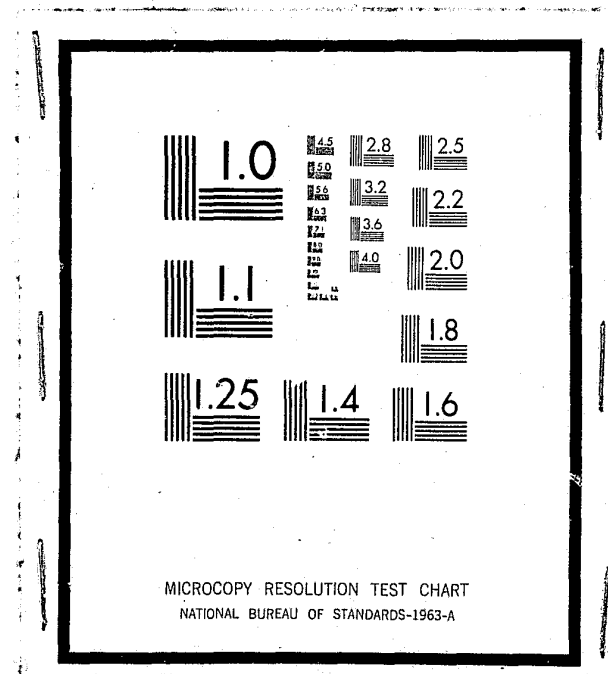


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U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE
WASHINGTON, D.C. 20531

2/24/77

Date filmed

R-76-180

LAW ENFORCEMENT ASSISTANCE ADMINISTRATION POLICE TECHNICAL ASSISTANCE REPORT

SUBJECT: Portsmouth, Virginia; Manpower and Training Requirements Analysis

REPORT NUMBER: 76-125

FOR: Portsmouth, Virginia, Police Department
City Population: 104,000
Police Strength (Sworn): 210
Total: 270
City Area: 30 square miles

NCJRS

NOV 3 1976

ACQUISITIONS

37331

TO: Westinghouse Justice Institute

FROM: G. Hobart Reinier

NUMBER: J-LEAA-003-76

September 1976

TABLE OF CONTENTS

	<u>Page</u>
Foreword	iii
1. Introduction	1-1
2. Understanding of the Problem	2-1
2.1 Problem Areas	2-2
3. Analysis of the Problem	3-1
3.1 Description of Present System	3-1
3.1.1 Case Review	3-1
3.1.2 Warrant Squad	3-3
3.1.3 Criminal and Traffic Records Section	3-3
3.1.4 Traffic	3-4
3.1.5 Court Calendaring Clerk	3-6
3.1.6 Security Guards	3-6
4. Findings and Conclusions	4-1
4.1 Facility Problems	4-1
4.2 Systems Problems	4-2
4.3 Personnel Problems	4-4
5. Recommendations	5-1
5.1 Facilities	5-1
5.2 Systems	5-2
5.3 Personnel	5-6
5.4 Rotation Desk	5-8

LIST OF ILLUSTRATIONS

1-1 Portsmouth Police Department Organizational Chart	1-2
1-2 Office Layout	1-5

FOREWORD

This request for Technical Assistance was made by the Portsmouth, Virginia, Police Department. The requested assistance was concerned with reviewing the personnel staffing and scheduling requirements of the Department's Central Records Division.

Requesting Agency:	Portsmouth Police Department, Chief of Police Philip L. Ash, Jr.
State Planning Agency:	Commonwealth of Virginia, Division of Justice and Crime Prevention, Mr. Joseph M. Tucker, Police Systems Coordinator
Approving Agency:	LEAA Region III (Philadelphia), Mr. Edwin S. Schriver, Police Specialist

1. INTRODUCTION

The Portsmouth, Virginia, Police Department serves a population presently estimated at 104,000 (1970 US Census = 111,000), who live in the City's approximately 30-square mile area. As of July 1, 1976, the Department had a complement of 210 sworn personnel and 60 civilian personnel, for a total strength of 270. These personnel are supplemented by 70 auxiliary officers, 47 regular crossing guards and 5 substitute crossing guards. A copy of the Department's organization chart can be seen in Figure 1-1.

The Portsmouth Police Department recently moved the various records functions, which had been dispersed among related operational units, to a centralized location on the first floor of the police building. This move was intended to bring the records operation into a location easily accessed by the general public minimizing indiscriminant movement throughout the building, and providing better coordination among the records operations. The three areas of concern, as shown in Figure 1-1, are the Criminal Records (which includes Traffic Records), Warrant Squad, and Case Control. These units are each supervised by a sergeant and are part of the Support Division, which is headed by a commander (captain) who reports to the Chief of Police. This move also was coordinated with the implementation of a new case report form and procedure that became effective June 1, 1976 (Policy & Procedure Series #1814, 1815, 1816, 1817, and 1818).

The Central Records operations are physically separated into rooms that were permanently constructed at the time the police building was constructed and cannot be easily modified to integrate the records operations. This has inhibited the implementation of potential functional integration that is necessary to take full advantage of available personnel and provide adequate 24-hour accessibility to critical records. For example, each arrest requires a "prior record" and "wanted" search at the time of booking. When Central Records personnel are not available, booking officers, field officers, or security guards must search the records, which frequently results in files being removed, or otherwise mishandled, through ignorance or neglect.

The single Central Records position that potentially provides 24-hour coverage is the Rotation Desk. This position requires a minimum of five persons for proper staffing. There are only four authorized positions, leaving some of the watches unmanned during the week. When this occurs, the search must be performed by nonrecords personnel as indicated previously. The security guard is located at the Central Records Information Counter. Records functions are not presently formally assigned tasks of the guards, and their motivation to perform these tasks is reported to be minimal.

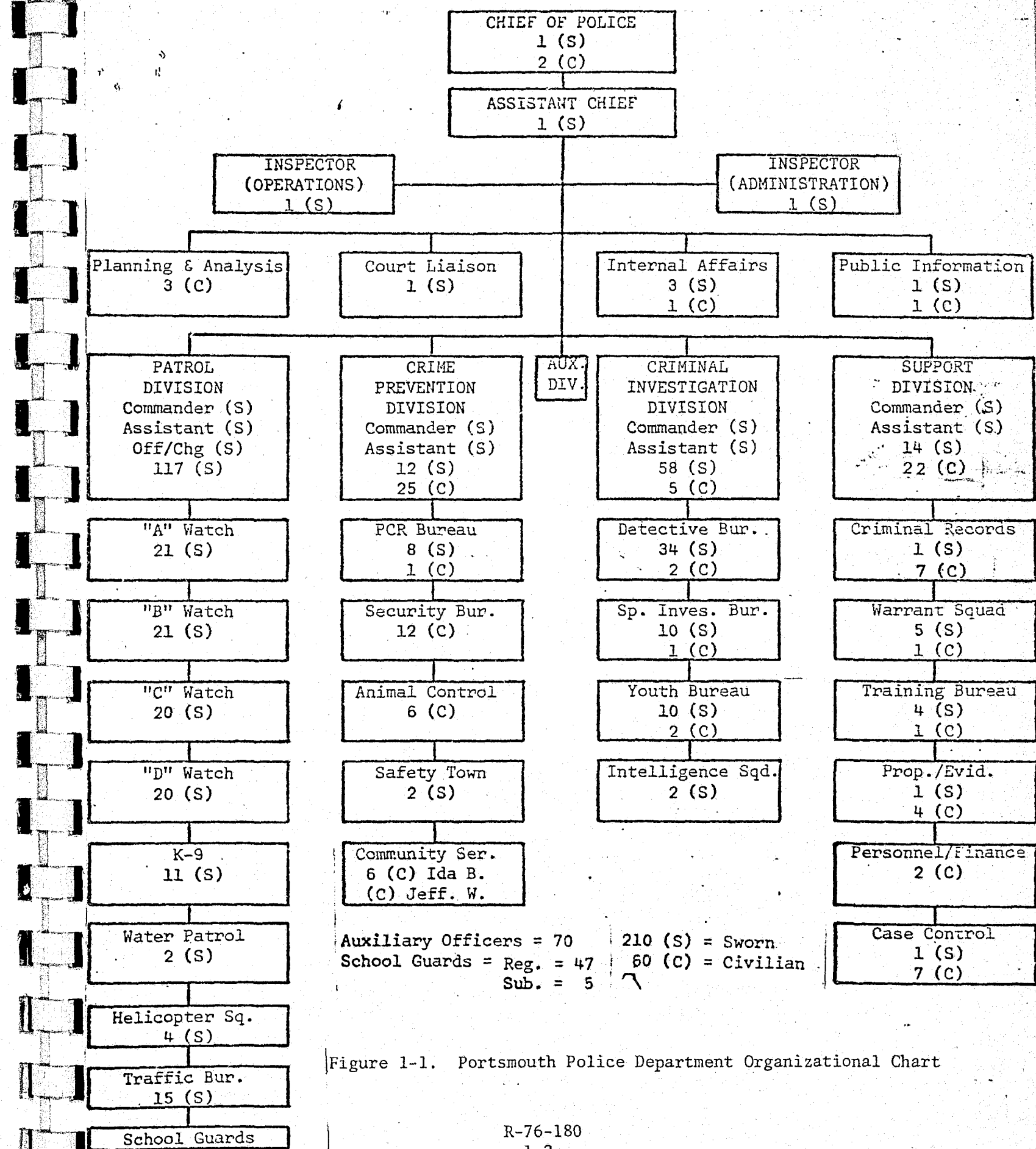


Figure 1-1. Portsmouth Police Department Organizational Chart

Many of the records operations have been carried over from when they were performed in conjunction with the operations units. They are not necessarily consistent with the "centralized" concept of records, frequently being redundant and/or tailored to personalities rather than functional requirements.

Persons interviewed during the site visit are:

- Chief of Police Philip L. Ash, Jr.
- Lt. H. K. Darden, Asst. Commander, Support Division.
- Mr. Charles E. Reynolds, Director, Planning and Analysis.
- Sgt. B. D. Wood, Supervisor, Criminal and Traffic Records.
- St. R. Lewis, Supervisor, Case Control and Rotation Desk.
- Sgt. Beamon, Supervisor, Warrant Squad.
- Ms. Carol Smith, Rotation Clerk.
- Ms. Madeline Lewis, Case Review Clerk.
- Ms. Susan Smith, Criminal Records.
- Ms. Theresa Furman, Traffic Records.

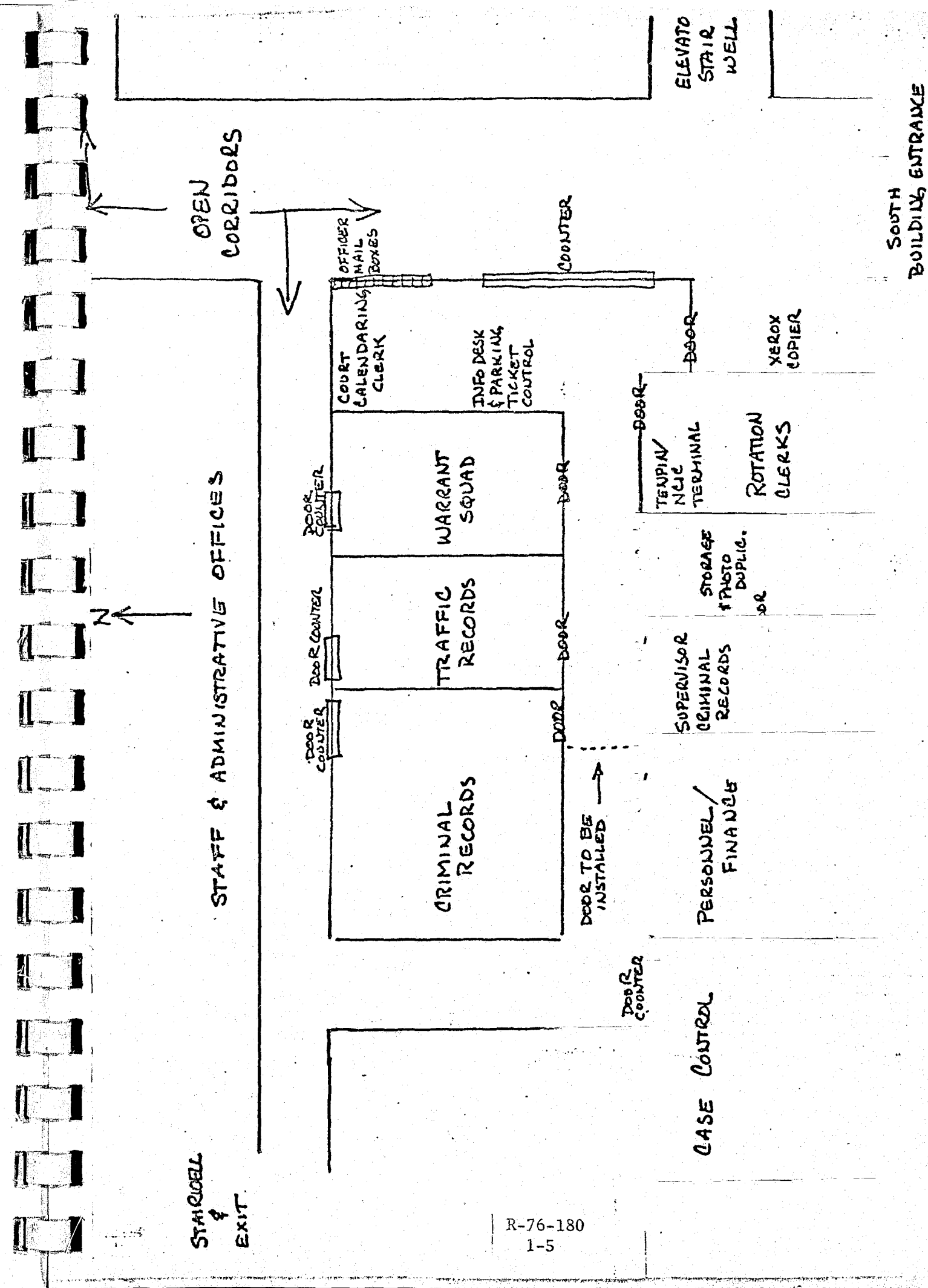
The sergeants have been assigned to their respective units for 2 to 4 months. The clerks have been assigned to records duties for periods ranging from 1 to 30 years.

Documents reviewed in conjunction with this assignment are:

- RMC Research Corporation, Report UR-256, "A Police Information Center Concept for the Portsmouth Police Department," December, 1974.
- Social Development Corporation, "A Career Ladder Study for the Portsmouth Police Department," 1976.
- Organization Chart, July 1, 1976.
- Job descriptions of records clerks prepared by the City Personnel Department, based on interviews with each clerk.

- Sampled tallies of activities of rotation clerks.
- Memorandum, 4-19-76, Division of Justice and Crime Prevention; "Subject: Privacy and Security of Criminal History Record Information: Amendment to the Code of Virginia," with copy of Amendment.
- Assorted files and indexes maintained within the Central Records.

A handdrawn figure that represents the layout of the offices can be seen in Figure 1-2.



NOT DRAWN TO SCALE

Figure 1-2. Office Layout

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1-5

2. UNDERSTANDING OF THE PROBLEM

The Portsmouth Police Department recently made an effort to centralize its records processing and filing functions by colocating them in adjoining rooms on the first floor of the police building. To accomplish this, it was necessary to occupy offices constructed originally for other purposes, which do not lend themselves to conveniently integrating the clerical operations and files of the different records operations. The Portsmouth Police Department has the basic records to be found in any police department:

- Incident and case reports.
- Traffic enforcement and accident reports.
- Arrest and disposition records.
- Warrants.
- Related statistical reports and indexes.

The office arrangements have resulted in continued isolation of the functions from each other and inhibited coordination that would normally result from centralization and integration of records functions. Perhaps the most significant failure of the centralization is the continuation of separate and redundant indexes. The second most obvious failure is the separation of functions that could be integrated to provide the most effective utilization of personnel. In any clerical operation, the functions can be split into two basic categories: Routine tasks that are repetitive and can be spelled out in operating procedures to minimize the supervisory and training requirements for the tasks; and nonroutine tasks that require experience or special training to assure that proper decisions are made with respect to the handling of documents, notifications of concerned parties, and initiation of other operations as reflected by the contents of the particular documents.

In addition, there is the matter of security and confidentiality regarding the documents themselves or the information contained therein. At the present time, the rotation clerk is responsible for a limited number of operations, most of which are routine. Because the rotation clerk is perceived as being oriented to computer input (both computer and manual inquiry), there has been limited utilization of the clerks' spare time for other routine operations, such as indexing and filing. Another reason for the limited use of the rotation clerks is the fact that they are not always available because there are only four persons to fill the slots that actually require five persons.

To overcome this staffing gap, security guards are depended upon to perform clerical operations when the rotation clerk is busy or there is no clerk on duty. Clerical functions are not part of the guards' job specifications; they are not hired on the basis of clerical ability; and they object to being required to perform clerical functions. All of this leads to the tendency for the operation to fall apart when there is no clerk on duty or for the job to be done poorly, or perhaps not done at all. It was reported that this occurs simply by the individual returning a "no record or wanted" response without making either the computer or manual file inquiry.

2.1 Problem Areas

The technical assistance request indicated that the principal problem areas were staffing and security of the central records operations. The brief description of the existing system in Section 3 is indicative of the difficulty of dealing with the question of staffing without looking closely at the duties and responsibilities of each of the records personnel. The job descriptions prepared by the City Personnel Department are helpful. However, the entire central records concept in the Portsmouth Police Department is an evolving process, and much of the available documentation is outdated. Considerably more time than anticipated previously was required to gain even a rudimentary understanding of the records operations. The recommendations contained in this report must be considered in the light of the probability that some tasks may have been overlooked or underestimated. The suggestions and recommendations are preliminary and must be reviewed by the individuals responsible for their implementation. It is hoped that through the discussions conducted during the Consultant's site visit that areas might be identified internally, which could be improved even though they may not be addressed directly in this report.

There is no expectation that the available number of personnel positions in the Department can be increased; therefore, any personnel decisions must be based on the existing strength of the Department. Chief Ash did indicate that he has flexibility in reclassifying existing positions to accommodate improved staffing patterns. Although the physical layout of the central records facility is awkward and limits the potential for integration of some of the records functions, there is little that can be done in the near future in major remodeling. Moreover, because of the physical layout and resulting limitations on functional integration, it is difficult to gain maximum utilization of personnel resources that might be accomplished if individual positions could be better coordinated.

The primary concerns expressed by Department command and staff personnel were in the area of better coverage of the Rotation Desk, to provide reliable around-the-clock service; and improvement of the physical security of the

records facility. To provide sound conclusions and recommendations, it was necessary for the Consultant to review the different records operations and tasks. The brief descriptions of the existing operations in Section 3 lay the basis for the conclusions and recommendations in Sections 4 and 5.

Some of the specific problems of concern to the Department are:

- Around-the-clock staffing of the Rotation Desk (the focal point for 24-hour access to computerized and manual records). This position is presently staffed by four persons. The absolute minimum required for desired staffing is five persons.
- Alternatives to the assignment of security guards, who are only minimally responsive to the needs of users of the records during evening, night, and weekend periods when the Rotation Clerk is either busy or not working.
- Identification of tasks that can be assigned to the Rotation Desk to pick up existing slack; possibly accommodate an additional position on the desk around-the-clock; and relieve some of the workload presently performed during the day shift, which could be done during other times.
- Identify vulnerable points in the security of the records operation and suggest methods to correct them.
- Identify other improvements in procedures and/or systems that could be implemented at minimum cost to the Department.

3. ANALYSIS OF THE PROBLEM

During the Consultant's site visit to the Portsmouth Police Department, discussions were held with the individuals identified in Section 1, and the Central Records operations were observed. During this period, available documentations were reviewed and alternatives were discussed with key personnel. Section 3.1 discusses the existing records operations, identifying some of the problems. Further discussion of problems will be found in Section 4.

3.1 Description of Present System

The present Central Records system operates as three distinct units: Case Review, Criminal and Traffic Records, and Warrant Squad. The Criminal and Traffic Records operate as two separate units, although they are organizationally tied together under a single supervising sergeant. Each of these units is described briefly.

3.1.1 Case Review

This unit is responsible for the Rotation Desk Report quality control, classification, indexing, offense report filing, and case files. A case file is created when an arrest is made to facilitate retrieval of the file information and for control of the case processing, which includes:

- Pending action by the Prosecutor.
- Pending grand jury action.
- Pending court action.
- Closed.

Creation of a case file also initiates preparation of additional indexes.

The rotation clerk assigns sequential numbers to offense reports as they are received around-the-clock from the Patrol Division. Appropriate entries regarding stolen articles are entered into the regional, State, and NCIC files through a video terminal; and three index cards are prepared on each name contained in the report. Each weekday, the reports are reviewed by the supervising sergeant of the Case Review Section for completeness, legibility, and classification. As necessary, reports are returned to the originating unit for additions or corrections.

The index cards are filed alphabetically, by year, and by locations. Incident reports are filed numerically in either the adult or juvenile files. The report is placed in the juvenile file if a juvenile is indicated as a victim, arrestee, or suspect. Therefore, although the incident numbering system is sequential, the files contain gaps depending upon whether the report is placed in the adult or juvenile incident report file. A 14-day followup tickler is maintained on "open/active" cases with the third index card.

When an arrest is indicated, either in the original report or as a supplemental report, a copy of the original offense report is placed in the Incident file and a "Case" file is prepared. The case file is indexed by victim, arrestee, type of crime, and property involved (e.g., auto by make). The case file is given a new number, which consists of a crime-type prefix and a sequential number within the crime type. The file is maintained in one of four locations according to the status as described earlier. The victim and arrestee indexes are filed separately. There are also two numeric indexes: One is a case number control file; however, the card contains additional information that does not appear to be useful. The other is to cross reference the original offense report number to the new case number.

The rotation clerk, in addition to numbering and indexing incident reports, is responsible for entering and inquiring on the TENPIN/NCIC terminal. The rotation clerk is located in a room at the opposite end of the records area from the rest of the Case Review section. The room is near the information desk for service to the public or after-hours contacts by Department personnel. The rotation clerk enters all auto, stolen property, and wanted records, as well as handles deletions and standard inquiries. Routine inquiries originating from field units via radio are handled by Communications personnel who are located in a separate building and are part of the local Civil Defense department. There is a terminal located in the Communications Center.

Because of the organizational and physical separation from the Police Department of the Communications operations, it is considered difficult to institute such standard operating procedures as assignment of sequential records numbers to dispatches requiring reports at the time the field unit returns to duty. A compromise has been worked out whereby the number contained on the dispatch card (dispatch cards are prenumbered) is given to the field officer whenever he returns to service with "clearing code 14 (Offense Report)," at which time it is entered onto the Offense Report. This permits the matching of dispatch cards to reports at the Case Review section. Dispatch cards containing "clearing code 14" that are unmatched generate a followup inquiry from the Case Review section to obtain a copy of the report. Because the Offense Report number is not assigned until the report is received at the Rotation Desk, the Offense Report file numbers are not in strict chronological sequence.

The Offense Report is patterned after the Rochester, New York, solvability-oriented report. The major modification is the use of a plastic overlay for review of solvability factors rather than having the solvability questions printed directly on the report form.

3.1.2 Warrant Squad

The Warrant Squad is composed of five sworn personnel, including the supervising sergeant, and one civilian clerk/secretary. The warrants are processed by the sergeant, who determines which ones are to be placed on the TENPIN/NCIC files and which will be only indexed internally. The index contains the name, address, and other available identifying information, as well as a notation of assignment of the warrant (e.g., warrant officer, filed [letter sent requesting the wanted person to appear at headquarters], or jurisdiction if the warrant is forwarded for an out-of-town resident). Warrants are filed according to whether they are major or misdemeanor warrants, if they are pending response on the letter or if efforts to serve the warrant have been unproductive. Felony warrants are retained indefinitely; misdemeanor warrants are purged on a 5-year basis and returned to the court.

Warrant records are entered into the TENPIN/NCIC files and purged by the Rotation Clerk when received from the Warrant Squad. Index cards for served or purged warrants are retained for 1 year and then discarded. The warrant indexes are maintained in the Warrant Squad office and are updated to keep track of the current status of each warrant.

3.1.3 Criminal and Traffic Records Section

Criminal records are maintained in individual jackets and indexed by name (including alias). The jacket contains the basic descriptive information, photograph, and rap sheets (FBI, Commonwealth, and local). The maintenance of disposition information is reported to be "reasonably" current. An index card is prepared for each individual. New charges on the individual are entered only on the original file jacket. The cards are generally updated with new information such as address changes discovered as a result of new arrests. However, inspection indicated that errors are contained in the index file. For example, a rearrest that came in with an alias also had a new address; however, the alias card contained only the old address as it appeared on the original name index card. The new address was discovered when the file jacket was examined, and the alias and new address were seen to have been entered onto the file jacket in the same hand and pen.

Filed alongside the Criminal History Index cabinets are arrest disposition cards. When an arrestee is booked, a card is prepared on each charge at the booking desk. These cards are forwarded to the court, where

the disposition information is entered upon conclusion of the case. If misdemeanor charges are filed at the same time felony charges are filed, the misdemeanor cards may be completed before the felony cards. However, whenever any single charge has a final disposition, the card is returned to the Criminal History section, where the disposition information is transcribed onto the local rap sheet. The card is then filed alphabetically by year. In addition, when traffic cases are processed by the courts, dispositions are entered onto computer-prepared cards that are then forwarded to the Criminal History section. These cards are also filed with the court disposition cards. What one finds in the Court Disposition card file is a complete record for each individual, including the final dispositions. There tends to be a larger number of cards in this file because of the present practice of creating a card for each charge at the time of booking. However, the court disposition card file is more complete and more accurate than the Criminal History index file. The Court Disposition file cards also contain more information regarding the individual and related charges than the Criminal History index card. At present, if an investigator wants the complete information on an individual, it is necessary to examine the Criminal History index, personal file jacket, and perhaps even several different years of court disposition card files. Moreover, the clerks in the Criminal History section must perform redundant activities in indexing and entering final dispositions, which are already recorded for them and filed by them. This particular issue is discussed in Section 5.

The Department has instituted a very effective system of handling requests for photographs. Prior to the assignment of the current supervising sergeant, it was standard practice to print several copies of the photo of an individual so that they would be available in the file if an investigator needed a copy for identification purposes during an investigation. The present system requires that only one print be made and placed in the file. If a copy is requested, a clerk can retrieve the negative and in just 1 or 2 minutes make a copy on a photo duplicator, which is located adjacent to the Criminal History section room. This has reduced substantially the number of copies originally required; there is no delay if a copy is needed. Previously, if all copies had been used, it was necessary to go through the rather elaborate printing process, using standard printing techniques in the Identification Bureau.

3.1.4 Traffic

Traffic records, while organizationally located with Criminal History records, are processed and maintained entirely separately, with the exception of the disposition information that was identified previously as being filed with court disposition information. The traffic records processing is perhaps the most complex of the records functions within the

Central Records operation. The traffic records clerks maintain control over issuance of moving and parking ticket books, processing of tickets, collection of parking fines, and traffic accident reports. In conjunction with these responsibilities, the clerks handle requests for traffic history records from the State Department of Motor Vehicles, indexes for court date reference based on first initial of last name, Alcohol Safety Action Program coordination, possible wanted checks on the terminal, and summons and warrant coordination for unpaid tickets. The section also tallies the enforcement activities by officer, which are regularly reported to the Chief of Police. The section also performs quality control for computer input by comparing the ticket information to the computer printouts.

Accidents are classified for National Safety Council reporting as well as internal reporting. Running logs for monthly and annual totals are updated daily, and sequential numbers are assigned to accident reports. Index cards are prepared for location, drivers, property damage, injury, and fatality accidents. If the property damage is other than motor vehicle, the property owner is also indexed. Additional accidents are entered on the original index card of the individual, although a new index card will have been routinely prepared. During filing, if it is found that it is an additional accident for the same person, the entry is made on the original index card and the new index card is simply destroyed. The personal injury index file is kept separately from the property damage index file. Indexes are purged on a 5-year basis, but only when the "outdated" card is discovered during routine filing of new cards.

All accident reports are filed in numeric order; however, property damage over \$250 and personal injury/fatal accidents are copied and distributed to the State capital, the city traffic engineer, and one copy is filed with the original in case a copy is requested. If a police or other city vehicle or property is involved, copies are distributed to the Department safety officer, city garage, and insurance company. If it is a hit-and-run, a copy is filed and the original is forwarded for investigation. In the case of police vehicle accidents, copies of the officer's report are also made and distributed. The results of the Department safety hearings are posted to the officer's accident record as chargeable or nonchargeable.

Parking tickets are controlled at the reception desk. Written tickets, including moving violations, are placed in a locked box located in the Patrol Division area and picked up daily by the Records personnel. A ledger book is maintained that shows which books have been issued to officers and the dispositions of the parking tickets. There was a recent "scandal" involving traffic and parking tickets; therefore, very close

tabulations are maintained on the documents. Traffic ticket accounting is facilitated by regular computer processing of a listing showing outstanding tickets in possession of officers and those that have been processed completely.

For parking tickets, there is a schedule of fines; the ledger contains an indication of which fine was paid, date paid, whether a letter was sent on an unpaid ticket, and that a summons was prepared if there was no response to the letter. Internal control breaks down once the summons has been issued, because a no-show on a summons results in issuance of a warrant by the court, which is handled by the Warrant Squad and not coordinated with traffic records.

The generation of a letter for unpaid tickets necessitates an inquiry through the TENPIN terminal for registration information. Just recently this task was given to the rotation clerk, who can perform it when not busy with other tasks.

Parking ticket voids are processed through the Chief of Police and the Traffic Court Judge prior to being finalized in the Department's records.

3.1.5 Court Calendaring Clerk

The court calendaring clerk is not considered to be a part of the Central Records. However, the position occupies a desk at the Information Counter and coordinates with Central Records personnel in getting service of subpoenas for officers who are on duty other than the day shift. At times, the clerk assists Records personnel in handling public inquiries, accepting payments for parking tickets, and operation of the TENPIN/NCIC terminal. The court calendaring clerk is primarily responsible for distributing court subpoenas to Department personnel, either by placing the documents into the officers' mail slots or making direct contact with the officer. The clerk is occasionally required to telephone the officer if he is not scheduled for duty within a reasonable time of the court appearance. The position is presently filled by a cadet who is awaiting appointment as a sworn officer.

3.1.6 Security Guards

There are eight guards assigned to security of the municipal complex, which includes City Hall and Police Headquarters. The guards are employed to combat potential vandalism and sabotage. The usual practice, when two guards are on duty, is for one to patrol outside and the other to be stationed at the Information Counter in Police Headquarters. They may

take turns during the shift on inside and outside duty. The guards are on duty during the evening and night shifts. If only one guard is on duty, he usually spends most of his time at the Information Counter, making occasional rounds during his tour.

When there is no rotation clerk on duty or when the clerk is busy, the security guard is expected to assist with record and wanted checks and take offense reports over the telephone. However, the security guards are not hired to perform clerical functions; it is not considered by the guards to be a proper part of their duties, and they tend to respond to the clerical work with definite lack of enthusiasm. Whereas they are supposed to make record checks and the like in conjunction with the booking process, it is more likely that they will simply provide access to the records for someone from the booking areas.

4. FINDINGS AND CONCLUSIONS

4.1 Facility Problems

As mentioned previously, the facilities occupied by the Central Records do not lend themselves to easy integration of the records operations. There is a natural inclination to consider the records functions to be separate operations because of the physical separations caused by walls, doors, and corridors. This places more of a burden on command and supervisory personnel to bring about integration of the functions than might otherwise be required. For the most part, the "centralization" has simply amounted to bringing the records operations together into contiguous areas, rather than integrating the operations. Of course, there are exceptions such as the shifting of responsibility for DMV registration checks from the traffic records clerk to the rotation clerk, and the voluntary sharing of the work when backlogs develop.

The other difficulty with the facilities is that they have not yet solved the security problems. Colocating Personnel/Finance in the same area, open access from the back of the area (west end), and placement of the frequently used copier outside of the area present several security problems. Plans, at the time of the Consultant's site visit, were to install a doorway in the corridor just east of the Personnel/Finance office to restrict general access to the main records area. However, this will separate the office of the Case Control unit from the main records area, including one of the important operations of the Case Control unit -- the Rotation Desk -- and a potential operation -- the Information Desk. Considerable traffic was observed through the corridor during the daytime, which will probably continue, even though a door is installed. The door should probably be viewed as an inhibitor to general traffic, such as visitors to the Personnel/Finance Office; but it would not seem practical to secure the door by locking it, except during non-weekday hours. An attempt to keep the door locked during regular weekday hours would probably only result in its being propped open to facilitate access by persons who have legitimate business or who work in the main Records area.

This conclusion is supported by the observed behavior pattern relative to the Xerox copier, which is located just outside the records area near the south entrance of the building. Because the copier is used extensively by Records personnel, the door from the Records area, which is supposed to be closed and locked, is simply propped open during the entire day. Besides circumventing the security of the Records area, the placement of the copier in the hallway effectively negates any control over the use of the copier.

Moreover, access to the rest of the building during non-weekday hours is easily accomplished because, although all entry doors are locked except the lower level garage entrance and the south doors at the Information

Counter, all main corridors and stairwells are open. The only security of the building from persons entering the main south door results from personal observation of people entering the door, which is one of the reasons for stationing a security guard at the Information Counter. Anyone can enter the garage area and gain access to nearly all parts of the building with little probability of being discovered, by exercising just a little caution.

Correction of the overall building security problem would require, at a minimum, extension of the existing CCTV system to monitor the garage and south door entrances. The ultimate security would require relatively expensive remodeling to establish controlled access into the garage and from the area adjacent to the Information Counter to the elevator/stairwell and the corridors extending beyond that area. This would require remodeling for installation of walls and doors with lock releases that could be activated electronically from a central point. These modifications should be considered in the Department's long-range planning.

The security breach created by placement of the Xerox copier outside of the Records area can be easily corrected by moving the copier into the secure records area. This is discussed in Section 5.

4.2 Systems Problems

The systems problems primarily stem from the previously discussed issues surrounding "centralization" with minimum "integration" of operations. Such problems as different-sized index cards used for warrant and Criminal History indexes, which prevents merging of existing index files; maintenance of ledger indexes on traffic tickets in first letter of last name, alphabetic order; manual control of parking ticket books, whereas other traffic ticket control is handled through a computer application; maintenance of indexes by year, necessitating multiple "look-ups" in many cases; redundant filing of "disposition" cards and "Criminal History" index cards; and continuation of separate indexing for "Case Files" are examples of the carry-over of outdated methods of recordkeeping.

There is also a tendency for each of the Central Records units to operate autonomously. Of course, that is closely related to the entire issue of "integration," in that the more autonomous each unit is the less likely that common operations will be pulled together as the responsibility of a single position. During the site visit, stress was placed on the need to examine the tasks on the basis of whether they could be routinized and supported by standard operating procedures, vis-a-vis tasks that require special knowledge, supervisory discretion or review, or are otherwise required to be performed at a specific location or time. The review of the tasks identified several that met the criteria for standardization and that could be accomplished during hours other than the normal weekday

work period. However, as presently structured, it is difficult to redistribute tasks within Central Records and achieve corresponding savings in personnel.

The original procedures provided for all records inquiries to be made at the Information Counter. Clerical personnel would then have to determine which indexes and files were required and then move through the corridor to the appropriate room to make the check. This resulted in frequently leaving the Information Counter unmanned, congestion in the corridor and at the files. To overcome this, all of the records were relocated to the "outer" offices; and the doors to each have been modified so that the upper half can be opened, providing a counter top on the lower half of the door. It is now the responsibility of the individual seeking records information during weekday hours to go to the appropriate doorway to make the request. Given the nature of the existing space, the impracticality of merging all alphabetic indexes (at least three different sizes of cards), and the infrequent occasions when a general search is requested by an investigator as to "all available information" on an individual, it does not appear to be cost-beneficial to try to alter the physical arrangement of the files so that all indexes would be in one location or all files in another location. At best, it may be feasible to consider locating all indexes in the room presently occupied by the Warrant Squad and moving the Warrant Squad in with the Criminal History section. Before undertaking this move, however, careful consideration of both the present and expansion space requirements should be considered. A further limitation to bringing all indexes together in one location is the differing sizes of the various index cards. The Warrant Index cards; Criminal History index and arrest disposition cards; and offense, case, and traffic accident index cards are of three different sizes. Only the offense, case, and accident index cards can be merged into a common 3- by 5-inch card index file.

Furthermore, individual warrant index cards are accessed more frequently for updating of the information on the cards than are the other indexes. A change in location or assignment of a warrant or final disposition of a warrant all require notation on the card or purging of the card.

The recommendations concentrate on integrating the operations without regard to the physical location of particular records. The physical merging or relocation of indexes and files should only be considered in long-range planning, which might include remodeling of the records area, phasing out of incompatible indexes, and development of computerized indexes that could be accessed through terminal devices.

4.3 Personnel Problems

Personnel problems are of two types: Insufficient staffing for certain positions, such as Rotation Desk; and inefficient staffing, such as use of security guards for records operations, and use of a fully committed person such as the court calendaring clerk for less than a full-time operation. With minor exceptions, the morale and cooperative posture of individuals within the Central Records is good and overcomes what could be very significant allocation problems. As indicated earlier, the physical arrangement of the Central Records limits the potential for merging of some tasks that would provide better utilization of personnel; but this can be minimized by further cooperative efforts, by allocating the individual clerks to particular tasks for certain periods of their work period even though they may change location for performance of the tasks, and by shifting some of the tasks to "off-hours" shifts, with assignment of at least two Central Records personnel to the Rotation Desk during evening, night, and weekend shifts.

The need for security guards for external patrol and staffing of the Information Counter during "off-hours" appears to have changed from that which existed at the time of the original assignment. The addition of a Central Records clerk, providing fulltime coverage of the Rotation Desk by two clerks, would seem to fill the security requirements of the Information Counter, if supplemented by extension of the existing CCTV system to monitor the south entrance/Information Counter area. External security is reported to be an "occasional" concern of the guards and is only performed with any consistency when there are two guards on duty and it is not "too cold or raining." The area surrounding the municipal complex has undergone considerable change through urban renewal, reducing the probability of vandalism. The reported extent of exterior patrol would appear to hardly prevent determined sabotage efforts. The security guards do not seem to provide any useful purpose when compared to the benefits that could be gained by reclassifying the guards' positions to clerks' positions in Central Records. Such exterior security as may be required could be provided by occasional attention by the regular uniform patrol unit or the sworn turnkey, or even extending the CCTV system to include exterior security monitoring.

5. RECOMMENDATIONS

The recommendations are organized, for ease of presentation, into the same groupings as the Findings and Conclusions. There is overlap, however, and some of the placements are strictly arbitrary.

5.1 Facilities

- Xerox Copier -- The Xerox copier should be re-located so that it is within the Central Records area. This would eliminate the present practice of keeping open the door located adjacent to the Information Counter. Consistent with other recommendations, the copier could be placed in the room presently occupied by the Rotation Desk or at the north end of the Information Counter where the court calendaring clerk is presently situated. It would be necessary for all copying, including that for purposes other than Central Records, to be performed by Central Records personnel. This would improve both the security of the Central Records and establish better control over the use of the copier.
- Security Control Over Corridors -- Extension of the existing CCTV system or construction of doorways with electronically controlled door locks would provide improved security over "off-hours" access to areas beyond the Information Counter. This is expensive and probably can only be accomplished as part of a long-range plan. The planned construction of the doorway at the west end of the internal Central Records corridor will provide off-hours security and minimize the amount of unauthorized access to the main records area during weekday hours.
- Rotation Desk -- The Information Counter area should be considered for relocation of the Rotation Desk. There may be sufficient space at the north end for placement of both the TENPIN/NCIC and the Portsmouth Honeywell terminals, and supporting equipment. Around-the-clock staffing of the Rotation Desk with two persons would provide the needed manning for both walk-in and telephone contacts. Just as it was discovered that improved access by walk-ins for records inquiries

was needed, it will be found, as the planned computerization of the various files and indexes progresses, that the terminals will have to be located convenient to the inquiry points. Ultimately, there will probably be several terminals in Central Records for both file maintenance and inquiry; however, there will still be a need for restricted but easy access to the terminal at the Information Counter. Furthermore, location of the terminals at the Counter area will maximize the use of the rotation clerks.

- Interior Walls -- The cost of remodeling to relocate the interior walls of the Central Records presently is prohibitive, and in some cases it may be impossible (e.g., structural walls that are integral to the building support structure).

5.2 Systems

- Licensing and Permit Applications -- The present Department practice of photographing applicants should be discontinued. It is standard practice in most agencies to require applicants to furnish photographs at the time of application. This would both reduce the time presently spent (as well as materials) and eliminate the need for finding space in the records area for the mug-camera, which was scheduled to be moved from the Identification section. The camera is surplus in the present Identification operation and could perhaps be used for other purposes or would be available to another law enforcement agency that might not have one.
- Parking Ticket Control -- Control of parking tickets (i.e., to whom issued, when written, payment received and how much by violation type, unpaid tickets requiring letters and letter preparation) should be more closely coordinated with computer processing. It is reported that this was done previously and would appear to have potential for reducing handling time by perhaps one-half clerk.

- Traffic Ticket Processing -- The alphabetic index ledger maintained manually could be prepared routinely by data processing. The traffic tickets are processed already and the alphabetic index could perhaps be produced routinely. This would save an estimated 1/2 to 1 hour per day of clerical time. The balance of the traffic ticket processing requires continued clerical operation. However, the procedures should be reviewed and documented. Although a minor matter, consideration should be given to modifying the computer program for preparation of the "Outstanding Ticket Maintenance List" so that once complete ticket books have been processed, they are removed from the list. At present, they remain on the list indefinitely, even though there is no need to keep reporting them.
- Traffic Accident Records -- The traffic accident records indexes can be merged with the Incident/Case Report Indexes. The responsibility for preparation of the index cards could be assigned to the Rotation Desk for "off-hours" processing just as is done with the Incident reports. The current practice of entering additional accidents of an individual on the original index card and discarding the newly prepared index card on the "new" accident, while it saves some file space, increases the clerical workload. There does not appear to be any cost advantage in maintaining name indexes by injury or property damage separate from the general master name index. Some clerical time would be recovered from the day shift. This will require a change in procedure so that accident reports are processed to the Rotation Desk throughout the day just as is done with Incident Reports. Classification and tallying of accidents as well as other processing, such as selected routing, would still have to be done on the day shift.
- Distribution of Subpoenas -- A revised method of distributing subpoenas to officers should be considered. It is recommended that the subpoenas be basically logged in at Central Records and forwarded to the officer's assigned unit. The unit of assignment would be responsible for assuring that the officer received the subpoena. Control could be assured by implementing a Notification/Receipt form that would be returned to Central Records as a record of notification either

through signature of the summoned officer or by indication of the notifying individual. There may be unique situations that would require an alternative procedure for direct notification by the Central Records when time is short; however, such circumstances should be infrequent. This procedure would allow reclassification of the court calendaring clerk position to rotation clerk. This action need not await attrition of the cadet, although the cadet has expressed a dislike for clerical work.

- Criminal History Index and Court Disposition Cards -- It is recommended that the procedures for preparation and handling of Arrest Cards be revised so that the cards can take the place of the Criminal History Index. This would require redesign of the Arrest Card so that all charges could be entered onto one card for each individual at the time of booking. If prepared in duplicate, the second copy could be forwarded to the Criminal Records where it would be used as the Index Card. Even though duplicate cards would be prepared, there would be a net savings in work at the Booking Desk for all arrests that include more than two charges. After the original was returned from court with the disposition information, the disposition could be posted to the History File Record; the original could then replace the second copy, which would be destroyed. This would provide a more complete index with less effort by the clerical staff. In the cases where an alias is discovered, the Criminal Records clerks would then have to prepare an additional card for the alias and cross reference the names. This revised procedure was discussed with the Criminal History clerks, and they indicated they were in favor of the idea. The major disadvantage would be the resulting delay in receiving dispositions on the less serious charges because of the more serious or continued charges arising from a single arrest. This is not seen as being sufficiently limiting to reject the revised procedure. The filing of the Arrest Cards on a yearly basis would be discontinued.
- Offense and Case Indexes -- Offense files are naturally in chronological order. The offense index cards are filed alphabetically but by year. The trade-off facilitates purging by year the index card file against increased

search time when the year of occurrence is in doubt. Most departments handle this by color coding the index cards by year with a 5- to 10-year purge cycle. This permits archiving the less serious incident reports by microfilming (reel or fiche) on a 2- or 3-year cycle but maintaining the indexes for the longer period and facilitating the index search. With the plans to computerize the offense reporting system, a decision will be required regarding, among other things, the purge criteria on offense indexes. Of course, good systems design will dictate merging the active years, regardless of the final purge criteria. It is recommended that yearly segregation of the offense index card file be discontinued.

- Case Files -- The present practice of creating a Case File whenever there is an arrest is interesting in that it also generates new indexes. The Case File is seen as an important means of maintaining all pertinent case information in preparation for and during the life of an active "arrest process." It is basically the filing system that was created for and maintained in the Central Records operation. The Case Files are working files that are referenced by investigators and used by the prosecutor before the Grand Jury and in Court. When the Case File is created, it is assigned a new number and filed numerically -- sequential with type of case. This number sequence has simply been incremented for each case since the inception of the system. As cases move to pending Grand Jury action, they are placed in a separate file. As they are closed (final disposition attained), they are moved to a "closed" file. Indexes are:

- Original offense number reference to case number-- numbers only -- 3- by 5-inch card.
- Case number reference to original offense numbers, 3- by 5-inch card containing additional reference data; names, charges, and so on, used only to control issuance of case numbers. This could be accomplished by use of a simple ledger or log.
- Arrestee index by name.
- Victim index by name.

These index files can be discontinued without jeopardizing the utility of the Case File system. The Case File can be maintained in Offense Number order prefixed with a case type number. The present files are out of sequence anyway because of closed cases. This operation can and should be integrated with the basic offense records as far as indexes are concerned.

- Automation -- As the Department progresses toward automation of its records, careful consideration should be given to which records or functions would provide the greatest and/or fastest benefit to the Department through automation. At a minimum, if the Offense Report Index is automated, then the Warrant, Traffic Accident, and perhaps Arrest indexes should be automated at the same time. The overall cost of design and development will be less if common files and operations are handled at the same time. This area points up the need for management coordination of the planning and supervisory processes of the Central Records. It is important that an adequate overview of the full operation of records be maintained so that efforts are directed toward the most significant problems and the highest return on the expenditures.

5.3 Personnel

- Rotation Clerks -- This appears to be the most significant personnel staffing problem. The relief factor, which is 1.64, is calculated on the basis of 223 working days per year for each employee. To fill any one position on one shift 7 days per week requires, statistically, 1.64 bodies. To staff one position around the clock, 7 days per week, requires 1.64 bodies times the number of shifts. Therefore, to maintain one rotation clerk on duty at all times requires an absolute minimum of $1.64 \times 3 = 4.92$ or 5 persons. There are presently only four authorized rotation clerks. Because the relief factor is a statistical minimum, it often does not provide sufficient flexibility in scheduling to adequately staff a position. Also, as tasks are identified what can be shifted to the Rotation Desk for "off-hours" handling, there will be greater need and justification for a second.

position around the clock. It is recommended that the Rotation Desk be staffed by an authorized strength of 10 rotation clerks. This is an increase of six over the presently authorized strength. This strength can be achieved with no increase in authorized strength of the Police Department, by instituting the recommended facility and systems changes and reclassifying the resultant excess positions from other areas as Rotation Clerks.

- Court Calendaring Clerk -- This position can be eliminated and reclassified to rotation clerk. A minimum of the existing work load would be retained in Central Records and there is slack time available now. One position recovered and five rotation clerks available.
- Security Guards -- Eliminate either the internal or external security position. Staff the remaining position with four persons for evening and night shifts only, providing occasional security checks with uniformed patrol or lockup personnel when there is no guard available during those hours and during weekend daytime hours. Four positions should be reclassified to rotation clerk. Recover four positions and nine rotation clerks available. Eliminate both internal and external security positions. Provide necessary security patrol through uniformed patrol or lockup personnel. Eight positions recovered and thirteen positions available for rotation clerk.
- Other -- Through careful review of the tasks suggested for assignment to the Rotation Desk, and as an ongoing process review of other tasks not included here, a minimum of one position can be recovered for assignment to the Rotation Desk. With the first Security Guard option, this would provide a total of 10 personnel for assignment to the Rotation Desk, which should be adequate for staffing by 2 clerks around the clock. Some scheduling flexibility will probably still be required. In this case, there will need to be a careful study of the workload by shift by day of week to determine which are the lighter shifts or which shifts would allow better for deferred processing of selected operations.

5.4 Rotation Desk

At a minimum, the following tasks should be assigned to the Rotation Desk, assuming staffing of two positions around the clock:

- Preparation of gun permits, felony and gun registrations, taxi applications, security guard applications.
- Collection of all money for parking ticket payments, permits, copies of reports, record review on "Requisition for Information."
- All TENPIN/NCIC record entries, inquiries, updates, purges.
- All terminal registration checks for such uses as preparation of nonpayment of parking ticket letters.
- After hours, wanted and record checks in the manual files as well as the TENPIN/NCIC inquiries.
- Overflow filing of Index Cards, reports, and records. This requires close supervision to assure that day shift personnel do not "dump" work onto the other two shifts. It also requires maintenance of activity logs for the rotation clerks for monitoring effective use of their time.
- Control of parking tickets until such time as this is handled on the computer in a manner similar to the control of traffic tickets. Issuance of both traffic and parking ticket books should be handled by the traffic records clerk except during the evening and night shifts. During those shifts, the rotation clerk should issue the books in accordance with the established control procedures.
- Receive, number, and prepare index cards for all offense and accident reports.
- Answer phone and in-person inquiries at public counter. and take selected offense reports over the telephone.
- Assist the dispatchers in records inquiries as necessary.

- Serve court papers on Department personnel in accordance with procedures established for situations when it is impractical to process the papers to the officer's unit of assignment for service.
- Handle inquiries regarding status of warrants during the day shift when there is no one available in the Warrant Squad.
- Maintain the control record on use of the Xerox copier.
- Log-in and process court papers requiring immediate action when received during the evening and night shifts. If not requiring immediate action, then only log-in the papers and leave for day shift processing.
- Control all non-Department personnel traffic passing the Information Counter during the evening and night shifts by making telephone contact with the desired party and requesting an escort, if the visitor is not known to the clerk or desired party.

END

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