-wide 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."

b. Section 302.

"Any State desiring to participate in the grant program under this part shall establish a State planning agency as described in part B of this title and shall within six months after approval of a planning grant under part B submit to the Administration through such State planning agency a comprehensive State plan developed pursuant to part B of this title."

c. Section 303 (a), in part,

"Each such plan shall--

"(1) provide for the administration of such grants by the State planning agency;

"(2) provide that at least the per centum of Federal assistance granted to the State planning agency under this part for any fiscal year which corresponds to the per centum of the State and local law enforcement expenditures funded and expended in the immediately preceding fiscal year by units of general local government will be made

available to such units or combinations of such units in the immediately following fiscal year for the development and implementation of programs and projects for the improvement of law enforcement and criminal justice, and that with respect to such programs or projects the State will provide in the aggregate not less than one-half of the non-Federal funding. Per centum determinations under this paragraph for law enforcement funding and expenditures for such immediately preceding fiscal year shall be based upon the most accurate and complete data available for such fiscal year or for the last fiscal year for which such data are available. The Administration shall have the authority to approve such determinations and to review the accuracy and completeness of such data;

"(3) 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;

"(4) 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;

"(5) 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;

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"(6) provide for effective utilization of existing facilities and permit and encourage units of general local government to combine or provide for cooperative arrangements with respect to services, facilities, and equipment;

"(7) provide for research and development;

"(8) provide for appropriate review of procedures or actions taken by the State planning agency disapproving an application for which funds are available or terminating or refusing to continue financial assistance to units of general local government or combinations of such units;

"(9) demonstrate the willingness of the State and units of general local government to assume the costs of improvements funded under this part after a reasonable period of Federal assistance;

"(10) demonstrate the willingness of the State to contribute technical assistance or services for programs and projects contemplated by the statewide comprehensive plan and the programs and projects contemplated by units of general local government or combinations of such units;

"(11) set forth policies and procedures designed to assure that Federal funds made available under this title will be so used as not to supplant State or local funds, but to increase the amounts of such funds that would in the absence of such Federal funds be made available for law enforcement and criminal justice;

"(12) provide for such fund accounting, audit, monitoring, and evaluation procedures as may be necessary to assure fiscal control, proper management, and disbursement of funds received under this title;

"(13) provide for the maintenance of such data and information and for the submission of such reports in such form, at such times, and containing such data and information as the National Institute for Law Enforcement and Criminal Justice may reasonably require to evaluate pursuant to section 402(c) programs and projects carried out under this title and as the Administration may reasonably require to administer other provisions of this title;

"(14) provide funding incentives to those units of general local government that coordinate or combine law enforcement and criminal

justice functions or activities with other such units within the State for the purpose of improving law enforcement and criminal justice; and

"(15) provide for procedures that will insure that (A) all applications by units of general local government or combinations thereof to the State planning agency for assistance shall be approved or disapproved, in whole or in part, no later than ninety days after receipt by the State planning agency, (B) if not disapproved (and returned with the reasons for such disapproval, including the reasons for the disapproval of each fairly severable part of such application which is disapproved) within ninety days of such application, any part of such application which is not so disapproved shall be deemed approved for the purposes of this title, and the State planning agency shall disburse the approved funds to the applicant in accordance with procedures established by the Administration, (C) the reasons for disapproval of such application or any part thereof, in order to be effective for the purposes of this section, shall contain a detailed explanation of the reasons for which such application or any part thereof was disapproved, or an explanation of what supporting material is necessary for the State planning agency to evaluate such application, and (D) disapproval of any application or part thereof shall not preclude the resubmission of such application or part thereof to the State planning agency at a later date."

d. Section 303 (c).

"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 relate 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.

PART 2B. TITLE I OF THE OMNIBUS CRIME CONTROL
AND SAFE STREETS ACT OF 1968 -
P.L. 90-351 AS AMENDED BY THE OMNIBUS
CRIME CONTROL ACT OF 1970 - P.L. 91-644
AND THE CRIME CONTROL ACT OF 1973 -
P.L. 93-83

"TITLE I—LAW ENFORCEMENT ASSISTANCE

"DECLARATION AND PURPOSE

"Congress finds that the high incidence of crime in the United States threatens the peace, security, and general welfare of the Nation and its citizens. To reduce and prevent crime and juvenile delinquency, and to insure the greater safety of the people, law enforcement and criminal justice efforts must be better coordinated, intensified, and made more effective at all levels of government.

"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.

"It is therefore the declared policy of the Congress to assist State and local governments in strengthening and improving law enforcement and criminal justice at every level by national assistance. 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; (2) authorize grants to States and units of local government in order to improve and strengthen law enforcement and criminal justice; and (3) encourage research and development directed toward the improvement of law enforcement and criminal justice and the development of new methods for the prevention and reduction of crime and the detection, apprehension, and rehabilitation of criminals.

"PART A—LAW ENFORCEMENT ASSISTANCE ADMINISTRATION

"SEC. 101. (a) There is hereby established within the Department of Justice, under the general authority of the Attorney General, a Law Enforcement Assistance Administration (hereinafter referred to in this title as 'Administration') composed of an Administrator of Law Enforcement Assistance and two Deputy Administrators of Law Enforcement Assistance, who shall be appointed by the President, by and with the advice and consent of the Senate.

"(b) The Administrator shall be the head of the agency. One Deputy Administrator shall be designated the Deputy Administrator for Policy Development. The second Deputy Administrator shall be designated the Deputy Administrator for Administration.

"PART B—PLANNING GRANTS

"SEC. 201. It is the purpose of this part to encourage States and units of general local government to develop and adopt comprehensive law enforcement and criminal justice plans based on their evaluation of State and local problems of law enforcement and criminal justice.

State planning
agencies.

"SEC. 202. The Administration shall make grants to the States for the establishment and operation of State law enforcement and criminal justice planning agencies (hereinafter referred to in this title as 'State planning agencies') for the preparation, development, and revision of the State plan required under section 303 of this title. Any State may make application to the Administration for such grants within six months of the date of enactment of this Act.

"SEC. 203. (a) A grant made under this part to a State shall be utilized by the State to establish and maintain a State planning agency. Such agency shall be created or designated by the chief executive of the State and shall be subject to his jurisdiction. 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.

Functions.

"(b) The State planning agency shall—

"(1) develop, in accordance with part C, a comprehensive state-wide 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.

Funds,
availability.

"(c) The State planning agency shall make such arrangements as such agency deems necessary to provide that at least 40 per centum of all Federal funds granted to such agency under this part for any fiscal year will be available to units of general local government or combinations of such units to enable such units and combinations of such units to participate in the formulation of the comprehensive State plan required under this part. The Administration may waive this requirement, in whole or in part, upon a finding that the requirement is inappropriate in view of the respective law enforcement and criminal justice planning responsibilities exercised by the State and its units of general local government and that adherence to the requirement would not contribute to the efficient development of the State plan required under this part. In allocating funds under this subsection, the State planning agency shall assure that major cities and counties within the State receive planning funds to develop comprehensive plans and coordinate functions at the local level. Any portion of such 40 per centum in any State for any fiscal year not required for the purpose set forth in this subsection shall be available for expenditure by such State agency from time to time on dates during such year as the Administration may fix, for the development by it of the State plan required under this part.

Meetings.

"(d) 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. The State planning agency and any other planning organization for the purposes of the title shall provide for public access to all records relating to its functions under this Act, except

Records,
accessibility.

such records as are required to be kept confidential by any other provisors of local, State, or Federal law.

"SEC. 204. A Federal grant authorized under this part shall not exceed 90 per centum of the expenses incurred by the State and units of general local government under this part, and may be up to 100 per centum of the expenses incurred by regional planning units under this part. The non-Federal funding of such expenses, shall be of money appropriated in the aggregate by the State or units of general local government, except that the State shall provide in the aggregate not less than one-half of the non-Federal funding required of units of general local government under this part. Limitation.

"SEC. 205. Funds appropriated to make grants under this part for a fiscal year shall be allocated by the Administration among the States for use therein by the State planning agency or units of general local government, as the case may be. The Administration shall allocate \$200,000 to each of the States; and it shall then allocate the remainder of such funds available among the States according to their relative populations. Funds,
allocation.

"PART C—GRANTS FOR LAW ENFORCEMENT PURPOSES

"SEC. 301. (a) It is the purpose of this part to encourage States and units of general local government to carry out programs and projects to improve and strengthen law enforcement and criminal justice.

"(b) The Administration is authorized to make grants to States having comprehensive State plans approved by it under this part, for:

"(1) Public protection, including the development, demonstration, evaluation, implementation, and purchase of methods, devices, facilities, and equipment designed to improve and strengthen law enforcement and criminal justice and reduce crime in public and private places.

"(2) The recruiting of law enforcement and criminal justice personnel and the training of personnel in law enforcement and criminal justice.

"(3) Public education relating to crime prevention and encouraging respect for law and order, including education programs in schools and programs to improve public understanding of and cooperation with law enforcement and criminal justice agencies.

"(4) Constructing buildings or other physical facilities which would fulfill or implement the purpose of this section, including local correctional facilities, centers for the treatment of narcotic addicts, and temporary courtroom facilities in areas of high crime incidence.

"(5) The organization, education, and training of special law enforcement and criminal justice units to combat organized crime, including the establishment and development of State organized crime prevention councils, the recruiting and training of special investigative and prosecuting personnel, and the development of systems for collecting, storing, and disseminating information relating to the control of organized crime.

"(6) The organization, education, and training of regular law enforcement and criminal justice officers, special law enforcement and criminal justice units, and law enforcement reserve units for the prevention, detection, and control of riots and other violent civil disorders, including the acquisition of riot control equipment.

"(7) The recruiting, organization, training, and education of community service officers to serve with and assist local and State

law enforcement and criminal justice agencies in the discharge of their duties through such activities as recruiting; improvement of police-community relations and grievance resolution mechanisms; community patrol activities; encouragement of neighborhood participation in crime prevention and public safety efforts; and other activities designed to improve police capabilities, public safety and the objectives of this section: *Provided*, That in no case shall a grant be made under this subcategory without the approval of the local government or local law enforcement and criminal justice agency.

"(8) The establishment of a Criminal Justice Coordinating Council for any unit of general local government or any combination of such units within the State, having a population of two hundred and fifty thousand or more, to assure improved planning and coordination of all law enforcement and criminal justice activities.

"(9) The development and operation of community-based delinquent prevention and correctional programs, emphasizing halfway houses and other community-based rehabilitation centers for initial preconviction or post-conviction referral of offenders; expanded probationary programs, including paraprofessional and volunteer participation; and community service centers for the guidance and supervision of potential repeat youthful offenders.

"(10) The establishment of interstate metropolitan regional planning units to prepare and coordinate plans of State and local governments and agencies concerned with regional planning for metropolitan areas.

"(c) The portion of any Federal grant made under this section for the purposes of paragraph (4) of subsection (b) of this section may be up to 50 per centum of the cost of the program or project specified in the application for such grant. The portion of any Federal grant made under this section to be used for any other purpose set forth in this section may be up to 90 per centum of the cost of the program or project specified in the application for such grant. No part of any grant made under this section for the purpose of renting, leasing, or constructing buildings or other physical facilities shall be used for land acquisition. In the case of a grant under this section to an Indian tribe or other aboriginal group, if the Administration determines that the tribe or group does not have sufficient funds available to meet the local share of the cost of any program or project to be funded under the grant, the Administration may increase the Federal share of the cost thereof to the extent it deems necessary. The non-Federal funding of the cost of any program or project to be funded by a grant under this section shall be of money appropriated in the aggregate, by State or individual units of government, for the purpose of the shared funding of such programs or projects.

Prohibition,

Limitation,

"(d) Not more than one-third of any grant made under this section may be expended for the compensation of police and other regular law enforcement and criminal justice personnel. The amount of any such grant expended for the compensation of such personnel shall not exceed the amount of State or local funds made available to increase such compensation. The limitations contained in this subsection shall not apply to the compensation of personnel for time engaged in conducting or undergoing training programs or to the compensation of personnel engaged in research, development, demonstration or other short-term programs.

"Sec. 302. Any State desiring to participate in the grant program under this part shall establish a State planning agency as described in part B of this title and shall within six months after approval of a planning grant under part B submit to the Administration through such State planning agency a comprehensive State plan developed pursuant to part B of this title. State participation.

"Sec. 303. (a) The Administration shall make grants under this title to a State planning agency if such agency has on file with the Administration an approved comprehensive State plan (not more than one year in age) which conforms with the purposes and requirements of this title. 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. 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. Each such plan shall— Comprehensive State plans, requirements.

"(1) provide for the administration of such grants by the State planning agency;

"(2) provide that at least the per centum of Federal assistance granted to the State planning agency under this part for any fiscal year which corresponds to the per centum of the State and local law enforcement expenditures funded and expended in the immediately preceding fiscal year by units of general local government will be made available to such units or combinations of such units in the immediately following fiscal year for the development and implementation of programs and projects for the improvement of law enforcement and criminal justice, and that with respect to such programs or projects the State will provide in the aggregate not less than one-half of the non-Federal funding. Per centum determinations under this paragraph for law enforcement funding and expenditures for such immediately preceding fiscal year shall be based upon the most accurate and complete data available for such fiscal year or for the last fiscal year for which such data are available. The Administration shall have the authority to approve such determinations and to review the accuracy and completeness of such data;

"(3) 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;

"(4) 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;

"(5) 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;

"(6) provide for effective utilization of existing facilities and permit and encourage units of general local government to combine or provide for cooperative arrangements with respect to services, facilities, and equipment;

"(7) provide for research and development;

"(8) provide for appropriate review of procedures of actions taken by the State planning agency disapproving an application for which funds are available or terminating or refusing to continue financial assistance to units of general local government or combinations of such units;

"(9) demonstrate the willingness of the State and units of general local government to assume the costs of improvements funded under this part after a reasonable period of Federal assistance;

"(10) demonstrate the willingness of the State to contribute technical assistance or services for programs and projects contemplated by the statewide comprehensive plan and the programs and projects contemplated by units of general local government or combinations of such units;

"(11) set forth policies and procedures designed to assure that Federal funds made available under this title will be so used as not to supplant State or local funds, but to increase the amounts of such funds that would in the absence of such Federal funds be made available for law enforcement and criminal justice;

"(12) provide for such fund accounting, audit, monitoring, and evaluation procedures as may be necessary to assure fiscal control, proper management, and disbursement of funds received under this title;

"(13) provide for the maintenance of such data and information, and for the submission of such reports in such form, at such times, and containing such data and information as the National Institute for Law Enforcement and Criminal Justice may reasonably require to evaluate pursuant to section 402(c) programs and projects carried out under this title and as the Administration may reasonably require to administer other provisions of this title;

"(14) provide funding incentives to those units of general local government that coordinate or combine law enforcement and criminal justice functions or activities with other such units within the State for the purpose of improving law enforcement and criminal justice; and

"(15) provide for procedures that will insure that (A) all applications by units of general local government or combinations thereof to the State planning agency for assistance shall be approved or disapproved, in whole or in part, no later than ninety days after receipt by the State planning agency, (B) if not disapproved (and returned with the reasons for such disapproval, including the reasons for the disapproval of each fairly severable part of such application which is disapproved) within ninety days of such application, any part of such application which is not so disapproved shall be deemed approved for the purposes

of this title, and the State planning agency shall disburse the approved funds to the applicant in accordance with procedures established by the Administration, (C) the reasons for disapproval of such application or any part thereof, in order to be effective for the purposes of this section, shall contain a detailed explanation of the reasons for which such application or any part thereof was disapproved, or an explanation of what supporting material is necessary for the State planning agency to evaluate such application, and (D) disapproval of any application or part thereof shall not preclude the resubmission of such application or part thereof to the State planning agency at a later date.

Any portion of the per centum to be made available pursuant to paragraph (2) of this section in any State in any fiscal year not required for the purposes set forth in such paragraph (2) shall be available for expenditure by such State agency from time to time on dates during such year as the Administration may fix, for the development and implementation of programs and projects for the improvement of law enforcement and criminal justice and in conformity with the State plan.

Funds,
availability.

"(b) 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.

"(c) 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.

"Sec. 304. State planning agencies shall receive applications for financial assistance from units of general local government and combinations of such units. When a State planning agency determines that such an application is in accordance with the purposes stated in section 301 and is in conformance with any existing statewide comprehensive law enforcement plan, the State planning agency is authorized to disburse funds to the applicant.

"Sec. 305. Where a State has failed to have a comprehensive State plan approved under this title within the period specified by the Administration for such purpose, the funds allocated for such State under paragraph (1) of section 306(a) of this title shall be available for reallocation by the Administration under paragraph (2) of section 306(a).

Funds,
reallocation.

"Sec. 306. (a) The funds appropriated each fiscal year to make grants under this part shall be allocated by the Administration as follows:

Funds,
allocation.

"(1) Eighty-five per centum of such funds shall be allocated among the States according to their respective populations for grants to State planning agencies.

"(2) Fifteen per centum of such funds, plus any additional amounts made available by virtue of the application of the provisions of sections 305 and 509 of this title to the grant of any State, may, in the discretion of the Administration, be allocated among the States for grants to State planning agencies, units of general local government, combinations of such units, or private nonprofit organizations, according to the criteria and on the terms and conditions the Administration determines consistent with this title.

Prohibition.

Any grant made from funds available under paragraph (2) of this subsection may be up to 90 per centum of the cost of the program or project for which such grant is made. No part of any grant under such paragraph for the purpose of renting, leasing, or constructing buildings or other physical facilities shall be used for land acquisition. In the case of a grant under such paragraph to an Indian tribe or other aboriginal group, if the Administration determines that the tribe or group does not have sufficient funds available to meet the local share of the costs of any program or project to be funded under the grant, the Administration may increase the Federal share of the cost thereof to the extent it deems necessary. The limitations on the expenditure of portions of grants for the compensation of personnel in subsection (d) of section 301 of this title shall apply to a grant under such paragraph. The non-Federal share of the cost of any program or project to be funded under this section shall be of money appropriated in the aggregate by the State or units of general local government, or provided in the aggregate by a private nonprofit organization. The Administration shall make grants in its discretion under paragraph (2) of this subsection in such a manner as to accord funding incentives to those States or units of general local government that coordinate law enforcement and criminal justice functions and activities with other such States or units of general local government thereof for the purpose of improving law enforcement and criminal justice.

Funds,
reallocation.

"(b) If the Administration determines, on the basis of information available to it during any fiscal year, that a portion of the funds allocated to a State for that fiscal year for grants to the State planning agency of the State will not be required by the State, or that the State will be unable to qualify to receive any portion of the funds under the requirements of this part, that portion shall be available for reallocation to other States under paragraph (1) of subsection (a) of this section.

"Sec. 307. In making grants under this part, the Administration and each State planning agency, as the case may be, shall give special emphasis, where appropriate or feasible, to programs and projects dealing with the prevention, detection, and control of organized crime and of riots and other violent civil disorders.

"Sec. 308. Each State plan submitted to the Administration for approval under section 302 shall be either approved or disapproved, in whole or in part, by the Administration no later than ninety days after the date of submission. If not disapproved (and returned with the reasons for such disapproval) within such ninety days of such application, such plan shall be deemed approved for the purposes of this title. The reasons for disapproval of such plan, in order to be effective for the purposes of this section, shall contain an explanation of which requirements enumerated in section 302(b) such plan fails to comply with, or an explanation of what supporting material is necessary for the Administration to evaluate such plan. For the purposes of this section, the term 'date of submission' means the date on which a State plan which the State has designated as the 'final State plan application' for the appropriate fiscal year is delivered to the Administration.

"Date of
submission."

**"PART D—TRAINING, EDUCATION, RESEARCH, DEMONSTRATION, AND
SPECIAL GRANTS**

"Sec. 401. It is the purpose of this part to provide for and encourage training, education, research, and development for the purpose of improving law enforcement and criminal justice, and developing new methods for the prevention and reduction of crime, and the detection and apprehension of criminals.

"Sec. 402. (a) There is established within the Department of Justice a National Institute of Law Enforcement and Criminal Justice (hereafter referred to in this part as 'Institute'). The Institute shall be under the general authority of the Administration. The chief administrative officer of the Institute shall be a Director appointed by the Administrator. It shall be the purpose of the Institute to encourage research and development to improve and strengthen law enforcement and criminal justice, to disseminate the results of such efforts to State and local governments, and to assist in the development and support of programs for the training of law enforcement and criminal justice personnel.

National
Institute of
Law Enforce-
ment and
Criminal
Justice,
establishment.

"(b) The Institute is authorized—

Functions.

"(1) to make grants to, or enter into contracts with, public agencies, institutions of higher education, or private organizations to conduct research, demonstrations, or special projects pertaining to the purposes described in this title, including the development of new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement and criminal justice;

"(2) to make continuing studies and undertake programs of research to develop new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement and criminal justice, including, but not limited to, the effectiveness of projects or programs carried out under this title;

"(3) to carry out programs of behavioral research designed to provide more accurate information on the causes of crime and the effectiveness of various means of preventing crime, and to evaluate the success of correctional procedures;

"(4) to make recommendations for action which can be taken by Federal, State, and local governments and by private persons and organizations to improve and strengthen law enforcement and criminal justice;

"(5) to carry out programs of instructional assistance consisting of research fellowships for the programs provided under this section, and special workshops for the presentation and dissemination of information resulting from research, demonstrations, and special projects authorized by this title;

"(6) to assist in conducting, at the request of a State or a unit of general local government or a combination thereof, local or regional training programs for the training of State and local law enforcement and criminal justice personnel, including but not limited to those engaged in the investigation of crime and apprehension of criminals, community relations, the prosecution or defense of those charged with crime, corrections, rehabilitation, probation and parole of offenders. Such training activities shall be designed to supplement and improve rather than supplant the training activities of the State and units of general local government and shall not duplicate the training activities of the Federal Bureau of Investigation under section 404 of this title. While participating in the training program or traveling in connection with

80 Stat. 499;
83 Stat. 190.

participation in the training program, State and local personnel shall be allowed travel expenses and a per diem allowance in the same manner as prescribed under section 5703 (b) of title 5, United States Code, for persons employed intermittently in the Government service;

"(7) to carry out a program of collection and dissemination of information obtained by the Institute or other Federal agencies, public agencies, institutions of higher education, or private organizations engaged in projects under this title, including information relating to new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement; and

"(8) to establish a research center to carry out the programs described in this section.

"(c) The Institute shall serve as a national and international clearinghouse for the exchange of information with respect to the improvement of law enforcement and criminal justice, including but not limited to police, courts, prosecutors, public defenders, and corrections.

"The Institute shall undertake, where possible, to evaluate the various programs and projects carried out under this title to determine their impact upon the quality of law enforcement and criminal justice and the extent to which they have met or failed to meet the purposes and policies of this title, and shall disseminate such information to State planning agencies and, upon request, to units of general local government.

Survey.

"The Institute shall, before the end of the fiscal year ending June 30, 1976, survey existing and future personnel needs of the Nation in the field of law enforcement and criminal justice and the adequacy of Federal, State and local programs to meet such needs. Such survey shall specifically determine the effectiveness and sufficiency of the training and academic assistance programs carried out under this title and relate such programs to actual manpower and training requirements in the law enforcement and criminal justice field. In carrying out the provisions of this section, the Director of the Institute shall consult with and make maximum use of statistical and other related information of the Department of Labor, Department of Health, Education, and Welfare, Federal, State and local criminal justice agencies and other appropriate public and private agencies. The Administration shall thereafter, within a reasonable time develop and issue guidelines, based upon the need priorities established by the survey, pursuant to which project grants for training and academic assistance programs shall be made.

Guidelines.

Report to
President,
Congress, and
non-Federal
agencies.

"The Institute shall report annually to the President, the Congress, the State planning agencies, and, upon request, to units of general local government, on the research and development activities undertaken pursuant to paragraphs (1), (2), and (3) of subsection (b), and shall describe in such report the potential benefits of such activities of law enforcement and criminal justice and the results of the evaluations made pursuant to the second paragraph of this subsection. Such report shall also describe the programs of instructional assistance, the special workshops, and the training programs undertaken pursuant to paragraphs (5) and (6) of subsection (b).

Grants,
amounts.

"SEC. 403. A grant authorized under this part may be up to 100 per centum of the total cost of each project for which such grant is made. The Administration or the Institute shall require, whenever feasible, as a condition of approval of a grant under this part, that the recipient contribute money, facilities, or services to carry out the purposes for which the grant is sought.

"Sec. 404. (a) The Director of the Federal Bureau of Investigation is authorized to— Training programs.

"(1) establish and conduct training programs at the Federal Bureau of Investigation National Academy at Quantico, Virginia, to provide, at the request of a State or unit of local government, training for State and local law enforcement and criminal justice personnel;

"(2) develop new or improved approaches, techniques, systems, equipment, and devices to improve and strengthen law enforcement and criminal justice;

"(3) assist in conducting, at the request of a State or unit of local government, local and regional training programs for the training of State and local law enforcement and criminal justice personnel engaged in the investigation of crime and the apprehension of criminals. Such training shall be provided only for persons actually employed as State police or highway patrol, police of a unit of local government, sheriffs and their deputies, and other persons as the State or unit may nominate for police training while such persons are actually employed as officers of such State or unit; and

"(4) cooperate with the Institute in the exercise of its responsibilities under section 402(b) (6) of this title.

"(b) In the exercise of the functions, powers, and duties established under this section the Director of the Federal Bureau of Investigation shall be under the general authority of the Attorney General.

"Sec. 405. (a) Subject to the provisions of this section, the Law Enforcement Assistance Act of 1965 (79 Stat. 828) is repealed: *Provided, That—*

18 USC prec.
3001 note.

"(1) The Administration, or the Attorney General until such time as the members of the Administration are appointed, is authorized to obligate funds for the continuation of projects approved under the Law Enforcement Assistance Act of 1965 prior to the date of enactment of this Act to the extent that such approval provided for continuation.

"(2) Any funds obligated under subsection (1) of this section and all activities necessary or appropriate for the review under subsection (3) of this section may be carried out with funds previously appropriated and funds appropriated pursuant to this title.

"(3) Immediately upon establishment of the Administration, it shall be its duty to study, review, and evaluate projects and programs funded under the Law Enforcement Assistance Act of 1965. Continuation of projects and programs under subsections (1) and (2) of this section shall be in the discretion of the Administration.

"Sec. 406. (a) Pursuant to the provisions of subsections (b) and (c) of this section, the Administration is authorized, after appropriate consultation with the Commissioner of Education, to carry out programs of academic educational assistance to improve and strengthen law enforcement and criminal justice. Educational assistance programs.

"(b) The Administration is authorized to enter into contracts to make, and make payments to institutions of higher education for loans, not exceeding \$2,200 per academic year to any person, to persons enrolled on a full-time basis in undergraduate or graduate programs approved by the Administration and leading to degrees or certificates in areas directly related to law enforcement and criminal justice or suitable for persons employed in law enforcement and criminal justice, with special consideration to police or correctional personnel of States or units of general local government on academic Contract authority.

Tuition and
fees.

Service
agreements.

Grants.

Contract
authority.

leave to earn such degrees or certificates. Loans to persons assisted under this subsection shall be made on such terms and conditions as the Administration and the institution offering such programs may determine, except that the total amount of any such loan, plus interest, shall be canceled for service as a full-time officer or employee of a law enforcement and criminal justice agency at the rate of 25 per centum of the total amount of such loans plus interest for each complete year of such service or its equivalent of such service, as determined under regulations of the Administration.

"(c) The Administration is authorized to enter into contracts to make, and make, payments to institutions of higher education for tuition, books and fees, not exceeding \$250 per academic quarter or \$400 per semester for any person, for officers of any publicly funded law enforcement agency enrolled on a full-time or part-time basis in courses included in an undergraduate or graduate program which is approved by the Administration and which leads to a degree or certificate in an area related to law enforcement and criminal justice or an area suitable for persons employed in law enforcement and criminal justice. Assistance under this subsection may be granted only on behalf of an applicant who enters into an agreement to remain in the service of a law enforcement and criminal justice agency employing such applicant for a period of two years following completion of any course for which payments are provided under this subsection, and in the event such service is not completed, to repay the full amount of such payments on such terms and in such manner as the Administration may prescribe.

"(d) Full-time teachers or persons preparing for careers as full-time teachers of courses related to law enforcement and criminal justice or suitable for persons employed in law enforcement, in institutions of higher education which are eligible to receive funds under this section, shall be eligible to receive assistance under subsections (b) and (c) of this section as determined under regulations of the Administration.

"(e) The Administration is authorized to make grants to or enter into contracts with institutions of higher education, or combinations of such institutions, to assist them in planning, developing, strengthening, improving, or carrying out programs or projects for the development or demonstration of improved methods of law enforcement and criminal justice education, including—

"(1) planning for the development or expansion of undergraduate or graduate programs in law enforcement and criminal justice;

"(2) education and training of faculty members;

"(3) strengthening the law enforcement and criminal justice aspects of courses leading to an undergraduate, graduate, or professional degree; and

"(4) research into, and development of, methods of educating students or faculty, including the preparation of teaching materials and the planning of curriculums.

The amount of a grant or contract may be up to 75 per centum of the total cost of programs and projects for which a grant or contract is made.

"(f) The Administration is authorized to enter into contracts to make, and make, payments to institutions of higher education for grants not exceeding \$65 per week to persons enrolled on a full-time basis in undergraduate or graduate degree programs who are accepted for and serve in full-time internships in law enforcement and criminal justice agencies for not less than eight weeks during any summer

recess or for any entire quarter or semester on leave from the degree program.

"SEC. 407. (a) The Administration is authorized to establish and support a training program for prosecuting attorneys from State and local officers engaged in the prosecution of organized crime. The program shall be designed to develop new or improved approaches, techniques, systems, manuals, and devices to strengthen prosecutive capabilities against organized crime. Prosecuting attorneys, training program.

"(b) While participating in the training program or traveling in connection with participation in the training program, State and local personnel shall be allowed travel expenses and a per diem allowance in the same manner as prescribed under section 5703(b) of title 5, United States Code, for persons employed intermittently in the Government service. Travel expenses; per diem allowance. 80 Stat. 499.

"(c) The cost of training State and local personnel under this section shall be provided out of funds appropriated to the Administration for the purpose of such training.

"PART E—GRANTS FOR CORRECTIONAL INSTITUTIONS AND FACILITIES

"SEC. 451. It is the purpose of this part to encourage States and units of general local government to develop and implement programs and projects for the construction, acquisition, and renovation of correctional institutions and facilities, and for the improvement of correctional programs and practices.

"SEC. 452. A State desiring to receive a grant under this part for any fiscal year shall, consistent with the basic criteria which the Administration establishes under section 454 of this title, incorporate its application for such grant in the comprehensive State plan submitted to the Administration for that fiscal year in accordance with section 302 of this title.

"SEC. 453. The Administration is authorized to make a grant under this part to a State planning agency if the application incorporated in the comprehensive State plan— Conditions.

"(1) sets forth a comprehensive statewide program for the construction, acquisition, or renovation of correctional institutions and facilities in the State and the improvement of correctional programs and practices throughout the State;

"(2) provides satisfactory assurances that the control of the funds and title to property derived therefrom shall be in a public agency for the uses and purposes provided in this part and that a public agency will administer those funds and that property;

"(3) provides satisfactory assurances that the availability of funds under this part shall not reduce the amount of funds under part C of this title which a State would, in the absence of funds under this part, allocate for purposes of this part;

"(4) provides satisfactory emphasis on the development and operation of community-based correctional facilities and programs, including diagnostic services, halfway houses, probation, and other supervisory release programs for preadjudication and postadjudication referral of delinquents, youthful offenders, and first offenders, and community-oriented programs for the supervision of parolees;

"(5) provides for advanced techniques in the design of institutions and facilities;

"(6) provides, where feasible and desirable, for the sharing of correctional institutions and facilities on a regional basis;

"(7) provides satisfactory assurances that the personnel standards and programs of the institutions and facilities will reflect advanced practices;

"(8) provides satisfactory assurances that the State is engaging in projects and programs to improve the recruiting, organization, training, and education of personnel employed in correctional activities, including those of probation, parole, and rehabilitation;

"(9) provides necessary arrangements for the development and operation of narcotic and alcoholism treatment programs in correctional institutions and facilities and in connection with probation or other supervisory release programs for all persons, incarcerated or on parole, who are drug addicts, drug abusers, alcoholics, or alcohol abusers;

"(10) complies with the same requirements established for comprehensive State plans under paragraphs (1), (3), (5), (6), (8), (9), (10), (11), (12), (13), (14), and (15) of section 303(a) of this title;

"(11) provides for accurate and complete monitoring of the progress and improvement of the correctional system. Such monitoring shall include rate of prisoner rehabilitation and rates of recidivism in comparison with previous performance of the State or local correctional systems and current performance of other State and local prison systems not included in this program; and

"(12) provides that State and local governments shall submit such annual reports as the Administrator may require.

"Sec. 454. The Administration shall, after consultation with the Federal Bureau of Prisons, by regulation prescribe basic criteria for applicants and grantees under this part.

Guidelines.

"In addition, the Administration shall issue guidelines for drug treatment programs in State and local prisons and for those to which persons on parole are assigned. The Administrator shall coordinate or assure coordination of the development of such guidelines with the Special Action Office For Drug Abuse Prevention.

Funds, allocation.

"Sec. 455. (a) The funds appropriated each fiscal year to make grants under this part shall be allocated by the Administration as follows:

"(1) Fifty per centum of the funds shall be available for grants to State planning agencies.

"(2) The remaining 50 per centum of the funds may be made available, as the Administration may determine, to State planning agencies, units of general local government, or combinations of such units, according to the criteria and on the terms and conditions the Administration determines consistent with this part.

Any grant made from funds available under this part may be up to 90 per centum of the cost of the program or project for which such grant is made. The non-Federal funding of the cost of any program or project to be funded by a grant under this section shall be of money appropriated in the aggregate by the State or units of general local government. No funds awarded under this part may be used for land acquisition.

Prohibition.

Funds, availability for reallocation.

"(b) If the Administration determines, on the basis of information available to it during any fiscal year, that a portion of the funds granted to an applicant for that fiscal year will not be required by the applicant or will become available by virtue of the application of the provisions of section 509 of this title, that portion shall be available for reallocation under paragraph (2) of subsection (a) of this section.

"PART F—ADMINISTRATIVE PROVISIONS

"SEC. 501. The Administration is authorized, after appropriate Rules and consultation with representatives of States and units of general local regulations. 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.

"SEC. 502. The Administration may delegate to any officer or official of the Administration, or, with the approval of the Attorney General, to any officer of the Department of Justice such functions as it deems appropriate.

"SEC. 503. The functions, powers, and duties specified in this title to be carried out by the Administration shall not be transferred elsewhere in the Department of Justice unless specifically hereafter authorized by the Congress.

"SEC. 504. In carrying out its functions, the Administration, or upon Subpena authorization of the Administration, any member thereof or any hearing power. examiner assigned to or employed by the Administration, shall have the power to hold hearings, sign and issue subpoenas, administer oaths, examine witnesses, and receive evidence at any place in the United States it may designate.

"SEC. 505. Section 5314 of title 5, United States Code, is amended 80 Stat. 460; by adding at the end thereof— 86 Stat. 1211.

"(55) Administrator of Law Enforcement Assistance.'

"SEC. 506. Title 5, United States Code, is amended as follows:

"(a) Section 5315(90) is amended by deleting 'Associate Adminis- 82 Stat. 205, trator of Law Enforcement Assistance (2)' and inserting in lieu 1312; 86 Stat. thereof 'Deputy Administrator for Policy Development of the Law 1418. Enforcement Assistance Administration'.

"(b) Section 5316 of title 5, United States Code, is amended by Ante, p. 78. adding at the end thereof the following:

"(133) Deputy Administrator for Administration of the Law Enforcement Assistance Administration.'

"(c) Section 5108(c)(10) is amended by deleting the word 'twenty' 84 Stat. 1889. and inserting in lieu thereof the word 'twenty-two'.

"SEC. 507. Subject to the civil service and classification laws, the Officers and Administration is authorized to select, appoint, employ, and fix com- employees. pensation of such officers and employees, including hearing examiners, as shall be necessary to carry out its powers and duties under this title.

"SEC. 508. The Administration is authorized, on a reimbursable basis Federal agen- when appropriate, to use the available services, equipment, personnel, cles, cooper- and facilities of the Department of Justice and of other civilian or ation. military agencies and instrumentalities of the Federal Government (not including the Central Intelligence Agency), and to cooperate with the Department of Justice and such other agencies and instru- mentalities in the establishment and use of services, equipment, per- sonnel, and facilities of the Administration. The Administration is Non-Federal further authorized to confer with and avail itself of the cooperation, offices, services, records, and facilities of State, municipal, or other local utilization. agencies, and to receive and utilize, for the purposes of this title, prop- erty donated or transferred for the purposes of testing by any other Federal agencies, States, units of general local government, public or private agencies or organizations, institutions of higher education, or individuals.

"SEC. 509. Whenever the Administration, after reasonable notice and Noncompliance, opportunity for hearing to an applicant or a grantee under this title, withholding finds that, with respect to any payments made or to be made under this of payments. title, there is a substantial failure to comply with—

- "(a) the provisions of this title;
- "(b) regulations promulgated by the Administration under this title; or
- "(c) a plan or application submitted in accordance with the provisions of this title;

the Administration shall notify such applicant or grantee that further payments shall not be made (or in its discretion that further payments shall not be made for activities in which there is such failure), until there is no longer such failure.

"Sec. 510. (a) In carrying out the functions vested by this title in the Administration, the determinations, findings, and conclusions of the Administration shall be final and conclusive upon all applicants, except as hereafter provided.

Notice and
hearing.

"(b) If the application has been rejected or an applicant has been denied a grant or has had a grant, or any portion of a grant, discontinued, or has been given a grant in a lesser amount than such applicant believes appropriate under the provisions of this title, the Administration shall notify the applicant or grantee of its action and set forth the reason for the action taken. Whenever an applicant or grantee requests a hearing on action taken by the Administration on an application or a grant, the Administration, or any authorized officer thereof, is authorized and directed to hold such hearings or investigations at such times and places as the Administration deems necessary, following appropriate and adequate notice to such applicant; and the findings of fact and determinations made by the Administration with respect thereto shall be final and conclusive, except as otherwise provided herein.

Request for
rehearing.

"(c) If such applicant is still dissatisfied with the findings and determinations of the Administration, following the notice and hearing provided for in subsection (b) of this section, a request may be made for rehearing, under such regulations and procedures as the Administration may establish, and such applicant shall be afforded an opportunity to present such additional information as may be deemed appropriate and pertinent to the matter involved. The findings and determinations of the Administration, following such rehearing, shall be final and conclusive upon all parties concerned, except as hereafter provided.

Review action.

"Sec. 511. (a) If any applicant or grantee is dissatisfied with the Administration's final action with respect to the approval of its application or plan submitted under this title, or any applicant or grantee is dissatisfied with the Administration's final action under section 509 or section 510, such applicant or grantee may, within sixty days after notice of such action, file with the United States court of appeals for the circuit in which such applicant or grantee is located a petition for review of that action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Administration. The Administration shall thereupon file in the court the record of the proceedings on which the action of the Administration was based, as provided in section 2112 of title 28, United States Code.

72 Stat. 941;
80 Stat. 1323.

"(b) The determinations and the findings of fact by the Administration, if supported by substantial evidence, shall be conclusive; but the court, for good cause shown, may remand the case to the Administration to take further evidence. The Administration may thereupon make new or modified findings of fact and may modify its previous action, and shall file in the court the record of the further proceedings. Such new or modified findings of fact or determinations shall likewise be conclusive if supported by substantial evidence.

"(c) Upon the filing of such petition, the court shall have jurisdiction to affirm the action of the Administration or to set it aside, in whole or in part. The judgment of the court shall be subject to review by the Supreme Court of the United States upon certiorari or certification as provided in section 1254 of title 28, United States Code.

62 Stat. 926.

"Sec. 512. Unless otherwise specified in this title, the Administration shall carry out the programs provided for in this title during the fiscal year ending June 30, 1974, and the two succeeding fiscal years.

Programs,
duration.

"Sec. 513. To insure that all Federal assistance to State and local programs under this title is carried out in a coordinated manner, the Administration is authorized to request any Federal department or agency to supply such statistics, data, program reports, and other material as the Administration deems necessary to carry out its functions under this title. Each such department or agency is authorized to cooperate with the Administration and, to the extent permitted by law, to furnish such materials to the Administration. Any Federal department or agency engaged in administering programs related to this title shall, to the maximum extent practicable consult with and seek advice from the Administration to insure fully coordinated efforts, and the Administration shall undertake to coordinate such efforts.

Federal
agencies,
cooperation.

"Sec. 514. The Administration may arrange with and reimburse the heads of other Federal departments and agencies for the performance of any of its functions under this title.

"Sec. 515. The Administration is authorized—

"(a) to conduct evaluation studies of the programs and activities assisted under this title;

"(b) to collect, evaluate, publish, and disseminate statistics and other information on the condition and progress of law enforcement within and without the United States; and

"(c) to cooperate with and render technical assistance to States, units of general local government, combinations of such States or units, or other public or private agencies, organizations, institutions, or international agencies in matters relating to law enforcement and criminal justice.

Funds appropriated for the purposes of this section may be expended by grant or contract, as the Administration may determine to be appropriate.

"Sec. 516. (a) Payments under this title may be made in installments, and in advance or by way of reimbursement, as may be determined by the Administration, and may be used to pay the transportation and subsistence expenses of persons attending conferences or other assemblages notwithstanding the provisions of the joint resolution entitled 'Joint resolution to prohibit expenditure of any moneys for housing, feeding, or transporting conventions or meetings', approved February 2, 1935 (31 U.S.C. sec. 551).

49 Stat. 19.

"(b) Not more than 12 per centum of the sums appropriated for any fiscal year to carry out the provisions of this title may be used within any one State except that this limitation shall not apply to grants made pursuant to part D.

Restriction.

"Sec. 517. (a) The Administration may procure the services of experts and consultants in accordance with section 3109 of title 5, United States Code, at rates of compensation for individuals not to exceed the daily equivalent of the rate authorized for GS-18 by section 5332 of title 5, United States Code.

Ante, p. 205.

Experts and
consultants.
80 Stat. 416.

"(b) The Administration is authorized to appoint, without regard to the civil service laws, technical or other advisory committees to advise the Administration with respect to the administration of this title as it deems necessary. Members of those committees not otherwise

5 USC 5332

note.

5 USC 5332
note.
80 Stat. 499;
83 Stat. 190.

in the employ of the United States, while engaged in advising the Administration or attending meetings of the committees, shall be compensated at rates to be fixed by the Administration but not to exceed the daily equivalent of the rate authorized for GS-18 by section 5332 of title 5 of the United States Code and while away from home or regular place of business they may be allowed travel expenses, including per diem in lieu of subsistence, as authorized by section 5703 of such title 5 for persons in the Government service employed intermittently.

"Sec. 518. (a) Nothing contained in this title or any other Act shall be construed to authorize any department, agency, officer, or employee of the United States to exercise any direction, supervision, or control over any police force or any other law enforcement and criminal justice agency of any State or any political subdivision thereof.

"(b) Notwithstanding any other provision of law nothing contained in this title shall be construed to authorize the Administration (1) to require, or condition the availability or amount of a grant upon, the adoption by an applicant or grantee under this title of a percentage ratio, quota system, or other program to achieve racial balance or to eliminate racial imbalance in any law enforcement agency, or (2) to deny or discontinue a grant because of the refusal of an applicant or grantee under this title to adopt such a ratio, system, or other program.

Discrimination
prohibition.

"(c) (1) No person in any State shall on the ground of race, color, national origin, or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity funded in whole or in part with funds made available under this title.

Noncompliance.

"(2) Whenever the Administration determines that a State government or any unit of general local government has failed to comply with subsection (c) (1) or an applicable regulation, it shall notify the chief executive of the State of the noncompliance and shall request the chief executive to secure compliance. If within a reasonable time after such notification the chief executive fails or refuses to secure compliance, the Administration shall exercise the powers and functions provided in section 509 of this title, and is authorized concurrently with such exercise—

"(A) to institute an appropriate civil action;

"(B) to exercise the powers and functions pursuant to title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d); or

"(C) to take such other action as may be provided by law.

78 Stat. 252.

"(3) Whenever the Attorney General has reason to believe that a State government or unit of local government is engaged in a pattern or practice in violation of the provisions of this section, the Attorney General may bring a civil action in any appropriate United States district court for such relief as may be appropriate, including injunctive relief.

Report to
President and
Congress.

"Sec. 519. On or before December 31 of each year, the Administration shall report to the President and to the Congress on activities pursuant to the provisions of this title during the preceding fiscal year.

Appropriations.

"Sec. 520. There are authorized to be appropriated such sums as are necessary for the purposes of each part of this title, but such sums in the aggregate shall not exceed \$1,000,000,000 for the fiscal year ending June 30, 1974, \$1,000,000,000 for the fiscal year ending June 30, 1975, and \$1,250,000,000 for the fiscal year ending June 30, 1976. Funds appropriated for any fiscal year may remain available for obligation until expended. Beginning in the fiscal year ending June 30,

1972, and in each fiscal year thereafter there shall be allocated for the purposes of part E an amount equal to not less than 20 per centum of the amount allocated for the purposes of part C. Ante, p. 209.
Ante, p. 199.

"Sec. 521. (a) Each recipient of assistance under this Act shall keep such records as the Administration shall prescribe, including records which fully disclose the amount and disposition by such recipient of the proceeds of such assistance, the total cost of the project or undertaking in connection with which such assistance is given or used, and the amount of that portion of the cost of the project or undertaking supplied by other sources, and such other records as will facilitate an effective audit. Recordkeeping requirements.

"(b) The Administration or any of its duly authorized representatives, shall have access for purpose of audit and examinations to any books, documents, papers, and records of the recipients that are pertinent to the grants received under this title.

"(c) The Comptroller General of the United States, or any of his GAO audit. duly authorized representatives, shall, until the expiration of three years after the completion of the program or project with which the assistance is used, have access for the purpose of audit and examination to any books, documents, papers and records of recipients of Federal assistance under this title which in the opinion of the Comptroller General may be related or pertinent to the grants, contracts, subcontracts, subgrants, or other arrangements referred to under this title.

"(d) The provisions of this section shall apply to all recipients of assistance under this Act, whether by direct grant or contract from the Administration or by subgrant or subcontract from primary grantees or contractors of the Administration.

"Sec. 522. Section 204(a) of the Demonstration Cities and Metropolitan Development Act of 1966 is amended by inserting 'law enforcement facilities,' immediately after 'transportation facilities,' 80 Stat. 1262;
82 Stat. 208.
42 USC 3334.

"Sec. 523. Any funds made available under parts B, C, and E prior to July 1, 1973, which are not obligated by a State or unit of general local government may be used to provide up to 90 percent of the cost of any program or project. The non-Federal share of the cost of any such program or project shall be of money appropriated in the aggregate by the State or units of general local government.

"Sec. 524. (a) Except as provided by Federal law other than this Prohibition. title, no officer or employee of the Federal Government, nor any recipient of assistance under the provisions of this title shall use or reveal any research or statistical information furnished under this title by any person and identifiable to any specific private person for any purpose other than the purpose for which it was obtained in accordance with this title. Copies of such information shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial or administrative proceedings.

"(b) All criminal history information collected, stored, or disseminated through support under this title shall contain, to the maximum extent feasible, disposition as well as arrest data where arrest data is included therein. The collection, storage, and dissemination of such information shall take place under procedures reasonably designed to insure that all such information is kept current therein; the Administration shall assure that the security and privacy of all information is adequately provided for and that information shall only be used for law enforcement and criminal justice and other lawful purposes. In addition, an individual who believes that criminal history information concerning him contained in an automated system is inaccurate,

Penalty.

Surplus prop-
erty, cooper-
ative agree-
ments.
75 Stat. 213.
40 USC 484.

incomplete, or maintained in violation of this title, shall, upon satisfactory verification of his identity, be entitled to review such information and to obtain a copy of it for the purpose of challenge or correction.

"(c) Any person violating the provisions of this section, or of any rule, regulation, or order issued thereunder, shall be fined not to exceed \$10,000, in addition to any other penalty imposed by law.

"Sec. 525. The last two sentences of section 203(n) of the Federal Property and Administrative Services Act of 1949 are amended to read as follows: 'In addition, under such cooperative agreements and subject to such other conditions as may be imposed by the Secretary of Health, Education, and Welfare, or the Director, Office of Civil and Defense Mobilization, or the Administrator, Law Enforcement Assistance Administration, surplus property which the Administrator may approve for donation for use in any State for purposes of law enforcement programs, education, public health, or civil defense, or for research for any such purposes, pursuant to subsection (j) (3) or (j) (4), may with the approval of the Administrator be made available to the State agency after a determination by the Secretary or the Director or the Administrator, Law Enforcement Assistance Administration that such property is necessary to, or would facilitate, the effective operation of the State agency in performing its functions in connection with such program. Upon a determination by the Secretary or the Director or Administrator, Law Enforcement Assistance Administration, that such action is necessary to, or would facilitate, the effective use of such surplus property made available under the terms of a cooperative agreement, title thereto may with the approval of the Administrator be vested in the State agency.'

"PART G—DEFINITIONS

"Sec. 601. As used in this title—

"(a) 'Law enforcement and criminal justice' means any activity pertaining to crime prevention, control or reduction or the enforcement of the criminal law, including, but not limited to police efforts to prevent, control, or reduce crime or to apprehend criminals, activities of courts having criminal jurisdiction and related agencies (including prosecutorial and defender services), activities of corrections, probation, or parole authorities, and programs relating to the prevention, control, or reduction of juvenile delinquency or narcotic addiction.

"(b) 'Organized crime' means the unlawful activities of the members of a highly organized, disciplined association engaged in supplying illegal goods and services, including but not limited to gambling, prostitution, loan sharking, narcotics, labor racketeering, and other unlawful activities of members of such organizations.

"(c) 'State' means any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States.

"(d) 'Unit of general local government' means any city, county, township, town, borough, parish, village, or other general purpose political subdivision of a State, an Indian tribe which performs law enforcement functions as determined by the Secretary of the Interior, or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States Government performing law enforcement functions in and for the District of Columbia and funds appropriated by the Congress for the activities of such agencies may be used to provide the non-Federal share of the cost of programs or projects funded under this title: *Provided, however*, that

such assistance eligibility of any agency of the United States Government shall be for the sole purpose of facilitating the transfer of criminal jurisdiction from the United States District Court for the District of Columbia to the Superior Court of the District of Columbia pursuant to the District of Columbia Court Reform and Criminal Procedure Act of 1970.

D. C. Code prec.
11-101 note.

"(e) 'Combination' as applied to States or units of general local government means any grouping or joining together of such States or units for the purpose of preparing, developing, or implementing a law enforcement plan.

"(f) 'Construction' means the erection, acquisition, expansion, or repair (but not including minor remodeling or minor repairs) of new or existing buildings or other physical facilities, and the acquisition or installation of initial equipment therefor.

"(g) 'State organized crime prevention council' means a council composed of not more than seven persons established pursuant to State law or established by the chief executive of the State for the purpose of this title, or an existing agency so designated, which council shall be broadly representative of law enforcement officials within such State and whose members by virtue of their training or experience shall be knowledgeable in the prevention and control of organized crime.

"(h) 'Metropolitan area' means a standard metropolitan statistical area as established by the Bureau of the Budget, subject, however, to such modifications and extensions as the Administration may determine to be appropriate.

"(i) 'Public agency' means any State, unit of local government, combination of such States or units, or any department, agency, or instrumentality of any of the foregoing.

"(j) 'Institution of higher education' means any such institution as defined by section 1201(a) of the Higher Education Act of 1965 (20 U.S.C. 1141(a)), subject, however, to such modifications and extensions as the Administration may determine to be appropriate.

79 Stat. 1270;
82 Stat. 1042.

"(k) 'Community service officer' means any citizen with the capacity, motivation, integrity, and stability to assist in or perform police work but who may not meet ordinary standards for employment as a regular police officer selected from the immediate locality of the police department of which he is to be a part and meeting such other qualifications promulgated in regulations pursuant to section 501 as the Administration may determine to be appropriate to further the purposes of section 301(b)(7) and this Act.

"(l) The term 'correctional institution or facility' means any place for the confinement or rehabilitation of juvenile offenders or individuals charged with or convicted of criminal offenses.

"(m) 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.

"(n) The term 'treatment' includes but is not limited to, medical, educational, social, psychological, and vocational services, corrective and preventive guidance and training, and other rehabilitative services designed to protect the public and benefit the addict or other user by eliminating his dependence on addicting or other drugs or by controlling his dependence, and his susceptibility to addiction or use.

87 STAT. 217
87 STAT. 218

"(o) 'Criminal history information' includes records and related data, contained in an automated criminal justice informational system, compiled by law enforcement agencies for purposes of identifying criminal offenders and alleged offenders and maintaining as to such persons summaries of arrests, the nature and disposition of criminal charges, sentencing, confinement, rehabilitation and release.

"PART H—CRIMINAL PENALTIES

"SEC. 651. Whoever embezzles, willfully misapplies, steals, or obtains by fraud or endeavors to embezzle, willfully misapply, steal or obtain by fraud any funds, assets, or property which are the subject of a grant or contract or other form of assistance pursuant to this title, whether received directly or indirectly from the Administration, or whoever receives, conceals, or retains such funds, assets, or property with intent to convert such funds, assets, or property to his use or gain, knowing such funds, assets, or property have been embezzled, willfully misapplied, stolen, or obtained by fraud, shall be fined not more than \$10,000 or imprisoned for not more than five years, or both.

62 Stat. 749.

"SEC. 652. Whoever knowingly and willfully falsifies, conceals, or covers up by trick, scheme, or device, any material fact in any application for assistance submitted pursuant to this title or in any records required to be maintained pursuant to this title shall be subject to prosecution under the provisions of section 1001 of title 18, United States Code.

62 Stat. 701.

"SEC. 653. Any law enforcement and criminal justice program or project underwritten, in whole or in part, by any grant, or contract or other form of assistance pursuant to this title, whether received directly or indirectly from the Administration, shall be subject to the provisions of section 371 of title 18, United States Code.

"PART I—ATTORNEY GENERAL'S BIENNIAL REPORT OF FEDERAL LAW ENFORCEMENT AND CRIMINAL JUSTICE ACTIVITIES

Report to
President and
Congress.

42 USC 3801
note.
18 USC 921
note, 3006A
note, 841,
2510 note.

"SEC. 670. The Attorney General, in consultation with the appropriate officials in the agencies involved, within 90 days of the end of each second fiscal year shall submit to the President and to the Congress a Report of Federal Law Enforcement and Criminal Justice Assistance Activities setting forth the programs conducted, expenditures made, results achieved, plans developed, and problems discovered in the operations and coordination of the various Federal assistance programs relating to crime prevention and control, including, but not limited to, the Juvenile Delinquency Prevention and Control Act of 1968, the Narcotics Addict Rehabilitation Act 1968, the Gun Control Act 1968, the Criminal Justice Act of 1964, title XI of the Organized Crime Control Act of 1970 (relating to the regulation of explosives), and title III of the Omnibus Crime Control and Safe Streets Act of 1968 (relating to wiretapping and electronic surveillance)."

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SEC. 3. The amendments made by this Act shall take effect on and after July 1, 1973, except that the offices and salaries modified under sections 101, 505, and 506 of title I of the Omnibus Crime Control and Safe Streets Act of 1968 as amended by this Act shall be modified prospectively only, effective on and after the date of the enactment of this Act. Effective dates.

Approved August 6, 1973.

LEGISLATIVE HISTORY:

HOUSE REPORTS: No. 93-249 (Comm. on the Judiciary) and No. 93-401 (Comm. of Conference).
SENATE REPORT No. 93-349 (Comm. of Conference).
CONGRESSIONAL RECORD, Vol. 119 (1973):
June 14, 1973, considered and passed House.
June 28, 1973, considered and passed Senate, amended, in lieu of S. 1930.
Aug. 2, 1973, House and Senate agreed to conference report.

APPENDIX 3

PART A: SOCIAL SCIENCE RESEARCH METHODOLOGY

The following outline^{1/} touches on the salient issues one should consider in any effort to obtain organized information about a problem. Obviously there are other less rigorous ways to go about gathering which we all use in our everyday lives. However, the social science research model presented below, because of its standardized methodology, is a more acceptable and trusted approach for a wider audience than is the unique speculation of a given individual, under most circumstances.

1. Problem definition

Conceptual issue operationalized

2. Time and cost considerations

3. Nature of research case

Individual or social system or combination

4. Number of cases

Single case (individual or system)
Few selected cases
Many selected cases
All cases

5. Sampling

Probability sampling (random sample)
Nonprobability sampling (purposive or quota sample)

6. Time factor

Static studies (covering single point in time)
Dynamic studies (covering process or change over time)

7. Extent of control over system under study

^{1/}Adapted from Riley (1963).

No control
Limited or unsystematic control
Systematic control

8. Basic sources of data

New data, collected by the researcher for the express
purpose at hand
Available data (as relevant to the research problem)
Combination

9. Method of data gathering

Interview schedule
Questionnaires
Documents
Observation
Combination

10. Processing data

Edit
Code
Tabulate

11. Data analysis, interpretation, and presentation

1. PROBLEM DEFINITION. The most basic issue in any research effort is to define, as clearly as possible, the problem to be studied. With a clear statement of the problem, one is able to assess the feasibility of researching the problem. Feasibility assessment is intimately tied to a process called operationalization. Operationalization is when one takes the conceptual statement of the problem and restates the problem in measurable terms. For example, the statement the moon is made of green cheese can be restated by specifying what we mean by moon, green, and cheese. Operationally, one would be required to travel to that place called moon, retrieve a piece of it, and test its cheese quality and its green color or lack of it. Until a few years ago, the operational statement for the conceptual statement, the moon is made of green cheese, was not a feasible approach. Barring other more feasible approaches to this particular operational

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statement, we simply had to hold that conceptual statement in abeyance until NASA put us in a position to empirically test it.

Social problems, particularly of the social policy variety, are complex--obviously more complex than the simple statement, the moon is made of green cheese. In order to satisfactorily deal with such complexity, it must be broken down into its most basic components. A test of the manageability of researching a complex social issue comes with the operationalization of the problem. If the basic components of the problem are empirically measurable while maintaining the integrity and complexity of the problem, research is feasible. But, if the operationalization somehow loses the flavor of the problem under consideration, it is likely that too broad a net has been cast and that the problem will have to be redefined in more manageable proportions.

Lastly, it should be noted that what constitutes a problem and what priority one problem has over another rests largely on human value judgments. If the economic costs of crime are determined to have the highest research and policy priority one would focus on white-collar and organized crime. If public reaction to crime was determined to be the most crucial focus, then crimes of violence such as murder and rape would become the research focus. By being sensitive to how the problem arises and knowing who sees it as a problem, one is in a better position to define the "real" problem for research. For example, rape and murder may actually constitute a minute proportion of all the Index crimes but in the mind of the public they may be perceived as constituting a crime wave of mayhem. In this case, one would want to study public perceptions of crime as well as the actual incidence of the crimes. Both factors and their interplay would be crucial for the development of public policy strategies.

2. TIME AND COST CONSIDERATIONS. The research enterprise is rarely unencumbered by time and cost constraints. In some cases, time or cost is open, but rarely are both unrestricted. For example, one might want to build the ultimate bomb within a year period with no regard to the costs involved. Or one might earmark a set sum of funds to find a cure for cancer with no time restrictions (except those set by funds running out). But, the researcher is rarely, if ever, given unlimited time and funds to carry out his work.

Once the research problem has been determined and its feasibility assessed with regard to the operationalization phase, time and cost

estimates should be made. If time is of the essence and costs are flexible, assign more workers to phases of the project that could be speeded up by a larger staff (for example, interviewers). However, in adopting this strategy, take care to avoid a staff so unwieldy that the quality of work suffers.

On the other hand, if time is flexible but costs are fixed, one could choose a small staff of workers to do the work efficiently and within the budget. Also, where costs are fixed, it is not uncommon to reduce the scope of work in order to stay within the budget. These are just some of the many strategies used to meet time and cost requirements.

In attempting to meet time and cost requirements, one must search each phase of the research operation and choose options at each stage which maximize information and minimize costs or time. Balancing these considerations is a constant process of accommodation to other people's priorities and resources.

3. NATURE OF RESEARCH CASE. The research case is the level at which the research is focused. Is the research focusing on individuals and their characteristics or on a larger chunk of social reality like a social organization? Since little research is done that focuses solely on the individual, we will turn our attention to a social systems level of analysis.

Briefly, a social system is a definable group of persons in an on-going patterned relationship characterized by certain goals specific to that social unit. An example of the systems approach can be seen by looking at a battleship. As a battleship sits in the ocean, one can clearly discern its boundaries as a social system. On a closer look, one sees a beehive of activity on the ship. Various subsystems of the battleship such as communications, navigation, gunnery, supply, medical unit, and food services work as social systems in pursuit of their unique goals and as an interrelated set of systems toward the goals of the larger system that is the battleship. Looking beyond the ship, it can be seen as a subunit in a fleet of ships or in a whole navy. At each level a system exists, and each system can be analyzed as an isolated unit or in terms of its functional interrelationships with other units.

The importance of noting the system level of analysis relates to things such as sampling and problem definitions. Once the system

boundaries are drawn, the universe of persons and things in that system is defined, problems external to the system but impinging on it are more readily noted. One can make a clear distinction between problems within the system and problems between systems. In this way, research problems may be more clearly defined for study.

4. NUMBER OF CASES. The number of cases to be chosen could refer to individuals or systems depending on the study focus. In choosing cases, one must concern oneself with the purpose of the study. Is it to get just general information about a subject? Is it to make generalizations about the social system under study? Each purpose calls for different strategies. If one wanted to learn more about police patrol in urban areas, for example, one city or possibly one police jurisdiction within that city would suffice as a system level of analysis. If, however, one wanted to generalize to police patrolling activity in urban areas throughout the State, multiple city systems representative of the State should be chosen.

Case selection can also refer to the number of persons within a chosen social system. For example, if the parole system in a State was the system level of analysis and one wanted to know the characteristics of those violating parole versus those who do not, the question of how many paroles should be raised. If possible, all cases for a given time period should be used. However, if that number would prove too large, a sample of the group could be selected. A sampling statistician could readily determine the number of cases to be sampled in order to maximize information and minimize costs. The sampling statistician would also determine if the sample design and results are integral to the proposed research goals and data analysis.

5. SAMPLING. Samples are portions of something one takes when the entire thing itself is unavailable. For example, suppose there is a 10-gallon pot of soup cooking, and someone wanted to know if the soup was good enough to serve. One could try to eat the whole pot and report how the soup tasted, but then nothing would be left to serve. Or, one could carefully stir the pot to insure consistency throughout and take a sample spoonful. The well-drawn sample should adequately represent the pot.

There are two basic types of samples: the probability sample and the nonprobability sample. The best known probability sampling procedure is the simple random sample. The soup example is analogous to

a simple random sample. The pot example represents the system level of analysis, and all the eligible cases (soup particles) are found in that system (the pot). Stirring the soup helps to assure that each soup particle had an equal probability of being chosen, which is analogous to choosing elements of a given social system at random.

In order to make the sample a true probability sample, all elements to be sampled in a given social system must be identified in order to insure that they have an opportunity to be included in the sample. As mentioned earlier, this is why identification of the system to be analyzed and its components is crucial. The probability sample quickly becomes a nonprobability sample if all elements under study are not listed for the sample. In this way sampling bias is introduced. Another difficulty that moves a probability sample to a nonprobability status is nonresponse. Those persons in the sample who fail to respond may differ in significant ways from those who do respond, thereby creating a bias in the study results.

Nonprobability samples do not, like probability samples, permit statistical inference or allow for valid estimates to be made of risks of error. Nevertheless, in some situations the nonprobability sample may be chosen.

Quota sampling is an example of a nonprobability sample. Returning to the pot of soup analogy--if the soup were, say, vegetable soup, a quota sample would be analogous to tasting a spoonful of soup with a piece of carrot, a spoonful with a piece of celery, and a spoonful with a pea in it. All of this tasting would be done without stirring the pot, but making certain that the specified vegetables were tested. With this approach, one might get lucky and correctly estimate the quality of the soup. On the other hand, the three vegetables tested might have been floating near the surface of the soup, thereby giving no clues to the soup at the bottom of the pot.

Additional sampling strategies of the probability type not discussed here may be found through the references cited at the end of this research methodology section.

6. TIME FACTOR. The problem under study will largely determine whether a static or dynamic approach should be taken. The so-called static approach refers to a single data collection point in time in which respondents may be asked to report retrospectively their activities over time. However, multiple data collection points through time

(the dynamic approach) are thought to be superior to retrospective reporting for tracing social process and development.

The one-shot survey where respondents are interviewed only once is a typical example of the static approach. The panel or longitudinal study where a selected group of respondents are followed through time by repeated interviews is an example of a dynamic approach.

The cross-sectional study is a static approach with dynamic implications. One might take a cross section of medical school students (first through fourth years) and find that the first years students support socialized medicine more than any other class and that, as the students' years in medical school increase, support for socialized medicine decreases. With a one-shot study one could therefore claim (with a large degree of risk) that medical school has a negative impact on student attitudes favoring socialized medicine.

7. EXTENT OF CONTROL OVER SYSTEM UNDER STUDY. Control over a system refers to being able to manipulate and change system circumstances at will, in order to be able to measure the effects of system conditions. The true experiment controls all conditions to which subjects are exposed and introduces an experimental condition to one group but not to another. Any subsequent difference between the groups is attributed to the experimental condition or lack of it. This experimental approach is seldom utilized in social research.

Lack of systematic control over the system under study does not necessarily mean valuable information cannot be forthcoming. Astronomy, the science which has no control over its subject matter, has still managed through careful and systematic observation to make accurate predictions about the movements of celestial bodies. In a like manner, the well-trained social observer may gather much useful information about social systems over which he has no control.

The more usual condition for the social researcher is one in which limited control of the social system under study is exercised. For example, two sixth grade classrooms are matched on several characteristics. One room is given the experimental condition of no tests throughout the year, while the other room is tested in the usual way. At the end of the year student satisfaction with school and student knowledge are measured. Limited control over the system puts the interpretation of finds at risk. Since there was no way to

control the other children's responses to students who had no tests, any findings could be related to this condition. The no-test group may have developed an elitism which gave them a feeling of great satisfaction with school and thereby made them more receptive to learning. Thus the no-test condition was not directly responsible for the sixth graders' improvement; rather, the elite feelings spawned by the experimental condition made the difference.

Research strategies and study designs are tied to the extent of control the researcher has over the system under study. In most cases the amount of control will be limited and unsystematic.

8. BASIC SOURCES OF DATA. New data collected by the researcher for the express purpose at hand are the most common data source. Some reasons for this strategy can be traced to the inability to find studies that have collected exactly the data required by the current investigator and, in many cases, to an objection to the use of "old" data that may fail to reflect current social conditions.

The use of available data, when possible, saves time and money. Limited analysis of secondary data sometimes serves to better direct a new study and to aid it in avoiding various pitfalls.

The use of available appropriate data as the first stage in a panel or longitudinal study is another possibility seldom utilized. This is perhaps because investigators who promise anonymity to the respondents are morally obligated not to share their respondent pool, although the unidentifiable data may be shared.

Despite the problems with using available data, one should strive to be aware of potentially useful data sources. From time to time, one may have the opportunity to have an input in an ongoing study which will soon become an available data source. Input of this sort often aids the investigator doing the study and may serve, for you, as a pilot effort or a data base from which to launch new studies.

9. METHOD OF DATA GATHERING. The major method of data gathering for the social researcher is questioning. The two most frequently used questioning formats are the interview schedule and the questionnaire. The interview schedule is just that--it is a schedule of questions followed by an interviewer. The interviewer asks questions as indicated by the schedule and writes down the answers. If the question

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is not clear to the respondent, the interviewer may, in some cases, be permitted to clarify the question. If the respondent's answer is not clear or complete, the interviewer is normally trained to probe for a fuller answer.

The questionnaire is a self-administered information form for the respondent. The questionnaire must be constructed more carefully than the interview schedule since an interviewer will not typically be available to explain ambiguous questions or to probe for more complete information. Questionnaires are a relatively inexpensive data collection device when used in mail surveys. In this way, information can be gathered from all over the United States, for example, for the price of postage to and from the respondent.

In addition to the mail survey, questionnaires are used for collecting data from a large group of respondents at one time. In this case, questionnaire administrators on the scene can clarify any ambiguous questions for the respondent.

Open-ended and closed or pre-coded questions are two types of questions used in the interview schedule and the questionnaire. The open-ended question is a stimulus question which the respondent answers with as much or as little information as he can provide. Usually such answers are accompanied by material extraneous to the interest of the investigator, and some effort must be made later to sift out the usable data. The closed, precoded, or fixed-choice question, on the other hand, is extremely easy to deal with in data processing. For each question of this type, a set of alternative answers is provided, and the respondent is told to choose one of the answers. This works well as long as the answer choices provided accurately represent the respondent's feelings. In order to assume that answer choices are adequate, they should be tested in a pilot study, and provisions should be made (where logical) for an "other" category in which the respondent is able to give information not included in the answer choices.

Other commonly used methods of data gathering are the use of documents and observation techniques. Documents as a data source must be used with care. Documents containing evaluative material must be used with full recognition of the biases of the evaluator. On the other hand, documents reporting nonevaluative material such as height and weight data are less subject to bias.

Observation techniques for data gathering--provided the observer is well-trained, unobtrusive, and understands the context of the situation he is observing--are very desirable. The observation approach can collect data on actual behavior in addition to perceived attitudes about that behavior. This is a superior technique for gathering data on sensitive issues where attitudes and behavior reported by the respondent are socially acceptable responses rather than actual behavior.

When possible, a combination of data gathering techniques is a best strategy. The use of interviews or questionnaires in addition to relevant documents and, if possible, observation, serves to cross-verify the data in addition to highlighting inconsistencies between those data sources (which, in turn, become important new forms of information).

10. PROCESSING DATA. At each stage of a data gathering effort, great care must be taken to insure the data are as valid as possible. Inaccurate data cannot be magically made valid by special processing or clever analyses. Bad data can only produce bad data analysis results--or as it is sometimes expressed, GIGO: garbage in, garbage out.

The data processing stage has a dual function. It checks the quality of the data and it prepares the data for analysis. As the interview schedules or questionnaires are returned for processing, they should first be checked or edited to see if all the information asked for has been provided. Lost information stems from two major sources: misunderstanding a question asked and missing or refusing to answer a question asked. In the case of the interview, the interviewer is responsible for missing information. Quality control procedures should be established whereby interviewers get immediate feedback on the quality of their interviewing. This procedure helps to weed out undesirable interviewers who were not detected in the interviewer training sessions; helps interviewers to avoid forming bad interviewing habits; and permits early correction of any faulty instrument design.

In the case of the questionnaire, checks of early returns should indicate unanticipated trouble spots. Questionnaires sent out later can be properly amended or, if all the questionnaires are already disseminated, phone calls can be made to respondents (if feasible)

for short data corrections. If phone calls are not desirable, short forms with the two or three revised questions might be sent to the study respondents with a cover letter explaining the situation, begging their indulgence, and humbly requesting their additional time and help.

When the returned data have been properly edited for quality, they are ready to be coded. Coding is a process where data are summarized and represented in a form compatible with use in a computer or some other analysis mode. Since complex ideas get boiled down to a simple number or series of numbers, it is important to develop an accurate and complete code book. A code book bridges the information gathered with the information analyzed by the computer. A code book tells you what information is going into the computer and helps you interpret the information coming out.

Tabulation is the simple process of counting how many cases there are in each category of a variable. For example, taking the variable of sex, one might have 50 boys and 50 girls in a sample of 100. This counting procedure gives checks for records kept during the sampling and field operation phases of the study. For example, interviewers records might show that 55 boys and 45 girls were successfully interviewed. Since this does not agree with the computer tabulation, a check must be made to find the error. Once tabulation figures are verified they serve as a valuable basic referent to check the accuracy of computer output analysis data.

11. DATA ANALYSIS, INTERPRETATION, AND PRESENTATION. Data analysis can be simple and straightforward or very complex. While data analysis is the last step in a research project, it should ideally be planned early in the project because the research design and sampling procedure determine, in large part, what kind of analysis can be done.

The many kinds of data analysis cannot be appropriately discussed here in this short presentation. However, for those who are baffled by data analysis, it would be best to hire a consultant in the planning stages of the project who could map out various analysis strategies that are designed to answer the basic questions posed by the study. The analysis plan could be followed by the project staff or the consultant could return to help with the analysis.

Many data analysis findings are open to various interpretations. For example, a half glass of water (empirical fact) may be considered

half full or half empty (interpretation). Interpretations should be no problem for the writer if the reader is given sufficient information to accept or reject the interpretation and to supply his own interpretation. If the data are clearly presented and the supporting arguments are logical, the reader should agree with most interpretations presented.

Data presentation should be as clear and straightforward as possible. Tables, figures, and charts should be clearly and fully labeled. All information relevant to interpreting the data should be presented. For example, it would be unfair to report for a sample size of 100 that 67 percent agree the moon is made of green cheese when only three of the 100 answered the question (hence two of the three answering agree or 67% of those answering agree). The simple, clear, fully informing mode of data presentation is the most credible and acceptable strategy to adopt.

* * *

The above presentation gives a brief overview of some salient issues in carrying out social research. The alternatives for research strategies discussed above are not and were not meant to be exhaustive. For those who would like to pursue these issues in more detail, the following section of references is presented.

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APPENDIX 3

PART B: CASE STUDY

The following is a hypothetical example of a perceived crime problem in a State and how that State utilized the foregoing research paradigm to deal with the problem.

The three largest urban areas in the State experienced an upsurge in adolescent crime (juvenile delinquency) soon after the movie, "The Rotten Kids," played in their area theaters. The newspapers were suddenly full of articles on juvenile delinquency and its alleged causes. The local churches joined the lament and urged a return to sanity, good family relations, and the church of your choice. The Boy Scouts and Girl Scouts encouraged adolescents to join their ranks. The local YW-YMCA's began a special learn-to-swim campaign noting that learning to swim builds stamina, both physical and moral. One local department store even went so far as to have a teen shoplifting day where the teenager (only 13- to 16-year-olds were eligible) could pretend to shoplift anything he or she wanted as long as they paid for it at the door where special salespersons and police were stationed. Unfortunately, the store reported, successful shoplifting exceeded the pretend kind the store had in mind for that day.

While the communities of the State railed about the problem, work began in the State SPA to understand the dimensions of the problem. Three questions were posed--How much of a problem existed? How serious was the problem? What might be done about the problem? The "problem" in all of these questions was defined as the unlawful behavior of adolescents commonly called juvenile delinquency. At first it was proposed that the problem be measured or operationalized by looking only at adolescents apprehended by the police as well as those adjudicated as delinquent. But, it was pointed out, adjudicated delinquents were possibly different from those merely apprehended by the police. It was agreed then that all adolescents who came in contact with the police would be the group of interest. However, someone pointed out that the conceptual statement and the operational statement did not match. To the amazement of the group they had overlooked their conceptual specification that unlawful behavior of adolescents be studied. Indeed, nothing had been said about police apprehension or court adjudication--just delinquent behavior. It was then decided a distinction would be made between delinquent behavior and official delinquency. Delinquent behavior was defined as all illegal behavior of those persons lawfully considered juveniles.

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Official delinquency was defined as a special kind of delinquent behavior--that which was officially recognized by the criminal justice system beginning with police apprehension. It was decided then that delinquent behavior was the problem to be explored and that the three questions would give focus to the general problem.

With the problem defined, the operationalization was refined to the point where 10 offenses defined the parameters of delinquent behavior for that State. If any of the 10 offenses had been committed, delinquent behavior had occurred.

The nature of the research case was explored next. The target population to be studied was restricted to 11- to 17-year-olds, since these ages were a fair approximation of the period called adolescence. While a target population had been identified, it was difficult to create an image of the way they formed a social system in a formal organizational sense. In a loose sense, however, teen culture and commonly shared problems did form an informal social system that could be identified. The system approach, however, was more useful in identifying those aspects of adolescent life that might be crucial for delinquent behavior. Three systems were specified for special study--the family, the peer group, and the school. The youngster's relationship to these systems and the system interrelationships themselves would serve as general study guidelines.

The number of cases for sampling would be determined on the individual level. However, for each individual, three system cases would be selected for study--the family, the school, and the peer group (the peer group would serve as a surrogate measure for the larger informal adolescent subcultural system that was first identified). A special fourth system, the criminal justice system, would be studied for those individuals who came in contact with it.

The sampling decisions were made as follows. The three largest urban areas in the State were the most concerned about the delinquency problem. While the smaller towns and rural areas of the State also had juveniles who were involved in delinquent behavior, they felt it was a minor issue among their other crime problems. It was decided, therefore, to only deal with the three largest cities (a note was made to replicate the large city studies in the smaller city and rural areas of the State for comparative purposes at a later date).

Since the three largest cities were comparable on demographic and crime characteristics, it was felt that one city would be sufficiently

representative of all the three cities. While the three cities were located in different parts of the State, these geographic differences did not detract from their basic homogeneity in any significant way. In the city chosen for study, the number of eligible adolescents was determined from Census data. Youngsters in the target age group made up 10 percent of the city's total population (200,000). It was decided to take a 10 percent random sample (probability sample) of the 20,000 eligibles. A list of eligible adolescents was drawn from school records. Great care was taken to include these youngsters who had dropped out of school, since their delinquent behavior patterns might be quite different from the in-school group. Two thousand names were selected at random from the list.

In considering the time factor, that is, whether to take a static or dynamic approach to the problem, much effort was spent in debating alternatives. Delinquent behavior, according to the available literature, was a process that appeared to be part and parcel of adolescent development. This would indicate that a dynamic study approach be taken, one which would cover process, change, and development over time. A longitudinal or panel study would be ideal for this purpose. Unfortunately, it was estimated that a proper longitudinal study would take 5 to 6 years at approximately \$750,000 a year. This approach was, therefore, rejected.

Happily, several ways were found to approximate the dynamic approach through a static study (that is, covering a single point in time). Since several age groups were being studied at one time, a cross-sectional design was being employed. It was recalled that the cross-sectional study gave some very good hints to the elements of process, change, and development. Furthermore, each youngster from which data would be gathered could be asked to retrospectively report past events without the fear of undue distortion. Such data would give another measurable dynamic dimension to the adolescent development and process being studied. These approaches, to some extent, would offset the loss of the longitudinal study.

The extent of control over the systems under study would be, at best, unsystematic. No direct controls would be exercised over the lives of the adolescents or over the systems in which they participated. Any major controls exercised would have to be through techniques such as case matching. A major control over having a biased group of adolescents to study had already been exercised through the random sampling procedures. If, then, the number of nonrespondents could be held to a minimum (about

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15 percent, and if that nonresponse group had no special group characteristics, the sampling control mechanism would be successful.

After some thought and debate, it was decided that a special substudy would be done involving systematic control over one system (the juvenile court) under study. While the general problem of delinquent behavior was of major interest, more immediate problems of juvenile involvement in the criminal justice system needed to be studied. Some problems were: What kind of selection procedures, if any, were operating from the point of police apprehension through adjudication and final disposition? Was there any bias operating in this decisionmaking? Did brief incarceration, as opposed to being returned to the community, have a deterrent effect on future delinquent behavior of the adolescent? The last question was chosen for study. With the cooperation of the juvenile court, adjudicated first offenders were assigned at random either to return to their community on probation or to a short term of incarceration. The random assignment is a technique for minimizing any group differences that might have otherwise occurred through selection biases and other biasing factors. This technique controls for differences to the extent possible without having total knowledge of and control over the lives of the adolescents up to their disposition in the juvenile court. After a period of time the juveniles were interviewed by a neutral research organization. The interview was structured to find out about their delinquent behavior for a given time period. In addition, official files were checked to supplement the interview data. The frequency and seriousness of each group's delinquent behavior were compared, and conclusions were drawn about the effects of probation or incarceration on subsequent delinquent behavior.

As planning for the main study continued, data sources were discussed. A search for available data turned up bits and pieces of information which could not be readily combined into a meaningful data set. It was decided, therefore, that the original plan to collect new data was in order.

Based on the few studies of this type already done, it was decided to use interviews to gather the main data base. Information from these interviews would be supplemented and, when possible, verified by school records, police records, and court files.

Asking youngsters about delinquent behavior would be difficult, since there is a known tendency for people to conceal their deviant behavior.

However, other studies indicated this approach would give reasonable estimates of the phenomenon. Interviewers in their early twenties, who would not be far removed from the teen culture, were thought to be the most compatible interviewers for the age group under study. Assurances of anonymity, the utilization of neutral interviewing sites (away from the home or school), and the skill of the interviewer would largely determine the quality of the data received.

Due to the sensitivity of the information being collected, a combined interview-questionnaire approach would be used. First, the adolescent respondent would be asked to complete a checklist of 10 offenses he or she might have been involved in recently. Each item on the checklist would have a companion interview schedule that explored the offense in great detail. The interviewer would retrieve the checklist and shift to the offense interview schedules covering those offenses marked on the checklist. This procedure would reduce the reporting of nonexistent offenses by demanding more detail about the event that most adolescents could consistently fabricate in the time allotted.

Data processing would begin with interview editing. One or two editors would be responsible for the quality control of the interviewers' work. The editors, having been through interviewer training and having participated in the pretest, would be thoroughly familiar with the goals of the study and its methodology. From time to time, the project director and planning staff would doublecheck the editing work to satisfy themselves that things were going well.

Data processing would be organized to protect the anonymity of the study respondents. The editors would only have an identification number to work with on the material edited. A master list of names with code numbers would be kept in a locked file by the project director. The editors would search the interview schedule for any identifying information that may have been written there by mistake by an interviewer. When the schedule was ready, it would be sent to the coders. Machine scoring, while providing fast processing, takes a fair amount of preparation and planning in the early stages of the project, particularly if there are many open-ended questions. Since approximately half of the interview schedule would be in the open-ended format, machine scoring would not be used. The coders would have to be carefully trained so that they could consistently agree on how the data should be coded. A check-coding process would help to insure the consistent coding required.

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At the end of the first 6 months, as required, a preliminary progress report was made. Some of the first interviews processed were tabulated to give the readers of the report a sense of the kind of data distributions that were being found for selected variables. An outline of the data analysis, which was designed to deal with the questions of how much of a problem delinquency was; how serious a problem delinquency was; and what could be done about delinquency (strategies for prevention and reduction), was presented in the preliminary 6-month report.

Later, when the data were processed and analysis started, the original questions began to receive answers. Delinquent behavior was found to be a widespread phenomenon among youngsters in this age group. Approximately 88 percent of all teenagers reported that they had been involved in some type of delinquent behavior. Most of the adolescents reporting no delinquent behavior were in the younger age groups. Although most adolescents had at one time or another been involved in some delinquent behavior, most of them did very little (two or three offenses total) and most of them eventually appeared to mature out of such behavior. The notion of "maturing out" of deviant behavior in adolescence could not be fully tested, since the oldest youngsters in the sample were 17. A note was made to develop another research project (possibly based on the delinquent behavior sample) to test this idea and to trace its developmental pattern.

In looking over the data and tracing the delinquent behavior reported prior to the showing of the movie, "The Rotten Kids," it was established that delinquent behavior had not increased after the movie had been shown. Evidently the film had its most dramatic impact on much of the media and various social agencies in the city; these in turn sensitized everyone in the community to the problem. Even though the delinquency "problem" had been stable for some time, the community's recognition of the problem elevated it to a "crime wave." Before this phenomenon could be refuted, a check was made of the data to determine if the seriousness of delinquent behavior had increased.

A seriousness index which was widely accepted by researchers and others in the criminal justice field was used in the research. Analysis showed that the seriousness of delinquent behavior decreased after the showing of "The Rotten Kids" film. The net effect for the city studied was that the frequency of delinquent behavior stayed fairly level while the seriousness of the delinquent acts decreased during the community uproar over delinquency.

The number of juvenile apprehensions and arrests increased, however, immediately after the first newspaper article on delinquency appeared. Police records verified that most of the juveniles arrested were first offenders and that the offenses involved were, on the whole, somewhat less serious than those handled by the police prior to the newspaper article.

Police records and the survey data clearly indicated overall that the most serious offenses were committed by youngsters who had been apprehended by the police more than once. Furthermore, a check of the data showed that juveniles who came into contact with the police were subsequently involved in more delinquent behavior than were those juveniles matched with them who had not come into contact with the police.

In most cases, it appeared that getting caught for delinquent behavior was mostly "bad luck." Some serious offenders were tracked down by police investigation but since serious offenders were few, that sort of apprehension was not common. The evidence began to mount then that police apprehension was in some way related to the delinquency problem. The results of the juvenile court experiment were examined, and it was noted that youngsters returned to the community were less likely to form a crime career pattern of behavior than were youngsters who were incarcerated.

What could be done about delinquency? The research data and other records used indicated that some delinquent behavior seemed to be integral to adolescent development. Since most delinquent behavior was infrequent and not serious, it could be ignored. However, to wink at this behavior implied a community permissiveness and tolerance that simply did not exist and could not reasonably be expected to exist. Infrequent and minor property damage, for example, was a burden the community would not bear. What price did the community want to extract from the delinquent adolescent? It wanted to teach the adolescent a sense of responsibility for other people's property, levies, and general welfare. Given this goal, it was decided that apprehended juveniles who fitted the infrequent and not serious offender pattern should be processed in a way that emphasized their obligations to the community but did not undermine their sense of personal worth and label them as different and deviant. A program began to develop identification procedures for the "casual" delinquent and to develop plans for handling him.

As a result of the survey data analysis, programs aimed at the bulk of the infrequent and not serious adolescent delinquent behavior began to

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develop. More research was called for to explore the role of the family, the school, and the peer group in general adolescent development and delinquent behavior (the prior research project had laid the foundation for more detailed study). Criminal justice information systems were revamped to make them compatible with the demands of research (they proved to be a valuable source of data in the delinquent behavior research project). Prevention programs stressed reducing opportunities for crime, especially for residential areas adjacent to schools and playgrounds where a high concentration of juveniles would be found. Broad scope diversion programs based on the initial survey findings were started with a research component to monitor the operation and success of the programs as well as to generate new research problems.

The survey data indicated two outstanding types of delinquent behavior. There was the infrequent, unpatterned, and not serious delinquent behavior, and the serious delinquent behavior which was found to be patterned but relatively infrequent. Profiles of the latter type of behavior along with some salient adolescent characteristics were developed from the data. This profile was provided to law enforcement officials in order to aid them in determining which juveniles were "high-risk" delinquents. It was felt that the community needed protection from the "high-risk" delinquent adolescent. A program of research and related policy-making was undertaken to verify the "high-risk" delinquent profile and to make recommendations for the treatment of these adolescents.

In summary, research on the profile of juvenile delinquency gave empirical dimensions to the issue and suggested some expected and unexpected strategies for dealing with the problem. As is the case with most research, more questions were raised than answered. However, that proved advantageous because an ongoing program of research strengthened the other functional components of the criminal justice system. As reciprocity grew between all the functional components, more knowledge was acquired, and with it, increased success in combating crime.

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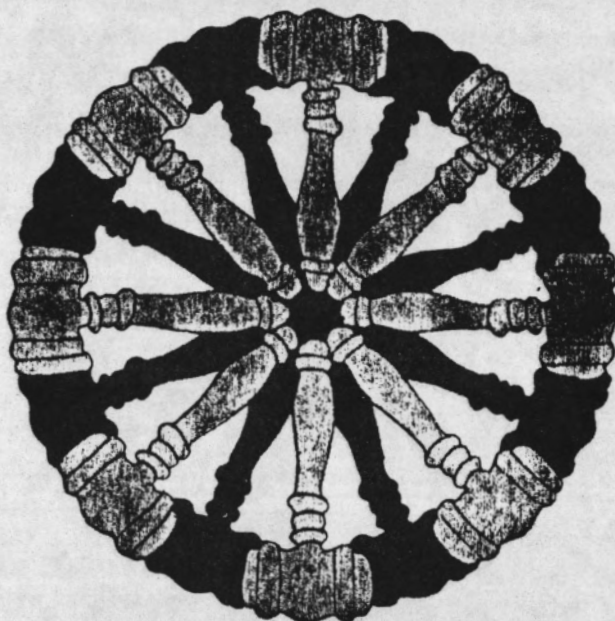
APPENDIX 5

LAW ENFORCEMENT INFORMATION SURVEY

We wish to express our appreciation to the North Carolina Division of Law and Order for allowing us to reprint the following information questionnaire.

NORTH CAROLINA
LAW ENFORCEMENT INFORMATION SURVEY
FY 1972

POLICE



STATE OF NORTH CAROLINA
DIVISION OF LAW AND ORDER
RALEIGH

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FY-1972 NORTH CAROLINA LAW ENFORCEMENT INFORMATION

for the

DIVISION OF LAW AND ORDER

GENERAL DIRECTIONS:

1. This information questionnaire has been designed with the intent of compiling information essential for strengthening local law enforcement in North Carolina, including information about salaries, fringe benefits, manpower strength, special units, records, etc.
2. This questionnaire has been designed for FAST COMPLETION. Wherever possible, spaces for checks have been provided. All questions can be answered by:
 - a) Marking an "X" in a space (eg. X),
 - b) Writing a number on a line (eg. 15), or
 - c) Marking a code:
[0 for None, or Not Applicable]
[DK for Don't Know or Information Not Available (this means that the information is either not known or that it is not available because of lack of cooperation or otherwise.)]
3. Please answer every question. No unanswered questions will be permitted this year. If an item is really not available or does not exist you must reply with one of the codes listed in 2-c listed above.
4. A questionnaire must be completed for each and every authorized police and sheriff department in your region. If a police department or sheriff department refuses to cooperate, a questionnaire must still be completed with all the information that can be obtained in other ways.
5. If you do not understand what a question means, or you do not know how to answer it, please call Larry Koonts at the Division of Law and Order.
6. Please answer questions carefully. The Division of Law and Order considers this an official report of the police and sheriff departments in your local planning unit.
7. Remember that your project award will depend heavily on the quality and completeness of this report. Due to the number of errors that occurred on last year's Data Schedules (although some were much better than others), careful verification and validity studies will be conducted this year to determine the accuracy of the report since this will be the only official report on law enforcement in North Carolina.

CONTENTS NOT AUTHORIZED FOR RELEASE WITHOUT WRITTEN PERMISSION FROM
THE DIVISION OF LAW AND ORDER

POLICE

Please do not write in
this space.

Reg.	County	City			

POLICE DEPARTMENT INFORMATION

LAW ENFORCEMENT PLANNING REGION: _____
(letter)

NAME OF POLICE DEPARTMENT: _____

NAME OF PLANNING DIRECTOR: _____

IF NOT PLANNING DIRECTOR, NAME OF PERSON OBTAINING INFORMATION: _____

NAME OF CHIEF: _____

ADDRESS: _____
(street or building)

_____ (city)

_____ (zip code)

COUNTY: _____

TELEPHONE: _____ (area code) _____ (telephone number)

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GENERAL INFORMATION
POPULATION
1970

PLEASE FILL IN THE FOLLOWING ITEMS WITH THE CORRECT FIGURES FOR THE CITY, IF POLICE,
OR THE COUNTY, IF SHERIFF.

(1)	(2)	(3)	(4)	(5)
TOTAL POPULATION (1970)	POPULATION BY AGES			
	0-15 years	16-21 years	22-34 years	35 AND OVER

(6)	(7)	(8)	(9)	(10)
FEMALE POP.	MALE POP.	% BLACK	% WHITE	% OTHER

(11)	(12)	(13)
* AREA IN SQUARE MILES	MILES OF PUBLIC ROADS	AMOUNT OF MOST RECENT ANNUAL BUDGET FOR THE DEPT.

DOES YOUR DEPARTMENT CONTRIBUTE TO A CENTRALIZED OR REGIONAL INFORMATION BANK?

(14)	
0. _____	NO OR NOT APPLICABLE
1. _____	YES
9. _____	DON'T KNOW

WRITE A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE AS APPLICABLE OR CODE:

0 FOR NONE OR NOT APPLICABLE, OR
DK FOR DON'T KNOW OR NOT AVAILABLE

*GIVE THE AREA IN SQUARE MILES OR POPULATION OF THE CITY, IF POLICE, OR THE ENTIRE
COUNTY, IF SHERIFF.

GENERAL INFORMATION

WHAT IS THE NUMBER OF MINORITY GROUP PERSONNEL IN YOUR DEPARTMENT?

	(15)	(16)	(17)
CODE	NUMBER BLACKS	NUMBER INDIANS	NUMBER OTHER
SWORN PERSONNEL			
CIVILIAN PERSONNEL			
TOTAL			

HOW MANY ADULT ARRESTS WERE MADE DURING 1970 FOR THE FOLLOWING CLASSIFICATIONS?

(18)	(19)	(20)	(21)
FELONIES	MISDEMEANORS	TRAFFIC	TOTAL

HOW MANY OF THE TOTAL ADULT ARRESTS WERE ALCOHOL RELATED?

(22)

HOW MANY OF THE TOTAL ADULT ARRESTS WERE DRUG RELATED?

(23)

HOW MANY JUVENILE ARRESTS WERE MADE DURING 1970 FOR THE FOLLOWING CLASSIFICATIONS?

(24)	(25)	(26)	(27)
FELONIES	MISDEMEANORS	TRAFFIC	TOTAL

HOW MANY OF THE TOTAL JUVENILE ARRESTS WERE ALCOHOL RELATED?

(28)

HOW MANY OF THE TOTAL JUVENILE ARRESTS WERE DRUG RELATED?

(29)

WHAT IS THE MAJOR CRIME INDEX (FBI UNIFORM CRIME REPORT) FOR YOUR GOVERNMENTAL JURISDICTION?

(30)

PLEASE WRITE A NUMBER IN EACH OF THE ABOVE BLOCKS OR CODE 0 FOR NONE OR NOT APPLICABLE
OR DK FOR DON'T KNOW

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UPGRADING LAW ENFORCEMENT PERSONNEL
PERSONNEL

POLICE DEPARTMENT

	(31)	(32)	(33)	(34)	(35)	(36)
GRADE LEVELS	PAID FULL-TIME PERSONNEL (NUMBER)	PAID PART-TIME PERSONNEL (NUMBER)	UNPAID OR VOLUNTEER PERSONNEL (NUMBER)	AVERAGE ANNUAL SALARY (AMOUNT)	SCHEDULED HOURS WORKED PER WEEK (NUMBER)	ACTUAL HOURS WORKED PER WEEK (NUMBER)
SWORN	CHIEF					
	MAJOR					
	CAPTAIN					
	LIEUTENANT					
	SERGEANT					
	PATROLMEN					
	DETECTIVES					
	TOTAL (SWORN)					
UNSWORN	RESERVES					
	SECRETARY					
	DISPATCHER					
	RECORDS CLERK					
	JAIL PERSONNEL					
	MAINTENANCE					
	TOTAL (UNSWORN)					
	GRAND TOTALS					

CODE 0 FOR NONE OR NOT APPLICABLE CODE DK FOR DON'T KNOW OR NOT AVAILABLE

UPGRADING LAW ENFORCEMENT PERSONNEL

WORKLOAD

ESTIMATE WHAT PER CENT OF TOTAL TIME OF YOUR SWORN OFFICERS IS DEVOTED TO COURT TIME.

(37)
PER CENT COURT TIME
%

ESTIMATE WHAT PER CENT OF TOTAL TIME OF YOUR SWORN OFFICERS IS DEVOTED TO STREET TIME.

(38)
PER CENT STREET TIME
%

ESTIMATE WHAT PER CENT OF TOTAL TIME OF YOUR SWORN OFFICERS IS DEVOTED TO RECALL-TO-DUTY TIME FOR RIOTS, EMERGENCIES, ETC.

(39)
PER CENT RECALL TIME
%

ESTIMATE WHAT PER CENT OF TOTAL TIME OF YOUR SWORN OFFICERS IS DEVOTED TO SPECIAL EVENTS SUCH AS FOOTBALL GAMES, FUNERAL ESCORTS, ETC.

(40)
PER CENT SPEC. EVENTS
%

ESTIMATE WHAT PER CENT OF TOTAL TIME OF YOUR SWORN OFFICERS IS DEVOTED TO OTHER MAJOR JOBS.

(41)
LIST OTHER MAJOR JOBS

(42)
PER CENT OTHER TIME
%

(WRITE A NUMBER IN EACH OF THE ABOVE OR CODE 0 FOR NONE OR DK FOR DON'T KNOW.)

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PERSONNEL

WHAT IS THE PRESENT NUMBER OF SWORN POSITIONS IN YOUR DEPARTMENT?

	(43)	(44)	(45)	(46)
	NUMBER OF FILLED POSITIONS	NUMBER OF UNFILLED AUTHORIZED POSITIONS	TOTAL POSITIONS	HOW MANY OF THE FILLED POSITIONS ARE FEMALE?
FULL-TIME SWORN				
PART-TIME SWORN				

HOW MANY SWORN OFFICERS IN YOUR DEPARTMENT LEFT DURING 1970 FOR REASONS OTHER THAN RETIREMENT?

(47)
NUMBER LEFT

HOW MANY ADDITIONAL SWORN OFFICERS (ABOVE PRESENT AUTHORIZED NUMBER) DO YOU FEEL ARE NEEDED TO PROVIDE AN ADEQUATE LEVEL OF POLICE SERVICE IN YOUR JURISDICTION?

(48)
NUMBER ADDITIONAL FULL-TIME

(49)
NUMBER ADDITIONAL PART-TIME

WHAT IS THE AVERAGE NUMBER OF VACATION DAYS OFFERED TO THE MEN IN YOUR DEPARTMENT?

(50)
NUMBER DAYS OF VACATION

WHAT ARE THE AVERAGE NUMBER OF HOLIDAYS GIVEN TO THE MEN IN YOUR DEPARTMENT?

(51)
NUMBER HOLIDAYS

WHAT IS THE AVERAGE NUMBER OF SICK LEAVE DAYS GIVEN TO THE MEN IN YOUR DEPARTMENT?

(52)
NUMBER DAYS SICK LEAVE

EITHER WRITE A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE OR CODE: 0 FOR NONE OR NOT APP.
OR DK FOR DON'T KNOW OR NOT AVAILABLE

UPGRADING LAW ENFORCEMENT PERSONNEL

PERSONNEL BENEFITS

WHAT TYPES OF PERSONNEL BENEFITS ARE OFFERED BY YOUR DEPARTMENT?

	(53)	(54)	(55)	(56)	(57)
CODE	RETIREMENT	LIFE INSURANCE	FALSE ARREST INSURANCE	HOSPITAL INSURANCE	WORKMAN'S COMPENSATION
0. NONE					
1. PARTIAL PAYMENT					
2. TOTAL PAYMENT					
9. DON'T KNOW					

	(58)	(59)	(60)	(61)	(62)
CODE	EXTRA PAY FOR HAZARDOUS DUTY	UNIFORM OR ALLOWANCE	EQUIPMENT (GUNS, BELT, ETC.)	VACATION LEAVE	SICK LEAVE
0. NONE					
1. PARTIAL PAYMENT					
2. TOTAL PAYMENT					
9. DON'T KNOW					

HOW ARE YOUR SWORN OFFICERS COMPENSATED FOR OVERTIME?

(63)	
0.	NO PAYMENT OR COMPENSATORY GIVEN OR NOT APPLICABLE
1.	OVERTIME PAY
2.	COMPENSATORY TIME OFF
3.	OVERTIME PAY AND/OR COMPENSATORY TIME OFF
9.	DON'T KNOW OR NOT AVAILABLE

(CHECK ONE SPACE IN EACH OF THE COLUMNS LISTED ABOVE)

UPGRADING LAW ENFORCEMENT PERSONNEL

RECRUITMENT

WHICH OF THE FOLLOWING ARE USED TO EVALUATE THE QUALIFICATIONS OF NEW MEN FOR THE DEPARTMENT?

(64)
MEDICAL EXAMINATION
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(65)
PHYSICAL EXAMINATION
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(66)
EDUCATION
0. <input type="checkbox"/> NO REQUIREMENTS
1. <input type="checkbox"/> SOME HIGH SCHOOL
2. <input type="checkbox"/> HIGH SCHOOL
3. <input type="checkbox"/> SOME COLLEGE
4. <input type="checkbox"/> COLLEGE DEGREE
5. <input type="checkbox"/> VARIES ACCORDING TO GRADE LEVEL
9. <input type="checkbox"/> DON'T KNOW

(67)
PSYCHOLOGICAL TESTS
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(68)
POLYGRAPH TEST
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(69)
CHARACTER REFERENCE
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(70)
APTITUDE OR INTELLIGENCE TEST
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(71)
WRITTEN EXAM FOR THE SELECTION OF NEW RECRUITS
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

WHAT OTHER TYPES OF QUALIFICATIONS ARE REQUIRED?

LIST
OTHER:

(72)

PLEASE CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE OR FILL IN THE CORRECT RESPONSE FOR THE LAST ITEM IF APPLICABLE.

UPGRADING LAW ENFORCEMENT PERSONNEL
EDUCATIONAL BACKGROUND OF ALL SWORN PERSONNEL

*
WHAT IS THE EDUCATIONAL BACKGROUND OF THE SWORN PERSONNEL IN YOUR DEPARTMENT?

	(73)	(74)	(75)
CODE	NUMBER WITHOUT HIGH SCHOOL DEGREES	NUMBER WITH HIGH SCHOOL DEGREES	NUMBER WITH TWO YEAR COLLEGE DEGREES
NUMBER OF SWORN PERSONNEL			

	(76)	(77)	(78)
CODE	NUMBER WITH FOUR YEAR COLLEGE DEGREES	NUMBER WITH GRADUATE WORK	NUMBER WITH COLLEGE DEGREES IN POLICE SCIENCE
NUMBER OF SWORN PERSONNEL			

WRITE NUMBER OF SWORN PERSONNEL IN EACH OF THE BLOCKS LISTED ABOVE, OR.....

(CODE 0 FOR NONE OR NOT APPLICABLE)

(CODE DK FOR DON'T KNOW OR NOT AVAILABLE)

*WRITE THE EXACT NUMBER OF SWORN PERSONNEL THAT EITHER HAVE A FORMAL OR EQUIVALENCY CERTIFICATE FOR EACH OF THE EDUCATIONAL CATEGORIES. PERSONNEL SHOULD NOT BE COUNTED TWICE IN ANY OF THESE CATEGORIES BUT EACH PERSON SHOULD BE COUNTED IN THAT CATEGORY WHICH INCLUDES HIS HIGHEST GRADE LEVEL.

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UPGRADING LAW ENFORCEMENT PERSONNEL

TRAINING:

IS ANY BASIC TRAINING PROVIDED FOR NEW RECRUITS?

(79)	
0.	NO OR NOT APPLICABLE
1.	YES
9.	DON'T KNOW

WHO PROVIDES THE TRAINING?

(80)	
0.	NO TRAINING OR NOT APPLICABLE
1.	OWN DEPARTMENT
2.	OTHER DEPARTMENT--WHO? _____
9.	DON'T KNOW

WHAT ARE THE AVERAGE NUMBER OF BASIC CLASSROOM TRAINING HOURS PER PERSON?

(81)	
0.	NO TRAINING OR NOT APPLICABLE
1.	1 TO 60 HOURS
2.	61 TO 120 HOURS
3.	121 TO 180 HOURS
4.	181 TO 240 HOURS
5.	241 TO 300 HOURS
6.	301 TO 360 HOURS
7.	361 HOURS OR MORE
9.	DON'T KNOW

HOW MANY MEN HAVE HAD BASIC CLASSROOM TRAINING?

(82)
(number)

WHAT IS THE AVERAGE NUMBER OF ON-THE-JOB TRAINING HOURS PER PERSON?

(83)	
0.	NO TRAINING OR NOT APPLICABLE
1.	1 TO 60 HOURS
2.	61 TO 120 HOURS
3.	121 TO 180 HOURS
4.	181 TO 240 HOURS
5.	241 TO 300 HOURS
6.	301 TO 360 HOURS
7.	361 HOURS OR MORE
9.	DON'T KNOW

HOW MANY MEN HAVE HAD THE AVERAGE NUMBER OF ON-THE-JOB TRAINING HOURS?

(84)
(number)

CHECK THE APPROPRIATE SPACE OR EITHER WRITE THE CORRECT NUMBER OR CODE:

- 0 FOR NONE OR NOT APPLICABLE, OR
DK FOR DON'T KNOW

UPGRADING LAW ENFORCEMENT PERSONNEL
TRAINING (CONTINUED)

WHERE DID THE MEN IN YOUR DEPARTMENT RECEIVE THEIR TRAINING DURING THE FIRST SIX MONTHS OF 1971? (WRITE NUMBER OF MEN)

(85)	(86)	(87)	(88)
* INTERDEPARTMENTAL TRAINING (NUMBER)	COMMUNITY COLLEGE (NUMBER)	INSTITUTE OF GOV'T. OR SBI TRAINING (NUMBER)	TECHNICAL INSTITUTE (NUMBER)

*[THIS INCLUDES BASIC AND ON-THE-JOB TRAINING CONDUCTED BY YOUR DEPARTMENT.]

(89)	(90)	(91)	(92)
FBI NATIONAL ACADEMY (NUMBER)	SOUTHERN POLICE INSTITUTE (NUMBER)	NORTHWESTERN TRAFFIC INSTITUTE (NUMBER)	OTHER--WHO? _____ (NUMBER)

DOES YOUR DEPARTMENT OFFER ANY PAY INCENTIVE FOR HAVING RECEIVED LAW ENFORCEMENT TRAINING AT AN EDUCATIONAL INSTITUTE?

(93)
0. _____ NO OR NOT APPLICABLE
1. _____ YES
9. _____ DON'T KNOW

DOES YOUR DEPARTMENT PAY ALL OR ANY PORTION OF COLLEGE TUITION FOR POLICE-RELATED COURSES TAKEN ON AN OFFICER'S OWN TIME?

(94)
0. _____ NO OR NOT APPLICABLE
1. _____ PARTIAL PAYMENT
2. _____ TOTAL PAYMENT
9. _____ DON'T KNOW

CHECK THE APPROPRIATE SPACE, FILL IN A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE, OR

CODE: 0 FOR NONE OR NOT APPLICABLE, OR
DK FOR DON'T KNOW OR NOT AVAILABLE

UPGRADING LAW ENFORCEMENT PERSONNEL
TRAINING (CONTINUED)

DO YOU CONDUCT A REGULARLY SCHEDULED IN-SERVICE TRAINING PROGRAM FOR ALL
POLICE PERSONNEL?

(95)	
0.	NO OR NOT APPLICABLE
1.	YES
9.	DON'T KNOW

HOW OFTEN IS THIS PROGRAM OFFERED?

(96)	
0.	NO PROGRAM OR NOT APPLICABLE
1.	WEEKLY
2.	MONTHLY
3.	QUARTERLY
4.	SEMI-ANNUALLY
5.	ANNUALLY
6.	OTHER _____
9.	DON'T KNOW

HOW MANY WEEKS DOES THE PROGRAM TAKE?

(97)	
NUMBER OF WEEKS	

HOW MANY HOURS ARE INVOLVED?

(98)	
NUMBER OF HOURS	

IS AN OFFICER SPECIFICALLY ASSIGNED TO CONDUCT THE IN-SERVICE TRAINING PROGRAM?

(99)	
0.	NO OR NOT APPLICABLE
1.	YES
9.	DON'T KNOW

(CHECK THE APPROPRIATE SPACE OR FILL IN A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE.)

PREVENTION OF CRIME AND PUBLIC EDUCATION

DOES YOUR DEPARTMENT OFFER ANY PROGRAMS TO THE PUBLIC CONCERNING THE PROTECTION OF CITIZENS AND PROPERTY?

(100)	
0. <input type="checkbox"/>	NO PROGRAMS OFFERED
1. <input type="checkbox"/>	YES, SOME PROGRAMS ARE OFFERED BY THIS DEPARTMENT
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

DOES YOUR DEPARTMENT OFFER ANY PROGRAMS TO THE PUBLIC CONCERNING THE PREVENTION OF CRIME?

(101)	
0. <input type="checkbox"/>	NO PROGRAMS ARE OFFERED
1. <input type="checkbox"/>	YES, SOME PROGRAMS ARE OFFERED
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

DOES YOUR DEPARTMENT OFFER ANY PROGRAMS TO THE PUBLIC CONCERNING INCREASING KNOWLEDGE OF THE CRIMINAL JUSTICE SYSTEM?

(102)	
0. <input type="checkbox"/>	NO PROGRAMS OFFERED
1. <input type="checkbox"/>	YES, SOME PROGRAMS ARE OFFERED
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

ARE ANY EFFORTS BEING MADE CONCERNING THE INVOLVEMENT OF THE PUBLIC IN THE CRIMINAL JUSTICE SYSTEM?

(103)	
0. <input type="checkbox"/>	NO OR NOT APP.
1. <input type="checkbox"/>	YES, EFFORTS ARE BEING MADE
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

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PREVENTION OF CRIME AND PUBLIC EDUCATION
(CONTINUED)

ARE ANY EFFORTS BEING MADE TO ENCOURAGE CITIZENS TO TESTIFY?

(104)	
0. <input type="checkbox"/>	NO EFFORTS ARE BEING MADE
1. <input type="checkbox"/>	SOME EFFORTS ARE BEING MADE
2. <input type="checkbox"/>	MANY EFFORTS ARE BEING MADE
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

ARE ANY EFFORTS BEING MADE TO ENCOURAGE CITIZENS TO REPORT CRIMES?

(105)	
0. <input type="checkbox"/>	NO EFFORTS ARE BEING MADE
1. <input type="checkbox"/>	SOME EFFORTS ARE BEING MADE
2. <input type="checkbox"/>	MANY EFFORTS ARE BEING MADE
9. <input type="checkbox"/>	DON'T KNOW OR INFORMATION NOT AVAILABLE

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

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IMPROVEMENT OF DETECTION AND APPREHENSION
IMPROVEMENT OF ORGANIZATION OF LAW ENFORCEMENT RESOURCES

HOW OFTEN DOES YOUR DEPARTMENT ASSIST ANOTHER DEPARTMENT IN AN INVESTIGATION OR ARREST?

(106)	
0. _____	NEVER
1. _____	RARELY
2. _____	OCCASIONALLY
3. _____	OFTEN
9. _____	DON'T KNOW

HOW OFTEN DOES ANOTHER DEPARTMENT ASSIST YOUR DEPARTMENT IN AN INVESTIGATION OR ARREST?

(107)	
0. _____	NEVER
1. _____	RARELY
2. _____	OCCASIONALLY
3. _____	OFTEN
9. _____	DON'T KNOW

DOES YOUR DEPARTMENT SHARE ANY VITAL EQUIPMENT OR FACILITIES WITH ANOTHER AGENCY?

(108)	
0. _____	NO
1. _____	YES
9. _____	DON'T KNOW

IF IT COULD BE PROVEN THAT LARGER POLICE DEPARTMENTS WERE MORE EFFECTIVE IN DEALING WITH CRIME AND CRIMINAL ACTIVITIES, WOULD YOUR DEPARTMENT BE WILLING TO CONSOLIDATE WITH OTHER DEPARTMENTS IN YOUR AREA?

(109)	
0. _____	WOULD NOT CONSOLIDATE UNDER ANY CIRCUMSTANCES
1. _____	WOULD CONSOLIDATE ONLY IF THE EFFECTIVENESS OF CONSOLIDATION WAS PROVEN AND LEGISLATIVE DEMANDS WERE MET
2. _____	WOULD BE VERY WILLING TO CONSOLIDATE ON A TRIAL BASIS IN ORDER TO TEST IT'S EFFECTIVENESS IF LEGISLATIVE DEMANDS WERE MET
9. _____	DON'T KNOW OR NO OPINION

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

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IMPROVEMENT OF DETENTION AND APPREHENSION
IMPROVEMENT OF ORGANIZATION OF LAW ENFORCEMENT RESOURCES

IF YOUR DEPARTMENT HAS ANY SPECIALIZED UNITS, WRITE BELOW THE NUMBER OF OFFICERS
AND/OR CIVILIANS ASSIGNED TO THESE UNITS.

	(110)	(111)	(112)	(113)
CODE	TRAFFIC	PATROL	DETECTIVE	RECORDS
SWORN OFFICERS				
CIVILIAN				
TOTAL				

	(114)	(115)	(116)	(117)
CODE	COMMUNICATIONS	JUVENILE	PLANNING & RESEARCH	TRAINING
SWORN OFFICERS				
CIVILIAN				
TOTAL				

	(118)	(119)	(120)	(121)
CODE	PERSONNEL	CRIME LABORATORY	INTERNAL AFFAIRS/ INSPECTION	INTELLIGENCE
SWORN OFFICERS				
CIVILIANS				
TOTAL				

	(122)	(123)	(124)	(125)
CODE	VICE	ADMINISTRATIVE	COMMUNITY RELATIONS	OTHER: _____
SWORN OFFICERS				
CIVILIANS				
TOTAL				

WRITE EITHER A NUMBER IN EACH OF THE ABOVE BLOCKS OR CODE:

0 FOR NONE OR NOT APPLICABLE, OR
DK FOR DON'T KNOW

IMPROVEMENT OF DELINQUENCY AND ATTENDANCE

PHYSICAL FACILITIES

DURING WHAT HOURS IS YOUR HEADQUARTERS OPEN TO THE PUBLIC?

(126)	
0.	WE HAVE NOT ESTABLISHED HEADQUARTERS WHERE THE PUBLIC MAY CONTACT THE POLICE
1.	HEADQUARTERS HAS NO REGULAR HOURS, BUT IS OPEN PART-TIME
2.	HEADQUARTERS HAS REGULAR HOURS BUT LESS THAN 24 HOURS A DAY
3.	HEADQUARTERS IS OPEN 24 HOURS A DAY
9.	DON'T KNOW

WHERE IS YOUR HEADQUARTERS HOUSED?

(127)	
0.	NO HEADQUARTERS
1.	PUBLICLY-OWNED BUILDING
2.	PRIVATE RESIDENCE
3.	OTHER PRIVATELY-OWNED RESIDENCE
9.	DON'T KNOW

WHAT IS THE GENERAL STRUCTURAL CONDITION OF THE BUILDING HOUSING THE DEPARTMENT?

(128)	
0.	NO BUILDING
1.	POOR
2.	FAIR
3.	GOOD
9.	DON'T KNOW

WHEN WAS THE BUILDING HOUSING YOUR DEPARTMENT HEADQUARTERS ORIGINALLY BUILT?

(129)			
0.	NO BUILDING	6.	1940-1949
1.	BEFORE 1865	7.	1950-1959
2.	1865-1899	8.	1960-1969
3.	1900-1919	9.	1970-1971
4.	1920-1929	10.	NEW FACILITY UNDER CONSTRUCTION
5.	1930-1939	9.	DON'T KNOW

ARE THERE DEFINITE PLANS FOR A NEW BUILDING TO HOUSE THE DEPARTMENT?

(130)	
0.	NO PLANS AT ALL OR NOT APPLICABLE
1.	PLANS FOR NEW BUILDING OVER FIVE YEARS FROM NOW
2.	PLANS FOR NEW BUILDING WITHIN FIVE YEARS
9.	DON'T KNOW

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

IMPROVEMENT OF DETENTION AND APPREHENSION

JAILS

PLEASE ANSWER THE FOLLOWING QUESTIONS CONCERNING THE ADEQUACY AND FACILITIES AVAILABLE IN THE JAIL OR LOCAL LOCK-UP IN YOUR GOVERNMENTAL JURISDICTION.

(131)	(132)	(133)	(134)	(135)
SIZE OF JAIL IN SQ. FEET (NUMBER)	TOTAL CELLS AVAILABLE (NUMBER)	TOTAL BEDS AVAILABLE (NUMBER)	AGE OF JAIL (NUMBER YRS.)	AVERAGE DAILY POPULATION (NUMBER)

(136)
AVERAGE STAY FOR PRISONERS (NUMBER DAYS)

(137)	(138)	(139)
SEPARATE QUARTERS FOR FEMALES	SEPARATE QUARTERS FOR JUVENILES	LOCAL LOCK-UP FOR ADULTS
0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW

DO YOU CONSIDER THE JAIL OR LOCAL LOCK-UP IN YOUR GOVERNMENTAL JURISDICTION:

(140)
0. <input type="checkbox"/> NOT APPLICABLE
1. <input type="checkbox"/> HIGHLY INADEQUATE
2. <input type="checkbox"/> ADEQUATE FOR EXISTING NEEDS BUT MAY NEED IMPROVEMENT
3. <input type="checkbox"/> VERY ADEQUATE NOW AND FOR THE NEAR FUTURE
9. <input type="checkbox"/> DON'T KNOW

PLEASE EITHER CHECK THE APPROPRIATE SPACE OR WRITE A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE OR CODE IN THE NUMBER BLOCKS:

0 FOR NONE OR NOT APPLICABLE, OR
DK FOR DON'T KNOW OR NOT AVAILABLE

IMPROVEMENT OF PROSECUTION AND COURT ACTIVITIES AND LAW REFORM

WHICH JUDICIAL DISTRICT SERVES YOUR COMMUNITY?

(141)
NUMBER OF JUDICIAL DISTRICT *

DOES YOUR DEPARTMENT HAVE ACCESS TO LEGAL ADVICE WHEN OR IF THE NEED ARISES?

(142)
0. ___ NO ACCESS AVAILABLE
1. ___ HAVE GENERAL ACCESS BUT NO SPECIFIC PROCEDURE
2. ___ HAVE SPECIFIC ACCESS FROM A LEGAL ADVISOR
3. ___ OTHER--SPECIFY _____
9. ___ DON'T KNOW

HOW OFTEN DO YOU NEED LEGAL ADVICE?

(143)
0. ___ NEVER
1. ___ SELDOM
2. ___ OFTEN
3. ___ VERY OFTEN
9. ___ DON'T KNOW

WHAT IS THE AVERAGE NUMBER OF HOURS PER WEEK THAT EACH OF YOUR MEN SPEND ON COURT-RELATED PROCEDURES?

(144)
0. ___ NONE
1. ___ 1 TO 5 HOURS
2. ___ 6 TO 10 HOURS
3. ___ 11 TO 20 HOURS
4. ___ 21 TO 30 HOURS
5. ___ 31 TO 40 HOURS
6. ___ 40 HOURS OR MORE
9. ___ DON'T KNOW

CHECK ONE SPACE OR WRITE A NUMBER IN EACH OF THE BLOCKS LISTED ABOVE.

* eg. 5TH JUDICIAL DISTRICT

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REDUCTION OF ORGANIZED CRIME

ARE ANY CLASSES BEING OFFERED TO THE OFFICERS IN YOUR DEPARTMENT ON ORGANIZED CRIME?

(145)
0. <input type="checkbox"/> NO CLASSES ARE OFFERED ON ORGANIZED CRIME
1. <input type="checkbox"/> SOME CLASSES ARE OFFERED
9. <input type="checkbox"/> DON'T KNOW OR NOT AVAILABLE

ARE ANY CLASSES BEING OFFERED TO CITIZENS IN YOUR JURISDICTION ON ORGANIZED CRIME?

(146)
0. <input type="checkbox"/> NO CLASSES ARE OFFERED
1. <input type="checkbox"/> SOME CLASSES ARE OFFERED
9. <input type="checkbox"/> DON'T KNOW OR NOT AVAILABLE

DOES YOUR DEPARTMENT HAVE A SPECIALIZED UNIT FOR INVESTIGATING ORGANIZED CRIME?

(147)
0. <input type="checkbox"/> NO SPECIALIZED UNIT
1. <input type="checkbox"/> YES, WE DO HAVE A SPECIALIZED UNIT
9. <input type="checkbox"/> DON'T KNOW OR INFORMATION NOT AVAILABLE

HAS THERE BEEN ANY NOTICEABLE INCREASE IN THE DETECTION OF ORGANIZED CRIME IN YOUR GOVERNMENTAL JURISDICTION OVER THE PAST FIVE YEARS?

(148)
0. <input type="checkbox"/> NO INCREASE NOTICED OR NOT APPLICABLE
1. <input type="checkbox"/> SOME INCREASE NOTICED
2. <input type="checkbox"/> A GREAT INCREASE NOTICED
9. <input type="checkbox"/> DON'T KNOW OR INFORMATION NOT AVAILABLE

(CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE)

PREVENTION AND CONTROL OF RIOTS AND CIVIL DISORDERS

COMMUNITY AND AREA CONTINGENCY PLANS FOR DEALING WITH CIVIL DISORDERS

DOES YOUR GOVERNMENTAL JURISDICTION HAVE ANY MAJOR CONCERN OVER RIOTS AND CIVIL DISORDERS?

(149)
0. <input type="checkbox"/> NO CONCERN OR NOT APPLICABLE
1. <input type="checkbox"/> LITTLE CONCERN
2. <input type="checkbox"/> MODERATE CONCERN
3. <input type="checkbox"/> MAJOR CONCERN
9. <input type="checkbox"/> DON'T KNOW

DOES YOUR COMMUNITY OR DEPARTMENT OFFER ANY PROGRAMS TO CITIZENS DEALING WITH THE PREVENTION OF RIOTS AND CIVIL DISORDERS?

(150)
0. <input type="checkbox"/> NO PROGRAMS OFFERED OR NOT APPLICABLE
1. <input type="checkbox"/> YES, SOME PROGRAMS ARE OFFERED
9. <input type="checkbox"/> DON'T KNOW

DOES YOUR DEPARTMENT HAVE ANY DEFINITE PLANS FOR DEALING WITH RIOTS AND CIVIL DISORDERS IF SUCH DISTURBANCES ARISE?

(151)
0. <input type="checkbox"/> NO PLANS
1. <input type="checkbox"/> SOME PLANS BUT NO DEFINITE PLANS
2. <input type="checkbox"/> DEFINITE PLANS EXIST FOR HANDLING RIOTS AND DISORDERS
9. <input type="checkbox"/> DON'T KNOW OR INFORMATION NOT AVAILABLE

DOES YOUR DEPARTMENT OFFER SPECIAL TRAINING SESSIONS FOR RIOT CONTROL?

(152)
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW

(CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE)

DID YOUR GOVERNMENTAL JURISDICTION HAVE ANY SERIOUS RIOTS OR CIVIL DISORDERS DURING THE YEAR OF 1970?

(153)
0. <input type="checkbox"/> NO OR NOT APPLICABLE
1. <input type="checkbox"/> SOME (LESS THAN FIVE INDIVIDUAL OCCURENCES)
2. <input type="checkbox"/> MANY (MORE THAN FIVE INDIVIDUAL OCCURENCES)
9. <input type="checkbox"/> DON'T KNOW

PREVENTION AND CONTROL OF RIOTS AND CIVIL DISORDERS
RUMOR CHANNELS AND MECHANISMS FOR COMMUNITY GRIEVANCES

DO YOU THINK THAT THE NEED FOR AN ARBITRATION AGENCY FOR SETTLING DISPUTES OR FOR RUMOR CLEARANCE CHANNELS EXISTS FOR YOUR JURISDICTION?

(154)
0. <input type="checkbox"/> NO NEED EXISTS
1. <input type="checkbox"/> YES, THE NEED EXISTS
9. <input type="checkbox"/> DON'T KNOW

DOES YOUR DEPARTMENT MAINTAIN ANY ARBITRATION AGENCY FOR THE SETTLING OF DISPUTES?

(155)
0. <input type="checkbox"/> NO ARBITRATION AGENCY OR NOT APPLICABLE
1. <input type="checkbox"/> YES, THERE IS SUCH AN AGENCY
9. <input type="checkbox"/> DON'T KNOW OR NOT AVAILABLE

DOES YOUR DEPARTMENT HAVE ANY MECHANISM OR CHANNEL FOR CLEARING AND SETTLING RUMORS?

(156)
0. <input type="checkbox"/> NO CHANNELS OR MECHANISMS
1. <input type="checkbox"/> YES, SUCH CHANNELS EXIST
9. <input type="checkbox"/> DON'T KNOW OR INFORMATION NOT AVAILABLE

(CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE)

IMPROVEMENT IN COMMUNITY RELATIONS AND SERVICES

DOES YOUR DEPARTMENT OFFER ANY PROGRAMS TO THE PUBLIC CONCERNING THE IMPROVEMENT OF PUBLIC ATTITUDE TOWARD LAW ENFORCEMENT?

(157)
0. <input type="checkbox"/> NO PROGRAM
1. <input type="checkbox"/> YES, WE DO OFFER PROGRAM(S)
9. <input type="checkbox"/> DON'T KNOW

DO YOU FEEL THAT THERE IS A NEED IN YOUR JURISDICTION FOR COMMUNITY RELATION SERVICES?

(158)
0. <input type="checkbox"/> NO NEED EXISTS
1. <input type="checkbox"/> SOME NEED EXISTS BUT NO SPECIAL DEPARTMENT REQUIRED
2. <input type="checkbox"/> GREAT NEED EXISTS FOR A SPECIALIZED DEPARTMENT
9. <input type="checkbox"/> DON'T KNOW

DOES YOUR DEPARTMENT OFFER ANY SERVICES CONCERNING AID TO FAMILIES IN CRISIS SITUATIONS?

(159)
0. <input type="checkbox"/> NO SERVICES
1. <input type="checkbox"/> YES, WE DO OFFER THESE SERVICES
9. <input type="checkbox"/> DON'T KNOW

DOES YOUR DEPARTMENT HAVE ANY CHANNELS THROUGH WHICH COMMUNITY COMPLAINTS OR GRIEVANCES CAN BE HANDLED?

(160)
0. <input type="checkbox"/> NO CHANNELS
1. <input type="checkbox"/> YES, WE DO HAVE THESE CHANNELS
9. <input type="checkbox"/> DON'T KNOW

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

(FOR THE NUMBER OF MEN IN COMMUNITY RELATIONS DEPARTMENT SEE IMPROVEMENT OF DETECTION AND APPREHENSION, PAGE 16, ITEM NUMBER 124.)

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RESEARCH, DEVELOPMENT, AND EVALUATION
RECORDS AND REPORTS

DOES YOUR DEPARTMENT PREPARE A "MONTHLY REPORT" (MONTHLY SUMMARY OF POLICE ARRESTS AND ACTIVITIES)?

(161)	
0. _____	NO OR NOT APPLICABLE
1. _____	YES
9. _____	DON'T KNOW

DOES YOUR DEPARTMENT PREPARE AN "ANNUAL REPORT" (ANNUAL SUMMARY OF POLICE ARRESTS AND ACTIVITIES)?

(162)	
0. _____	NO OR NOT APPLICABLE
1. _____	YES
9. _____	DON'T KNOW

IN WHICH OF THE FOLLOWING PROGRAMS DO YOU PARTICIPATE BY SUBMITTING REPORTS?

(163)	
FBI UNIFORM CRIME REPORTING	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORTS
9. _____	DON'T KNOW

(164)	
SBI REPORTING	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORTS
9. _____	DON'T KNOW

(165)	
DEPARTMENT OF MOTOR VEHICLES TRAFFIC ACCIDENTS	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORTS
9. _____	DON'T KNOW

(166)	
NATIONAL SAFETY COUNCIL ANNUAL TRAFFIC INVENTORY	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORTS
9. _____	DON'T KNOW

(167)	
STATE COURT REPORT	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORTS
9. _____	DON'T KNOW

(168)	
STATE ARREST REPORT	
0. _____	NEVER SUBMIT REPORTS
1. _____	SOMETIMES SUBMIT REPORTS
2. _____	ALWAYS SUBMIT REPORT
9. _____	DON'T KNOW

CHECK THE APPROPRIATE SPACE IN EACH OF THE BLOCKS LISTED ABOVE. ONE CHECK PER BLOCK.

RESEARCH, DEVELOPMENT AND EVALUATION
RECORDS (CONTINUED)

DOES YOUR DEPARTMENT KEEP A STATISTICAL SUMMARY (OR TALLY SHEET) ON ANY OF THE FOLLOWING ACTIVITIES?

(169)	(170)	(171)	(172)
NUMBER COMPLAINTS RECEIVED	NUMBER JUVENILE ARRESTS	NUMBER PRISONERS JAILED	NUMBER CRIMINAL ARRESTS
0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.
1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW

(173)	(174)	(175)
NUMBER FELONIES COMMITTED	NUMBER FELONIES SOLVED	NUMBER TRAFFIC SUMMONS ISSUED
0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.
1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW

(176)	(177)	(178)	(179)
NUMBER PARKING TICKETS	MILES TRAVELED BY PATROL VEHICLE	MILES TRAVELED BY ALL VEHICLES	PERSONS ARRESTED ON WARRANTS
0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.
1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW

(180)	(181)	(182)
HOURS OF OFF-DUTY COURT TIME BY YOUR OFFICERS	HOURS OF ON-DUTY COURT TIME BY YOUR OFFICERS	RECORD OF COURT DISPOSITION
0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.	0. <input type="checkbox"/> NO OR NOT APP.
1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES	1. <input type="checkbox"/> YES
9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW	9. <input type="checkbox"/> DON'T KNOW

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE.

RESEARCH, DEVELOPMENT, AND EVALUATION
RECORDS (CONTINUED)

DO YOU KEEP ANY OF THE FOLLOWING FORMS OF IDENTIFICATION?

	(183)	(184)	(185)
	FINGERPRINTING	PHYSICAL DESCRIPTIONS	PHOTOGRAPHS
ALL PERSONS ARRESTED	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW
FELONY ARRESTS ONLY	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW
JUVENILES ARRESTED	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 2. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW	0. <input type="checkbox"/> NO OR NOT APP. 1. <input type="checkbox"/> YES 9. <input type="checkbox"/> DON'T KNOW

WHO DEVELOPED THE RECORD KEEPING SYSTEM OR REPORT FORMS THAT YOU NOW USE?

(186)
0. <input type="checkbox"/> DO NOT MAINTAIN A RECORD KEEPING SYSTEM
1. <input type="checkbox"/> SYSTEM AND/OR FORMS DEVELOPED BY OWN DEPARTMENT
2. <input type="checkbox"/> SYSTEM AND FORMS DEVELOPED BY THE DIVISION OF LAW AND ORDER
3. <input type="checkbox"/> SYSTEM AND/OR FORMS DEVELOPED BY OTHER AGENCY-WHO?

WOULD YOUR DEPARTMENT BE WILLING TO EITHER ESTABLISH OR CHANGE OVER TO THE * NORTH CAROLINA UNIFORM INTERNAL RECORD SYSTEM?

(187)
0. <input type="checkbox"/> WOULD NOT USE THE SYSTEM UNDER ANY CIRCUMSTANCES
1. <input type="checkbox"/> WOULD USE THE SYSTEM IF IT'S EFFECTIVENESS WERE PROVEN
2. <input type="checkbox"/> WOULD USE THE SYSTEM IMMEDIATELY AND PARTICIPATE IN TESTING IT'S DESIGN
9. <input type="checkbox"/> UNKNOWN OR DON'T KNOW

CHECK ONE SPACE IN EACH OF THE BLOCKS LISTED ABOVE

*A COPY OF THE NORTH CAROLINA UNIFORM INTERNAL RECORD SYSTEM COMPLETE WITH FORMS IS AVAILABLE UPON REQUEST FROM THE DIVISION OF LAW AND ORDER, RALEIGH.