

STANDARDS AND GOALS

SUGGESTIONS FOR DEVELOPING AND IMPLEMENTING CRIMINAL JUSTICE STANDARDS AND GOALS



U. S. Department of Justice
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SECTION I
Introduction

I INTRODUCTION

A. Purpose of This Handbook

Developing and implementing standards and goals for the criminal justice system on a statewide basis is an extremely complex and challenging assignment. By virtue of the Crime Control Act of 1973, and policies of the Law Enforcement Assistance Administration (LEAA), each state and territory in the nation is embarking on this mission. A few states have already adopted statewide standards and goals, while many others have only recently begun the process.

The purpose of this handbook is to suggest alternative methods for developing and implementing criminal justice standards and goals. No attempt is made to dictate "the one way," but rather to provide feasible alternatives that might be used in whole or in part by any given state. No particular approach will meet all of the requirements of a particular state because of the differences among the states. Instead, the information contained herein may stimulate a new idea or the modification of an existing concept, making it possible for administrators or standards and goals planners to select those bits and pieces which are suited to the needs of their state.

B. How the Handbook is Organized

This handbook provides a broad definition and description of a standards and goals process, and divides the process into seven separate components. Each component is discussed and examples are given of various approaches made by selected states. Also included are options that are not currently being used, but that are felt to be viable. At

the conclusion of each section, an analysis of the relative advantages or weaknesses of each approach is provided.

Throughout the handbook, certain subjects are discussed such as conference planning, public hearings, or comparative analyses, which should be presented in detail, but would disrupt the flow of the text. These items are presented in the appendices, which because of their specificity, may constitute the most valuable and tangible assets of the entire handbook.

The manual was written for reference rather than for reading from start to finish. Every effort has been made to place materials where the reader is most likely to look for them, even though this approach produces a degree of redundancy. In addition, the text itself contains numerous cross references.

C. An Overview of a Standards and Goals Process

The standards and goals activities are considered as integral parts of the comprehensive planning and implementation activities presently undertaken by the state planning agencies (SPAs), and state and local criminal justice agencies. Some have considered them a new order of planning, or a replacement of comprehensive or crime-oriented planning. Comprehensive planning for criminal justice can be described as:

A process by which state and local agencies develop strategies for applying resources to attain worthy objectives, such as the reduction of crimes and the improvement of the quality of justice.

Adopted standards and goals do not take the place of comprehensive planning, but instead provide more precision to the definitions of the term, "worthy objectives." Figure 1 illustrates the concept of standards and goals as a significant part of the comprehensive planning process,

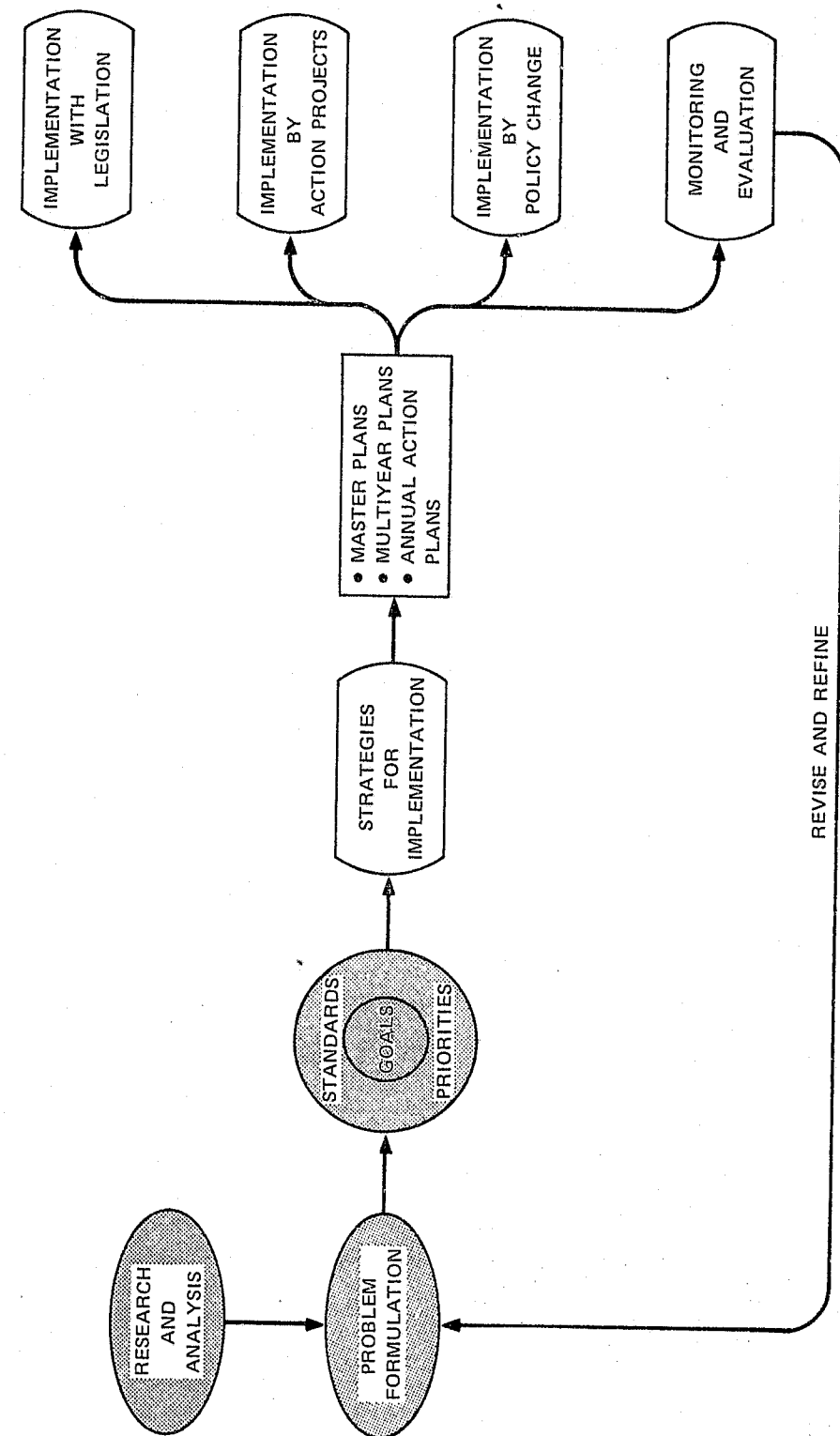


FIGURE 1 A COMPREHENSIVE PLANNING PROCESS

wherein the standards and goals focus on where the system should be headed, while the other planning activities outline how the state and local agencies will get there.

In providing technical assistance, questions have arisen about the definitions of the terms "standards" and "goals" and the distinction between them. In Section III, more discussion is given to the subject of definitions. The controversy and lack of consensus on the definitions of standards, goals, comprehensive planning, crime specific versus systematic approaches, quantified objectives, etc., while important are not the major emphasis of this handbook. It is assumed that each state will determine its own definitions. This handbook can only make suggestions. For our purposes the terms will be defined as:

GOAL: A description of changes the state planning agency (SPA) wishes to make in some area of the criminal justice or other related systems.

STANDARD: A statement that describes the conditions that should exist when a goal has been attained. Standards should be measurable, so that state and local agencies can compare existing conditions with them to determine how well the criminal justice system is working.

Figure 2 shows seven specific functions in the standards and goals process. While each step is considered an important part of the process, the specific time and order in which each step occurs could vary from state to state. Citizen and agency input, for example, might be provided at intervals in the process, or it might be continuous. The standards and goals process as described and discussed throughout the handbook does not stop with the adoption of a set of statewide standards, goals, and priorities as mandated by the Crime Control Act of 1973, but continues into implementation, monitoring, and evaluation. Here it merges with all other planning activities of an SPA and, it is hoped, the state and local

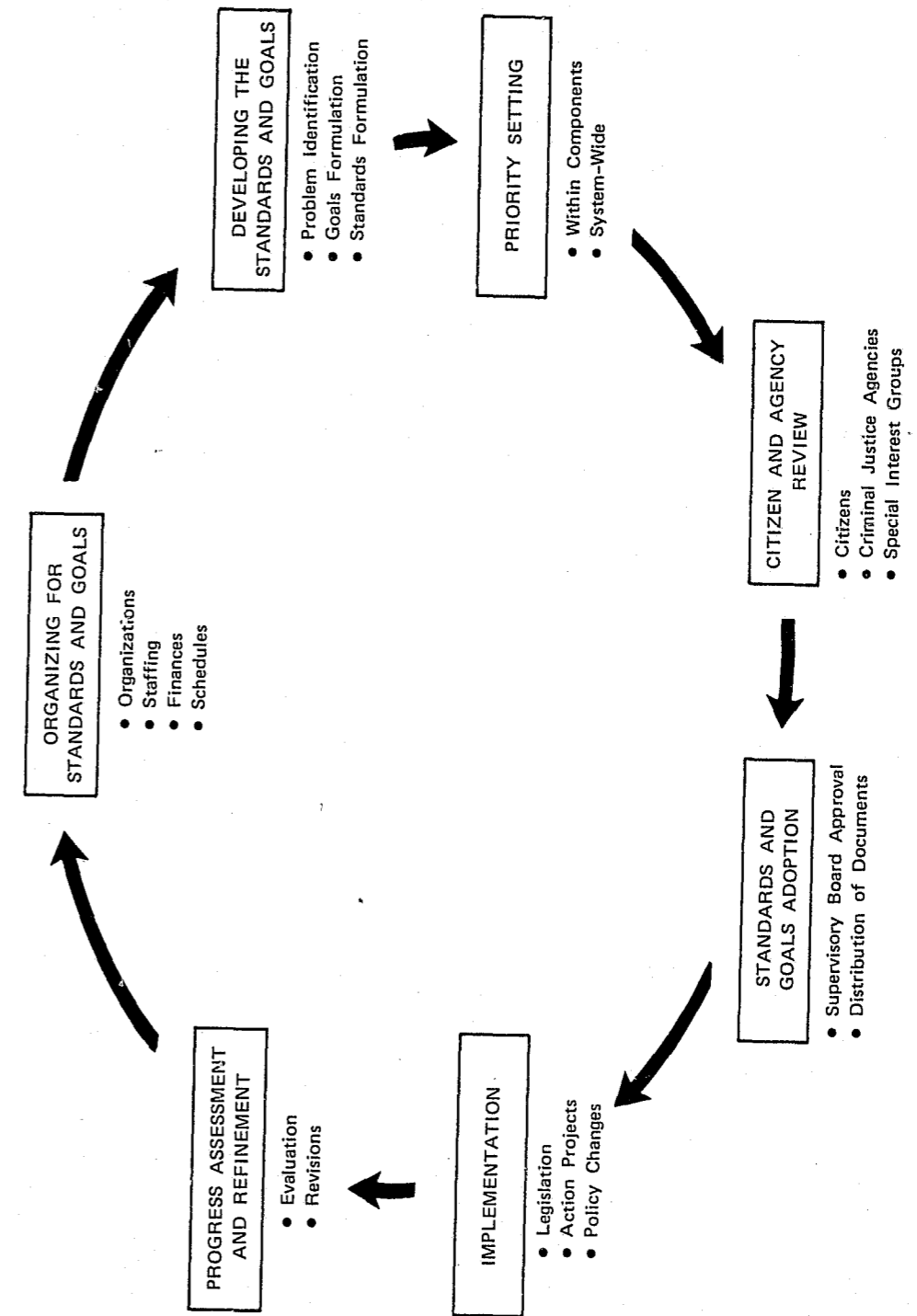


FIGURE 2 AN OVERVIEW OF A STANDARDS AND GOALS PROCESS

criminal justice agencies. This is what is meant by "integration of standards and goals into comprehensive planning." If the standards and goals activities stop after adoption, the potential effect of the standards and goals upon the allocation of federal, state, local, and private resources will not be achieved. A brief description of each of the seven steps in the process follows:

- (1) Organizing for State Standards and Goals Development--In developing standards and goals, each state has had to determine whether to use commissions or task forces, how to use staff and other resources, and what schedules to set for completion. These decisions, as well as the specific methodologies to be used in the development process, are all part of organizing or planning the standards and goals process.
- (2) Developing the Standards and Goals--This part of the process includes determining the state's criminal justice problems, as well as fashioning goals to address the problems and setting standards that indicate the conditions necessary for goal achievement. States are approaching this step in a variety of ways ranging from the adoption of many of the standards of the National Advisory Commission on Criminal Justice Standards and Goals (NAC) or the American Bar Association (ABA) to the formulation of original standards and goals developed by committees of criminal justice professionals and lay persons. The order of development also differs among the states. Some states select standards, then document the need for them by citing corresponding problems. Other states perform research to determine their problems and needs, and then begin the standards and goals development process.
- (3) Establishment of Priorities--At some point, each SPA is required to arrange its problems or goals in order of importance. This can be done early in the process after problems have been identified, or it can be done when the state and the implementing agencies embark on their implementation plans. The intent of this step is to select from all the identified problems those to which scarce resources and efforts should be applied first. This step recognizes that there are finite limits on the money, time, expertise, and political ability available to a state planning agency

for implementation. Therefore, state and local leaders will be forced to focus their efforts on those problems deemed to be the most urgent. The priority-setting process helps the state determine criteria for urgency and select those goals that they want to achieve initially.

- (4) Citizen and Agency Input--The decisions made in the standards and goals process affect a large number of people and agencies. This step in the process allows them a forum for their input and review. The objective is to allow as wide a discussion as possible on proposed standards, goals, and priorities and the reasoning behind their formulation. This can be a continual process or can be focused at critical decision points along the way. As described in Section 5, this review involves citizens, special interest groups, individual justice agencies, and professional groups or associations.
- (5) Adoption of Standards, Goals, and Priorities--All work done prior to this point in the process can be classed as development, review, and revision. This step includes those activities that result in acceptance or approval of a set of standards, goals, and priorities by the state planning agency. It also includes the possible adoption by other groups in the state, namely the legislature, cities and counties, regional planning units and professional associations and interest groups. Of course, adoption by these groups cannot be mandated by the SPA: the state package, while representative of majority opinion, will not be totally acceptable to all who review it or provide input to it.
- (6) Implementation of Standards and Goals--This step encompasses all activities undertaken within a state to implement programs, projects, or procedures that will bring the conditions in a state into conformance with adopted standards. Individual strategies for implementation are developed for each of the high priority goals. Such strategies identify what has to be done, who should take the lead, and what resources will be required.
- (7) Progress Assessment and Refinement--The comprehensive planning process, including standards and goals formulation, is one of continual revision and improvement. Therefore, as changes are implemented, the SPA should maintain awareness of their number and degree, and of their effectiveness in altering crime or the quality of justice. This

process should also continuously test the validity of individual standards and goals and the state's ability to implement programs responsive to them.

SECTION II Standards and Goals Development

II ORGANIZING FOR STATE STANDARDS AND GOALS DEVELOPMENT

As each state lays plans for developing standards and goals, the governor, the SPA, and others must answer some of the following questions:

The Organizational Structure?

- Who should be involved in the developmental process?
- What organizations or groups should perform the work and who should review it?
- How shall the persons to be involved be selected or appointed?
- How shall they relate to the SPA and other agencies or interest groups in the state?

The Final Product?

- What will the standards and goals be and how will they be used in the state?
- Will the standards and goals developed at the state level be considered a "minimum" or an "ideal" system?
- Are they to be used as guidelines only, or as the blueprint for implementation by legislation and federal funding?

Method of Approach?

- What methods shall be used for developing the standards, goals, and priorities?
- Should the SPA build upon the work already in the comprehensive plans, or review the work of the NAC or the ABA or other expert opinion, or should they use some other approach?

Deadlines and Time Constraints?

- When must the job be completed?
- How thorough can the SPA be in their analyses in view of the time constraints?
- Should a state rush to meet the deadlines now and do a more thorough job later?

- How can these activities be scheduled so that they have a positive effect upon, but don't dilute the quality of, other planning activities.

Resources Required?

- Can these activities be performed with existing staff, or are new staff required?
- Who will pick up the costs of meetings and of reproducing documents, agenda, and reports?
- Will technical assistance be required and how can that be obtained?
- Can Part B, Part C, or Part E monies be used for standards and goals activities, and what are the chances of obtaining a discretionary grant from the Office of National Priority Programs (ONPP)?

LEAA Requirements and Guidelines?

- What policies and requirements have been established by LEAA?
- What guidelines, aides, and tools are available?
- What have other states done and what lessons have they learned that are applicable in this state?

The following pages suggest alternative ways in which these questions can be answered. Some of the alternative approaches are operative in specific states, some are not but are considered feasible. While each state has certain unique characteristics in its systems or procedures, there also exist many similarities among the states, so general approaches are presented. A brief description is given of each approach, followed by the reasons certain states have selected that approach and an analysis of the strengths and weaknesses of each. The analysis is given in terms of potential advantages and disadvantages rather than absolute judgments. The term "potential" is used because conditions often exist in a particular state that make a given approach appropriate there. Those same conditions may not exist in another state. Therefore, no single approach to the various steps in the process will be universally acceptable among all states and territories of the nation.

While many specific examples of the work being done in individual states could be cited, we have chosen not to do so in order to escape the appearance of endorsement by the LEAA of one approach over another. Further information about the approaches taken by specific states may be obtained from the ONPP. In the future, the ONPP will publish descriptive material on the approach taken by each state and territory.

A. Organizational Structure for Standards and Goals

The organizational structure indicates which groups or individuals are to take part in the process. It also suggests their interrelationship to each other, and the roles and responsibilities of each. The major roles in developing standards and goals activities can be classified as follows:

- The Developers--These are the staffs, committees, commissions, or task forces that have been assigned primary responsibility to produce a document which contains suggested state standards and goals. They are the ones that perform the many hours of research, review of model standards, drafting, and editing required to prepare a draft document for the review of others.
- The Reviewers--These are the individuals, agencies, boards, and committees that will review and comment upon the work produced by the developers. They may review passively and make no formal statement, or they may take formal action indicating their evaluation of the suitability of the proposed standards and goals.
- The Approvers--These are those boards or commissions, or the governor in some cases, that will review the work of the developers and the reviewers, and take some final action of approval, adoption, rejection, or modification.

Some criteria should be established for organizations and their roles and responsibilities, so that the resulting work may be creditable and so that the state conforms with the LEAA requirements. The following are proposed for standards and goals organizations.

1. Suggestions for Organizational Structure

- (1) All major components of the criminal justice system--including enforcement, the judiciary, prosecution, defense, corrections, and juvenile justice--should be represented in some manner in the task forces or committees which develop or review the standards and goals.
- (2) The task forces, committees, or commissions should also be representative of the demographic characteristics of the state, including population dispersion.
- (3) The structures and relationships should allow regional or city and county justice planning units to have an opportunity to review and provide input to the standards and goals development processes.
- (4) Task forces or commissions should have lay citizen representation and should schedule their activities in such a manner that those citizens are able to attend and participate fully.
- (5) The members of the task forces or groups charged with the primary responsibility for developing standards and goals should be able to spend sufficient time on the task that the state can receive the benefit of their expertise. During the course of their involvement in the program, each member should be able to spend a minimum of 16 hours per month in standards and goals meetings and in individual study.
- (6) No one group, commission, or committee should have total responsibility for developing, reviewing, and adopting the standards and goals. The structure should allow for task forces, committees, or sub-committees to accomplish the developmental work, with different groups given a chance to review and respond to the work. In most states, the supervisory board should be the body that formally adopts the final version and submits it to the governor and the legislature for their consideration.

2. Alternative Organizational Structures

The processes already being used can be grouped into three distinct categories, although no particular state's organizational structure will fit any of the three in every detail. The three categories of approach are:

- Existing Structures--The supervisory board, assisted by staff and existing task forces, takes primary responsibility for standards and goals development.
- Separate Commission--A new body, separate from the supervision board, is appointed by the governor for the sole purpose of developing standards and goals.
- Statewide conferences--Conferences or workshops are convened to work on certain steps within the standards and goals development, such as problem identification, goal selection, or priority establishment.

The following pages provide more specific detail regarding these alternatives, including the rationale given by some states who have used them, and their potential merits and weaknesses.

a. "Existing Structures"

DESCRIPTION:

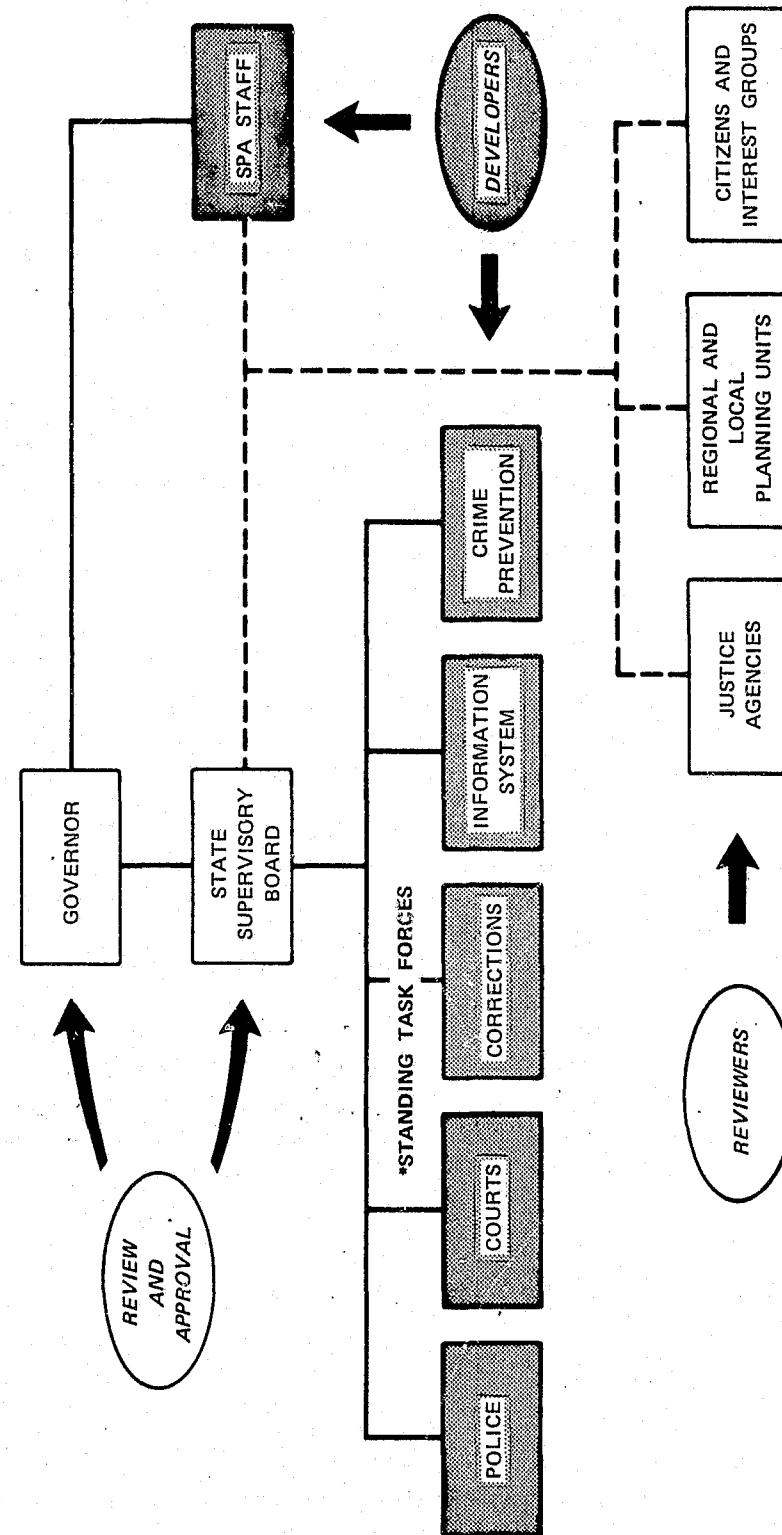
- (1) In this approach, the SPA staff, usually augmented by additional staff funded by Part C or discretionary funds, assists the standing task forces, used by the SPA for grant review and other planning purposes, in the development process.
- (2) While no new groups or structures are organized, existing task forces or the supervisory board may be augmented with additional or ad hoc members for standards- and goals-related activities.
- (3) The rationale for this approach is that:

- The SPA wishes to keep the standards and goals effort very closely aligned with the existing planning activities, fearing that the formation of new groups would cause duplication or conflict with existing task forces.
- Since the supervisory board and its existing task forces will take a prime role in implementing standards and goals through legislation and annual action projects, they should wrestle with defining problems, standards, goals, and priorities. To remove them from that process places them in a reactive role rather than a leadership role.
- Some SPAs may feel that the deadlines for development and inclusion of standards and goals in the 1976 plan and the amount of work required to perform high quality work preclude the time consuming appointment and orientation of new committees and individuals.

- (4) Figure 3 shows the interrelationships and roles of the supervisory board, the task forces, and other groups.
- (5) The standing task forces, supervisory board, and staff will accomplish the standards and goals activities in addition to the other planning, allocation, and monitoring activities traditionally accomplished by the SPA, although less emphasis may be placed upon these activities while the standards and goals are being developed. Some states have given the SPA staff more latitude and responsibility for small grant awards, and review and recommendations on annual action projects, so that the supervisory board may devote more attention to standards and goals and policy formulation.

MERITS:

- (1) The SPA can begin the work of standards and goals more quickly than if new organizations were to be formed with new persons being appointed and oriented.



*There exists a wide variation among the states in the names and assignments of these standing task forces or committees.

FIGURE 3 "EXISTING STRUCTURES" ORGANIZATION

- (2) Working relationships have been established for some time among the SPA staff, the supervisory board, and its task forces, and they are knowledgeable in the state's criminal justice problems.
- (3) Because of the supervisory board's function as an allocator of funds, it may be aware of what efforts for reform have been successful in the past and what reform programs are currently under way.
- (4) Fewer new costs for additional meetings, staffing, facilities, and overhead are likely since this approach may make use of existing personnel, meetings, and facilities financed from the SPA's Part B planning funds.

WEAKNESSES:

- (1) Fewer persons might become involved in this approach than under other approaches, unless existing task forces receive expanded membership.
- (2) The additional load of standards and goals efforts upon the SPA staff, the task forces, and the supervisory boards may result in lower quality work done in plan development, grant review, monitoring and evaluation.
- (3) The state may wish to have the views of persons who have not been intimately involved in the state's planning process in the past, hoping that they might bring new and different approaches to the state's criminal justice problems.

b. "Separate Commission"

DESCRIPTION:

- (1) A statewide commission on criminal justice standards and goals is appointed by the governor and given the single responsibility to develop the state's standards and goals. In some states, their assignment is to be short term, covering

only the development and approval parts of the process. In other states, they have a longer term role of active leadership in the implementation of certain standards and goals.

- (2) While their coordination and communication with the state supervisory board is encouraged, they are not administratively subservient to them.
- (3) New staff are hired and receive their direction from the commission. New facilities are obtained with the necessary office furniture, equipment, and supplies. However, in some states, while the commission retains its autonomy and the prerogative to direct its staff, the staff is collocated with the SPA, sharing the facilities.
- (4) Financing is generally through a discretionary grant of allocations of Part C funds by the supervisory board.
- (5) The rationale for the selection of a separate commission is the following:
 - The supervisory board may be too involved with other matters of the SPA and cannot devote the necessary time both to them and to standards and goals activities.
 - A separate commission provides some checks and balances and an objective view of the planning and allocation activities of the supervisory board and the SPA. They can give a second opinion on where the state's priorities should be placed.
 - New and fresh approaches might be developed by commission members who have not been involved in the state's planning process over the years.
 - Since the commission is not involved in the allocation of funds to projects in the annual action plan, they can consider needed improvements without regard to the particular programs or projects. This can reduce the possibilities for conflicts of interests.

- (6) Figure 4 shows the interrelationship and roles of the commission, its subcommittees, the SPA's staff, and the supervisory board and its task forces.
- (7) The standards and goals commission, as aided by its staff and subcommittees, develops the state standards and goals.
- (8) The commission's work is reviewed by the supervisory board, the SPA staff, and the task forces. In addition, review is provided by the regional and local planning units, by the police, courts, and correctional agencies, and by citizen and special interest groups.
- (9) Final approval generally is provided by the governor, although the governor of the state may delegate the authority to approve to the supervisory board or to the commission itself.

MERITS:

- (1) With a single purpose of standards and goals, the commission and its subcommittees can devote substantial amounts of time to the process.
- (2) Because a separate commission and subcommittees are set up in addition to the supervisory board and its task forces, the involvement of more people with diverse skills is possible under this approach.
- (3) Because the commission members are not responsible for the allocation of federal funds to criminal justice projects, they may be able to view the state's problems more objectively than can the supervisory board, whose membership usually includes administrators whose agencies are applying for LEAA funds.
- (4) This approach may provide the governor with two different or supporting views on controversial issues.

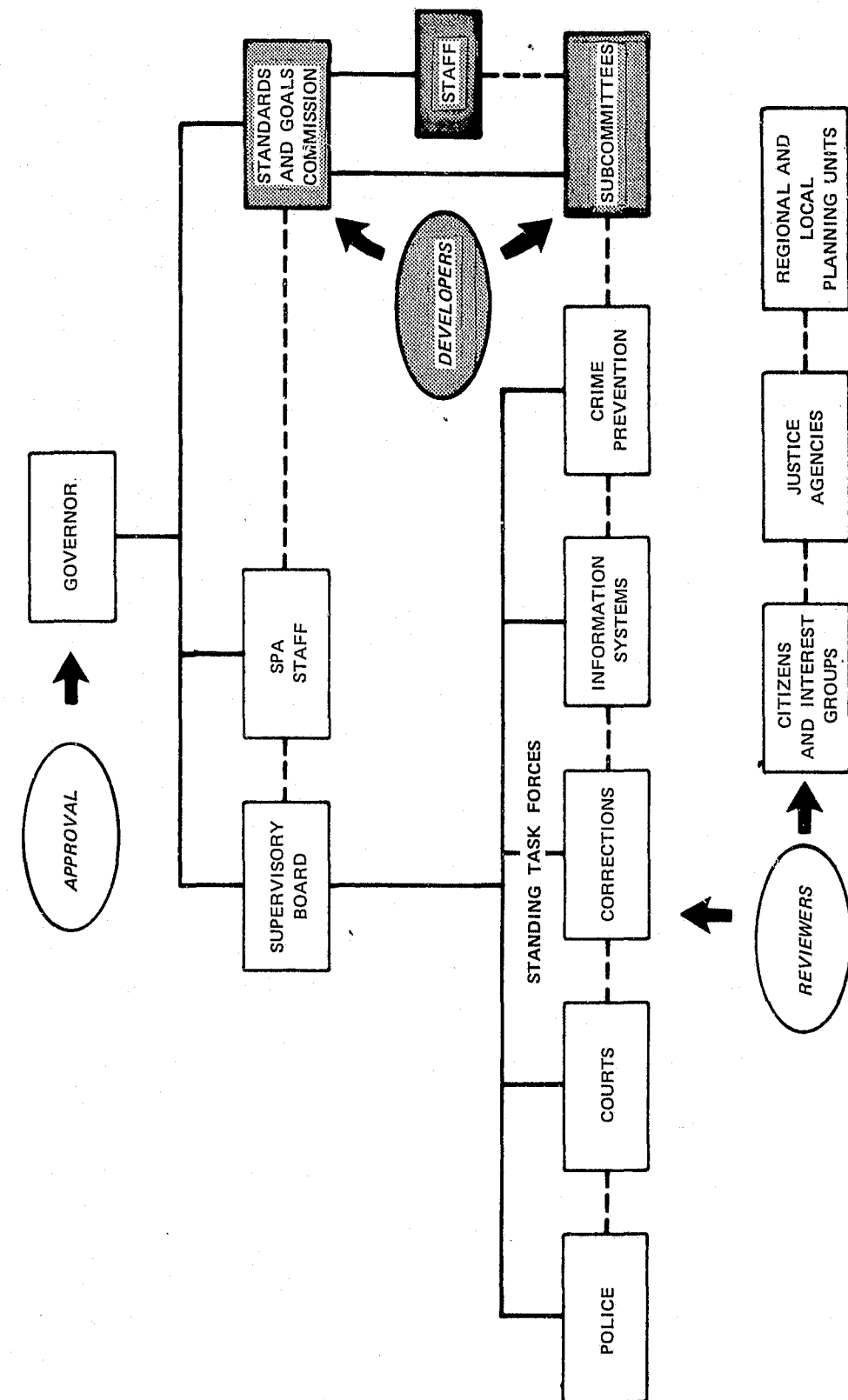


FIGURE 4 "SEPARATE COMMISSION" ORGANIZATION

WEAKNESSES:

- (1) This approach provides great potential for conflict between the commission and the supervisory board, both of which generally have high-powered members reporting to the governor. It is possible for serious and constant misunderstandings to exist about the roles and authority of each group.
- (2) Duplication of staff, facilities, supplies, meetings, and printing and mailing costs is likely to result from the establishment of two separate offices.
- (3) There is a possibility that the supervisory board may not feel "ownership" of or commitment to the final standards and goals since it did not participate in the process or because it does not know or agree with the philosophy and reasoning behind them. It may also lack confidence in the standards and goals, and therefore may not be eager to implement supportive projects.

c. "Statewide Conferences"

DESCRIPTION:

- (1) The supervisory board appoints a standards and goals conference committee, which is responsible for convening a series of conferences to develop standards and goals.
- (2) SPA staff and staff hired to assist them are responsible for developing all conference materials beforehand.
- (3) The expenses of the conferences--i.e., costs of meetings, printing, and mailing--are paid out of Part B planning funds or by a discretionary grant. Per diems may also be paid for some attendees.
- (4) The rationale for the use of this approach is the following:

- Agencies, interest groups, and citizens can contribute maximum input to the development process, rather than merely a review of the work of a smaller group.
 - With more persons representing a wider spectrum of interests and background involved, the results will have a wider range of ideas that will be more acceptable to the citizens and justice agencies.
 - This approach provides more opportunity for widespread publicity and a higher profile than the other approaches, thus providing more possibilities to educate the public and draw them into the process.
 - Representatives of police, courts, and corrections agencies, working with elected officials and citizens to solve criminal justice problems, may pave the way for closer cooperation and joint efforts in their operational activities. A teamwork philosophy for solving their mutual and individual problems may develop.
- (5) A conference may become the setting for accomplishing several of the following objectives:
- Development or review of proposed methods for developing the standards and goals.
 - Identification of criminal justice problems in the states and formulation of goals or standards to address them.
 - Review of the model standards of the ABA, the NAC, the American Corrections Association, or other groups for their potential applicability to the state's problems.
 - The adoption of a set of state standards and goals and the establishment of priorities among them.
 - Developing strategies by which the high priority standards and goals may be implemented.

- (6) Figure 5 shows the interrelationships and roles of the various groups involved in this approach.
- (7) The members of the standing task forces of the supervisory board would be involved in the development of the standards and goals in the conference setting, but the task forces themselves would not be convened during the conferences. However, they would review the work and recommend adoption, rejection, or modification of it to the supervisory board after its completion.
- (8) Many representatives of special interest groups, agencies of the justice system, and regional and local planning units as well as any interested citizens would have an opportunity to participate in the conferences.
- (9) See Appendix B for suggestions on how to plan and hold a statewide standards and goals conference.

MERITS:

- (1) The conference setting allows for the active participation of many of the state's criminal justice professionals, citizens, and special interest groups--more so than do the other approaches.
- (2) Conferences can generate excitement and commitment among the participants to the ideas for improving of the criminal justice system. Also, a good rapport among the participants can be developed.
- (3) The opportunity for publicity afforded by convening many of the state's prominent officials and citizens allows for more exposure of the problems and proposed solutions to the general public.
- (4) Several standards and goals activities--such as priority setting, problem identification, and review of model standards--which under other approaches can take months, can be accomplished in a relatively short period of time in a conference setting. A state faced with stringent

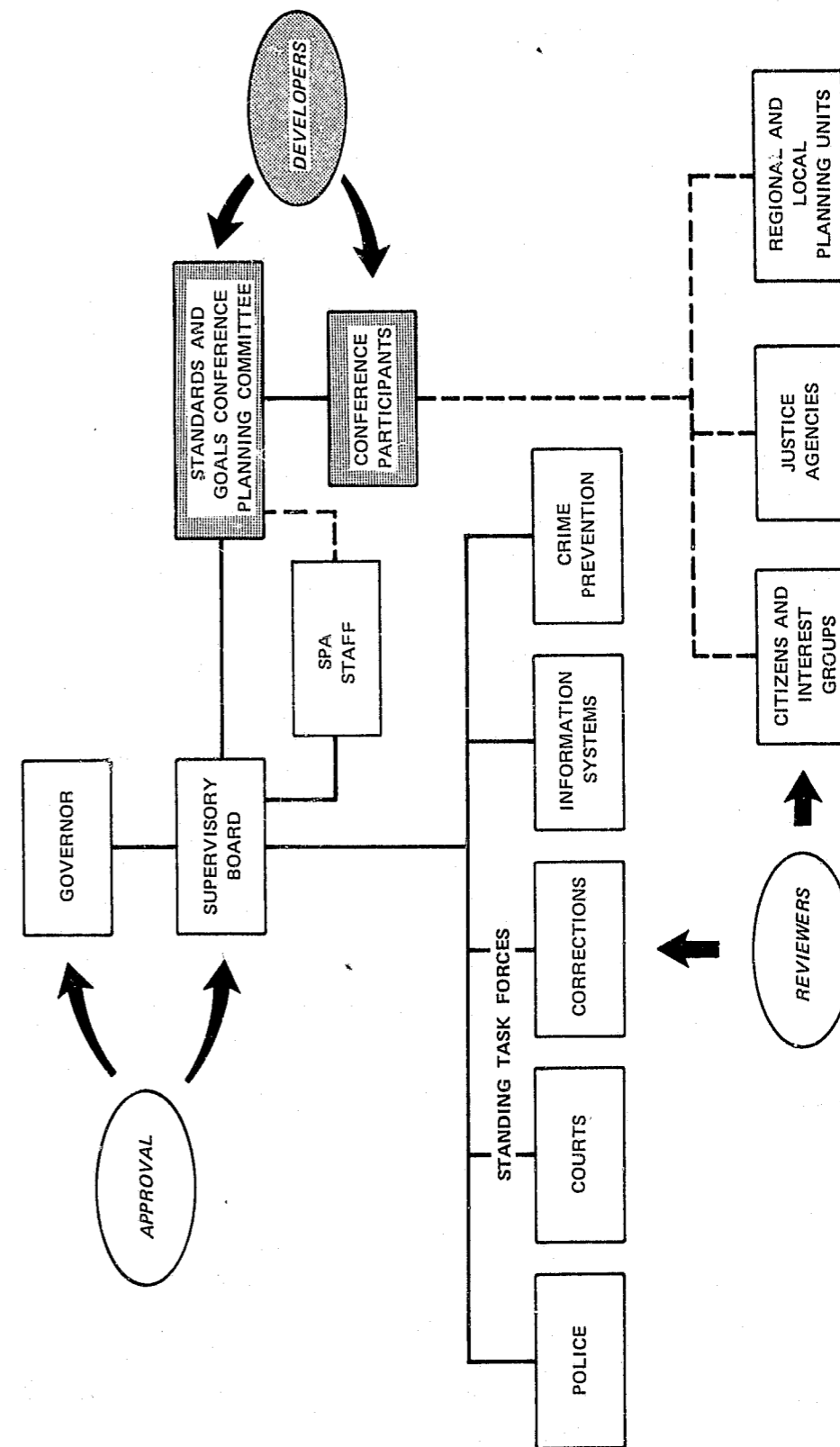


FIGURE 5 "STATEWIDE CONFERENCES" ORGANIZATION

time constraints can use a conference approach as a means of meeting deadlines without causing the quality of other work to suffer.

WEAKNESSES:

- (1) Successful conferences are not easily accomplished and run the risk of discouraging participants if they are not well run. A great deal of leadership and management is necessary if participants are to feel that they know where the program is headed and that their time is being productively used.
- (2) Many conferences fail because the scope of the assignment given the participants is too broad and undefined, causing the discussants to flounder in search of their roles and the purposes of the conference.
- (3) Keeping the participants informed of what was accomplished during and after the conferences is difficult, and expensive in terms of staff, reproduction, and postage costs.
- (4) Because of the intensive focus on a broad range of topics in the usual one- to three-day time period, conferences do not allow the participants to study, meditate, and rethink some of the decisions being made during the course of the conference. This forces participants to discuss a large number of items at limited depth.

B. Staffing Requirements

The staff functions in the standards and goals process can be segregated into several types of activities, namely:

- Gathering data required by task forces or commissions.
- Preparing packets of information with agenda, minutes, and other material needed by commission or task force members for each meeting or for individual study.
- Developing procedures or formulating strategies so as to eliminate confusion and wasted effort.

- Transferring technology or describing approaches taken and standards and goals developed by other states.
- Obtaining funding and technical assistance that is available from LEAA and other agencies.
- Informing task forces, commissions, other interested groups, and the public of progress.

1. Suggestions for Staff Selection

Prior to discussing approaches to fulfilling staffing requirements, some general principles should be stated to ensure selection of a high quality staff. The following are presented for consideration:

- (1) Staff members or contractors selected as specialists to work with groups considering police, courts, corrections, information systems, or crime prevention should have experience in those fields and be able to command the respect of their peers.
- (2) Staff members should also be knowledgeable in agenda preparation, data assembly, research for specific information, and communication. They should have a number of years of experience in high-level staff work, because many persons with whom they will work on the various task forces and commissions will be extremely busy, and will rely heavily upon them. The staff should be familiar with the justice system and the political structures in the state.
- (3) The time constraints for meeting the deadlines of the Crime Control Act of 1973 and the LEAA policy statement probably make it prohibitive to hire people unfamiliar with criminal justice planning and the justice system for leading staff roles. There may not be enough time for them to learn on the job. Experienced people will be more expensive and may be aggressively sought by other states; however, their ability to quickly provide quality work justifies their hiring.

2. Alternative Staffing Arrangements

Three viable staffing arrangements for standards and goals development that can meet the above proposed principles will be discussed in this section. They are:

- (1) Use of Existing SPA Staff--Under this arrangement, the SPA reassigns some of its qualified planners to standards and goals activities, while hiring other individuals to perform the grant review, plan development, and monitoring activities previously performed by the existing staff.
- (2) Use of Consulting Firms or Individuals--The SPA contracts with individuals, universities, profit, or nonprofit firms to perform specific standards and goals tasks in a certain period of time for specified amounts of money. Personnel can be hired solely for standards and goals activities to work with the supervisory board, task forces, or commissions.

3. Analysis

a. Existing SPA Staff

MERITS:

- (1) The major benefits of this approach are that the supervisory board and SPA director are already aware of the quality of work they can expect from the SPA personnel. The SPA may not be as fortunate when hiring new people or contracting for services. Experienced planners within the SPA also have a good working knowledge of the criminal justice system and have an established relationship with the influential leaders of the state.
- (2) The reassignment of existing SPA personnel allows the SPA to get started more quickly than if new people must be recruited for standards and goals planning or if a competitive bidding process must be instituted to obtain a qualified contractor.

Time can be an important factor for a state that is late in getting started on their process.

- (3) Another advantage of using existing staff is that through the plan development process undertaken each year, the SPA staff should have an excellent understanding of what data are available, where it is located, and how it can be obtained. They also will be aware of which master plans exist and what other important research efforts have been performed. This is especially critical should the standards and goals developers wish to perform a comparative analysis between selected model standards and the conditions within the state. Standards and goals can be more easily integrated with other SPA planning activities under this approach.

WEAKNESSES:

- (1) The major weakness of this approach is that problems can develop when effective SPA personnel are transferred to standards and goals activities from other equally important programs. In some states using this approach, some important activities like monitoring and evaluation have suffered from the emphasis on standards and goals. These activities are critical to the comprehensive planning process because they help maintain integrity in the system, and it is from these activities that the effectiveness of existing or newly implemented programs are determined. In fact, if these activities are well done, the findings will greatly enrich the standards and goals efforts.
- (2) Sometimes there is a temptation to overload an effective and willing SPA planner with standards and goals responsibilities in addition to those he previously held, thus lowering the quality of the planner's accomplishments. In the short run, this is not so noticeable, but over the long term, staff morale and enthusiasm will be difficult to maintain.

- (3) There may not presently be on the SPA staff enough persons with the special background qualifications or experience that would make them effective in the complex activities required in developing standards and goals. If a state chooses to rely more heavily on their own research for determining their needs than on expert opinion, as provided by the model standards and goals, they will need persons who have a great deal of expertise in research methodology.

b. Consulting Firms or Individuals

MERITS:

- (1) The chief advantage of obtaining contractors to provide the staff work, especially if the staff work requires a lot of research, is that the persons who are retained can devote their full attention and time to the standards and goals activities without the usual distractions of administrative responsibilities. Some consulting organizations can assign a large number of persons to certain tasks, accomplishing a great deal in a short amount of time. This is important because there are some tasks that are repetitive and call for a large number of man-hours rather than specialized expertise.
- (2) Consulting firms or individuals that have done considerable work for SPAs or have worked in state, regional, or city-county planning units in criminal justice or related fields, may offer a state a level of expertise not presently available to the SPA.
- (3) Another advantage of this approach is that if the work being provided is not of the quality desired, a state can terminate its arrangements with a consulting firm or individual more easily than with full-time employees, who are protected under civil service regulations.
- (4) Related to the above advantage is a second one that addresses the problems of an SPA being

obligated to absorb the cost of the standards and goals employees after the grant period is terminated. In some states, 10 or more persons, funded by a grant, have been hired for the standards and goals effort. Several of the states have hired persons on a personal services contract, rather than as regular employees. This has offered them the following advantages:

- The SPA is faced with no large commitment to support the staff after the standards and goals efforts, which are labor-intensive at the beginning, are over.
- The persons thus retained are aware from the beginning that their jobs will terminate at a specific time--usually two years in most of the states--and are not expecting the state to carry them at the conclusion of the project.
- The SPA has an opportunity to see what skills these persons have, and may wish to hire those that excel as full-time employees.
- In some states, the salary structures are such that the SPA feels it cannot attract the caliber of people it seeks. Several SPA directors have suggested a gap from \$2,000 to \$6,000 between the salary they feel would attract qualified people and what they would be allowed to pay under their state system.
- A job where an individual is working with the leadership of the state in matters as important and far reaching as standards and goals development is likely to be, provides good career experience and credentials to persons thus retained. It would allow them to make important contacts with influential people and give them valuable knowledge and skills that should provide them with employment opportunities after the two-year period has expired.

WEAKNESSES:

- (1) The current attempt by state and local agencies to analyze the criminal justice system, identify the problems, and implement improvements is a phenomenon that began with the passage of the Omnibus Crime Control and Safe Streets Act of 1968 and its subsequent amendments. The establishment of SPAs and the provisions of funds from LEAA have increased the number of activities in this area. However, because it is a relatively recent development, there are not a large number of individuals or consulting organizations.
- (2) Where each state is endeavoring to meet the mandates of the Crime Control Act of 1973 and the subsequent policy statement of LEAA, which require standards, goals, and priorities by 1976, some competition may exist among the states for those individuals or firms which do exhibit expertise in criminal justice research and planning. Therefore, each state may not be able to obtain the qualified contractors they seek.
- (3) If persons or firms are retained that do not have the expertise or must gain it on the job, valuable time may be wasted, and the state's ability to meet its deadlines will be impaired.
- (4) As a general rule, contractors, either as firms or individuals, will cost more to retain than if the state were to hire permanent employees. Contracting individuals will probably charge enough for an adequate salary plus enough to cover the fringe benefits they must obtain on their own, while consulting firms usually charge enough to cover salaries plus overhead and profit.
- (5) Contractors cannot provide the continuity provided by regular staff members, unless they are retained on a long-term basis. They can perform the short-term work required by the SPA, but may not leave behind their expertise. Thus, the potential effects of their effort may dissipate over time.

C. Financial Requirements

Because of the many approaches open to a state in the development process, it is difficult to discuss here the possible costs of the process and the resources required. The funds budgeted by the states for standards and goals have ranged from less than \$50,000 annually to more than \$1,000,000. Most discretionary grants have fallen in the \$175,000 to \$400,000 range. The major variables that affect financial requirements seem to be:

- The number of new staff or consultants required.
- The number of separate groups, task forces, or committees, to be involved, and the role of the regional and local planning councils.
- The number and length of meetings, conferences, retreats, or working sessions contemplated.
- The depth and breadth with which the state wishes to address the problems of the justice system.
- The amount of research into state statutes, case law, procedures, and state experience contemplated.
- The quality of work already done on problem statements, master plans, goals, and objectives, which the development activities can be built upon.
- Whether or not additional staff or contractors share facilities with existing SPA personnel.

1. Suggestions Regarding Financial Requirements

The following general principles are proposed:

- (1) Every effort should be made to collocate staff with SPA staff--if sufficient space and facilities are available--to minimize additional expenditures for reproduction, facility rental, office furniture, and supplies. A side benefit of the arrangement is the enhanced opportunity for coordinating efforts within the SPA.

- (2) Since this type of effort requires maximum communication among the various groups, a state should make certain that adequate amounts are budgeted for reproduction, telephone, travel, meeting, and postage costs. Amounts for these items are usually understated in a budget preparation, or the assumption is made that these costs can easily be absorbed by the SPA. When the standards and goals program covers such a diverse range of subjects and so many groups are involved, communications needs much more attention than it often receives.

2. Alternative Sources of Funds for Standards and Goals

The SPA has only three viable sources of funds for standards and goals projects. They are:

- (1) Part B planning funds--Those funds that are allocated to the SPA by LEAA for comprehensive planning activities.
- (2) Part C action funds--Those funds that are also allocated to the states on the basis of a formula.
- (3) Discretionary funds--Those funds may be Part C, Part E, or combinations of both. They are meted out at the discretion of LEAA on a competitive basis or on the basis of merit as determined by LEAA.

Some states have used a portion of their Part B planning funds to subsidize standards and goals activities by reassigning their SPA staff or placing additional responsibilities upon existing staff, and by using their existing SPA budget to cover meeting costs, printing costs, and overhead expenses.

A small number of states have awarded themselves grants of \$50,000 to \$200,000 from Part C, action funds to finance the effort.

By far, the majority of the states have received grants in FY 1974 or FY 1975 from the discretionary funds of the LEAA to finance their efforts.

There are other possible sources of funding for these purposes, but they are less likely than the three sources identified above.

3. Analysis

Part B, Planning Funds--The chief advantage of these funds is that they are under the control of the SPA to allocate with few restrictions to those programs it deems to be important.

The liabilities of this source stem from the strong feeling on the part of the SPAs that the funds are insufficient at present to allow them to fulfill the responsibilities given to them under state and federal legislation. In addition, almost all SPAs allocate between 35% and 60% of those funds to regional planning units or to large county or city planning units. Consequently, the discretionary dollars within their planning budgets are limited, and will not finance a very large effort unless regional and city-county planners and the criminal justice official are willing to commit large blocks of time to research and committee meetings.

Part C, Action Funds--Like the Part B funds, these funds are for the most part under the control of the SPAs and they are able--pending approval by LEAA--to allocate a certain portion to themselves for standards and goals. An added advantage is that each SPA receives a much larger share of these funds.

Because of stiff competition by public and private agencies for these funds, the supervisory board may feel pressure to allocate all of the money to meritorious projects and seek other funds for standards and goals. The board may also do this for at least two other reasons. The first is that since LEAA has earmarked discretionary funds for standards and goals,

states can maximize their resources by applying for these funds. This strategy works if LEAA has enough discretionary funds for all applicants, or if a state's application is appropriate under the LEAA criteria and is submitted early enough so that it is not competing with other states for the funds. As funds diminish, of course, competitive conditions will develop. The second reason for nonallocation of the Part C funds by the board may be their lack of understanding of, or commitment to, the concept of standards and goals as a high priority item compared with programs sought by themselves or other applicants.

LEAA Discretionary Funds--The advantage of this source to a state is the commitment of LEAA to standards and goals as articulated in various policy statements and shown by their allocation of funds and technical assistance. As promised in the statement made in January of 1974, technical assistance has been made available and portions of the Part C and Part E discretionary monies have been set aside for standards and goals activities in the states. In this respect, this portion of the block grant program functions like the categorical grant programs of HUD, DoT, and HEW, wherein fundable program areas are described, and requirements and criteria to obtain the funds are outlined. (See Appendix D for the policies and requirements of the standards and goals discretionary grants as administered by the Office of National Priority Programs within the LEAA.)

A state has a high probability of obtaining these funds in the amounts needed if it meets the criteria and if the ONPP has sufficient funds when the state applies.

D. Schedule of Activities

The scheduling of activities is extremely critical for four reasons:

- (1) A large number of persons and agencies are involved in the standards and goals process.
- (2) The process must be completed by 1976.

- (3) The amount of time available and the frequency with which people can meet and still carry out their regular duties determining how many activities can be undertaken in standards and goals development and how thorough a state can afford to be at this time.
- (4) For all of its other projects, each SPA has established procedures and target dates for receiving plan data, grant applications, processing grant awards, performing monitoring and evaluation activities, and keeping current with the cash-flow needs of the project sponsors. The target dates for standards and goals must be compatible with all of these other activities because certain products of the standards and goals process can benefit the other activities of the SPA. The reverse is also true, especially in evaluation activities, where the success or failure of programs should be relayed to those who are attempting to solve problems in the criminal justice system.

1. Suggestions for Scheduling Activities

- (1) Each SPA should develop short- and long-range objectives, and a description of the standards and goals status it would like to reach by 1976 (short range) and beyond. This is necessary because it determines what kind of actions must be taken to meet those objectives on time, and when and how close together major activities must be accomplished. This approach to scheduling is one of working backwards from the target date to the present to determine to what depth and how quickly each activity must be performed.
- (2) In planning the above objectives, the requirements, policies, and guidelines of LEAA need to be considered.
- (3) Where the process requires intensive committee or task force meetings, these should be scheduled so that they do not over-burden the participants, especially if SPA task forces or supervisory boards with other duties are being utilized.
- (4) Each schedule, while allowing for development work, must also allow time for review and comment by the developers as well as by the reviewers.

(5) If possible, the standards and goals should be approved before plan development instructions are sent by the SPA to potential applicants. In this way, the standards, goals, and priorities may serve as a guide to applicants for LEAA funds. A sample timetable is shown in Figure 6.

2. Alternative Approaches to Scheduling

Because of the great diversity in planning schedules among the states, this section will not detail separate and distinct approaches, but rather will discuss the following two general methods:

(1) Intensive Sessions--The task forces or commissions responsible for developing the standards and goals commit a large block of their time to work on the program. The amount of time depends upon the scope of the work, but as an example, they might commit themselves to a four day period, from Friday through Monday evening, several times over the course of a year. This calls for extreme generosity and commitment on the part of the participants and the agencies for which they work. It also necessitates incredibly good staffwork to provide the data, documents, and records of the proceedings. It is, however, one manner in which a state can obtain the quality of work it desires within a short period of time. A side benefit usually observed is an esprit de corps, and team commitment by the participants not only to the development work, but also to follow up efforts of implementation.

(2) Weekly Meetings--Under this arrangement, the developers meet on a regular basis at frequent intervals--for instance, once each week for short periods of time, say from two to four hours. If this approach is chosen, a great deal of preplanning and other staff work will be required to keep the effort on schedule and to give adequate consideration to each subject. The advantage of this over the one above is that more persons will probably be able to devote this small amount of time more frequently. In addition, this approach would allow the developers to concentrate more intently on

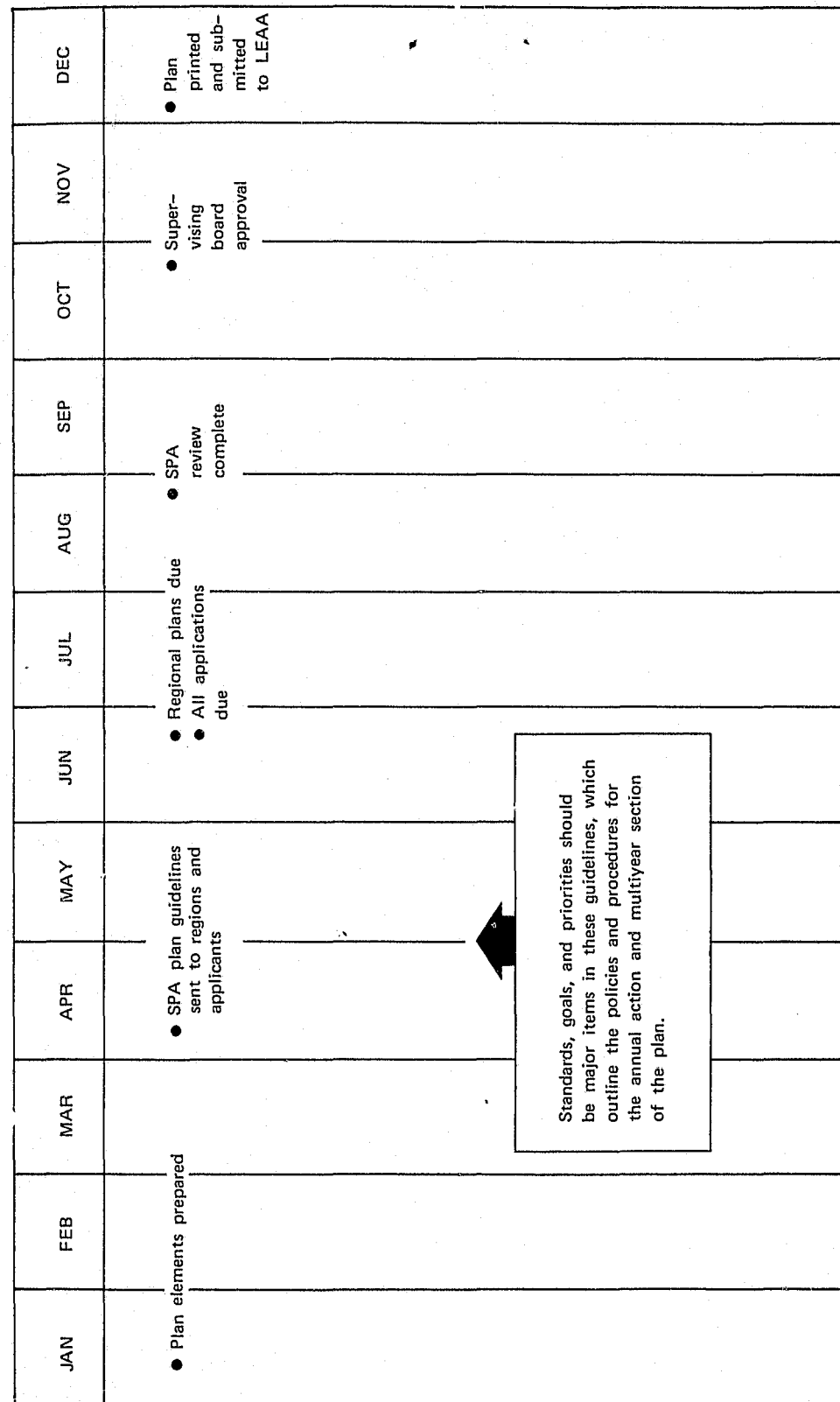


FIGURE 6 SCHEDULING ADOPTED STANDARDS AND GOALS INTO THE PLANNING CYCLE

a few subjects at a time, with time in between meetings to consider or reconsider their actions.

There are variations between these two extremes; they are discussed in the following section.

SECTION III

Developing the Standards and Goals

III DEVELOPING THE STANDARDS AND GOALS

The process of developing standards and goals for a state is complex because of the great number of considerations which come under the heading of criminal justice systems, and because of the many persons, agencies, or constituencies that should develop some consensus about the final product. One of the major difficulties in this part of the process is the large volume of data, reports, and documents that must be prepared, read, and discussed by persons both inside and outside the formal system. An overwhelming number of hours will be spent in these activities. Nevertheless, the benefits are well worth the investment of time.

This part of the process can be subdivided into five different activities, which are essential to an effective standards and goals development. They are:

- (1) Identification of Problems--This is one of the most critical steps in the entire process because it is from this component that the direction and scope of each of the other steps is determined. This is difficult to accomplish, and is therefore often skipped over lightly. One of the most difficult parts to write in a grant application, for instance, is the section that calls for the problems statement. Sometimes there is little data or conclusive proof available. That doesn't mean that the problem isn't real and critical, only that not enough findings are present because of the newness of the field of criminal justice research.
- (2) Identification of Workable Solutions--The key term in this process is "workable." Again, because of the newness of the field, workable solutions have not yet been proven in many areas. In fact, a good description of the criminal justice planning and implementation that has occurred since early 1969 could be "comprehensive experimentation." LEAA, states, regions, cities,

counties, universities, and private agencies have all developed and implemented programs that they hope will solve some of the identified problems. Some have been carefully evaluated; some have not, although at the present time evaluation is receiving major emphasis by LEAA, the SPAs, and others. What has been learned from past evaluations is that crime and fair and equal justice are complex, and many of the simplistic approaches tried have not been successful because they did not deal with those complexities.

- (3) Identification of Contributing Factors--One of the methods for formulating solutions to identified problems is to determine those factors which seem to contribute to the existence of the problem. This process can be likened to exploratory surgery where one endeavors to get inside the problem, to assess the extent of it, and to determine which factors, if treated, can eliminate the problem. Like the other activities cited above, this is easier to describe than to do in the criminal justice system where many factors are either not known, or their relationship to crime and the system are contested.
- (4) Development of Goals--Establishing goals for improvement in criminal justice presumes that the goal-setters have already waded through the problems, contributing factors, solutions, and their interrelationships and have hit upon those remedial actions the state and others can take to overcome the problem. The goal statement or objective usually indicates what kind of change is needed and in what direction the changes should occur.
- (5) Development of Standards--The standards are statements that provide suggestions or descriptions of what conditions should exist in the state for each goal area. While the goals pinpoint the areas needing attention, the standards focus upon the procedures, organizations, and levels of service that state and local agencies are encouraged to attain.

A. Definition of Terms

It appears that some confusion exists among criminal justice planners and officials, politicians, and others as to the meaning of

the terms, "standards," "goals," "missions," and "objectives." Basically, three different definitions have been observed among the states. They are:

- (1) Standards and Goals are the Same Thing--Standards, goals, objectives, missions, and recommendations all mean the same thing. They are all expressions of some desirable end result or condition that the state wishes to achieve. Therefore, any expression of change desired, no matter how general or specific, whether or not it is quantified or time certain, can be called "standards and goals." Under this definition the term "standards and goals" functions as one word, meaning any desirable change the state and local governments wish to make.
- (2) Goals are Long Term; Standards are Short Term--Goals are long-term statements that may or may not be achievable, but are something for which the state should continue to strive. Standards or objectives, on the other hand, are much more specific and can be achieved in the short term of from one to five years. The objectives or standards are sometimes further divided into "input" or "workload" objectives, which describe the numbers of resources such as dollars or manhours to be devoted to an area, and "output" objectives, which focus upon results. The terms standards and objectives are used interchangeably as devices against which a state's progress can be measured.
- (3) Goals Tell What is Needed--Standards Tell How Much is Needed--Goals are broad, timeless statements of intent that are neither time specific nor quantified in terms of the amount of change they advocate. Standards, on the other hand, provide the specificity desired by declaring the conditions that should exist in the state when the goal has been met.

Many states are following the lead of the NAC by developing lists of changes they desire that follow no strict format, but that provide a tabulation of standards and recommendations that the state will attempt to achieve. The NAC did distinguish between goals and standards in that they developed five crime-specific goals, some 422 standards, and

97 recommendations. However, an examination of the standards and recommendations shows no clear distinction between those two in terms of format or content. Thus, the first definition of goals and standards more closely describes the approach taken by the NAC. The format followed by most of the NAC reports is shown in the sample below:*

General Area:	POLICE
Specific Subject:	CRIMINAL JUSTICE RELATIONS
Standards:	<ul style="list-style-type: none"> 4.1 Coordinate planning and crime control 4.2 Cooperative procedures with courts and corrections 4.3 Formalize diversion procedures 4.4 Utilize alternatives to arrest and pre-trial diversion
Recommendations:	<ul style="list-style-type: none"> 4.1 Divert drug addicts and alcoholics 4.2 Allow telephones petitions for search warrants 4.3 Prohibit private surveillance and authorize cost supervised electronic surveillance

The definitions of standards and goals, while important, are not the major emphasis of this document, and cannot be treated in detail without detracting from the major thrust, which is to provide suggestions that will be helpful to the states in their standards and goals activities, whatever their format may be. For uniformity, the definitions that are used throughout this handbook more nearly resemble those in number two above. Further clarifications are provided below:

* Source: Police, National Advisory Commission on Criminal Justice Standards and Goals, 1973, Chapter 4.

GOAL: A DESCRIPTION OF LONG-RANGE CHANGES A STATE WISHES TO SEE ACCOMPLISHED IN THE CRIMINAL JUSTICE OR RELATED SYSTEMS.

- The goals should be quantified, and should be time certain.
- The goals should state the general direction in which change is to occur.
- The goals are considered as ends and therefore need not indicate how they are going to be met.

STANDARD: A STATEMENT THAT DESCRIBES THE SHORT-RANGE CHANGES THAT MUST EXIST IF THE GOAL IT RELATES TO IS TO BE ACHIEVED.

- The standards should be measurable.
- They should be time certain, but of much shorter range than the goals.
- Standards should be considered in much the same way objectives have been in the past, that is, they can function like a goal only they are much more specific.

Figure 7 distinguishes those activities that should be considered in the standards and goals efforts from those that belong to the other planning activities of project development and implementation. The standards, goals, and priorities as shown in Figure 7 are in the early and general states of planning, while missions, objectives, and activities are more specific and are more closely associated with implementation.

The definitions and distinctions used in this section may make more sense if put in an athletic analogy that shows the relationship of goals and standards. If goals are viewed as the end for which a state strives, the yard markers on the sidelines serve as standards to measure how well the team (or state) is progressing toward its goal. The team's short-range objectives may be to make only 10 yards of progress within four plays.

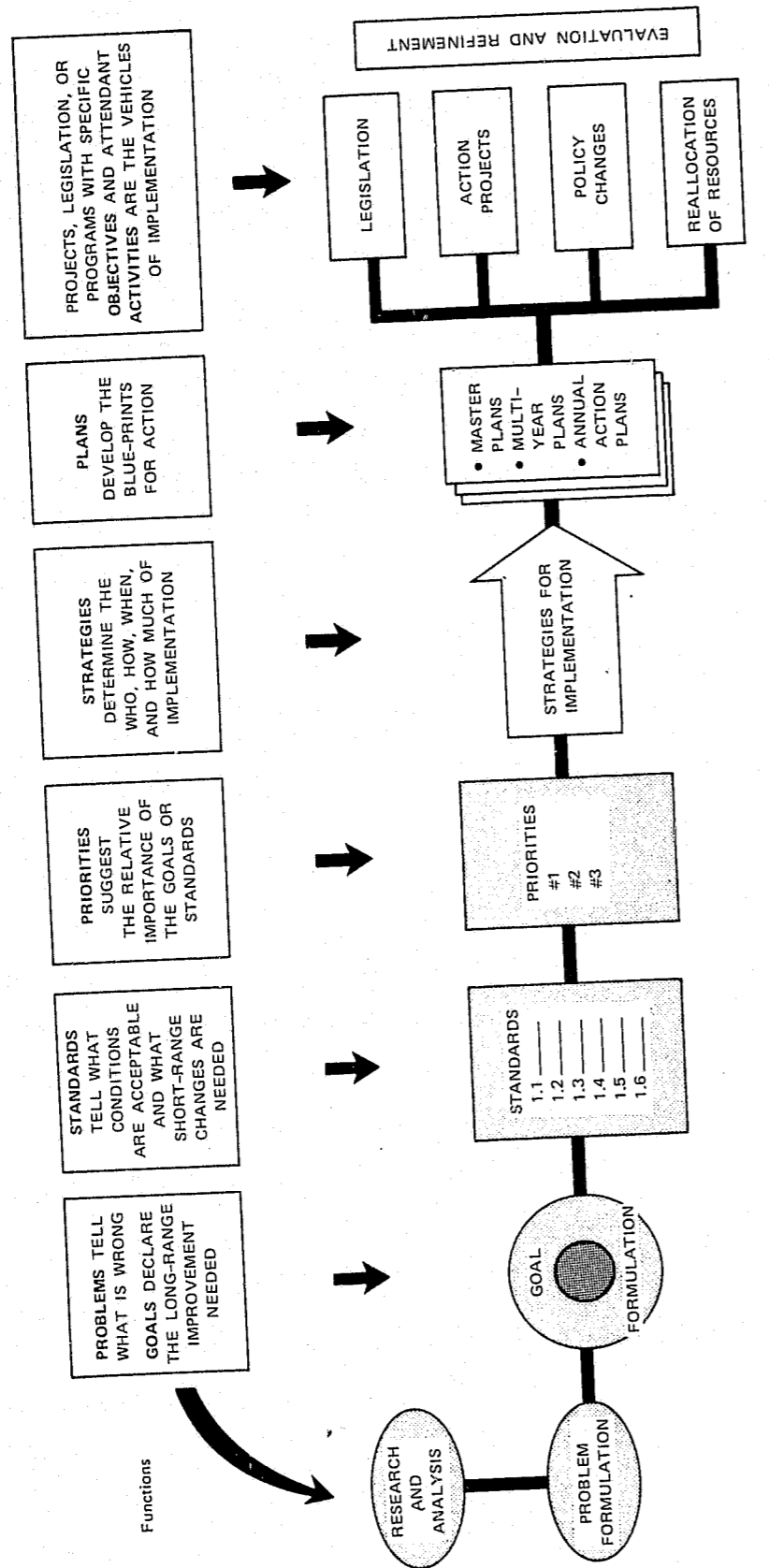


FIGURE 7 THE FUNCTIONS PERFORMED BY STANDARDS, GOALS, PRIORITIES AND OTHER PLANNING ELEMENTS

In the following example, a goal for information systems has been hypothesized. Beneath it is a listing of related NAC standards with suggested target dates for their attainment.

GOAL: TO ESTABLISH A STATEWIDE CRIMINAL JUSTICE INFORMATION SYSTEM TO SERVE ALL COMPONENTS OF THE CRIMINAL JUSTICE SYSTEM, PROVIDING THE MANAGEMENT INFORMATION NEEDED FOR ONGOING ASSESSMENT OF THE EFFICIENCY AND EFFECTIVENESS OF EACH COMPONENT BY 1985.

- STANDARDS:
- 1.1 Standardized reports of criminal activity (Police Standard 24.1). (1975)
 - 1.2 An accurate, rapid-access record system (Police Standard 24.2). (1978)
 - 1.3 Standardized local information systems (Police Standard 24.3). (1980)
 - 1.4 Use the system for crime analysis (Criminal Justice Systems, Standard 4.2). (1977)
 - 1.5 Use the system for manpower resource allocation and control (CJS, Standard 4.3). (1980)
 - 1.6 Maximum allowable delays will be established (CJS, Standard 4.4). (1976)
 - 1.7 Full participation of all agencies (CJS Standard 4.5). (1975)
 - 1.8 Quality control of crime data (CJS Standard 4.7).
 - 1.9 Use a geocoding system for crime analysis (CJS Standard 4.8). (1979)
 - 1.10 Etc.

B. Problem Identification

Presently, there are three major sources being utilized by the various SPAs to identify their criminal justice problems and to construct goals, standards, and priorities. They are as follows:

- (1) Current and Past Comprehensive Plans--All states have been required to include in their annual comprehensive plans a section entitled "problems and needs." While of varying quality among the states, and sometimes prepared only to meet LEAA requirements or to justify projects submitted for funding, these sections may contain fairly pointed discussions of the state's problems as identified by the supervisory boards, the SPA, or the regional planning units. Some states have gone to this source first in their efforts to determine which areas they should begin to focus upon for developing their standards, goals, and priorities.
- (2) Start from Scratch--Black Sheet Approach--Some states have taken the position that the standards and goals requirement is an opportunity to discard past efforts and start all over to reexamine their problems in more depth than was done or was possible to do in their previous planning efforts. Conferences have been held in which criminal justice officials and citizens have filled sheets of paper with new statements of problems. In some states, large research efforts have been mounted to determine problems and needs.
- (3) Review of Model Standards--Many states have reviewed the model standards of the NAC, the American Bar Association, and other groups to determine which particular standards apply to their own conditions. Some are ruled out because they express concepts that the state does not agree with, or because they address conditions that do not exist in the state. The chicken and egg argument as to which comes first, the identification of problems or the selection of the goals is present in this approach. Some states have studied the model standards to select or modify those they feel would benefit the state. Others review the model standards as possible solutions and then work backwards to determine if, in fact, the problems addressed by the standards exist in the state. If they do, then the state must decide if the model standards provide the appropriate remedies.

Some suggestions regarding problem identification are as follows:

- (1) Provide Evidence to Support the Problem Statements--Where possible, problem statements should be supported by measurable data or expert opinion that indicates the

seriousness of the problem. For instance, the statement, "There is a serious problem of police personnel turnover in the state," is too general and is unsupported. It can be improved by adding:

"The annual turnover rate of police personnel in the state is 30%, which is up 8% from 1970."

- (2) Don't Mix Problem Statements with Solutions--Problem statements should reduce the problem to its simplest terms without stating what the solution should be. Other planners intermix solutions or objectives in a problem statement. For instance, the above problem statement could have read,

"There is a need for a statewide pension plan to reduce the amount of turnover in the state."

This statement may be true, but it suggests that the only remedy to the turnover problem is a statewide pension plan. That may be only one of a number of possible solutions, such as increased salaries, education incentives, health and dental plans, and the availability of promotional career ladders.

- (3) Determine the Causes of the Problem--Whenever possible, problem statements should be supported by data that indicate the factors contributing to the problem. This points out which conditions must be ameliorated if the problem is to be resolved. This step is not easy and is often not done because of its complexity and the lack of knowledge of what causes certain problems. However, if it is not done, many dollars and expectations may be wasted on programs that treat symptoms rather than causes. Figure 8 shows the relationship between problems, contributing factors, and solutions.
- (4) Limit the Areas of Concern to a Manageable Size--The number of problems should be held down to a manageable size, because to be effective in resolving the important ones, the state will need to focus intensive efforts and resources upon them. There are limits in any given state to the number of improvements that can be vigorously implemented at one time, especially in a three-to-five-year period. A suggested guideline is to hold the number of problem statements to the five to ten most serious in each category. For example, if a state is focusing on

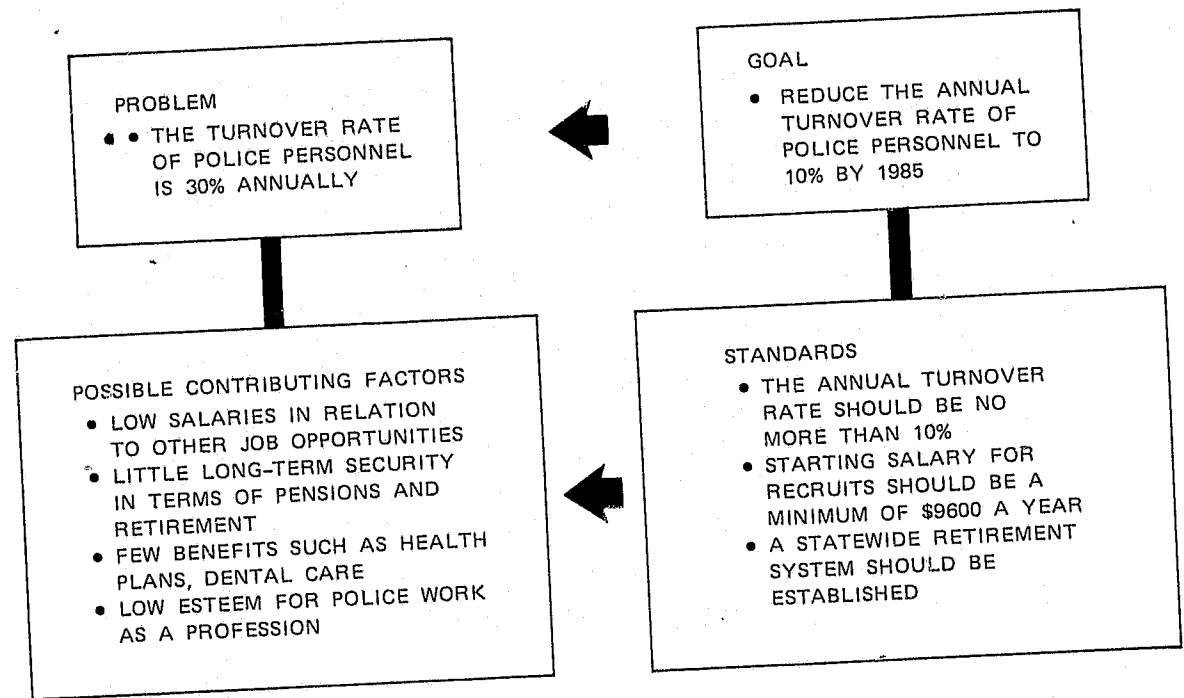


FIGURE 8 THE RELATIONSHIP BETWEEN PROBLEMS, THEIR CONTRIBUTING FACTORS, STANDARDS AND GOALS

the traditional areas of police, courts, corrections, and crime prevention, and five to 10 serious problems are identified in each, the number of problems will range from 20 to 40. The sheer volume of issues can be overwhelming, and the depth with which a state can afford to deal with each problem will decrease as the number of issues increases.

C. Development of Goals to Address the Problems

If the goals developed for various problem areas or categories are reached, the identified problem will be reduced and the contributing factors rendered less harmful. Therefore, the goals become critical in suggesting what a state needs to do and where its resources must be applied. As indicated earlier, much research and testing is needed in nearly all areas of the criminal justice field to find solutions that will produce the desired results. Many agency professionals, LEAA personnel, consultants, state and regional justice planners, university

investigators, and project leaders are experimenting to find those solutions. Inappropriate selection of goals may not bring the desired results, but goals can be amended, and the failure to fully achieve the desired results at first will still add to the body of knowledge.

Goals can be developed from a variety of perspectives. The three most common emphases are as follows:

- (1) Traditional View--This is the view commonly taken in the short history of criminal justice planning that goals for each of the component parts of the system are developed by groups of people experienced in each particular field. Examples of this would be the establishment of goal statements in the following components:

- Police
- Courts
- Corrections
- Juvenile delinquency.

In this approach, little intensive effort is made to look for commonalities of goals among the components or, for that matter, apparent conflicts in philosophy or direction.

- (2) Systemic or Integrated View--This approach is an attempt to look for common ailments within the components of the system and to answer the allegation commonly voiced that the "System is a non-system." The goal-setters in this instance try to view the components of the system not only individually but also as integrated parts of a larger system, and try to determine where and when the system fails to achieve its two goals of crime reduction and improvement of the quality of justice. Increased efficiency and improved coordination among the components are the two chief criteria used for postulating new goals under this approach. Consequently, the goals call for grouping similar functions or needs of each component, such as:

- Training
- Recruiting
- Information systems
- Facility needs
- Equipment purchases
- Diversion
- Prevention
- Planning and research.

This view is akin to that of the manager of a large corporation who analyzes the company and its interlocking subsidiaries to determine what must be done to improve the aggregate profitability.

- (3) Crime-Oriented View--As implied by the title, the aim of the goal-setters is to reduce crime. The High Impact Program is based upon this viewpoint. The goal-setters using this approach focus on crime prevention, specific crimes, and specific offenders.

In practice, these approaches are not as different as might be implied by the above descriptions. Many goal-setting efforts are combinations of all three. Thus, among goals may be found those that deal with only one component of the system (traditional view), those that call for joint training of the personnel of all components (systemic view), and those that call for reductions of specific crimes (crime-oriented view). Planners often debate the virtues of one over the other. Some planners find the approaches conflictive, or even mutually exclusive of each other. Others feel the only distinctions are semantic and unimportant. The majority of the states are using the traditional approach because of its familiarity. Several states are experimenting with some form of the other two. The standards and goals developed by the NAC are a mixture, with the five goals being crime-oriented and the proposed standards and recommendations predominantly reflecting the traditional, compartmentalized view.

1. Analysis

The chief advantage of the traditional view is that it appeals to the criminal justice professionals of the system who are usually a majority on the standards and goals task forces or commissions. They have difficulty seeing the system, especially outside their own component, from the corporate manager point of view required by the systemic approach. The crime-oriented approach generally appeals to the law enforcement agencies, but not to administrators of courts and corrections and juvenile delinquency agencies, who have difficulty relating to it. Both the systemic and the crime-oriented approaches are fairly new and different. Therefore, the concepts are not fully developed or understood. Few planners are able to discuss, defend, or illustrate them in depth, and while the concepts are well known, fully developed examples of them for the entire justice system are not.

2. Suggestions for Goal Formulation

- (1) The goal statements should show a direct correlation to the identified problems. Sometimes this appears to be a word game because the goals are merely a restatement of the problem in positive terms, but it does help those who review the work to know where the goals came from and what problem they are intended to address.

Some states have skipped the problem identification step altogether, going directly to a goal or standard statement, because of the semantics problem.

- (2) The goal statements should be complete enough that they are self explanatory. From time to time, individuals and groups will wish to examine the goals, and it will become necessary to focus upon them without all of the supporting data and explanations. If they are incomplete or too general, they may be subject to misunderstandings or criticism by those who review them.

- (3) As in the problem identification, the number of goals developed should be kept at a manageable level and should address the high-priority areas.

D. Formulating Standards Relating to the Goals

As stated earlier, standards will be discussed here as indicators of the specific conditions which should exist and what short-range changes are needed to achieve a given goal. That is, if certain program projects or policies that are responsive to the standard are effectively implemented, the specific goal should be met. The standards are what provide the measuring point for determining how criminal justice in any area compares with the state-wide ideal.

1. Some Suggestions Regarding the Formulation of Standards

- (1) The goals and standards should be so closely related that if the standards are met, the goals will be achieved. For example:

GOAL: TO REDUCE THE ANNUAL TURNOVER RATE OF LAW ENFORCEMENT PERSONNEL IN THE STATE TO LESS THAN 10% BY 1985.

- STANDARDS:
- Annual turnover rate of law enforcement personnel should be no higher than 10% per year.
 - Starting salary for recruits should be no less than \$9,600 per annum.
 - All law enforcement employees should have an opportunity to participate in a retirement system.
 - Each county should provide health plans for employees that are comparable to those provided in business and industry in the state.

- (2) Each state should decide if the standards are to be considered as minimum standards or standards of excellence. If the former are chosen, they would require less of some of the agencies than would the latter. An example of the minimum standards would be as follows: As a minimum, new recruits in law enforcement service would receive 200 hours of the approved curriculum training within six months of their hiring date.

Standards that strive for model or ideal systems may be just out of reach of the more progressive agencies within the state. For example, it is commonplace for large urban cities or counties to provide many more hours of recruit training than their smaller counterparts in the state. It is often their belief that they need to give more and different types of training than is necessary in a smaller department. In that context, a state may wish to set different standards for the smaller or rural-suburban departments and the large urban agencies.

- (3) If model standards of the NAC or the ABA or others are used by the state as the major input into the standard formulation process, they should be modified to fit the conditions in the state. The model standards were developed to fit general conditions in the nation. The problems they address may not exist in some states.
- (4) In developing standards, a state should not lose sight of the factors that contribute to the problems it must address.

2. Relating Standards to the Identified Goals

The most common method of relating standards to goals is to group standards with each appropriate goal statement. A convenient way to do this is for a state to develop its own goal statements, and then select model standards of the NAC or ABA that address the goal. The state should also develop its own standards where gaps in the model standards

exist, or where the model standards as written do not totally address the unique conditions of the state. For instance:

GOAL: UPGRADE THE PROFESSIONAL SKILLS AND ABILITIES OF ALL CRIMINAL JUSTICE PERSONNEL IN THE STATE SO THAT 75% CAN BE CERTIFIED BY 1985.

The following NAC standards provide suggestions for training professionals of the system:

<u>NAC Police Standards</u>	<u>NAC Courts Standards</u>	<u>NAC Corrections Standards</u>	<u>Other NAC Standards</u>
7.6	7.5	10.4	12.1 (CJS)
15.2	12.5	11.4	12.2 (CJS)
15.3	13.6	12.8	13.8 (CJS)
16.1		14.9	R4.9 (CCP)*
16.2		14.11	R6.7 (CCP)*
16.3			R6.9 (CCP)*
16.4			
16.5			
16.6			
16.7			

After grouping the model standards with their respective goals, it is necessary to review them for their appropriateness to the conditions within the state. The following judgments are needed:

- Does the standard call for the type of action needed, that is, is it appropriate to our state?
- Is the standard too low, too high, specific enough?

* A recommendation rather than a standard.

A format for making those judgments is shown in Figure 9. This activity is best done in a task force meeting or conference, where the judgments made can represent a consensus. Such meetings are an excellent forum for educating the public and receiving their observations.

In accomplishing the above review, the staff may wish to summarize the model standards to reduce their length. This will aid commissions or task forces to reviewing a greater number and to quickly focus on those that need to be considered in more detail.

Throughout the analytical process, the staff will find subjects for which they have little or insufficient data on the current situation in the state. If time and available resources allow, they should attempt to research the state's situation before completing the review. Where this is not possible, expert opinion should be solicited.

NAC STANDARDS	APPLIES TO STATE	COMMENTS	CHANGES REQUIRED IN THE MODEL STANDARD	
			DIRECTION	DEGREE
<p>(Police Standard 24.3)</p> <p>Each agency should be able to retrieve state-wide criminal information and provide it to field personnel within 30 minutes for noncomputerized systems and 30 seconds for computerized systems.</p>	Yes	<p>Average retrieval times for relaying field information to inquiring units is 8 minutes for noncomputerized systems in our state. In a recent study, this delay was cited as a causative factor of officer assaults. The three computerized systems in State Regions 3, 5, and 7 average approximately 25 seconds for retrieval.</p>	None	<p>Change the standard to 2 minutes for manual systems and 20 seconds for those which are computerized.</p>
<p>(Criminal Justice Standard 13.1)</p> <p>Any state that has not revised its substantive criminal law within the last decade should begin revision immediately.</p>	No	<p>In 1972 the criminal code was revised, passed by the legislature and is now in effect as law. It is too early to evaluate the results.</p>		

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FIGURE 9 DETERMINING THE RELEVANCE OF MODEL STANDARDS TO THE STATE

IV PRIORITY SETTING AMONG THE GOALS

This operation is as important as the development of the standards and goals themselves. It is this operation that pinpoints where change is needed first and how much. The goals and attendant standards developed by the state will probably not be of equal importance or urgency. Disagreement may also exist between various agencies regarding the relative ranking of each goal to the others.

The Crime Control Act of 1973 requires SPAs to include priorities in their comprehensive plans as shown in the following quotes:

"The State Planning Agency shall--

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

"No plan shall be approved as comprehensive unless it establishes statewide priorities for the improvement and coordination of all aspects of law enforcement and criminal justice"
[Title I, Section 303 (c)]

Priority setting can occur at several different points in the standards and goals process. Some states have preferred to set priorities among the identified problems, rather than among the goals. At the present time, however, the majority of the states are concentrating on developing standards and goals, and few have begun to establish priorities.

Regardless of whether priorities are set among problems or goals, there are a variety of methods for doing so. This chapter will deal with those alternatives and the advantages of each.

A. Suggestions for Setting Priorities

- (1) The Priority Setters--The total number and composition of a given task force or commission will have an impact upon the final outcome in priority setting. Heavy stacking of representatives from one component of the system can assure higher priorities for that component.
- (2) Agreement on Methodology--Task force or commission members should agree beforehand upon the methodology to be used to set priorities. If they do not agree, the final goals and standards may not receive their support in the implementation phases because they lack confidence in how the priorities were determined.
- (3) The Number of Priorities--The list of priorities should not be too long nor too short. If the list runs over 20, it may prove to be a shopping list rather than an order of importance. On the other hand, a priority list of one or two items, while it may be justifiable, may not be feasible from a political standpoint and may not be comprehensive.

B. Alternative Mechanisms for Priority Setting

The following are examples of ways in which the states may establish priorities among goals. Each has certain advantages and limitations that will be discussed. The methods range from the simplest approaches to the more complex, the major difference being that the more complex methods reveal more of the reasoning behind the judgments of the priority setters, while the simpler only reveal the results.

- (1) Majority Vote--In this least complex and most traditional approach, the participants respond to a list of proposed standards and goals by voting on the ranking of individual statements or on a general list arranged in a proposed priority order. In this approach the motivation and criteria used by the participants are not generally visible.

- (2) Individual Preference--This approach is very similar in that criteria or motivations are not generally visible. The difference is that in this method, each participant submits his own list of priorities, which are added to those of his peers to determine the group assessment.
- (3) Uniform Criteria--This method makes use of specific criteria for evaluation of the relative importance of each goal. The priority setters assess the degree to which each goal meets each of the criteria. In one use of this method, the criteria are all of equal value. In another use, different values are assigned to each criteria according to its importance.

1. "Majority Vote"

DESCRIPTION

This approach assumes that a task force or commission will meet to assign priorities to the goals that they have previously endorsed. The staff will assist them in the following manner:

- (1) Staff prepares a straw-man list of priorities with the goals placed in a suggested order of priority from 1 to x.
- (2) The staff prepares a rationale for placing the goals in that order. A simplified format for this is shown below:

PRIORITY 1: To reduce the incidence of auto theft in the state 20% by 1985.

RATIONALE: Recent studies in this state have indicated that at least 60 percent of the reported auto theft might have been prevented. Because these crimes are highest by volume in our state, emphasis on these goals will provide the quickest payoff in reducing crime and unclogging the system.

PRIORITY 2: To improve the amount and type of management information and research data available to decision makers in the criminal justice system.

RATIONALE: At present, state and local administrators are not able to determine how the system is performing and where the weak points are because they lack timely information on a continual basis. This goal must be given high priority so that our progress in achieving all other goals can be accurately assessed.

- (3) Two weeks prior to the date of the meeting at which priorities are to be set, the above staff work should be sent to the persons who are to set the priorities. Copies should also be sent to regional planning councils, criminal justice agencies, and other interested groups.
- (4) Each task force member should be asked to review the document and come prepared to vote upon the priorities as well as to give supporting reasons for his vote.
- (5) The chairman of the commission should allow the members to fully discuss each goal and its placement in the priority listing as proposed by the staff.
- (6) After sufficient discussion, the chairman should call for motions for actions with the following guidelines:
 - Each motion should call for the placement of a goal in a certain order, giving the motioner's reasons for so doing if the order is different than that suggested by the staff. (This will later allow individuals who were not present when the priorities were set to know the rationale for the action taken by the commission or task force.)
 - Minutes should list the motioners, those who provided the seconds for motions, and the count of those voting for and against the motions.

MERITS:

- (1) This approach is the traditional approach with which many of the task force or commission members will have had experience in the past.
- (2) This approach does not appear to be too complex for those task force members who may like things kept simple.
- (3) The action taken and the general rationale for the placement of each goal in the priority listing is easily seen from the minutes.

WEAKNESSES:

- (1) This may be viewed by some as not being a very thorough approach, since the individual criteria or judgment of the priority setters may not be clear.
- (2) This approach often shows a nonuniform application of criteria. That is, the same criteria are not generally used to determine the importance of each goal.
- (3) Strong-willed and influential members of the task forces can force their judgments on the less persuasive members. These more timid members may capitulate to the will of the group, but may not actually be committed to the final product.

2. "Individual Preference"

DESCRIPTION

- (1) This approach increases the accountability of the individual members of the task force or commission by showing how they voted on each goal and how they view the relative importance of each.
- (2) The same staff work called for under the majority vote approach should be accomplished under this approach and mailed to the participants.

- (3) At the meeting, the commission or task force members should be allowed to fully discuss the staff paper and their feelings about the proposed priorities.
- (4) When the discussion is ended, a master list of goals should be displayed on the wall or on a blackboard. In the example below, that listing totals 20 goals statements. The listing should dictate no order of priority, but should be placed in a prominent position for easy reference by the priority setters. Individual listings could be passed out to all members in lieu of the graphic display.
- (5) Each member should number his paper from one to twenty. (Pre-numbered blanks can be provided.) Each person should then list the goals in his own order or priority, making sure that he lists all of the goals.

Commission member Charles Smith's own listing might look like this:

Priority 1. Goal L	6. Goal C	11. Goal O	16. Goal S
Priority 2. Goal B	7. Goal R	12. Goal K	17. Goal M
Priority 3. Goal A	8. Goal H	13. Goal D	18. Goal N
Priority 4. Goal T	9. Goal F	14. Goal I	19. Goal J
Priority 5. Goal P	10. Goal E	15. Goal Q	20. Goal G

Signature _____

- (6) Each member's paper should be collected and a matrix prepared that shows how each goal was ranked by each commission member. The matrix might look like this:

GOAL	SUBJECT	SMITH	GREEN	GARCIA	ISAACS	PETERSON	TOTAL
A	Crime Prevention	3	5	4	3	1	16
B	Upgrade Training	1	9	1	8	14	33
C	Information Systems	14	3	5	1	2	25
D	Reduce Court Delays	2	1	10	2	5	20

- (7) After all the votes have been tallied, the total column will reveal the order of priority. The lower the score in the total column, the higher

the priority of the goal in the composite thinking of the commission or task force. Using the simplified example above, the final priorities would be as follows:

Priority	Subject	Total Score
1.	Crime Prevention	16
2.	Reduce Court Delays	20
3.	Information Systems	25
4.	Upgrade Training	33

- (8) Some tie votes usually occur, in which case the group may need to take a voice vote to rank the goals that are tied.

MERITS:

- (1) This approach provides more accountability by commission or task force members, showing how they ranked each goal. This is important where a member is on the task force or commission as a representative of an organization or his professional peers.
- (2) This approach is fairly simple and easy to apply.
- (3) In this approach, every commission member's judgment has an effect on the final decision on each goal. Each commission member can also see how his judgment compares with that of his peers.

WEAKNESS:

- (1) Individual members may not want their votes to be so visible.
- (2) The reasons given for the final priority placement are not visible in this approach because the group takes no formal action to include reasons for the order of the goals; rather, the priority was determined mathematically.

"Uniform Criteria"

DESCRIPTION

- (1) The major difference between this approach and the other two is that in this one, the priority setters agree upon the criteria to be used in evaluating the importance of the goals before making a priority judgment. They may make the criteria of equal value or of weighted value.
- (2) As in the previous two methods, the staff proposes an order of priority among the goals and gives reasons for the ranking.
- (3) Commission or task force members should be allowed plenty of time to discuss the staff's proposed list of priorities.
- (4) The group should agree upon the criteria to be used in evaluating each of the goals. The following are some which might be considered:
 - The goal has a direct impact upon the crime rate.
 - A large number of persons will be positively affected in a direct manner.
 - We have the knowledge and resources to obtain the goal.
 - The majority of the public is supportive of the concept.
 - The goal positively affects the entire system.
 - The criminal justice professionals generally are supportive of the concept.
 - The goal can be achieved in the short term.
- (5) After agreement upon the criteria to be used, a rating sheet should be prepared for each member, which provides the goals and an opportunity for rating each goal as to how well it meets the criteria. If the criteria are considered to be of equal value, a rating sheet something like this might be used:

GOAL	SUBJECT	Number of Persons (0-10)	Public Support (0-10)	Crime Rate (0-10)	Entire System (0-10)	Total (0-40)
A	Crime Prevention					
B	Upgrade Training					
C	Information System					
D	Reduce Court Delays					
E	Etc.					

- (6) As in the previous method, each person would rate the goals, and a composite score would determine the priorities.
- (7) Often, some commission or task force members feel that the criteria themselves are not of equal value, and that a goal that meets one or more of the more important criteria should be given a higher rating than a goal which meets one or more of the lower value criteria. If so, they might use criteria of weighted value. A rating sheet for this approach could look like this:

GOAL	SUBJECT	Public Support (0-10)	Crime Rate (0-7)	Number of Persons (0-5)	Entire System (0-3)	Total (0-25)
A	Crime Prevention					
B	Upgrade Training					
C	Information System					
D	Reduce Court Delays					
E	Etc.					

- (8) The points allowable for the criteria under each of these two methods should be given consideration, because if too few points are allowed, the members may feel constricted in their ability to judge the merits of the goals. Also, a greater number of tie votes will probably result. If too many points are allowed for each criteria, the members would have too much flexibility and may become confused with the process.

MERITS:

- (1) All members are evaluating the goals against the same criteria. Therefore, their evaluation is less subjective than in the other methods where the reasoning behind actions are not as evident.
- (2) Because of the time involved and the thoroughness with which the priority setting is done in this approach, the results may be more defensible and have greater longevity than results of the less contemplative methods.
- (3) This approach forces the commission members to analyze their motivations and their desires for the justice system in an intense and open manner.

WEAKNESS:

- (1) This approach is more time consuming and complex; therefore, some members of the commission or task forces may not be able to commit the necessary time.
- (2) This approach can give the appearance of being objective and scientifically derived, when it is really subjective.
- (3) The criteria selected are always imperfect and are difficult to apply in some cases. For instance, while goals that call for planning and research may be highly desirable, they do not score well on criteria such as crime reduction and public support. The outcome on this approach, then, is dependent upon the criteria selected.

V CITIZEN AND AGENCY INPUT

Establishing standards, goals, and priorities that are responsive to the attitudes of the majority of the people and agencies is extremely difficult, especially in heavily populated states and territories. The problems are aggravated if the standards and goals program is on a tight time schedule and has limited resources available. An SPA must find a way to provide an opportunity for the many layers of local and regional agencies, the many special interest groups, and the general citizenry to participate in the process. In some cases the opportunity, or the open door to decision making, is as important as the actual substantive contributions made.

Some suggestions for citizen and agency input are as follows:

- (1) Representation--Key groups and agencies should have representatives on the commissions and task forces that are doing the developmental work.
- (2) Sincere Effort to Obtain Feedback--The SPA must be sincere about opening the door for review and input, by facilitating and encouraging outside participation.
- (3) Sufficient Time--Agencies, citizen groups, and special interest groups should be given ample time in which to respond to the work of the commissions and task forces.
- (4) Knowledge of Procedures--The commission or task forces should make clear to those who review their work what processes will be used to analyze the input received, and when final approvals by the state supervisory boards and others will occur.

One desirable but difficult approach is to inform all regional planning units, special interest groups, criminal justice agencies, and the public on a continuous basis. Under this approach, meeting agenda and results should be highly publicized, and copies of meeting notices and minutes should be widely disseminated. All interested persons and

groups would be invited to attend meetings and to review and comment upon the work of the commissions or task forces on a regular basis.

Another option is for the commissions and task forces to do their developmental work first and then send out well-defined standards and goals to the reviewing agencies at key points in the process. For instance, the task forces or commissions might widely disseminate their work in draft form and request review by the criminal justice agencies and others as shown in Figure 10. In this approach, outside agencies are asked to review and comment upon those issues with which they disagree. Their input is received at critical junctures in the process. While they would not be fully involved in the development process, they at least would have some input. In a populous state, this may be the only way that some agencies can become involved in a meaningful way.

The following are some suggestions of methods by which the review and input can be received.

A. Citizen Input

The process for obtaining review and input from citizens is different from that for criminal justice agencies and regional planning units, because citizens will need more basic education on the following aspects of criminal justice standards and goals:

- Why standards, goals, and priorities are needed.
- What is wrong with the system now.
- What improvements the professionals recommend.
- What is the rationale for those suggested changes.

The majority of the public have not been intimately involved in the criminal justice system as they have, for instance, in the education system as students and as parents of students. Therefore, educating the public

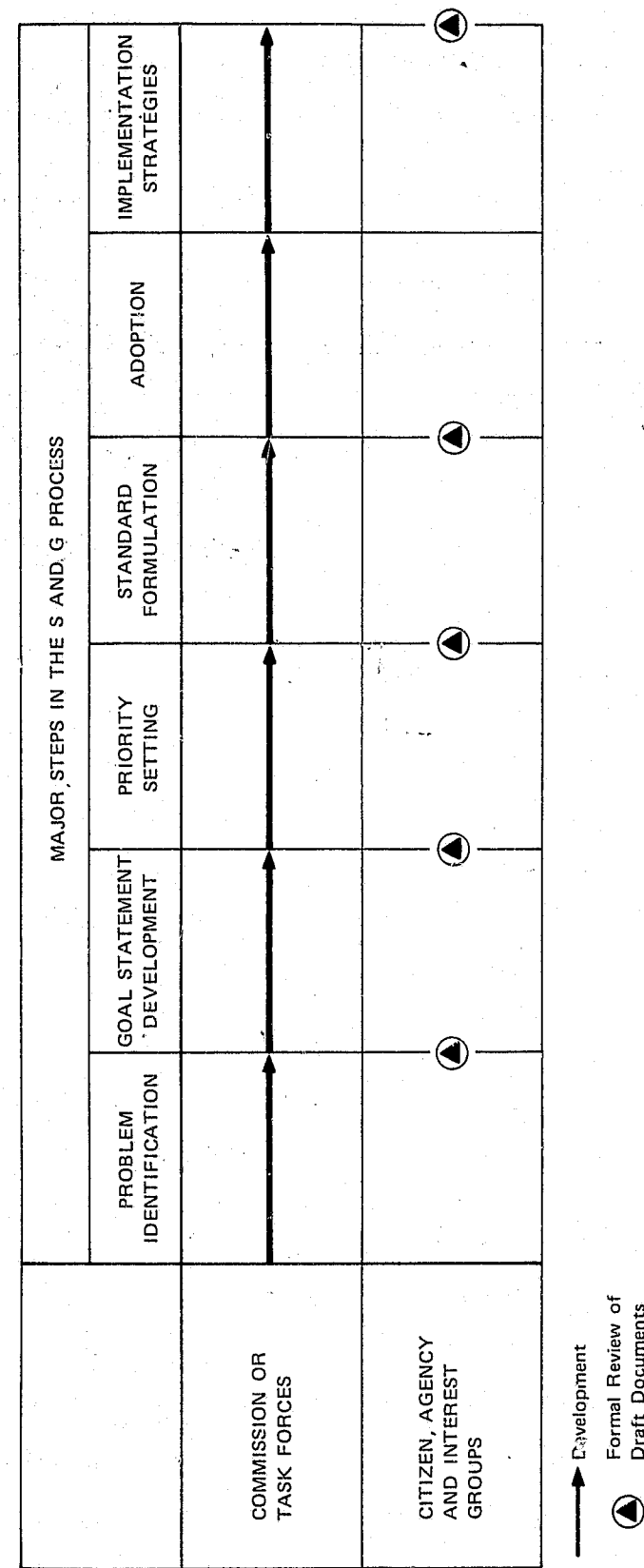


FIGURE 10 CITIZEN AND AGENCY REVIEW OF STANDARDS AND GOALS PROCESS

and special interest groups is important. The following are several methods by which the public can play an active role in the standards and goals processes:

1. Citizen Representatives on Commissions

Several lay representatives have been included on some state supervisory boards or standards and goals commissions. While these citizens cannot represent the entire public, they can provide some measure of possible public reaction to the issues discussed. Separate citizen review boards, composed of lay persons only, have been developed by some regional planning agencies as a means of obtaining citizen reactions from a cross-section of the public.

2. Public Hearings

Several of the states have sponsored public hearings in various localities in an effort to inform the residents and obtain their reactions. In some cases, the regional planning agencies have been asked to sponsor the hearings, obtain the meeting place, and provide the proper advertisement, while state and regional commission members have presented program materials and responded to questions. (See Appendix A for further details.)

3. "Sunday Supplement" Newspaper Poll

It is important that in its role as an educator, the SPA not bury the public in too much detail of a highly technical nature. One method for meeting the twin objectives of educating and obtaining feedback is for the SPAs to develop a small insert for inclusion in a Sunday issue of a statewide newspaper. Such a brochure can highlight the proposed statewide priorities, goals, and standards. The brochure could

include a tear-out response form, requesting that readers note those issues with which they agree or disagree and mail in their comments.

4. Analysis

The first option above is the least advantageous in that fewer viewpoints of the community will be represented. It is the easiest to accomplish and is the method that appears to be most prevalent among the states.

Public hearings on the criminal justice system and crime are a relatively new phenomena, and SPAs and regional planning agencies have not had much experience with them. The public is also not accustomed to being asked to comment upon this area of public service, whereas in other public services such as mass transit, freeway planning, and education, public hearings are common. Therefore, these hearings require careful planning and much advertisement if they are to meet their objectives. Substantial printing and advertisement costs can also be incurred, but they do provide the best opportunity for a two-way dialogue between commission or task force members, criminal justice officials, and the public.

A disadvantage of the Public hearing that sometimes, for one reason or another, few people attend and a lot of resources are expended with little return. Also, because they are usually a one-time occurrence for one night or afternoon in a given area of the state, the participants are often unable to cover many of the myriad subjects that a state is considering in the standards and goals process.

The advantage of the Sunday supplement approach is that the material will reach a wider number of persons than any of the other approaches. Its strongest accomplishment is that of educating the

the public, rather than public feedback, although a large number of comments may be received via the tear-out mailer.

Disadvantages of the Sunday supplement are that they are expensive to produce, and only a limited amount of material can be included in that format. Also the space allowable for comments by the reader usually does not permit much comment on any one issue.

B. Criminal Justice Agency Review

One of the reasons for forming statewide commissions or task forces is the principle of representation. Administrators from all the components of the justice system can convene to mutually consider issues of joint concern. It is always hoped that a police chief, a judge, or other professional on a task force will keep his peers and associates informed of the goals and standards being considered. Unfortunately, in practice, this type of communication generally does not occur. Consequently, other means are needed to let the prosecutors' offices, law enforcement agencies, the courts, the public defenders, and correctional agencies know what is happening in the standards and goals process and to obtain their comments.

The most direct manner of obtaining that input is for the standards and goals commission or task force to send draft copies to the various agencies for their review and comment. It is recommended that a reasonable time be allowed for their consideration, but that a written response be requested from the reviewing agency by a specific time. Each agency contacted should be asked to indicate only those goals or standards or priorities with which they seriously disagree. They should also be asked to offer suggested changes that would make the controversial issues acceptable to them.

C. Special Interest Group Review

Some social, religious, or other types of special interest groups can be influential in helping promote reformation of criminal justice. These groups should be involved in the review and input process in a manner similar to the criminal justice agencies. Representatives might be included on standards and goals commissions or they may be asked to respond to draft documents as they are produced by the commission or task forces. If these groups are not too numerous, the SPA might invite representatives in to confer with the commission, or request an opportunity to make presentations to the special interest groups' regular meetings.

When draft documents are mailed to the criminal justice agencies for their review, copies can also be sent to special interest groups. The regional planning agencies within a state can be very helpful in suggesting mailing lists for their respective areas that will include the most influential of these groups or organizations.

D. Analysis of Citizen and Agency Inputs

The standards and goals staff should gather all responses received and determine which issues are controversial or are uniformly opposed. It is predicted that the majority of the work done by a commission or task force will be acceptable as written, but that the above groups will isolate several key issues which need further modification. The staff can identify these for the commissions by listing them as shown in the sample form in Figure 11.

Cataloging the exceptions in this manner will allow the commission or task force to focus upon the major controversial issues. The commission or task forces may wish to invite representatives of those groups listed to testify or behalf of their proposed modification.

STANDARD OR GOAL NUMBER: POLICE 5.2

1. AGENCIES TAKING EXCEPTION	2. REASONS FOR EXCEPTION	3. SUGGESTED REVISIONS
A. City of Newberg	A. 10 sworn personnel is too low	A. Study the matter to determine criteria for optimum department size
B. Thomasville County	B. The term "consolidation" is too restrictive and narrow	B. Change wording to "consolidate or contract for services" or "enter into service pooling arrangements"

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FIGURE 11 SUMMARY OF COMMENTS ON SPECIFIC STANDARDS

CONTINUED
1 OF 2

SECTION VI
Adoption of
Standards and Goals

VI ADOPTION OF STANDARDS AND GOALS

After interested agencies, citizens, and special interest groups have had opportunity to review and comment on the preliminary work of the commission or task force, the modified standards, goals, and priorities should be approved or adopted. Because organizational structures are varied among the states and territories, the suggested procedures here will not apply to all, but are proposed for general guidance.

- (1) Advisory Committee's Adoption--If the standards and goals developmental work has been assigned to advisory groups or subcommittees of a larger commission, those groups should take action on a final set of standards, goals, and priorities for their assigned area of concern. This should be done in a regular, open meeting with minutes showing the actions taken.
- (2) Supervisory Board Adoption--In those states where the supervisory board is the final approving body, it should review the final work of the task force or advisory committees. After making modifications deemed necessary, it should approve or adopt the standards, goals, and priorities. The minutes should reflect the action taken.
- (3) Separate Commission Adoption--If the governor has given the final approval authority to a standards and goals commission that is separate and apart from the state supervisory board, the commission should take formal adoptive action. However, since the supervisory board will likely play a major role in implementing actions to reach the goals and standards, it should have an opportunity to endorse the standards, goals, and priorities or to work out its differences with the separate commission prior to the commission's formal action.
- (4) Distribution of Standards and Goals--The formally adopted standards and goals should be widely disseminated to criminal justice agencies, legislators, state agencies, city and county officials, regional planners, special interest groups, potential grant applicants, and all

others who have taken part in the development process or who will be instrumental in the implementation process.

Some SPAs, in their rush to comply with the deadlines of the Crime Control Act of 1973, may be tempted to neglect completely the review and comment processes discussed in the previous section, or provide only limited opportunity for comment by regional and local governments, citizens, and special interest groups. Thus they may move into the adoptive process prematurely. This may stir up much opposition and lack of confidence in the standards and goals. In addition, it may be in violation of the spirit of the act, which stresses in Title I, Section 303 (a) (3-4), that the annual comprehensive plans of the states shall take into account the needs of the units of general local government. The adoptive process, and that of implementation discussed in the next section, will run more smoothly if there exists some consensus statewide on priorities, goals, and standards.

SECTION VII Implementation of Standards and Goals

VII IMPLEMENTATION OF STANDARDS AND GOALS

The ease with which standards and goals can be implemented will vary greatly among the states. In some, the functions of criminal justice have traditionally been centralized at the state level, consequently, the governor and state agency administrators are able to make policy changes and resource allocation decisions more easily. In the majority of the states, however, the largest share of the criminal justice resources are expended by local governments. In those states that have numerous cities and counties, some of which comprise large metropolitan areas, the implementive process is much more complex and calls for more consensus and agreement among a larger number of persons and agencies.

The philosophy of the supervisory boards and the SPAs in the nation is another important variable in the implementive process. In several states, the SPA and supervisory board play a strong leadership role in reformation of criminal justice. Using written policy statements, priorities, and other criteria, they determine what types of programs or projects they will fund. Special conditions imposed on the grant awards also assure conformance with stated policy. In some of the states however, the SPA and supervisory board operate in a more decentralized mode. The cities, counties, and private agencies that apply for project funds, as well as the regional planning councils through which they apply, play a major role in determining the improvements to be made. The chief function of the SPA in these states is to make certain that the projects are in conformance both prior to and after funding with federal or state regulations and that sufficient funds exist for all projects approved by the supervisory board.

A. Vehicles for Implementation

The three basic vehicles for implementation are (1) the use of LEAA and matching funds, (2) legislation, and (3) administrative policy change and resource reallocation. Each is discussed in depth below.

1. LEAA Funds and Matching Monies

A state's standards and goals should be used by the supervisory board and the SPA staff as major criteria for funding grants. The supervisory board might consider passing a resolution stating its intention to use the new standards as some of the criteria for making decisions on grant applications. A policy could also be established whereby higher points would be awarded to grant applications, that address the higher priorities among the adopted standards.

For those SPAs that annually prepare planning guidelines, these can serve as the basis for stimulating the submission of applications that address the state's adopted standards and goals. SPA guidelines usually contain criteria, adopted by the supervisory board, to be used by the board in selecting project applications for funding. Once approved by the supervisory board, the state's standards and goals could readily be incorporated into the planning guidelines as additional criteria for making funding decisions.

Since state planning guidelines must be published early enough in the planning cycle to allow potential grant applicants to become fully acquainted with their content, the coordination of the standards development process with the publication of planning guidelines becomes very important. Ideally, a state would be far enough along in its present development process that its standards and goals could be incorporated into its FY 1976 plan guidelines. Some states have only recently begun their standards and goals development process, and will not have a set of standards

developed in time to greatly effect their 1976 plan. Accordingly, in these states standards and goals will not become a major factor in funding decisions until FY 1977.

2. Legislation

Some standards will need legislation to be effectively implemented. Examples of these are the establishment of a state public defender's office, the unification of the state's court system, and the setting of minimum training levels for law enforcement officers.

Entry into the legislative process can be facilitated by appointing state legislators to serve on the standards and goals development body. If the final set of standards has the support of these legislators they can provide tremendous leadership in sponsoring legislation to enact some of the reforms they helped develop. Legislators who serve on the standards development body can also provide valuable insights into such things as the desirability of proposing certain types of legislation, and the possible chances of getting certain legislation passed.

The process of moving bills through the legislature can also be expedited if the proposed legislation is supported by statewide criminal justice professional organizations, such as peace officers, district attorneys, and judicial and correctional associations. Here again, the chance of gaining the support of these groups can be greater if representatives from each serve on the standards and goals development body. While serving, they can influence the content of the final set of standards, and keep their respective associates informed of the progress.

3. Administrative Policy Change and Resource Reallocation

Because some standards do not need legislation to be implemented, and because LEAA funds account for only a small percentage of the total

criminal justice expenditures in a state, some standards may be implemented through policy changes and resource reallocation. For this reason, criminal justice agencies should be made aware of the state's standards and goals as they are adopted, and attempts should be made to induce these agencies to make the standards a part of their operating policies. This can be accomplished through the indirect approach of "jawboning" with agency administrators or through a more direct approach using special conditions or sanctions on grant applications.

Figure 12 shows three standards and the possible vehicles for their implementation.

B. Priorities and the Implementation Process

Once the basic approaches to implementation have been determined by a state, the actual implementation of the standards and goals should be in accordance with the priorities set among the goals and standards earlier in the development process. In awarding SPA grants, for example, those applications that address high-priority standards would be given preference over those that address a lower priority. Similarly, initial attempts to develop legislation, or to effect administrative policy change, would center on those standards and goals that had been given a high priority.

In most states, annual requests for funds exceed the amount of LEAA funds that are available. For this reason, the priorities set for the standards and goals should be well publicized among potential grant applicants. This will decrease the number of applications that have no chance of being funded because they do not address high-priority standards or goals. If utilized properly, the priorities can be a major tool in helping an SPA perform comprehensive planning and implementation, rather than merely processing grants.

Approach: Examine each standard and indicate under method of implementation, the primary methods by which each standard can be implemented.

ADOPTED STANDARDS	METHODS OF IMPLEMENTATION
<p>Police</p> <p>P1.1 Police Training Program</p> <p>a) Enactment of state legislation, by 1976, mandating a minimum of 300 hours of basic training for every sworn police officer prior to the exercise of his duties.</p> <p>b) State reimbursement of every police agency of 100 percent of the salary for each police officer who satisfactorily completes the state-mandated training.</p> <p>Adjudication</p> <p>A1.1 Provision of Defense Counsel For Indigent Defendants</p> <p>Establishment of a state public defender's office.</p> <p>Corrections</p> <p>C1.1 Institutional Rehabilitation Programs</p> <p>a) Provision by state correction institutions of opportunities for basic education up to high school equivalency, for offenders capable and desirous of such programs; and</p> <p>b) Provision by state correctional institutions of vocational training programs for adult offenders.</p>	<ul style="list-style-type: none"> • State Legislation • SPA Funds Initially • State and Local Resources Eventually • Legislation • SPA Funds for First Year • State Funds Thereafter • Administrative Policy Change • SPA and Corrections Agency Funds

FIGURE 12 SAMPLE "METHODS OF IMPLEMENTATION" MATRIX

C. Developing Strategies for Implementation

After the standards and goals have been adopted, the supervisory board should spend considerable time discussing what methods and approaches should be used to implement them. This can be done in a variety of ways, such as:

- Assigning task forces or committees to develop an implementation plan for the high priorities in their area.
- Convening a large conference to formulate viable approaches for implementing selected standards and goals.
- Having the SPA staff prepare suggested strategies for implementing the top priorities.
- Having the supervisory board commit a large segment of its time to preparing strategies for implementation.
- Asking regional and city-county justice planning councils to submit papers outlining their recommendations for implementation of selected standards.

Such strategies should detail the following:

- The constraints and obstacles that stand in the way of implementation.
- The specific activities that have to be accomplished for successful implementation.
- The agencies or persons that should take the lead, the other agencies that should be involved, and the roles and responsibilities of each.
- The resources that will be required and that are currently available.
- A schedule of events in the implementation process.

Figure 13 shows a simplified implementation strategy for each of the sample standards in Figure 12.

Following the development of implementation strategies, the state's standards and goals should be incorporated into the next comprehensive plan. Figure 14 shows a sample multiyear plan using the same three sample standards.

Approach: Detail the proposed method by which a given standard can be implemented.

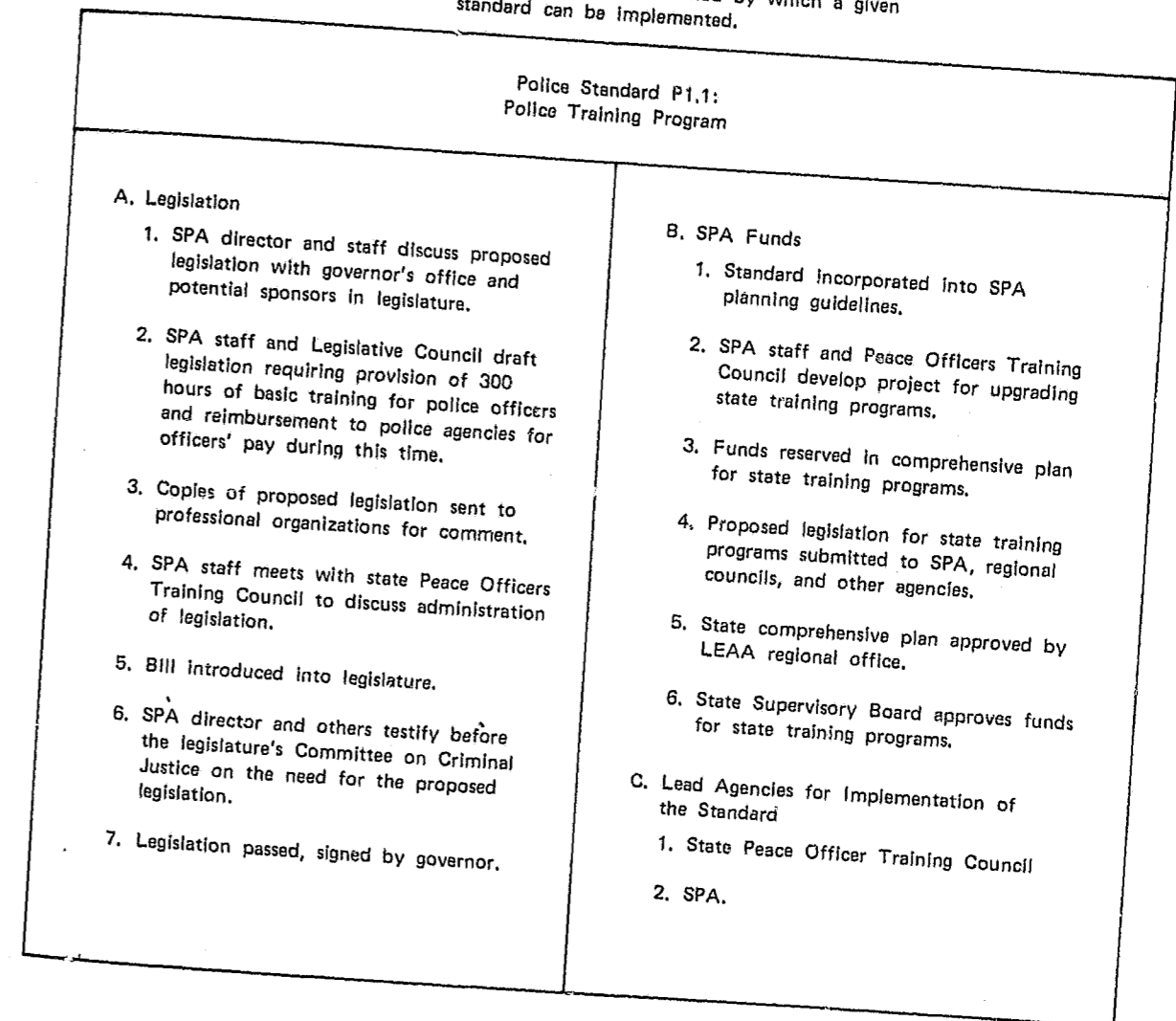


FIGURE 13 SAMPLE IMPLEMENTATION STRATEGIES

Adjudication Standard A1.1: Provision of Defense Counsel for Indigent Defendants	
<p>A. Legislation</p> <ol style="list-style-type: none"> 1. SPA staff performs survey to determine existing practices in providing defense counsel for indigents. 2. SPA director and others discuss with governor's office and potential sponsors in legislature, proposed legislation to form state Public Defender's Office. 3. Representatives from the state's judiciary, defense lawyers, and prosecutors hold meetings to discuss proposed legislation. 4. Legislation introduced into state legislature. 5. SPA director and others testify before the legislature's Committee on Criminal Justice on behalf of the bill and the method of implementation. 6. Legislation passed, signed by governor. 	<p>B. SPA Funds</p> <ol style="list-style-type: none"> 1. A law school estimates annual cost of funding Public Defender's Office, based on survey of existing practices and costs of providing defense counsel. 2. Funds reserved in state plan to partially support operations of new Public Defender's Office. 3. SPA staff and state bar association develop application for funds to operate Public Defender's Office. 4. Following passage of legislation, Supervisory Board approves funds for Public Defender's Office. <p>C. Lead Agencies</p> <ol style="list-style-type: none"> 1. State bar association. 2. Law school. 3. SPA.

FIGURE 13 SAMPLE IMPLEMENTATION STRATEGIES (Continued)

Corrections Standard C1.1: Institutional Rehabilitation Programs	
<p>A. SPA Funds</p> <ol style="list-style-type: none"> 1. Standard incorporated into SPA planning guidelines. 2. SPA staff meet with state Corrections Commission staff to develop applications for funds. 3. Funds reserved in state plan for rehabilitation projects in institutions. 4. State plan approved by LEAA regional office. 5. State corrections commission submits project applications to SPA 	<p>B. Administrative Policy Change</p> <ol style="list-style-type: none"> 1. Governor designates Corrections Commission as lead agency for implementing standards. 2. Corrections commissioner issues statement to corrections staff outlining new policy. 3. SPA staff meet with Correction Commission staff to discuss the types of programs needed and to support the project activities. 4. Corrections commissioner meets with state budget director to procure state matching funds for LEAA grants. 5. Corrections Commission initiates recruiting campaign to secure staff for new program. 6. SPA awards the grants and the rehabilitation programs begin. <p>C. Lead Agencies</p> <ol style="list-style-type: none"> 1. State Corrections Commission. 2. SPA.

FIGURE 13 SAMPLE IMPLEMENTATION STRATEGIES (Concluded)

Approach: If the state plan makes use of categories for classifying its programs and projects, the programs and projects which address specific standards can be scheduled over the years and should identify the standards to which they relate.

PROGRAM AREA	1976	1977	1978
Category A: Police			
• Training of Police Officers	Adoption of training standard of 300 hours of basic training for police recruits. (P1.1)* Support required training programs.	Provide partial support for reimbursement of police agencies. Support required training programs.	Continue partial support for reimbursement of police agencies. Support required training programs.
Federal funds	\$710,000 (Part C)	\$730,000 (Part C)	\$750,000 (Part C)
State and local funds	78,900	91,250	107,143
Category B: Adjudication			
• Legal Defense	Establish and provide partial support for state Public Defender's Office. (A1.1)*	Continue partial support of Public Defender's Office.	Continue partial support of Public Defender's Office.
• Federal funds	\$800,000 (Part C)	\$810,000 (Part C)	\$820,000 (Part C)
State and local funds	88,900	101,125	117,143
Category C: Corrections			
• Institutional Programs for Adult Offenders	Financial support for educational and vocational training programs in state correctional institutions. (C1.1)*	Continue support of rehabilitation programs.	Continue Support of rehabilitation programs.
Federal funds	\$650,000 (Part C)	\$700,000 (Part C)	\$600,000 (Part C)
	300,000 (Part E)	310,000 (Part E)	0 (Part E)
State and local funds	105,556	126,250	600,000

*Adopted state standards—Police Standard 1.1, Adjudication Standard 1.1, and Corrections Standard 1.1.

FIGURE 14 SAMPLE MULTIYEAR BUDGET AND FORECAST OF RESULTS

VIII PROGRESS ASSESSMENT AND REFINEMENT

The standards and goals process, like planning, is a continual process because of the following reasons:

- Conditions within the state continually change, sometimes requiring significant modifications of past plans and decisions.
- The goals and standards set in the past may have been inadequate to address the problems.
- New findings and research data become available that indicate new solutions for criminal justice problems.
- New people may assume leadership of key agencies with different ideas of what directions their agencies should take in addressing the problems.

For these reasons, the SPA should continually assess the impact of standards and goals upon the state. In the short term, an assessment of the process of standards and goals development used by the state should be accomplished. Over the longer term, the SPAs should evaluate and revise the goals and standards when they evaluate the projects and programs implemented to attain them. This section will deal with evaluation of the standards and goals development process.

A. Evaluating the Standards and Goals Process

The major focus of a process evaluation should be to determine what degree of commitment the SPA, state justice agencies, regional planning councils, and local public and private agencies have to the adopted standards and goals of the state. To do this, the following questions can be asked:

- (1) How many agencies or groups took any formal action of endorsement, adoption, exception, or disapproval of the priorities, standards, and goals before final adoption by the supervisory board?
- (2) How much opportunity for input or review of the final standards and goals did the following groups have?
 - Police, courts, and corrections agencies.
 - Regional or city-council planning agencies.
 - Special interest groups.
 - Interested citizens.
- (3) How did the supervisory board deal with the inputs and reviews of these groups?
- (4) What impact did the adopted standards and goals have upon the 1976 and 1977 plans? In what ways were those plans different from the 1974 and 1975 plans?
- (5) How many programs and projects, legislative bills, etc., have been prepared for implementation of the top 10 priorities of the state? What percentage of the Part C, Part E, and discretionary funds available to the state have been expended for the top 10 priority areas?
- (6) Have the adopted standards, goals, and priorities affected the non-LEAA and non-match portion of the criminal justice agency budgets? Are cities and counties as well as state agencies making any resource allocation shifts to implement some of the top 10 priorities on their own volition?

B. Records That the SPA and Others Can Keep to Facilitate Evaluation

The SPA or those agencies that are currently developing the state's standards, goals, and priorities should keep some of the following records, which will greatly facilitate any evaluation of the process:

- Records of the attendance of each commission or task force member during the course of the development process.
- Minutes of the meetings held by commissions, task forces, or subcommittees in chronological order.

- A record of agencies or groups to whom meeting notices and minutes were sent regularly.
- A record of all agencies, groups, or persons that were asked to provide comment upon any draft documents of standards, goals, and priorities.
- A record of those agencies that have responded to the requests for review and input.
- A brief chronological history of events that took place in the development process, including dates and places.

C. Research Methodologies

To determine the answers to the questions in Section A, a specific methodology will have to be developed for each. Some of the research, especially that associated with question six, is sensitive and will require careful consideration. The methodologies should be focused upon the standards and goals process, not the quality of the standards and goals themselves, since the latter should be part of the evaluation of the programs and projects implemented to achieve the goals. A research design for question two might be diagramed as in Figure 15. The evaluation data should show how much opportunity for input or review was given to the operational agencies, and their feelings regarding the adequacy of their opportunity.

D. Self-Assessment

Throughout this document, specific suggestions have been presented for guidance in developing standards and goals. A state may wish to use them as criteria for assessing the process it has used or plans to use. This assessment could pinpoint possible procedures that the state may wish to implement or change to optimize the benefits of its standards and goals process. They are summarized again below:

QUESTION: How much opportunity did representatives of the operational and planning agencies of the state and local governments have to take part in the development of the standards and goals process?

Sub-question	Source of Data
1. How many of the following agencies exist in the state? <ul style="list-style-type: none"> • Police • Courts • Corrections • Prosecution • Defense • Regional planning councils 	1. 1974 state comprehensive plan.
2. How many of the above agencies had direct representation on: <ul style="list-style-type: none"> • Supervisory board • Advisory committees • Task forces • Conferences 	2. Governor's appointing letters or documents and minutes of meetings.
3. What efforts were made to keep the agency personnel not directly represented aware of standards and goals activities?	3a. Chronological history of activities in the standards and goals program. 3b. Listings of persons to whom meeting notices, minutes, or newsletters were sent during the development process.
4. Do agency administrators feel they were adequately represented on the commissions, task forces, etc.?	4. Survey (complete or sample) of agency administrators.
5. How many agencies were asked to review and comment upon draft copies of the standards and goals?	5a. Survey of agency administrators 5b. Mailing lists for the draft document, if any, which were sent out by the state.
6. How many agencies did respond and in what manner to the request for review?	6. Review of state records or written responses to draft documents.

FIGURE 15 SAMPLE RESEARCH DESIGN FOR EVALUATING THE REVIEW PROCESS

1. Suggestions for Standards and Goals Organizational Structures

- All major components of the criminal justice system should be represented in some manner on the task forces or committees that develop or review the standards and goals.
- The task forces, committees, or commissions should also be representative of the demographic characteristics of the state, including population dispersion.
- The structures and relationships should allow regional or city and county justice planning units to have an opportunity to review and provide input into the standards and goals development processes.
- Task forces or commissions should have lay citizen representation and should schedule their activities so that those citizens are able to participate fully.
- The members of the task forces or groups charged with the primary responsibility for developing standards and goals should be able to spend sufficient time on the task that the state can receive the benefit of their expertise. During the course of their involvement in the program, each member should be able to spend a minimum of 16 hours per month in standards and goals meetings and in individual study.
- No one group should have total responsibility for developing, reviewing, and adopting the standards and goals. The structure should allow for one group to accomplish the developmental work, with different groups given a chance to review and respond to the work. In most states, the supervisory board should be the body which formally adopts the final version and submits it to the governor and the legislature for consideration.

2. Suggestions for Staff or Contractor Selection

- Staff members of contractors selected as specialists to work with groups considering police, courts, corrections, information systems, or crime prevention should have experience in those fields and be able to

command the respect of the practitioners with whom they will work closely in the developmental process.

- Staff members should also be knowledgeable in agenda preparation, data assembly, research for specific information, and communication. They should have several years of experience in high level staff work, because many of the persons with whom they will work on the various task forces and commissions will be extremely busy and will rely heavily upon the staff. The staff should be familiar with the justice system and the political structures in the state.
- The time constraints for meeting the deadlines of the Crime Control Act of 1973 and the LEAA policy statement probably make it prohibitive to hire people unfamiliar with criminal justice planning and the justice system for leading staff roles. There may not be enough time for them to learn on the job. Experienced people will be more expensive and may be aggressively sought by other states; however, their ability to quickly provide quality work justifies these difficulties.

3. Suggestions Regarding Financial Requirements

The following general principles are proposed:

- Every effort should be made to collocate staff with SPA staff--if sufficient space and facilities are available--to minimize additional expenditures for reproduction, facility rental, office furniture, and supplies. A side benefit of the arrangement is the enhanced opportunity for coordinating efforts within the SPA.
- Since this type of effort requires maximum communication among the various groups, a state should make certain that adequate amounts are budgeted for reproduction, telephone, travel, meeting, and postage costs. Amounts for these items are usually understated in a budget preparation, or the assumption is made that these costs can easily be absorbed by the SPA. When the standards and goals program covers such a diverse range of subjects and so many groups are involved, these communications needs much more attention than it often receives.

4. Suggestions for Scheduling Developmental Activities

- Each SPA should develop short- and long-range objectives and a description of the standards and goals status it would like to reach by 1976 (short range) and beyond. This is necessary because it determines what kind of actions must be taken to meet those objectives on time, and when and how close together major activities must be accomplished. This approach to scheduling is one of working backwards from the target date to the present to determine to what depth and how quickly each activity must be performed.
- In planning the above objectives, the requirements, policies, and guidelines of LEAA need to be considered.
- Where the process requires intensive committee or task force meetings, these should be scheduled so that they do not overburden the participants, especially if SPA task forces or supervisory boards with other duties are being utilized.
- If possible, the standards and goals should be approved before plan development instructions are sent out by the SPA to potential applicants, so that the standards, goals, and priorities may serve as a guide to applicants for LEAA funds.

5. Suggestions Regarding Problem Identification

- Where possible, problem statements should be supported by measurable data or expert opinion that indicates the seriousness of the problem.
- Problem statements should reduce the problem to its simplest terms without stating what the solution should be.
- Whenever possible, problem statements should be supported by data that indicate the factors contributing to the problem. This points out which conditions must be ameliorated if the problem is to be resolved. This step is not easy and is often not done because of its complexity and the lack of current knowledge of what causes certain problems. However, if it is not done, many dollars and expectations may be wasted on programs that treat symptoms rather than causes.

- The number of problems should be held down to a manageable size, because to be effective in resolving the important ones, the state will need to focus intensive efforts and resources upon them. There are limits in any given state to the number of improvement activities that can be vigorously implemented at one time, especially in a three- to five-year period.

6. Suggestions for Formulating Goals

- The goal statements should show a direct correlation to the identified problems.
- The goals should be complete enough that they are self-explanatory.
- As in the problem identification, the number of goals developed should be kept at a manageable level and should address the high-priority areas.

7. Suggestions for Formulating Standards

- The goals and standards should be so closely related that if the standards are met, the goals will be achieved.
- Each state should decide if the standards are to be considered minimum standards or standards of excellence.
- If model standards of the NAC or ABA or others are used as the major input into the standards formulation process, they should be modified to fit the conditions in the state.
- In developing the standards, a state should not lose sight of the problems and contributing factors it must address.

8. Suggestions for Setting Priorities

- The make-up of a given task force or commission will have an impact upon the final outcome in priority setting. Therefore, states should guard against undue influence being exerted in the deliberation process due to over-representation of one component.

- Task force or commission members should agree beforehand upon the methodology to be used to set priorities.
- The list of priorities should not be too long nor too short.

9. Suggestions for Obtaining Citizen and Agency Input

- Key groups and agencies should have representatives on the commissions and task forces that are developing the standards.
- The SPA should facilitate citizen and agency input.
- Agencies, citizen groups, and special interest groups should be given ample time to respond to the work of the commissions and task forces.
- The developmental bodies should make clear to those who review their work what processes will be used to analyze the input received, and when final approvals by the state supervisory boards and others will occur.

10. Suggestions for Adopting Standards and Goals

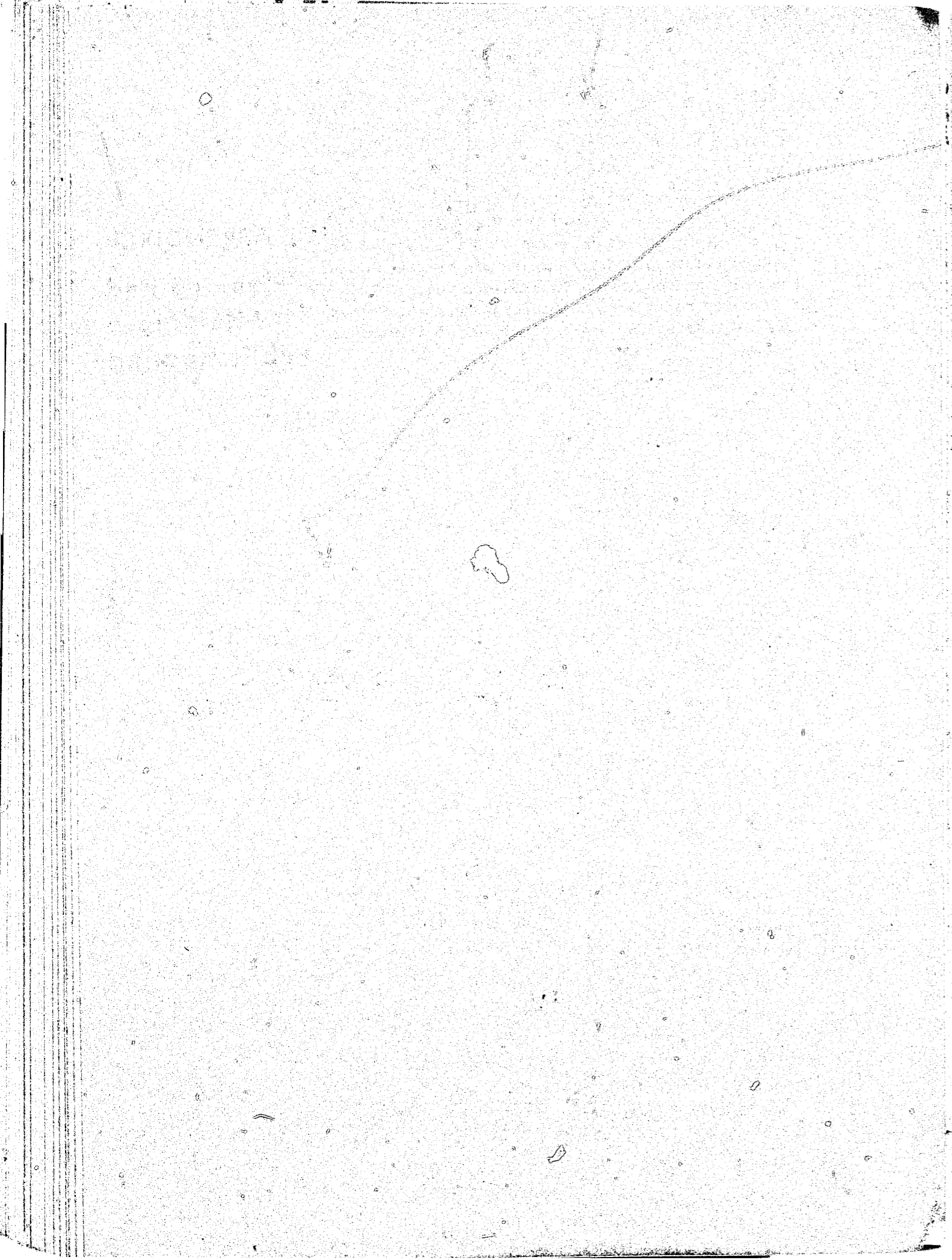
- If the standards and goals developmental work has been assigned to advisory groups or subcommittees of a larger commission, those groups should take action on a final set of standards, goals, and priorities for their assigned area of concern. This should be done in a regular meeting, with minutes showing the actions taken.
- In those states where the supervisory board is the final approving body, it should review the final work of the task forces or advisory committees. After making modifications deemed necessary, it should approve or adopt the standards, goals, and priorities. The minutes should reflect the actions taken.
- If the governor has given the final approval authority to a standards and goals commission that is separate and apart from the state supervisory board, the commission should take formal adoptive action. However, since the supervisory board will likely play a major role in implementing actions to reach the goals and

standards, it should have an opportunity to endorse the standards, goals, and priorities, or to work out its differences with the separate commission prior to the commission's formal action.

- The formally adopted standards and goals should be widely disseminated to criminal justice agencies, legislators, state agencies, city and county officials, regional planners, special interest groups, potential grant applicants, and all others who have taken part in the development process or who will be instrumental in the implementation process.

APPENDIX A

Planning and Holding a Public Hearing



Appendix A

PLANNING AND HOLDING A PUBLIC HEARING

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PLANNING AND HOLDING A PUBLIC HEARING

Holding public hearings is one way a state can educate the public and members of the local criminal justice community about the standards and goals process. In addition, citizen response to various issues can be elicited through a public hearing, although their contributions will necessarily be limited due to the short duration of hearings. Public hearings, therefore, should not be the only means of obtaining citizen input to the standards and goals process.

This discussion on how to plan and hold a public hearing follows two basic assumptions:

- (1) Public hearings will be held after the state's standards and goals have already been developed, given priority, and tentatively approved. Therefore, the public hearing provides a forum where concerned citizens and public and private agencies can become aware of what has been taking place and can comment upon it.
- (2) The SPA has been publicizing the standards and goals development process since its inception. Thus, although the hearing will be held fairly late in the process, the public will have been aware of the development throughout the effort.

A. Planning for the Hearing

Each regional planning unit (RPU) will act as host for the public hearing held in its region. As host, the RPU is responsible for such matters as locating a meeting place, providing support personnel, publicizing the event, and inviting local people to serve on the panel. In states that do not have RPUs, the SPA will be responsible for hosting the

public hearings. The importance of careful planning and organization cannot be overemphasized, as the success of a public hearing is largely dependent upon a smoothly run operation.

The SPA will reimburse the RPU for expenses incurred in planning and conducting the hearing. They will also make available persons knowledgeable about the state's work on standards and goals to serve on the panel. Preferably, hearings should be held on different days throughout the state so that persons especially capable in explaining the adopted standards and goals can serve on more than one panel.

B. Publicity

After dates for holding the public hearings have been determined, plans for publicizing the event should begin. The goal is to attract the public, elected officials, representatives of all areas of criminal justice, and special interest and community groups.

There are numerous suitable means for publicizing the hearings. Those chosen by the RPU or SPA will be largely dependent upon the demographic makeup of the state, and the available channels for publicity. These may include:

- (1) Radio and TV Spots--Many stations have provisions for free public service announcements. These are usually subject to strict rules regarding their length and the time by which the announcement must be received. A general rule for timing radio spots is as follows:

<u>Time Allotted</u>	<u>Number of Words</u>
10 seconds	25
20 seconds	50
60 seconds	150

(For a television announcement, allow for a slightly slower pace.) It will also help to prepare the spot in written form as in Figure A-1. In addition to

Ms. Sally Standard (name of contact person)
 610 Western, Dayton (address)
 () 781-4537 (telephone)

FOR USE MAY 4-14, 1975

Time: 20 seconds

"Have a voice in your government. On Wednesday evening, May 14, an open meeting will be held to discuss needed improvements in the state's criminal justice system, including police, courts, and correctional institutions. If you care, be there—Fletcher Auditorium, Beaver Street at 8th Avenue in downtown Dayton, 6:00 p.m."

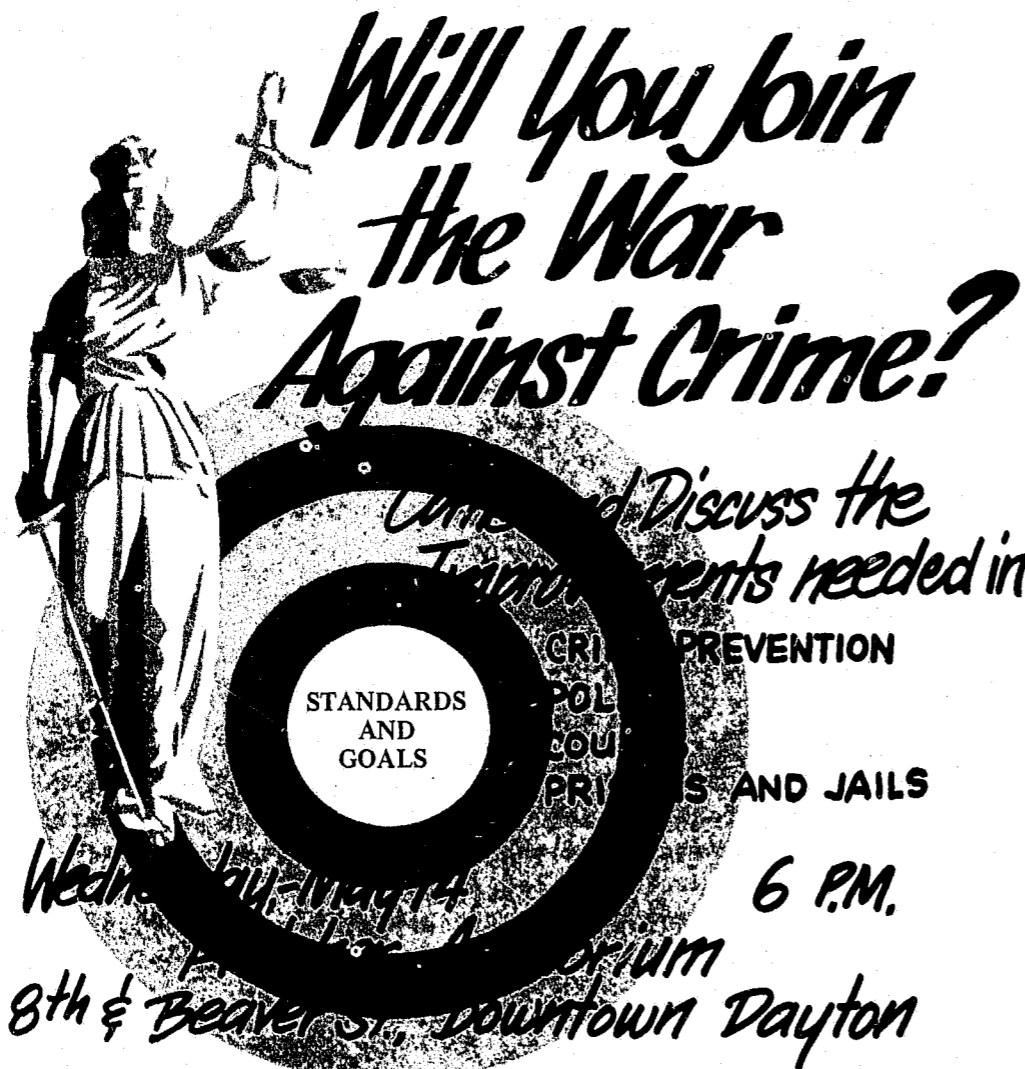
FIGURE A-1 SAMPLE RADIO SPOT

publicity obtained via public service announcement, the following publicity opportunities may be available on local stations:

- News items on regularly scheduled newscasts
 - Interview of a knowledgeable person
 - Editorial prepared by station management
 - Community bulletin board
 - Guest appearance on a talk show.
- (2) Newspaper Coverage--Newspapers can be an effective means of communication in four ways: (1) news stories (drawn from SPA press releases), (2) feature stories (generally longer and more detailed), (3) calendars of current events, and (4) editorial statements. Consideration should also be given to putting an announcement in the local "shopper" or "trading post" paper. These are widely read.
- (3) Posters and Flyers--Posters in neighborhood store windows can stimulate interest in the meeting. The poster should attract attention, the message should be short and clear, and there should be very little small print (see Figure A-2). Local shop owners will very likely make room for such a public service poster, knowing that it will come out of the window immediately after the meeting. Smaller,

★ ★ ★ PUBLIC HEARING ★ ★ ★

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*Will You Join
the War
Against Crime?*

*Come and Discuss the
Requirements needed in
CRIMINAL PREVENTION*

STANDARDS
AND
GOALS

POLICE
COURTS
PRISONS AND JAILS

Wednesday, May 14, 6 P.M.

8th & Beaver St., Downtown Dayton

FIGURE A-2 SAMPLE POSTER OR FLYER

less expensive handbills or flyers are a good way to reach the public. Youth groups (such as Boy Scouts and Girl Scouts) can be recruited to hand out these flyers as a civic duty to people in shopping centers, in the financial district, at commuter points, and at major employment centers.

- (4) Reinforcing Messages--Selective use of the telephone can help remind agency people to come to the meeting. Another telephone method is to designate a local number, which is listed in advertisements and carried in public announcements, that provides a short, tape-recorded message explaining the program and stating the time and place of the meeting. Written invitations should be sent to special interest groups and criminal justice professionals, requesting an RSVP.

A timetable is essential to a well-run publicity operation. At the beginning of the planning operation, list deadlines for submitting items for printing and publication so that matters will be taken care of in an orderly fashion.

C. Prior Arrangements

In making arrangements for the hearing it is necessary to:

- (1) Locate a Meeting Place--Because it is often difficult to estimate the number of persons who will attend, select a place with enough flexibility to accommodate up to 400 persons. Also check fire and other city or county regulations.
- (2) Assign Support Personnel and Engage a Panel--The roles and responsibilities of these individuals will be discussed in the next section.
- (3) Prepare an Information Packet--A packet should be sent to the press and to other prospective attendees, and should be given to each person attending the hearing. It should contain:
 - A welcoming letter signed by the governor or the chairman of the supervisory board, which tells what

the standards and goals process is, what events led to the meeting, what the purpose of the meeting is, and what will be done with the input received at the meeting.

- Rules and procedures for the meeting.
- Synopsis of the state's proposed standards and goals shown in suggested priority order.
- Name, address, and telephone number of a standards and goals staff person to whom the public could direct questions and comments.
- A questionnaire, which should be filled in by members of the audience and deposited in a box before leaving.

D. Hearing Room Preparation

Figure A-3 shows a typical meeting room layout. A checklist of items needed for the meeting hall is as follows:

- Tables for the panel.
- Chair for each panel member.
- Gavel for chairperson.
- Timer for chairperson.
- Filled water pitchers.
- Water glass for each panel member.
- Two table top microphones for panel members.
- Lined pad (8-1/2 x 11 inch) for each panel member.
- Two pencils or pens for each panel member.
- One (or two if needed) microphone(s) on stand(s) for use by audience members wishing to speak.
- Amplifier and loudspeakers for microphones.
- Extension cords for electric power to amplifier and tape recorder.
- Tape recorder with blank tape and take-up reel.
- Sufficient quantity of recording tape for expected length of session.

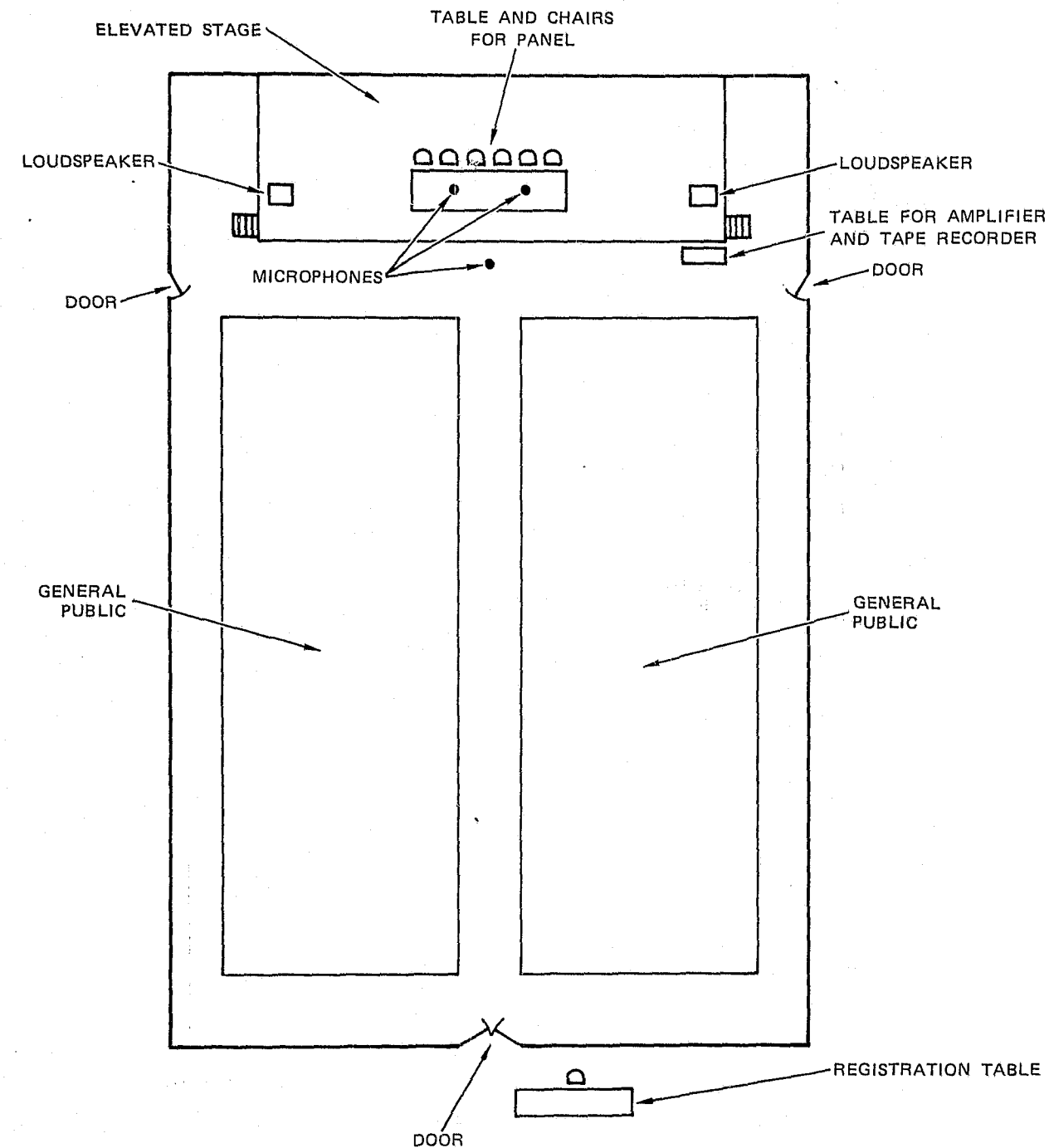


FIGURE A-3 TYPICAL ROOM LAYOUT FOR STANDARDS AND GOALS HEARING

- Table for amplifier and tape recorder.
- Registration table with chair.
- Pencils for registration table.
- Sufficient number of registration cards (see Figure A-4).
- Box (suitably marked) for audience members to deposit their completed questionnaires and registration cards.
- Sufficient information packets for each audience member to have one (see Section C above).
- Poster announcing the meeting located at entrance of building.
- Where needed, signs directing persons arriving to the meeting room.
- Poster marking the meeting room.
- Signs showing directions to restrooms and water fountain.

REGISTRATION CARD	
NAME _____	
CITY OF RESIDENCE _____	
OCCUPATION _____	
In what manner did you learn about the hearings?	
<input type="checkbox"/> Newspaper	<input type="checkbox"/> Television
<input type="checkbox"/> Radio	<input type="checkbox"/> Flyer
<input type="checkbox"/> Word of Mouth	<input type="checkbox"/> Other

FIGURE A-4 SAMPLE REGISTRATION CARD

E. Participants and Their Roles

- (1) Chairperson--The chairperson will open the session and remain until the end. He or she will coordinate all activities during the session. Where hearings are hosted by the RPUs, the chairperson will typically be either the chairperson of the local criminal justice council or the executive director of the RPU. Where hearings are conducted by the SPA, the executive director of the SPA, the chairperson of the state supervisory board, or the chairperson of the standards and goals commission could assume the role.
- (2) Panel Members--The panel should include both state and regional persons with expertise in various aspects of the standards and goals process. For example, the panel could have one expert on police, one on courts, one on corrections and one on juvenile justice, all of whom were actively involved in standards and goals development. They should be articulate, should know the criminal justice system, and should know what took place in the standards and goals work sessions for their area of concern.
- (3) Registration Clerk--There should be someone at the registration table at all times to welcome and register the public, to answer questions, to pass out a packet to each person, and to point out the location of the questionnaire and registration card box.
- (4) Sergeant-at-Arms--An assistant located in the meeting room responsible for collecting "request to speak" cards from the audience, and carrying them forward to the chairman. He or she will also help people find seats, if necessary, and will help the chairperson maintain order in the meeting hall. (One sergeant-at-arms suggested for each one hundred persons.)
- (5) Audio Technician--A technician is important in order to have a properly functioning sound system. The audio technician will also operate the tape recorder and change the tape reels as required.
- (6) Police Officers or Security Guards--These persons could help maintain order in the event of a serious problem or emergency.

(7) Stenographer--After the public meeting is over, the panel members will meet to list the major points made by the public. The stenographer will record the meeting and will type and forward the remarks to the panel chairperson.

F. Procedures for Running the Hearing

The chairperson should introduce the panel to the audience, and then give a brief history of standards and goals including an introduction of the area on which each panel member will be speaking, e.g., the corrections system. It will be the chairperson's job to point out the contents of the packet that has been distributed, and periodically to welcome late arrivers with an explanation as to what is taking place.

Each subject will be allotted one hour's time. The speaker presentation will take 15 minutes. Persons from the audience wishing to speak or to address questions to the panel should pass their request to speak cards to the sergeant-at-arms. (An example of a request to speak card is in Figure A-5.) Questions, answers, and comments will take 45 minutes for each subject. To allow maximum participation, the chairperson will use a timer, limiting each speaker to three to five minutes.

From time to time throughout the hearing, the chairperson should remind members of the audience to fill out the questionnaire in their packet and deposit them in the box at the registration table before they leave.

Following the meeting, the panel members will meet to go over the points made by the public. The stenographer's record of the caucus will be forwarded to the chairperson, with copies to the other panel members and the standards and goals staff.

I WISH TO SPEAK OR ASK A QUESTION

NAME _____
(Please Print)

CITY OF RESIDENCE _____

TOPIC OR QUESTION: _____

NOTE: Each speaker or questioner will be limited to 3-5 minutes in order that everyone who desires to may speak.

FIGURE A-5 SAMPLE "REQUEST TO SPEAK" CARD

G. Using Public Feedback on Standards and Goals

Feedback will be obtained in the following ways:

- (1) Public comment at the hearing summarized by the panel meeting.
- (2) Tape recordings made during the meeting.
- (3) Comments on questionnaires turned in at the hearing.
- (4) Comments called in or written in to the standards and goals staff office.

To ensure that the hearing is more than a mere exercise, every effort should be made to analyze the public responses and to incorporate them into the content and direction of the standards and goals. Where appropriate, the staff should consider acknowledging significant contributions on an individual basis. This could be accomplished via a telephone call or note. Public hearings on crime and the criminal justice system are a new experience for both the SPAs and the public, and both will learn valuable lessons from the process if the hearings are well planned and operated.

APPENDIX B
Planning and
Conducting a
Standards and Goals
Conference

Appendix B

PLANNING AND CONDUCTING A
STANDARDS AND GOALS CONFERENCE

Appendix B

PLANNING AND CONDUCTING A
STANDARDS AND GOALS CONFERENCE

A. Introduction

A number of states have turned to the conference approach as a means of convening large numbers of persons to develop standards and goals. The basic rationale for this is the assumption that such an approach will allow input from more agency personnel and citizens and will help develop a final product that represents a consensus of opinion of the majority of attendees. Sometimes standards and goals conferences have not successfully achieved these ends. In such cases, failure may often be attributed to causes that could have been easily avoided. This appendix examines the conditions that contribute to the success or failure of standards and goals conferences, and offers guidelines to SPAs that may be contemplating holding them in the near future.

There are several specific purposes for which the use of the conference technique is suited. These include but are not limited to such activities as problem solving, training, review of work performed by others, coordination of joint efforts, and approval of proposed action.

Obviously, the conference technique has both advantages and disadvantages. It is well to identify these so that full advantage can be taken of the advantages and the disadvantages can be avoided or minimized. Among the several advantages of conferences, the following are evident:

- The conference brings together persons with a wide range of knowledge and expertise.

- The conference permits discussion of issues, including the expression of disparate viewpoints, in a controlled environment.
- The conference fosters coordination of efforts and sharing of information.
- The conference can give participants a sense of personal satisfaction arising from involvement in the process.
- The conference can make the final product more acceptable to a wider spectrum of persons and agencies if some consensus is reached among the participants.

There are several major disadvantages of the conference technique that must be considered in determining whether or not a conference is an appropriate tool to be used in a given situation. These include the following:

- Conferences are costly in terms of manpower costs, per diem, and printing expenses.
- Conferences may be so unwieldy as to be relatively unproductive.
- Conferences run the risk of being dull if not properly planned and managed.

The following characteristics have been observed in instances where conferences have failed to meet their objectives.

- There was poor understanding of the purpose of the conference on the part of the conference management and the participants, causing both to wonder what was expected of them at the conference.
- There was inadequate planning of conference logistics and agenda.
- Conference management was unable to cope effectively with unexpected problems, which inevitably arise, with the result that the conference did not run smoothly to its conclusion.
- The leadership of the general sessions or working groups was weak, so that schedules were not maintained and the purposes, even if well conceived, were not achieved.

- The constituency of the conference was lacking in knowledge, expertise, enthusiasm, or commitment to conference goals and purposes.

It is assumed here that any decision to hold a conference is based upon consideration that it is the best technique available to achieve a given purpose. The problem now is to make the best possible use of the resources that are available to the conference planner and manager.

B. Recommendations for Planning and Managing a Standards and Goals Conference

Conference management divides naturally into three major elements: (1) pre-conference preparation, (2) conference operations, and (3) post-conference activities. Each has special problems which must be resolved satisfactorily if a conference is to be deemed a success.

In this appendix it is hypothesized that the state supervisory board wishes to obtain review and comment by a wide cross-section of criminal justice professionals and others of a preliminary set of standards and goals. To do this, a conference will be held in or near the state capital. The proposed conference will involve about two hundred persons, both professional and lay, who have some interest in the administration of justice. The SPA director and staff have been assigned the task of planning for and managing the conference. The following suggestions are designed to assist them in the performance of that mission.

- (1) Establish a Standards and Goals Conference Planning Committee and Designate a Conference Manager--It is recommended that the supervisory board or the SPA establish a standards and goals conference planning committee that would be responsible for convening a conference to review the preliminary set of standards and goals. The SPA director should assign a staff member to lead the planning of the conference and manage it. The conference manager should, first of all, establish a close working relationship with the duly appointed conference committee. The

conference committee might be a small group of five persons, including the chairperson of the supervisory board, several task force chairpersons, and regional planners.

- (2) Precisely Identify the Major Objectives of the Proposed Conference--The conference director and staff should precisely identify the objective and purpose of the conference in writing for discussion by the conference planning committee. The importance of this step cannot be overstated since conferences conducted with ambiguous ends will often prove to be unproductive and even counterproductive. In the past, conferences held as parts of standards and goals development programs have had a number of specific purposes. In general these have included:

- Identification of criminal justice problems in the state.
- Definition of a standards and goals strategy.
- Development of specific standards and goals.
- Setting of priorities among goals.
- Review of recommended standards and goals as prepared by commissions or task forces.
- Adoption of recommended standards and goals.
- Development of implementation strategies for standards and goals.

As stated earlier, in this example the purpose of the conference is to review recommended standards and goals.

When conferees are presented with unclear objectives or too many objectives, the tendency is to waste time in pointless discussion and contentious arguments. The standards and goals conference manager and planning committee must, therefore, be certain about what the final products of the conference are to be. They must be able to convey this understanding to the staff and to the conferees themselves. In this way, the time and efforts of everyone involved will be expressly directed toward the attainment of specific objectives.

- (3) Select the Dates and Times for the Conference--The choice of dates and times is a difficult one at best. A conference of this sort should involve two or three days. Such a conference can be held either in mid-week or on a weekend. Each alternative has advantages and disadvantages which the conference planners must weigh. Our hypothetical conference will be held over a weekend because it is surmised that more professionals can attend on a weekend because they have fewer job conflicts at that time. The same would hold true for lay citizens.

Every effort should be made to avoid weekeneds that include major holidays, other professional conferences or conventions, major sporting events, or other circumstances likely to reduce attendance.

For a weekend conference, Friday evening is the most suitable time for opening and registration. This allows the actual work of the review to begin immediately upon convening Saturday morning. This is important in view of the very limited time available for work.

The conference should close at 3 p.m. on Sunday afternoon. This should enable most conferees to return home late that day. The schedule presented in the section on agenda suggests the most fruitful use of time throughout the conference.

- (4) Choose a Conference Site--The choice made in this example is a motel near the state capital. This site is selected because it gives the staff access to government supplies, and typing and printing facilities. Meeting facilities are generally comfortable and parking is adequate. Additionally, a site close to a major airport makes travel more convenient.

Once a tentative choice is made of a conference site, it is necessary to negotiate with the management of the site selected. First, the establishment should be visited to make certain that it is capable of providing the amenities necessary to properly support the conference. Second, it must be available on the dates chosen for the conference. If the first choice is not available on the dates desired, the conference planners can choose another site that is available or change the conference dates to ones on which the desired site is available.

The desired site should have sufficient and adequate housing accommodations. Food service should be of high quality and readily available. There should be a large meeting room with sufficient seating capacity to accommodate plenary sessions. Also, at least ten meeting rooms suitable for accommodating twenty people each for task force working sessions should be obtained. Space should also be available for the registration desk, and the control and message center.

Confirmation of agreements between conference planners and establishment management should be in writing, with appropriate specification of all accommodations and services to be provided by the host establishment and all obligations incurred by the conference sponsors.

- (5) Prepare Invitations for Conferees--The invitation list of potential conferees and alternates can be prepared by staff, after receiving general direction from the planning committee. However, a letter of invitation should be signed by the governor or the chairman of the supervisory board. The letter should stress the importance of standards and goals to the potential success of the state criminal justice system. It should indicate that real and not token participation is expected, and that the invitee, in accepting, is making a definite commitment of his or her time and talent. The letter should also specify a deadline for response. A sample of such letter is provided in Figure B-1.

Each invitation to participate in the conference should be accompanied by an acknowledgement printed as suggested in Figure B-2 together with a stamped return envelope addressed to the person extending the invitation but directed to the attention of the conference manager.

If an invitee cannot attend, a letter of invitation should be sent to an alternate. If no response is received by the deadline, the invitee should be contacted by phone. As the conference date approaches, the staff should reconfirm their list of attendees.

- (6) Prepare the Conference Agenda--A basic agenda will ordinarily identify three distinct phases of a standards and goals review conference. In such an agenda, there will be an opening plenary session, a number of task force or workshop meetings, and a closing or wrap-up plenary

Governor's Letterhead

Dear

You are invited to participate in a weekend conference to consider and review some proposed standards and goals for the improvement of the criminal justice system of our state. The conference will be held at the Thunderbird Motel here in the state capital, commencing with registration and a buffet dinner Friday evening, April 25, 1975, at 6:30, and closing Sunday afternoon, April 27, at 3 p.m.

The State Planning Agency and the Governor's Council on Criminal Justice have been given the assignment of developing statewide standards and goals to address the problems of the criminal justice system. The council and their task forces have been meeting regularly during the past year to recommend standards and goals for the state. This conference has been convened to give broad exposure of their recommendations to criminal justice professionals and the public for their review and comment. You are invited to participate in this conference because of your interest in the system and the expertise you can bring to this effort. I would be delighted to have you serve.

This invitation is conditional upon your ability to invest yourself fully in the conference. We need your knowledge, interest, and enthusiasm. The subject matter is important and working time is short. In accepting this invitation I ask that you be prepared to devote yourself unsparingly for the entire weekend. Please respond on the enclosed reply card by April 1, 1975. If conditions do not permit such a commitment at this time, won't you please suggest an alternate on the card provided.

I hope you will be able to participate with us in April.

Sincerely,

Governor

FIGURE B-1 SAMPLE LETTER OF INVITATION

Governor _____

Dear Governor _____:

() I am prepared to devote the weekend of April 25-27, 1975, to a consideration and review of proposed standards and goals for the improvement of the criminal justice system in our state.

() Regretfully, conditions are such that I must decline your invitation to serve in the forthcoming standards and goals review conference. May I suggest as my alternate

Name: _____
 Address: _____
 Phone: _____
 Position or field of interest: _____

Comments:

Signature _____
 Position _____

FIGURE B-2 SAMPLE REPLY FORM

session. The agenda will, at minimum, indicate the dates and times involved, the subject matter to be addressed in each meeting, and room assignments for each activity.

Additionally, the agenda should identify the leadership of each meeting, thereby placing responsibility for accomplishing announced objectives upon specific persons. Every effort should be made to make the agenda as specific as possible to avoid confusion.

A copy of the proposed agenda is illustrated in Figure B-3. A description of the events planned for the agenda are as follows:

- Registration of conferees begins at 5 p.m. on Friday evening and continues through the dinner hour. It resumes again at 8 a.m. on Saturday morning and continues until 9:30 a.m., at which time it is discontinued.
- There is a dinner meeting for assembled conferees on Friday evening commencing at 7 p.m. and ending at 9.30 p.m.
- The speaker at the dinner on Friday evening should be an authority from any state on the criminal justice system. His topic could be the importance of standards and goals and the need for the commitment to them.
- The plenary session on Saturday morning is a short one. It is devoted solely to an explanation of the mechanics of the conference and to resolving any procedural or logistical questions raised by conferees.
- The agenda identifies three workshop periods of three hours duration each.
- Luncheon on Saturday should be conducted as expeditiously as possible. There is no need for a speaker at this meal.
- Dinner on Saturday evening should be hosted by the governor. The principal speaker, either the governor or another eminent person, could address himself to major problems in the state's criminal justice system and his priorities for reform.

STANDARDS AND GOALS REVIEW CONFERENCE
 April 25-27, 1975
 Thunderbird Motel
 Capital City, XZ

Friday afternoon	5 pm - 9 pm	Registration Registration Desk, Lobby Thunderbird Motel
Friday evening	7 pm - 9 pm	Buffet Dinner Grand Ballroom, Thunderbird Motel James Xavier, Chmn., C.I.C.P., Presiding John Isaacs, Dir., LEAA, Reg. XIV "Why Standards and Goals?"
Saturday morning	9 am - 9:30 am	Plenary Session Grand Ballroom, Thunderbird Motel James Xavier, Chmn., CJPC, Presiding
Saturday morning	9:30 am - 12:30 pm	Workshops See page 2 for location and leaders
Saturday noon	12:30 - 1:30 pm	Luncheon Grand Ballroom, Thunderbird Motel No formal program - announcements only
Saturday afternoon	1:30 pm - 4:30 pm	Workshops
Saturday afternoon	4:30 pm - 6:30 pm	Free
Saturday evening	6:30 pm - 7:30 pm	Nohost Reception Main Foyer, Grand Ballroom, Thunderbird Motel
Saturday evening	7:30 pm - 9:30 pm	Dinner Grand Ballroom Thunderbird Motel Governor John L. Lewis, Presiding Pres. Richard K. Owens, State University "Wither Our Criminal Justice System?"
Sunday morning	8:30 am - 10 am	Breakfast Grand Ballroom, Thunderbird Motel James Xavier, Chmn., CJPC, Presiding Progress Report
Sunday morning	10 am - 1 pm	Workshops
Sunday afternoon	1 pm - 3 pm	Luncheon and Final Plenary Session Grand Ballroom, Thunderbird Motel James Xavier, Chmn., CJPC, Presiding Conference Report Summary

FIGURE B-3 SAMPLE AGENDA

- A Sunday morning breakfast session commencing at 8:30 a.m. should serve as a plenary session. No speaker is necessary and the conference chairperson may make any necessary announcements at that time.
- The Sunday luncheon should be at 12:00 p.m. with a wrap-up session beginning at 1 p.m. and concluding at 3 p.m. The chairperson of the supervisory board should summarize the results of the conference briefly and assure all participants that they will receive a full report of the proceedings as soon as they are published. The governor or his personal representative should thank all participants for their endeavors.

(7) Formulate the Working Groups--In this example, standards and goals will be considered in five major areas: police, courts, corrections, juvenile justice, and crime prevention. Because there are a relatively large number of suggested standards and goals submitted by the staff for consideration (about five goals per each major area with an average of eight standards for each goal, or a total of 200) it is decided to have two working groups for each area. This will provide for ten groups of from 15 to 20 persons each. This arrangement will provide for a good cross-section of professional opinion combined with adequate lay input. Each group will be responsible for reviewing from 30 to 45 proposed standards and goals in the nine workshop hours available.

All conferees should be assigned to a specific group, and should stay with their group throughout the conference. Each element of the criminal justice system should be represented in each group and no group should be constituted solely of professionals in a particular field. For instance, the police working groups should have a majority of law enforcement representatives, but also at least one judge, a prosecutor or defender, a corrections worker, and some lay citizens.

Conferees will be advised of their respective workshops at the time of registration. Conference packets will contain all of the suggested standards and goals they are to consider together with the necessary supporting materials. They should be sent out one week before the conference so that they can be read prior to the meeting. Additional packets should be available at the registration desks for those who fail to bring theirs.

- (8) Designate Meeting Leaders and Resource Persons--The success of the workshops will depend largely upon the interest, enthusiasm, and conference leadership skills of the persons who are designated to lead them. It is vital to the success of the conference that such workshop leaders be the best available. A written summary of conference objectives should be given to each leader so that they will keep their group on schedule to accomplish what is expected.

In addition to naming workshop leaders, the conference planner should name resource persons to each group. The resource person will generally be a member of the SPA or regional staffs. The assignments should, of course, match their expertise to the subjects discussed in the workshops. In general, the resource persons should provide information to the working groups when requested and inform the conference manager of the progress being made in their workshop.

Finally, the major points made in each of the working groups should be recorded. Recorders may be staff secretaries, interested college students, or temporary employees. Specific assignments should be made clearly outlining a method for recording.

- (9) Arrange and Confirm Housing and Food--Arranging housing and feeding for conferees is usually beyond the expertise of standards and goals conference planners. Fortunately, most large establishments have staff who are skilled in preparing for large meetings, and can offer helpful suggestions.

For this example, the motel should reserve a major banquet hall for dinner meetings on Friday and Saturday evenings, for luncheon facilities on Saturday, for breakfast facilities on Sunday morning, and for ten workshop meeting rooms. The motel should also reserve a room for a registration and control center. Finally, arrangements for blackboards, easels, public address system, coffee service, and other details should be made.

The motel management will book an appropriate number of rooms for the conferees and the SPA and regional staff. The motel will also provide room registration cards, which should be included in the letter of invitation to the conferees. These reservation requests are returned directly by the conferee to the motel, which will relieve

the conference manager of much of the housing detail he might be tempted to assume. The motel management will also provide a suite or enough rooms for the conference manager. This will enable him or members of his staff to remain on-site during the entire conference period, and will provide a room for discussion of progress and problems by the group leaders.

To provide adequate food service, the motel needs to know the number of persons for whom service is expected. In this case, a buffet supper should be available on Friday evening for about 175 persons. The luncheon on Saturday should provide for some 225 persons. A formal dinner is planned on Saturday evening for approximately 300 conferees, wives, and guests. The breakfast on Sunday morning should attract about 150 conferees, while the closing luncheon should accommodate about 200 conferees and staff.

- (10) Arrange Transportation--The question of transportation for conferees need not be troublesome. The rule is to keep it as simple as possible. Conferees should make their own travel arrangements except in unusual circumstances. In this example, the conference site is located on a major interstate route and near a metropolitan airport. Schedules and plans of conferees often change, and if the SPA makes all travel and billing arrangements, they increase the risk of misunderstandings, conflicts, and unhappy conferees.
- (11) Arrange Reimbursement of Expenses--Reimbursement for allowable expenses incurred by conferees should be processed in accordance with the established practices of the jurisdiction sponsoring the conference. Each conferee should be provided with the forms required for requesting reimbursement together with information explaining the filing procedures. Reference to the reimbursement procedures should be made at the opening and closing plenary sessions, and any questions concerning the process should be resolved before the conference closes. It is recommended that reimbursement be done in the normal fashion after the conference rather than at the conference. However, conferees should be reimbursed as soon as possible to lessen their financial burden.

(12) Prepare Registration Packages--As the conference dates draw near, conference packets should be prepared for each conferee. Because the conference is targeted to review approximately 150 to 200 standards and goals, it is evident that each of the 10 workshops will be concerned with about 15 to 20 major proposals. Each conferee will need a packet containing the proposed standards and goals with which he will be concerned together with all of the study and support documents related to those proposals. These packets must be prepared and properly identified by the staff so that they can be mailed out at least a week before the conference. Extras should be available at the registration table. Each packet should contain writing materials so that conferees can commit all ideas to paper for discussion and later recollection. The packet might also contain the following:

- A listing of goals for each category of police, courts, corrections, juvenile justice, and crime prevention.
- The above goals listed in priority order within each category.
- A match-up of the goal statements, and the problems and contributing factors they address. For example:

GOAL:	PROBLEM:
Greatly reduce the high turnover rate of law enforcement personnel in the state.	Personnel turnover in the state is 20% annually. Departments under 50 sworn officers experience an average of 30% turnover.
	CONTRIBUTING FACTORS:
	<ul style="list-style-type: none"> (a) Salaries are 20% lower than in adjoining states. (b) Salaries and benefits in larger departments are greater. (c) Most of the departments, especially those with less than 50 sworn officers have no retirement system of any consequence. (d) Other career choices in the state, especially in the large metropolitan areas, are more attractive than law enforcement because of salaries and benefits.

- A match-up of goals and proposed standards. For example:

GOAL:	PROPOSED STANDARDS:
Greatly reduce the high turnover rate of law enforcement personnel in the state.	<ul style="list-style-type: none"> (a) Annual turnover rate of law enforcement personnel should be no higher than 10% per year. (b) Starting salary for recruits should be no less than \$9,600 per annum. (c) All law enforcement employees should have an opportunity to participate in a retirement system. (d) Each county should provide health plans for employees that are comparable to those provided in business and industry.

(13) Conduct Pre-Conference Opening Checkouts--Prior to the opening of the conference, the conference manager should institute a series of checks to insure that planning decisions have been implemented or will be implemented at the proper time. It is important that all personnel who will be involved in the logistics of the conference or acting in leadership roles are fully aware of their duties and responsibilities. See Figure B-4 for a checklist to follow up on conference plans.

As the conference manager proceeds with the checkout, it may be necessary to modify or change plans. Fortunately, major changes are seldom required but small details that are annoying but not difficult to handle usually arise.

(14) Establish the Control Center--On Friday morning of the conference opening, the conference manager should establish the control center on the conference site. The size and complexity of the center will vary with the size of the conference. In the case of this typical standards and goals conference, the control center is relatively small and uncomplicated. There should be space for the conference manager, one or more secretaries, and registration materials. Communications should be adequate. The location of the control center should be known to all conference workers, and they should be

1. () STANDARDS AND GOALS CONFERENCE PLANNING COMMITTEE OF STATE CRIMINAL JUSTICE PLANNING AGENCY ESTABLISHED.
2. () OBJECTIVES OF PROPOSED CONFERENCE IDENTIFIED.
3. () DATES AND TIMES FOR CONFERENCE SELECTED.
() Selected dates free of major conflicts.
4. () CONFERENCE SITE SELECTED AND CONFIRMED.
() Site available on selected dates.
() Selected site possesses suitable accommodations for conference and conferees.
5. () POTENTIAL CONFEREES INVITED AND PARTICIPATION CONFIRMED.
() List presented to governors office for mailing.
() Alternates invited as required.
() Commitments for full service obtained from each invitee.
6. () CONFERENCE AGENDA PREPARED.
() Schedule developed and approved.
() Principal speakers invited and confirmed.
7. () WORKING GROUPS CONSTITUTED.
() Group constituency approved.
() Workshop packages prepared and mailed out.
8. () WORKSHOP MEETING LEADERS APPOINTED.
() Workshop leaders, resource persons and recorders assigned and appraised of duties and responsibilities.
9. () HOUSING, FOOD, AND TRANSPORTATION ARRANGEMENTS ESTABLISHED AND CONFIRMED.
() Blocks of rooms reserved.
() Catering arrangements made and confirmed.
() Transportation arrangements, if any, completed.
10. () REGISTRATION PACKAGES PREPARED.
() Name cards and registration roster prepared.
() Packages properly identified by name of conferees.
11. () PRE-CONFERENCE OPENING CHECKOUTS MADE.
() Final discussions with motel undertaken.
() Registration procedures properly organized.
() All assigned personnel made aware of duties and responsibilities.
() All speakers, leaders and other dignitaries reminded and reconfirmed.
12. () CONTROL CENTER ESTABLISHED ON CONFERENCE OPENING DATE.
13. () MESSAGE CENTER ESTABLISHED ON OPENING AFTERNOON.
14. () REGISTRATION SERVICE BEGUN OPERATING AT 5 p.m., OPENING AFTERNOON.

FIGURE B-4 SAMPLE CHECKLIST FOR CONFERENCE PREPARATION AND MANAGEMENT

15. () CONFERENCE OPERATIONS CONTINUOUSLY MONITORED.
() Contacts maintained with all group leaders and monitors.
16. () CONFERENCE KEPT MOVING ON SCHEDULE.
() Regular meetings held with workshop leaders and staff resource persons after each workshop session for progress reports.
17. () ALL PROBLEMS RESOLVED WITHIN CONFERENCE PLAN AS THEY OCCUR.
18. () CONFERENCE PERFORMANCE CRITIQUED.
19. () CONFERENCE REPORT PREPARED.
() Copy of conference report distributed to all conferees.
20. () FISCAL ACCOUNTING PREPARED.
() All conference bills paid.
() All conferees reimbursed for properly incurred expenses
() Appropriate fiscal accounting made to sponsoring jurisdiction.

FIGURE B-4 SAMPLE CHECKLIST FOR CONFERENCE PREPARATION AND MANAGEMENT (Concluded)

instructed to bring all problems that they are unable to personally resolve to the center for resolution.

One of the advantages of a weekend conference is that there are fewer disruptions and distractions arising out of the need for conferees to keep in touch with their offices. Nevertheless, a small message center is still appropriate. The local telephone company is generally in the best position to assist in planning for such a center, and their services should be utilized. A board located at the control center can be used for displaying messages.

(15) Establish the Registration Service--Early Friday afternoon, registration materials should be set up at the control center. All of the name cards, packets, and other materials should be assembled at the registration desk. The registration and operational procedures should be reviewed with the staff, and any questions should be resolved.

(16) Monitor Conference Operations--The conference manager should, to the extent possible, personally monitor all important segments of the conference proceedings. This should not be confused with supervising, which should be done by previously assigned staff. Monitoring should only enable the manager to satisfy himself that the conference is proceeding as planned. The resource persons assigned to workshops can be helpful in reporting on the progress being made in their groups, and in pointing out possible problems that may be developing.

The typical standards and goals review conference will have a great deal of work to accomplish in a limited time. It is therefore imperative that the conference proceed as expeditiously as possible. This is particularly true of the working sessions. The conference manager should check with each workshop leader and with the staff resource person independently at the end of each working session. If severe schedule problems develop, the conference planning committee should be convened to consider alternative schedules or methods of increasing the productivity of the groups.

- (17) Resolve Problems Immediately--This point may sound gratuitous in a discussion of conference management, but an important part of the job is the resolution of problems as they occur. No matter how carefully a conference has been planned, there will always be some omissions, equipment and personnel failures, and personal problems, which will surface during the conference.
- (18) Critique Conference Performance--Soon after the close of the conference, there should be a careful critique of performance. Attention should be given primarily to the results of the conference. The overriding question that must be asked is "Did the conference achieve the results expected?" If the answer is no, then further questions must be asked. "How much was actually accomplished?" "Is a second conference needed?" "Why was the objective of the conference not attained and who was responsible for the failure?"

Secondary consideration should be given to the mechanics of the conference. Assessments should be made of the housing and feeding arrangements, meeting amenities, and program content. These should be recorded and kept in order to facilitate planning for future conferences.

- (19) Prepare the Conference Report--A report on the results of the conference should be drafted that would highlight the following:
- Names of conference attendees.
 - Membership of each of the 10 working groups.
 - A chart listing the standards and goals in abbreviated form and the working groups' judgment of whether to:

- (a) Adopt as written.
- (b) Adopt with substantial revision.
- (c) Adopt with minor revision.
- (d) Reject entirely.

- Proposed improvements for those that are in categories (b) and (c) above.

Copies of the report should be sent to the conferees and the supervisory board and task force members for their study.

- (20) Prepare a Fiscal Accounting of the Conference--Very little need be said about fiscal accounting because the subject is generally well covered in the ordinary course of agency operations. All requests for reimbursement of properly incurred expenses from conferees should be acknowledged and paid as quickly as possible after all forms and receipts have been filed. Finally, all expenditures for the conference should be properly accounted for, and a fiscal report produced in accordance with existing accounting procedures. Such a report will aid the SPA in determining both total and component costs for future conferences.

APPENDIX C
Performing a
Comparative
Analysis of Model
Standards



Appendix C

PERFORMING A COMPARATIVE ANALYSIS OF MODEL STANDARDS

Appendix C

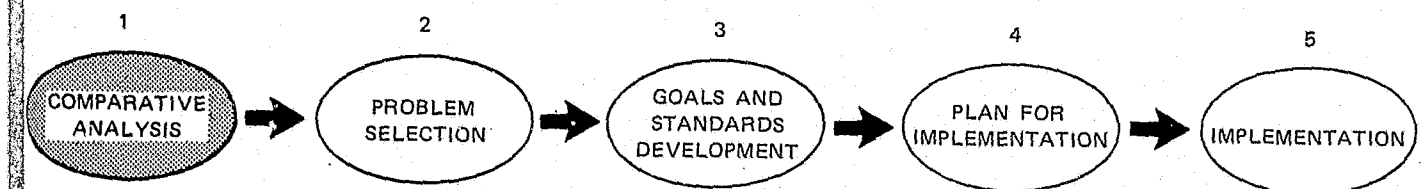
PERFORMING A COMPARATIVE ANALYSIS OF MODEL STANDARDS

A. Introduction

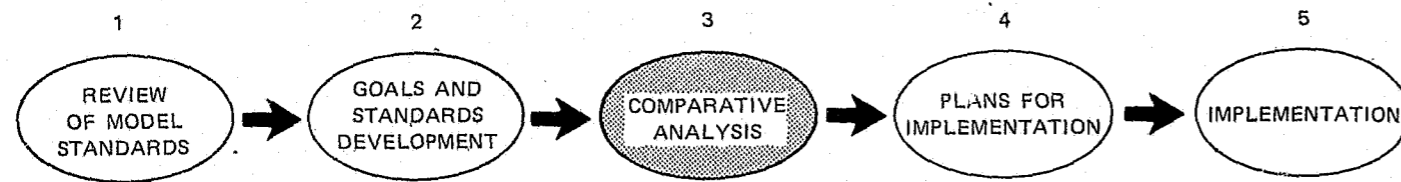
The model standards developed by the NAC and those developed by the American Bar Association (ABA), are invaluable in helping states develop standards and goals. Both represent a concensus of expert opinion from reputable persons across the nation, and thus provide an excellent starting point. At some point in the standards and goals process, a state can turn to these model standards for ideas and suggested remedies for criminal justice problems.

The purpose of this appendix is to provide a method by which a state can compare these model standards, or those of its own making with state and local conditions to determine how well it is meeting the standard. This process has been termed a comparative analysis by many planners involved in the standards and goals process.

A number of states have performed a comparative analysis early in the process as a method of determining what the problems are, and of obtaining quantifiable data on how serious they are. For these states, the analysis occurs in the sequence of events as shown below:



A significant number of states have taken a different approach that places the comparative analysis step much later in the process, as illustrated below:



In this approach, the review of model standards is usually done by state task force and local criminal justice experts who screen out certain standards as unacceptable and modify others to adapt them to state conditions.

In the first approach, the comparative analysis focuses upon determining what problems exist in the state relative to given standards. The analysis helps to set priorities by providing quantifiable data. In the second approach, the state and local experts have determined that they know generally what the problems are and will select standards that address those problems. But before they can implement standards, they need to know the extent of the problem so that they can determine how much and what kind of remedy is needed.

B. Problems Encountered in a Comparative Analysis

Besides the obvious and constant problems of inadequate, missing, or unobtainable data, the following special problems occur in comparative analysis:

- (1) The number of separate standards may be overwhelming if a state attempts to perform an analysis on each one. The NAC developed some 422 standards and 97 recommendations, while the ABA standards totaled 476.

- (2) Each of the standards is multi-faceted. In the standard considered in the next few pages, Police Standard 13.2 (NAC), there are at least 10 elements that could be compared with conditions in the state.
- (3) In states with large population centers and many levels in the criminal justice system, a complete comparison would have to consider each level and agency against the standard.
- (4) Current time constraints make it difficult to engage in thorough research on too many of the model standards. Including standards and goals in the 1976 comprehensive plan will be difficult for some states. Consequently they may choose to research only a few standards at this time and reserve a more detailed and thorough job for a later time.

C. A Methodology for Comparative Analysis

For purposes of this discussion, the following assumptions have been made:

- Task forces or commissions have identified the major criminal justice problems in the state.
- They have established priorities among the problems.
- They have reviewed the model standards of the NAC for the state's high priority problem areas and have sorted them according to these judgments:
 - (a) Standards that do not apply or with which we totally disagree.
 - (b) Standards that apply to our state and with which we agree as they are written.
 - (c) Standards that we agree with in principle, but that need modification to more closely apply to our state's conditions.
 - (d) Standards that need further study before a determination of applicability to our state can be made.
- The standards that fall in category (b) will be the ones that the state wishes to compare with existing conditions.
- Qualified persons are available to perform the required research and analysis.

- The American Bar Association, in conjunction with the state bar, has performed a comparative analysis of state statutes and case law with respect to the ABA standards.

The basic questions that must be answered in a comparative analysis are:

- What do the general statutes of our state say about this matter?
- What case law decisions exist that apply?
- Which agencies are now meeting this standard and to what degree?

Answers to the first two questions may have already been found by the ABA and the state bar association for certain standards.

Using Police Standard 13.2: College Recruiting (see Figure C-1) as an example, the following steps are suggested for performing a comparative analysis:

(1) Select the Major Elements of the Model Standard for Which the Research Will Be Designed--There are four major elements within Police Standard 13.2. They are as follows:

- Police agencies not having a sufficient number of qualified applicants with appropriate college backgrounds should implement a specialized recruitment program.
- Police agencies should establish permanent liaison with placement officers and faculty members of colleges or universities that provide curriculum on police work and that are located within a 50-mile radius.
- Police agencies should implement a police student worker program for students between 17 and 25 who show a sincere interest in law enforcement careers. Such programs should meet the criteria contained in sections 2a through 2e of the standard.
- Police agencies should compete actively with other governmental and private sector employers in recruiting efforts at nearby colleges and universities.

Standard 13.2 College Recruiting

- A. Every police agency that does not have a sufficient number of qualified applicants having appropriate college backgrounds to fill police officer vacancies as they occur should immediately implement a specialized recruitment program to satisfy this need.
- B. The police agency should establish permanent liaison with:
- Placement officers and career counselors in colleges and universities within a 50-mile radius of the police agency.
 - Faculty members and heads of departments that provide a curriculum specifically designed to prepare students for the police service.
- C. The police agency should implement a police student worker program that provides part-time employment for college students between the ages of 17 and 25 who have shown a sincere interest in a law enforcement career. Police student workers:
- Should be full-time students carrying a study load of at least 12 units per semester and should work for the police agency no more than 20 hours per week; during school vacations, full-time employment may be appropriate.
 - Should meet the same physical, mental, and character standards required of police officers; appropriate and reasonable exceptions may be made for height and weight in relation to age.
- Should be assigned duties that prepare them for their future responsibilities as regular police officers; student workers, however, should not have the authority of a regular police officer or be authorized to carry firearms.
 - Should, after earning a baccalaureate degree, continue in the cadet program until a vacancy occurs on the regular police force.
 - Should continue in the cadet program for the period of time required to earn the baccalaureate degree, if by age 25 they are 1 academic year away from earning the degree.
 - The police agency should compete actively with other governmental and private sector employers in recruitment efforts at nearby colleges and universities. The opportunity for a police officer to perform a valuable social service, and the opportunity for a progressive career, should be emphasized in college recruiting.

SOURCE:

Police, National Advisory Commission on Criminal Justice Standards and Goals, February 1973.

FIGURE C-1 MODEL STANDARD FOR COMPARATIVE ANALYSIS

(2) Determine What Data Would Be Needed to Perform the Analysis from Police and Other Agencies--Generally, the standards analysis calls for two types of information, one of which can be obtained in inventories or surveys. These data can be manipulated several ways to obtain the total ratios and percentages needed. The data required for the third element above would be of this type. The second type of information calls for definition of terms and the development of criteria where none now exist. The first element above contains two terms that need definition, namely, "sufficient" and "appropriate."

Figure C-2 shows the data needed for each of three of the four major elements. The fourth element is dropped from our analysis because it is too vague to be defined or assessed. A comparative analysis of similar elements in other standards may not be cost-effective. This does not mean that element should be dropped from the standard, but from the comparative analysis.

(3) Determine the Possible Sources of the Required Data--For each of the data requirements there may be a variety of sources or methods of obtaining the data. In some cases, the data may not exist in the form needed, while in others, multiple sources may be available. Below are examples of where data might be obtained for the first major element, Element A, shown in Figure C-2:

1. Data required: Define "sufficient number."
Possible sources:
 - Opinion survey of police agencies.
 - Reports or papers from the Peace Officers Training Council.
 - Ad-hoc committee to suggest the appropriate curriculum.
 - Reports or position papers of the National Association of State Directors of Law Enforcement Training, the Law Enforcement Association of Professional Standards, Education and Ethical Practice, and other national associations.
 - Literature review of articles, books, magazines, etc.

POLICE STANDARD 13.2: COLLEGE RECRUITING

BASIC ELEMENTS OF STANDARD	DATA REQUIRED FOR ANALYSIS
A. Police agencies not having sufficient number of qualified applicants with appropriate college backgrounds should implement a specialized recruitment program.	<ol style="list-style-type: none"> 1. Define "sufficient number." 2. Define course work which is "appropriate" college background. 3. Determine which police agencies do not have a "sufficient number of qualified applicants with an appropriate college background." 4. Determine which departments actively recruit at nearby colleges or universities. 5. Determine the number of students successfully recruited during the past three years.
B. Police agencies should establish a permanent liaison with appropriate colleges or universities within a 50-mile radius.	<ol style="list-style-type: none"> 6. Determine the number of colleges or universities offering appropriate police-oriented curriculum. 7. Determine which agencies have a permanent liaison with appropriate colleges or universities located within 50 miles.
C. Police agencies should implement a police-student worker program (college cadet) for students between 17 and 25 who show a sincere interest in law enforcement careers. College Cadets should: <ul style="list-style-type: none"> • Carry at least 12 units/semester. • Work for agency 20 hours or less per week. • Meet the same physical, mental, and character standards required of police officers. • Be assigned duties which prepare them for future responsibilities. 	<ol style="list-style-type: none"> 8. Listing of agencies using college cadet program. 9. Description of each program relative to: <ul style="list-style-type: none"> • Age limits. • Number participating during last three years. 10. Determine following characteristics of existing cadet programs: <ul style="list-style-type: none"> • Average school and work loads of cadets. • Physical, mental, and character standards. • Duties performed by cadets or for which they are eligible. • Number of cadets completing their baccalaureate degrees. • Number of cadets actively working in law enforcement after graduation.

FIGURE C-2 DATA REQUIREMENTS FOR COMPARATIVE ANALYSIS

2. Data required: Define course work that is "appropriate" college background for police services.

Possible sources: Same as above.

3. Data required: Determine which police agencies do not have a "sufficient number of qualified applicants with an appropriate college background."

Source: Survey of individual departments.

4. Data required: Determine which departments actively recruit at nearby colleges or universities.

Possible sources:

- Survey of individual departments.
- Survey of college placement officers of nearby institutions and any others that have a prestigious reputation for instruction in public safety.

- (4) Determine the Method of Obtaining Data and the Scope of Inquiry--Two constraints in comparative analysis are the amount of time and resources available. In instances where time and resources are critical, surveys will have to be performed by sampling rather than by a total canvass. Some general guidelines to determine the proper sample sizes are:

- If the variance in the data likely to be obtained will be great, then the sample size should be larger than if a wide dispersion is not anticipated.
- The survey instruments and the analysis of the results should be pretested by using a small sample of departments.
- The more confidence desired in the data, the larger and the more representative the sample should be.

Several textbooks have been written on the problems of sampling. These books, as well as statisticians, may be helpful in designing the research instruments and analyzing the data.

- (5) Obtain the Data, Document the Source, and Perform the Analysis--Where the research for a comparative analysis is concerned with obtaining selective data, a variety of data collection methods and multiple sources may be needed for each standard. In developing the existing

systems portion of their comprehensive plans, SPAs have used extensive survey questionnaires to find out about structure, resources, and experience of the various segments of the criminal justice system. The research needed for a comparative analysis is more selective. Each question contained in a survey form or interview should relate to one or more standards. It is important that each question be labeled with the standard, and the element within the standard, to which it relates. For instance, a question on a survey form dealing with Police Standard 13.2 might appear as follows:

PS-13.2:C-8 Does your agency operate a police student worker program or college cadet program, wherein college students work part time for your agency while taking 12 units or more per semester?

PS-13.2, of course, identifies the police standard being compared, while "C" identifies basic element C in Figure C-2 and "8" refers to question 8 in the same figure.

Some data may already be available in printed form, obviating the need to obtain it from direct departmental surveys or interviews. Regardless of where the data is obtained, the researcher should note the source for those who are reviewing the results or who may research the same subject at a later date. After the data has been gathered and tabulated, it needs to be organized to show at a glance the degree to which each standard is being met. Figure C-3 provides a simplified format for such information. The model standard is displayed on the left hand side in verbatim form, but separated into its four main elements. On the right hand side, a scale shows to what degree the state meets the standard. In addition, an analysis is provided, which capsulizes the research findings and identifies the source of the data.

BASIC ELEMENTS OF STANDARD	PERCENT MEETING STANDARD	ANALYSIS
<p>BASIC ELEMENTS OF STANDARD</p> <p>A. Every police agency that does not have a sufficient number of qualified applicants having appropriate college backgrounds to fill police officer vacancies as they occur should immediately implement a specialized recruitment program to satisfy this need.</p>	38%	<ol style="list-style-type: none"> 1. "Sufficient" number of qualified applicants was defined by the Police Officer Training Council task force as a minimum of 10 applicants for each position. 2. "Appropriate college background" was defined by the POTC task force and is contained in their report. 3. A survey of all agencies showed that 80 do not have a sufficient number of applicants with appropriate college backgrounds. 4. Thirty-eight percent of the 80 have a specialized recruitment program. 5. Seventy percent of the departments lacking sufficient qualified applicants have 50 sworn officers or fewer. 6. The four largest departments in the state indicated that they have had sufficient numbers of qualified applicants. <p>SOURCES: Survey of departments, Peace Officer Training Council.</p>
<p>B. The police agency should establish permanent liaison with:</p> <ul style="list-style-type: none"> • Placement officers and career counselors in colleges and universities within a 50-mile radius of the police agency. • Faculty members and heads of departments that provide a curriculum specifically designed to prepare students for the police service. 	20%	<ol style="list-style-type: none"> 7. Of the 80 agencies having insufficient numbers of qualified applicants, 16 have established a permanent relationship with one or more of the following colleges and universities: State University, City Community College, Metropolitan College. These institutions have police service curriculums. 8. The permanent liaison generally consists of direct contact of placement officers by police recruiters when openings are announced. Also, each semester a member of the department lectures in several courses on the challenges of police service. <p>SOURCES: Survey of departments, interviews with college placement personnel and department heads.</p>
<p>C. The police agency should implement a police student worker program that provides part-time employment for college students between the ages of 17 and 25 who have shown a sincere interest in a law enforcement career. Police student workers:</p> <ul style="list-style-type: none"> • Should be full-time students carrying a study load of at least 12 units per semester and should work for the police agency no more than 20 hours per week; during school vacations, full-time employment may be appropriate. • Should meet the same physical, mental, and character standards required of police officers; appropriate and reasonable exceptions may be made for height and weight in relation to age. • Should be assigned duties that prepare them for their future responsibilities as regular police officers; student workers, however, should not have the authority of a regular police officer or be authorized to carry firearms. • Should, after earning a baccalaureate degree, continue in the cadet program until a vacancy occurs on the regular police force. • Should continue in the cadet program for the period of time required to earn the baccalaureate degree, if by age 25 they are 1 academic year away from earning the degree. 	10%	<ol style="list-style-type: none"> 9. Of the 80 agencies not having a sufficient number of qualified applicants, 72 (or 90%) do not participate in a police student worker program. 10. The eight agencies having a police student worker or cadet program are modeled after the Centerville police department program and substantially meet the characteristics defined in the standard. 11. Two of the eight agencies complained that after interns or cadets have been trained in their program and have completed their baccalaureate degree, they take jobs with bigger departments offering higher full-time pay. <p>SOURCE: Survey of departments.</p>
<ul style="list-style-type: none"> • The police agency should compete actively with other governmental and private sector employers in recruitment efforts at nearby colleges and universities. The opportunity for a police officer to perform a valuable social service, and the opportunity for a progressive career, should be emphasized in college recruiting. 		<ol style="list-style-type: none"> 12. No comparative analysis was performed on this element as it was considered to be too broad and general. If more definition were provided, it could be considered for analysis in the future.

APPENDIX D

Guidlines for Applying for Discretionary Funds

FIGURE C-3 EXAMPLE OF ANALYSIS OF STATE STATUS WITH RESPECT TO POLICE STANDARD 13.2

Appendix D

GUIDELINES FOR APPLYING FOR DISCRETIONARY FUNDS*

* LEAA's discretionary fund guidelines for standards and goals projects are presented in this appendix. They are taken from Chapter 6 of Guideline Manual M4500.1c.

Appendix D

CHAPTER 6. PROGRAMS DESIGNED TO DEVELOP AND ADOPT CRIMINAL JUSTICE
STANDARDS AND GOALS

50. PURPOSE. The purpose of the program is to increase the capability of states and communities to establish systemwide standards and goals applicable to their jurisdictions and to reduce crime by increasing the participation of criminal justice practitioners and citizens in criminal justice planning. The Standards and Goals Program encourages states to analyze and assess existing criminal justice practices and procedures in order to develop realistic standards to meet their own needs. In the broadly representative process of developing standards and goals for crime reduction, states may consider the work of the National Advisory Commission on Criminal Justice Standards and Goals, the ABA standards, or other comprehensive standards for criminal justice. The program will impact on all aspects of the criminal justice process as well as on the total system.

51. RANGE OF GRANTS. It is anticipated that grants will range from \$50,000 to \$500,000 in annual support.

52. PROGRAM SCOPE AND SPECIFICATIONS. Primary emphasis will be placed on applications which support a statewide process for development, adoption and integration of standards and goals into the state comprehensive plan. Applicants must demonstrate a commitment to review the Standards of the National Advisory Commission and the American Bar Association or the standards developed by other appropriate groups. Programs eligible for funding under this category are listed in priority order. Programs

which can be classified under categories (a), (b), and (c) will be considered before programs within categories (d) and (e).

a. Strategy and Process Development

- (1) Projects that assess existing conditions and practices relative to standards and goals. (Comparative analysis.)
- (2) Projects that design a long-range strategy for development of standards and goals.

b. Development and Adoption of Standards and Goals

- (1) Support staff, travel, meetings and materials costs necessary for the actual development of standards and goals before a designated committee, commission, or other appointed group.
- (2) Production of media presentations and/or informational documents and publications which seek citizen and criminal justice input into the formulation of standards and goals.
- (3) Public hearings or other public meetings aimed at obtaining citizen and criminal justice system input into the standard-setting process.
- (4) Statewide conferences or meetings for developing consensus on or ratification of the standards and goals or for beginning the work of standards and goals development or for the introduction of standards and goals to the criminal justice system and community.
- (5) Cost-benefit analyses of alternative standards and goals.
- (6) Prioritization of standard and goals.

c. Assessment and Evaluation

- (1) Projects that evaluate the development of standards and goals in terms of: feasibility of adopted standards and goals; involvement of citizens and criminal justice personnel in the process; apparent commitment of elected and appointed officials and administrators to the adopted standards and goals; and citizen awareness of the standards and goals.
- (2) Cost-benefit analysis of implementing the standards.

d. Institutionalization of the Standards and Goals Process

- (1) Projects that seek to determine subject areas in which new standards and goals are needed.
- (2) Projects that undertake to modify or update adopted standards and goals on the basis of new findings.
- (3) Projects to conduct surveys to determine how many criminal justice agencies are presently meeting particular standards and to develop a plan to assist them in implementing those standards.
- (4) Projects for the development of training programs for criminal justice personnel on standards and goals. The training should attempt to create a familiarity with all existing standards such as those developed by the National Advisory Commission and the American Bar Association and with the methods and programs to implement these standards.

e. Implementation of the Standards and Goals

- (1) Projects to develop model programs, guidelines and legislation (where appropriate) for the implementation of standards.

- (2) Demonstration projects that put into practice a group of standards or all of the standards in a particular category.

f. Evaluation of Implemented Standards and Goals

- (1) Projects to evaluate the effectiveness of implemented standards.

53. ADDITIONAL CONSIDERATIONS. Preference will be given to those applications which take into consideration the following:

a. Adequate Representation in Developing Standards and Goals

- (1) The necessity for the broadest representation on any body or bodies selected to develop statewide standards and goals, including:

- (a) Law enforcement agencies.
- (b) State and local courts.
- (c) Prosecutorial and criminal defense agencies.
- (d) Adult corrections agencies.
- (e) Juvenile justice agencies.
- (f) Related social service agencies.
- (g) Elected officials.
- (h) Citizens and citizen groups or neighborhood groups.
- (i) Executive branch of government.
- (j) Legislative branch of government.

- (2) The above organizations must also be representative of the State's geographical population distribution in:

- (a) Areas containing large urban centers.
- (b) Suburban and rural areas.
- (c) Areas of significant concentrations of particular ethnic groups.

States must submit a detailed description of the types of individuals who will be involved and the mechanisms designed to allow for input and review of proposed standards by criminal justice agencies, regional planning units or criminal justice coordinating councils, public interest groups, community or civic groups, general neighborhood groups, youth oriented groups, the legislative and executive branches of government as well as the citizens at large.

b. Adequate Public Exposure of Proposed Standards and Goals

- (1) Publicity regarding the potential impact of the formal adoption of statewide standards and goals, such that the general public, elected officials, and criminal justice administrators are made aware of them and have an opportunity to comment upon them. For example, any meeting at which standards and goals are to be presented for adoption be open to the public, and sufficient prior notice of the purpose, time, and place of the meeting be given.
- (2) Planning to inform the public and interested parties of the standards and goals process and meetings (i.e., announcements, press releases, mass mailings, public service or media presentations) including an indication of how, when, and at what stage in the process information will be disseminated as well as how input from the public and other interested groups and criminal justice agencies will be reviewed or incorporated.

c. Adequate Process Planning

- (1) Preference will be given to states which have demonstrated that they have developed a two-year State strategy for developing

and adopting statewide standards and goals, including schedules, proposed budgets, and major activities. The people who are to be involved in the development process should be identified, as well as the manner in which they will participate. The applicant should also list all projects related to State standards and goals and how they interrelate as part of the standards and goals plan.

(2) Adoption of Standards and Goals

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

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

(b) System Balancing

- 1 The State must also specify what steps will be taken to ensure that those standards affecting more than one component of the system are reviewed by representatives from other affected components, so that the impact expected in one part of the system because of modifications made in another component are known and have been accommodated in comprehensive planning.
- 2 Preference will be given to states which demonstrate how a state's standards and goals will be integrated into their comprehensive planning process.

END