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*Final Report*

NI-70-061 G

TP-116

CALIFORNIA  
CRIMINAL JUSTICE  
COST PROJECT  
PHASE I

2 August 1971

NCJ-00565

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## SUMMARY

This report describes work performed under Phase I of the California Criminal Justice Cost Project. The goal of this program is to develop a model system that will furnish responsible decision makers data on the true costs of operating the criminal justice system in the State of California and its political subdivisions. Toward this project goal, the Phase I effort has accomplished four major objectives.

First, the information needs of legislators and other administrators and planners dealing with the criminal justice system have been evaluated. Staff members from the State Legislature and individuals representing various administrative levels of local government were consulted in developing formal statements of these requirements. The types of issues facing the decision makers have been classified into five areas. The cost data to support decisions in each of the five areas has led to the development of four general types of cost reporting forms. The scope and level of detailed included in the presentations covered by each form type can be varied for individuals at different levels of government.

Second, a list of criminal justice processes has been developed. These processes represent a division of the criminal justice system into individual components for which separate costs will be of use in evaluating operations. The processes have been organized into a hierarchy providing groupings within eight major functional areas. The eight major areas have been used in place of the traditional three (law enforcement, judicial, and corrections) to clearly distinguish between major procedural differences in the administration of justice. The process list was developed with the assistance of many people experienced in

the operation of the parts of the criminal justice system. The entire list was reviewed by the project advisory group with suggested modifications included in developing the final statement.

Third, a survey of governmental accounting the record systems was made to ascertain the extent to which currently available data could be used as the source for cost information. Budgets and other records from several counties representing a range from very small to the largest in population and governmental complexity were examined; data collection procedures and forms were developed to obtain the data that was available. It was concluded that with this level of information, at most, cost assignments could be made to process groupings, but not to the individual criminal justice processes. A search for additional sources was made to obtain process work assignment statistics which could be used to separate costs for the individual processes. These sources provided usable information for aspects of the judicial and correctional processes, but statistics on law enforcement workloads were not available. A plan has been developed for obtaining work assignment data which will allow the addition of significant detail in the cost of criminal justice processes. This effort is planned for implementation during Phase II of this project.

Fourth, a computer program has been developed to maintain accounting records, to process the basic information, and to generate the cost reports. The collected data for each cost item identifies only its direct application, e.g., a secretary is assigned to the department organization or a police officer is assigned to patrol operations. This procedure minimizes the skill needed by personnel performing the data collection. The computer is also given the organization structure for each agency and data for connecting operating personnel to the groups of processes in which they are engaged. The computer constructs the

chains connecting the organizational structure to the criminal justice processes, and cascades the costs as originally recorded via these chains onto the processes. The workload assignment data is used by the computer to divide the process group costs into more refined individual process costs. Once these figures have been computed, summary accounts are maintained for organizational subdivisions, allowing the user to call for reports having any desired level of detail. Thus, a legislator or state official can request overall data detailed only to the county level, whereas a department head can request a more complete reporting covering only the units within his organization.

In fulfilling these objectives with a cost system that would be uniformly applicable to all jurisdictions, the greatest difficulty encountered was the requirement to work within different organizational structures and methods. Although, at the highest levels, governments appear to be similarly organized for accountability, there is a wide variation between counties and cities in the performance of specific processes by particular agencies, as well as by subunits within agencies. In addition, different procedures are used in budgeting and accounting for expenditures. The California budget laws establish uniformity only in major classifications. A given cost may appear in one of several different accounts: it might be accounted for separately or combined with similar expenses from several agencies. Also, cost accounting systems have not been adopted by units of government. As a result the assignment of costs to work performed cannot be accomplished, beyond that inferred by organization titles, with accounting documents. Discussions of the difficulties encountered and the methods developed to cope with them are given in Sections 5 and 6.

Finally, in addition to the project staff, support has been provided by many individuals from government and private industry.

A list of the major contributors is given in Appendix A. The information gathered through personal contacts with these people has been essential to the development of the cost information requirements, the criminal justice processes list, the cost system concepts, and the data collection procedures.

## Section 1

### INTRODUCTION

The California Criminal Justice Cost Project is designed to provide critically needed information for basic policy evaluation to take place concerning the criminal justice system.

The combined forces of increased public concern about operation and performance, increased public funds, and increased acceptance of role changes for the elements of the criminal justice system, have led to increased attention to basic policy decisions regarding the administration of criminal justice. In addition to a more rigorous review of the possible outcomes of policy decision-making, a greater number of alternatives are being considered at several different levels in the system, including many alternatives which in the past were not considered either administratively or politically feasible.

The changes in attitudes toward policy selection is evident at three different levels. First, within each process of the criminal justice system, i.e., the intra-process level, serious questions have been raised regarding the allocation of available resources and the operating management policies. For example, police departments are apparently willing to discuss multi-jurisdictional systems in special areas of information and support functions. They are also questioning the traditional allocation of their resources among other functions. Custodial agencies are searching for effective alternatives to incarceration; they are testing and implementing work furlough programs, halfway houses, and other expanded uses of community supervision. A great deal of literature generated during, and

subsequent to, the work of the President's Crime Commission deals with the development of more alternatives at this level of decision making.

The second level, or inter-process, is also being addressed. The California State Legislature has specifically begun to examine the tradeoffs between correctional processes and police processes, asking such fundamental questions as how to allocate resources between the various processes and trying to determine the point of political jurisdiction (city, county, state) at which the resources can be most effectively spent.

Finally, there is an increasing, though not very well organized, recognition of the fact that the criminal justice system is actually a subsystem of a larger social system and that there are tradeoffs to be evaluated in this larger context. Decision-makers at this third level are beginning to explore the complicated relationships between health, education/training, welfare systems, and the criminal justice system, in policies ranging from the choice of sanctions employed to control of behavior, to the selection of criteria for economic assistance.

The real impediment to improved decision making at all three levels in almost every political jurisdiction in the country is that, in general, the basis for making rational decisions is weak. The absence of a unified theory of criminal justice and the dearth of empirical data on almost every facet of the system, prohibits policy selection based on a reasonable expectation of the outcome of the various alternatives. Because the interfaces between processes and systems are not well described, inconsistent decisions are frequently made.

More rational decisions require more precise and detailed information. Decision-makers at all criminal justice levels

need to be able to consider the potential cost and the potential outcome of their choices. Improved data on the outcome of criminal justice processes is becoming available. In California, the Bureau of Criminal Statistics (BCS) has started a partial-state program to track felony offenders through the criminal justice system from the point of arrest, with specific dispositions recorded for arresting agency, Superior Court, and lower court. In addition to this and other efforts at the state level, local and regional systems are being developed which will improve the data base available for describing the outcome of processes.

Nevertheless, data describing process costs still constitute a missing data set. An accurate estimate of police, courts, and correctional costs to accomplish any single objective of the system cannot be made. This gap in knowledge is not just of passing interest. Faced with alternatives, the public policy-maker or operational decision-maker is obligated to consider both cost and outcome in taking action. Frequently, outcomes may be so similar that the choice between alternatives can be based on cost. Unless we collect and make available this cost data, there is no way of rationally choosing an alternative in many instances.

Thus, the goals of this project are:

1. To develop a framework for cost data collection and analysis which will:
  - facilitate the specific comparison of cost and outcome of criminal justice processes;
  - enable the specific assessment of costs for performing services demanded of the criminal justice system;
2. To collect the cost data in California for a year, as a test of the methodology and as a useful data base for legislators;

3. To make the data usable and useful to decision-makers and policy-makers by appropriate means of presentation, including reports and reference tables, both manual and computer maintained.

Relative to these goals, Phase I of the project has been concerned with:

1. Developing the accounting system, including the computerized elements, that will perform the cost data collection and analysis.

2. Establishing the procedures for extracting the required cost data from all governmental agencies within California.

3. Formulating reporting and data presentations that will provide the needed data to decision- and policy-makers.

Phase II of the project will be involved with the implementation of the program on a test basis to demonstrate the utility of its operation.

## Section 2

### POLICY SELECTION

Problems in criminal justice policy and decision making range from those questions of organizational efficiency that are common to any organization, whether government or business, to those large legal and social considerations that are special to the set of agencies that implement the unique institution of the criminal sanction. These problems are not discrete. What may appear, for example, as a purely operational decision in police methods can have judicial implications. Judicial policies may have impact on correctional structures and budgets, and so on. For purposes of cost analysis, legislative, administrative, and planning issues are viewed in terms of five major decision areas for policy selection. These range from the administrative to the legislative; each raises distinct implications for a system analyzing costs. Conferences were held with several individuals each of whom were involved in the criminal justice system for different perspectives. Among those interviewed were staff members to the Legislative Committee dealing with the criminal justice system, county administrators, and officials from police, probation, and other operational departments. In addition, executives from private industry were consulted to ensure that a complete picture of general management considerations was obtained. The five basic decision areas are listed in Exhibit 2-1. The following paragraphs discuss the types of questions that fall into each.

#### INTERNAL RESOURCE ALLOCATION

Issues related to internal resource allocation concern the problems of efficiency and effectiveness common to any organization, such as costs of facilities, equipment, and staff, or of

- Internal Resource Allocation
- Agency Roles and Functions
- Total Resource Allocation
- Statutory Penalty Ranges
- Scope of Criminal Sanctions

Exhibit 2-1. Decision Areas in Criminal Justice.

administrative, research, and action operations, etc., in relation to the value of the product or service. Examples of internal resource allocation problems are the costs of police communications equipment in relation to speed of response to complaints, the costs of producing adequate required criminal justice documents in terms of the time consumed, and the custodial costs of prisoner maintenance.

The generation of cost reports for these types of decisions places a great requirement for detail on the accounting system developed as part of this project. If internal allocation of resources is to be determined, costs will have to be organized around the smallest, relevant agency organizational units which can in practice be analyzed, whether a direct, support, or administrative expenditure. Within each unit, the separation of costs into labor, services, supplies, equipment, and facilities must also be accomplished; and certain major expenses, such as communications equipment, may require further subdivision. Finally, the relationship of the cost to the task objective (i.e., direct application, support, or administrative expenditure) must be determined.

In short, the resolution of practical efficiency and operational questions requires a full range of cost descriptors.

## DEFINITION OF AGENCY ROLES AND FUNCTIONS

Within each agency, issues calling for definition of role and function frequently arise. Alternative choices are most clearly expressed in agency standards adopted to regulate those points where suspects or offenders enter or exit the system. Criteria for the inclusion of juvenile dependency cases in probation caseloads, for bail on own recognizance, for release on parole are typical examples.

The cost information needed for this type of agency determination is similar to that required for internal resource allocation but broader in scope and containing less detail. While the latter involves organizational units of the smallest practicable size, the former need only be developed to the point of the process being analyzed and breakdowns of type of cost item or directness to the process may not be necessary.

## TOTAL RESOURCE ALLOCATION

Decisions concerned with total resource allocation involve weighing the use of alternative processes within and between criminal justice agencies; as exemplified by the California Probation Subsidy Act, treatment alternatives such as drug withdrawal versus methodone programs, commitment to state institutions as opposed to community treatment, or the use of interlocutory appeals before judgment. The cost information needed for this area is similar to that required by the previous areas of decision making. Nevertheless, since total resource allocation involves more than one agency, it is important that costs reported for each governmental unit or agency type be comparable. Given the wide variation in local accounting practices in California, this requires that the accounting system developed for this project not be tied to any particular accounting system. To facilitate decision making in this area, the separate cost items are attached to both criminal justice processes being

performed, as well as the particular agency responsible for the process. If necessary, then, the total cost of a process or group of processes can be developed independent of any organization structure.

#### STATUTORY PENALTY RANGES

Decisions affecting statutory penalty ranges are an aspect of total resource allocation governed by the legislative process. Traditionally, it has encompassed the creation of distinctions between infractions, misdemeanors, and felonies, and the setting of minimum and maximum fines or terms of confinements. The penal configuration selected has cost consequences through its effect on correctional alternatives, judicial processing, and law enforcement reaction. It is also clear that the legislature can affect penalty ranges, with similar cost consequences, by means other than definition of the offense or penalty provision. The Probation Subsidy Act and laws permitting implementation of methadone treatment in effect also change penalty levels.

In this analysis, the relevant cost items relate to alternative processes and the emphasis is not on cost attributed to individual agencies. For a complete picture, costs related to criminal justice processes have to be combined with effect information derived from the Bureau of Criminal Statistics offender tracking system which was instituted as part of the cost study. Together, the two data bases will determine what relations exist between process expenditures and process outcomes, as well as the relations between expenditures for offender group (classified by offense, age, jurisdiction, program, etc.) and subsequent behavior. Cost presentations which separate the figures for specific offender classes are needed where the issue involves penalty ranges applicable only to these classes. Cost per offender and career

costs become significant factors due to the long-range effects of changes in penalties in terms of recidivism, etc. An expensive alternative penalty, for example, may be justified if, in the long term, an individual is removed from the criminal justice system. On the other hand, a less expensive alternative may be advisable if it cannot be shown that the costlier means has an overall gain.

#### SCOPE OF CRIMINAL SANCTIONS

A second key legislative decision area, in addition to statutory penalty ranges, concerns applicability of the criminal sanction. These issues are similar to total resource allocation questions but broader in scope, since they involve tradeoffs, not within the criminal justice system, but between the system and other forms of public service or no public action at all. Proposed changes in the government response to alcoholics and drug abusers are among alternatives currently discussed in this area, or being implemented through action in other decision areas.

This fifth area demands the broadest coverage of useful cost data. As with decisions on statutory penalty ranges, career costs of affected offender groups, developed in combination with the BCS tracking system, become of paramount importance. But in addition, the division of these costs among the functional areas of law enforcement, adjudication, and corrections must be made. This will allow consideration of the impact of modifying any part of the criminal sanction. The transfer of addicts from criminal to civil action is an historic example of changing a portion of the criminal justice system. Figures giving the life cost of an alcoholic to the criminal justice system would allow a true comparison with, for example, a short term but expensive rehabilitation program.

## REPORTS

Standard reports would include certain summary documents. For example, the legislature would receive routinely for the state as a whole and for each county: (1) a breakdown of costs for the criminal justice processes grouped into major functional areas; (2) a breakdown of costs for each major criminal justice agency; and (3) a breakdown of costs for state supported programs. If desired by individual counties, standard reporting could be provided to the boards of supervisors and administrators giving county summaries of these same types with added detail. Also, reports covering the internal operation of the separate departments could be provided to their respective heads. Additional reporting would be generated upon request for any other assemblage of data from the three classifications. This reporting has the capability of including detail to any desired level.

The general nature of the report preparation procedure is illustrated by an example. Assume that it is desirable to know the costs attributed to crime prevention and suppression by each agency in Los Angeles County; and that the costs are to be broken down into those directly engaged in performing the operations, those supporting these operations, and those attributed to administration. The requestor has an order form completed as illustrated in Exhibit 2-2. The meaning of each heading on the form is explained in Section 3 and summarized in Exhibit 3-1. For this illustration the form specifies that cost data is to be assembled for Los Angeles County, from all cost categories, i.e., labor, services, etc., related to crime prevention and suppression for all cost levels. It has been selected that the individual cost levels will be displayed horizontally with separate figures for each level and a total. The different agency expenditures will be displayed vertically. Only one hierarchy level is needed for this report because no cost breakdown within agency or cost level was requested.

CALIFORNIA CRIMINAL JUSTICE COST PROJECT

Costs to be included in Report:

Government or Agency	LOS ANGELES
Cost Category(ies)	ALL
Processes or Process Groups	CRIME PREVENTION/SUPPRESSION
Cost Levels	ALL

Horizontal Display:

First Level	DIRECT, SUPPORT, SPECIFIC ADMINISTRATIVE, TOTAL
Second Level	

Vertical Display:

First Level	EACH AGENCY
Second Level	

Exhibit 2-2. Cost Report Order Form

The computer program operator converts the written request into a set of coded control cards for use by the machine. These coded instructions direct the computer to select the required information from the account files, perform the necessary computations, and print the report. For standard reports the coded instructions would be maintained in a separate file which could be referred to by the computer with a single command.

#### SUMMARY

*To support the decision-making process in the five policy selection areas, criminal justice expense items must be susceptible to separation or assembling along several different dimensions. The nature of the cost item, its relationship to a criminal justice process and the degree of that relationship, the jurisdiction, agency, or subagency unit which makes the expenditure--all of these may be relevant and the accounting system must be able to generate costs from all these perspectives, singly or in any combination.*

### Section 3

#### DESCRIPTION OF COST ITEMS

The cost data that legislators and criminal justice system decision-makers need for realistic policy and operational decisions varies according to subject matter. Technically, an individual cost item must be susceptible to several dimensional descriptors for each of the uses required. Basically, there are four relevant dimensions. Two concern the nature of the cost item; and two relate to its allocation. The development of the four basic dimensions and the subclassification within each consideration has been given to operational, legal, and accounting factors. First, public accountants were consulted to develop the basic framework for the cost accounting system. Then, the California Code was examined to obtain the current legal requirements on government accounting systems. These proved to be consistent with the accounting structure needed for the cost program. Finally, individuals dealing with criminal justice planning and administration were involved in developing the specific cost classifications that are included in the system.

#### CATEGORY

Within each governmental jurisdiction or agency budgetary unit, the dollars expended can be categorized according to the "thing" they are spent on. The categories common to line-item budgets and adopted for the cost accounting system are as follows:

1. Labor--personnel;
2. Supplies--expendable material;
3. Equipment--depreciable assets other than real property;

4. Facilities--real property or rentals;
5. Services--work provided by outsiders;
6. Transfers and Reimbursements--accounting adjustments between departments;
7. Other Expenses--monies paid to outside sources.

These cost categories are tied to accounting procedures used throughout the state; but by themselves, they give no indication of where in the system, the costs are applied.

#### GOVERNMENTAL JURISDICTION/AGENCY

The conventional dimension for allocating cost items is the agency or level of government incurring the expense and this may include intra-agency organizational breakdown. This descriptor is used for annual budgeting by units of governments and indicates the place in the governmental structure where dollars are spent. While a breakdown according to who spends the money, when coupled with the cost categories describing the entity money is expended on, may be useful for dealing with problems of internal resource allocation, these forms of cost breakdown have limited utility for identifying the costs of various criminal justice processes. Due to the overlapping and complex involvement of most criminal justice agencies in separate parts of the system, it is only possible, with this level of information, to assign rough costs to the separate work activities of the criminal justice system. The cost accounting system developed in this project permits a more specific and valid assignment of these process costs.

#### TYPE OF CRIMINAL JUSTICE PROCESS

The third dimension for allocating costs is to connect specific expenditures to the various criminal justice processes.

As opposed to the governmental jurisdiction/agency dimension which explains who spends dollars, this dimension reveals how they are spent. By process is meant the basic work activities performed by criminal justice agencies. Examples are police motorized patrol, crime investigation, booking, arraignment, trial, sentencing, jail, probation, state incarceration, and the like. The total list of processes is given in Section 4, with a descriptive commentary in Appendix B. These processes are grouped with related processes and arranged according to the basic function performed. Where necessary, they are subdivided to illustrate more detailed aspects. Thus, in the process of felony incarceration, a further division might refer to different offense classes, or costs related solely to custodial actions.

As previously explained, allocation of costs to processes is crucial to many areas of policy selection; yet conventional budgetary breakdowns by agency or governmental jurisdiction do not permit such a determination. While program budgets which are coming into greater use around the state are a step in the right direction, they do not provide the level of detail on specific processes envisioned by the cost accounting system.

An issue still remains as to how the costs allocated to processes should be characterized. One method would be to use the categories such as labor, supplies, etc. into which all costs can be divided. This breakdown would be relevant to some policy selection issues, especially those involving resource allocation. Nevertheless, in comparing process tradeoff both within and between agencies and programs, a method of classifying costs according to their contribution to a work activity might be more important. This necessitates the development of a fourth dimension--level of contribution.

## LEVEL OF CONTRIBUTION

This dimension describes the directness with which a cost item is applied to the criminal justice system. All personnel and material operating in the criminal justice system can be included in one of three application levels.

The first level is the direct expenditure--people, supplies, equipment, and facilities which, in carrying out criminal justice processes, directly interface with the public or offenders. Examples are the police officer on the beat, the judge during a judicial proceeding, custodial officers, and the material they use.

At a second level are those cost items, such as police communications and record sections, trial transcript typists, direct equipment maintenance, and the like, which, while not directly engaged in criminal justice processes, form the operational support of those direct activities. In this project, such expenses are entitled Support.

At the third level are expenditures for supervision, planning staffs, and research which, though not specifically supporting a criminal justice process, serve to administer, coordinate, supervise, etc., the activities of the direct and the support portions of the system. Cost items of this type are entitled Specific Administrative Expenses.

While the above three levels of contribution encompass all costs expended by criminal justice agencies, there is yet another expense class which cannot be omitted if one is concerned with evaluating the true total cost of criminal justice. This fourth level refers to general functions necessary for governmental operation, but not specifically serving any one particular system of public services. The Governor, the Legislature,

Boards of Supervisors, city councils, elections and tax collection officers to name but a few are representative of these operations. The cost of these general administrative expenses support all public services and add to the total service cost. It would, of course, be valuable to ascertain the amount of these general administrative expenses for comparison with the costs of the activities directly serving the public. The cost system provides for the inclusion of these costs under the category entitled General Administrative.

It should be clear that costs at the level of direct expenditure are the only ones which can be directly associated with specific processes. Cost items concerned with support and administration must first be levied against the direct costs as a burden and then related to specific criminal justice processes via the direct charge. A description of this procedure is given in Section 7, where the criminal justice cost system is described.

#### SUMMARY

*The four classification methods for explicating criminal justice costs relate to category of cost item, the governmental organizational structure which "spends" the item, the criminal justice process on which it is spent, and the directness of the application of the expenditure to the criminal justice process. These are summarized in Exhibit 3-1. The cost accounting system which has been developed classifies cost items by all of these dimensions.*

GOVERNMENTAL JURISDICTION/AGENCY

Government Identification

Agency Identification

Intra-Agency Organization

COST CATEGORY

Labor

Supplies

Services

Equipment

Facilities

Transfers and Reimbursements

LEVEL OF CONTRIBUTION

Direct

Support

Administration

Specific

General

CRIMINAL JUSTICE PROCESSES

(See Section 4)

Exhibit 3-1. Cost Classifications.

## Section 4

### CRIMINAL JUSTICE PROCESSES

This section deals with the organizational framework created to elucidate criminal justice processes. One of the objectives of the Cost Project is the development of techniques for presenting cost data in a way which makes it useful for decision-makers and administrators. This objective highlights the criteria applied in developing the model of criminal justice processes. This model must be relevant to the real world of administrators and decision-makers. It must describe system activity in a way keyed to their perceptions and the issues which they raise. It must facilitate the identification of specific process costs, the aggregation of related costs, and the comparison of competing costs. In the same way, it must clearly delineate separate work processes, yet group those which are materially or logically related. And, it must do this in a format which has logical arrangement and commonly accepted terminology so as to permit a user to quickly locate the information wanted.

But the model must also satisfy the limits placed on it by the existing level of budgetary knowledge. Its process elements cannot be construed so finely as to make cost allocation impractical, if not impossible. Similarly, it must take cognizance of the concepts established by existing statistical systems which tabulate work activities. Finally, where process-specific cost data is simply not available, it must arrange the process elements so as to identify the nearest level of data that is available.

In the process lists that follow, work processes form the basic level of organization; at the second and third levels,

related processes are grouped into activity categories. These activity groups provide convenience in referencing the system and, in some cases, will be the ultimate level of costing. In addition, they aid comparison of cost factors among different sets of activities. Finally, at the fourth level of organization, all activity groups are arranged according to the basic criminal justice function to which they contribute. There are eight basic functions at this fourth level. These are given in Exhibit 4-1 organized within the traditional three major areas: police, courts, and corrections. The numbers in the exhibit

POLICE:

1000 Crime Prevention/Suppression

2000 Investigation/Apprehension

COURTS:

3000 Adult Judicial

5000 Custody/Correctional Prior to Final Disposition  
(Adult)

6000 Juvenile Judicial

8000 Unadjudicated Custody/Correctional (Juvenile)

CORRECTIONS:

4000 Adult Corrections

7000 Juvenile Corrections

Exhibit 4-1. Criminal Justice Functions.

refer to the codes for the eight areas given in the following list of processes. A conceptual explanation of process description and selection is provided in Appendix B.

The process list in its present form represents a combination of work from many sources. The law enforcement processes proved to be the most difficult to develop. They were initially assembled from several programs directed at evaluating police workloads. This list was reviewed and modified by three individuals having experience with police operations from different perspectives. Finally, the list was submitted to law enforcement administrators who suggested slight modifications.

The adult judicial processes were initially written by a research attorney, coordinated with representatives from the California Judicial Council. This list was reviewed by practicing prosecution and defense attorneys and county clerks with their comments used to modify the original. The adult correctional processes were developed by people with both institutional and supervisory experience.

The juvenile processes were written by an individual who has worked several years in juvenile probation in operations and planning. The complete process list was submitted to the Project Advisory Group which is composed of representatives from essentially all areas of the criminal justice system. Their comments were used to arrive at the final process list appearing here.

CRIMINAL JUSTICE PROCESSES

<u>Code</u>	<u>Process</u>
1000	<u>CRIME PREVENTION/SUPPRESSION</u>
1100	COMMUNITY AND PERSONAL CONTACT
1110	<u>Personal Contact</u>
1130	<u>Community Relations</u>
1140	<u>Personal or Community Assistance Contact</u>
1170	<u>All Other Community and Personal Contact</u>
1180	<u>Record Inquiry</u>
1190	<u>Report Preparation</u>
1200	PREVENTIVE PATROL
1210	<u>Motorized Patrol</u>
1220	<u>Foot Patrol</u>
1230	<u>Other Vehicular Patrol</u>
1240	<u>Security Escorts</u>
1260	<u>Security Inspections</u>
1270	<u>Other Preventive Patrol</u>
1280	<u>Record Inquiry</u>
1290	<u>Report Preparation</u>
1300	MAINTENANCE OF PUBLIC ORDER
1310	<u>Special Events</u>
1330	<u>Civil Disturbances</u>
1370	<u>Other Maintenance of Public Order</u>
1390	<u>Report Preparation</u>
1400	MOVEMENT/CONTROL OF TRAFFIC
1410	<u>Traffic Patrol</u>

<u>Code</u>	<u>Process</u>
1420	<u>Accident Investigation</u>
1490	<u>Report Preparation</u>
2000	<u>INVESTIGATION/APPREHENSION</u>
2100	GENERAL PROGRAMS
2110	<u>Crimes Against Persons</u>
2120	<u>Crimes Against Property</u>
2130	<u>Vice/Organized Crime</u>
2170	<u>Miscellaneous Offenses Against the Public and Peace and Order</u>
2180	<u>Alarm Reponse</u>
2190	<u>Report Preparation</u>
2300	SPECIAL PROGRAMS
2310	<u>Warrant and/or Supoena</u>
2320	<u>Booking</u>
3000	<u>ADULT JUDICIAL</u>
3100	INITIATION OF PROSECUTION
3110	<u>Charging</u>
3111	Charging of Misdemeanors
3112	Charging of Felonies
3120	<u>Indicting</u>
3130	<u>Releasing from Custody</u>
3131	Bail in Municipal Court
3132	Own Recognizance in Municipal Court
3133	Bail in Justice Court
3134	Own Recognizance in Justice Court
3135	Bail in Superior Court

CodeProcess

3136	Own Recognizance in Superior Court
3200	PROCEEDINGS PRIOR TO TRIAL
3210	<u>Misdemeanor Arraignment</u>
3211	Misdemeanor Arraignment in Municipal Court
3212	Misdemeanor Arraignment in Justice Court
3220	<u>Misdemeanor Pre-Trial Hearings</u>
3221	Pre-Trial Hearing on Motion for Return of Property or Suppression of Evidence (PC 1538.5) in Municipal Court
3222	Pre-Trial Hearing on Motion for Return of Property or Suppression of Evidence (PC 1538.5) in Justice Court
3223	Other Pre-Trial Hearings in Municipal Court
3224	Other Pre-Trial Hearings in Justice Court
3225	Petition for Writ of Mandate or Prohibition Appealing Decision Made by Municipal or Justice Court on Motion under PC 1538.5 (PC 1538.5j)
3230	<u>Felony Arraignment</u>
3231	Felony Arraignment in Municipal Court
3232	Felony Arraignment in Justice Court
3233	Felony Arraignment in Superior Court
3240	<u>Felony Preliminary Hearing</u>
3250	<u>Felony Pre-Trial Hearings</u>

CodeProcess

3251 Pre-Trial Hearing on Motion to Set  
Aside the Information or Indictment  
(PC 995)

3252 Pre-Trial Hearing on Motion for  
Return of Property or Suppression  
of Evidence (PC 1538.5)

3253 Other Pre-Trial Hearings

3254 Petition for Writ of Prohibition  
Appealing Decision on Motion Made  
under Section 995 (PC 999a)

3255 Petition for Writ of Mandate or  
Prohibition Appealing Decision  
Made on Motion under Section  
1538.5 (PC 1538.5i,j)

3300

## TRIAL PROCEEDINGS

3310

Misdemeanor Trial Confirmation Proceedings

3311 Calendar Hearing in Municipal Court

3312 Calendar Hearing in Justice Court

3313 Pre-Trial Conference in Municipal  
Court

3314 Pre-Trial Conference in Justice Court

3320

Misdemeanor Trial

3321 Court Trials in Municipal Court

3322 Court Trials in Justice Court

3323 Jury Trials in Municipal Court

3324 Jury Trials in Justice Court

3330

Felony Trial Confirmation Proceedings

3331 Calendar Hearing

3332 Pre-Trial Conference

3340

Felony Trial

3341 Trial on Transcript

CodeProcess

3342	Completed Court Trial
3343	Completed Jury Trial
3344	Court or Jury Trial Terminated by Change of Plea or Dismissal
3400	POST-TRIAL PROCEEDINGS
3410	<u>Insanity and Civil Commitment Hearings</u>
3411	Hearing to Determine whether Defendant is Addicted or in Danger of becoming Addicted to Narcotics or Dangerous Drugs (W&I 3051)
3412	Hearing to Determine whether Defendant is Probably a Mentally Disordered Sex Offender (W&I 6300)
3413	Hearing in Municipal Court to Determine whether Defendant is Presently Sane (PC 1368)
3414	Hearing in Justice Court to Determine whether Defendant is Presently Sane (PC 1368)
3415	Hearing in Superior Court to Determine whether Defendant is Presently Sane (PC 1368)
3416	Hearing in Municipal Court to Determine whether Defendant was Insane at Time of the Offense (PC 1026)
3417	Hearing in Justice Court to Determine whether Defendant was Insane at Time of the Offense (PC 1026)
3418	Hearing in Superior Court to Determine whether Defendant was Insane at Time of the Offense (PC 1026)
3420	<u>Other Misdemeanor Post-Trial Hearings</u>
3421	Post-Trial Hearings in Municipal Court
3422	Post-Trial Hearings in Justice Court

<u>Code</u>	<u>Process</u>
3430	<u>Other Felony Post-Trial Hearings</u>
3431	Post-Trial Hearings in Superior Court
3440	<u>Misdemeanor Sentencing/Probation Revocation Hearings</u>
3441	Misdemeanor Sentencing/Probation Revocation Hearings in Municipal Court
3442	Misdemeanor Sentencing/Probation Revocation Hearing in Justice Court
3450	<u>Misdemeanor Appeals to Higher Courts</u>
3451	Appeals in the Superior Court
3460	<u>Felony Sentencing/Probation Revocation Hearings</u>
3470	<u>Felony Appeals to Higher Courts</u>
3471	Appeals in the California Court of Appeals
3472	Appeals in the California Supreme Court
3500	HABEAS CORPUS
3510	<u>Hearing after Return of a Writ of Habeas Corpus (PC 1508)</u>
3511	Hearing in Superior Court
3512	Hearing in Court of Appeals
3513	Hearing in Supreme Court
3520	<u>Appeal or Subsequent Hearing after Final Order of a Judge in Hearing after Return of a Writ of Habeas Corpus (PC 1506)</u>
3521	Appeal or Hearing in Court of Appeals
3522	Appeal or Hearing in Supreme Court

<u>Code</u>	<u>Process</u>
4000	<u>ADULT CORRECTIONS</u>
4100	STATE CORRECTIONAL INSTITUTIONS
4110	<u>Intake Diagnosis and Classification</u>
4120	<u>Institutionalization</u>
4130	<u>Work Furlough</u>
4140	<u>Special Programs</u>
4150	<u>Parole Hearing</u>
4160	<u>Release</u>
4170	<u>STRU</u>
4200	STATE PAROLE
4210	<u>No Supervision</u>
4220	<u>Supervision Regular Caseload</u>
4230	<u>Supervision Special Caseload</u>
4240	<u>Special Community Programs</u>
4250	<u>Parole Revocation Hearing</u>
4300	SENTENCED LOCAL INCARCERATION
4310	<u>County Jail</u>
4320	<u>Jail Farm, Camp, or Workhouse</u>
4330	<u>Work Furlough</u>
4340	<u>Special Programs</u>
4350	<u>County Parole Hearing</u>
4400	COUNTY PAROLE
4500	PROBATION
4510	<u>Summary Probation</u>
4520	<u>Regular Supervision</u>
4530	<u>Special Supervision</u>

<u>Code</u>	<u>Process</u>
4540	<u>Community Treatment Program</u>
5000	<u>CUSTODY/CORRECTIONAL PRIOR TO FINAL DISPOSITION (ADULT)</u>
5100	INCARCERATION
5110	<u>Lockup (Pre-Preliminary Hearing)</u>
5120	<u>Custody</u>
5200	DIAGNOSTIC EVALUATION
5210	<u>California Department of Corrections</u>
5220	<u>California Department of Mental Hygiene</u>
5230	<u>Local Public Agency</u>
5240	<u>Private Individual or Agency</u>
5300	CORRECTIONS
5310	<u>Employment Program with Proceedings Suspended</u>
5320	<u>Other</u>
6000	<u>JUVENILE JUDICIAL</u>
6100	INITIATION OF JUVENILE PROCEEDINGS
6110	<u>Probation Intake</u>
6200	DETAINING JUVENILES
6210	<u>Detention Hearing (W&amp;I 632)</u>
6220	<u>Rehearing (W&amp;I 637)</u>
6300	PROCEEDINGS TO DECLARE THE MINOR A WARD OR DEPENDENT CHILD OF THE COURT
6310	<u>Jurisdictional Hearing (W&amp;I 701)</u>
6320	<u>Dispositional Hearing (W&amp;I 702)</u>
6330	<u>Rehearing of Findings and Orders Made by a Referee (W&amp;I 558;559)</u>

<u>Code</u>	<u>Process</u>
6340	<u>Appeals (W&amp;I 800)</u>
6400	OTHER HEARINGS RELATED TO JUVENILES
6410	<u>New Hearing (W&amp;I 778)</u>
6420	<u>Hearing on a Supplemental Petition (W&amp;I 777)</u>
6430	<u>Other Hearings on Modification of Orders (W&amp;I 775)</u>
6440	<u>Subsequent Review where Minor Has Been Declared a Dependent Child of the Court (W&amp;I 729)</u>
6450	<u>Review of Probation Officer's Decision not to File a Petition (W&amp;I 655)</u>
6460	<u>Hearing on Petition for Sealing of Records (W&amp;I 781)</u>
6470	<u>Traffic Hearing (W&amp;I 563)</u>
6480	<u>Rehearing or Modification of Orders Made by Traffic Hearing Officer (W&amp;I 567)</u>
7000	<u>JUVENILE CORRECTIONS</u>
7100	STATE INSTITUTIONAL COMMITMENT
7110	<u>Intake Diagnosis and Classification</u>
7120	<u>Institutionalization</u>
7140	<u>Special Programs</u>
7150	<u>Parole Hearing</u>
7160	<u>Release</u>
7200	STATE PAROLE
7210	<u>Information Supervision</u>
7220	<u>Regular Caseload</u>
7230	<u>Special Caseload</u>
7240	<u>Special Treatment</u>

<u>Code</u>	<u>Process</u>
7250	<u>Foster Home</u>
7260	<u>Parole Revocation Hearing</u>
7300	COUNTY CORRECTIONAL INSTITUTIONAL PLACEMENT
7310	<u>Juvenile Hall</u>
7320	<u>County Camp, Ranch, or School</u>
7340	<u>Daycare Center: Special Programs</u>
7360	<u>Homes: Foster, Group, or Halfway</u>
7500	COUNTY PROBATION
7510	<u>Information Supervision</u>
7520	<u>Regular Supervision</u>
7530	<u>Special Supervision</u>
7540	<u>Community Treatment</u>
8000	<u>UNADJUDICATED CUSTODY/CORRECTIONAL (JUVENILE)</u>
8100	TEMPORARY CUSTODY AND DETENTION
8200	DIAGNOSTIC EVALUATION
8210	<u>California Youth Authority</u>
8220	<u>California Department of Mental Hygiene</u>
8230	<u>Local Public Agency</u>
8240	<u>Private Individual or Agency</u>
8300	CORRECTIONS
8310	<u>Youth Services Bureau</u>
8320	<u>Other</u>

SUMMARY

An organizational framework for cost data has been developed. The structure provides a four-level hierarchy in which costs can be attributed. The structure provides for work processes to be aggregated into activities, which in turn can be aggregated into activity groups, which together form functions. This framework takes account of the desire for detailed information where available, while allowing data entry at higher levels when necessary.

## Section 5

### DIRECT CHARGE ALLOCATION

One of the basic requirements for the criminal justice cost system is its ability to allocate items of expense to the processes already described. Section 3 has discussed the separation of expense items into levels according to the directness of contribution to criminal justice processes; these levels are entitled: direct, support, and administrative. The direct expenditures are the only ones that interface with the public or offenders in carrying out the criminal justice processes. In allocating cost, the support and administrative expenses are charged to the direct items. In practically all cases, direct charges are exclusively in the labor category. Non-labor items are assigned as support to the individuals utilizing them; e.g., jails are assigned to custodial personnel, court rooms to judges, etc. This section discusses problems in allocating direct costs to individual processes.

The cost accounting systems in use by most large private companies are geared to provide cost-to-work-performed allocation data. An essential element in this form of cost accounting is the maintenance of records of individual employee work assignments and other expense item allocation by task. Unfortunately, cost accountability has not been adopted by local governments although recent movements toward program budgeting is a step in this direction and will be of significant value when accounting systems are modified to provide program accounts.

At present, government records are structured by organization. It is only for large departments, such as the Youth Authority and the Department of Corrections, in which entire

sections or units are engaged in one process, that records show work assignments in sufficient detail. In a majority of criminal justice organizations, particularly those engaged in law enforcement, the number of processes in which individuals are involved does not allow a breakdown of costs by processes from existing documentation. This information lack has been felt by responsible administrators for some time and programs to develop workload data have been attempted. The statistics collected by the California Judicial Council on court activity are an example of this type of program.

To ascertain the extent of available workload data, an extensive search of available literature was conducted and individuals engaged in research in the criminal justice area were contacted. It was felt, in the absence of data for each jurisdiction, that figures showing the separation of work assignments into individual tasks gathered from representative agencies could be used generally to estimate the proportional breakdown in other similar agencies. Almost all of the sources investigated, however, were concerned with determining amounts of time spent by personnel in non-direct activities, such as report writing, travel, training, etc. Projects, such as the detailed workload study developed for the St. Louis Police Department, have not as yet been implemented.

As a result, data that is currently available for purposes of the cost project is only sufficient to allow expenditures to be assessed to major process groupings. This gross assignment of costs may prove to be of sufficient detail for some major decision areas relative to courts and corrections. In the field of law enforcement generally and for specific questions in the judicial and correctional areas, additional workload data is required. Without these products, it will be impossible for the study to produce any refined process costs except in the correctional subsystem (probation and correctional processes).

For example, using the list of processes, it is now possible to cost investigation/apprehension (code 2000) as a police function, but unless the workload determination information is available, it will not be possible to cost individual processes such as crimes against persons (code 2110), crimes against property (code 2120), or vice/organized crime (code 2130).

The Phase II plan calls for the development of workload data for use in apportioning costs to the processes. The procedures to be used are similar to those currently used in private industry. Total time for selected groups will be divided up among the various processes in which the individuals are engaged. Three different methods of performing this operation will be implemented. One is relatively simple and inexpensive and will be widely used. The other two are somewhat more complicated and will be applied on a spot basis for use in establishing the validity of the results from the first method. All of the procedures involve the proration of total time rather than a time-in-motion approach. Time-in-motion studies have been shown previously to be very expensive in terms of the information gained, and, primarily due to the expense, have not been extensive or reliable. The following paragraphs give a summary of the results obtained on Phase I and briefly indicate the plan for Phase II.

#### LAW ENFORCEMENT

Although individuals outside of law enforcement, such as parole and probation officers, are engaged in law enforcement processes to some extent, police officers and sheriff's deputies perform almost all of these functions. Within these police agencies, the general approach to law enforcement costing is to develop a way of apportioning the patrol, detective, and other costs by crime category and process. It was originally anticipated

that different models would have to be developed for each of the functional units in law enforcement, i.e., patrol division costs and detective division costs would have to be allocated in different ways. This multiplicity of cost models has not proven to be necessary. Using the criminal justice processes (Section 4), it has been possible to use identical process lists for allocating costs for all law enforcement units.

Several projects have been undertaken to determine the distribution of officers' time among the processes. All of these projects have incurred severe difficulties in obtaining reliable data. Summarizing the available information, the extent to which workload can be distributed among the processes is presently limited by the existing division of departments by gross workload categories.

The basic requirement to obtain a more refined workload determination, particularly for these law enforcement processes which involve the greatest expenditure of public funds and cover the widest range in types of work performed, has led to the development of a program for Phase II to gather this data. The Phase II plan calls for a detailed determination of individual law enforcement process workloads for one sample county, San Diego. This work distribution will be used to apportion costs in other counties where, at present, cost figures can be obtained only for major process groupings.

#### JUDICIAL

The development of court costs allocation has proceeded along the lines outlined in the original project plan. The workload statistics and related information collected by the administration of the courts has led directly to the division of expenditures for judges time among civil and criminal actions and for major process groupings for the criminal acts.

This data has provided sufficient detail for judges. The workload statistics for other participants in the court procedures, such as district attorney, public defender, county clerks, etc., has shown that existing court statistics are not sufficient. During Phase I, procedures for gathering workload data for these agencies have been developed and carried out on a limited sample basis in two counties. The preliminary results indicate that refined workload determinations for participants in judicial proceedings can be obtained relatively easily. The Phase II program will collect the required data for these agencies.

#### CORRECTIONS

There are several parts to the development of costs in correctional programming covering state and local activities for incarceration and supervision.

The procedures for the allocation of prison and parole costs have been based on the distribution of cost by crime category operating on the total state agency costs. Since the data available on the workload of state agencies in this area is excellent, there has been no problem in prorating costs by category. The approach was to estimate the amount of time involved in providing the level of service required in each category. That is, the estimate of man-days of service provided of institutionalization or field supervision was estimated from the composition of the caseload average for the year.

The proration of costs for jails has been less definitive than for state institutions. Statistics showing jail population by offense are not produced. The sample figures obtained by BCS in the tracking program part of Phase I will be used as a representative distribution. Other county jail population figures are restricted to an indication of sentenced vs non-sentenced persons.

The development of a good model and allocation techniques for probation cost apportionment has been more difficult. Although the same basic concept has been used, i.e., to allocate costs on the basis of man-days of service provided in the various crime categories, the data is not available in a readily usable form. The development of the model has required the use of sample data collected in two counties, Alameda and Los Angeles.

## Section 6

### CRIMINAL JUSTICE AGENCIES: DATA SOURCES

To assess the utility of available information for use in determining true costs to the administration of criminal justice, a survey covering more than 10 California counties was conducted. Los Angeles County was singled out for special consideration due to its uniqueness in size. The survey took into account all governmental agencies, not just those traditionally associated with criminal justice, to identify all possible sources for criminal justice costs. The majority of jurisdictions are continuing with line item accounting practices. A few are transferring to program budgeting, as is the state, but several have definitely decided, for various reasons, to not make this shift. The survey made explicit certain of the difficulties in information identification and collection that were originally anticipated and uncovered others that were not. The previous section outlined the problems in detailing cost assignments down to the individual processes and presented a description of the Phase II plan to develop this data. This section discusses the procedures established by the project to utilize the information that can be presently obtained.

#### PROJECT SCOPE

Within the public services structure, there are many places where costs for the administration of criminal justice are found. The most obvious are the various governmental agencies specifically connected to the criminal justice system. These include police, sheriffs, courts, probation, district attorneys, etc. Less obvious are those agencies which in one aspect of their work are recognized in law as servicing the criminal justice system through possessing definite law enforcement functions. Examples of these are agricultural commissioners, building inspectors, sealers of

weights and measures, and forest services. Another group of agencies incur cost attributed to criminal justice activities through their involvement in support, rehabilitation, or correctional programs. Public assistance to families of incarcerated offenders, departments of public health, and school districts are examples of public services not specifically considered within the criminal justice system. In addition to these public agencies, there are a variety of privately sponsored organizations that fall within the operations of the criminal justice system. Some of these receive partial support from tax revenues whereas others are financed totally from private sources. Examples are halfway houses and other correctional facilities and preventive programs in the drug abuse and juvenile delinquency areas operated by organizations such as the Salvation Army. Significantly, the services provided by the private organizations in some jurisdictions are performed at public expense in other localities.

The California Criminal Justice Cost Project has restricted its scope to the first group of agencies; that is, to expenditures that can be attributed to public agencies specifically dealing with the operation of the criminal justice system. A list of these agencies is given in Exhibit 6-1. The list includes all of the separate accounting units that might appear in any one jurisdiction. Organizational differences between counties result in slight variations in criminal justice agencies in any given case, e.g., a combined probation department for both adults and juveniles. It is recognized that there are significant costs from other agencies, particularly those in forms of public assistance, that have been excluded. The operations of this latter group is of such a nature that an effort far beyond the scope of this project would be required to determine what portion of their total cost applies specifically to criminal justice.

State Agencies:

Court of Appeals  
Department of Corrections  
Department of Justice  
Highway Patrol  
Supreme Court  
Youth Authority

County Agencies:

Care of Court Wards  
Clerk  
Coroner  
District Attorney  
Grand Jury  
Jails, Holding and Correctional  
Facilities  
Marshal  
Municipal Court  
Probation Department (Adult)  
Probation Department (Juvenile)  
Public Defender  
Sheriff  
Superior Court

City Agencies:

Holding Facilities  
Police

Exhibit 6-1. Criminal Justice Agencies.

## COST ACCOUNTABILITY

Although it has been decided in the cost study to limit the determination of who spends money on criminal justice operations to those agencies that directly interact with the system, agency organizational structure cannot provide the final answer on the issue of from what sources the money is provided. To put it another way, given a particular agency which performs certain criminal justice processes and given the budget of that agency, it is possible for the agency to incur expenses in performing those processes which are not represented in its budget. And this point should be distinguished from the separate judgment that other agencies which directly interact with the criminal justice system may also contribute to the performance of those same processes.

To give a common example, police and sheriff's department budgets do not always contain a cost item for vehicles used in patrol processes. Although some departments are totally responsible for patrol cars, including purchase and maintenance, other departments are responsible for purchase but not for maintenance. Sometimes, purchase is budgeted by a transportation group and the law enforcement agency may or may not be charged a rental fee. Similar examples exist for personnel as well as for other types of equipment.

This variability between jurisdictions in services provided by and to similar units places an important requirement on the ability of the cost system to generate cost reports to responsible agency heads which are of use in assessing cost of operations and resource allocation and to furnish higher level administrators information on how tax dollars are being spent in fulfilling service requirements. A knowledge of the component parts of each process must be formed, and the budgets of non-criminal justice agencies carefully scrutinized to locate the sources of these

components. Such an approach is the only way to meet the important demands upon the cost system to be uniformly applicable for all governmental units and to include similar costs from each.

In determining cost accountability, both criminal justice and non-criminal justice agencies also must be surveyed regarding another issue. Some forms of cost data do not exist in any accounting documents. Accounting systems in use by all levels of government are based essentially on a cash flow accountability organized by departments. Annual budgets and expenditure accounts provide data only on actual monies spent during the period. The cost system must account for goods and services as they are expended which is technically very different. This difference determines that the completeness of data can only be insured through an examination of every agency within each jurisdiction.

#### DETERMINATION OF ITEM COST

Having identified within each governmental level the source and location of a criminal justice expenditure, the item can then be associated with the function it performs in the system and the amount of its cost. This section discusses how item costs are determined. A preliminary issue concerns how to designate each cost item. An item may be as small as a single individual or as large as a complete building. The decision as to degree of item subdivision is based upon uniformity of application to criminal justice processes, amount of the cost and ability to separate total costs into portions applicable to different parts of the criminal justice system. Several sources have been used to determine the values for the expenses.

One method applies to all expense items that can be considered to be consumed or used during the same period in which they are purchased. The period for this purpose is the fiscal year. Labor,

services, supplies all fit this category although strictly speaking supply inventories at the beginning and end of the year should be accounted for in the period actually expended rather than when purchased. The usual practice has been followed of assuming that approximately the same inventory value is on hand at the beginning and end of the accounting period. This allows the entire annual expenditure for supplies to be written off during the year and simplifies the accounting structure.

Values for labor, service, and supply expenses are obtained directly from the departmental expense accounts. In some jurisdictions, the recorded labor expense includes employee benefits and in others these are kept in separate accounts. As they form a real part of labor costs, the cost system adds employee benefits to arrive at an individual's cost. Services and supplies are usually paid for by the using department. Where this is not the case, these costs are extracted from the accounts where they appear. The cost is then assigned by the cost system to the criminal justice department that is the actual consumer. The second expense area contains all items that are paid for during one year with a major portion of their use applied during other years. All equipment and real facilities fall into this area. It is necessary to establish a method of determining the portion of their actual cost that is to be assessed to each year of their lifetime. For these items the cost study had to develop procedures that deviate from the accounting systems in use by most governments. Budgets and expense accounts only report monies spent during the fiscal year to purchase these items. Departmental accounts include equipment purchases with real property appearing in separate capital accounts. Different methods have been developed to determine annual charges in each of these two items. First, purchased equipment inventories are maintained in property accounts. These

accounts contain item identification, inventory numbers, purchase cost, date of purchase, purchasing department. As in standard business practice, the cost model uses the original purchase price and age to establish a present value. At the present time, an average age is being used rather than actual age to simplify procedures. The effort required to carry the actual age for each item is not warranted by the added precision that would be realized. Consultation with state offices and private businesses was used to arrive at an eight year declining balance method to determine the present value of equipment inventories. An average age of four years has been used when a better estimate has not been available.

Using the computed figure for current value, the annual depreciation expense of 12.5% of present value, the eight year declining balance figure is used to establish a cost for the current year.

Where the inventory accounts are maintained by separate categories such as desks, chairs, typewriters, law enforcement equipment, etc., the cost system maintains this separate accountability.

The actual data collected for equipment inventories is inventory cost assigned department and equipment category (if available). In those cases where equipment is rented rather than purchased, the rental charge is used.

Facilities are subjected to a different treatment. Too many problems arose in attempting to use an annual depreciation process. For assessing depreciation, the primary problem lies in determining the present value of a facility. Each of the possible methods, original construction price, replacement cost of either existing or equivalent structures, etc. proved to be unsatisfactory. For this reason, it was

decided to use equivalent rental charges for all facilities based upon square footage. The data collected for facilities is then department identification and floor space area. State and business interests were consulted in arrival at the figure of \$4.80 per square foot as the annual rental charge. The space measurement includes only that actually used by personnel. Conference rooms, lobbies, lavatories, etc., are omitted with their costs included in the \$4.80 figure. The rental charge includes all utilities and ordinary maintenance. In the cases where these costs are paid for by the department, the charges for them are not included in the determined departmental costs. Estimates show that facilities amount to about 10% of the total costs. A 10% error in assessing facility costs would therefore, amount to a 1% error in total cost. It is felt that additional effort to obtain refined estimates of facility costs are not warranted due to the small change that would accrue overall.

Separate consideration was given to court rooms and correctional facilities. It was felt that these categories were different enough to possibly justify a different charge. In the case of correctional facilities construction cost were found to be comparable. Decreased expenses for finishing work was offset by higher structural costs. Building maintenance however, is less due to the use of inmates in this role. The charge for these facilities was taken as \$4.00 per square foot annually. Court rooms and associated office space were found to have a significantly higher construction cost. A survey of court rooms built in the last few years shows construction costs as high as \$40 per square foot which is almost twice that of office space. Court facilities are therefore, being charged a higher rental of \$6.00 per square foot per year. This figure was arrived at based upon the portion of the overall rental charge that is attributed to construction costs.

DATA COLLECTION

A variety of data sources have been used for the collection of data. Exhibit 6-2 indicates the basic sources used to obtain information for each of the cost categories. The sources for labor, service, and supply expense data is the basic departmental account sheets. From these, the item cost is used as the annual charge with the exception of labor where employee benefits are

<u>SOURCE OF COST DATA</u>	<u>COST ITEM CATEGORY</u>
Criminal Justice Department	Services
Accounts	Supplies
Salary and Wage Supplement	Labor
Equipment Inventories	Equipment
Building Floor Space	Facilities
Supporting Department Accounts	Support Services

Exhibit 6-2. Cost Data Sources

added if not on the basic labor cost sheet. Each item of expense is identified as to type and departmental unit in which it appears in the government organizational structure. At the same time, this cost and identification data is recorded, a record is made assigning the cost to the criminal justice system. This assignment takes one of three forms. Items directly engaged in carrying out the criminal justice processes are assigned as direct charges to

the processes. Items of expense that are used in operations that support these direct charges are assigned to the supported direct item. Administrative items of expense are assigned to the organizational level at which they are applied. The method used to ultimately assess all these charges to criminal justice processes is presented in the following section on the cost system.

Department equipment inventory lists are used to obtain book values for owned equipment. This data is recorded as the basis for determining annual charge. The appropriate rate indicating the percentage of book value taken for the annual depreciation charge is also recorded. For rental equipment only the rental figure is recorded. The organizational identification and assignment to the criminal justice system is recorded at this time. There is no one source that exists uniformly within all jurisdictions for obtaining data on facility space assigned to each department. The offices of property management maintain space assignment records but usually the area measurements must be developed as a separate task. The square footage values are recorded and become the basis for determining the annual charge. The space rental as a rate per square foot is recorded and is used by the computer for computing the total rental charge. As with the other expenses, the organizational identification and criminal justice process assignment is recorded.

#### SUMMARY

*The cost model has been restricted to handle only costs attributed to public agencies dealing with the operation of the criminal justice system. Data sources for the relevant cost items have been identified. A method of estimating costs when direct cost data are not available, and for amortizing capital expenses, was developed.*

## Section 7

### COST SYSTEM

The computerized California Criminal Justice Cost System has been designed to produce a wide variety of cost reports for use by legislators and others responsible for administering and planning the criminal justice system. The cost system will operate within the existing governmental accounting systems and will require a minimum of additional effort to implement as a continuing operation. The material presented in this section explains the general characteristics of the operation of the cost system; a more detailed description of the computer program is given in Appendix B.

#### DATA INPUT

A previous section explained the sources of the basic data provided to the system and described the types of data used. These datum types can be categorized as depicted in the accompanying exhibit, Exhibit 7-1. A copy of the data collection form for recording this information for use by the computer is Exhibit 7-2. The five basic data headings are: item description, item cost, organization address, charged account, and type of allocation. The item description is a combination of an alphabetical description of the item and a numerical identification similar to the usual part or employee number which is used by the computer for item identification and classification. The item cost is composed of two datum: one providing the basis for determining the cost and the other the rate at which the basis is charged. For labor service and supplies, the basis is the actual cost with the rate being all of the cost. For equipment, the basis is the inventory value. The equipment rate is the depreciation. For facilities, the basis is the square footage and the rate is the annual footage rental. The organizational address is a numeric-

1. Item Description
  - a. Name
  - b. Identification Number
2. Item Cost
  - a. Basis
  - b. Rate
3. Organizational Address
  - a. Agency Identification
  - b. Unit Identification
4. Charged Account
  - a. Criminal Justice Process
  - b. Organizational Address
5. Allocation
  - a. Type
  - b. Amount

Exhibit 7-1. Basic Data.

ally coded identification of the organization to which the item is charged by the existing agency accounting system. The government and agency identification forms part of this address. The charged account identifies, for the computer, the place in the criminal justice system where the item is used. The account will be a criminal justice process in the case where an item is directly engaged in carrying out a process or the address of the unit served for support and administration charges. Finally, the type of allocation identifies the item as being direct, support or administrative and indicates the fraction of the total item expense to be charged to the indicated account. This last designation



allows a single cost item to be charged to several accounts. This is of particular significance for personnel who are engaged in several processes. The computer operated portion of the cost system performs several distinct functions described in the following paragraphs.

#### COST ALLOCATION

It is seen that the basic data relates only direct costs to the criminal justice processes. Support and administrative expenses are charged either to the direct items or the organizational unit supported. The computer performs the computations necessary to reach the final allocation of all costs to the processes. The method by which this is accomplished involves cascading the administrative and the support costs onto the direct expenditures as a cost burden or, as it is usually referred to, as an overhead expense. Standard business cost accounting rules have been used by the cost system to compute these charges. Exhibit 7-3 indicates the method by which the charges are computed.

The allocation of the direct expenditures to the criminal justice processes is accomplished by determining for each direct expense the proportion of total time spent on an individual process. This portion of the direct cost together with its cost burden is levied against the process. Support expenses were defined as those which perform functions which support the direct personnel in carrying out their criminal justice tasks. The cost of the support operations are therefore charged to the direct labor served in proportion to the amount of time spent in support of each. Administrative charges have been separated into two types, as explained in the previous section. The first, specific administrative, is due to administrative expenditures within a department, with the second, general administrative, resulting from the general costs of government. The basic data input assigns the specific administrative costs to the organization within the

EXPENSE ACCOUNTS	ACCOUNT CHARGED	METHOD OF DETERMINING CHARGE
Direct Process Chargeable	Criminal Justice Processes	Amount of Time
Support	Direct Labor Supported	Amount of Time
Specific Administrative	Direct and Support Labor Served	Proportional to Labor Costs
General Administrative	All Departments	Proportional to Total Department Costs

Exhibit 7-3. Allocation of Expenses.

the department where the cost sources are located. The cost system transfers these costs to the direct and support labor accounts in proportion to the labor costs in the organization served. General administrative costs are assigned by the input data at the department level. The cost system allocates this cost to the operating units within the department in proportion to total unit cost. The essential difference between specific and general administrative costs, from the point of view of the cost system, is seen to be the dollar base for performing the allocations. This difference is recognized in the private business sector as due to essential differences in the types of administration performed by the two groups. Standard cost accounting systems use allocation procedures similar to that employed by the criminal justice cost system.

The transfer of the non-direct expense accounts to the direct expenditures serves as the basis for the final allocation of all costs to the criminal justice processes, as illustrated in Exhibit 7-4. For each direct expense the cost system maintains the separation of the total account into the four categories which enable reports to be generated giving total cost, direct cost only, etc.

#### COMPUTER FUNCTIONS

The computer operations included in the cost system are separated into three functional areas: data input, computation, and report generation. These are depicted in Exhibit 7-5. A detailed description of the computer programs is given in Appendix C. Each function is a separate program and are run sequentially. The data input phase takes the basic data, as provided on 80-column punch cards, checks it for errors, and constructs a master data file on magnetic tape. Once a master file is available, the program need be provided only new data which is added

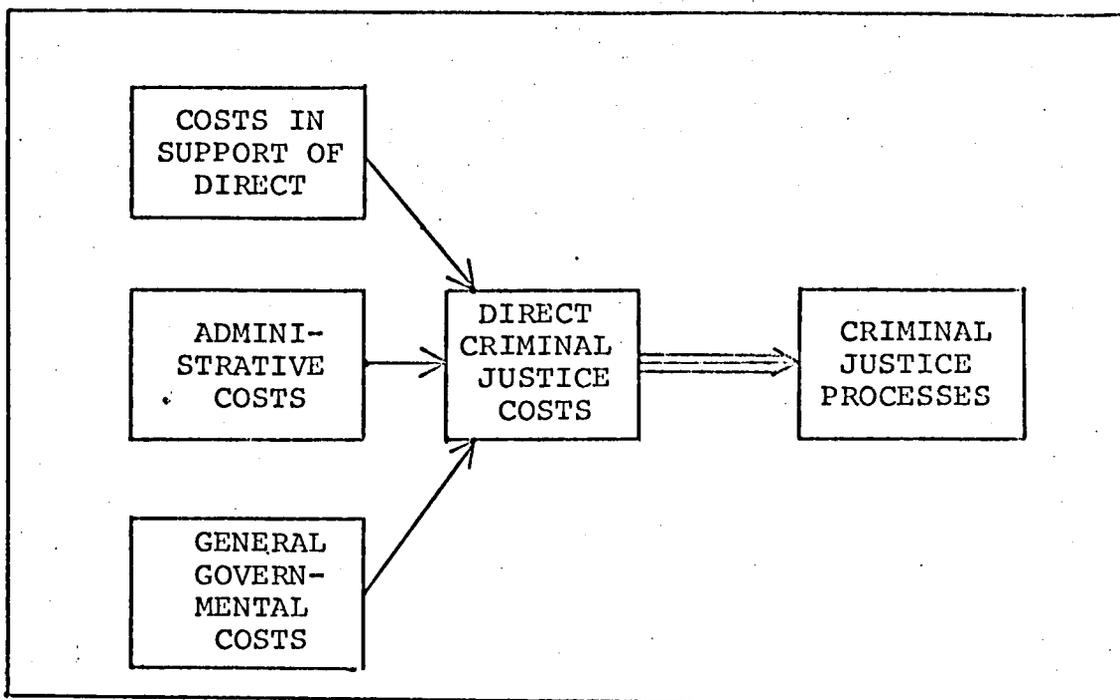


Exhibit 7-4. Basis for Final Allocation of All Costs.

at the proper place to the existing file. Errors detected by the program are corrected with corrected data cards used to add this information to the file. The master file provides the input information for the computation phase.

The first operations performed by the computation phase develop the bases for allocating the support and administrative charges to the direct accounts. This allocation is then performed with the resulting direct accounts charged to the criminal justice process accounts. All of this information is written onto magnetic tape forming the Augmented Data File. This file contains a breakdown of all of the total account costs into subaccounts.

The report generation phase manipulates the Augmented Data File under the direction of the operator to generate the required reports. A set of standard reports providing summary data are printed with a single operator command. Other reports require the operator to specify the types of information desired. The program interprets these directions, extracts the proper data from the file, performs necessary summaries, and prints the report.

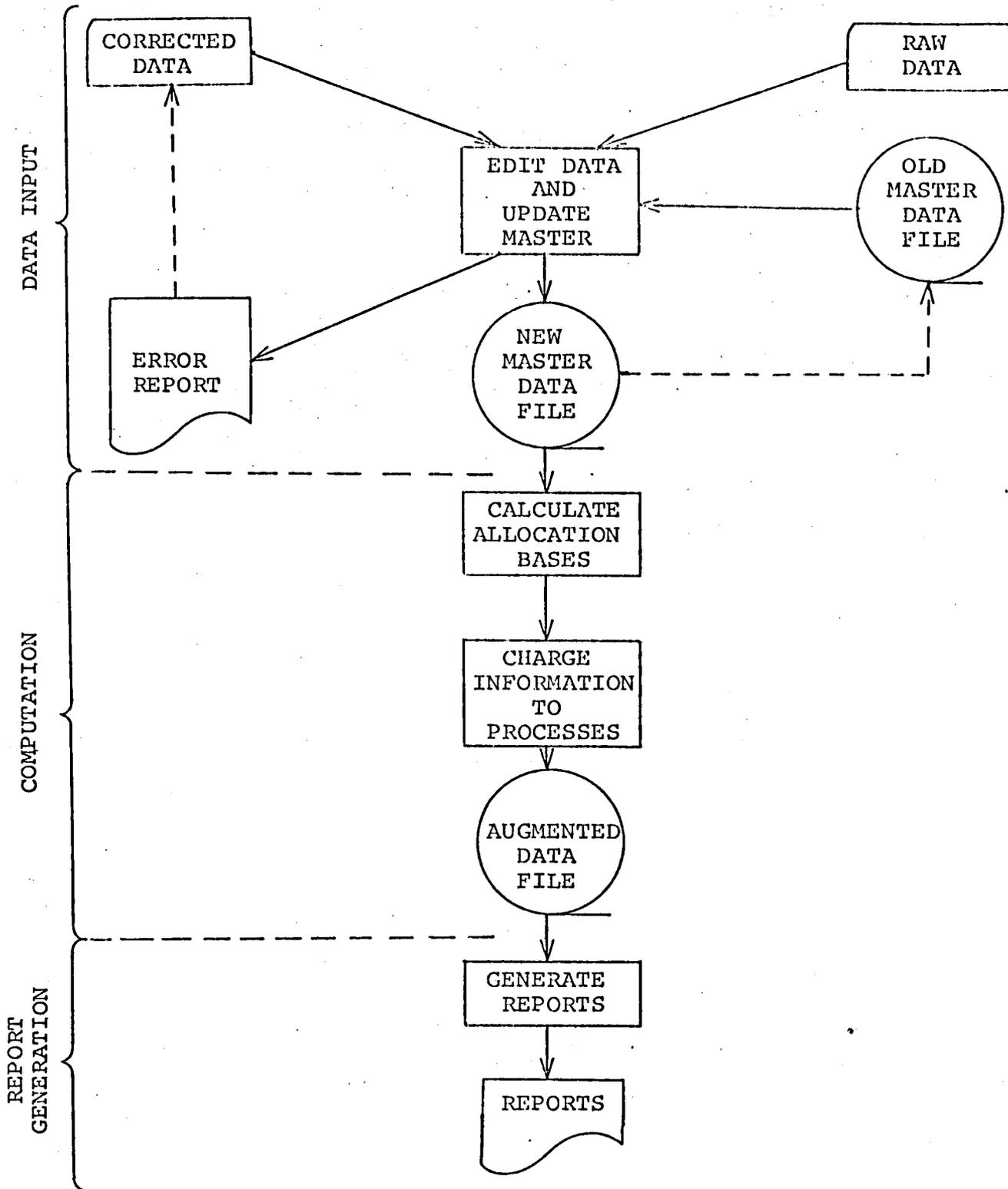


Exhibit 7-5. Functional Areas of Cost System Computer Operations.

Appendix A

PROJECT STAFF AND PERSONNEL CONTACTED

The following lists give the names of project staff personnel, members of the Project Advisory Group, and a partial list of other individuals and organizations who were consulted and graciously contributed their efforts to the project.

PROJECT STAFF

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California Bureau of Criminal Statistics

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PROJECT ADVISORY GROUP

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James M. Hall, Co-Chairman  
Hon. Arthur Alarcon  
Bernard J. Clark  
Hon. Marie Bertillion Collins  
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Robert Eckhoff  
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Kenneth Kirkpatrick  
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Charles J. Patterson  
Hon. Ray Reynolds  
Mrs. Dorothy L. Schechter  
Arlo Smith  
Ted L. Smith  
Keith Sorenson

OFFICES CONSULTED

State of California

Assembly Criminal Justice Committee  
Assembly Judiciary Committee  
Assembly Select Committee on the Administration of  
Justice  
Administrative Office of the Courts  
Youth Authority  
Department of Corrections  
Department of Justice  
Department of General Services

Alameda County

County Executive  
Probation Department

Contra Costa County

County Executive

Del Norte County

County Executive

Los Angeles County

County Executive  
Sheriff  
Probation Department

Orange County

County Executive  
Police, City of Garden Grove

Riverside County

County Executive

Sacramento County

Public Defender

San Diego County

Criminal Justice Planning Coordinator  
District Attorney  
Sheriff  
County Clerk  
Police, City of San Diego

San Joaquin County

County Administrator  
Sheriff  
District Attorney  
Public Defender  
Probation Department

Santa Barbara County

County Executive

Santa Clara County

County Executive  
Public Defender  
Adult Probation Department  
Juvenile Probation Department

## Appendix B

### CRIMINAL JUSTICE PROCESSES

This appendix describes the general procedure developed on the project for separating the criminal justice system into a collection of individual processes. The method used to obtain this breakdown is presented together with a description of the processes. A complete criminal justice process list, including definitions, has been given in Section 4.

The most directly resolved organization problem is the basic functional breakdown. Traditional usage has divided the criminal justice system into three functional components: law enforcement, the courts, and corrections. While providing a useful starting point, this tripartite breakdown does not go far enough; separable functions are clearly evident in these categories and thus additional refinements have to be made.

First, it is necessary to recognize the large scope of law enforcement activities outside the spectrum of work connected with specific crimes. The logical breakdown of the law enforcement component is into the crime prevention/suppression function and the investigation/apprehension function. The former comprehends those processes which directly tend to prevent or suppress acts which are both injurious to the public safety and legally prohibited. The latter refers to those processes of inquiring into the particulars of an alleged or actual criminal incident. Second, in dealing with the court system, the law currently separates adjudication of juveniles from adjudication of adults. Hence, the court function must be broken down into judicial process which involves the adjudication of adult criminality and the juvenile judicial process which involves the adjudication of juvenile delinquency and dependency.

Third, a similar distinction is recognized in both the law and practice of corrections. Thus, the correctional function is divided into both adult corrections and juvenile corrections. But, there is an additional correctional distinction which must also be made. The custodial and rehabilitative processes supporting the correctional function are usually applied to adjudicated adults and juveniles. To provide clarification, pre-adjudication custody or rehabilitative activities should be separated into their own separate categories. And two additional functions, unsentenced custody/correctional processes for both adults and juveniles, have been developed as part of the organizational format.

This leads to an eight-part functional breakdown of the criminal justice system and these have been arranged organizationally in a way which is partly based on sequence and partly based on client group. Thus, the first two parts are the law enforcement functions of crime prevention/suppression and investigation/apprehension. The next three parts all pertain to subsequent processes involved with adults: judicial process, adult corrections, and unsentenced custody/correctional processes for adults. While this latter category sequentially belongs prior to the judicial process, its present place in the organizational framework represents both its smaller relative size and its close material compatibility with the correctional function. The final three categories are the juvenile judicial process, juvenile corrections, and unadjudicated custody/correctional processes for juveniles.

Since the basic breakdown of the criminal justice system into eight parts is based upon function, it is important to point out that several agencies may be involved in each category. Thus, sheriffs and police department, and the California Highway Patrol, are involved in the two law enforcement functions; and the functions of corrections and unadjudicated custody/

correctional processes are performed not only by probation, parole, and prison agencies but also by police and sheriff departments. And the two parts related to the judicial function encompass many agencies in addition to the courts, such as public defenders, district attorneys, probation departments, law enforcement officers, bail projects, court staffs, and county clerks. For the most part, however, those agencies participating in criminal justice functions are limited in this format to public agencies.

#### PROCESS DESCRIPTION AND ORGANIZATION

##### Law Enforcement Crime Prevention/Suppression

The work of law enforcement as noted above has been divided into two functions--crime prevention/suppression and investigation/apprehension. The former function pertains to all the activities of law enforcement agencies which do not involve a specific crime situation. The processes which relate to this function can be grouped into four sections:

1. Community and Personal Contact
2. Preventive Patrol
3. Maintenance of Public Order
4. Movement/Control of Traffic

It will be seen that the processes listed in each activity group are logically distinct from the processes in other activity groups except for the fact that all are concerned with prevention/suppression activities of a general nature. However, the particular process to which an officer may be assigned should not be confused with what he actually ends up doing. Whatever the formal assignment, if actual work shifts to another process in this function or the investigation/apprehension function, the latter constitutes the process to which the officer's work will be assigned.

It is also noted that some of the contact processes may generate record inquiries with the criminal justice information record system and all require report preparation. These are dealt with as separable processes in each activity group. The reason for this division is to focus attention on expenditures for the actual law enforcement work carried out.

Community and Personal Contact. The first activity group incorporates those processes involving community and personal contact of a general nature. Each serves a distinct purpose. The normal process of stopping, questioning, and inspecting is a prelude to the investigation function, while personal or community assistance, such as giving directions to a motorist, pertains to the service aspect of law enforcement work. The important process of community relations is part of this activity group and is defined as providing specific crime prevention techniques and information to community groups and individuals.

Preventive Patrol. This second work activity group, preventive patrol, is the category of processes completed by officers on patrol for the purpose of observing the public and being on view for its deterrent effect. The basic forms of preventive patrol are motorized patrol, patrol using vehicles other than automobiles, and foot patrol. If the patrol activity involves a providing of the escort for security purposes, it is separated out as a security escort. Furthermore, the examination of structures for the purpose of assuring that they have not been the scene of a criminal or delinquent act is included under this work activity under the heading of security inspections because of its basic similarity to other preventive patrol processes.

Maintenance of Public Order. The third category of work activities is maintenance of public order. These are the

processes applied to the preservation of public peace or compliance with law while a portion of the public engages in special or unusual activities. Here, the processes are categorized according to the major types of activities where such services are provided--special events and civil disturbances.

Movement/Control of Traffic. The fourth work activity grouping relates to the processes of regulating the movement of vehicles, ships, and persons. The processes involved are traffic patrol and accident investigation. These two processes are given a broader description than other processes described under this function. They include investigation and apprehension related to traffic laws which arguably belong to the investigation/apprehension function. However, it is desirable to distinguish traffic crimes from the more serious offenses dealt with in the processes related to the investigation/apprehension function. Nevertheless, although traffic patrol may get involved in apprehension or investigation of traffic law violations, other criminal incidents related to the use of vehicles such as auto theft, drunk driving, or transporting contraband, etc. are included under the investigation/apprehension section.

Law Enforcement Investigation/Apprehension

The investigation/apprehension function pertains to the function of inquiring into the particulars of a criminal incident in order to learn the elements of the incident and/or the arresting of one or more persons considered to be responsible for the criminal incident. The processes which compose the function can be divided into two categories:

1. General Programs
2. Special Programs

While some of the processes which make up these two work categories are classified according to the kind of work which they involve (as with the crime prevention/suppression processes), others depend on the underlying offense which leads to the process. All processes relate to both investigation and apprehension, but the accounting system will distinguish between the two in reporting cost elements. As with the crime prevention/suppression processes, actual work by a law enforcement officer rather than formal assignment determines which process is invoked and report preparation where applicable is distinguished as a separate process.

General Programs. The general program work activity group encompasses those processes typically associated with investigation and apprehension work. Four processes classify investigation or apprehension by offense category. Crimes against persons and crimes against properties refer to those offenses traditionally placed in these categories. Vice/organized crime refers to narcotics, prostitution, liquor law violations, gambling, etc. A general process involving miscellaneous offenses against the public and peace and order includes drunkenness, disturbing the peace, public nuisances, and the like. It is distinguished from the process of maintaining public order at civil disturbances since the latter involves a group of persons as opposed to one or two individuals.

A fifth process pertains more to the activity involved rather than the underlying offense. This is alarm response--that process of sending a unit to a location where an electronic/mechanical signaling device had been activated.

Special Programs. Where investigation and apprehension activities are of a distinct character and not covered by the general program categories, they are classified as special programs. The principal process in this work activity group

are the serving of arrests and/or subpoenas and booking which is defined as including all activities performed in carrying out the usual booking operation.

### Judicial Process

The function of judicial processes is to initiate and carry out the adjudication of crime. The processes which compose this function are organized into five work activity groups:

1. Initiation of Prosecution
2. Proceedings Prior to Trial
3. Trial Proceedings
4. Post-Trial Proceedings
5. Habeas Corpus

The processes applicable to each of these activity groups are arranged for the most part in the sequence they take in the adjudication of an individual criminal defendant. Habeas corpus which can occur at any time an individual is confined is placed at the final listing. Furthermore, the individual process listings distinguish between felony and misdemeanor adjudication in Superior, Municipal, and Justice courts. This refinement facilitates determination of such issues as the cost consequences of plea bargaining and procedural changes in the adjudication sequence. A further point is that preparation time for all personnel participating in each process is included as part of the applicable process. This is distinguishable from the law enforcement section where report preparation and record inquiry are described as separate processes within each activity group. The reason for inclusion when dealing with judicial categories is the assumption that preparation times per process may vary widely. It would then be a distortion to attempt to group all preparation costs for an entire activity group under one separate process.

Initiation of Prosecution. Those processes which provide a transition from law enforcement activity (the investigation/

apprehension function) to judicial activity are grouped under initiation of prosecution. The two main processes in this category are charging and indicting. The former includes all work by district attorneys (including investigation) in preparing complaints and information; the latter comprises all grand jury activities in issuing an indictment.

Bail and own recognizance release activities are also included in this activity group as part of the releasing from custody processes. While technically, these actions may occur both before and after a court appearance, they are included in the prior category because no judicial time is allocated to this process; only the staffs who support these programs are included.

Proceedings Prior to Trial. Those processes which occur before trial either necessarily or at the defendant's option are grouped as proceedings prior to trial. This activity group includes arraignment and pre-trial proceedings for both misdemeanors and felonies as well as felony preliminary examinations. Hearings based on Penal Code Sections 995 and 1538.5 motions including resulting petitions to higher courts are separated from other pre-trial hearings because of their frequency and significance.

Trial Proceedings. Those processes which lead to a determination of guilt or innocence are listed under trial proceedings. The trial confirmation process includes both the calendar hearings under a master calendar system and the pre-trial or trial confirmation conference which some courts adopt. The trial process includes both court and jury trials. A further category, trials on transcript, is defined as a felony court trial disposed of on the record of the preliminary hearings (although other evidence may also be introduced by either party). Another refinement of the trial process is the category of felony court or jury trial terminated by change of plea or dismissal; this listing was adopted

to provide congruence with the recordkeeping system of the California Judicial Council.

Post-Trial Proceedings. This fourth activity group encompasses those processes which either must occur prior to conviction or which may occur at any stage in adjudication prior to sentencing. The included processes are insanity and civil commitment hearings, post-trial hearings, sentencing/probation revocation hearings, and appeals to higher courts. The civil commitment hearings concern alleged narcotics addicts and mentally disordered sex offenders who have been convicted of some offense. Sentencing and probation revocation hearings are dealt with as a single category, even though some courts may conduct them as separate calendars, because of their essential similarity and because the California Judicial Council has adopted the policy of combining them in published reports. This is thus an example of the cost analysis system adapting to data available from other analytical systems.

Habeas Corpus. As already noted, the fifth activity group is concerned with habeas corpus hearings and appeals.

#### Juvenile Judicial Process

The function of the juvenile judicial process is to initiate and carry out the adjudication of juvenile delinquency or dependency. The processes which compose this function are divided into four work activity groups:

1. Initiation of Juvenile Proceedings
2. Detaining Juveniles
3. Proceedings to Declare a Minor a Ward or Dependent Child of the Court
4. Other Hearings Related to Juveniles

As indicated, the juvenile judicial process includes the adjudication of the dependency status. Although this is not technically a part of crime-related judicial activity, it is

included because of its procedural similarity and relevance. Other proceedings involving non-delinquent youth, such as adoption and guardianship are not, however, included in this function. As in the case of the judicial process, the processes are arranged sequentially and preparation time for all participants involved in each process is allocated to the process itself.

Initiation of Juvenile Proceedings. That process which provides a transition from law enforcement activity (the investigation/apprehension function) to entry in the juvenile justice system, probation intake, is placed in the activity group, initiation of juvenile proceedings. In order to maintain analogy with the activity group entitled initiation of prosecution, the aspect of the intake function dealt with is limited to the screening of minors to determine subsequent action. In this, probation officers function analogously to district attorneys. Although in actual probation practice, time spent in preparing investigation reports for later use in court may be considered as part of the intake process, this activity has been more logically assigned to the appropriate trial process for which the report is prepared.

Detaining Juveniles. The activity group, detaining juveniles, is limited to processes involved in the judicial determination of whether to detain--detention hearings and rehearings. The custodial aspects of juvenile detention are included in another functional process.

Proceedings to Declare a Minor a Ward or Dependent Child of the Court. This work activity group is composed of judicial activities leading to a determination of whether wardship or dependency will be declared. Because of the bifurcated juvenile proceeding, jurisdictional and dispositional hearings are two separate processes. Where these hearings are conducted by a

referee, there may be a rehearing before a juvenile court judge. Appeals may be made, as in the judicial process.

Other Hearings Related to Juveniles. This activity group includes processes dealing with three different situations. The first is subsequent changes in the case of a minor who has been declared a ward or dependent child of the juvenile court. These range from new hearings because of a change of circumstances or discovery of new evidence and hearings on supplemental petitions which involve custodial change to other hearings or modification of court orders, annual review of dependency cases, and hearings on petitions for the sealing of police, probation, and court records.

The second situation is the process whereby the juvenile court reviews a probation officer's decision not to file a case which has been referred.

Finally, for certain offenses, adjudicatory proceedings may take place which do not lead to a declaration of wardship. The most prominent example is the traffic hearing.

#### Adult Corrections

The function of adult corrections is care, custody, and supervision of individuals who have been convicted of a criminal offense and sentenced or had the imposition or execution of a sentence suspended. The processes which are a part of this function compose five categories:

1. State Correctional Institutions
2. State Parole
3. Sentenced Local Incarceration
4. County Parole
5. Probation

It can be seen that the processes are grouped according to both type of activity carried out and applicable jurisdiction. The process listings do not include the names of specific institutions; instead, they emphasize what happens at the various institutional placements. A separation by institution is obtained as part of the organizational breakdown. Furthermore, the processes include both dispositional alternatives available to the sentencing authority and activities such as parole which are subsequent to the initial disposition.

State Correctional Institutions. The processes in this activity group pertain to individuals who have been committed to the institutional custody of the Director of Corrections. The basic process is institutionalization but offender participation in work furlough or other special programs is considered as two additional institutionalization processes. Intake diagnosis and classification, release processing, and STRU are additional separate processes. Finally, the process of parole hearing is included in this work activity group.

State Parole. This category includes all processes related to the conditional release of an offender from the institutional custody of the Director of Corrections where the offender will remain under the continued supervision (or custody) of the state, under conditions that permit reincarceration in the event that parole conditions are violated. The processes are divided according to form of supervision and they range from no supervision and regular caseload to special caseload or placement in special community programs. Parole revocation hearings are considered to be part of this activity group.

Sentenced Local Incarceration. The processes involving the care, custody, and supervision of individuals sentenced to local jails compose this category. The basic process is confinement in the county jail; but a separate process of jail, farm, camp,

or workhouse confinement is established where offenders need minimum care or are serving short sentences. Work furlough and special programs are also separate processes. County parole hearings are part of this activity group.

County Parole. A little used, but statutorily permitted system of county parole is given separate status.

Probation. Probation agencies operate several programs which permit convicted offenders to remain in the community. The processes of probation are summary probation (no supervision), regular supervision, special supervision (specialized caseload and/or programs), and community treatment programs (centralized special treatment programs which may involve placement in a special living arrangement).

#### Juvenile Corrections

The function of juvenile corrections is the care, custody, and supervision of minors who have been declared wards or dependent children of the juvenile court. The processes contributing to this function can be grouped into four categories:

1. State Institutional Commitment
2. State Parole
3. County Correctional Institutional Placement
4. County Probation

The processes of juvenile corrections are essentially the same as those of adult corrections and are grouped according to both the type of activity carried out and the applicable jurisdiction.

State Institutional Commitment. The processes in this activity group pertain to minors committed to the institutional custody of the Director of the Youth Authority. Institutionalization is the basic process with intake diagnosis and classification, special programs, parole hearings, and releasing processing all given separate status.

State Parole. This category includes all processes related to the conditional release of minors from the institutional custody of the Director of the Youth Authority where the minor will remain under the continued supervision (or custody) of the Youth Authority, under conditions that permit reinstitutionalization in the event that parole conditions are violated. There are several supervision/custodial processes applicable to parole and involving different degrees of regulation--informal supervision, regular and special caseload supervision, special treatment, and placement in a foster or group home. Parole revocation hearings are included in this activity group.

County Correctional Institutional Placement. Processes in this category relate to minors committed to the county probation department for out-of-home placement. Alternative placement processes are county camp, ranch, or school, or foster and group homes or halfway houses. Daycare centers are included in this grouping even though the minor is not totally removed from the home because the degree of institutionalization involved distinguishes this process from community supervision. Finally, the minor may be confined temporarily at the juvenile hall pending placement and this confinement process is also included.

County Probation. County probation involves the care and supervision of minors living in their own homes. The usual processes are regular supervision, special supervision, and community treatment. The informal supervision process has been assigned to this category even though wardship has not been adjudicated because of its basic similarity with the other county probation supervision processes. This category also includes probation revocation hearings.

Custody/Correctional Processes Prior to Final Disposition (Adult). This function concerns the custody or supervision of individuals accused of crime who have not yet been convicted or received final disposition. Activity groups in this category are:

1. Incarceration Prior to Final Disposition
2. Diagnostic Evaluation
3. Corrections Prior to Final Disposition

Although the processes which perform this function have been traditionally associated with law enforcement or corrections, there are three reasons for treating them as separate from law enforcement or correctional functions. First, private agencies may make a significant contribution to this function. Second, it focuses on pre-conviction incarceration which is a significant cost factor bearing on the use of own recognizance release and bail. Third, it permits emphasis on pre-sentencing correctional programs which are attracting considerable interest in the criminal justice field.

Incarceration Prior to Final Disposition. The lock-up process applies to those persons accused of a felony and awaiting preliminary hearing. The custody process applies to defendants in a secure facility following arraignment and prior to full adjudication.

Diagnostic Evaluation. The diagnostic processes are court ordered medical/psychiatric or psychological evaluations, diagnosis by the Department of Corrections or the Department of Mental Hygiene, and local or private agency diagnosis.

Corrections Prior to Final Disposition. This category refers to such diversionary programs as suspending proceedings while an accused is placed in an employment or other rehabilitation program.

Un-Adjudicated Custody/Correction Processes (Juvenile)

The function of un-adjudicated custody/correctional processes concern the custody or supervision of minors who are or may become the subject of petitions to declare them wards or dependent children of the juvenile court. Activity groups in this category are:

1. Temporary Custody and Detention
2. Diagnostic Evaluation
3. Un-Adjudicated Corrections

The rationale for separating this function from law enforcement and juvenile corrections is approximately the same as discussed above under the same adult function. Separation permits emphasis on private agency participation and projects which divert the minor from the juvenile justice system.

Temporary Custody and Detention. This category refers to the process of juvenile hall detention for the purpose of determining whether to file a petition or disposition of a petition currently pending. Detention for other reasons is dealt with elsewhere.

Diagnostic Evaluation. The diagnostic processes are court ordered medical/psychiatric, social/psychological observation and evaluation of a minor prior to adjudication, diagnosis by the California Youth Authority and Department of Mental Hygiene, and local agency or private diagnosis.

Un-Adjudicated Corrections. This category refers to such diversionary programs as the Youth Services Bureaus.

## Appendix C

### COST SYSTEM COMPUTER PROGRAM

This appendix contains an explanation of the operations performed by the computer program used by the cost system. The overall program structure is illustrated in the main line logic flow diagram given in Exhibit C-1. The computer program is composed of three phases: initialization, computation, and report generation. The initialization phase is responsible for handling all data inputs and creates the master data file on magnetic tape. The master data file is maintained by the use of an update program. In this manner, only new input data cards are required to change the master file. The computation phase creates account records for all organizational nodes and processes from the basic data. All needed calculations are performed to generate an augmented master file from which the reports are generated. Finally, the report generation phase takes the augmented master file, extracts necessary information, and compiles the data into the reporting forms. The following paragraphs give additional details on the internal operations performed in each of the three program phases.

#### INITIALIZATION PHASE

As mentioned above, the initialization phase is responsible for the maintenance of the master file. An expanded mainline logic flow diagram of this phase is presented in Exhibit C-2. There are two subprograms to complete this phase. The first is an editing program which is responsible for checking the raw data from the cards and changing this data into a format for the computation phase. The editing program checks the raw data and verifies that only legal codes are used in each data field. Erroneous data is rejected and an indication of the errors detected is printed on an error report. The data cards are corrected and resubmitted

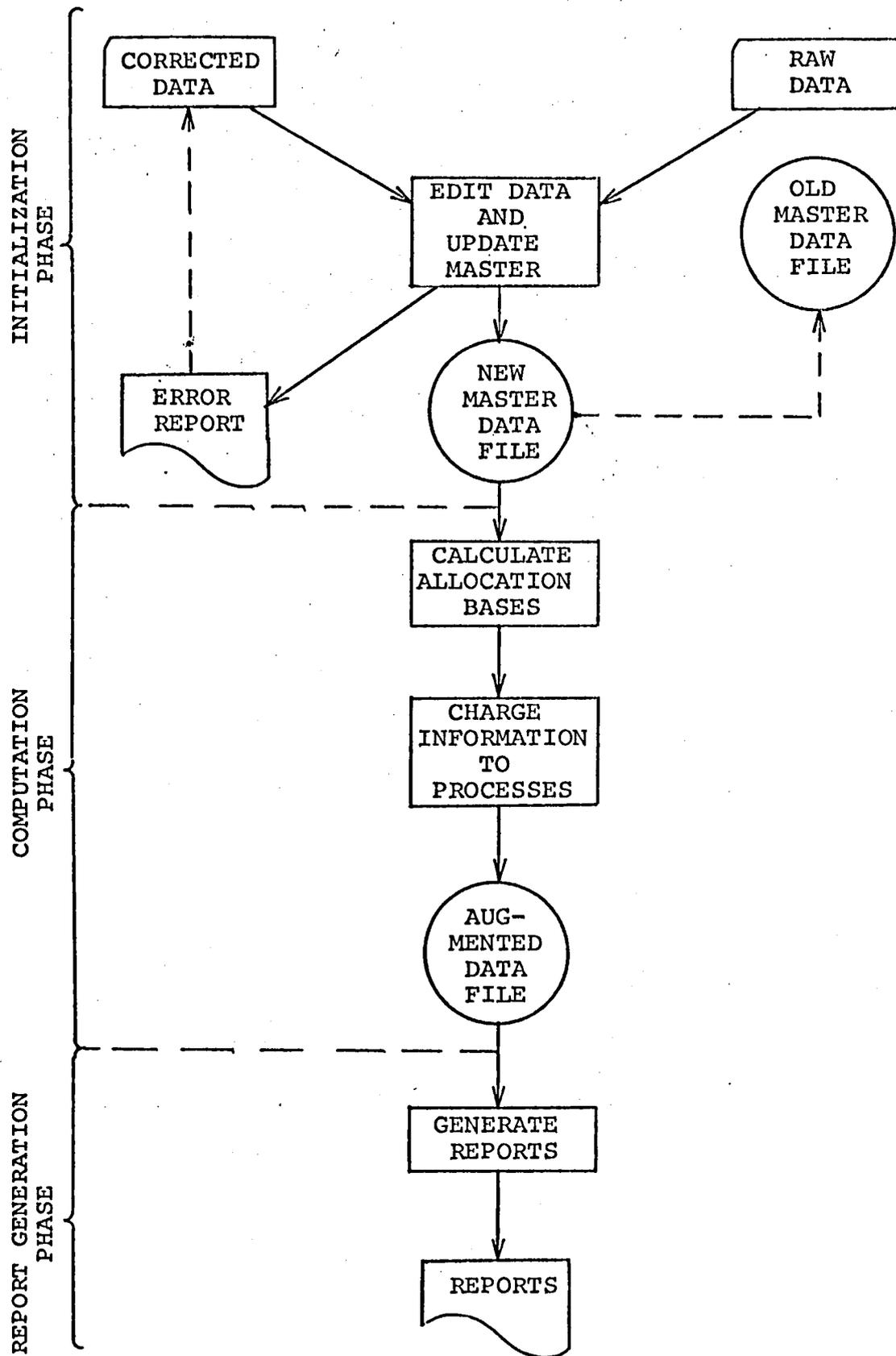


Exhibit C-1. Cost System Main Line.

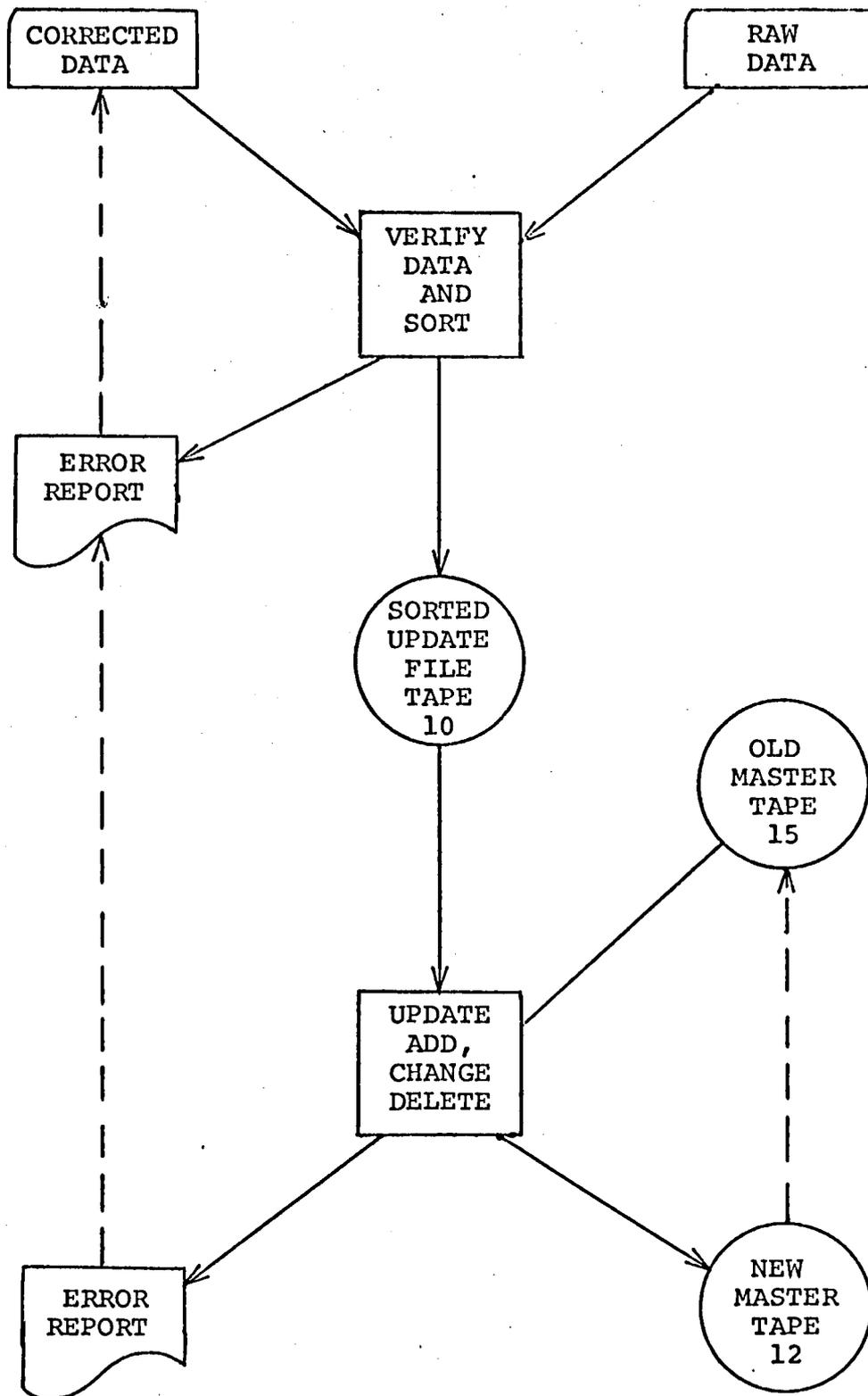


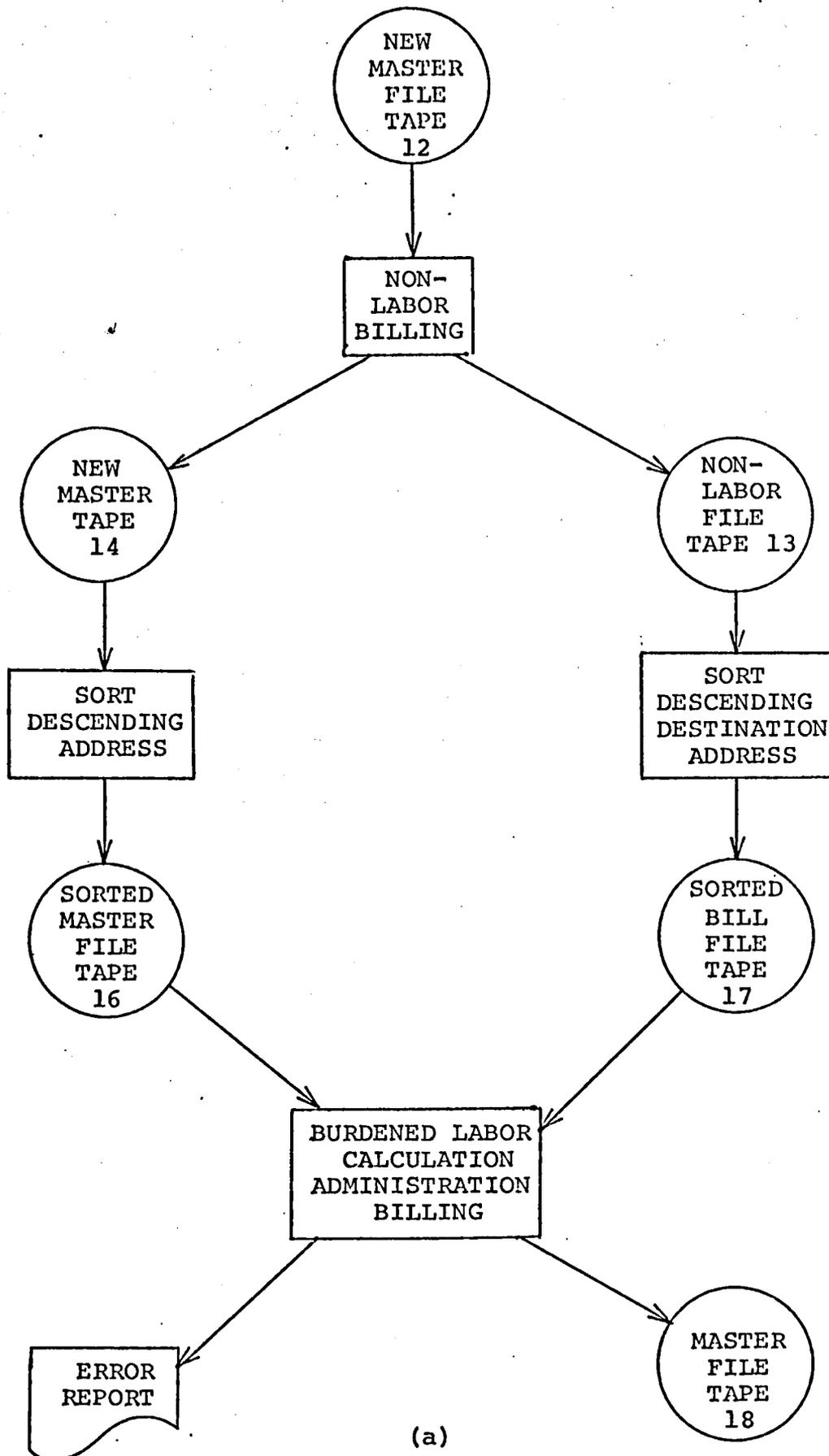
Exhibit C-2. Initialization Phase Main Line.

to the computer. The edit program generates a magnetic tape update file which contains the correctly formatted data sorted in the proper order.

The second program in the initialization phase is responsible for updating the master file. This program uses the update file to add, change, or delete records from the old master file. Any errors detected at this phase of the operation are printed on an error report which is handled in a similar manner to that generated by the editing program. The new master tape developed is used as the input data to the following computation phase.

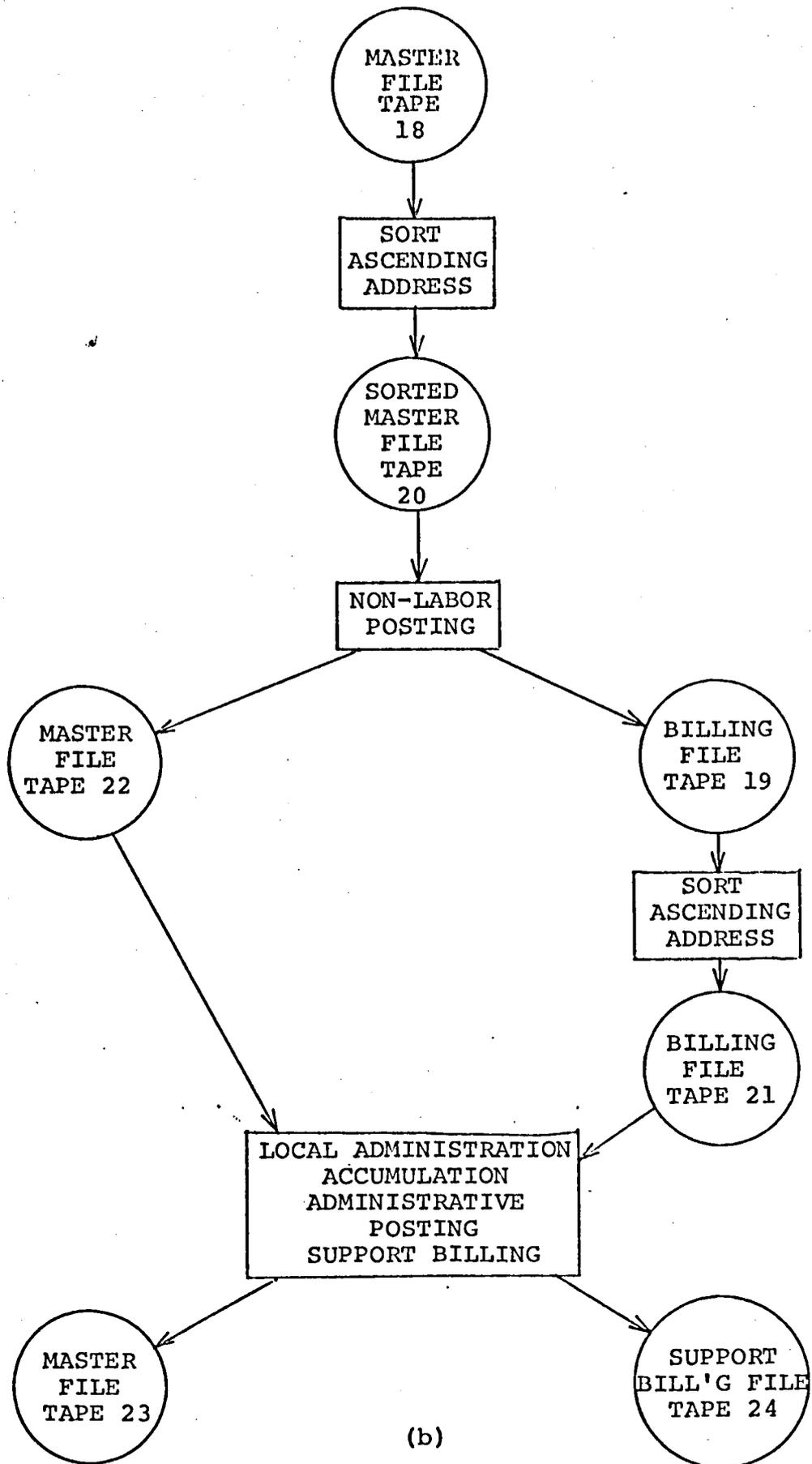
#### COMPUTATION PHASE

The computation phase is responsible for reading the master file and performing the computations for the cost analysis. This phase is composed of six programs, each performing certain computations and creating information for subsequent subprograms. The computation phase flow diagrams are given in Exhibit C-3. The data contained on the master tape contains the same basic information that was collected from the governmental units. To facilitate data collection and to require the minimum amount of training on the behalf of recording clerks, this information contains only the first level cost refinement; that is, administrative costs are charged to the organizational level at which they appear, support costs are charged to the organization they support, and only direct costs are charged to the criminal justice processes. The six computer subprograms construct the logic chains connecting all of the costs to the processes. This is done by working down the organizational structure, cascading the billing from one level to the next, to the lowest operating level from which the charges are assessed to the processes. Administrative charges are assessed against lower organizational units in proportion to the subunit's labor base. A labor based at any level is computed by working up the organizational chart.



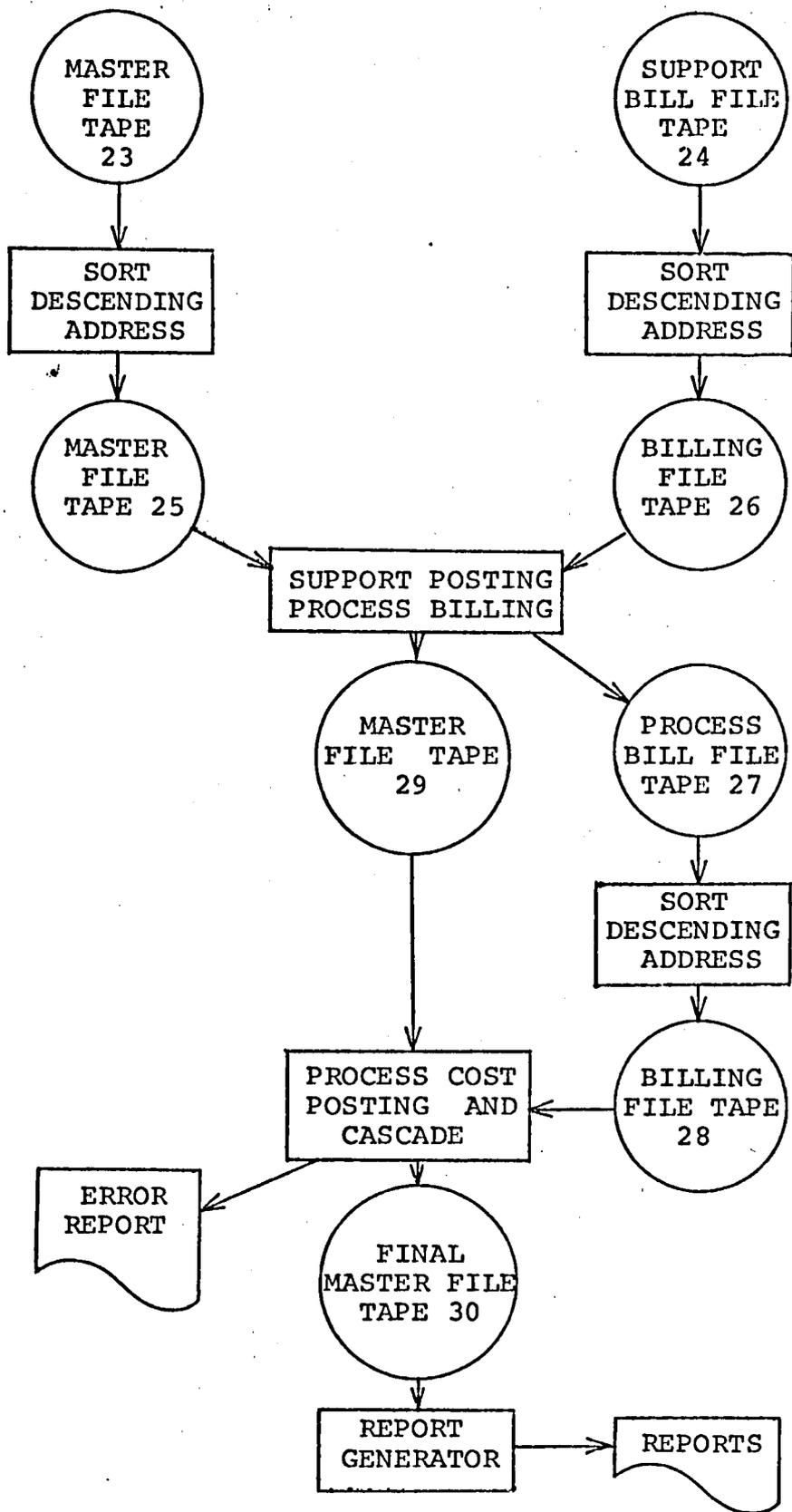
(a)

Exhibit C-3. Computation Phase Main Line.



(b)

Exhibit C-3. Continued.



(c)

Exhibit C-3. Continued

### Non-Labor Subprogram

This subprogram performs two operations. The first and primary function is that of examining all non-labor costs and creating a billing record used by the next subprogram to charge all these items to the proper accounts. At the same time, this program examines each node in the organization to determine the amount of support charges and direct charges located at that point. The support costs at any point are determined by transferring these charges from the organizational position where they appear to the billing account for the supported organization. Following these operations, the non-labor billing file and the master tape are sorted in descending order in preparation for posting the billings to the proper accounts.

### Burdened Labor Subprogram

The primary operation performed by this subprogram is to add the non-labor charges assessed against an organizational node to that node. This operation starts at the lowest level of the organizational chart. The program works up through the organizational node, giving the total labor costs, non-labor costs, and administrative costs appearing up to any particular node. These form the labor base, specific administrative base, and general administrative base for that node. By this process, the various bases are cascaded upward through the organization. In this manner, any organizational level will have the total bases of the positions below it, plus its own bases added to it. When the process reaches the top of the organization, the account will contain the total for that unit. The master tape is then placed in reverse order in preparation for the next subprogram.

### Non-Labor Posting Subprogram

The first operation of this subprogram is to charge to the proper accounts the non-labor billings generated by the first subprogram. The non-labor costs charged at any organizational node are proportioned among the accumulated labor collars appearing at that point.

The non-labor expense becomes a cost burden, similar to employee benefits, that adds to the total cost of labor. At the same time that the program is allocating non-labor charges to an organizational node, the account for that node is examined to look for a charge that is specific or general administration. If this condition occurs, an administrative billing record is created for the next program. This billing file is then placed in the proper order for charging the accounts in the next subprogram.

#### Administrative Charge Assessment Subprogram

This subprogram levies the administrative charges against the labor accounts at each organizational level. At the same time, the program examines each account to identify support charges. For each support charge, a billing record is created which contains non-labor and administrative cost burdens in addition to the basic support cost. The master file and the support bill file are then sorted into the correct order for posting the support charges to the proper accounts.

#### Support Subprogram

This program performs two functions. First, the support charges are posted to the proper accounts. Second, the program identifies and separates all direct charges. A billing file for charging a direct charge to the criminal justice processes is constructed at this time. The billing file is then placed in the proper order for posting to the process accounts.

#### Process Posting Subprogram

This final subprogram in the computation phase transfers all of the dollars accumulated in the direct charge accounts, as represented on the direct charge billing file, to the criminal justice processes. The direct charges are the only items connected to one of these processes. The direct charge accounts, at this point in the program operations, carry with them their share of

of the costs for support and administration. When this sub-program is finished, all dollars appear in the proper process accounts on the augmented master file which is now ready for the final report generation phase.

#### REPORT GENERATION PHASE

With a series of report control cards, the operator selects the data from the augmented master file that is to be used to generate the report required and to specify the vertical and horizontal report displays. The data selection is made in the form of restrictions placed on each of the four cost data descriptors: organization, process, level of application, and item category. These restrictions are interpreted by the report generation program to form the basis for selecting the correct data from the augmented master file. The horizontal and vertical display control cards serve to direct the program in generating data summaries. Data categories that have been specified that are not to be displayed are accumulated into total figures. A display specifications indicate that subtotals are to be maintained and printed in addition to the overall figures. During the demonstration of the cost system, the report generation phase will be restricted to use this type of report control card. For an operational system, an auxiliary program could be developed that would generate this type of control data from a more general type of control card. Such a program is relatively simple in concept but time consuming to implement due to the amount of logic detail.